2014

MACQUARIE UNIVERSITY

A meeting of the Academic Senate will be held at 9.30am Tuesday 2 September 2014 in the Senate Room, Building C8A, Level 3.

★ This symbol indicates items that have been starred for discussion at the meeting.

Members are requested to notify the Chair of Academic Senate, Professor Dominic Verity, of any additional items which they wish to have starred, and the reason for seeking discussion of those items.

Members who are unable to attend the meeting are requested to send their apologies to Ms Amanda Phelps, University Committee Secretary (phone 61 2 9850 7316 or e-mail senate@mq.edu.au).

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		7.	**STRATEGY AND POLICY**
Pages 45 to 96	★	7.1	Research Integrity Framework
	★	7.2	Research Framework Green Paper *The Deputy Vice-Chancellor (Research) will provide an update to members.*
	★	7.3	University Medals *Questionnaire to be circulated prior to the meeting.*
Pages 97 to 132	★	7.4	Student Discipline Policy
Pages 133 to 135	★	**8.**	**QUESTION ON NOTICE** *A question regarding the Chiropractic Department has been received.*

9. GENERAL BUSINESS

Pages 136 to 138 — 9.1 Proposal to Change the Name of the Faculty of Science

9.2 Proposals for New Programs
Refer to report from ASQC, item 11.1

9.2.1 Master of Advanced Translation and Interpreting Studies

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9.3 ASQC Committee Membership

10. ITEMS FOR RATIFICATION

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11. REPORTS FROM STANDING COMMITTEES

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Report of the meeting of 19 August 2014.

Pages 170 to 171 — 11.2 Curriculum Standards Framework Committee
Report of the meeting of 13 August 2014.

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Pages 177 to 188 — 11.4 Higher Degrees Research Committee
Reports of the meetings of 25 July and 22 August 2014.

Pages 189 to 193 — 11.5 Senate Learning and Teaching Committee
Reports of the meetings of 14 July and 11 August 2014.

12. OTHER BUSINESS

13. CONSIDERATION OF CONFIDENTIAL ITEMS

13.1 Standing Committee on Appeals
The minutes of the Standing Committee on Appeals meeting of 29 July 2014 will be tabled.

13.2 University Discipline Committee
The minutes of the University Discipline Committee meeting of 28 July 2014 will be tabled.

14. NEXT MEETING

The next meeting of Academic Senate will be held on Tuesday 7 October 2014.

Agenda items are due by Friday 26 September 2014.

ITEM 3: MINUTES OF PREVIOUS MEETING

Attached are the minutes of the meeting held on 18 July 2014.

Recommendation

That the minutes of the meeting held on 18 July 2014 be signed as a true and correct record.

MACQUARIE UNIVERSITY

ACADEMIC SENATE

MINUTES OF MEETING OF 18 JULY 2014

Minutes of a meeting of Academic Senate held on 18 July 2014 at 9.30am in the Senate Room, Level 3, Lincoln Building.

Present:
Professor D Verity (in the Chair)
Dr Wylie Bradford
A/Professor David Coutts
A/Professor Pamela Coutts
Professor Bruce Dowton
A/Professor Mark Evans
Professor Janet Greeley
Professor Mariella Herberstein
Professor Lori Lockyer
Professor Catriona Mackenzie
Professor Nick Mansfield
Professor Peter Nelson
Professor Jacqueline Phillips
Professor Sakkie Pretorius
Alexander Read
A/Professor Mehdi Riazi
Professor Anne Ross-Smith
Cathy Rytmeister
Professor John Simons
JoAnne Sparks
Professor Dick Stevenson
Mohammed Sulemana
George Tomossy
A/Professor Michelle Trudgett
Lachlan Woods
A/Professor Lisa Wynn
Professor Sherman Young

In Attendance:
Ellen Carlson
Professor Lorne Cummings
Paul Fairweather
Professor Paul Gollan
Ainslee Harvey
Barbara Lawrence
Professor Bernard Mans
Desla McLean
Amanda Phelps
Dr Benjamin Pitcher
Dr Kyle Ratinac
Colin Thomson
A/Professor Subramanyam Vemulpad
Dr Kandy White
Professor Mark Wiggins
Zoe Williams
Jonathan Wylie

Apologies: Deidre Anderson
Karee Chan
Professor Alex Frino
Professor Mark Gabbott
Professor Simon George
Professor Jim Lee
Nicholas McGuigan
A/Professor Ian Solominides
Vikas Veerareddy
Professor David Wilkinson
Dr Rod Yager

1. APOLOGIES /WELCOME

Academic Senate noted that apologies were received from Deidre Anderson, Karee Chan, Professor Alex Frino, Professor Mark Gabbott, Professor Simon George, Professor Jim Lee, Nicholas McGuigan, Associate Professor Ian Solomonides, Vikas Veerareddy, Professor David Wilkinson and Dr Rod Yager.

The Chair noted that Professor John Croucher had provided his resignation from Academic Senate and that a request for a nomination from MGSM had been sought. The Chair publicly thanked Professor Croucher for his contribution to Academic Senate.

The Chair welcomed the following guests Professor Bernard Mans, Professor Mark Wiggins, Professor Paul Gollan, Dr Kyle Ratinac, Professor Lorne Cummings, Associate Professor Subramanyam Vemulpad, Dr Kandy White, Dr Benjamin Pitcher who were in attendance.

The Chair also acknowledged that Professor Colin Thomson would be making a presentation on the proposed Research Integrity Framework and that the Interim Head of Student Administration, Barbara Lawrence would be attending as an observer.

The Chair acknowledged the first Academic Senate meeting to be held in the newly refurbished Senate room and the adjacent meeting room.

2. ARRANGEMENT OF THE AGENDA

The following items were starred for discussion:

4.1 Academic Senate items requiring action
4.2 Higher Degree Research Appeals Committee – nomination from Faculty of Human Sciences.
6 Chair Oral Update
7 Vice-Chancellor Oral Update
8.1 Reports from Executive Deans
8.7 Approval for the Communication of Results
10. Questions on Notice
11.1 Academic Standards and Quality Committee
11.2 Curriculum Standards Framework Committee
11.3 Higher Degree Research Committee
11.4 Senate Learning & Teaching Committee
12.1 Faculty of Medicine and Health Sciences
12.2 Research Integrity Framework
12.3 World-Leading Research; World-Changing Impact Strategic Research Framework: 2015-2024
12.4 Higher Degree Research Thesis Preparation, Submission and Examination Policy
12.5 Academic Appeals – Academic Appeals Policy and Interim Procedure for Managing Academic Appeals

2.1 The Chair requested that Senate members declare any conflicts of interest. No conflicts were recorded.

The Chair noted that student representatives would be unable to vote on the approval for release of Session 1 2014 examination results.

3. MINUTES OF MEETING HELD 3 JUNE 2013

Resolution 14/112

That the minutes of the meeting held on 3 June 2014 be signed as a true and correct record with the following amendment; Professor Anne Ross-Smith to be listed as an apology.

4 BUSINESS ARISING FROM THE MINUTES

4.1 Academic Senate items requiring action

The table was noted.

5. CONSIDERATION OF UNSTARRED ITEMS

Resolution 14/113

That the items not starred for discussion be noted and, where appropriate, be adopted as recommended.

(The adopted items are recorded in these minutes according to the sequence of the agenda).

6. CONSIDERATION OF CONFIDENTIAL ITEMS

The minutes of the 4 June 2014 University Discipline Committees were tabled.

7. CHAIR ORAL UPDATE

The Chair welcomed members and attendees to the newly refurbished Senate and noted that the new physical meeting space is symbolic of the deeper changes that are afoot for Senate in the coming months.

A two-day academic governance workshop, facilitated by external consultant Philip Pogson, has been confirmed for 13 November and 1 December. The workshop will provide an excellent opportunity to reimagine the role of academic governance; reposition Academic Senate within the University; and consider ways to reinvigorate Academic Senate as the key debating chamber for all academic matters. The workshop will build on the work commenced during the special meeting of Senate held in May 2014.

The Chair confirmed that at the meeting on 3 July 2014 University Council approved the new Faculty Rule, which establishes Faculty Boards. The Faculty Boards will report regularly to Senate on their activities.

The Curriculum Standards Framework Committee is developing processes for the recognition of prior informal and non-formal learning. The Chair noted that the Faculty of Business and Economics had commenced thinking about informal and non-formal learning requirements and how such learning might be assessed.

The Chair noted that system issues had been identified as a result of the premature release to students of Session 1 2014 examination results that had not yet been finalised. Once this error had been identified, the University had devoted significant efforts to identifying and

contacting students who accessed these results. The approval for the release of Session 1 2014 examination results would be considered at this meeting.

Macquarie University is hosting the NSW/Territories Committee of Chairs of Academic Boards/Senate meeting to be held on Thursday 28 August 2014.

The Chair thanked those involved in perpetuating the work of Academic Senate whilst he had been on leave for 6 weeks.

Academic Senate noted the update.

8. VICE-CHANCELLOR ORAL UPDATE

The Vice-Chancellor provided Academic Senate with advance notice of the appointment of the new Deputy Vice-Chancellor (Academic), Professor John Simons. Members joined the Vice-Chancellor in congratulating Professor Simons on his appointment. The Vice-Chancellor updated Academic Senate on progress relating to the recruitment of an Executive Dean of Science and a Chief Information Officer and advised that both processes were nearing closure.

The Vice-Chancellor acknowledged the services of Tim Sprague over the past decade and confirmed that Carol Watson had been appointed as an Acting-Director of Human Resources. The Vice-Chancellor advised that Ms Watson had commenced implementing changes to the way in which Human Resources services the University community.

Members were briefed on the activities being undertaken by Universities Australia in response to the Federal budget. The Vice-Chancellor outlined his specific concerns and noted that there has been a convergence across Universities on a number of issues including, the impact of proposed changes to HECS, how student loans will be implemented and clustering of disciplines.

The Vice-Chancellor confirmed the passage of the Faculty Rule through the July meeting of University Council. This Rule facilitates the establishment of Faculty Boards and the Vice-Chancellor spoke to the significance of this milestone to streamline academic governance, freeing Academic Senate to focus on strategic matters.

The Vice-Chancellor referred to the recent announcement confirming the University's conclusion of its partnership with Navitas and briefed members on the complexities and specific reasons for the approach taken by the Executive in negotiating this outcome. The Vice-Chancellor acknowledged the considerable effort undertaken by the Deputy Vice-Chancellor (International), the Chief Financial Officer and the Director of Macquarie International in developing the proposal to establish Macquarie University College. The Vice-Chancellor noted the amount of work ahead to establish the College and Academic Senate's direct role in this.

The Vice-Chancellor referred to the unanimous decision of the University Council to approve the creation of a new Faculty of Medicine and Health Sciences and referred to the agenda item relating to this matter.

Academic Senate noted the update.

9. 2014 - SESSION 1 UNIT RESULTS

The Chair noted that the ratification of examination result is a function to be delegated to Faculties when Curriculum Standards and Framework Committee has finalised the required framework.

9.1 **Reports from Executive Deans**

9.1.1 Faculty of Arts

Professor John Simons spoke to the Faculty of Arts Examination and Assessment Report Winter 2014 and highlighted the lack of attendance at lectures as a continuing issue.

A Committee member commented that ECHO360 does not track downloads to mobile devices and therefore any data indicating low uptake may not be entirely accurate.

Issues surrounding special consideration and disruptions to study were also highlighted as causing concern to the Faculty. The Committee noted that Session 1 2014 is the first period of implementation for the new Disruption to Studies Policy.

The Deputy Registrar advised that he had communicated with Campus Wellbeing regarding the issues raised in the report from the Faculty and noted that he would be looking into matters further.

The Faculty also requested that Senate consider the need for a consistent approach to the penalties for late submission of assignments.

ACTION: Refer issues of lack of student engagement and attendance at lectures to the Senate Learning and Teaching Committee.

ACTION: Refer consideration of a consistent University approach to the late submission of assignments to the Senate Learning and Teaching Committee.

ACTION: Refer review of the first session of the implementation of the new Disruption to Studies Policy to the Senate Learning and Teaching Committee.

9.1.2 Faculty of Business and Economics

Professor Anne Ross-Smith spoke to this report and highlighted the common thread appearing among all of the Session 1 2014 examination report from the Faculties with respect to the high number of disruptions to studies applications. It was noted that the Faculty receives on average 3000 disruption applications per session.

Another ongoing issue highlighted was the communication skills and generic skills of international students. A project on communications skills of graduates and what employers require in this regard is being scoped to address this issue. A comment regarding the decline in the number of ATAR admissions was also identified as an issue connected to communication skills.

The Chair commented that issues surrounding ATAR admission is a topic that continually arises at Chairs of Academic Boards and Senates meetings.

ACTION: The managing of expectations for non ATAR entry English language requirements be referred to the Senate Learning and Teaching Committee.

9.1.3 Faculty of Human Sciences

Professor Janet Greeley spoke to this report and noted similar issues to other Faculties, namely, lack of student engagement, high number of disruption to study applications and alternate arrangements for assessments. The Committee noted that each Faculty deals with alternate arrangements for assessment independently and there is currently no consistent approach.

Professor Greeley informed Senate that her Faculty had made improvements in the handling

of incomplete grades. However, she identified some ongoing issues in regard to the resolution of incompletes in placements and practicum units.

The non-submission of assessments continues to be an issue of concern. It was suggested that, in part, this might be accounted for by a lack of awareness of census dates and withdrawal processes amongst students.

The Chair of the Senate Learning and Teaching Committee noted that there is scope for discussion about how grade distributions should be used in a standards based assessment regime and he suggested that this matter should be referred to the Senate Learning and Teaching Committee for further discussion.

ACTION: The use of grade distributions in the University's assessment practices to be referred for further clarification to the Senate Learning and Teaching Committee.

9.1.4 Faculty of Science

Professor Peter Nelson spoke to this report and noted the lack of student engagement, including the failure to attend final examination, as ongoing issues. He noted significant progress in reducing the high failure rates of some key 100 level units.

The Committee remarked upon the apparent ease with which students could obtain Withdrawal Without Academic Penalty (WWAP), and observed that there was no time limit on the application of this rule. It was noted that the WWAP process was currently under review, and the committee expressed its desire to see the latest statistical data in regard to the operation of this process. This latter query was referred to the Deputy Registrar.

It was suggested that consideration of the issues identified in the Executive Deans Session 1 2014 Examination reports, including the post unit results analysis should be referred to the Senate Learning and Teaching Committee and Academic Standards and Quality Committee for consideration with a report provided back to Academic Senate and Faculties on their findings.

It was also noted that the new Faculty Rule approved by University Council, which establishes the Faculty Boards, comes into effect on 1 January 2015. From that point, the ratification of results will become a responsibility of Faculty Boards. In the meantime, session 2 2014 unit results will again be ratified for release to stduents at the 18 December 2014 Academic Senate meeting.

The Chair noted, as a general comment, that there would be a number of transition issues to be worked through both leading up to and post the move of unit results ratification to Faculties. He also reminded Academic Senate that ratification procedures and moderation guidelines were currently under development by CSFC.

ACTION: Post Session 1 examination results analysis referred to the Academic Standards and Quality Committee for consideration. A report on its findings to be provided to Academic Senate and Faculties for action.

ACTION: Senate Learning and Teaching Committee to consider examination reports and to identify possible policy responses to issues identified.

ACTION: The Deputy Registrar to provide a statistical report on the application of the Withdrawal Without Academic Penalty rule and to provide an update on the progress of the process review.

9.2 Candidates who have now Satisfied Requirements for Undergraduate Degrees/ Diplomas/ Certificates

Resolution 14/114

That the candidates in the reports under items 8.3, 8.4 and 8.5 have satisfied requirements for the awards stated.

9.3 Prize Awards

Academic Senate resolved as recommended the list of prize awards submitted for its consideration at the meeting.

Resolution 14/115

That prizes be awarded to the students nominated for the prize awards.

9.4 Session 1 2014 Unit results - Communication of Results

Resolution 14/116

That the schedule of results be approved as the official record and that the Deputy Vice-Chancellor (Students and Registrar) be authorised to convey these results to students.

10 OTHER RESULTS FOR NOTING

Academic Senate noted the following results:

10.1 ICMS Study Period 3, 2013

10.2 OUA Term 1, 2014

10.3 OUA Term 3, 2013

10.4 OUA Term 4, 2013

10.5 OUA Session 2, 2013

10.6 OUA Session 3, 2013

10.7 Macquarie City Campus IBT 3, 2013

10.8 Macquarie City Campus IBT 1, 2014

10.9 Macquarie City Campus Study Period 3, 2013

10.10 Macquarie City Campus Study Period 1, 2014

10.11 Session 3, 2013/14

11. QUESTIONS ON NOTICE

Nil received.

12. REPORTS FROM STANDING COMMITTEES

12.1 Academic Standards and Quality Committee (ASQC)

The Chair of ASQC, Associate Professor Pamela Coutts spoke to the tabled report and highlighted the four items requiring approval by Academic Senate.

Academic Senate noted the report of the meeting of 24 June 2014 and resolved as recommended:

Resolution 14/117

That the new awards and majors listed below are approved effective 1 January 2015.

Type	2015 Name	2015 Award Abbreviation
UG major	S2:International Relations	
PG award	Graduate Diploma of Creative Writing	GradDipCrWrit
PG award	Master of Ancient History	MAncHist
PG award	Graduate Diploma of Ancient History	GradDipAncHist
PG award	Graduate Certificate of Ancient History	GradCertAncHist
UG award	Bachelor of Laws with Honours	LLB(Hons)
UG award	Bachelor of Arts - Media with the degree of Bachelor of Laws with Honours	BA-MediaLLB(Hons)
UG award	Bachelor of Arts with the degree of Bachelor of Laws with Honours	BALLB(Hons)
UG award	Bachelor of International Studies with the degree of Bachelor of Laws with Honours	BIntStudLLB(Hons)
UG award	Bachelor of Social Science with the degree of Bachelor of Laws with Honours	BSocScLLB(Hons)
UG award	Bachelor of Applied Finance with the degree of Bachelor of Laws with Honours	BAppFinLLB(Hons)
UG award	Bachelor of Business Administration with the degree of Bachelor of Laws with Honours	BBALLB(Hons)
UG award	Bachelor of Commerce - Professional Accounting with the degree of Bachelor of Laws with Honours	BCom-ProfAccgLLB(Hons)
UG award	Bachelor of Commerce with the degree of Bachelor of Laws with Honours	BComLLB(Hons)
UG award	Bachelor of Arts - Psychology with the degree of Bachelor of Laws with Honours	BA-PsychLLB(Hons)
UG award	Bachelor of Psychology (Honours) with the degree of Bachelor of Laws with Honours	BPsych(Hons) LLB (Hons)
UG award	Bachelor of Environment with the degree of Bachelor of Laws with Honours	BEnvLLB(Hons)
UG award	Bachelor of Information Technology with the degree of Bachelor of Laws with Honours	BITLLB(Hons)
UG award	Bachelor of Science with the degree of Bachelor of Laws with Honours	BScLLB(Hons)

Resolution 14/118

That the introduction of the Bachelor of Engineering with Honours awards at AQF level 8 is approved.

Resolution 14/119

That the Master of Accessible Media and Intercultural Communication (AMIC) award is approved.

Resolution 14/120

That the following People and Planet Program requirements are approved:

For students commencing in 2015 the new People and Planet requirement will apply.

For all students who commenced prior to 2015 either set of requirements will apply. A process of review against both sets of rules will be undertaken for this cohort. Where required, this review will be forwarded to Faculties for advice.

12.2 Curriculum Standards Framework Committee (CSFC)

Academic Senate noted the reports of the meetings held on 20 May and 18 June 2014.

Arising from the meeting of 18 June 2014:

Resolution 14/121

That the draft Academic Program Structure Statement: Undergraduate Diploma Programs be approved.

12.3 Higher Degree Research Committee (HDRC)

Professor Nick Mansfield highlighted the recent changes to the MRes program.

Academic Senate noted the report of the meeting of 27 June 2014 and resolved as recommended:

Resolution 14/122

That the students included in the report of the Higher Degree Research Committee of 27 June 2014 (Item 11.3 Academic Senate Agenda 18 July 2014) have satisfied the requirements of the awards stated.

Nominations for Vice-Chancellor's Commendation

Resolution 14/123

That Gwenda Claire Colyer's PhD thesis entitled "The Best of Intentions: Mainstreaming, the Not-For-Profit Sector and Indigenous Australians" be awarded a Vice-Chancellor's Commendation.

Resolution 14/124

That Ivan Jesus Fernandez Corbaton's PhD thesis entitled "Helicity and duality symmetry in light matter interactions: Theory and applications" be awarded a Vice-Chancellor's Commendation.

Resolution 14/125

That Darryl John Hocking's PhD thesis entitled "The Brief in Art and Design Education: A Multi-Perspectived and Mixed-Methodological Study" be awarded a Vice-Chancellor's Commendation.

Resolution 14/126

That Julien Michel Ogereau's PhD thesis entitled "Paul's Κοινωνία with the Philippians: A Socio-Historical Investigation of a Pauline Economic Partnership" be awarded a Vice-Chancellor's Commendation.

12.4 Senate Learning and Teaching Committee (SLTC)

Report of Meeting of 16 June 2014

Academic Senate noted the report of the meeting of 16 June 2014.

13. GENERAL BUSINESS

13.1 Faculty of Medicine and Health Sciences

The Vice-Chancellor briefed Academic Senate on the resolution of the University Council to establish a Faculty of Medicine and Health Sciences. The Vice-Chancellor spoke of the need for a convergence between the activities of ASAM and the University Hospital for the University's long-term sustainability, and the establishment of the Faculty of Medicine and Health Sciences as being a progressive and natural step towards this goal. The Vice-Chancellor confirmed that while the Faculty had been approved at the conceptual level, the role of Academic Senate would be critical in governing the academic activities of the new Faculty.

The Vice-Chancellor presented members with a detailed overview of the model for an

Academic Health Sciences Centre, integrating clinical care, teaching and research. The Vice-Chancellor outlined successful models in the US, Canada, Sweden and Singapore and spoke to Macquarie's unique position as the only University, which owns a Hospital, to pioneer this model within Australia.

The Vice-Chancellor detailed the governance framework supporting the Academic Health Sciences Centre including the organisational structure, which will integrate the University, the Hospital, Departments and healthcare providers. The Vice-Chancellor spoke to the unique skills and experience required from an Executive Dean to take carriage of the development of the Faculty to achieve this vision, and confirmed that the recruitment process has commenced.

The Vice-Chancellor thanked Academic Senate for the opportunity to provide a detailed briefing and invited questions from members.

An elected member questioned whether the new Faculty of Medicine and Health Sciences would absorb the 50 new academic positions recently announced. The Vice-Chancellor responded that this was not the case and referred to the model for the Academic Health Sciences Centre presented to support this case.

An elected member asked if undergraduate programs would focus on medical sciences. The Vice-Chancellor indicated that due to the heavily regulated requirements for delivering medical education in Australia, the University would not be in a position to run an undergraduate medical program in the short to medium term. The focus would be on delivering an integrated approach to research, clinical services, postgraduate education and training.

The Chair thanked the Vice-Chancellor for the update.

Professor Anne Ross Smith departed the meeting at 11:10 am.

13.2 Research Integrity Framework

Professor Sakkie Pretorius provided an introduction to the presentation from Professor Colin Thomson from Australasian Human Research Ethics Consultancy Services together with Dr Kandy White, Director, Research Ethics and Integrity, who provided an overview of the Research Integrity Framework and its proposed operation (refer to Attachment 1 to these minutes for a copy of the presentation).

The draft Research Integrity Framework was provided for consideration. The committee noted that there was a correction to be made to the draft Framework presented; appeals are to be considered by the Chair of Academic Senate and not General Counsel.

Overall members were supportive, however there were concerns raised regarding issues relating to authorship.

Professor Pretorius noted that the draft Framework has been developed in a less legalistic style, in comparison to other institutions and was intended to provide a best practice approach.

Academic Senate expressed the view that given its importance to the University, further consultation with the broader university community was required before approving the Framework. Dr White is to meet with Faculties to discuss the draft Framework and training requirements.

Professor Peter Nelson and Professor Lori Lockyer departed the meeting at 11:30am.

A/Professor Michelle Trudgett and A/Professor Mark Evans departed the meeting at 11:35 am.

The Vice-Chancellor commented on his own experiences with research integrity and noted that Macquarie University is not as advanced in this area as other institutions. The Vice-Chancellor fully encouraged establishment of the Research Integrity Framework and commended Professor Pretorius on his work progressing this project. Professor Pretorius thanked Dr Kandy White, Dr Benjamin Pitcher and Professor Colin Thomson for their involvement.

ACTION: This item to return to the 2 September 2014 meeting of Academic Senate for approval.

13.3 Word-Leading Research; world changing impact strategic research framework 2015-2024

Professor Dick Stevenson departed the meeting at 11:48pm.

Professor Pretorius provided an introduction to the Green Paper and encouraged feedback to be submitted by the 31 July 2014 deadline. Professor Pretorius informed the Committee that question and answer sessions will be held on a variety of dates and attendees will be invited to provide feedback and to ask questions.

It is expected that the White Paper will be released by 30 September 2014. Professor Pretorius thanked the members of the working party and those involved in the development of the Green Paper.

ACTION: A further update is to be provided at the next Academic Senate meeting on 2 September 2014.

Professor Mariella Herberstein and Mohammed Sulemana departed the meeting at 11:57am.

At this point in the meeting a quorum could not be established and items 12.4 and 12.5 on the Agenda were confirmed by flying minute, with effect from 25 July 2014.

13.4 Higher Degree Research Thesis Preparation, Submission and Examination Policy

Resolution 14/127

That the Higher Degree Research Thesis Preparation, Submission and Examination Policy is approved.

13.5 Academic Appeals – policy and interim arrangements

Resolution 14/128

That appeals relating to Recognition of Prior Learning, Disruptions to Study and Enrolment in a unit for the third time, will be reviewed at the Faculty-level, followed with a review by a panel comprising the Chair of the Academic Appeals Committee, the Deputy Registrar and an Associate Dean, Learning and Teaching and/or Standards and Quality until the Academic Appeals Policy is approved.

13.6 Academic Appeals Report

The Academic Senate noted the outcome of the twenty-one Session 3 Academic Appeals, four Macquarie City Campus Academic Appeals and ten Postgraduate Appeals against exclusion from enrolment considered by the Academic Appeals Committee.

13.7 Vice-Chancellor's Commendations

Resolution 14/129

Academic Senate approved the award of the Vice-Chancellor's commendation to the eight Master Coursework graduands as attached in Item 12.7 of the 18 July Academic Senate Agenda.

13.8 Macquarie Foundation Program Completions

Resolution 14/130

That Academic Senate approves the list of 22 candidates who have satisfied the requirements for the Macquarie Foundation Program (listed at item 12.8 of the 18 July 2014 Academic Senate Agenda).

13.9 Undergraduate and Postgraduate Students Qualified for an award

The list of qualified students from 4 June to 18 July 2014 was tabled at the meeting.

Resolution 14/131

That the candidates in the report have satisfied the requirement for the awards stated in the submission.

14. OTHER BUSINESS

Nil.

NEXT MEETING

The 5 August 2014 meeting of Academic Senate is to be cancelled and the next meeting will be held on Tuesday 2 September 2014 as a full meeting of Senate.

There being no further business the meeting was declared closed at 12:00 pm.

Professor D Verity
Chair

ATTACHMENT 1: **'Research Integrity Framework and Draft Code for Responsible Conduct of Research'**

Presentation by Professor Colin Thomson

Research Integrity Framework and Draft Code for Responsible Conduct of Research

Macquarie University

Professor Colin Thomson, Senior Consultant

Australasian Human Research Ethics Consultancy Services

18 July 2014

Underlying approach & principles

- Approach to research integrity based on resources and professional development
- Institutional goals link research integrity with research development and system performance
- Research integrity arrangements should offer a positive research experience and be:
  - constructive in promoting good research
  - effective and efficient in ensuring responsible conduct
  - proportional to risks and sensitivities.

AHRECS

Research integrity advisers (RIAs)

- Appoint network of RIAs who have:
  - research experience,
  - wisdom,
  - analytical skills,
  - empathy, and
  - know policies, management structure & research principles
- Sufficient number to cover research disciplines
- Receive training as needed from Research Ethics and Integrity

AHRECS

Research integrity advisers (RIAs)

- Accessible as primary point of contact for advice on
  - good research practice
  - strategies to avoid common problems
  - application of the Code and
  - questionable practice and allegations of possible breaches and/or misconduct

AHRECS

Training and Capacity-Building

- Centrally coordinated suite of activities
- Build awareness and capacity building
- Discipline-relevant
- Tailored for specific audiences, e.g. HDR students & supervisors, early career & new-to-MQ researchers
- Present research integrity as a core component of quality research

AHRECS

Training and Capacity-Building

- Activities most effective when:
  - focussed on needs of department or methodological group
  - involve respected researcher/s (e.g. the local RIA)
- Maintain records about participation
- Sustainable way to resource reflective practice
- Tangible demonstration of practical adoption of *The Code*
- Information & resources on web, contact details of RIAs, Research Integrity staff etc

AHRECS

DRAFT CODE PART A: RESPONSIBLE CONDUCT OF RESEARCH

AHRECS

Researchers' general responsibilities

- Within a broad definition of research, researchers observe the Code by
- Conducting research
  - ethically, with integrity & professionalism
  - with fairness, equity & intellectual honesty
- Managing conflicts of interest
- Ensuring well-being of those involved
- Respecting human participants, animals and environment
- Acknowledging roles and contributions of others
- Communicating results responsibly – public scrutiny of methods & outputs
- Promoting adherence to the Code

AHRECS

Researchers' general responsibilities

- Be familiar with Code
- Engage constructively with with research integrity processes
- Recognise that failure to adhere to Code can be grounds for inquiry and non-compliance findings
- Access advice from RIAs, Faculty Associate Dean (Research) or (HDR), Research Ethics and Integrity
- Report possible Code breaches by following the Code process

AHRECS

Researchers' specific responsibilities

Specific and detailed guidance on

- Research Data, Materials and Records
- Authorship
- Publication
- Supervision of Students undertaking Research
- Conflicts of Interest
- Peer Review
- Collaborative Research with Other Institutions

AHRECS

Other requirements

- Awareness of and compliance with legal requirements
- Ethical approval for human and animal research, bio-safety & gene technology approvals
- Conform to
  - intellectual property policy
  - social media and public comment policy
- Access to all relevant guidelines and policies
- Annual declarations by researchers

AHRECS

DRAFT CODE PART B:
Resolving allegations of breaches or misconduct

AHRECS

Code Breaches & Misconduct

- Code breaches = unintentional failures to comply with principles or specific policies
- Misconduct = breaches of principles or policies that are intentional, reckless or grossly & persistently negligent, e.g.
  - Fabrication or falsification of data or results
  - Plagiarism
  - Failure to manage risks to humans, animals or environment or obtain & maintain appropriate ethical approval
  - Misleading ascription of authorship
  - Non-disclosure of conflicts of interest

AHRECS

Responding to allegations: principles

- Fair, transparent and policy-based
- Timely, in good faith, with honesty and natural justice
- Avoidance of conflicts of interest
- Proportional and remedial
- Complements academic, student or staff misconduct processes
- Comprehensive records and outcome reports to all parties
- No tolerance for reprisals or frivolous, vexatious or malicious allegations

AHRECS

Responding to allegations: processes

- Advice on proposed allegation from RIAs
- Allegations to Director, Research Ethics and Integrity who determines whether:
  - Possible breach
  - Ethical conduct
  - Possible research misconduct
  - Not research
  - Frivolous, vexatious or malicious
  - More information needed
- Escalation in formality when less formal processes fail to resolve
- Essential record keeping of all stages

AHRECS

Responding to allegations: processes

Breaches

- To Executive Dean – may appoint delegate
- Delegate assesses evidence, decides if breach/no breach
- If breach, communicates/meets respondent & offers opportunity to respond
- If breach continues, 3 month remediation, report and further period if necessary, until no longer breach
- If no remediation, referred as misconduct
- Can be referred as misconduct at any time if prima facie case
- Can be escalated to address risk of corporate exposure

AHRECS

Responding to allegations: processes

Research misconduct

- Director, Research Ethics & Integrity refers to DVC (Research) (or VC if conflict) who appoints internal or external inquiry and advises Faculty/Department
- May consult with/notify
  - Research Ethics and Integrity,
  - Higher Degree Research Office and
  - Human Resources
- on appropriate response/course of action

AHRECS

Responding to allegations: processes

- **Internal inquiry** -
  - Usually 3 members, internal (may have some but not all external), relevant expertise
  - ToR to report on facts & find whether or not failure to comply with the Macquarie Code (for University to act on)
  - Respondent may have support person (not lawyer)
- **External inquiry -**
  - Usually 3 – chair with legal experience, relevant expertise
  - Counsel assisting
  - Respondent may have legal representation
  - ToR to report on facts & find whether or not failure to comply with the Macquarie Code (for University to act on)

AHRECS

Responding to allegations: processes

Inquiry processes

- Respondent opportunity to attend, respond to allegations, ask questions,
- Reasonable opportunity for respondent and University to make submissions
- Interview any person or examine any material seen fit
- As expeditious as possible
- Refer *Reporting Wrongdoing: Public Interest Disclosure Policy* if necessary
- Keep records of all steps
- Report findings to DVC (Research) & notify stakeholders (listed)
- Appeals - process to General Counsel – substance to courts

AHRECS

Research integrity & quality

Research integrity arrangements should

- encourage positive & constructive contributions to research quality
- focus on promotion of Macquarie research culture
- maintain engagement with the research community
- have effective and efficient processes to ensure responsible conduct
- promote (and resource) reflective practice.

AHRECS

Acknowledgments

- Gary Allen
- Mark Israel
- Ian Pieper

Consultants with AHRECS.

AHRECS

ITEM 4.1: ACADEMIC SENATE ITEMS REQUIRING ACTION

For information.

ITEM 4.1: ACADEMIC SENATE ITEMS REQUIRING ACTION AS AT 2 SEPTEMBER 2014

Date of Meeting	Item number	Action required	Status
14/02/13	5.2	The Executive Dean, Faculty of Business and Economics to communicate this resolution to the Timetable Project Team. (Related Resolution 13/03 That lectures for First Year day units are prioritised within the timetable for scheduling between the hours of 9am to 5pm.) The Executive Dean advised that the Timetabling Team had indicated that for the 2014 they would definitely be prioritising the 100 level scheduling, but further clarification was required to determine precisely what was meant in some unusual circumstances. Otherwise the Timetabling Team were concerned that they might unnecessarily create some dynamics that weren't intended, or conversely, not apply a principle that they should.	Clarification required
12/07/13	13.7	That the University develops a policy regarding posthumous awards. Responsible Officer, Chair Academic Senate. Related Resolution 13/215	To be commenced
1/10/13	10.1	The current prerequisites for PSYC105 – Introduction to Psychology II to be discussed with further consultation with the Psychology Department. This matter is to be discussed at the next ASQC meeting on 22 October 2013.	In progress
12/11/13	11.2	That a copy of the Professional Authority Form (PAF) referred to in the Disruptions to Studies policy is circulated to the members of Academic Senate.	To be provided
13/02/14	7	That a Working Group is established to benchmark Macquarie University to the "The Purpose and Function of Academic Boards and Senate in Australian Universities" paper and provide a report to the 1 April 2014 Academic Senate meeting.	In progress
1/04/14	7	That Academic Senate establishes a working party to review its membership structure and report its findings and recommendations to a subsequent Academic Senate meeting.	In progress
18/07/14	9.12 9.13 9.14	The following action items were referred as a result of the issues raised by the Session 1 2014 Examination Reports from the Executive Deans: • Issues of lack of student engagement and attendance at lectures to be referred to the Senate Learning and Teaching Committee. • Refer consideration of a consistent University approach to the late submission of assignments to the Senate Learning and Teaching Committee. • Review of first session of the implementation of the new Disruption to Studies Policy to be referred to the Senate Learning and Teaching Committee. • The managing of expectations for non ATAR entry English language requirements referred to the Senate Learning and Teaching Committee. • The use of grade distributions in the University's assessment practices to be referred for further clarification to the Senate Learning and Teaching Committee. • Post Session 1 examination results analysis referred to the Academic Standards and Quality Committee for consideration. A report on its findings to be provided to Academic Senate and Faculties for action. • Senate Learning and Teaching Committee to consider examination reports and to identify possible policy responses to issues identified. • The Deputy Registrar to provide a statistical report on the application of the Withdrawal Without Academic Penalty rule and to provide an update on the progress of the process review.	In progress/ to be commenced

18/07/14	13.2	The Research Integrity Framework to return to the 2 September 2014 meeting of Academic Senate for approval.	Refer to Item 7.1 on this Agenda
18/07/14	13.3	A further update on the Research Framework Green Paper is to be provided at the next Academic Senate meeting on 2 September 2014.	Refer to item 7.2 on this Agenda

ITEM 5: REPORT FROM THE CHAIR

For noting.

ITEM 5: REPORT FROM THE CHAIR OF ACADEMIC SENATE

Recommendation: That the Academic Senate note the Chair's report.

Submitted by: Professor Dominic Verity, Chair of Academic Senate

Report from the Chair of Academic Senate

NSW/Territories Chairs of Academic Boards meeting

On 28 August Macquarie hosted the NSW/Territories Chairs of Academic Boards meeting. The Chairs discussed TEQSA's recent guidance notes on academic leadership, scholarship of teaching and learning and academic quality assurance; the development of an academic risk framework; and the role and responsibility of the committee in the future, and its relationship with chairs of academic boards of private providers.

Review of Higher Degree Research Committee (HDRC)

Following the review of SLTC and ASQC last year, Senate has commenced a review of the operation and objectives of HDRC. Given the growth of higher degree research across the University, stakeholders have been supportive of the review and the need to have clearly defined objectives and delegations.

I will be meeting with key stakeholders and groups (Faculty HDR Managers, MRes Directors, Associate Deans HDR, Faculty HDR Meetings and HDR/MRes students) to obtain their feedback to further inform the review process. Following a period of consultation, the revised terms of reference will be presented to Senate for approval in December.

University Medal and Vice-Chancellor Commendations for Academic Excellence

As the University no longer has an honours program, the qualifying criteria for the University Medal and its relationship with the Vice-Chancellor's Commendations for Academic Excellence is being revisited. Stakeholders will be asked to provide preliminary feedback via a questionnaire. Ultimately, guidelines for the award of the University Medal will be presented to Senate for approval later in the year.

Senate Management Advisory Group

To assist Senate become more strategically focussed, a Senate Management Advisory Group has been established to plan, prioritise and timetable strategic items for discussion. The Group has identified a number of ways to improve the structure of Senate meetings and allocate sufficient time to matters of high risk and/or strategic importance. Recommended changes to Senate's order of business will be piloted during this meeting.

Academic Appeals Policy

A draft Academic Appeals Policy has been developed by a working party of Senate. Further work is being done on procedures to support the Policy, which will take into account differing process for various student groups. The draft policy is being promulgated to Faculties for feedback and will be discussed at the October Senate meeting.

Senate Elections for 2015-16

You will soon receive notification about the Senate elections for faculty elected and non-faculty representatives. The election process for the 2015-2016 Senate term will take place in October. More information will follow from Ms Zoe Williams, Head of Governance Services.

Disruptions to Study

There is a review of the Disruptions to Study policy and procedure taking place to review the implementation and data from Session 1 2014. The outcome of the review will be reported to the October SLTC meeting.

Reasonable Adjustments

The Executive Dean of the Faculty of Arts reported concerns with the demands placed on Faculties for students requiring Reasonable Adjustments particularly during the exam period for Session 1 2014. This matter has been referred to the Deputy Vice-Chancellor (Students and Registrar) who will review the processes surrounding the identification and assessment of students requiring reasonable adjustments, how information is communicated to Faculties and the workflows, which underpin this. Reasonable Adjustments will be the subject of a Rapid Improvement Process and the result of this review will be reported to SLTC.

The Review of Policy

The University has conducted a review of the role and function of policy and both the Deputy Chair, and, I have been involved in providing feedback on key recommendations through the Review Advisory Group. The key recommendations have been submitted to Executive for endorsement and I will provide an update at the next meeting.

ITEM 7.1: RESEARCH INTEGRITY FRAMEWORK

Recommendation

That the Academic Senate endorse the Research Integrity Framework and The Macquarie University Code for the Responsible Conduct of Research for adoption at the University.

ITEM 7.1: RESEARCH INTEGRITY FRAMEWORK (FOR DISCUSSION)

Issue: The *Macquarie University Research Integrity Framework* and *The Macquarie University Code for the Responsible Conduct of Research* were first presented to Academic Senate on the 18th July 2014. At that meeting Academic Senate requested that a further period of staff consultation occur before the documents were returned to Academic Senate.

Macquarie University Research Ethics and Integrity and the Research Integrity Working Party conducted a period of consultation between the 21st July and the 11th August. During this time a website and online form was open for feedback (advertised through *This Week at Macquarie University* and other means). Meetings were also held with Associate Deans of Research, Associate Deans of Higher Degree Research and Faculty Research Managers. In addition, Research Ethics and Integrity conducted a 'trial run' of the procedures. Following staff consultation, the Working Party considered all feedback and revised the documents as necessary.

Consultation Process:
The following offices have been consulted prior to the submission of this paper:

- Executive Group
- DVC (Research)
- DVC (Strategy and Planning)
- RSPC
- Office of the General Counsel
- Human Resources
- PVC (Learning and Teaching and Diversity)
- Head of Risk and Compliance
- HDRC
- Research Office (Ethics and Integrity and Contracts and Policy)
- Associate Deans (Research)
- Associate Deans (HDR)
- Dean HDR
- HDRO
- Chair of Academic Senate
- Learning and Teaching Centre
- Marketing
- MUCC
- All staff have been given the opportunity to contribute.

Recommendation: That the Academic Senate endorse the *Research Integrity Framework* and *The Macquarie University Code for the Responsible Conduct of Research* for adoption at the University

Submitted by: Professor Sakkie Pretorius, Deputy Vice-Chancellor (Research)

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9850 7854

Research Integrity Framework and *The Macquarie Code for the Responsible Conduct of Research* Revision Summary

Following the consultation period with all staff the revisions outlined below have been made to the *Research Integrity Framework* and *The Macquarie Code for the Responsible Conduct of Research*.

Research Integrity Framework	
Section	**Revision**
R 4	Name of *The Macquarie Code* corrected.
R 6	New recommendation added. That Macquarie University develops procedures to accompany *The Macquarie Code*.
R 11	Now *in progress.*
R 17	The Research Integrity module of EPIGEUM is now available on iLearn.
R 19	The rollout of training to key staff is now *in progress.*
R 21	The presentation of Research Integrity at training workshop has begun.
The Macquarie Code for the Responsible Conduct of Research	
Section	**Revision**
2	Removed "support staff" – this is covered by "professional staff"
2	Defined the Deputy Vice-Chancellor (Research) as the Designated Person and delegated specific roles and responsibilities to the Director, Research Ethics and Integrity.
3	Changed "support staff" to "professional staff"
6	Defined "output", "principal investigator", and "researcher".
7.1	Changed "support staff' to "professional staff"
7.1.h	Corrected reference and links to OGTR legislation and website.
9.1	Removed reference to the draft *Research Data and Materials Management Policy*.
9.1	Because clause 9.1 has been removed the subordinate sections 9.1.a-9.1.j have been elevated to 9.1-9.10 and 9.2 has become 9.11
9.1.g	Removed clause.
10.2	Added clarification that minor corrections to proof can be managed by the corresponding author.
10.9.b	Added statement that discussions and agreements about authorship should occur early in a project and records should be kept.
10.11	Added clause on posthumous authorship.
10.13	Combined former 10.11 (now deleted) with 10.13 to remove duplication.
11.8	Clarified that declarations of conflicts of interest must be included in publications if a conflict of interest exists.
11.13	Corrected reference to IP Policy.
12	Removed reference to research trainees, now Higher Degree Research Candidates and Students.
13.3	Clarified that these are examples of *possible* conflicts of interest.
15.2.a	Corrected reference to IP Policy.
17.3	Corrected reference to IP Policy.
17.5	Removed clause.
19.1.a	Corrected sentence fragment. Added "*will* follow institutional policies.
19.1.b	Clarified that "under normal circumstances, research misconduct inquiries would precede any inquiries undertaken under the relevant Enterprise Agreement."
20.3	Changed "may" to "must".

20.13	Added clause that “The Director, Research Ethics and Integrity may seek confidential advice when making their assessment of the allegation. For example, from the Office of the General Counsel.”
21.4	Added clause outlining the terms of reference for investigating a breach.
21.6	Changed “should” to “must”.
21.7	Changed “should” to “must”.
21.8.c	Clarified that “The delegate may seek *confidential* advice…”
21.15	Changed “should” to “must”.
22.5	Clause added specifying that the Committee must refer allegations of a breach or research misconduct to the Director, Research Ethics and Integrity.
23.1	Changed “should” to “must”.
23.3	Added Office of the General Counsel.
23.2	Changed “should” to “must”.
23.9	Added “The Deputy Vice-Chancellor (Research) *or their delegate*”.
23.10	Added “The Deputy Vice-Chancellor (Research) *or their delegate*”.
23.11	Added “The Deputy Vice-Chancellor (Research) *or their delegate*”.
24.3	Corrected sentence fragment.
24.5	Changed “should” to “must”.
25.3	Corrected sentence fragment.
26.2	Clarified that the respondent may submit a written statement to accompany the report of an inquiry. This is consistent with procedure at Go8 universities.
31	Section added to allow an inquiry to be halted if an external judicial inquiry is commenced.
32	Section added to deal with collaborative research where investigations might occur at multiple institutions.
33	Section added to deal with situations where a person may leave Macquarie before an inquiry is completed.
39	References to policy and legislation corrected.
Appendix	Flow charts updated where necessary following the above revisions.

MACQUARIE UNIVERSITY

SYDNEY ~ AUSTRALIA

Research Integrity Framework

August 2014

This document was developed by Macquarie University Research Ethics and Integrity in partnership with Australasian Human Research Ethics Consultancy Services (AHRECS)

Contents

Research Integrity at Macquarie University

1. Introduction

The *Australian Code for the Responsible Conduct of Research (The Australian Code)*[1] (2007) outlines principles and practices to encourage and underpin responsible research conduct. This NHMRC/ARC/UA document has two sections: *Part A* which describes the responsibilities and required policies to support responsible research and *Part B* which deals with breaches of the code and frameworks for resolving allegations. Compliance with *The Australian Code* is now a requirement of NHMRC/ARC funding.

The DVC(R) requested that the Director, Research Ethics and Integrity review Macquarie's compliance with *The Australian Code* in late 2013. The review found that Macquarie did not have all the requisite policies to be in compliance. After consultation with the Office of the General Counsel and the NHMRC, Macquarie University contracted Australasian Human Research Ethics Consultancy Services (AHRECS) to prepare a draft Research Integrity Framework, including policies and procedures to comply with both *Parts A & B* of *The Australian Code*. Concurrently, Macquarie University Research Ethics and Integrity benchmarked other Australian universities and international examples (e.g. U.S. Office of Research Integrity) to determine a best practice approach.

This document represents best practice in the sector and Professor Sakkie Pretorious, DVC(R), and the Research Integrity Framework Working Party[2] extend their gratitude to AHRECS for their exemplary work in framing and crafting the Research Integrity Framework.

The Macquarie University Research Integrity Framework includes the:

- Genesis and explanation of the Framework;
- Recommendations by AHRECS for implementing the Framework;
- The *Macquarie University Code for the Responsible Conduct of Research*.

2. Macquarie University's Research Integrity Approach

The research integrity challenges that Macquarie University faces are not unusual and are encountered by many Australian universities. This project offers a good opportunity to address institutional risk in a timely and constructive manner.

An initial review of the University's existing arrangements suggests that in some important regards these arrangements do not comply with *The Australian Code*. Addressing this situation is best approached in terms of research culture – specifically:

- The approach to research integrity should be based upon resources and professional development rather than rules and forms
- Institutional goals should link research integrity with research development and system performance

The University's research integrity arrangements should offer a positive research experience, and therefore be:

[1] Available online at https://www.nhmrc.gov.au/guidelines/publications/r39

[2] Dr K White, Prof C Mackenzie, Prof N Mansfield, Ms AM Heinrich, Mr N Crowley, Dr B Pitcher

- constructive in promoting good research
- effective and efficient in ensuring responsible conduct, in a way that is
- proportional to risks and sensitivities.

Disappointingly, many Australian universities have focused primarily upon risk management, bureaucratic systems and sanctions in order to compel researcher compliance with the national standards for research integrity.

AHRECS have argued such approaches can foster an adversarial culture – resistance, ill will and avoidance. Indeed, they are ultimately self-defeating because they tend to increase institutional risk by encouraging a research culture that regards research integrity with suspicion and the purview of central bureaucrats.

In light of the experience of other universities and the advice from AHRECS the proposed Research Integrity Framework aims to be facilitative of research, by providing researchers with resources and training, rather than focussing on rules and forms. This framework must be constructive, effective and importantly, proportional to risks. The framework should not be viewed as a box-ticking exercise of compliance, but rather underpinning and supporting a strong research culture. The Research Integrity Framework applies to all staff, students and visitors to the University who are involved in research. Parts of the framework will also be applicable to professional staff who support research, such as those who facilitate research funding with industry, government agencies and philanthropic sources.

3. Research Integrity Advisors

The Australian Code requires the University to appoint a network of Research Integrity Advisors (RIAs)

> "to advise a staff member who is unsure about a research conduct issue and may be considering whether to make an allegation."

Confining the role of RIAs to advising about potential research misconduct can appear to reflect a risk management focus. In AHRECs view, a wider role is more likely to express the facilitative approach that is recommended.

The University should appoint a network of RIAs with research experience, wisdom, analytical skills, empathy, knowledge of the institution's policy and management structure, and familiarity with the accepted practices in research. They will be the primary contact point for people within their respective faculties, so that advice can be tailored to specific disciplines.

RIAs will advise and assist in the development of training materials and strategies tailored to each Faculty and School, and in the delivery of training in conjunction with Macquarie University Research Ethics and Integrity. RIAs will be asked to perform a small amount of record keeping, with the support of Research Ethics and Integrity, about the participation of staff and students in training and the details of any allegations. RIAs will receive training for their role from Macquarie University Research Ethics and Integrity.

RIAs can also advise about questionable research practices and the process of making an allegation of a potential breach of *The Macquarie Code* or research misconduct. However, the role of a RIA is separate to the any inquiry or review of potential research misconduct.

4. Training and Resources

A key element of a constructive implementation of the Australian Code is the centrally coordinated establishment of a suite of activities that build awareness and capacity building, that are discipline-relevant, can be tailored for specific audiences and are intended to present research integrity as a core component of quality research, not 'just' a central compliance issue. Possible different audience groups include:

- HDR candidates (at orientation and more detailed discussion later in their studies, e.g. at project confirmation)
- HDR supervisors (introductory sessions for new supervisors and 'master classes' for more experienced supervisors)
- Early career researchers
- Researchers new to the University
- More experienced researchers
- Postgraduate coursework and undergraduate students
- New research assistants and professional staff who will conduct research.

Professional development and training activities are most effective when focussed on the needs of a specific department or even methodological group (i.e. to a smaller audience using tailored material), a respected researcher is involved (e.g. the local Research Integrity Advisor introducing and closing the workshop and helping with the fielding of questions), and there is plenty of time for discussion and questions.

The University would be well served by investing in work in this area and by maintaining records about participation. Professional development and capacity building activities are not only a very valuable and sustainable way to resource reflective practice but can be a tangible demonstration of the practical adoption of *The Australian Code*.

Copies and links to all research integrity information and resources should be placed on a single and easily located web page. This page should also include contact details of Research Integrity Advisors and Research Integrity staff (e.g. The Director, Research Ethics and Integrity). Benchmarking against Group of Eight universities has shown that best practice is to have research integrity information accessible within two clicks from the university homepage. In addition to providing for the needs of the University's research community, such a web page allows external bodies (such as government bodies, research funding bodies and journalists) easy access to information about the University's implementation of *The Australian Code*.

5. About the Draft Code of Conduct

The draft *Macquarie University Code for the Responsible Conduct of Research (The Macquarie Code)* is divided into two sections, Parts A & B, to reflect the distinction in *The Australian Code* between the principles and practices of responsible research conduct, and the process of resolving allegations of breaches or possible research misconduct.

On the advice of the NHMRC and AHRECS, the draft *Macquarie Code* has been benchmarked against the University of Melbourne, the University of New South Wales, University of Tasmania, The Australian National University and the University of Sydney, as well as best practice standards recommended by AHRECS. To ensure compatibility with existing University procedures the draft provisions and procedures outlined in Part B of *The Macquarie Code* have been developed in consultation with AHRECS, Macquarie University Human Resources, the Higher Degree Research

Office and the Research Integrity Working Party. The Working Party has consulted widely within the University during the development of this framework and *The Macquarie Code*.

Once finalised, the Research Integrity Framework and the *Macquarie University Code for the Responsible Conduct of Research* should be supported with procedures and resource documents developed in conjunction with the faculties which give practical guidance in each key area. These resources should be tailored to specific disciplines.

Recommendations

The following recommendations have been made by AHRECS and the Research Integrity Working Party. These recommendations represent practical strategies for the development and implementations of an effective and visible Research Integrity Framework. This list is an evolving document that will continue to be updated and added to as the project proceeds.

	Recommendation	Status	Draft Timeline	Responsibility
Development of the Research Integrity Framework				
1	That Macquarie University engages with Australasian Human Research Ethics Consultancy Services (AHRECS) to develop a best practice approach to research integrity.	*Done*	*Early 2014*	*Research Office*
2	That the University reviews existing policies to determine areas of need, and benchmarks against Australian universities and international examples to establish a best practice standard.	*Done*	*Early 2014*	*Research Office*
3	That the University establish a small Working Party to advise on the development and implementation of the Research Integrity Framework.	*Done*	*Early 2014*	*Research Office*
4	That the drafting of the Part B of *The Macquarie Code* be a collective task of the Research Office, Human Resources, Higher Degree Research Office and any other University organisational unit with relevant expertise, with every effort made to ensure the resulting policies interface seamlessly with existing arrangements, provide flexibility for the reviewing parties, are clear for complainants and respondents and are consistent with *The Australian Code*.	*Done*	*Mid 2014*	*Research Office*
5	That the University adopt a timely and transparent process for dealing with allegations of research misconduct, including clear guidelines for dealing with the media in an open manner.	*In progress*	*Mid 2014*	*Research Office*
6	That the University develop procedures to accompany *The Macquarie Code.*	*In progress*	*Early 2015*	*Research Office*
7	That the University develops standardised recommendations for remedial actions that can	*Still to do*	*2015*	*Research Office / Faculties*

	be used by faculties when dealing with alleged breaches, in consultation with the faculties.			
Implementation				
8	That Macquarie University appoints a network of Research Integrity Advisors to support good research practice. The role of Research Integrity Advisor should be factored into workload models.	*In progress*	*Late 2014*	*Research Office / Faculties*
9	That Macquarie University develops a central database to maintain records of all allegations of breaches or research misconduct, and that appropriate statistics are reported to the DVC(R) from this database.	*In progress*	*Late 2014*	*Research Office*
10	That the University develops and maintains a register of conflicts of interest and associated procedures for making declarations, and make information from the register available when requested.	*In progress*	*TBD*	*Research Office / Risk and Compliance*
11	That the University produces and maintains a web page that contains research integrity information, resources and links. The web page should be easily visible on the University site and be of a best practice standard.	*In progress*	*Late 2014*	*Research Office / Web developers*
12	That the University maintains records of the professional development of staff and HDR candidates.	*Still to do*	*Late 2014*	*Research Office / HR / HDRO*
13	That Macquarie University consider appointing a professional staff member in the Ethics and Integrity team with a designated role in the coordination of the University's research integrity professional development and training, supporting Research Integrity Advisors, and record keeping.	*Still to do*	*By late 2014*	*Research Office / HDRO*
14	That the University complete the development and implementation of the Research Data and Materials Management Policy.	*Still to do*	*ASAP*	*TBD*
15	That any new policies or resources produced by the University (e.g. student handbooks), or revisions of existing material, cross-reference the Research Integrity Framework.	*Still to do*	*Ongoing*	*University wide*
Training and Professional Development				

16	That Macquarie University develops clear and practical institutional resource material (e.g. information booklets) providing guidance on each of the areas of *The Macquarie Code*.	*In progress*	*2014-2015*	*Research Office*
17	That online research integrity material and training (e.g. Epigeum's Research Integrity Training module) is made available to HDR candidates and supervisors.	*Done*	*Mid 2014*	*Research Office / LTC*
18	That the University considers some form of accreditation in research integrity for HDR candidates and supervisors.	*In progress*	*Late 2014*	*Research Office / HDRO*
19	That the University engages AHRECS to provide initial training to Research Integrity Advisors and key staff.	*In progress*	*Mid 2014*	*Research Office / Faculties*
20	That research integrity is included in the induction activities for new research staff, including adjuncts and visiting researchers.	*Still to do*	*Ongoing*	*Research Office / HR*
21	That the University regularly holds research integrity workshops tailored to specific disciplines.	*In progress*	*Ongoing*	*Research Office / Faculties*
22	That research integrity should be included as a component of research methodology focused units at both undergraduate and postgraduate levels.	*Still to do*	*Ongoing*	*Research Office / Faculties*
23	That any research integrity professional development opportunities or requirements be incorporated into a wider University professional learning framework if or when one is established.	*Still to do*	*TBD*	*TBD*

The Macquarie University Code for the Responsible Conduct of Research

Contents

1. Purpose

The Macquarie University Code for the Responsible Conduct of Research (*The Macquarie Code*) outlines standards of responsible and ethical conduct expected of all persons engaged in research under the auspices of Macquarie University.

The University has developed this Code to meet the standards set out in the *Australian Code for the Responsible Conduct of Research* (2007).

2. Scope

This document applies to all academic staff, professional staff, students, and technical staff, as well as visiting academics and conjoint appointees, who are involved in research or the support of research.

The conduct of all Macquarie University research must adhere to *The Macquarie Code* irrespective of its funding source or whether it requires ethical review.

If any of the questions below are answered in the affirmative a researcher should be considered to be conducting work under the auspices of Macquarie University, so is subject to the processes described in this document:

- Will the research activity/output be claimed for internal/external purposes through Macquarie University?
- Will the work be identified (e.g. to potential participants, sites and in any output) as being Macquarie University research?
- Are there any contracts/agreements associated with the work that will describe it as being under the auspices of Macquarie University?
- Are there any invoices or other payments associated with the work that will describe it as being under the auspices of Macquarie University?
- Is the work covered by Macquarie University's insurance/indemnity?

The designated person at Macquarie University, as defined by the *Australian Code for the Responsible Conduct of Research*, is the Deputy Vice-Chancellor (Research). The Deputy Vice-Chancellor (Research) delegates specific roles and responsibilities of the designated person, including the authority to approve procedures associated with *The Macquarie Code for the Responsible Conduct of Research*, to the Director, Research Ethics and Integrity.

3. Observance of the Code

Researchers and professional staff must familiarise themselves with *The Macquarie Code* and ensure that its provisions are observed.

4. Failure to comply with this Code

Failure to adhere to *The Macquarie Code* or the *Australian Code for the Responsible Conduct of Research* (2007) may be a ground for disciplinary action (see Part B: Resolving Allegations of Breaches or Research Misconduct).

5. Reporting

All Macquarie University staff and students have an obligation to report any possible breaches of *The Macquarie Code* or the *Australian Code for the Responsible Conduct of Research* (2007), or possible research misconduct to the Director, Research Ethics and Integrity. The preparation and presentation of reports should follow *The Macquarie Code*, and include any advice received from a Research Integrity Advisor, as well as indicating if the individual wishes that their identity is protected. Reports should be made in writing.

6. Definitions

Breach	A breach is defined in section 18.2.
Complainant	For the purpose of this document, the complainant is a person who has made an allegation of possible research misconduct, a possible breach, or relating to biosafety or the ethical conduct of research.
Output	An output is any form of dissemination, including formal publication in academic journals or books, non-refereed publications, such as web pages, and other media such as exhibitions or films, and professional and institutional repositories.
Principal investigator	The principal investigator of a research project is the lead researcher. In the case of a student's research project this will be the primary supervisor.
Research	Research involves original investigation undertaken in order to gain knowledge and contribute to the body of academic, clinical or professional understanding. It can occur in all faculties and disciplinary fields across the University, and includes research conducted in the governance, educational and service areas of the University.
Researcher	Any person conducting research under the auspices of Macquarie University is a researcher. This includes, but is not limited to, all academic staff, professional staff, students, and technical staff, as well as visiting academics and conjoint appointees.
Research Misconduct	Research Misconduct is defined in section 18.1.
Respondent	For the purpose of this document, the respondent is the researcher who is the subject of the allegation made by the complainant.

Part A: Principles and Practices to Encourage Responsible Research Conduct

7. Guiding Principles of Responsible Research

1. Researchers and professional staff must, in all aspects of their research:

    a. conduct themselves ethically, with integrity and professionalism, in accordance with the principles of the *Macquarie University Ethics Statement*;

    b. observe fairness and equity;

    c. demonstrate intellectual honesty;

    d. declare and manage conflicts of interest or potential conflicts of interest effectively and transparently;

    e. ensure the safety and well being of those associated with research;

    f. show respect for human research participants, and comply with the ethical principles of integrity, respect, justice and beneficence. *The National Statement on Ethical Conduct in Human Research* (2007, updated March 2014) and *Values and Ethics - Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research* (2003) set out principles for protecting human participants in research;

    g. show respect for the animals they use in research, in accordance with the *Australian Code of Practice for the Care and Use of Animals for Scientific Purposes* (2003);

    h. ensure the protection of people and the environment from risks resulting from research and release into the environment of genetically modified organisms. In achieving this researchers must comply with their responsibilities under the *Gene Technology Act 2000* (Cth), the *Gene Technology Regulations 2001* (Cth), and any relevant guidelines issued by the Office of the Gene Technology Regulator;

    i. show respect for the environment and conduct their research so as to minimise adverse effects on the wider community and the environment;

    j. appropriately acknowledge the role of others in research;

    k. be responsible in the communication of research results, and

    l. promote adherence to *The Macquarie Code*.

2. Research methods, results and outputs should be open to scrutiny and debate.

8. Special Responsibilities

1. Special Responsibilities for Integrity in Research with Aboriginal and Torres Strait Islander Peoples.

a. It is acknowledged that research with Aboriginal and Torres Strait Islander peoples spans many methodologies and disciplines. There are wide variations in the ways in which Aboriginal and Torres Strait Islander individuals, communities or groups are involved in, or affected by, research to which *The Macquarie Code* applies. *The Macquarie Code* should be read in conjunction with *Values and Ethics - Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research* (2003),the *Guidelines for Ethical Research in Australian Indigenous Studies* (2012) and *Keeping research on track: a guide for Aboriginal and Torres Strait Islander peoples about health research ethics* (2006).

2. Consumer and community participation in research.

    a. Appropriate consumer involvement in research should be encouraged and facilitated by Macquarie University and its researchers. *The Macquarie Code* should be read in conjunction with the *Statement on Consumer and Community Participation in Health and Medical Research* (2002).

3. Researchers also have special responsibilities in research to other groups. *The National Statement on Ethical Conduct in Human Research* (2007, updated March 2014) provides guidelines for working with these groups, including:

    a. women who are pregnant and the human foetus;

    b. children and young people;

    c. people in dependent or unequal relationships;

    d. people highly dependent on medical care who may be unable to give consent;

    e. people with a cognitive impairment, an intellectual disability, or a mental illness;

    f. people who may be involved in illegal activities; and

    g. people in other countries.

9. Research Data, Materials and Records

1. Research data and records should be accurate, complete and in sufficient detail to enable verification of research results and to reflect what was communicated, decided or done;

2. Materials, as appropriate for the discipline and methodology – e.g. lab notes for chemical science work, audio recordings and samples for linguistics, field notes for anthropology must be retained to substantiate published claims and research results;

3. Hard and digital data must be recorded in a durable and retrievable form, be appropriately indexed and comply with relevant protocols;

4. Research data must be retained intact for a period of at least five years from the date of any publication which is based upon the data or longer if:

    a. discussion of results continues;

b. there are regulatory or sponsor requirements; or

c. the data has historical or archival value.

5. Where multiple data retention periods may be applicable to a data set the longer time period applies.

6. In the case of identified personal data, the consent obtained with regard to retention, confidentiality, access and reuse must be adhered to, and data must be retained and stored in accordance with any applicable approvals (e.g. ethics committee approvals). Confidential information must be kept in secure storage;

7. Where external service providers are used for a project and identified personal information is involved, the contract must include adequate safeguards for the security of the data and records and for notification of any breaches of their security;

8. Subject to ethical, contractual and legal limitations, researchers are encouraged to make available to other researchers data, records and materials for wider use;

9. Data forming the basis of publications must be available for discussion with other researchers; where confidentiality provisions apply, the data should be kept, where possible, in a way that allows reference by third parties without breaching confidentiality; and

10. When data are obtained from limited access databases, or via a contractual arrangement, written indication of the location of the original data, or key information regarding the database from which it was obtained, must be retained by the research worker.

11. While all researchers are responsible for data and materials management, the principal investigator of a research project is responsible for ensuring that data and materials are managed correctly for that project.

10. Authorship

1. For a person to be recorded as an author of an output requires that he or she is directly involved in the creation by making substantial contributions through a combination of the following criteria:

   a. conceiving or designing the project

   b. analysing and interpreting the data on which it is based; or

   c. writing or critically revising the intellectual content in the output.

2. In addition to the criteria in section 10.1 all authors must give final agreement to the version to be submitted for publication and retain a record of that agreement. Minor corrections (e.g. correction of typographical errors) to proofs may be managed by the corresponding author without the need for further agreement. However, substantial changes in content (e.g., new results, corrected values, and changes of title and authorship) are not allowed without the approval of all authors.

3. A person who has made a significant contribution to the work underpinning a publication, but does not meet any of the above criteria, should not be listed as an author.

4. The right to authorship is not tied to position or profession; ghost, gift, or honorary authorship is unacceptable. Authorship should honestly reflect contribution to the work being published.

5. Acquisition of funding, the collection of data, general supervision of the research group, provision of technical assistance or materials do not, by themselves, justify authorship.

6. Any part of an article that is critical to its main conclusion must be the responsibility of at least one author.

7. An author's role in a research output must be sufficient for that person to take public responsibility for at least that part of the output in that person's area of expertise.

8. No person who is an author, consistent with this definition, may be excluded as an author without her/his express permission in writing.

9. When there is more than one co-author of a research output,

    a. one co-author (by agreement amongst the authors) should be nominated as executive or corresponding author for the purposes of administration and correspondence; and

    b. the authors should discuss and reach an early agreement on the order in which authors shall be listed. A record of any agreements that are made must be kept.

10. Other persons who contributed to the work who are not authors should be named in the footnotes and/or in the Acknowledgements (where the publisher provides for this, and in a manner consistent with the norms of the research field or discipline). An author must ensure the work of cultural advisors, reference groups, students, research assistants and technical officers is recognised in a publication derived from research to which they have made a contribution. Individuals and organisations providing access to facilities, samples or reference collections must be fully acknowledged. Where individuals are acknowledged, their approval should be sought.

11. Subject to agreement with the publishes of the research output, if there are reasonable grounds to believe that a deceased person would have agreed to be an author, and the person meets the criteria for inclusion as an author, they should be so included. There should be an appropriate author information note indicating that the author is included posthumously. Similarly, if a deceased person meets the criteria for acknowledgement, and there is reasonable grounds to believe they would have agreed to be acknowledged, they should be so acknowledged.

12. All staff and students must comply with the University's *Academic Honesty Policy*. Staff and students must act with integrity in the creation, development, application and use of ideas and information. When the ideas or work of others are used, these ideas must be appropriately and accurately cited or acknowledged.

13. Researchers should comply with authorship conventions appropriate to their discipline. These requirements may vary according to discipline, journal requirements and funding provisions. Researchers should be familiar with international best practice in their discipline, for example *ICMJE: Roles & Responsibilities*.

11. Publication and Dissemination of Research Findings

1. There are many ways of disseminating research findings. Formal publication of the results of research will usually take place in academic journals or books, but this is not always the case. This section of *The Macquarie Code* applies to all forms of dissemination, including non-refereed publications, such as web pages, and other media such as exhibitions or films, as well as professional and institutional repositories.

2. Researchers must not deliberately include inaccurate or misleading information relating to research activity in research outputs, curriculum vitae, grant applications, job applications or public statements.

3. Researchers must ensure that published reports, statistics and public statements about research activities and performance are complete, accurate and unambiguous. In the event that a researcher becomes aware of unintentional misleading or inaccurate statements in their work, they must attempt to correct the record as soon as possible.

4. Publication of more than one research output of the same type (e.g. papers, books, multimedia presentations), or of different types with substantially similar content (e.g. a paper and a book chapter), on the same set(s) or subset(s) of data is not acceptable, except where each subsequent paper fully cross-references and acknowledges the earlier paper or papers (for example, in a series of closely related work, or where a complete work grew out of a preliminary publication).

5. Publication of the same material translated into different languages is acceptable provided the original source is fully acknowledged.

6. The publication of substantially similar work in more than one location is discouraged. An author who submits substantially similar work to more than one publisher must disclose this to the publishers at the time of submission. Copyright must be carefully considered in these circumstances.

7. Researchers must ensure that they maintain the confidentiality of any information to which they have been given access on a confidential basis and that consent and/or removal of any identifiers or sensitive information is in place prior to publication.

8. Publications must include information on the sources of financial support for the research and must include a disclosure of any potential conflicts of interest, if these occur. Financial sponsorship that carries an embargo on such naming of a sponsor should be avoided where possible, except with approval of the Deputy Vice-Chancellor (Research).

9. Researchers should, where possible, make the results of their research publicly accessible. Researchers must comply with the University's *Open Access Policy*.

10. Subject to any conditions imposed by the research sponsor, researchers should seek to communicate their research findings to a range of audiences, which may include the sponsor, professional organisations, peer researchers, policy makers and the community. Researchers may be interviewed by the media, invited to participate in debates, and approached by individuals for comment. Researchers should seek training in communicating with the media and the community.

11. When discussing the outcomes of a research project, special care should be taken to explain the status of the project — for example, whether it is still in progress or has been finalised.

12. To minimise misunderstanding about research outcomes, researchers should undertake to inform promptly those directly impacted by the research, including interested parties, before informing the popular media.

13. Confidentiality provisions to protect intellectual property rights may be agreed between Macquarie University and a sponsor of the research (see the University's *Intellectual Property Policy*). Researchers are nevertheless urged during negotiations to seek free publication of the results, regardless of whether they are seen as beneficial to the sponsor. Approval of the Deputy Vice-Chancellor (Research) must be obtained where such agreements limit free publication and discussion.

14. In the case of human research, potential participants in the research must be advised of any arrangements that might limit, delay or restrict the publication of the results prior to taking part in the research. Any of these arrangements must be disclosed to the Human Research Ethics Committee at the time of application and the disclosure to participants must follow the instructions of the committee.

15. The outcomes of research with a strong commercial element may have to be presented to a stock exchange or financial body before any public release.

16. Any restrictions on communications that have been agreed with the sponsor must be honoured.

17. Higher Degree Research Candidates are required to submit a digital copy of their thesis so that it may be added to the *Macquarie University Digital Thesis Collection* and included in *Macquarie University ResearchOnline*. Candidates must follow the *Digital Thesis Submission Guidelines*. If a candidate anticipates that another entity, such as a publisher, may in the future hold a copyright interest in the thesis material, it is recommended that a moratorium application be submitted to the Higher Degree Research Committee or a permission from the publisher for a copy to reside in *Macquarie University ResearchOnline* be requested. Restrictions must be approved by the Higher Degree Research Committee.

18. All staff must comply with the University's *Public Comment Policy* and *Social Media Guideline*.

12. Supervision of Students Undertaking Research

1. Supervision of Higher Degree Research Candidates must be carried out in accordance with the *Higher Degree Research Supervision Policy* and the *Higher Degree Supervision Procedure*.

2. The responsibilities of supervisors and students apply to the supervision and conduct of both undergraduate and postgraduate students at Macquarie University.

3. Supervisors must mentor their students with regard to the principles and requirements of *The Macquarie Code* and provide guidance in good research practice.

4. Supervisors must ensure the research methods and outcomes of research under their supervision are appropriate and valid.

5. Supervisors must ensure students receive appropriate acknowledgement for their work, including both publication and intellectual property (see the University's *Intellectual Property Policy*).

6. It is the responsibility of supervisors to ensure that a student's project has all necessary ethical and biosafety approvals prior to commencing research. If there is doubt about the need for approval, advice should be sought from Macquarie University Research Ethics and Integrity.

7. It is the responsibility of supervisors to ensure that procedures and training are in place to manage the safety of a student's project.

8. It is the responsibility of the primary supervisor to ensure the student's research data and materials are held with appropriate security and that data and materials are retained within the University for at least five years, or longer if necessary (See section 9, Research Data, Materials and Records).

9. The preparation, submission and examination of a Higher Degree Research Candidate's thesis must follow the *Higher Degree Research Thesis Preparation, Submission and Examination Policy* and the *Higher Degree Research Thesis Preparation, Submission and Examination Procedure*.

10. The appointment of independent thesis examiners should follow the guidelines set out in the Council of Deans and Directors of Graduate Studies in Australia (DDOGS) Conflict of Interest Guidelines.

11. The establishment of agreements for the supervision of cotutelle and joint-degree PhD candidates, and the conduct of such collaborations, should observe the principles of the *Singapore Statement on Research Integrity* and the *Montreal Statement on Research Integrity in Cross-Boundary Research Collaborations*.

    Note: While Macquarie University endeavours to observe the principles of these statements, any requirements of *The Macquarie Code* or the *Australian Code for the Responsible Conduct of Research* (2007) take precedence.

13. Conflict of Interest

1. Conflicts of interests occur when various personal, financial, political and academic concerns coexist and the potential exists for one interest to be illegitimately favoured over another that has equal or even greater legitimacy, in a way that might make other reasonable people feel misled or deceived. Research related conflicts of interest may apply to researchers and those who facilitate research funding with industry, philanthropic sources and government agencies.

2. Conflicts of interest in the research area are common and it is important that they are disclosed and dealt with properly. An individual researcher should therefore expect to be conflicted from time to time, and be ready to acknowledge the conflict and make disclosures as appropriate.

3. Examples of possible conflicts of interest in research include, but are not limited to, situations:

    a. where the research is sponsored by a related body;

    b. where the researcher or a related body may benefit, directly or indirectly, from any inappropriate dissemination of research results (including any delay in or restriction upon publication of such results);

    c. where the researcher or a related body may benefit, directly or indirectly, from the use of University resources;

    d. where the researcher conducts a clinical trial which is sponsored by any person or organisation with a significant interest in the results of the trial.

    e. where private benefits or significant personal or professional advantage are dependent on research outcomes.

        Note: A related body is any person or body with which the researcher has an affiliation or a financial involvement.

        A financial involvement includes a direct or indirect financial interest, provision of benefits (such as travel and accommodation) and provision of materials or facilities.

        An indirect financial interest is a financial interest or benefit derived by the researcher's relatives, personal or business associates, or students.

4. It is important to recognise that real or perceived opportunities to give preference to personal interests may routinely arise from competing obligations and can be other than financial.

5. The responsibility for managing a conflict of interest rests, in the first instance, with the individual. Researchers and those who facilitate research and research funding should assess their own situation to ascertain if a conflict of interest exists whenever there is potential for a perceived or actual conflict of interest.

6. All staff and students must make a full disclosure of a conflict of interest or of circumstances that might give rise to a perceived or potential conflict of interest as soon as reasonably practicable.

7. For the conduct of clinical trials, full disclosure must include the nature of the sponsorship and the relationships between the sponsor, trial participants and the clinical investigator.

8. Researchers have an obligation to disclose, at the point of proposing research (for example, in a grant application), any conflict of interest which has the potential to influence research and investigations, publication and media reports, grant applications, applications for appointment and promotion, or research commercialisation.

9. When a project requires ethical review, disclosure must also be made to the relevant ethics committee.

10. In the case of human research, disclosure may also need to be made to potential participants (and possibly any gatekeeper that controls access to that population). This should be determined by the relevant Human Research Ethics Committee.

11. In situations where a research project involves collaborating researchers, disclosure should be made to the other team members.

12. When publishing/reporting the results of a project, a disclosure should be included in the output and must at least be made to the relevant editor/publisher, and perhaps within the output itself.

13. Researchers must not make, or attempt to make, unlawful profits from their participation in, or knowledge of, research conducted at Macquarie University and must comply with Macquarie University's *Staff Code of Conduct* and/or *Student Code of Conduct*, whichever is applicable to the researcher.

14. Staff must comply with all provisions in the relevant Enterprise Agreement in relation to outside work (see the *Academic Staff Agreement* and/or the *Professional Staff Agreement*).

15. When deciding whether to accept sponsored research or contract research funding on behalf of the University, the Deputy Vice-Chancellor (Research) may seek information regarding disclosure and management of any conflict of interest that may result.

14. Peer Review

1. Peer review is the impartial and independent assessment of research by others working in the same or a related field.

2. Researchers in receipt of public funding have a responsibility to participate in the peer review process. Macquarie University encourages researchers to participate in peer review to provide public credibility to the reporting of research.

3. Researchers who are asked to participate in peer review should do so in an ethical, confidential and timely manner. Researchers should not agree to review any research for which they have a conflict of interest, or where the research is outside their area of expertise. In some circumstances, where there are limited numbers of potential reviewers with relevant expertise it may be unavoidable that a reviewer has some conflict of interest.

4. A conflict of interest must be disclosed to the person/organisation requesting the review either prior to accepting the request or as soon as the conflict of interest becomes apparent. The conflict of interest must then be taken into account.

5. Researchers whose research is being peer reviewed must not seek to influence the process or the outcomes.

6. Supervising researchers have a responsibility to assist trainee researchers in developing the necessary skills for peer review and understanding their obligation to participate.

15. Collaborative Research with Other Organisations

1. Macquarie University encourages collaborative research within and beyond the University, nationally and internationally.

2. Where an external research collaboration exists that requires a formal agreement, the agreement should cover:

    a. ownership of intellectual property (see the University's *Intellectual Property Policy*);

    b. ownership, location and access to the data and materials;

    c. confidentiality;

    d. identification and management of conflicts of interest;

    e. protocols for the dissemination of research outputs;

    f. sharing of commercial returns, and

    g. responsibility for ethics and research safety.

3. Researchers should keep a record of all negotiations with collaborators and any arrangements that are made. This record may take the form of copies of relevant email correspondence.

4. Researchers involved in a collaborative research project must familiarise themselves, and comply, with the written agreement governing the collaboration and all policies and agreements affecting the project.

5. Researchers must disclose to their collaborators, as soon as possible, any actual or apparent conflicts of interest relating to any aspect of a collaborative project.

16. Research Integrity Advisors

1. Macquarie University will appoint a network of experienced researchers to act as Research Integrity Advisors.

2. Research Integrity Advisors are people with research experience, wisdom, analytical skills, empathy, knowledge of the institution's policy and management structure, and familiarity with the accepted practices in research.

3. A sufficient number of Research Integrity Advisors will be appointed from across the University's faculties so that advice may be tailored to specific disciplines.

4. Macquarie University staff and students may seek advice from any Research Integrity Advisor and are not limited to an advisor in a particular faculty. In some cases, meeting an advisor from another Faculty may be more appropriate.

5. Research Integrity Advisors can provide advice on good research practices, and the application of *The Macquarie Code*.

6. Research Integrity Advisors can provide advice about questionable research practices and the process of making an allegation of a possible breach or possible research misconduct.

7. If an allegation is made, a Research Integrity Advisor must declare their involvement as an advisor to the Director, Research Ethics and Integrity.

17. Additional Requirements

1. Researchers must comply with any relevant laws, or any regulations, special standards of work performance and ethical conduct imposed by the law or Macquarie University. These are deemed to be included in *The Macquarie Code* in its application to researchers at Macquarie University.

2. Where research procedures are of a kind requiring approval by a human research or animal ethics committee, institutional biosafety committee or by a safety or other validly constituted regulatory committee, research must not proceed without prior approval. The conduct of that research must adhere to the terms of that approval.

3. Researchers should endeavour to safeguard the interests of all parties in relation to intellectual property in accordance with the University's *Intellectual Property Policy* and other guidelines as may be promulgated from time to time.

4. Every researcher should be provided with access to material on applicable institutional guidelines for the conduct of research, including those covering ethical requirements for human research and scientific work with animals, requirements for confidentiality, and occupational health and safety matters.

Part B: Resolving Allegations of Breaches or Research Misconduct

18. Definitions of Research Misconduct and a Breach

1. **Research misconduct** constitutes a failure to comply with *The Macquarie Code*, the *Australian Code for the Responsible Conduct of Research* (2007) or specific provisions of University policies governing the conduct of research by University researchers. Research misconduct includes intent and deliberation, recklessness or persistent negligence; and/or seriously deviates from accepted standards within the research and scholarly community for proposing, conducting or reporting research; and may have serious consequences.

    a. Examples of research misconduct include the following:

        i. Fabrication of data or results;

        ii. Falsification of data or results;

        iii. Plagiarism of data, results, or written outputs;

        iv. Redundant or duplicate publication of data, results, or written outputs;

v. Failure to declare or adequately manage risk to the safety of human participants, or the wellbeing of animals or the environment;

vi. Misleading ascription of authorship to a publication including listing authors without their permission, attributing work to people who did not contribute to the publication, omission of people eligible to be authors, lack of appropriate acknowledgement of work primarily produced by others;

vii. Failure to disclose conflicts of interest or cases where a conflict of interest might reasonably be perceived to exist;

viii. Falsification or misrepresentation to obtain funding;

ix. Wilfully conducting research without required ethics approval as required by the *National Statement on Ethical Conduct in Research Involving Humans* (2007 – updated March 2014) and the *Australian Code of Practice for the Care and Use of Animals for Scientific Purposes* (2013);

x. Wilfully conducting research that is not compliant with the *Gene Technology Act 2000* (Cth), the *Gene Technology Regulations 2001* (Cth), and any relevant guidelines issued by the Office of the Gene Technology Regulator; and

xi. Wilful concealment or facilitation of research misconduct by others.

b. Repeated or continuing breaches may constitute research misconduct. Where there has been previous counselling or specific direction, repeated or continuing breaches do constitute research misconduct.

c. Research misconduct does not include errors or differences in interpretation or judgment of data which are not dishonest, reckless or persistently negligent.

2. A **Breach** is an unintentional failure to comply with principles or specific provisions of University policies governing the conduct of research by University researchers. A breach does not include honest differences in the interpretation of data.

3. The definitions of research misconduct and breach in this document relate to the *Australian Code for the Responsible Conduct of Research* (2007) and do not influence or limit the definitions of similar concepts in other documents.

19. General Principles for Handling and Resolving Allegations

1. The handling of allegations of breaches of *The Macquarie Code* and/or the *Australian Code for the Responsible Conduct of Research* (2007) and of allegations of research misconduct at Macquarie University will be based upon the following principles:

a. The response to allegations will be fair, transparent and policy-based. The arrangements for handling alleged breaches of *The Macquarie Code* and/or *The Australian Code* and allegations of research misconduct are to be based upon the principles of procedural fairness, natural justice and transparency and will follow institutional policies.

b. The conduct of formal inquiries of alleged research misconduct should complement the academic misconduct, student misconduct and staff misconduct processes, not replace or conflict with them. Under normal circumstances, research misconduct inquiries would precede any inquiries undertaken under the relevant Enterprise Agreement.

c. Macquarie University is committed to the principle of natural justice (i.e. giving individuals the right to respond to specific allegations made against them). The University will not normally act on anonymous formal allegations lodged against individuals. However, anonymous allegations of research misconduct may be acted upon if they contain sufficient information to enable the assessment of the allegations and the credibility of the facts and evidence on which the complaint is based (i.e. without the need for further information from the source of the allegation).

d. Where an anonymous allegation is made the source of the allegation *will not*:

    i. be entitled to participate in the procedures set out in the framework.

    ii. receive notice of the status of the complaint or a report of the outcome of any inquiry or investigation conducted in respect of the complaint

    iii. be entitled to lodge an appeal against the procedure of the investigation

e. An anonymous allegation of a breach will not ordinarily initiate a formal review but, depending upon the specifics of the allegation, it may prompt professional development activities in the relevant area(s) or a review of processes.

f. In some cases a complainant (internal or external) may not wish to be identified as the source of an allegation or complaint. They may not wish the respondent, anyone involved in the review, or other third parties (e.g. the relevant head of the administrative unit) to know their identity. This might be because the complainant believes there will be recriminations if they are identified. If this is the case, everyone involved in the processing of the matter should, if possible, abide by the complainant's wishes. It should however be explained to the complainant that:

    i. there may be practical limitations to this confidentiality (e.g. if a party seeks access to their identity through legal action);

    ii. removing any information that might enable the complainant to be identified by inference, might limit the effectiveness of the review of the allegations; and

    iii. issues of natural justice may necessitate revealing the identity of the complainant to the respondent.

g. When a possible breach relates to a dispute between two or more researchers and whenever possible and appropriate, the parties to an allegation should be encouraged to reach a mutually agreeable resolution based upon a collegiate and cooperative approach prior to lodging a formal allegation.

h. The processing of alleged breaches and allegations of research misconduct must be conducted in a timely fashion, in good faith and honestly.

i. Any person involved in the handling of an allegation or complaint, who believes they might be perceived to have a conflict of interest, must declare this to the Director,

Research Ethics and Integrity so this can be appropriately addressed. If the Director, Research Ethics and Integrity has an actual or perceived conflict of interest it must be declared to the Deputy Vice-Chancellor (Research) so it can be addressed.

j. When appointing an inquiry panel to investigate alleged research misconduct, the Deputy Vice-Chancellor (Research) may draw upon suitably qualified people from both within Australia and internationally. In some instances international representation among panel members may be the most appropriate course of action to guarantee the independence of the inquiry panel.

k. The outcome of any formal inquiry must be reported to the parties making the allegation, to the respondent(s) and other stakeholders as appropriate.

l. The parties have the right to appeal against an inquiry into possible research misconduct on the basis of procedural matters (as defined in section 30). All appeals must be made in writing to the Chair, Academic Senate following the process set out in section 30. The parties also have the right to appeal to the Australian Research Integrity Committee in accordance with the *Australian Research Integrity Committee Framework* (2011).

m. The response to a breach should be proportional and aim to be remedial, focusing on professional development rather than punitive measures.

n. At all stages outlined in these processes, comprehensive records about all allegations, the processes followed and the outcome/resolution must be maintained by those conducting the mediation/inquiry. The originals must then be provided to the Director, Research Ethics and Integrity.

o. If at any time during the assessment of allegations or an inquiry, it becomes apparent that the allegation relates to a matter that should be dealt with under the *Reporting Wrongdoing: Public Interest Disclosures Policy*, the *Reporting Wrongdoing: Public Interest Disclosures Procedure* must be followed.

p. The University will not tolerate any reprisal action against staff who accurately and honestly report possible breaches or research misconduct. In assessing and dealing with reports of possible breaches or research misconduct, the University will consider the possibility of reprisal action and seek to minimise its occurrence. If a staff member is concerned about the possibility of reprisal action, they should raise the matter with the Director, Research Ethics and Integrity. Similarly, if any staff member is concerned that any action they need to take in the course of their role may be perceived to amount to reprisal action, they should consult the Director, Research Ethics and Integrity. Staff members who take detrimental action against an individual who accurately and honestly reports possible breaches or research misconduct may be disciplined by the University in accordance with relevant University policies and industrial instruments. Detrimental action means action causing, comprising or involving any of the following:

    i. injury, damage or loss;

    ii. intimidation or harassment;

    iii. discrimination, disadvantage or adverse treatment in relation to employment;

    iv. dismissal from, or prejudice in, employment; or

v. disciplinary proceedings.

q. Frivolous/vexatious/malicious allegations of either breaches or research misconduct will not be tolerated or investigated. Persons making such allegations may be the subject of disciplinary actions. In serious cases, or where the person is from outside Macquarie University, the matter may be referred to the police.

r. When investigating possible research misconduct in a cotutelle or joint degree PhD candidate research program, Macquarie University will endeavour to observe the principles of the OECD Global Science Forum, *Investigating Research Misconduct Allegation in International Collaborative Research Projects, A Practical Guide* (April 2009). However, any requirements of *The Macquarie Code*, or the *Australian Code for the Responsible Conduct of Research* (2007) are deemed to take precedence.

20. Receiving Allegations of a Breach or Possible Research Misconduct

1. Macquarie University does not limit the categories of persons who have standing to make an allegation.

2. A person considering making an allegation may discuss their concerns with a Research Integrity Advisor. The Research Integrity Advisor must explain that if they become aware of a possible breach or possible research misconduct the matter must be reported to the Director, Research Ethics and Integrity. As such initial discussion may be conducted in hypotheticals, the Research Integrity Advisor should explain to the person that it may not be possible to make an anonymous allegation. The Research Integrity Advisor may assist the person in preparing their allegation. The Research Integrity Advisor must declare to the Director, Research Ethics and Integrity, and if applicable the Executive Dean and/or the Deputy Vice-Chancellor (Research), their involvement as an Advisor.

3. Allegations of a possible breach or possible research misconduct must be received in writing, including email, by the Director, Research Ethics and Integrity.

4. The Director, Research Ethics and Integrity should make an assessment of whether the allegation:

   a. relates to a possible breach;

   b. relates to biosafety or the ethical conduct of research approved by a Macquarie University Ethics Committee;

   c. relates to possible research misconduct;

   d. relates to matters other than research;

   e. relates to a matter that should be dealt with under the *Reporting Wrongdoing: Public Interest Disclosures Policy*;

   f. is frivolous, vexatious or mischievous; or

   g. contains insufficient information, and more information is required in order to assess the nature of the allegation.

5. Where the assessment in section 20.4 concludes that the allegation relates to a possible breach, the process outlined in section 21 should be followed.

6. Where the assessment in section 20.4 concludes that the allegation relates to biosafety or the ethical conduct of research, the process outlined in section 22 should be followed.

7. Where the assessment in section 20.4 concludes that the allegation relates to possible research misconduct, the process outlined in section 23 should be followed.

8. Where the assessment in section 20.4 concludes that the allegation relates to matters other than research, the Director, Research Ethics and Integrity should refer the allegation to the appropriate department or office and inform the complainant about the status of their allegation. For example, matters of staff harassment or discrimination may be referred to Human Resources, matters of workplace safety may be referred to Health and Safety, or Higher Degree Research Candidate related matters may be referred to the Higher Degree Research Office.

9. Where the assessment in section 20.4 concludes that the allegation relates to a matter that should be dealt with under the *Reporting Wrongdoing: Public Interest Disclosures Policy*, the *Reporting Wrongdoing: Public Interest Disclosures Procedure* must be followed.

10. Where the assessment in section 20.4 concludes that the allegation is frivolous, vexatious or mischievous the allegation should be dismissed. The Director, Research Ethics and Integrity should notify the complainant that their allegation has been dismissed and outline the reasons for dismissal. If the Director, Research Ethics and Integrity forms the opinion that it is appropriate, the complainant should be referred to the appropriate University disciplinary process or the police.

11. Where the assessment in section 20.4 concludes that there is insufficient information to properly assess the nature of the allegation the Director, Research Ethics and Integrity should ask the complainant to provide further information. If the allegation has been made anonymously the Director, Research Ethics and Integrity may decide not to proceed with an investigation.

12. The Director, Research Ethics and Integrity should consider the suitability of briefing the Marketing Unit so that they are informed in the event of a media inquiry. Consideration should also be given to the suitability of briefing Human Resources.

13. The Director, Research Ethics and Integrity may seek confidential advice when making their assessment of the allegation. For example, from the Office of the General Counsel.

21. Investigation and Resolution of a Possible Breach

1. Where an allegation relates to a possible breach, the Director, Research Ethics and Integrity should refer the allegation to the relevant Executive Dean in writing. If the respondent is not a member of a faculty, the allegation should be referred to the relevant Head of Office who assumes the role of the Executive Dean in this process.

2. In the event that the Executive Dean or Head of Office is party to the allegation, the matter should be referred to the Deputy Vice-Chancellor (Research).

3. The Executive Dean may appoint a delegate to deal with the allegation in the first instance. If appointed, the delegate must declare any conflicts of interest, such as having provided advice, to either the complainant or the respondent, relating to the subject of the allegation. The delegate may be a staff member with suitable authority, knowledge and experience, such as an Associate Dean (Research), an Associate Dean (Higher Degree Research) or a Head of Department.

4. The terms of reference for investigating a possible breach will be determined through agreement between the Executive Dean and the Director, Research Ethics and Integrity on a case by case basis. In general, the terms of reference should include investigating the facts surrounding the allegation and reporting on the facts and any recommended remedial actions to resolve the alleged breach.

5. The delegate should review the evidence in the allegation and may seek further information from the complainant and/or relevant others.

6. The delegate must make an assessment of the allegation, and must consult with the Director, Research Ethics and Integrity, to decide whether:

    a. there is a prima facie case for a possible breach; or

    b. that no breach has occurred.

7. Where the assessment in section 21.6 concludes that no breach has occurred, the delegate should inform both the complainant and respondent of their decision in writing. A copy of the decision must be forwarded to the Director, Research Ethics and Integrity.

8. Where the assessment in section 21.6 concludes that a possible breach has occurred:

    a. The delegate should write to the respondent outlining their view of the possible breach, then meet with the respondent to discuss the possible breach.

    b. At the meeting the respondent should be given a reasonable opportunity to respond to the details of the allegation, as well as an opportunity to provide a written response no later than five days following the meeting.

    c. Following the response the delegate will determine and advise the respondent if the view originally formed is still valid, and if so what improvements are required to prevent any further breaches. The delegate may seek confidential advice to decide on suitable actions for improvement.

    d. Where reasonable, the respondent should be provided with training and/or professional development.

    e. The respondent will be given a reasonable period of time, not normally more than three months, to improve in those areas identified as being necessary.

9. The respondent is entitled to be accompanied to any meeting by a support person; however, there should not be legal representation. The respondent and their support person may withdraw to consult if required. The support person may participate in the meeting but may not answer for the respondent.

10. At the end of the period specified in section 21.8.e the delegate will meet with the respondent and review their performance. Following that review:

    a. where the delegate determines that the work of the respondent no longer constitutes a breach, it will be recorded and no further action will be taken. Copies of the decision will be provided to the respondent and to the Director, Research Ethics and Integrity; or

    b. where the delegate determines that the work of the respondent continues to constitute a breach, the delegate will:

        i. make a report to the relevant Executive Dean within five working days of meeting with the respondent; and

        ii. provide a copy of the report to the respondent and to the Director, Research Ethics and Integrity.

11. If at any time during the process the Executive Dean or their delegate determines that all aspects of the respondent's work no longer constitute a breach, the Executive Dean or their delegate will inform the respondent in writing that the breach has been resolved and no further action will be taken. A copy of the decision will be provided to the Director, Research Ethics and Integrity.

12. Where the delegate forwards a report to the Executive Dean, the respondent may provide a written response to the Executive Dean. Any response by the respondent must be provided within five working days of the respondent receiving the report specified in section 21.10.b.

13. The Executive Dean:

    a. will review the report and any response from the respondent;

    b. may seek further information from the respondent or the delegate regarding the report or the response from the respondent; and

    c. will, if requested by the respondent, seek input from up to three colleagues nominated by the respondent in the Faculty or Office in which the respondent works, and give them a reasonable opportunity to provide such input.

14. Having regard to the report and any further information obtained in the process referred to in section 21.13, the Executive Dean will either:

    a. refer the matter back to the delegate for a further review period, which, depending on the circumstances, shall not normally be more than three months, with directions to which the delegate must comply before the matter is referred back to the Executive Dean to be dealt with under this sub clause; or

    b. determine that all aspects of the respondent's work no longer constitute a breach and no further action will be taken. The Executive Dean will provide a report in writing to the respondent, the delegate and Director, Research Ethics and Integrity; or

    c. refer the matter to the Director, Research Ethics and Integrity as a case of possible research misconduct.

15. If at any time during the process outlined in section 21 the delegate or the Executive Dean forms the opinion that there is a prima facie case of possible research misconduct, or that there is a risk of corporate exposure, the matter must be referred to the Director, Research Ethics and Integrity.

16. The delegate, in consultation with the Director, Research Ethics and Integrity and/or the Executive Dean, should consider if, in order to reduce the likelihood of future breaches:

    a. training for the department's or faculty's researchers is required; and/or

    b. new or modified processes for the department or faculty are required.

22. Investigation of an Allegation Relating to Biosafety or the Ethical Conduct of Research Approved by a Macquarie University Ethics Committee

1. Where an allegation relates to biosafety or the ethical conduct of research approved by a Macquarie University Ethics Committee, the Director, Research Ethics and Integrity should refer the allegation to the chair of the appropriate committee in writing.

2. The Biosafety or Ethics Committee should conduct an inquiry into the matters raised in the allegation at the soonest practical time, in accordance with the terms of reference for that Committee.

3. The Committee inquiry may only make findings of fact in relation to the allegation.

4. The Committee inquiry should provide a written report to the Director, Research Ethics and Integrity.

5. If the Committee forms the opinion that a breach or research misconduct may have occurred it must refer the allegation to the Director, Research Ethics and Integrity for investigation.

23. Investigation of Possible Research Misconduct

1. Where an allegation relates to possible research misconduct, the Director, Research Ethics and Integrity must refer the allegation to the Deputy Vice-Chancellor (Research) in writing.

2. In the event that the Deputy Vice-Chancellor (Research) is a party to the allegation, the Vice-Chancellor must appoint another person to follow the procedure outlined.

3. The Deputy Vice-Chancellor (Research) may consult with the Director, Research Ethics and Integrity, the Higher Degree Research Office, Human Resources and the Office of the General Counsel when considering the most appropriate response to the allegation.

4. The Deputy Vice-Chancellor (Research) may respond to the allegation by:

    a. Advising the relevant Department or Faculty in an appropriate course of action and review process.

b. Establishing an internal inquiry into the allegation.

c. Establishing an external inquiry into the allegation.

d. Determining that the allegation is frivolous, vexatious or mischievous.

5. Where the allegation of possible research misconduct relates to the conduct of a student (including a Higher Degree Research Candidate) the matter should be dealt with via an internal inquiry unless other direction is given by the Deputy Vice-Chancellor (Research).

6. The parties to the allegation should be notified promptly in writing of the course of action to be taken by the Deputy Vice-Chancellor (Research). A copy of this correspondence should be forwarded to the Director, Research Ethics and Integrity.

7. If necessary, the Deputy Vice-Chancellor (Research) should take all appropriate actions to secure all relevant documents and evidence relating to the allegation.

8. The Deputy Vice Chancellor (Research) should consider the need to notify relevant parties of the existence of allegations, and take appropriate actions. The Deputy Vice-Chancellor (Research) should consider the risk to the University, others associated with the research and any reporting obligations. A non-exhaustive list of potential relevant parties is included in section 29.

9. The Deputy Vice-Chancellor (Research) or their delegate may notify the Director, Human Resources, of the course of action to be taken, and if appropriate provide any necessary information to Human Resources.

10. The Deputy Vice-Chancellor (Research) or their delegate may notify the Director, Higher Degree Research Office of the course of action to be taken, and if appropriate provide any necessary information to the Higher Degree Research Office.

11. The Deputy Vice-Chancellor (Research) or their delegate should consider briefing the Marketing Unit so that they are informed in the event of a media inquiry.

24. An Internal Institutional Research Misconduct Inquiry

1. If the Deputy Vice-Chancellor (Research) determines that the allegations should be referred to an Internal Institutional Research Misconduct Inquiry (Internal Institutional RMI), she/he will appoint an Internal Institutional RMI in accordance with section 24.2. The Internal Institutional RMI will convene within 15 working days of its appointment.

2. The Internal Institutional RMI will comprise at least three persons, one of whom shall be appointed the Chair by the Deputy Vice-Chancellor (Research). The panel will:

   a. consist of at least one member with knowledge and experience in the relevant field of research;

   b. consist of at least one member who is familiar with the responsible conduct of research;

   c. consist of at least one member who has experience on similar panels, or has relevant experience or expertise;

d. be comprised of either, exclusively Macquarie University staff or a combination of Macquarie University staff and external members. It shall not however be exclusively external members;

e. for Higher Degree Research Candidate matters, consist of the Director, Higher Degree Research Office and the Dean, Higher Degree Research and at least one other member;

f. where the matter relates to research with Aboriginal and Torres Strait Islander peoples, include at least one member with relevant experience and knowledge of research with Aboriginal and Torres Strait Islander peoples; and

g. declare any relevant expert knowledge held by members of the panel to the respondent.

3. The terms of reference of the Internal Institutional RMI are to report to the Deputy Vice-Chancellor (Research) on the facts relating to the alleged research misconduct and any mitigating circumstances raised by the respondent in their response. The Internal Institutional RMI is to make a finding of fact to determine if there has been a failure to comply with *The Macquarie Code*.

4. During the proceedings of the inquiry the respondent is entitled to be accompanied to any meeting by a support person; however, there should not be legal representation. The respondent and their support person may withdraw to consult if required. The support person may participate in the meeting but may not answer for the respondent.

5. If, during the course of an inquiry, the Internal Institutional RMI discovers that the potential extent of the allegations are more serious than originally thought it must provide an interim report to the Deputy Vice-Chancellor (Research). The Deputy Vice-Chancellor (Research) may choose to disband the internal inquiry and establish an external inquiry.

6. The inquiry will follow the process set out in section 26.

25. An External Independent Research Misconduct Inquiry

1. If the Deputy Vice-Chancellor (Research) determines that the allegations should be referred to an External Independent Research Misconduct Inquiry (External Independent RMI), she/he will appoint an External Independent RMI in accordance with section 25.2. The External Independent RMI will convene within 20 working days of its appointment.

2. The External Independent RMI will comprise at least three persons, one of whom shall be appointed the Chair by the Deputy Vice-Chancellor (Research). The panel will:

   a. consist of at least one member who is legally qualified or has extensive experience as a member of a tribunal or similar body;

   b. consist of at least one member who has knowledge and research experience in a relevant, related field of research, but not directly in the research area of the allegations;

   c. where the matter relates to research with Aboriginal and Torres Strait Islander peoples, include at least one member with relevant experience and knowledge of research with Aboriginal and Torres Strait Islander peoples;

d. not include members who are employed by Macquarie University, have current or recent dealings with Macquarie University, or otherwise be subject to a reasonable perception of bias; and

e. declare any relevant expert knowledge held by members of the panel to the respondent. Experts in the research field should be called as witnesses to the inquiry, not as panel members. This will allow the person to be questioned by both the panel and the respondent.

3. The terms of reference of the External Independent RMI are to report to the Deputy Vice-Chancellor (Research) on the facts relating to the alleged research misconduct and any mitigating circumstances raised by the respondent in their response. The External Independent RMI is to make a finding of fact to determine if there has been a failure to comply with *The Macquarie Code*.

4. The External Independent RMI should be assisted by a legally qualified person acting as 'counsel assisting'. The role of counsel assisting is to prepare the material to be put to the inquiry and to question the witnesses on behalf of the panel. The counsel assisting is not a member of the inquiry panel but may provide the panel with legal advice during the hearing. The Deputy Vice-Chancellor (Research) may appoint a suitably qualified University staff member or an external person as counsel assisting. However, counsel assisting should not be the University General Counsel.

5. The respondent is entitled to engage their own legal representation during the inquiry.

6. The University may appoint a representative who may attend interviews conducted by the inquiry, but is not a member of the panel.

7. The respondent and the University's representative may attend all interviews conducted by the inquiry.

8. The inquiry panel may provide the respondent and the University's representative with an opportunity to ask questions of interviewees whose interview they attend.

9. Whether the hearings of an External Independent RMI are open to the public or conducted in private should be determined by the panel itself on the basis of public interest. The panel has the responsibility to hear the views of all parties on this matter before such a decision is made.

10. The Inquiry will follow the process set out in section 26.

26. The Research Misconduct Inquiry Process

1. The inquiry will:

   a. allow the respondent a reasonable opportunity to attend an interview and provide him/her the opportunity to respond to the allegations;

   b. make all reasonable efforts to interview any person, and review any evidence, it thinks fit to establish the facts of the particular case;

c. provide the respondent and the University with a reasonable opportunity to make submissions and present evidence to the inquiry;

d. conduct the investigation as expeditiously as possible consistent with the requirements of this procedure;

e. take into account other material or information it believes is relevant to the case;

f. declare any conflicts of interest that may arise immediately to the panel and as soon as practical to the Deputy Vice-Chancellor (Research) in writing. The Deputy Vice-Chancellor (Research) should then consider the best course of action to manage the conflict of interest;

g. if it forms the opinion that a matter relates to a matter that should be dealt with under the *Reporting Wrongdoing: Public Interest Disclosures Policy*, follow the *Reporting Wrongdoing: Public Interest Disclosures Procedure*; and

h. keep a record of proceedings.

2. Prior to finalising their report, the inquiry will provide the respondent with an opportunity to examine, comment upon the inquiry's draft report. The respondent shall be given a period of five days from receiving the draft report to provide comment. The report provided to the Deputy Vice-Chancellor (Research) may be accompanied by any written rebuttal or observations the respondent may wish to make; and

3. Once finalised, the inquiry will provide a report of its findings and a copy of proceedings to the respondent, complainant and to the Deputy Vice-Chancellor (Research) within ten working days of completion of the proceedings. A copy should also be forwarded to the Director, Research Ethics and Integrity.

27. Subsequent Actions on Completion of an Inquiry

1. The Deputy Vice-Chancellor (Research) will review the findings of the inquiry panel and:

   a. advise the relevant Office, Department or Faculty in an appropriate course of action and review process;

   b. make a recommendation to the Higher Degree Research Office;

   c. make a recommendation to Human Resources to consider appropriate actions; or

   d. dismiss the original allegations on the grounds that there was no research misconduct.

2. The Deputy Vice-Chancellor (Research) will advise the respondent, complainant and the Director, Research Ethics and Integrity of his/her decision in 27.1 in writing.

3. The respondent, complainant or the University may appeal against the inquiry on the basis of procedural matters in writing to the Chair, Academic Senate following the procedures set out in section 30.

4. Where allegations are shown to be unfounded, the Deputy Vice-Chancellor (Research) should consider if there is a need to reinstate the good reputation of the accused researcher and their associates, and take appropriate action.

5. The Deputy Vice-Chancellor (Research), in consultation with the Director, research Ethics and Integrity and/or the relevant Dean, should consider if, in order to reduce the likelihood of future breaches or research misconduct:

    a. training for the department's or faculty's researchers is required; and/or

    b. new or modified processes for the department or faculty are required.

6. The Director, Research Ethics and Integrity, should consider the need to notify relevant parties of the outcome of the inquiry process and take appropriate action. A non-exhaustive list of potential relevant parties is included in section 29.

28. Record Keeping

1. Records must be kept of all steps in this process.

2. Copies of all records must be provided to the Director, Research Ethics and Integrity in a timely manner.

3. The Director, Research Ethics and Integrity is responsible for maintaining a record of all alleged breach, ethical, biosafety and research misconduct processes.

4. The Director, Research Ethics and Integrity should consider making suitably redacted information available to the public via sources such as the University website.

29. Notification of Parties

1. The administration of the arrangements discussed above should be open, transparent, inclusive, timely and honest. Listed below are typical stakeholders who should be kept informed at various stages of the process. It may not be necessary, or indeed appropriate to always contact all of these parties, but it should be considered. This list is not exhaustive.

    a. All the members of the respondent research team (and supervisory team for Higher Degree Research Candidate research);

    b. The source of the complaint/allegation;

    c. The relevant Head of Department or Head of Office;

    d. The relevant Executive Dean;

    e. The funding body;

    f. The relevant ethics and/or biosafety committee;

g. The site or the body with duty of care/governance responsibilities relevant to the research;

h. Any clinical trials associated with the research;

i. The editor/contact for where the research outputs have been published/reported;

j. Any regulatory body with direct interest in the project/complaint; and

k. Any research participants directly affected by the dispute.

2. The Deputy Vice-Chancellor (Research) should consider the public interest when dealing with the media. The Deputy Vice-Chancellor (Research) may consult with the inquiry panel when preparing information for the media. If a statement is made to the media during an inquiry a similar statement should be made at the conclusion of the inquiry detailing the findings of the inquiry, whether or not the allegations were substantiated. These media releases should be made available on the University website.

30. Appeals

1. An appeal is valid only if it is made in accordance with these appeal procedures and demonstrates to the Chair, Academic Senate that the published *Investigation of Possible Research Misconduct* process was not followed in relation in the relevant case and that this failure had a material effect on the findings of the inquiry.

2. An appeal on the basis of procedural matters may be lodged following the receipt of the final report and proceedings from the inquiry at section 26.3.

3. An appeal may be lodged up to ten working days following the date of receiving the report and proceedings from the inquiry.

4. An appeal may be lodged by the respondent, the complainant or the University.

5. An appeal must detail in writing the reasons that may demonstrate that the inquiry failed to follow the procedures set down, that this failure had a material effect on the findings of the inquiry, and that, as a consequence, the inquiry should be reconvened.

6. Appeals must be lodged in writing to the Chair, Academic Senate.

7. The Chair, Academic Senate may:

   a. consider appeals against the *Investigation of Possible Research Misconduct* process;

   b. receive from the Deputy Vice-Chancellor (Research) the report and proceedings of the inquiry panel;

   c. request written statements from the applicant, Chair of the inquiry panel and any other person he/she considers relevant to the conduct of the appeals process;

   d. review all documentation submitted to the him/her;

e. determine whether or not the University's procedures were followed in each case;

f. make a written determination to the Deputy Vice-Chancellor (Research), giving reasons as to why the appeal is to be:

i. dismissed; or

ii. upheld.

8. If the appeal is upheld the Deputy Vice-Chancellor (Research) may either refer the case back to the original inquiry panel to be reheard, or establish a new inquiry panel to hear the case following the procedures in section 23.

9. The parties also have the right to appeal to the Australian Research Integrity Committee in accordance with the *Australian Research Integrity Committee Framework* (2011).

31. External Inquiries

1. Processes instituted under *The Macquarie Code* may need to be suspended on procedural fairness grounds, or other grounds, should there be an external criminal, civil or other administrative tribunal inquiry into the same factual matters as those alleged to constitute research misconduct
2. The Deputy Vice-Chancellor (Research) or their delegate may, after any such external inquiry is completed, and where it remains feasible to do so, consider and complete the research misconduct inquiry.

32. Collaborative Research and Research Conduct Whilst Not a Researcher at Macquarie University

1. Where the allegations of research misconduct appear to involve collaboration between employees of more than one organisation, the Deputy Vice-Chancellor (Research) or their delegate may agree with the other relevant organisations that a joint investigation and inquiry be held. The procedures for the joint investigation and inquiry shall be agreed in writing, and shall substitute for the procedures set out in *The Macquarie Code*.
2. Macquarie University will, as far as possible, cooperate when investigating allegations of research misconduct arising from research collaborations across institutions (including non-university research organisations) - sharing information and limiting duplication.
3. If the alleged research misconduct occurred when the Macquarie University researcher was a student at or employed by another institution, the allegations will be passed to that other institution for investigation and appropriate action.
4. In the case of an allegation, or proven research misconduct, involving a researcher when employed or a student elsewhere, the Deputy Vice-Chancellor (Research) or their delegate may investigate the conduct of the researcher to satisfy Macquarie University that there has been no research misconduct while under the auspices Macquarie University. Macquarie University will provide all reasonable assistance to assist any inquiry established by the previous institution.

33. Termination of Employment or Education Prior to the Completion of an Inquiry or Investigation

1. The termination, expiration or completion of the respondent's employment or candidature will not affect the procedures of *The Macquarie Code*.
2. If the respondent refuses to participate in the process after leaving Macquarie University, the inquiry panel will use its best efforts to reach a conclusion concerning the allegations, noting in its report the respondent's failure to cooperate and its effect on the panel's review of the evidence.

Notes

34. Contact Officer

Director, Research Ethics and Integrity.

35. Date Approved

To be determined.

36. Approval Authority

The Deputy Vice-Chancellor (Research)

37. Date of Commencement

To be determined.

38. Date for Next Review

1 year from commencement.

39. Related Documents

Macquarie University Documents

Academic Honesty Policy

Academic Staff Agreement

Digital Thesis Submission Guidelines

Higher Degree Research Thesis Preparation, Submission and Examination Policy

Higher Degree Research Thesis Preparation, Submission and Examination Procedure

Higher Degree Research Supervision Policy

Higher Degree Supervision Procedure

Intellectual Property Policy

Macquarie University Ethics Statement

Open Access Policy

Professional Staff Agreement

Public Comment Policy

Reporting Wrongdoing: Public Interest Disclosures Policy

Reporting Wrongdoing: Public Interest Disclosures Procedure

Staff Code of Conduct

Student Code of Conduct

Social Media Guideline

External Documents

Australian Code for the Responsible Conduct of Research (2007)

Australian Code of Practice for the Care and Use of Animals for Scientific Purposes (2003)

Australian Research Integrity Committee Framework (2011)

Council of Deans and Directors of Graduate Studies in Australia (DDOGS) Conflict of Interest Guidelines

Gene Technology Act 2000 (Cth)

Gene Technology Regulations 2001 (Cth)

Guidelines for Ethical Research in Australian Indigenous Studies (2012)

ICMJE: Roles & Responsibilities

Keeping research on track: a guide for Aboriginal and Torres Strait Islander peoples about health research ethics (2006)

Montreal Statement on Research Integrity in Cross-Boundary Research Collaborations

Singapore Statement on Research Integrity

Statement on Consumer and Community Participation in Health and Medical Research (2002)

The National Statement on Ethical Conduct in Human Research (2007, updated March 2014)

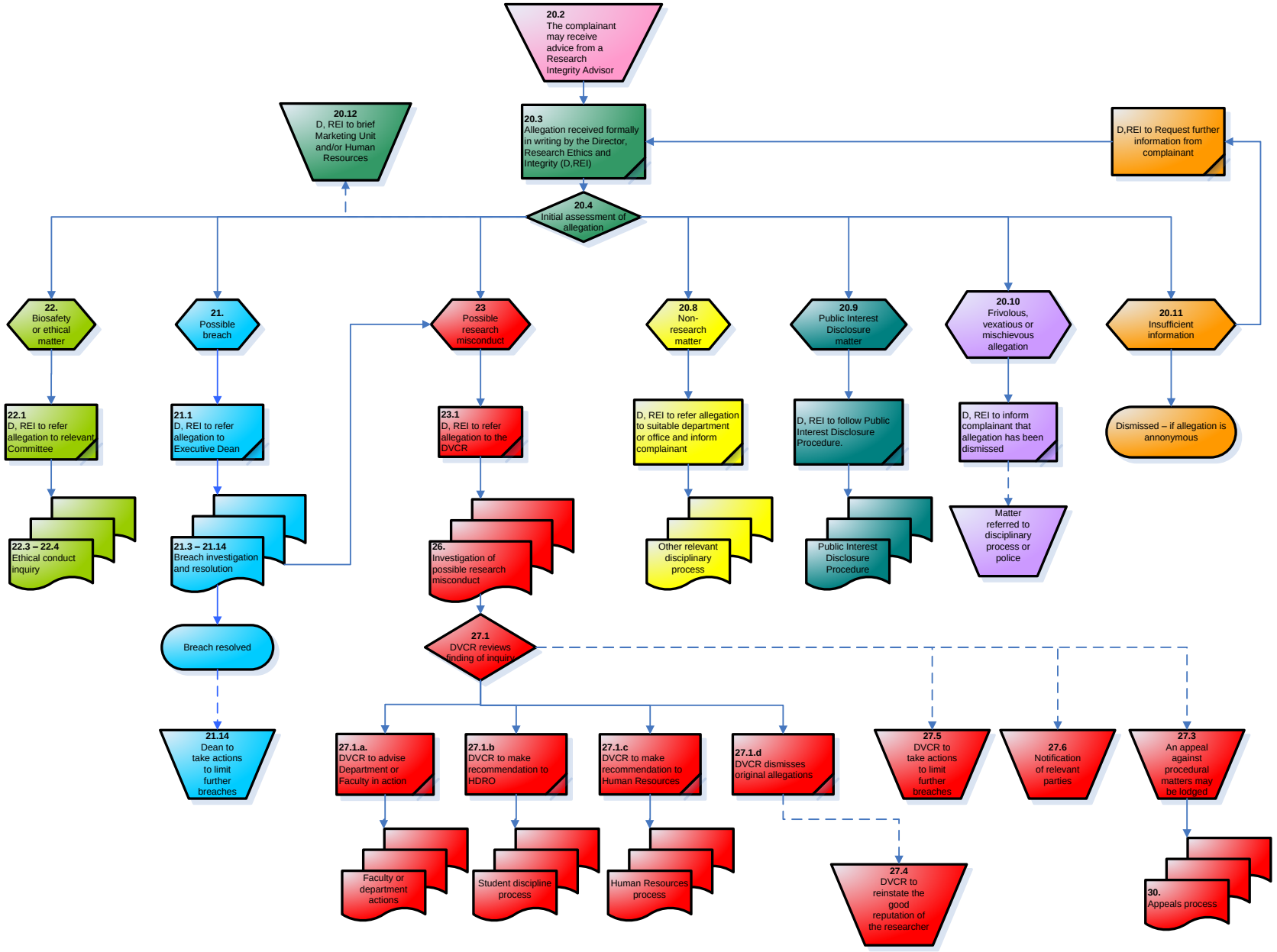
Values and Ethics - Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research (2003)

40. Keywords

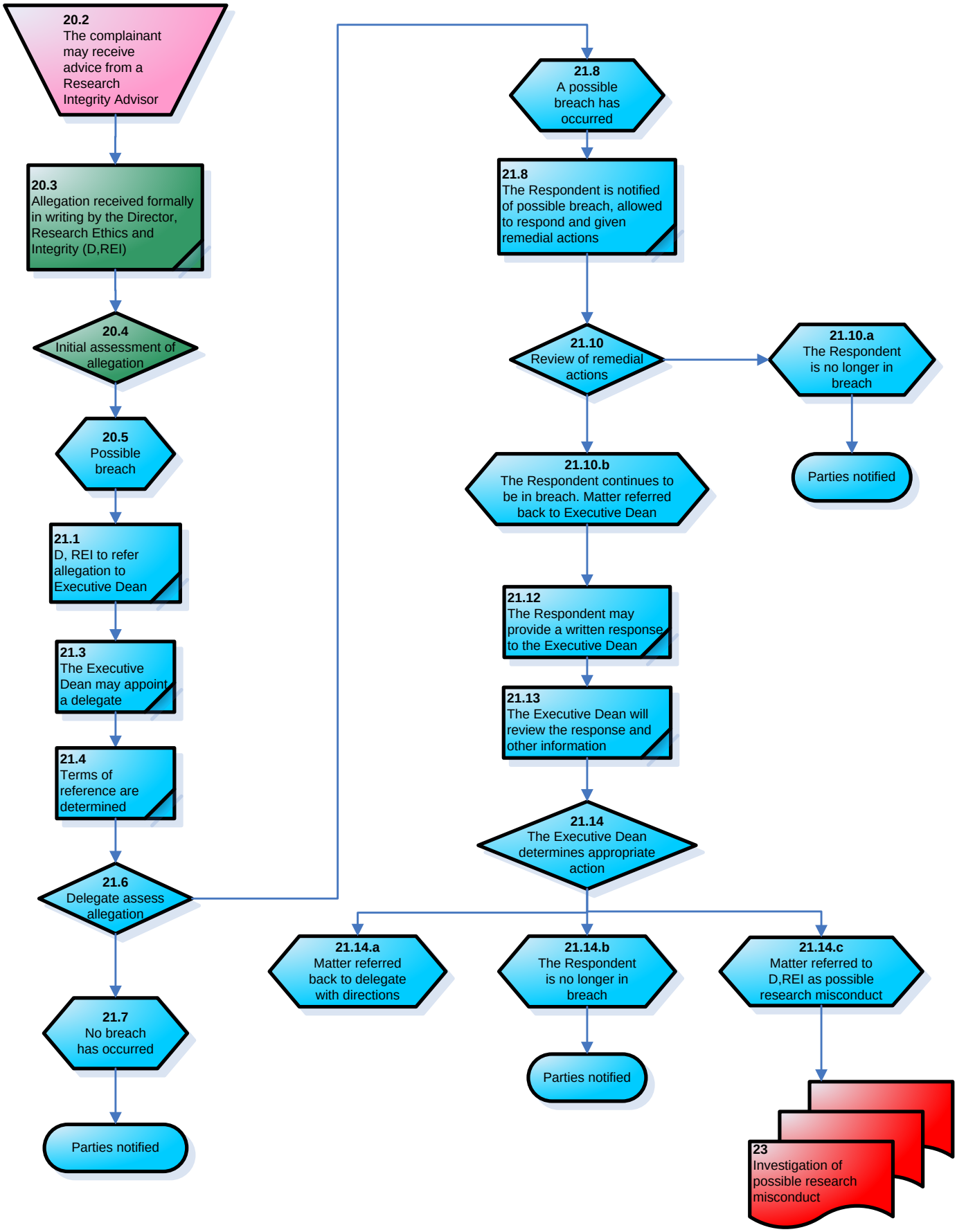
Authorship; Breach; Collaboration; Conflicts of Interest; Data; Dissemination; Integrity; Materials; Peer Review; Publication; Research; Research Integrity Advisor; Research Misconduct; Research Misconduct Inquiry; Researchers; Responsible Conduct of Research; Responsible Research; Special Responsibilities; Supervision

Appendix

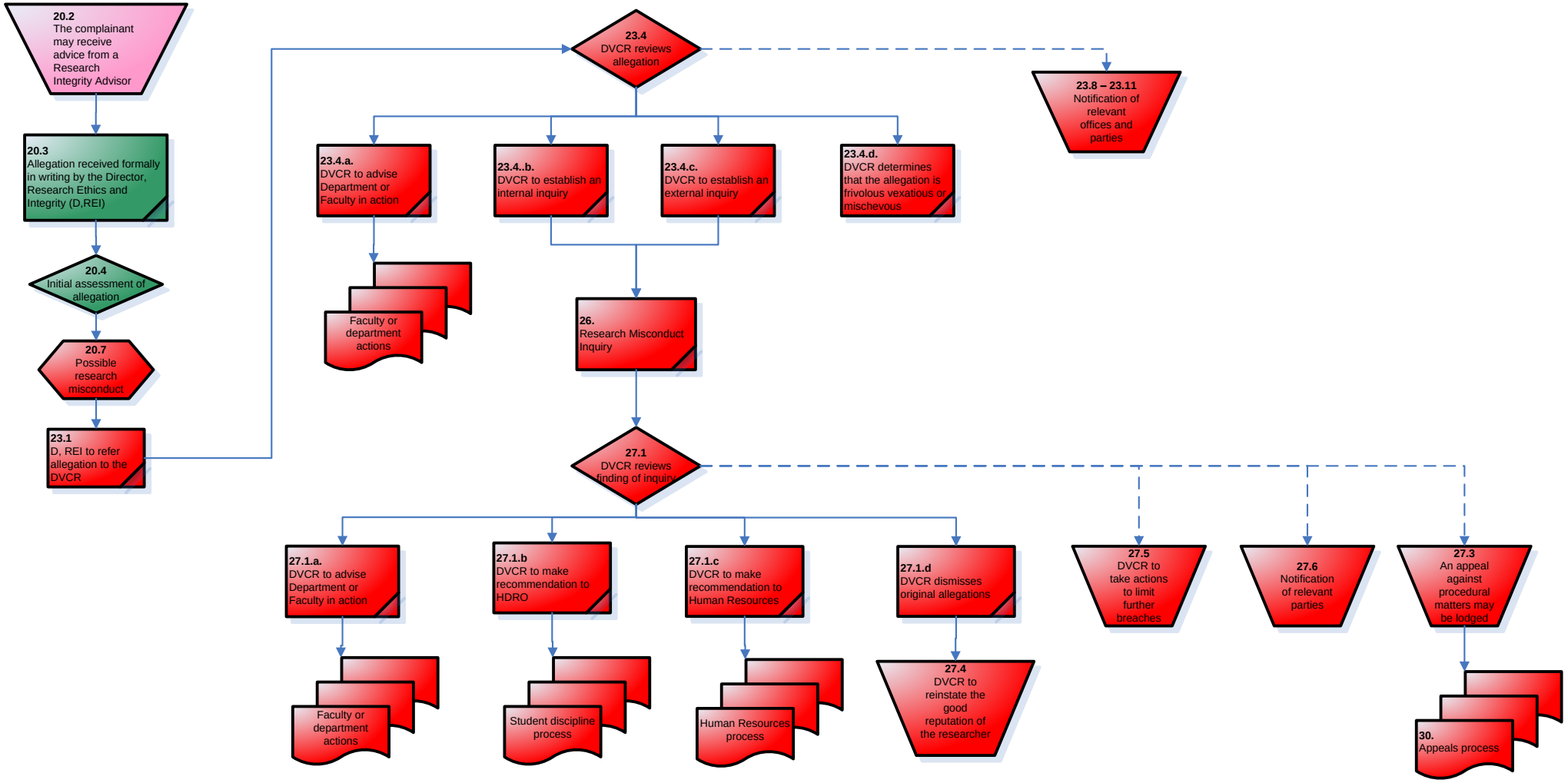
41. Pathway for investigating alleged breaches and research misconduct



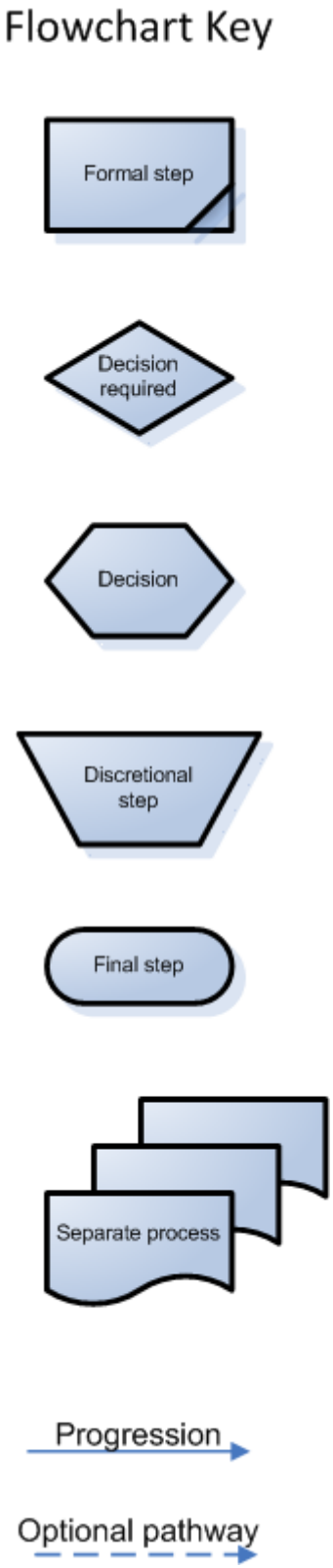
42. Investigation and resolution of a possible breach



43. Investigation of possible research misconduct



44. Flowchart Key



ITEM 7.4: STUDENT DISCIPLINE POLICY

On April 10 2014, the University Council approved the Student Discipline Rule. (Resolution 14/21).

The General Counsel has drafted a Student Discipline Policy which will support the implementation of the Student Discipline Rule. The Student Discipline Rule and Policy will be implemented for Session 1 2015.

A Working Group of the Academic Senate has reviewed the draft Policy and provides the attached feedback for the information of members.

The Chair of Academic Senate will report on the timeframe and key milestones for the implementation of the Student Discipline Rule.

For discussion.

STUDENT DISCIPLINE

POLICY

2014

[final version #1]

Office of General Counsel
Building E11A/211
Macquarie University NSW 2109

TABLE OF CONTENTS

STUDENT DISCIPLINE POLICY

Part 1 – Introduction

1. Purpose of this policy

The purpose of this policy is to set out the procedure for making and dealing with allegations of Misconduct by Students.

2. Status of this policy

This policy is made by the Vice-Chancellor and is binding on all Students, Student Organisations and Staff Members.

3. Policy Commencement Date

This policy commences on [ ] 2014.

4. Dictionary of defined terms

The dictionary at the end of this policy is part of this policy.

[Note: The dictionary defines certain terms used in the policy.

A definition in the dictionary applies to all of this policy unless a contrary intention appears.

Terms defined in the dictionary are identified in this policy by having an upper case first letter.]

Part 2 – Summary Suspension of Students

5. Emergency Suspension of a Student

The Registrar may Suspend a Student for any period the Registrar thinks appropriate if the Registrar is satisfied that:

(a) the behaviour of the Student amounts to Misconduct; or
(b) there is an imminent threat of Misconduct by the Student,

and the Registrar is satisfied that it is necessary:

(c) to ensure the physical safety or wellbeing of the University Community or a specific person, because of the nature and seriousness of the Misconduct; or
(d) to prevent any substantial damage to any property of any person;
(e) to prevent any substantial interference with any University Activity.

6. Removal of a Student for disruptive behaviour

The Registrar may direct a Student to leave any University Premises or cease taking part in a University Activity for any period the Registrar thinks appropriate if the Registrar is satisfied that:

(a)
(i) the behaviour of the Student amounts to Misconduct; or
(ii) there is an imminent threat of Misconduct by the Student; and

(b) the Student has interfered with any University Activity to a substantial extent or that it is necessary to prevent any substantial interference with any University Activity.

[Note: The Registrar need not personally do anything contemplated by this policy but may authorise others to do so on the Registrar's behalf.]

7. Hearing not required

The Registrar may take action under clause 5 or clause 6 without first giving the Student [a hearing or an opportunity to make submissions] if the Registrar is satisfied that to first give a hearing or an opportunity to make submissions is not compatible with:

(a) the physical safety or wellbeing of the University Community or a specific person; or
(b) the conduct of a University Activity without substantial interference; or
(c) the protection of any University Property or of any property of any member of the University Community.

8. Suspension or removal does not prevent subsequent disciplinary action

Any action taken under clause 5 or clause 6 against a Student does not prevent any subsequent action against the Student in respect of any Misconduct.

Part 3 - Making of Misconduct Allegations and preliminary procedures

9. How to make a Misconduct Allegation

(1) Any Staff Member or Student may make a Misconduct Allegation against a Student.

(2) A Misconduct Allegation must:

(a) be made to the Registrar; and
(b) be in writing; and
(c) contain details of the alleged Misconduct.

(3) The Registrar may require the Complainant to:

(a) provide further details of the Misconduct Allegation; and
(b) verify by statutory declaration any details of the Misconduct Allegation.

[Note : A statutory declaration is a type of written statement that allows a person to declare something to be true.

If a person intentionally makes a false statement in a statutory declaration, that person can be charged with a criminal offence.]

(4) A Misconduct Allegation may be dealt with under this policy notwithstanding that it is withdrawn by the Complainant.

10. Notification of a Misconduct Allegation

(1) The Registrar must, within 10 Working Days after receiving the Misconduct Allegation:

(a) notify the Accused Student that a Misconduct Allegation has been made and the nature of it; and
(b) invite the Accused Student to make, within the time that the Registrar specifies in the notice, any submissions in writing to the Registrar about the Misconduct Allegation that the Accused Student wishes to make.

(2) The Registrar may delay notifying the Accused Student of the Misconduct Allegation if the Registrar she is satisfied that it is appropriate to do so in order to avoid any interference with evidence or harassment or intimidation of the Complainant or any witness.

11. Serious Misconduct must be reported

A Student or Staff Member must report to the Registrar any Serious Misconduct as soon as practicable after becoming aware of it.

12. Dismissal of Misconduct Allegation

(1) The Registrar may upon receipt of a Misconduct Complaint:

(a) decide to take no action in relation to it; or
(b) investigate it under Part 4.

(2) If the Registrar decides to take no action relation to the Misconduct Allegation, the Registrar must:

(a) notify the Complainant of its decision; and
(b) notify the Accused Student concerned that a Misconduct Allegation has been made, the nature of the Misconduct Allegation and its decision.

13. Informal handling of Misconduct Allegation

(1) If the Accused Student admits to the Misconduct the Registrar may seek to resolve the Misconduct Allegation, which does not allege Serious Misconduct, through guidance, counselling or a written warning.

(2) If the Registrar is unable to resolve the Misconduct Allegation in that way or considers that it is not appropriate to do so, the Registrar may, with the written agreement of the Accused Student, without an Investigation or a Hearing being conducted or completed impose any one or more of the sanctions listed in schedule 1.

Part 4 – Investigation of Misconduct Allegations

14. Investigation by Registrar of Misconduct Allegations

(1) The Registrar may undertake an Investigation into a Misconduct Allegation under this Part 3 and may do so on his or her own initiative or following a Misconduct Allegation being made.

(2) The Registrar may deal with one or more Misconduct Allegations about one or more Accused Students in an Investigation.

(3) If during an Investigation it appears to the Registrar that there is a matter in respect of which another Misconduct Allegation could have been made against the Accused Student or another Student, the Registrar may deal with the matter in its Investigation as if a Misconduct Allegation had been made about it.

(4) If the Registrar decides to deal with a matter under clause 14(3) as if a Misconduct Allegation had been made about it, the Registrar must give notice in writing to the Student concerned of the nature of the matter being investigated and inform the Student that the matter is being treated as a Misconduct Allegation.

(5)

(a) The Registrar may appoint any person to carry out an Investigation.
(b) This policy applies to any such Investigation as if it were conducted by the Registrar.

(6)

(a) The Accused Student may, within a period specified by the Investigator, make submissions to the Investigator about the Misconduct Allegation.
(b) The Investigator may extend the period in which submissions may be made.

15. Investigation results

(1) An Investigator must prepare a written report on the results of the Investigation.

(2) The Registrar may at the completion of an Investigation:

(a) decide that no further action should be taken; or
(b) refer the Misconduct Allegation together with any Investigation report, to a Hearing Committee for a disciplinary finding under Part 5.

Part 5 – Role of Hearing Committee

16. Hearing Committee may make disciplinary findings

If a referral is made to a Hearing Committee for a disciplinary finding in relation to a Misconduct Allegation, the Hearing Committee must determine whether or not the Accused Student is guilty of Misconduct.

17. Sanctions may be imposed and compensation ordered

(1) If a Hearing Committee finds that an Accused Student is guilty of Misconduct, the Hearing Committee may impose any sanction on the Accused Student which the Hearing Committee is satisfied is appropriate in the circumstances including any specified in schedule 1 of this policy.

(2) A Hearing Committee may, instead of or in addition to a sanction imposed under clause 17(1):

(a) if an Accused Student is found to have damaged or destroyed any University Property, direct the Accused Student to pay to the University an amount determined by the Relevant Committee as compensation for the damage or destruction of the property, or

(b) if an Accused Student is found to have taken or removed any University Property:

(i) direct the Accused Student to return the property to the University, or

(ii) direct the Accused Student to pay to the University an amount determined by the Relevant Committee as compensation for the taking or removal of the property,

or both.

(3) When considering what sanction should be imposed under clause 17(1) the Hearing Committee may take into consideration any previous disciplinary action taken against the Accused Student including any warning given about future behaviour.

(4) The Accused Student is not entitled to any refund of fees or other money paid to the University, because of any sanction imposed on the Accused Student.

18. Misconduct by Student Organisations

(1) This policy applies, with necessary adaptations, to any Misconduct Allegation made against a Student Organisation as if a reference in this policy to a Student is to a Student Organisation.

(2) If a Hearing Committee is satisfied that a Student Organisation is guilty of Misconduct then the Hearing Committee may take any action it thinks appropriate in the circumstances including the imposition of sanctions on the Student Organisation including any specified in schedule 2 of this policy.

(3) A submission may be made or evidence given at a Hearing or in writing on behalf of a Student Organisation on any relevant matter, by an individual who satisfies the Registrar that he or she is a member of the association and is authorised by the association to do so.

(4) A Student Organisation must not permit a person who has been prohibited from taking part in the management of that Student Organisation, to be a member of it, management committee or otherwise being involved in its management.

19. Sanction compliance by Accused Student or a Student Organisation

(1) An Accused Student or Student Organisation the subject of a sanction for Misconduct must comply with that sanction upon request provide evidence satisfactory to the Registrar of compliance.

(2) A Hearing Committee may suspend any sanction imposed for Misconduct for any period and subject to any conditions, that the Hearing Committee thinks appropriate.

Part 6 – Appeals

20. Appeal Committee establishment

The Registrar must establish a committee to deal with an appeal from a decision of a Hearing Committee.

21. Grounds for appeal

An appeal under this Part 6 may only be made on one or more of the following grounds:

(a) the procedure for dealing with the Misconduct Allegation was unfair in the circumstances so as to cause substantial injustice to the Accused Student; or
(b) that fresh relevant evidence has become available to the Accused Student, being evidence that was not available or not known to the Accused Student at the time of the hearing, or
(c) that the sanction imposed on the Accused Student or direction to pay compensation made against the Accused Student was excessive or inappropriate.

22. Appeals from a Hearing Committee decision

(1) An Accused Student may only appeal from a decision of a Hearing Committee to an Appeal Committee if the Registrar gives permission to do so.

(2) A written request for permission to appeal must be given to the Registrar:

(a) within 10 Working Days of the day of the decision of the Hearing Committee is received by the Accused Student; and

(b) contain any information required by the Registrar.

(3) The Registrar must notify the Accused Student whether or not permission to appeal is given within 10 Working Days of receiving the request for permission to appeal.

(4) If the Accused Student wishes to appeal based to any material extent on the conduct of the Registrar, the Accused Student may request permission from the Vice Chancellor to appeal in which case this clause 22 will apply, with necessary adaptations, as if each reference in it to the Registrar is to the Vice Chancellor.

(5) An Appeal Committee must decide the appeal having regard to the material then before it.

(6) An Appeal Committee may make any decision the Appeal Committee thinks appropriate in the circumstances.

23. Effect of original decision pending appeal

An appeal of a decision of a Hearing Committee does not affect the operation of that decision or prevent the taking of action to implement that decision unless the Registrar suspends the operation of the decision.

[Note: A person in respect of whom a disciplinary decision has been made may apply to the New South Wales State Ombudsman for a review of the decision under the Ombudsman Act 1987 of New South Wales and judicial review may also be sought from the courts.]

Part 7 – Dealing with Information about Disciplinary Action

24. Publicising disciplinary action

(1) Subject to this Part 6, disciplinary action taken against an Accused Student must not be publicised without the approval of the Vice-Chancellor.

(2) The Vice-Chancellor may publicise disciplinary action taken against an Accused Student in any manner the Vice-Chancellor is satisfied is in the public interest or the interests of the University.

25. Register of disciplinary action

(1) The Registrar must keep a register of disciplinary action taken against Accused Students.

(2) The Registrar may, on request, provide information about a Student recorded in the register to that Student or to anybody authorised in writing by that Student to receive that information.

26. Recording

Any meeting or conversation in the course of any Investigation, Hearing or other proceeding relating to any Misconduct Allegation may be recorded by the University and copyright in the recording will belong to the University.

Part 8 – Investigation and Committee Procedures

27. Hearings

(1) A Relevant Committee may conduct any hearing it thinks appropriate.

(2) At a Hearing, a Relevant Committee:

(a) may inform itself on any matter in any manner that it thinks appropriate; and
(b) must proceed with as little formality and as quickly as the requirements of this policy and the proper consideration of the Misconduct Allegation permit; and
(c) is not bound by the rules of evidence; and
(d) may use any technology that gives the members of the Relevant Committee or any other relevant persons who are situated in different locations a reasonable opportunity to participate; and
(e) may deal with the Misconduct Allegation notwithstanding that the Accused Student or a witness has not for any reason made submissions, provided evidence or otherwise participated or co-operated in an Investigation or the Hearing.

(3) At a Hearing the Accused Student may:

(a) be present (unless the presiding member of the Relevant Committee is satisfied that the Accused Student may attempt to disrupt the Hearing) and be accompanied by a support person (but not an advocate) approved by the Registrar; and
(b) provide to the Relevant Committee oral or written submissions; and
(c) provide evidence to the Relevant Committee; and
(d) have witnesses provide evidence,

but may not examine or cross examine any witness.

(4) A Hearing of a Relevant Committee may be adjourned for any reason by a Relevant Committee including to enable any further investigation to be carried out in relation to the Misconduct Allegation.

28. Failure to appear

(1) If a relevant person fails to appear at the time and place appointed by the Registrar for a Hearing the Relevant Committee may, if satisfied that reasonable steps have been taken to give to the relevant person notice of the Hearing:

(a) proceed in the absence of the relevant person; or

(b) adjourn the Hearing to a later date and cause the relevant person to be given a notice stating that the Hearing is adjourned and informing the relevant person that the Hearing will proceed on the later date notwithstanding any further absence of the relevant person.

(2) In clause 28(1) a reference to a "relevant person" means an Accused Student, a support person of the Accused Student or a witness.

29. Conduct at hearing

(1) All persons appearing before or present at a Hearing must conduct themselves in a proper manner.

(2) If a person does not comply with clause 29(1):

(a) the presiding member of the Relevant Committee must, if the person is a Staff Member inform the Vice-Chancellor of the failure; and
(b) the presiding member of the Relevant Committee must, if the person is a Student, inform the person that disciplinary action may be taken in respect of their behaviour; and
(c) the presiding member of the Relevant Committee may require the person to leave the Hearing.

(3) If the Accused Student is required under clause 29(2)(c) to leave a Hearing the Hearing may only continue in the absence of the Accused Student if the Accused Student was required to leave the Hearing by reason of conduct which disrupted the Hearing.

30. Matters relating to evidence and information

(1) The Registrar, an Investigator or the presiding member of a Relevant Committee may direct a Student or Staff Member to do any one or more of the following:

(a) verify by statutory declaration any evidence;
(b) appear personally before the Registrar, an Investigator or a Relevant Committee at a time and place specified in the direction;
(c) produce to any person any document that is in that person's custody or under that person's control;
(d) do anything necessary to enable the Registrar to gain access to any document or evidence that is in the custody or under the control of any other person,

within the time specified in the direction.

(2) The Registrar may:

(a) retain any document produced under this clause 30 for any period that the Registrar thinks necessary; and
(b) make and retain copies of it.

(3) The Registrar, an Investigator or a Relevant Committee may obtain expert advice or other assistance on any matter from any person and rely upon that advice or other assistance.

(4) A Student or Staff Member must not refuse or fail to comply with a request to answer a question, give information, produce a document or any other thing or do anything else on the ground that to do so may make that person liable to a sanction imposed under this policy or any other adverse decision by the University.

31. Reasons for decisions of a Relevant Committee

(1) An Accused Student may request a Relevant Committee to give him or her a brief written statement of reasons for a decision by the Relevant Committee contemplated by this policy.

(2) A request under clause 31(1) must be made in writing to the Registrar within 10 Working Days after the day on which the Accused Student is notified of the decision.

(3) The Relevant Committee must give the requested statement of reasons for a decision within 20 Working Days after receiving a request under clause 31(1).

(4)

(a) A statement of reasons need not include any information or matter which it would be unlawful to disclose.

(b) If a statement of reasons would be false or misleading if it did not include information or matter which it would be unlawful to disclose the Relevant Committee must inform the person who requested the statement of that fact and must not give the statement to the person.

32. Procedures of Relevant Committees

(1) A Relevant Committee may subject to this policy conduct its Hearing as it thinks appropriate.

(2) The Registrar may call the first Hearing of a Relevant Committee as he or she thinks appropriate and a Relevant Committee may, subject to this policy, call and adjourn subsequent Hearings as it thinks appropriate.

(3) The quorum for a Hearing of a Relevant Committee is all the members.

(4) The decision of a majority of the members of a Relevant Committee is a decision of the Relevant Committee and, in the event of an equality of votes, the presiding member has a second or casting vote.

(5) A Relevant Committee must decide whether an Accused Student is guilty of Misconduct on the balance of probabilities.

(6) A Relevant Committee may combine the Hearings of two or more Misconduct Allegations made against two or more Students.

33. Procedural matters

(1)

(a) The Registrar may, extend or shorten any time fixed by this policy or by any decision of a Relevant Committee and may do so as many times as he or she thinks appropriate.
(b) The Registrar may extend any such time before or after the time expires whether or not an application for the extension is made before the time expires.
(c) If no time is fixed by this policy for the doing of anything in or relating to any proceeding before a Relevant Committee, the Registrar may fix the time within which the thing must be done.

(2) A Relevant Committee may decide that :

(a) a procedural irregularity relating to a Misconduct Allegation is to be disregarded; and
(b) a decision in respect of a Misconduct Allegation will not be invalidated by the procedural irregularity,

if the Relevant Committee is satisfied that:

(c) the procedural irregularity has not caused substantial injustice to the Complainant or the Accused Student; or
(d) any substantial injustice caused by the procedural irregularity can be remedied by a decision of the Relevant Committee.

(3) In this clause 33 a reference to a procedural irregularity includes a reference to:

(a) the absence of a quorum at a Hearing; and
(b) a defect, irregularity or deficiency relating to any notice; and
(c) a defect or irregularity in the appointment or authority of any person purporting to exercise a power or function under this policy.

34. Service of notices or other communications

(1) Any written communication under this policy must be legible and in the English language.

(2) Any communication under this policy to the University, the Vice-Chancellor or the Registrar may be given by being:

(a) delivered personally to the Registrar; or
(b) left at the office of the Registrar or sent by prepaid post or courier to the University addressed to the Registrar; or
(c) sent to the Registrar by email or other electronic means to any email address that is published by the University as the email address of the Registrar.

(3) Any communication under this policy to a Student or Staff Member may be given by being:

(a) delivered personally to that person;
(b) left at or sent by post to:

(i) the most recent address of that person as it appears on the records of the University; or

(ii) such other address of that person as appears to the sender to be an address where that person resides or works; or

(c) sent to the University email address of that person or to another email address that has been given by that person for the purpose of receiving communications.

(4)

(a) Any communication to a Student Organisation may be given to a person who the Registrar believes to be an officeholder of that Student Organisation.

(b) If an officeholder of a Student Organisation receives on behalf of a Student Organisation a communication under this policy, he or she must use their best endeavours to promptly notify each other officeholder of its receipt and contents.

(5) Any communication will be taken to have been given:

(a) in the case of sending by prepaid post or courier- if posted or couriered in the Commonwealth of Australia to an address in the Commonwealth of Australia, within three Working Days of posting or being given to the courier and in any other case within five Working Days after posting by airmail or being given to the courier; and

(b) in the case of sending by email – at 9.00 am Sydney time on the next Working Day after it is sent.

35. Replacement of a committee member

(1) If a member of a Relevant Committee, for the purposes of a particular Hearing:

(a) stops being a member of the Relevant Committee; or

(b) is unwilling or unable to complete the Hearing or to participate in making a decision of the Relevant Committee.

the Registrar may either:

(c) direct that the Relevant Committee must be constituted for the purpose of finishing the Hearing and making the decision, by the remaining members of it; or

(d) direct that the Relevant Committee must be constituted for that purpose by the remaining members together with another person appointed by the Registrar.

(2) The Vice-Chancellor may by notice to a member of a Hearing Committee remove that member from office.

36. Delegation of functions

(1) The Registrar and the Vice-Chancellor may delegate their respective functions and powers under this policy to any person or otherwise authorise any person to carry out those functions or powers.

(2) If:

(a) the exercise of a function or power by the Registrar or Vice-Chancellor is dependent on the opinion, belief or state of mind of the Registrar or Vice-Chancellor, as the case requires, in relation to any matter; and
(b) the Registrar or Vice-Chancellor has delegated the function or power to some other person or otherwise authorised some other person to carry out the function or power,

the function or power may be exercised by that other person on the opinion, belief or state of mind of that other person in relation to any such matter.

[Note: A list of persons who have been authorised by the Registrar to exercise a function or power of the Registrar can be found [link]].

37. Vexatious and frivolous allegations are prohibited

(1) A Misconduct Allegation must not be made which is vexatious, frivolous, lacking in substance or made in bad faith.

[Note: An example of bad faith is where a Misconduct Allegation is made which is known to be false or misleading or is made for an ulterior or improper purpose].

(2) The Registrar may direct any person not to make a Misconduct Allegation without the Registrar's consent if the Registrar is satisfied that the person has previously made a Misconduct Allegation which is vexatious, frivolous, lacking in substance or made in bad faith.

38. The Registrar may withhold awards and records

(1) The Registrar may:

(a) delay the awarding to the Accused Student of any academic or non-academic award; and
(b) withhold from the Accused Student any academic transcript, testamur or other record,

until the later of:

(c) completion of any Investigation; or
(d) a decision by a Hearing Committee; or
(e) a decision by an Appeal Committee; or
(f) compliance with or expiration of any sanction imposed on the Accused Student.

(2) The Registrar may vary or revoke any decision made under clause 38(1).

39. Compliance with directions

A Student or Staff Member given a direction by the Registrar, Vice-Chancellor or the presiding member of a Relevant Committee, contemplated by this policy must comply with it.

Part 9 – Dictionary and Interpretation

40. Dictionary

In this policy:

"Academic Exercise" means:

(a) an examination, that is, a time limited assessment task conducted under invigilation including tests, practical assessments and final examinations; and
(b) the submission and assessment of a thesis, dissertation, essay, practical work or other coursework and any other exercise (including in the case of graduate students transfer and confirmation of status exercises) which is not undertaken in formal examination conditions but counts towards or constitutes the work for an academic award and includes related research;

"Accused Student" means a Student who is the subject of a Misconduct Allegation;

"Appeal Committee" means a committee established to deal with an appeal from a decision of a Hearing Committee;

"College" means any:

(a) college of the University;
(b) residential premises of the University; or
(c) residential premises primarily intended to be used as Student residences (including Macquarie University Village or any similar premises) whether or not they are owned, operated or managed by the University;

"Complainant" means a person who makes a Misconduct Allegation;

"Hearing" means a hearing a Relevant Committee contemplated by this policy;

"Hearing Committee" means a committee established to deal with a Misconduct Allegation;

"Investigation" means an investigation pursuant to Part 4;

"Investigator" means a person who carries out an Investigation;

"Misconduct" means:

(a) conduct prohibited by a University Regulation; and
(b) corrupt conduct in connection with the University;

"Misconduct Allegation" means an allegation against:

(a) a Student Organisation of Misconduct or that:

    (i) the Student Organisation; or
    (ii) the management committee of a Student Organisation; or

(iii) other leaders or spokespersons of a Student Organisation,

approved, encouraged or condoned (either before or after the Misconduct occurs and either tacitly or expressly) any members of the Student Organisation and others associated with it, engaging in Misconduct; or

(b) a Student of Misconduct;

"Policy Commencement Date" means the date specified in clause 3;

"Registrar" means the registrar from time to time of the University;

"Relevant Committee" means a Hearing Committee or an Appeal Committee, as the case requires;

"Serious Misconduct" means any Misconduct which:

(a) involves substantial harm or threat of substantial harm to the health, safety or wellbeing of any person; or
(b) involves substantial damage or threat of substantial damage to the property of any person; or
(c) has or may have a substantial adverse affect upon the reputation of the University;

"Staff Member" means any staff member of the University includes officers, employees and contractors of the University and the appointees to conjoint, adjunct, emeritus, honorary and visiting academic positions at the University;

"**Student"** includes:

(a) a person who has been admitted as a student of the University but who has not yet enrolled in any program or unit of study or research; and
(b) a person who is enrolled in or auditing a program or unit of study or research provided by the University; and
(c) a person who is enrolled in a program or unit of study or research at or offered by an educational institution affiliated with the University which is approved as an award program or a unit of study or research by the University; and
(d) a person who has completed a program or unit of study or research at the University but has not yet been awarded the applicable academic award; and
(e) a person who became admitted or enrolled as a student of the University because of misleading or dishonest conduct by any person; and
(f) a person who is awarded an academic or non-academic award by the University because of misleading or dishonest conduct by any person; and
(g) any person who has been suspended from a program or unit of study or research at the University; and
(h) a person who is on leave of absence from or who has deferred enrolment in a program or unit of study or research offered by the University or by an affiliated educational institution which is approved as an award program or unit of study or research by the University; and

(i) any person who undertakes any Academic Exercise which is part of a program or unit of study or research provided, supervised or assessed by the University,

and includes a former Student;

"Student Organisation" means any incorporated or unincorporated association or group of persons the majority of whom are Students which is affiliated with or otherwise associated with the University;

"Suspension" means:

(a) in the case if a Student - suspension of the Accused Student's rights as a Student including his or her right to be on University Premises, participate in University Activities and use University Property; and
(b) in the case of a Student Organisation - suspension of the Student Organisation's rights as a Student Organisation including its affiliation with the University, right to hold itself out as being connected with the University (including by using the name, trademarks and logos of the University), right to use any University Property, right to receive any funding or resources from the University, and right to participate in University Activities;

"University" means Macquarie University and where the context permits includes any one or more of the following:

(a) its controlled entities; and
(b) any institution affiliated with Macquarie University or any of its controlled entities; and
(c) any College; and
(d) any educational institution located on premises of the University;

"University Activities" means the activities of the University and the University Community including:

(a) teaching, study and research at the University; and
(b) the conduct of any Academic Exercise; and
(c) recreational, commercial, disciplinary or ceremonial activities of the University or the University Community; and
(d) any clinical, professional or practical work, research, workshops, camps or field or vocational placements and any other activities arranged, sponsored, controlled or supervised by the University whether or not it is part of a program or unit of study at the University; and
(e) the provision by the University of services to the general community; and
(f) the use or enjoyment of any University Property by any person authorised by the University; and
(g) the management or administration of the University;

"University Community" means the:

(a) members of the University's council and Staff Members of the University; and
(b) Students; and

(c) Student Organisations; and
(d) tenants and licensees of University Premises and their officers and staff; and
(e) persons conducting an authorised business or other activity upon University Premises;

"University Premises" means

(a) any premises owned, operated, supervised, occupied or controlled by the University including premises of which the University is the landlord; and
(b) any premises on which University Activities take place; and
(c) any College premises;

"University Property" means any facility, resource or property which is:

(a) owned by the University or in which the University has an interest or right; or
(b) in the custody or control of the University; or
(c) provided by the University; or
(d) on University Premises,

and includes any University Premises;

"University Regulations" means the by-laws, rules, codes of conduct, policies and directions from time to time of the University and includes this policy;

"Vice-Chancellor" means the vice-chancellor from time to time of the University;

"Working Days" means any day other than:

(a) a Saturday, a Sunday or a public holiday; or
(b) 27, 28, 29, 30 or 31 December,

in Sydney;

41. Interpretation

(1) In this policy a reference to:

(a) the Registrar or Vice-Chancellor includes any person deriving any function or power directly or indirectly by delegation or authorisation from the Registrar or Vice-Chancellor, as the case requires; and
(b) any person holding or occupying a particular office or position includes each person who from time to time occupies or is acting in that office or position;
(c) a person whose functions are assumed by another person because it ceases to exist or otherwise, includes the person who assumes all or substantially all of those functions and any related powers;
(d) a person includes an individual, a corporation, an unincorporated association and the trustee of a trust; and
(e) property includes moneys and information; and
(f) a document means any record of information and includes:

(i) anything on which there is writing; or
(ii) anything on which there are marks, figures, symbols or perforations having a meaning for persons qualified to interpret them; or
(iii) anything from which sounds, images or writings can be reproduced with or without the aid of anything else; or
(iv) a map, plan, drawing or photograph; and

(g) premises means any:

(i) structure, building, aircraft, vehicle or vessel; or
(ii) land or place (whether or not it is enclosed, built on or covered by water); and

(h) anything being published by the University includes it appearing on the University's website; and
(i) evidence includes any information, document or other thing relating to Misconduct which a person is required or requested to provide under this policy; and
(j) a sanction means any sanction imposed on an Accused Student or Student Organisation found guilty of Misconduct; and
(k) University Regulations means the present and future University Regulations and includes consolidations, amendments and replacements of them; and
(l) a Student Organisation means a present or future Student Organisation and in the case of a Student Organisation which is unincorporated, includes its members, its management committee and any person who holds property upon trust for any of its members or past members; and
(m) the management committee of a Student Organisation means the governing body of that Student Organisation (regardless of the name given to it) or, if there is no governing body, the members of that Student Organisation; and
(n) disciplinary action is to any action taken by the University under this policy in respect of Misconduct; and
(o) a witness includes a person who is able to provide evidence relating to a Misconduct Allegation.

(2) In this policy:
(a) the mention of anything after the word "include" or any derivative of it does not limit the nature or class of things included; and
(b) a reference to anything includes a part of it; and
(c) a word or expression that indicates one or more particular genders will be taken to indicate every other gender; and
(d) a reference to a word or expression in the singular form includes a reference to the word or expression in the plural form and vice versa.

(3)

(a) If this policy defines a word or expression, other parts of speech and grammatical forms of the word or expression having corresponding meanings.
(b) Headings are not part of this agreement and must be ignored in interpreting it.

(c) A note included in this policy is explanatory only and is not part of this policy.

Schedule 1

[Sanctions – clause 13(2)]

Approved sanctions for Misconduct under clause 13(2) of this policy are any or all of the following:

(a)

(i) reprimand the Accused Student;

(ii) Suspend the Accused Student for a specified period not exceeding 30 days;

(iii) direct that the Accused Student do or refrain from doing something relating to University Activities for a specified period not exceeding 30 days;

(iv) direct that the Accused Student be banned from specified University Premises for a specified period not exceeding 30 days;

(v) direct that the Accused Student perform a specified service or task for the benefit of the University or the general community, for a specified period not exceeding 30 days;

(vi) direct that the Accused Student undertake counselling of a specified type or for a specified purpose and for a specified period not exceeding 30 days; and

(b) in respect of any Misconduct relating to any Academic Exercise take any one or more of the following actions in addition to or instead of a sanction referred to in clause (a) of this schedule:

(i) if practicable, exclude from assessment any part of the work submitted that the examiner or marker is satisfied is not the Accused Student's own work;

(ii) reduce a mark awarded to any piece of work;

(iii) award no mark to or disregard any piece of work;

(iv) substitute an alternative mark for any piece of work;

(v) permit the Accused Student to re-sit or redo an Academic Exercise subject to any conditions that the Registrar thinks appropriate;

(vi) fail the Accused Student in the Academic Exercise or part of the Academic Exercise.

Schedule 2

[Sanctions – general]

1. Approved sanctions for Misconduct include any or any combination of the following:

(1) reprimanding the Accused Student;

(2) Suspending the Accused Student for an indefinite or a specified period;

(3) banning the Accused Student from specified University Premises or the use of specified University Property for a specified period;

(4) banning the Accused Student from bringing a motor vehicle (including a motor cycle) onto University Premises for an indefinite or specified period;

(5) terminating the Accused Student's admission or enrolment at the University;

(6) directing that the Accused Student not be admitted or enrolled as a Student, for an indefinite or specified period;

(7) directing that the Accused Student's present or future admission or enrolment at the University be subject to specified conditions;

(8) directing that the Accused Student pay a fine of a specified amount, not exceeding the maximum permitted amount specified from time to time by the Registrar for sanctions under this guideline;

(9) directing that the Accused Student pay compensation to any person for damage or injury which is caused or contributed to by the Misconduct of the Accused Student;

(10) directing that the Accused Student do or refrain from doing something relating to University Activities;

(11) directing that the Accused Student not represent the University or a Student Organisation in any capacity or in a specified capacity for an indefinite or a specified period;

(12) directing that the Accused Student perform a specified service or task for the benefit of the University or the general community, for a specified period;

(13) directing that the Accused Student undertake counselling of a specified type or for a specified purpose and for an indefinite period or specified period;

(14) prohibiting indefinitely or for a specified period the Accused Student from taking part in the management of, being a member of or otherwise being associated or involved with Student Organisations generally or a specified Student Organisation;

(15) revoking any non academic award or academic award from the University or terminate any right to receive any such award;

(16) postponing for an indefinite or specified period the awarding by the University of any academic award or non-academic award;

(17) in the case of Misconduct relating to any Academic Exercise include the following:

(a) if practicable, excluding from assessment any part of the work submitted that the examiners are satisfied is not the Accused Student's own work; and

(b) imposing one or more of the following sanctions:

(i) reducing a mark awarded to any piece of work;
(ii) not awarding a mark to or disregarding any piece of work;
(iii) substituting an alternative mark for any piece of work;
(iv) reducing by one or more classes any degree classification;
(v) requiring the Accused Student to redo the Academic Exercise;
(vi) awarding a pass degree instead of an honours degree;
(vii) failing the Accused Student in the Academic Exercise or in part of the Academic Exercise.

Schedule 3

[Sanctions – Student Organisations clause 18]

1. Approved sanctions for a Student Organisation guilty of Misconduct include any or any combination of the following:

   (a) reprimanding that Student Organisation;
   (b) Suspending that Student Organisation for an indefinite or a specified period;
   (c) terminating the Student Organisation's affiliation with the University or impose specified conditions on its affiliation;
   (d) terminating or suspending the provision of University funding or resources to that Student Organisation or impose specified conditions on the provision of funding or resources;
   (e) terminating or suspending the Student Organisation's right to use the name or emblem of the University or impose specified conditions on its right to use the name or emblem of the University;
   (f) directing that it be wound up or dissolved;
   (g) appointing a person to investigate the affairs of that Student Organisation;
   (h) appointing a person to manage the affairs of that Student Organisation;
   (i) appointing a person to take possession and control of the property of that Student Organisation;
   (j) suspending or terminating any right of the members or governing body of that Student Organisation to manage the affairs of that Student Organisation.

Note: Academic Senate Working Party_Feedback_OGC's draft Student Discipline Policy (SDP)

1. BACKGROUND – PURPOSE

- The MQ Office of General Counsel (OGC) drafted the *Student Discipline Policy 2014* (SDP) aimed at supporting the *Student Discipline Rules* previously approved by Council.
- The Academic Senate recently convened a working party (supported by Governance Services) to provide the Academic Senate with feedback on the draft *Student Discipline Policy 2014*.
- This note has been prepared from the working party feedback.

2. BROAD FEEDBACK

2.1 The underlying student conduct framework

- Overall, the OGC's draft SDP may provide a structure upon which to design and operationalise an appropriate underlying student conduct framework (as the SDP appears flexible enough to potentially encompass a range of frameworks).

- The working party first focussed upon the underlying framework and;
  - there appeared consensus that a role may still remain for Faculty Committees and this may not be inconsistent with the current draft SDP (subject to amendment as outlined in this note);
  - the benefit of a framework incorporating Faculty Committees may include the ability for faculties to be aware of and better enact service improvements resulting from academic misconduct matters;
  - maintaining a role for Faculty Committees may also leverage the benefits obtained from the re-establishment of the Faculty Discipline Committees over the past 18 months (i.e. increasing faculty capabilities, increasing adoption of consistent templates and procedures between faculties; increasing central recording, reporting and support; and increasing role clarity between areas);
  - should a role remain for the Faculty Committees, the working party recognises a need for continued development in the areas of records management and case consistency in particular (i.e. to be assisted via a central database and continued training).

- Following this broad feedback, an underlying student conduct framework encompassing Faculty Committees was developed, which also broadly defined decision-making and 'hand-over' points.

  see Attachment A, the draft student conduct framework (including Faculty Hearing Committees) developed under the working party.

- As reflected in the draft student conduct framework, there was also broad support for students having an option of (pre) accepting responsibility and a prescribed penalty (i.e. prior to a Hearing Committee); provided there existed robust safeguards including templates, guidelines, an upper limit to the sanctions available to be offered and student support available.

- Much of the specific feedback and suggested amendment to the draft SDP (see section 3 'specific feedback' of this note) seeks to better integrate and operationalise the underlying student conduct framework as developed by the working party.

2.2 Student sanctions

- The improved notice of potential sanctions that may apply should a student be found responsible for breaching an expected standard of behaviour (i.e. as outlined in the Student Code of Conduct or the Academic Honesty Policy) contained in the draft SDP (Schedules 1, 2, and 3) was noted (although these Schedules do have a tendency to repeat essentially the same sanctions in multiple ways).

- Consolidating the sanctions within the draft SDP (Schedules 1, 2, and 3) avoids the current disconnect between sanctions for General Misconduct (being vaguely referred to as 'penalties in accordance with academic usage' under the current Student Misconduct and Discipline Rules) and the sanctions applied for Academic Misconduct (being outlined in a separate document being the 'Schedule of Penalties').

- However, the draft SDP should better articulate a graduated schedule of sanctions which allows for clearer delineation between those sanctions that can be offered by individuals; and those sanctions that can be applied by Faculty Committees and by the Central/University Committee; being the decision-makers reflected in the draft student conduct framework as developed under the working party.

  see Attachment B, the draft Schedule reflecting graded sanctions as developed under the working party.

- It was also considered that those factors to be taken into account by decision makers when determining an appropriate sanction should be articulated alongside the draft SDP. This will provide a framework to decision makers (to aid consistency in decision making) and also to students (to assist students prepare statements of mitigation, better understand the ultimate decision or sanction applied and better prepare an appeal if actioned).

  see Attachment C, the draft Schedule containing factors that may be taken into account when determining a sanction as developed under the working party.

3. SPECIFIC FEEDBACK

- The draft Student Discipline Policy seems to read more like a Procedure. Is the draft SDP better framed as a 'procedure' rather than a 'policy'?

  Further, the previously approved *Student Discipline Rules* section 6 refers to the establishment of 'procedures' for dealing with misconduct.

- A student being found 'guilty' of misconduct is used throughout the document. Should this be a less legal term, such as a student is found 'responsible' (or 'not responsible')?

- Due to the decision-making requirements under the draft student conduct framework (as developed under the working party) *'low level Academic Misconduct'* will need to be defined in the draft SDP.

  Suggested definition:
  Low Level Academic Misconduct *means conduct of a type, if proven, would result in the application* of *any one or more sanctions listed in Level 1 of Schedule 1 of this Policy.*

- *'Notification of a Misconduct Allegation' within Part 3 of the SDP*

  Amend to ensure it is not mandatory to inform an accused student of mere receipt of an allegation.

  Notification should only be provided to an accused student should the allegation be assessed and allowed to further proceed, not on the mere receipt of an allegation. Also, consider removing the 10 day time limit on such notification to 'in a timely manner consistent with the circumstances and complexity of the allegation made'.

- *'Notification of a Misconduct Allegation' within Part 3 of the SDP*

  Amend to ensure it is not mandatory that the accused student be invited to make a submission at this early stage regarding the mere receipt of an allegation.

  Such an invitation to the accused student to make a submission at this early point should only be made if further clarification / information is needed in order to inform the decision as to how and if the allegation proceeds.

- *'Dealing (Dismissal) of a Misconduct Allegation' within Part 3 of the SDP*

  Amend to remove notification to the Accused Student when the allegation is dismissed at this early stage (as in previous points such notification / awareness by the Accused Student is unnecessary).

- *'Dealing (Dismissal) of a Misconduct Allegation' within Part 3 of the SDP*

  Amend to remove notification to the complainant when the allegation is dismissed at this early stage.

  A complainant whether staff, fellow student or community member should not have access to determinations under confidential disciplinary proceedings; with their role being merely 'notifiers' of the alleged misconduct.

  Any correspondence back to notifiers should be general information such as acknowledging receipt of the notification, outlining the notifiers (limited) role and outlining the broad disciplinary process that may be undertaken (including the criteria used in assessing and progressing allegations).

  The limited role of 'notifiers' in confidential student disciplinary proceedings should be made clear in the draft SDP, for example:

  The role of persons initiating a complaint under the Student Discipline Policy is to submit a misconduct allegation and supporting information in accordance with the associated procedures. This notification alerts the University to the conduct being complained about. The University determines whether to progress the complaint against the student or student organisation, on its own behalf, as an alleged breach of relevant standard of student conduct.

- *'Informal Handling of Misconduct Allegation' within Part 3 of the SDP*

  Reworded and to also include the option of pre-acceptance by student of lower level academic misconduct (i.e. reflecting the draft student conduct framework developed under the working party)

  Suggested rewording of *'Informal Handling of Misconduct Allegation' in Part 3*:

  (1) An Accused Student may be provided the option of pre-accepting responsibility for a misconduct allegation and a prescribed sanction (i.e. prior to any Hearing Committee determination) when the misconduct allegation is:

  (a) not considered Serious Misconduct; or

  (b) considered low level Academic Misconduct;

  by the Registrar.

  (2) The prescribed sanction under section X(1) is limited to the imposition of any one or more sanctions listed in Level 1 of Schedule 1 of this Policy.

  *(*see attachment B, the draft Schedule of Sanctions as developed under the working party)

- *'Sanctions may be imposed and compensation ordered', point (1), within Part 5 of the SDP*

  A distinction should be made within the SDP between the sanctions able to be imposed by a Faculty Hearing Committee and those able to be imposed by the Central/University Hearing Committee (i.e. reflecting the draft student conduct framework developed under the working party).

  Suggested rewording of *'Hearing Committee may make Disciplinary Findings' point (1) in Part 5*:

  > *(1) Subject to section X(2), if a Hearing Committee finds that an Accused Student is responsible of Misconduct, the Hearing Committee may impose any sanction on the Accused Student which the Hearing Committee is satisfied is appropriate in the circumstances including any specified in Schedule 1 of this Policy.*
  >
  > *(2) A Faculty Hearing Committee may only impose;*
  >
  > *(a) any one or more sanctions listed in Level 1 of Schedule 1 of this Policy; and*
  >
  > *(b) one of the available sanctions from Level 2 of Schedule 1 of this Policy being 'Fail grade in a unit or units of study with a mark of 0'.*
  >
  > *(*see attachment B, the draft Schedule of Sanctions as developed under the working party)

- *'Sanctions may be imposed and compensation ordered', point (2), within Part 5 of the SDP*

  Remove current point (2) as this outlines sanctions already in Schedule 1 or otherwise available.

- *'Sanctions may be imposed and compensation ordered', point (3), within Part 5 of the SDP*

  Amend to refer to a Schedule which outlines all factors that may be taken into account by Hearing Committees when determining sanctions (i.e. not just any past disciplinary action against the student).

  Suggested rewording of '*Sanctions may be imposed and compensation ordered' point (3) in Part 5*:

  > *(3) When considering what sanction should be imposed, the Hearing Committee may take into consideration those relevant factors listed in Schedule 2 to this Policy.*
  >
  > (see attachment C, the draft Schedule containing factors that may be taken into account when determining a sanction, as developed under the working party.)

- *'Appeals from a Hearing Committee decision', point (2), within Part 6 of the SDP*

  Amend to extend the student appeal period from 10 to 20 working days to align with related student appeal matters and also ESOS requirements for international students.

- *'Appeals from a Hearing Committee decision', point (6), within Part 6 of the SDP*

  Amend to clarify the role of the Appeal Committee in regards to the decisions that can be made, as it is currently very broad.

  Suggested rewording of *'Appeals from a Hearing Committee decision' point (6) in Part 6*:

  > *(6) On appeal, the original decision of the Hearing Committee may be confirmed, quashed or varied.*

- '*Publicising disciplinary action' in Part 7*

  Amend to include a note on the student's internal transcript of misconduct allegations.

  Suggested additions to '*Publicising disciplinary action' in Part 7*:

  (3) Should a student be found responsible for alleged misconduct, the adverse finding and any sanction imposed will not be entered on the student's external academic transcript unless specifically directed by the Hearing Committee.

  (4) Should a misconduct allegation against a student;

  (a) be resolved by the student pre-accepting responsibility and a prescribed sanction (i.e. prior to any Hearing Committee determination); or

  (b) progress to a Hearing Committee for determination;

  a brief note is to be made on the student's internal academic transcript outlining that the student had a misconduct allegation against them; with any further details restricted to the University's register of disciplinary action.

- *'Hearings', point (1), within Part 8 of the SDP*

  Amend to include reference to a 'Terms of Reference' for Hearing Committees.

  Suggested additions to *'Hearings' point (1) in Part 8:*

  (1) A relevant Committee may subject to this Policy and its Terms of Reference conduct any hearing it thinks appropriate.

  This will allow for the development of Terms of Reference (incl. membership, reporting obligations) for both types of decision-making Committees outlined in the draft student conduct framework as developed by the working party; being the Faculty Committee(s) and the Central/University Committee.

- *'Hearings', point (3) within Part 8 of the SDP*

  Amend so it does not exclude a student's 'advocate' from a Hearing Committee.

- *'Reasons for decisions of a relevant Committee' within Part 8 of the SDP*

  Amend so a statement of reasons is not a separate document to the Hearing Committee outcome letter (otherwise this introduces an unnecessary administrative step).

  Suggested rewording of *'Reasons for decisions of a relevant Committee' in Part 8:*

  (1) Following the determination of an allegation at a Hearing Committee meeting, the student will receive;

  (a) written confirmation of the Committee's decision;

  (b) a brief statement of reasons for the decision; and

  (c) the available University appeal and support options;

  within 10 working days of the Hearing Committee meeting at which the decision was made.

- *'Procedures of Relevant Committees' point (1) within Part 8 of the SDP*

  Amend to include reference to a 'Terms of Reference' for Hearing Committees.

  Suggested additions to *'Procedures of Relevant Committees' point (1) in Part 8:*

  (1) A relevant Committee may subject to this Policy and its Terms of Reference conduct its Hearing as it thinks appropriate.

  Again, this allows for the development of Terms of Reference (incl. membership, reporting obligations) for both types of decision-making Committees outlined in the draft student conduct framework as developed by the working party; being the Faculty Committee(s) and the Central/University Committee.

- *'Procedures of Relevant Committees' point (3) within Part 8 of the SDP*

  Amend point (3) so that a quorum of a Hearing Committee is not 'all its members' (as this would make the committee structure inflexible and not time responsive).

4. DISCUSSION

The draft OGC SDP appears flexible enough to encompass a range of frameworks and may provide a structure upon which to design and operationalise an appropriate underlying student conduct framework.

The working party first focussed upon articulating this underlying student conduct framework which included;

- The option of a (pre) acceptance of responsibility by students with a prescribed sanction (limited to the application of Level 1 sanctions);
- Faculty Hearing Committees (limited to the application of Level 1 sanctions & the 'fail unit' sanction from the Level 2 sanctions);
- Central / University Hearing Committee (able to apply all Level 1, 2 and 3 sanctions)

The draft underlying student conduct framework developed under the working party (see attachment A) shows the above decision-making points and broadly addresses 'hand-over' points between them; and this is further assisted by the development of a graded schedule of sanctions developed under the working party (see attachment B).

Much of the specific feedback and suggested amendment to the draft SDP (see section 3 'specific feedback' of this note) has then sought to better integrate and operationalise this underlying student conduct framework as developed under the working party.

ATTACHMENT A – d*raft Student Conduct Framework developed under the working party.*

MQ COMPLAINT HANDLING AND RESOLUTION
DRAFT STUDENT DISCIPLINE POLICY (SDP) 2014

Suggested underlying framework for handling and resolving a complaint directed at the conduct of a student_senate working party draft_incl Faculty Committees

Academic Misconduct

Handled in accordance with the Academic Honesty Policy and Procedure (subject to amendment)

1. Academic Staff identifies possible academic misconduct, applies professional judgement and may determine the student's conduct merits consideration of disciplinary action. *

2. Academic Staff may report possible breach of academic misconduct to Unit Convenor (UC). UC discusses with Head of Department (HoD).

3. UC/HoD may agree case warrants further actions and appoints an investigator (normally being the UC).

4. Investigator may recommend to refer the case to a Hearing Committee for determination. If so, recommendation and supporting material to be forwarded to Faculty Student Administration Manager (FSAM).

5. FSAM collates information and considers referral of the allegation of academic misconduct and evidence to the relevant Hearing Committee.

General Misconduct

Handled as an alleged breach of the Student Code of Conduct.

1. MQ staff notifiers *

2. MQ student notifiers *

3. Other notifiers *

* Process and platform for notification and referral of an allegation of general misconduct to **Governance Services** to be confirmed.

NOTE: Registrar or authorised others may immediately direct a student to leave any University premises or University activity for disruptive behaviour, **part 2, SDP**

FSAM to consider the following criteria and action as appropriate;
1. Does the allegation involve non-serious Academic Misconduct?
2. Is it the student's first Academic Misconduct breach?
3. Does the allegation refer only to Academic Misconduct? (ie. it does not also include an associated General Misconduct breach such as fraud, threatening of violent behaviour or any other General Misconduct matter).

Yes (to all of the 3 questions above)

No (to any of the 3 questions above)

FSAM to liaise with the FHC's Chair to consider the following and action as appropriate;
1. Is the allegation low level Academic Misconduct whereby the student can be provided the option of (pre) accepting responsibility and prescribed penalty? (ie. this provides students who are already accepting of their responsibility for lower level Academic Misconduct offences, the option of reducing uncertainty, delay and potential distress in waiting for, attending and responding in front of a Faculty Hearing Committee)

Yes

No

Offer student the option to accept responsibility **(part 3, SDP)** and a prescribed penalty.

(note: the FHC's Chair to ensure the prescribed penalty offered is consistent with the schedule of penalties and the findings of the initial investigator; and is, ultimately, a level of penalty that the FHC would formally approve and apply at its next meeting should the student (pre) accept responsibility).

yes

No

Student accepts
(note: formal approval and application of the prescribed penalty to occur at the next FHC meeting)

Student **does not** accept

Refer to Faculty Hearing Committee (FHC) for determination **(part 5, SDP)**

Faculty Hearing Committee – FBE

Faculty Hearing Committee – FHS

Faculty Hearing Committee – FOS

Faculty Hearing Committee – FOA

Faculty Hearing Committee – FMHS

Student appeals

Governance Services assesses referred case, makes reasonable enquiries and conducts fact finding as required (on delegation from the Registrar, **(part 3, SDP**) and may;

Undertake further investigation into the misconduct allegation as necessary, **part 4, SDP**

In addition to any other action, immediately suspend (without a hearing) a student from MQ premise or remove student from any MQ activity for any period if satisfied of misconduct (or imminent misconduct) of a substantial nature, **part 2, SDP**

Offer student the option to accept responsibility **(part 3, SDP)** and;

1. Resolution of the allegation through guidance, counselling or written warning as appropriate for General Misconduct (ie. not serious general misconduct)

yes

no

Student accepts

Student **does not** accept

Refer to the University Hearing Committee for determination **(part 5, SDP)**

Note – the University Hearing Committee would have membership consisting of representatives from all 5 faculties, key professional staff and student representation

Note – the University Hearing Committee secretariat and support provided by Governance Services

Appeals Committee, **part 6, SDP**

Decide to take no action, **(part 3, SDP)**

* Allegations of Exam Misconduct to be referred directly to Governance Services from the exam invigilator via the Examinations Office

Schedule 1 [Sanctions]

Approved sanctions for misconduct include, but are not limited to, any or all of the following:

Level 1

1. *Formal warning or caution.*
2. *Written apology to individual(s) and/or entities as directed.*
3. *Disciplinary probation for a specified period.*
4. *Resubmission, re-sit or redo of an academic exercise subject to any appropriate condition.*
5. *Mark reduction in an academic exercise or part of an academic exercise.*
6. *Fail in an academic exercise or part of an academic exercise, with a mark of 0.*

Level 2

7. *Fail grade in a unit or units of study with a mark of 0.*
8. *Prohibit (exclude) for an indefinite or specified period from entering any part or all of University premises; from being enrolled and/or re-enrolling; attending any classes, meetings or other University activities; using any University facilities or services; from bringing a motor vehicle (including a motor cycle) onto University premises.*
9. *Direction order to pay restitution for any associated University property damage resulting from the misconduct; that future admission or enrolment at the University be subject to specified conditions; to not represent the University or a Student Organisation in any capacity for an indefinite or specified period; to perform a specified task for the benefit of the University or the general community for a specified period.*
10. *Suspended sanction, typically an exclusion, whose application is suspended for a specified period. A suspended sentence may apply at any time while it is still current, usually in response to a case of further misconduct. If the specified period lapses without further incident, the sanction is regarded as expired.*
11. *Remedial activities during the period of a suspended sanction or disciplinary probation, focused upon the student's education and/or personal development.*

Level 3

12. *Permanently exclude from entering any part or all of University premises; from being enrolled or re-enrolling as a student; attending any classes, meetings or other University activities; or using any University facilities or services.*
13. *Postponing for an indefinite or specified period the awarding of any non-academic award or academic award from the University.*
14. *Revoking any non-academic award or academic award by the University or terminate any right to receive any such award.*
15. *Reducing by one or more classes any degree classification and /or awarding a pass degree instead of an honours degree.*
16. *Record sanction on external transcript in order to make a permanent and external record of the misconduct (cf. with the common practice of recording the misconduct on the student's internal transcript).*

Schedule 2

[factors to consider when determining appropriate Sanctions]

Decision makers may take into account the following considerations in the determination of a sanction:

1. *The severity and extent of the breach;*

2. *Whether the misconduct was an isolated incident, or part of an ongoing pattern of behaviour;*

3. *Any history of previously penalised misconduct by the student;*

4. *Recent precedent as established by relevant University decision making authorities;*

5. *The student's general health and personal circumstances at the time of the breach;*

6. *Any academic risk factors, stressors or external influences that might have impacted the student's otherwise sound judgement;*

7. *The extent to which the proposed sanction would have a lasting or irrevocable impact on the student's future graduation and/or work prospects;*

8. *Any social, cultural, or personal factors that could serve to attenuate or amplify the effect of proposed sanction;*

9. *Whether the student had (or was) coerced or misled (by) a third party into taking part in misconduct;*

10. *Whether the student could reasonably have understood that his or her actions would breach the expected standard of student conduct;*

11. *Whether the student promptly reported the misconduct and readily co-operated with any investigation;*

12. *Whether the student acknowledged responsibility and there is clear evidence of contrition;*

13. *Whether the student has taken steps to prevent such breaches in future; and*

14. *Whether the student has taken actions to remedy or reduce the impact of the breach.*

ITEM 8: QUESTION ON NOTICE

Academic Senate has received a Question on Notice requesting an update on the Chiropractic Program. The Acting-Dean of the Faculty of Science has responded.

For discussion.

ITEM 8: QUESTION ON NOTICE – PROGRESS REPORT CHIROPRACTIC PROGRAM (FOR DISCUSSION)

Issue:
A Question on Notice has been submitted to Academic Senate requesting feedback on the Chiropractic Program. The Question on Notice and response from the Acting-Dean of the Faculty of Science is outlined below.

Question:

In the 12 July 2013 meeting of Academic Senate, the Dean of the Faculty of Science, Prof Baldock provided a progress report on the transfer of the Macquarie University Chiropractic Program to a third party. This was recorded in the minutes as follows:

"Progress Report – Chiropractic Program
The Executive Dean of the Faculty of Science provided a progress report on the proposed transfer of the Chiropractic program to a third party provider. Professor Baldock advised the Senate that an Expression of Interest (EOI) for external education providers was currently in development. Professor Baldock estimated that the EOI would be finalised and released within the next few weeks. The need to consult widely was identified as a critical concern as was the need ensure prospective students are provided with accurate information on transition arrangements."

It has been over a year since Senate was last briefed on progress on this matter. It should be noted that the continuing uncertainty is impacting on morale within the Department of Chiropractic.

The transfer of the Chiropractic program has obvious academic impact on current and future Chiropractic students and to the Department of Chiropractic. More broadly it also has impacts elsewhere within the University including Departments who teach service units for Chiropractic and Departments who co-teach CHIR units within the program. Future planning also impacted by proposed transfer of the chiropractic program includes modelling undergraduate laboratory occupancy where this is already under pressure (such as in 1st year Physics laboratories which also support for chiropractic units: CHIR113, 114, 213, and 214).

These are clearly issues that fall within the general functions of the Academic Senate as outlined in the University Rules.

Given the need for greater clarity on the future of Chiropractic at Macquarie University, we request that Senate considers the following questions:

1) Can the University Executive brief the Senate on the current state of the proposed transfer of Chiropractic to a third party?

2) On what time-frame will the Senate, members of the affected departments and currently enrolled Chiropractic students be notified as to a definite outcome of the proposed transfer process?

Consultation Process:
The following offices have been consulted prior to the submission of this paper:

Chiro staff; chiro students (including 2014 newly-enrolled students for whom this will be the first email on this topic); chiro associations; other groups who have previously emailed chiroquestions@mq.edu.au (eg parents, alumni etc)

Response from Acting Dean of Science:

Question 1 - Update on transfer

- Discussions are continuing with the interested parties. These discussions are being led by the COO Paul Schreier and the CFO John Gorman, with the assistance of the Faculty (including the Exec Dean, Faculty GM and HoD of Chiropractic) and the University Legal Dept.
- The interested parties are reviewing the program in detail and considering the steps required for accreditation, should they choose to take on the program.
- We are continuing to invest in the program and staff to ensure the quality of the program is maintained and improved and that the best staff are available to teach our students. Staff have been re-assured of their position at MQ and have been provided with significant incentives to remain with the program. These incentives were provided to all categories of staff, academic (including sessional casual staff) and professional staff and were received positively by the Dept.
- The program and curriculum is also being enhanced and improved. The Masters program has recently been improved to attract more students from other science and health disciplines.
- We continue investing in the quality of our clinics and will be proposing the addition of a small lift at our Summer Hill Clinic.
- A new rehabilitation room has also been proposed for the vacant third floor of the clinic and will co-incide with the proposed inclusion of a lift.
- We intend purchasing new equipment in 2015 including renewal of expensive cadavers used for teaching.

Question 2 - Timeframe

- As soon as more information comes to light a more definite timeframe will be provided. Discussions are complex as is the accreditation process.
- A further update will be provided to Senate in December.
- The program will be accepting new students in 2015, and the University has provided an assurance that these students will graduate (including a Masters qualification) with an MQ qualification.

Recommendation:
For noting and discussion.

Submitted by: Prof Peter Nelson, Executive Dean Acting, Faculty of Science

For enquiries contact: Prof Peter Nelson, Executive Dean Acting, Faculty of Science

ITEM 9.1: PROPOSAL TO CHANGE THE NAME OF THE FACULTY OF SCIENCE

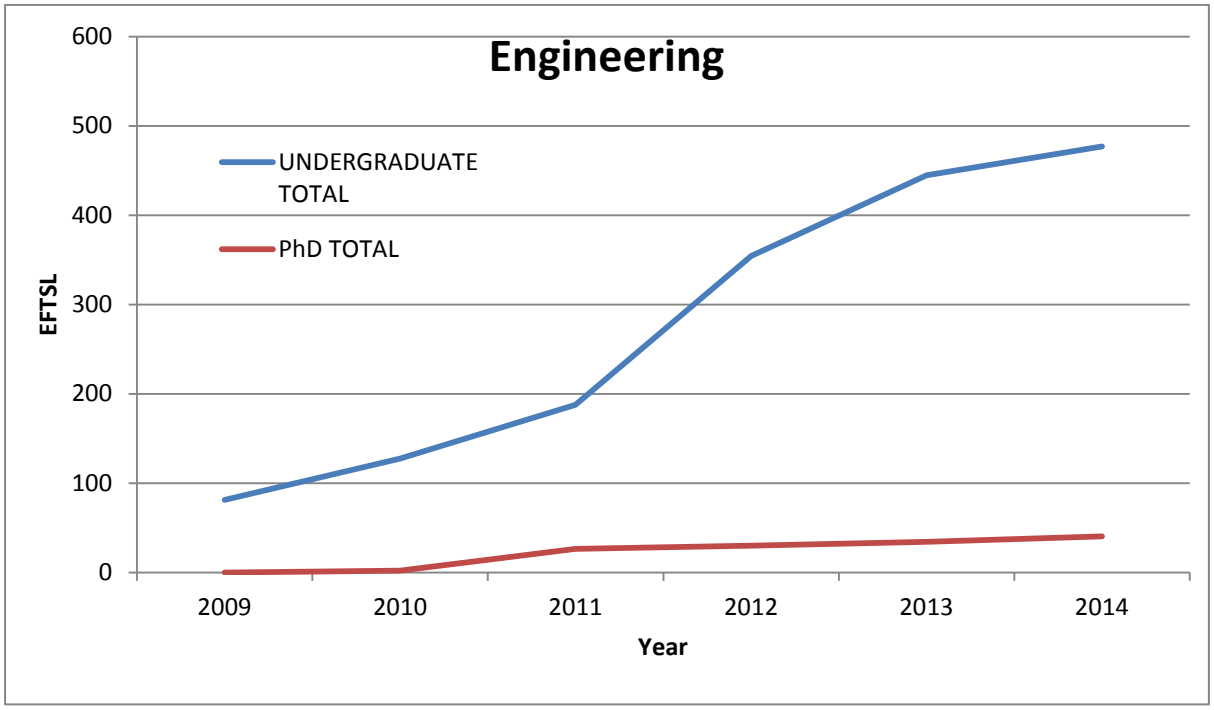
A proposal has been received from the Acting-Dean, Faculty of Science to change the name of the Faculty of Science to the Faculty of Science and Engineering.

For discussion.

ITEM 9.1: PROPOSAL TO CHANGE THE NAME OF THE FACULY OF SCIENCE (FOR DISCUSSION)

Issue:

Engineering at Macquarie has grown rapidly in terms of the number of students, staff and space over the last 5 years. Within the Faculty, the Engineering student load is expected to grow beyond that of our Bachelor of Science program in the next few years.



Historically, the Engineering program at Macquarie University grew out of research and teaching initiatives pursued initially by staff in the School of Physics. The subject offerings were initially focussed on electrical and electronic engineering, but recent additions have resulted in, or are intended to result in, programs in mechanical, materials, photonic, software and bio-medical engineering. The Faculty has also created a new Masters of Engineering that aims to attract local and international students, creating a more complete Engineering offering.

The current arrangement of a Department of Engineering located in the Faculty of Science has significant limitations especially with respect to visibility and recognition. Externally the engineering programs are not easily visible to potential students, industry and academic collaborators and this does not effectively reflect the size of the program and strategic importance to the University. Additionally, in the domestic and international sphere it is clear that major opportunities exist to

grow research together with undergraduate, postgraduate and higher degree research student numbers in engineering, with the appropriate visibility and breadth of programs.

To reflect the growth of the program and highlight the strategic importance to the University it is proposed that the name of the Faculty of Science be changed to the Faculty of Science & Engineering.

Consultation Process:
The following offices have been consulted prior to the submission of this paper:

- The Vice-Chancellor
- Deputy Vice-Chancellor (Research)
- The Executive Group
- Macquarie International
- Heads of Department within the Faculty of Science
- Website for feedback from the Faculty of Science staff

Recommendation:

That the Academic Senate support changing the name of the Faculty of Science to the Faculty of Science & Engineering.

Submitted by:
Professor Peter Nelson, Executive Dean-Acting, Faculty of Science.

For enquiries contact:
Professor Peter Nelson, Executive Dean-Acting, Faculty of Science.

ITEM 10.1: AMENDMENT TO A PROGRAM APPROVAL

The following Program approval was considered and was approved on the 21 July 2014 by the Chair of Academic Senate (Senate) and the Chair of the Academic Standards and Quality Committee (ASQC):

- Graduate Certificate of Management Post-MBA
  This Program had been approved via ASQC and Senate with the name "MBA Extension Graduate Certificate" however it was recommended that the name be changed.

For noting.

ITEM 10.2: 2015 UNIT OFFERING DEFINITIONS

The following 2015 Unit offering definitions, previously considered at ASQC meeting held on 20 May 2014 and recommended for approval at the Senate meeting held on 3 June 2014 (Resolution 14/83) have been varied from what was originally considered and approved.

The addition of the definition of the internal offering of “placement” was added to distinguish the offering from “Fieldwork” that is external.

This variation was recommended by the Chair of ASQC and approved by the Chair of Senate on 21 July 2014.

See attached list of 2015 Unit offering definitions (with amendment) which has been circulated to Faculties.

For noting.

	Mode		Codes	Sessions	Definition	Additional information
Rested in current year			2016	N/A	Unit is not offered in current year.	For rotational units indicate next year of offering. For units which may not be offered again, or which are due to be deleted in the next year, use TBD.
			2017	N/A		
			TBD	N/A		
On Campus Offerings (Internal)	Day	DAY	S1 Day	Session 1	Predominantly delivered face-to-face on a regular weekday basis on campus between 8am and 6pm over the duration of the study period. May be supplemented by a small number of off-campus/fieldwork or online sessions.	
			FY1 Day	Sessions 1 and 2		
			S2 Day	Session 2		
			FY2 Day	Sessions 2 and 1		
			S3 Day	Session 3		
			WV Day	Winter Vacation		
	Evening	EVE	S1 Evening	Session 1	Predominantly delivered face-to-face on a regular weekday basis on campus between 6pm and 10pm over the duration of the study period. May be supplemented by a small number of off-campus/fieldwork or online sessions.	
			FY1 Evening	Sessions 1 and 2		
			S2 Evening	Session 2		
			FY2 Evening	Sessions 2 and 1		
			S3 Evening	Session 3		
			WV Evening	Winter Vacation		
	Weekend	WKD	S1 Weekend	Session 1	Predominantly delivered face-to-face on a regular weekend basis on campus over the duration of the study period. May be supplemented by a small number of off-campus/fieldwork or online sessions.	
			FY1 Weekend	Sessions 1 and 2		
			S2 Weekend	Session 2		
			FY2 Weekend	Sessions 2 and 1		
			S3 Weekend	Session 3		
			WV Weekend	Winter Vacation		
	Block	BLK	S1 Block	Session 1	Predominantly delivered face-to-face in an intensive mode on campus in a sequence of days that may include weekends. These may be supplemented by a small number of off-campus/fieldwork or online sessions.	
			FY1 Block	Sessions 1 and 2		
			S2 Block	Session 2		
			FY2 Block	Sessions 2 and 1		
			S3 Block	Session 3		
	Placement	PLT	S1 Placement	Session 1	Predominantly delivered face-to-face under supervision over the duration of the study period. This may include internships, industry work or professional experience . There is no regular on-campus attendance although some supplementary on-campus attendance may be required.	Placements are categorised as internal and thus will attract the SAF fee. Students will be eligible for transport concessions. The unit will contribute to meeting the student's ESOS requirements for internal attendance.
			FY1 Placement	Sessions 1 and 2		
			S2 Placement	Session 2		
			FY2 Placement	Sessions 2 and 1		
			S3 Placement	Session 3		
			WV Placement	Winter Vacation		
Off Campus Offerings (External)	Online	WEB	S1 Online	Session 1	Delivered fully online (including all assessments). No on-campus attendance is required.	
			FY1 Online	Sessions 1 and 2		
			S2 Online	Session 2		
			FY2 Online	Sessions 2 and 1		
			S3 Online	Session 3		
			WV Online	Winter Vacation		
	External	EXT	S1 External	Session 1	Delivered online or via correspondence over the duration of the study period. There may be a small number of on-campus or off-campus/fieldwork sessions.	
			FY1 External	Sessions 1 and 2		
			S2 External	Session 2		
			FY2 External	Sessions 2 and 1		
			S3 External	Session 3		
			WV External	Winter Vacation		
	Fieldwork	FLD	S1 Fieldwork	Session 1	Predominantly delivered face-to-face under supervision off campus. This may include fieldwork, internships, industry work experience or similar placements. There is no regular on-campus attendance although some supplementary on-campus attendance may be required.	Fieldwork categorised as external will not attract the SAF fee. Students will not be eligible for transport concessions. The unit will not contribute to meeting the student's ESOS requirements for internal attendance.
			FY1 Fieldwork	Sessions 1 and 2		
			S2 Fieldwork	Session 2		
			FY2 Fieldwork	Sessions 2 and 1		
			S3 Fieldwork	Session 3		
			WV Fieldwork	Winter Vacation		

ITEM 10.3: VICE-CHANCELLOR'S COMMENDATIONS – MASTERS BY COURSEWORK

The following Vice-Chancellor's Commendations were approved by the Chair of Academic Senate on 18 August 2014.

For ratification.

ITEM 10.3: VICE-CHANCELLOR'S COMMENDATIONS - NOMINATIONS FOR MASTERS BY COURSEWORK CANDIDATES

Issue:
Nominations for a Vice-Chancellor's Commendation for Masters by coursework candidates are listed below. To be eligible for a Vice-Chancellor's Commendation a Masters by coursework graduand must have a GPA of 4.0, no more than 25% satisfactory/fail type credit points allowed, and at least 75% of the requirements of the award credit points must have been completed at Macquarie University.

Student ID	Student name	Award
FACULTY OF ARTS		
41428366	ANDERSON, Jillian Kay	Master of Arts
41610334	CECCATTINI, Danny Stefano	Master of International Relations
42404940	COYLE, Leigh	Master of Arts
42917832	DEBENHAM, Kate Cecilia	Master of International Relations
40765598	EARP, Michael Leslie	Master of Arts
41228464	JETSON, Adam	Master of Arts
41780434	PARSONS, Alexandra Clare	Master of Arts
41760441	QUAYLE, Hannah	Master of Policing, Intelligence and Counter Terrorism with Master of International Security Studies
FACULTY OF BUSINESS AND ECONOMICS		
42717841	CUI, Mengdi	Master of Accounting (Professional) with a Master of Commerce
43075703	LING, Chi Hang Nicole	Master of Accounting (Professional)
42573440	LOVEDAY, Oliver Virgona	Master of Applied Finance
41761561	LOWE, Ashley Theresa	Master of International Business
42785294	MCDERMOTT, Rebecca Anne	Master of Applied Finance
30360773	ROBERTS, Amanda Jane	Master of Commerce
FACULTY OF HUMAN SCIENCES		
40740005	ANANDAKUMAR, Thushara	Master of Clinical Neuropsychology
41239520	BROWNER, Sally-Anne	Master of Special Education
42381541	COSGROVE, Louise Anne	Master of Educational Leadership (Early Childhood Education)

42743893	DERMODY, Nadene Caber	Master of Clinical Neuropsychology
30355923	JACKSON, Jennifer Anne	Master of Special Education
40953157	FELLNER, Nathan Thomas	Master of Clinical Neuropsychology
42008581	HERMANN, Phillipa Ruth	Master of Applied Linguistics
31518036	PITRONACI, Sandra Antonia	Master of Applied Linguistics (TESOL)
31662137	TERRY, Michael Peter	Master of Applied Linguistics
FACULTY OF SCIENCE		
41211480	DILWORTH, Tasmin-Lara	Master of Environment
42240255	TERKILDSEN, Michael Bjorn	Master of Applied Statistics

Consultation Process:
The Graduation Unit has reviewed the Potential VC Commendations report from AMIS and cross-checked with academic transcripts.

Recommendation:
That the Vice-Chancellor's Commendation be awarded to the 25 Masters by coursework graduands listed above.

Submitted by: Deidre Anderson, Deputy Vice-Chancellor, Students and Registrar

For enquiries contact: Ken Wong, Senior Graduation Officer, ken.wong@mq.edu.au x6189

ITEM 10.4: VICE-CHANCELLOR'S COMMENDATIONS – BACHELOR DEGREES

The following Vice-Chancellor's Commendations were approved by the Chair of Academic Senate on 18 August 2014.

For ratification.

In addition, one nomination for a Vice-Chancellor's Commendation requires approval by Academic Senate:

Student ID	**Student name**	**Award**
FACULTY OF SCIENCE		
42450098	VAN LIEROP, Annika	Bachelor of Advanced Science

For approval.

ITEM 10.4: VICE-CHANCELLOR'S COMMENDATIONS NOMINATIONS FOR BACHELOR DEGREE CANDIDATES

Issue:
Nominations for a Vice-Chancellor's Commendation for outstanding academic achievement at the undergraduate level are listed herein. To be eligible for this award, an undergraduate student must have a GPA of 4.0 in at least 40 credit points completed at Macquarie University.

Student ID	Student name	Award
FACULTY OF ARTS		
41487583	KEYS, Lara Lisette	Bachelor of Arts
FACULTY OF BUSINESS AND ECONOMICS		
42880815	CAI, Zhutian	Bachelor of Commerce - Professional Accounting
43318479	IP, Luzia	Bachelor of Commerce - Professional Accounting
42180767	LO, Hoi Yan	Bachelor of Applied Finance with Bachelor of Commerce - Professional Accounting
42590620	MANANGQUIL, Jefferson Bryan	Bachelor of Commerce - Professional Accounting
42533643	WEI, Boxun	Bachelor of Applied Finance
FACULTY OF SCIENCE		
42619300	RANSON, Heather Ellen	Bachelor of Medical Sciences
42248256	GROBLER, Anna Sophia	Bachelor of Advanced Science

Consultation Process:
The Graduation Unit has reviewed the Potential VC Commendations report from AMIS and cross-checked with academic transcripts.

Recommendation:
That the Vice-Chancellor's Commendation be awarded to the 8 Bachelor degree graduands listed above.

Submitted by: Deidre Anderson, Deputy Vice-Chancellor, Students and Registrar

For enquiries contact: Ken Wong, Senior Graduation Officer, ken.wong@mq.edu.au x6189

ITEM 10.5: QUALIFIED FOR AN AWARD

On 18 August 2014, the Chair of Academic Senate approved student identified as 43510841 be qualified with the award of Macquarie University Foundation.

On 18 August 2014, the Chair of Academic Senate approved the attached list of students be qualified for the named awards to meet the deadlines of the September Graduation Ceremonies.

On 19 August 2014, the Chair of Academic Senate approved student identified as 42183715 be qualified with the award of Postgraduate Certificate in Applied Finance, to expedite the conferral of his award with the Singapore Applied Finance Centre cohort.

For ratification.

Student Id	Award
42597234	Master of Information Technology
42241812	Master of Policing, Intelligence and Counter Terrorism with the degree of Master of International Security Studies
41776674	Bachelor of Arts with the degree of Bachelor of Laws with honours
43375073	Master of Development Studies and Culture Change
43446477	Postgraduate Diploma of Translating and Interpreting
42425638	Master of Education
43112110	Master of Accounting (Professional)
43122590	Master of Economics
42989566	Master of International Trade and Commerce Law
42431646	Master of Information Technology
40740005	Master of Clinical Neuropsychology
41428366	Master of Arts
43029906	Postgraduate Certificate of Social Health and Counselling
42718872	Master of International Security Studies
30613272	Doctor of Philosophy
42154839	Bachelor of Applied Finance with the degree of Bachelor of Economics
41810147	Bachelor of Business Administration with the degree of Bachelor of Arts
42114357	Bachelor of Arts
41920341	Postgraduate Diploma of International Security Studies
30444853	Master of Educational Leadership (Early Childhood Education)
41906454	Master of Applied Finance
42915597	Bachelor of Science
41673972	Master of Management
43249965	Postgraduate Certificate of Higher Education
42436931	Bachelor of Science
42228794	Bachelor of Social Science
42066719	Bachelor of Commerce - Professional Accounting

42440750	Bachelor of Arts
42101654	Bachelor of Commerce
42444691	Bachelor of Commerce
41421248	Master of Social Health and Counselling
40738450	Bachelor of Science
42579686	Bachelor of Arts
42459710	Bachelor of Commerce
42370868	Postgraduate Diploma of Professional Psychology
43002102	Master of Policing, Intelligence and Counter Terrorism
42618258	Master of Environmental Planning
41239520	Master of Special Education
41806816	Bachelor of Arts
42393663	Bachelor of International Studies
43581218	Postgraduate Certificate of TESOL
41758242	Master of Social Health and Counselling
42430062	Bachelor of Commerce
42434300	Postgraduate Diploma in Computer Forensics
42363284	Master of Engineering Management
41696808	Bachelor of Arts
43101119	Graduate Certificate of Science
43101119	Master of Applied Statistics
43452558	Postgraduate Certificate of Editing and Electronic Publishing
42210291	Master of Applied Finance
43216684	Postgraduate Certificate of TESOL
42817447	Bachelor of Commerce - Professional Accounting
42804396	Master of Applied Finance
40409864	Master of Management
43005977	Master of Commerce
42666570	Bachelor of Philosophy
30454883	Master of Applied Finance

42018595	Bachelor of Commerce
42043611	Postgraduate Certificate of Environment
41749030	Bachelor of Arts with the degree of Bachelor of Laws with honours
41248775	Bachelor of Arts
43406017	Postgraduate Diploma of Management
42304318	Bachelor of Commerce
42396603	Master of Accounting (Professional)
40290050	Doctor of Philosophy
43081673	Master of Commerce
42726891	Master of Accounting (Professional)
40109534	Postgraduate Certificate of Editing and Electronic Publishing
41642651	Master of Applied Finance
41894561	Master of Accounting (Professional)
42695449	Bachelor of Commerce
42317606	Bachelor of Commerce - Professional Accounting
41922298	Master of Commerce
43163769	Master of Laboratory Quality Analysis and Management
42631033	Master of Commerce
42377854	Bachelor of Commerce
42986672	Master of Applied Finance
43610145	Postgraduate Diploma of Translating and Interpreting
42381568	Master of Environmental Management
30267595	Master of Policing, Intelligence and Counter Terrorism
43451632	Postgraduate Certificate of Ancient History
41987160	Postgraduate Diploma of Professional Psychology
41696867	Postgraduate Certificate of International Security Studies
42741041	Postgraduate Certificate in Policing, Intelligence and Counter Terrorism
41786009	Bachelor of Business Administration with the degree of Bachelor of Arts - Psychology
42107938	Bachelor of Commerce

42517966	Bachelor of Arts
43200001	Master of Commerce
42404940	Master of Arts
41091752	Bachelor of Arts
42935350	Bachelor of Commerce
42817684	Bachelor of Arts - Media
43210929	Master of International Communication
42811376	Master of Policing, Intelligence and Counter Terrorism
42632692	Master of Policing, Intelligence and Counter Terrorism
41773667	Bachelor of Science
43350925	Master of Business Administration
42313198	Bachelor of Commerce
43342558	Master of International Communication
43475876	Postgraduate Diploma of Politics and Public Policy
42496748	Master of Commerce
42743893	Master of Clinical Neuropsychology
42236258	Master of Business Administration
42916887	Bachelor of Commerce
40739937	Master of Clinical Neuropsychology
42943485	Master of Commerce
31095941	Master of Applied Finance
43459560	Postgraduate Certificate of TESOL
43374239	Master of Commerce
42108691	Bachelor of Arts
42917913	Bachelor of Commerce
42676843	Bachelor of Commerce
43086284	Master of Commerce
42477344	Bachelor of Science
41458605	Bachelor of Engineering
40765598	Master of Arts

42367735	Master of Management
43207006	Master of Policing, Intelligence and Counter Terrorism with the degree of Master of International Security Studies
43088090	Master of Business Administration
40953157	Master of Clinical Neuropsychology
42317681	Master of Commerce
41890663	Master of Applied Finance
40986578	Bachelor of Commerce
42743117	Master of Commerce
42246199	Bachelor of Arts with the Diploma of Education
42183294	Master of Applied Finance
42785510	Master of Applied Finance
42115779	Bachelor of Arts with the Diploma of Education
43453597	Postgraduate Diploma of Management
42817455	Bachelor of Commerce - Professional Accounting
42902606	Bachelor of Commerce
43497314	Postgraduate Certificate of Management
41469275	Bachelor of Applied Finance with the degree of Bachelor of Commerce - Professional Accounting
42661005	Master of Commerce
41977106	Master of Commerce
42494044	Bachelor of Arts
43411827	Master of International Communication
43226132	Postgraduate Certificate of Social Impact Assessment
43021581	Master of Business Administration
42013208	Master of Applied Finance
41223969	Graduate Diploma of Psychology
42917034	Bachelor of Science
42356423	Master of Applied Finance
42468531	Bachelor of Arts
42519969	Master of Accounting (Professional)

41986660	Doctor of Philosophy
42241375	Master of Education
41283953	Bachelor of Arts
42248256	Bachelor of Advanced Science
42097908	Bachelor of Information Technology
42261821	Master of Commerce
42788129	Master of Commerce
43401953	Postgraduate Diploma of Applied Linguistics
42750415	Master of International Relations with the degree of Master of International Trade and Commerce Law
41760239	Bachelor of Arts with the degree of Bachelor of Commerce
41480058	Bachelor of Arts - Psychology
42031850	Postgraduate Diploma in Biostatistics
41765893	Bachelor of Science
43610161	Postgraduate Diploma of Translating and Interpreting
41760247	Bachelor of Arts
40977137	Bachelor of Philosophy
43445497	Master of International Security Studies
42998808	Master of Applied Finance
43621147	Postgraduate Certificate of TESOL
43551211	Master of Commerce
42445868	Bachelor of Commerce - Professional Accounting
42604613	Doctor of Philosophy
42578396	Master of Accounting (Professional) with the degree of Master of Commerce
41949102	Doctor of Philosophy
42008581	Master of Applied Linguistics
43359108	Master of Applied Finance
42933099	Postgraduate Diploma of Policy and Applied Social Research
42567734	Bachelor of Commerce
31257542	Master of Special Education

30649595	Master of Commerce
42724813	Master of Applied Statistics
42330807	Bachelor of Information Technology
43169074	Master of International Trade and Commerce Law
42533155	Master of Applied Finance
42440602	Bachelor of Ancient History
41753186	Bachelor of Arts
42968011	Master of Accounting (Professional)
41509331	Bachelor of Information Technology
42047528	Doctor of Philosophy
43013546	Bachelor of Commerce
43021425	Master of Translating and Interpreting with the degree of Master of International Relations
41684273	Master of Policing, Intelligence and Counter Terrorism
41245814	Bachelor of Arts
30355923	Master of Special Education
42154790	Master of International Trade and Commerce Law
42837545	Master of Translating and Interpreting with the degree of Master of International Relations
42825415	Master of Translating and Interpreting
42618711	Bachelor of Arts with the degree of Bachelor of Commerce
43248950	Postgraduate Certificate of Policing, Intelligence and Counter Terrorism
42733545	Master of Actuarial Practice
42314046	Bachelor of Commerce
42314054	Bachelor of Commerce
43610188	Postgraduate Diploma of Translating and Interpreting
42475309	Bachelor of Commerce
43330266	Bachelor of Commerce - Professional Accounting
43223338	Postgraduate Diploma of Translating and Interpreting
43236154	Postgraduate Diploma of Translating and Interpreting

43448011	Master of Translating and Interpreting
43448038	Postgraduate Diploma of Translating and Interpreting
43611036	Postgraduate Diploma of Translating and Interpreting
42245990	Bachelor of Commerce
43531938	Postgraduate Certificate of TESOL
42418739	Master of Commerce
43356613	Master of Development Studies and Culture Change
43189164	Postgraduate Diploma of Translating and Interpreting
43207723	Postgraduate Certificate of Policing, Intelligence and Counter Terrorism
41426290	Postgraduate Diploma of Social Health and Counselling
42805414	Master of Policing, Intelligence and Counter Terrorism with the degree of Master of International Security Studies
30243343	Master of Management
40971902	Postgraduate Certificate of Editing and Electronic Publishing
43009344	Master of Economics
42926068	Bachelor of Commerce
41027728	Doctor of Philosophy
41974654	Postgraduate Certificate of TESOL
43026397	Master of Translating and Interpreting
43057225	Master of Translating and Interpreting
43611087	Postgraduate Diploma of Translating and Interpreting
43551041	Master of Commerce
40527034	Doctor of Psychology (Organisational Psychology)
40679845	Master of Educational Leadership (School Education)
43448623	Master of Translating and Interpreting
42249880	Graduate Diploma in Psychology
42585171	Master of Translating and Interpreting with the degree of Master of Applied Linguistics
43427480	Master of Sustainable Development
43442382	Postgraduate Diploma of Management

43407129	Postgraduate Diploma of Management
41762002	Bachelor of Applied Finance with the degree of Bachelor of Laws
42597722	Master of Applied Finance
42813360	Master of Commerce
42765684	Master of Information Technology
41704827	Postgraduate Diploma of Professional Psychology
43550924	Master of Commerce
42116481	Bachelor of Commerce
41790227	Bachelor of Arts
41113780	Doctor of Business Administration
43407579	Postgraduate Diploma of Management
42606403	Master of Applied Finance
42482542	Bachelor of Medical Sciences
43611133	Postgraduate Diploma of Translating and Interpreting
43611176	Postgraduate Diploma of Translating and Interpreting
42746248	Master of Accounting (Professional)
41322762	Bachelor of Commerce
43448666	Postgraduate Diploma of Translating and Interpreting
41951123	Master of Accounting (CPA Extension)
43026532	Master of Translating and Interpreting
43235204	Master of Translating and Interpreting
43611265	Postgraduate Diploma of Translating and Interpreting
43214452	Postgraduate Certificate of TESOL
30372127	Postgraduate Diploma of Management
42734444	Master of Commerce
43391885	Master of Policing, Intelligence and Counter Terrorism
40532100	Bachelor of Science
42510988	Bachelor of Commerce
42033012	Bachelor of Commerce
41387058	Postgraduate Certificate in Applied Finance

42597188	Bachelor of Commerce
42947928	Bachelor of Economics
43099912	Master of Commerce
43331726	Master of Commerce
43424368	Master of Business Administration
43214304	Master of Applied Finance
42642558	Master of Commerce
42545498	Master of Accounting (CPA Extension)
42069351	Bachelor of Commerce
43147801	Postgraduate Diploma in Translating and Interpreting
42529468	Postgraduate Diploma in Translating and Interpreting
41641663	Doctor of Philosophy
42257786	Master of Accounting (Professional)
42575648	Master of Commerce
42658470	Bachelor of Commerce
42810833	Master of Commerce
42056780	Bachelor of Commerce
42219728	Master of Accounting (CPA Extension)
42347912	Master of Accounting (Professional)
42925363	Bachelor of Commerce
43103510	Master of Science
40518280	Graduate Diploma of Psychology
42506948	Bachelor of Commerce
42573440	Master of Applied Finance
40742865	Bachelor of Commerce with the degree of Bachelor of Laws
42167140	Master of Accounting (CPA Extension)
42223482	Bachelor of Arts
43352030	Master of Applied Finance
42398398	Master of Accounting (Professional)
43111696	Master of Accounting (Professional)

43158951	Bachelor of Arts
42133718	Master of Environmental Management
42631432	Master of Environmental Management
43153119	Master of International Communication with the degree of Master of International Relations
42652219	Postgraduate Certificate of Policing, Intelligence and Counter Terrorism
42133653	Bachelor of Arts with the degree of Bachelor of Education (Primary)
41818504	Bachelor of Social Science
42366054	Master of Clinical Psychology
42775132	Master of Development Studies and Culture Change
42275083	Bachelor of Commerce - Professional Accounting
42412412	Master of Business Administration
41830261	Master of Policing, Intelligence and Counter Terrorism
42798469	Master of Computer Forensics
40314782	Master of Policy and Applied Social Research
42508541	Postgraduate Certificate in Policing, Intelligence and Counter Terrorism
41686322	Bachelor of Arts
41411277	Master of Policing, Intelligence and Counter Terrorism
41353439	Doctor of Business Administration
40533735	Doctor of Philosophy
42433746	Master of Social Health and Counselling
42783402	Postgraduate Certificate of Special Education
42017750	Master of Arts
41948289	Doctor of Philosophy
42979927	Master of Applied Finance
43120210	Master of Commerce
42466148	Bachelor of Commerce
41763203	Bachelor of Applied Finance with the degree of Bachelor of Commerce - Professional Accounting
43454453	Postgraduate Diploma of Social Health and Counselling

42149355	Bachelor of Science
42555957	Postgraduate Diploma of Policing, Intelligence and Counter Terrorism
41909763	Bachelor of Commerce
41837053	Bachelor of Engineering with the degree of Bachelor of Commerce
42933153	Master of Policing, Intelligence and Counter Terrorism
43396070	Master of Applied Statistics
41807847	Postgraduate Diploma of Professional Psychology
43061877	Postgraduate Certificate of TESOL
43206433	Postgraduate Diploma of Policing, Intelligence and Counter Terrorism
43226736	Master of Commerce
43217524	Master of Management
41193091	Postgraduate Diploma of Professional Psychology
43442595	Postgraduate Diploma of Management
42882222	Bachelor of Commerce
43101674	Master of Commerce
40759415	Master of Applied Finance
42330157	Bachelor of Teaching (Birth to Five Years)
41667158	Bachelor of Arts
41649532	Bachelor of International Studies with the degree of Bachelor of Laws with honours
43575420	Postgraduate Certificate of TESOL
43459781	Postgraduate Certificate of International Security Studies
41656652	Doctor of Business Administration
43178472	Postgraduate Diploma of Professional Psychology
43611281	Postgraduate Diploma of Translating and Interpreting
43234976	Master of Translating and Interpreting
43026109	Postgraduate Diploma of Translating and Interpreting
41878108	Master of Policing, Intelligence and Counter Terrorism
42756278	Master of Policing, Intelligence and Counter Terrorism with the degree of Master of International Security Studies
42647649	Master of Policing, Intelligence and Counter Terrorism

41986822	Doctor of Philosophy
41726545	Postgraduate Certificate of Policing, Intelligence and Counter Terrorism
41947150	Doctor of Philosophy
42163064	Bachelor of Science
86016245	Master of Applied Finance
43448658	Postgraduate Diploma of Translating and Interpreting
42774586	Bachelor of Commerce - Professional Accounting
42152755	Bachelor of Commerce - Professional Accounting
43026605	Master of Translating and Interpreting with the degree of Master of International Relations
41780434	Master of Arts
42915694	Master of Accounting (Professional)
42272416	Postgraduate Certificate in Policing, Intelligence and Counter Terrorism
42671140	Bachelor of Commerce
42460468	Bachelor of Ancient History
42673062	Master of Arts
43233864	Postgraduate Certificate of TESOL
43057993	Master of Applied Linguistics
42091152	Bachelor of Arts
42541859	Master of Commerce
43112625	Master of Translating and Interpreting
43088651	Master of Commerce
43162002	Master of International Communication
40740269	Master of Clinical Neuropsychology
43341756	Postgraduate Diploma of Social Health and Counselling
41832973	Bachelor of Arts with the degree of Bachelor of Laws
42813581	Master of Applied Finance
43336809	Bachelor of Commerce
41188683	Bachelor of Business Administration

43446043	Master of Science
42978408	Master of Accounting (Professional)
43551084	Master of Commerce
30360773	Master of Commerce
41246470	Bachelor of Arts
43403700	Master of Higher Education
41821742	Bachelor of Arts
42304482	Bachelor of Science
30637139	Postgraduate Certificate in Applied Finance
41637062	Bachelor of Arts
40740226	Bachelor of Arts - Psychology
42635748	Master of Business Administration
42842751	Bachelor of Commerce
42303281	Bachelor of Applied Finance
41690907	Postgraduate Diploma of Policy and Applied Social Research
42428742	Bachelor of Commerce
42042593	Master of Commerce
30349893	Master of Arts
42235197	Bachelor of Science with the Diploma of Education
40960420	Doctor of Philosophy
43478220	Master of Education
43025862	Postgraduate Diploma of Translating and Interpreting
43392059	Master of International Environmental Law
42145988	Master of Applied Finance
42545722	Master of Accounting (Professional)
41825608	Bachelor of Commerce
43211550	Master of Commerce
42097924	Bachelor of Arts with the Diploma of Education
42244374	Master of Applied Finance
42785545	Master of Applied Finance

42726832	Master of Applied Finance
42133483	Bachelor of Arts with the degree of Bachelor of Laws
42976952	Bachelor of Commerce
43224865	Master of Policing, Intelligence and Counter Terrorism
42026857	Master of Policing, Intelligence and Counter Terrorism
42129222	Bachelor of Laws with honours
42087937	Master of Translating and Interpreting
42228468	Bachelor of Commerce - Professional Accounting
42438160	Bachelor of Science
43572413	Postgraduate Certificate of International Security Studies
42453666	Bachelor of Arts
42129729	Bachelor of Arts with the degree of Diploma of Education
42321107	Master of Accounting (Professional)
42350425	Master of Accounting (Professional) with the degree of Master of Commerce
40724689	Doctor of Philosophy
42017823	Master of International Relations
42599350	Master of Applied Linguistics
41407792	Graduate Certificate of Teaching (8 to 12 years)
42676487	Master of Applied Finance
42777011	Master of Commerce
42049555	Bachelor of Arts with the degree of Bachelor of Commerce
41770293	Bachelor of Planning
42167280	Master of Business Administration
40761398	Bachelor of Arts
43702295	Postgraduate Certificate in International Relations
42603587	Master of Special Education
40490939	Master of Corporate Governance
42301815	Master of Commerce
43469558	Master of Advanced Surgery

42731631	Bachelor of Philosophy
42606608	Master of Applied Finance
42413982	Bachelor of Business Administration
42322170	Master of Accounting (CPA Extension)
42119642	Bachelor of Commerce
41805828	Bachelor of Arts
43115004	Postgraduate Certificate of TESOL
43355943	Master of Commerce
42097010	Bachelor of International Studies
41353021	Master of Applied Finance
42109647	Bachelor of Arts
42125987	Bachelor of Education (Early Childhood Education)(Birth-12)
42271843	Bachelor of Arts
42918170	Bachelor of Social Science
30026008	Postgraduate Certificate in Special Education (Learning Difficulties)
43463908	Postgraduate Certificate of TESOL
43150993	Master of Economics
43223346	Postgraduate Certificate of Translating and Interpreting
42723388	Master of Clinical Psychology
42316642	Bachelor of Commerce
42931770	Master of Accounting (Professional)
42221390	Bachelor of Engineering
43097553	Master of Commerce
42245214	Master of Accounting (Professional)
42319099	Bachelor of Commerce
42418674	Master of Accounting (Professional)
42146364	Master of Advanced Professional Accounting
42259738	Master of Teaching (Birth to Five Years)
40832252	Master of Applied Finance
42457270	Bachelor of Commerce

42803411	Postgraduate Certificate of Policing, Intelligence and Counter Terrorism
43225616	Postgraduate Certificate of Arts
42533643	Bachelor of Applied Finance
41656644	Doctor of Business Administration
42063132	Master of Accounting (CPA Extension)
42597013	Master of Special Education
42181755	Master of Management
43551335	Master of Commerce
43207405	Master of Policing, Intelligence and Counter Terrorism
42037360	Bachelor of Commerce
41758404	Bachelor of Arts with the Diploma of Education
43080561	Master of Accounting (Professional)
43441416	Postgraduate Diploma of Professional Psychology
42045053	Master of Accounting (CPA Extension)
43312721	Bachelor of Applied Finance
42185858	Bachelor of Commerce
42825709	Diploma of Languages
42609674	Doctor of Philosophy
42661307	Bachelor of Commerce
43104452	Master of Commerce
43610900	Master of Commerce
43409512	Master of Commerce
41856376	Master of Actuarial Practice
41311272	Master of Clinical Neuropsychology
42193516	Bachelor of Commerce
42638836	Master of Science
42545285	Master of Accounting (CPA Extension)
42419735	Bachelor of Commerce
43117473	Master of Commerce

42895375	Master of Commerce
41522583	Bachelor of Arts
43080324	Master of Accounting (Professional)
41977882	Master of Accounting (CPA Extension)
41658868	Postgraduate Certificate of Applied Finance
43233740	Master of Translating and Interpreting
42916291	Bachelor of Commerce
41744292	Bachelor of Commerce
42347947	Master of Accounting (CPA Extension)
42509580	Bachelor of Commerce
42514738	Bachelor of Commerce
42713994	Bachelor of Commerce
43002293	Master of Commerce
41370325	Bachelor of Commerce - Professional Accounting
42540143	Bachelor of Applied Finance
43124070	Master of Commerce
42180651	Bachelor of Commerce
40588467	Master of Science
42269946	Master of Applied Finance
42249597	Bachelor of Applied Finance
42513464	Bachelor of Commerce
42612748	Bachelor of Applied Finance
42044669	Master of Commerce
42638631	Master of Applied Finance
42209730	Master of Accounting (CPA Extension)
42407060	Bachelor of Commerce
42297524	Master of Accounting (CPA Extension)
42237084	Master of Accounting (Professional)
41814274	Bachelor of Commerce
42642701	Master of Accounting (Professional)

42200776	Bachelor of Commerce
43112870	Postgraduate Diploma in Translating and Interpreting
42719941	Bachelor of Commerce - Professional Accounting
43390889	Master of Commerce
42434637	Bachelor of Applied Finance with the degree of Bachelor of Commerce - Professional Accounting

ITEM 11.1: ACADEMIC STANDARDS AND QUALITY COMMITTEE REPORT

Report of the Academic Standards and Quality Committee meeting held on 19 August 2014.

For approval.

REPORT TO ACADEMIC SENATE
ACADEMIC STANDARDS AND QUALITY COMMITTEE
MEETING OF 19 AUGUST 2014

ITEMS RECOMMENDED FOR APPROVAL

1. Committee membership

The following members have been nominated and/or appointed to sit on the Academic Standards and Quality Committee with effect from August 2014:

- A/Professor Pamela Coutts – Chair
- A/Professor Carlos Bernal-Pulido, Dr Trevor Case, Dr Rahat Munir – One member per Faculty
- Dr Edward Watts and Dr Rod Yager – 2 members of Academic Senate
- James Meek and Cathy Rytmeister – 2 members from the Learning and Teaching Centre
- Lynn Negus – member from the Centre for Open Education
- Fiona Burton – member from the Library
- Dr Gordon Brooks, Dr Stephen Collins, Catriona Lavermicocca, Dr Peter Rogers, Dr Anne-Louise Semple, Sue Spinks and A/Professor Manjula Waniganayake - up to 8 co-opted members

A number of available positions on this Committee are still to be filled.

Recommendation:

That Academic Senate approves the appointment of the above members to the Academic Standards and Quality Committee.

2. Master of Advanced Translation and Interpreting Studies

The Committee considered the proposal for the Master of Advanced Translation and Interpreting Studies (refer to the following link to the Agenda – reference item 7.1).

Recommendation:

That the Master of Advanced Translation and Interpreting Studies is RECOMMENDED FOR APPROVAL by Academic Senate.

3. Master of Engineering

The Committee considered the proposal for the Master of Engineering (refer to the following link to the Agenda – reference item 7.2).

Recommendation:

That the Master of Engineering is RECOMMENDED FOR APPROVAL by Academic Senate.

4. Addition of a specialisation – Electronic Engineering

The Committee considered the proposal for the addition of a specialisation submitted by the Faculty of Science (refer to the following link to the Agenda – reference item 7.10).

Recommendation:

That the addition of a specialisation – Electronic Engineering is RECOMMENDED FOR APPROVAL by Academic Senate.

ITEMS FOR NOTING

The Chair noted the attendance of the newly constituted Academic Standards and Quality Committee (ASQC) and welcomed a number of new and familiar members to ASQC.

A number of 2014/2015 Program changes were noted (refer to Item 5 of the ASQC Agenda). The Committee was provided with an update on the progress of Stage 2 of the Curriculum renewal project and noted that the deadline of Friday 5 September is fast approaching.

The Committee considered a proposal for the Co-badging of 600-level units with undergraduate units, the proposal was referred back for further clarification on a number of aspects, however the development of a framework was referred to the Chair of Academic Senate to follow-up with the Curriculum Standards Framework Committee.

Proposal to add existing units to the Schedule of PACE Units for 2015
The following units were added to the Schedule of PACE units effective 2015:

- ANTH225 – Field School in Anthropology (Fiji)
- MHIS300 – Making History: Capstone Unit
- DANZ350 – Creative Process

Proposal to add an existing unit to the Schedule of People and Planet Units for 2015
The following unit was added to the Schedule of People and Planet Units for 2015:

- MHIS205 – ANZAC: Australians at War

The following late changes to the Schedule of Programs, Majors and Specialisations was approved:

- APLI12M – Master of Applied Linguistics and TESOL

The next meeting of ASQC will be held on Tuesday 16 September 2014; agenda items are due Friday 5 September 2014.

The full minutes of ASQC can be accessed via the TRUTH directory ASQC after they have been approved at the next ASQC meeting on 16 September 2014.

Associate Professor Pamela Coutts
CHAIR

ITEM 11.2: CURRICULUM STANDARDS FRAMEWORK COMMITTEE REPORT

Reports of the Curriculum Standards Framework Committee meeting held on 13 August 2014.

For approval.

REPORT TO ACADEMIC SENATE
CURRICULUM STANDARDS FRAMEWORK COMMITTEE
MEETING OF 13 August 2014

ITEMS FOR NOTING

Recognition of Prior Learning

The Committee discussed the draft document *Recognition of Prior Informal and Non-Formal Learning, Guidance and Instructions* and online forms which define how each department will develop and approve its Department RPL Plan. The Departmental RPL Plan should describe the mechanisms it makes available for assessing and granting recognition of prior informal and non-formal learning.

The Committee noted that some amendments to the *2015 RPL Policy* may be needed in light of recent developments.

Course Transfer
The Committee noted that the draft course transfer criteria has been disseminated to Faculty Program Directors and Associate Deans, Standards and Quality for review. It is scheduled to be considered for approval by ASQC at their meeting in September.

Ratification of Results
The Committee noted that the Working Group is developing a statement of minimum moderation standards.

Checklist for Disestablishment of Academic Programs
The Committee considered the *Draft Checklist for Disestablishment of Academic Programs* which will provide useful background information to enable a Faculty to consider requirements around a decision to disestablish a program.

The next meeting of CSFC will be held on Wednesday, 11 September 2014. Agenda items are due 2 September 2014.

The full minutes of CSFC can be accessed via http://senate.mq.edu.au/csfc/agendas.html

Professor Dominic Verity
CHAIR

ITEM 11.3: HIGHER DEGREE RESEARCH APPEALS COMMITTEE REPORT

Report of the Higher Degree Research Appeals Committee meeting held on 7 August 2014.

For approval.

MACQUARIE UNIVERSITY
CONFIDENTIAL

HIGHER DEGREE RESEARCH APPEALS COMMITTEE
REPORT TO ACADEMIC SENATE

A meeting of the Higher Degree Research Appeals Committee was held on Thursday 7th August at 9:30 am in Meeting Room 372, Building C5C

PRESENT: Associate Professor Doris McIlwain (Faculty of Human Sciences, Chair)
Associate Professor Brian Atwell (Faculty of Science),
Dr Alison Holland (Faculty of Arts)
Dr Chris Baumann (Faculty of Business and Economics)
Prof Anne Castles (Faculty of Human Sciences)

APOLOGIES: **n/a**

IN ATTENDANCE: Dr Ren Yi (Director, Higher Degree Research Office)
Ms Jennifer Martin (Higher Degree Research Office)

A meeting of the Higher Degree Research Appeal Committee (HDRAC) was held to determine the committee's response in the cases of student's 41352009 and 41849728.

Case One: 41352009

The student submitted her thesis prior to the appointment of examiners. The examiners were eminent in the relevant field and due process was followed in their appointment. Two out of the three examiners recommended that the thesis be revised and resubmitted. These recommendations were formally accepted, by Dr Wu, as principal supervisor. The adjunct supervisor Professor Hammarstrom also signals his acceptance of these recommendations having viewed the examiners reports, though he was not included in their appointment and he did not endorse the timing of the submission of the PhD.

The Student elected not to re-enrol. The university did not award the degree. The Student is appealing this decision by attacking the credentials of the examiners and suggesting that she has not had a fair examination. She seeks to have a revised thesis submitted for examination, independently of the views of her supervisors.

The basis of the appeal made by The Student (in summary form):

1) There were unprofessional and incompetent examiners appointed: who made 'untrue and inconsiderate' statements 'not based in fact'.
2) The University appointed supervisors have not offered any support for The Student's views.
3) The Student suggests that only pages 1-36 of her thesis was commented upon; that none of the examiners' comments was based on fact, and that there was no signature on Prof Jakobsen's examiner's report.
4) She claims that it is her right to submit the thesis without her supervisors' approval. She called for a fair examination, sent an amended thesis and report to Prof Mansfield and to her supervisors in August 2013, but this was ignored.
5) She suggests it is pointless to re-enrol because the supervision is poor.
6) She suggests that her adjunct supervisor, Prof Hammarstrom understands but that Dr Wu, her primary supervisor, responded to the examiner's report without including Prof Hammarstrom who took the major role in supervision.
7) Prof Hammarstrom was not consulted about the appointment of examiners.

The Appeals Committee finds no evidence of procedural irregularity and upholds the decisions of the HDR Committee and the decisions of Senate.

In detail, no evidence offered supports claims 1-7.
The examiners were formally appointed with the signed approval of the student. Had she felt that Prof Hammarstrom should have been included she had the latitude to request that at the time of examiner appointment (this addresses points 1 and 7). The examiners were appointed after the thesis has been submitted, but this slight procedural irregularity has no bearing on the appeal. There is some question about supervision in permitting an unbalanced thesis to be submitted for examination given that one chapter makes up the bulk of the thesis, but that is an academic matter perhaps beyond the brief of the Appeals Committee.

The written reports by the examiners suggesting that the thesis be revised and resubmitted are extremely thorough. One examiner is prepared to examine the revised thesis, showing concern and commitment for the work. All examiners comment on the thesis as a whole (contra point 3, though the signature is indeed lacking from Prof Jakobsen), with the two requesting revision making clear the basis for this decision, including imbalance in chapter length, and evidencing convergent views as to the difficulties with the work (contra point 1). The supervisors have not defended The Student's views (as per point 2) in light of the confluence of opinion by two experts in the field who recommend 'revise and resubmit'. Prof Hammarstrom is in accord with the examiners' reports and makes this clear, noting that the only incompetent examiner was the one permitting the thesis to pass, (contra point 6).

Regarding point 4, it is unclear to the Appeals Committee on what basis the student could have amended her thesis when she discredits all feedback from the nominated experts. It is therefore not a procedural flaw for the supervisors and Prof Mansfield to ignore such an attempt at resubmission. The procedure is clear. What is unclear to this committee is what the student would like to see as an outcome of the appeal process other than re-enrolment so that she can revise and resubmit.

Regarding point 5 that supervision is inadequate and there is no point in re-enrolment, from Prof Hammarstrom's documented communications it seems that student uptake of supervisory recommendations seems to be at least part of the problem. As Prof Hammarstrom, the adjunct supervisor, whom The Student claims did most of the supervision, gave strong advice not to submit the thesis at this time – advice that was not heeded by the student. The student elected not to re-enrol. There was no course of action open to the University other than not to award the thesis.

Final Comment
While this committee is unsure what the student wanted as an alternative outcome to Revise and Resubmit, it seems that there could be an argument that Prof Hammarstrom has the goodwill to see her through an Revise and Resubmit, or at least, the publication of a book. She might be encouraged to explore these possibilities once emotional equilibrium is regained.

Case two: 41849728

The Student carried out research which required time in Kenya gathering data. Despite delays (ethics and teachers' strikes) she fulfilled her requirements of the PhD (as per the APRs), presented at conferences, and had material that was to form part of formal publications.

She experienced difficulties mid 2013: when her scholarship ended, her primary supervisor went on leave and was not replaced by an interim supervisor, and her son of 10 was found to have autism. She experienced financial and emotional hardships and her progress in this year (October, 2013) was not satisfactory. She lost access to regular **face-to-face supervision** and her scholarship monetary support at the same time.

Her candidature was extended, with her primary supervisor's support, in December 2013 and is formally documented on her Student Research Profile as due to end in 10/06/2014.

However, prior to that date, she was asked to submit a draft copy of her thesis - which she did, on January 16, 2014. She received extensive and detailed comments from her supervisors, and commenced revisions as quickly as possible. She acknowledged receipt by email of those comments on January 20, 2014. While working on the requested changes, she spoke face to face with her supervisor on February 4th about planning a progress meeting. She received a request to 'show cause' on the 14th of February, 2014 on the basis of: unsatisfactory progress and lack of communication with supervisors.

Basis of the appeal as put forward by The Student:

1) How satisfactory progress is defined, judged and explained to the candidate. She suggests that progress be viewed holistically from commencement. She suggests that errors detected in chapters under an appeal process do not constitute adequate grounds for terminating candidature,
2) A lack of evidence of failure to communicate with supervisors and
3) Procedural unfairness: she queries the definition of satisfactory progress, does not know how it has been judged, suggesting that no information has been provided to her concerning the criteria used by the principal supervisor to arrive at the conclusion of unsatisfactory progress. She is entitled to submit her thesis without approval of her supervisor. She has not been given reasons for the rejection of her thesis for examination and therefore cannot adequately appeal that decision.

Summary Conclusion

The Committee acknowledges that this is a complex case. We find that there are procedural irregularities. We sustain the Appeal on the following grounds:

No evidence of lack of communication with supervisors: A lack of communication over a two-week period does not seem sufficient basis for termination of candidature.

The Student was out of touch with her supervisors from January 20 to February 4 (if a verbal meeting is included). Communication difficulties at other points in the candidature did not seem to be the candidate's fault. The issue of communication is used to justify termination. There are conflicting interpretations of this between the parties. The candidate's interpretation suggests a failure of communication at key points - partly exacerbated by 12 months in Kenya and problems with internet connection. Managing supervision in this period seems to be a procedural anomaly here. There was no (or very little) communication across 12 months with an HDR candidate.

Communication was difficult when her supervisor was on leave, but that was more a difficulty that the candidate experienced rather than a difficulty experienced by the supervisor in contacting her. She has given evidence that she was in contact with her supervisors consistently, bar a short period from January 20 when she acknowledged receipt of their comments on her thesis draft, until show cause was requested on February 14. The supervisor's concern about a 2 week period of no communication does not square with the candidate's sense of this matter. Thus point 2) of The Student' appeal is seen as sustained by the evidence by the Appeals Committee

How 'Satisfactory Progress' is defined:

*i) The trajectory of progress***:** The Committee concurs with The Student that progress should be defined holistically in light of the trajectory of achievement and in context. The termination of candidature was sudden. Evidence from the APRs shows the candidature going along straightforwardly until 2013 with difficulties in the final year.

In light of her whole candidature, as documented by APRs the Student had a single unsatisfactory year, which also had many serious barriers to achievement, some of which were the University's responsibility. Procedurally there are concerns that how her progress has been judged has not been taken in context.

ii) Duty of Care: Part of the context of her unsatisfactory APR is that, in that time she was not provided with an alternative supervisor as required by University Guidelines when her primary supervisor went on leave (Failure to provide an Acting Supervisor – (Rule 3 (8)) while the Principal Supervisor was on leave, and in the final 6 months of candidature for an

international student with a very tight deadline to completion). She had financial hardships and personal hardships with her son's status. She lacked support of a formal supervisory nature from the system. Regarding the absence of her supervisor – it seems that the supervisor did make reasonable efforts to be available but the 6-month absence did harm the progress of the thesis. This should be taken as significant context for her performance decline. It does not seem that the candidate was sent to health and counseling when the stress occurred. The student is faced with $26,000 in fees, and terminating candidature at that point is not gentle.

iii) Equity: There are also procedural concerns that how her progress has been judged may not be consonant with decisions in others parts of the University. Terminating is a strong decision. A case like this would not be terminated in Science or in Cognitive Science either (at least not based on the information before us). It seems inequitable based on the panel's experience of comparable cases across the university. Committee members have held positions that could have triggered such a termination, but no comparable case has been witnessed. Therefore procedure seems anomalous in this case.

iv) Transparency – the criteria for unsatisfactory progress have not been explained to the candidate. Why unsatisfactory progress over such a short time-frame became the basis for the termination of candidature, when there had been an extension of candidature is also not clear to the Appeals Committee. This does seem to be a procedural anomaly in light of the satisfactory APRs provided.

Points to consider for the future
It seems that the student has resolved many of the concerns that were barriers to progress: her son is in care and her financial concerns have been resolved with her husband's support.

ITEM 11.4: HIGHER DEGREE RESEARCH COMMITTEE REPORT

Reports of the Higher Degree Research Committee meetings held on 25 July and 22 August 2014.

For approval.

MACQUARIE UNIVERSITY

REPORT OF THE HIGHER DEGREE RESEARCH COMMITTEE

A meeting of the Higher Degree Research Committee was held on Friday 25 July 2014 at 9:00am in the Council Room, Building E11A

A. MATTERS FOR INFORMATION

Professor Verity updated the members on the upcoming review of HDRC. A group of people have been selected as part of the review process and this will take six weeks. The terms and conditions of the HDRC will be reviewed.

The Senate also discussed research integrity framework and that more consultation will need to be carried out. Professor Pretorius indicated the review of the Senate and the sub-committees are crucial for Macquarie.

Professor Verity also briefed members on the HDR appeals committee.

Professor Pretorius reported on the current consultation for the research framework green paper. Professor Pretorius is currently conducting consultation meetings at all faculties, including the new Faculty of Medicine and Health Sciences. He is encouraging staff from all faculties and central offices to participate in these consultation meetings.

Professor Pretorius stated that the research integrity framework is long overdue and that it is crucial for the research and Higher Degree Research communities at Macquarie. The delay of implementation of the research integrity framework raises the concern.

Professor Pretorius updated members on the Australian Institute for Health and Medical Research (AIHMR) joining Macquarie University. 75 current AIHMR staff will join Macquarie from the beginning of 2015, which is part of the new Faculty of Medicine and Health Sciences. This movement is not part of the announcement of 50 new staff earlier this year.

Professor Pretorius also updated members on the two part-time PVC Research positions within the DVC-R portfolio. These positions have been advertised internally.

Professor Mansfield advised that the Master of Research (MRes) equivalent document approved by the last HDRC should be distributed more widely, particularly throughout departmental and school levels. It is important for Associate Deans and HDRC representatives to communicate at faculty and departmental level.

Professor Mansfield also reported to the members that another NSW University will be implementing the MRes program by mid-2015, followed by a third institution to adopt the MRes program in Victoria.

Dr Yi tabled the HDR commencement and completion data for members. Currently 545 candidates have enrolled in HDR programs, including MRes. 375 have enrolled under the Research Training Scheme (RTS) scheme, which is a significant increase from previous years. HDR completions are also going well, having increased from 2013 (record completion 297). Professor Pretorius thanked all involved at faculty and central levels.

The MRes examination timetable was also tabled. Members agreed on the timetable.

Dr Yi also tabled the International Fee Refund Policy where he explained the changes for Members. The PhD Alumni Demographics data was also tabled. Members agreed it is very useful data. Faculty Business and Economics would like to work with HDRO and the Alumni Office on this data.

Dr Yi updated members on the MRes Exchange Program. The HDRO is currently working with the SBSS systems area, Finance, Government Reporting area and the Faculty HDR in setting up an MRes Exchange Process. There are five MRes exchange agreements which have been signed (Hamburg University, University of Potsdam, University of Gottingen, University of Heidelberg and University of Tel Aviv). They are only limited to small disciplines for 2015.

Dr Yi advised the Committee of the possible Joint PhD with the University of Hamburg in Germany, drawing on the close working relationship with Hamburg in recent years. He also updated members on the e-Application Project.

Ms Briggs updated members on the Macquarie International (MI) Summit. Ms Briggs thanked all for faculties' contributions. MI would like to work with the HDR area and faculties on further promotion of MRes and other HDR programs. Ms Briggs also briefed members on upcoming international trips.

Dr Yi updated members on the Russia Government Global Education Program. The Russian Government will send 1500 postgraduate students overseas including to Macquarie University, in the next three years.

The 2015 MQRES and MRes Conditions of Awards were presented. Dr Yi highlighted the updated areas in the revised Conditions of Awards. The Committee approved the new Conditions of Awards.

COMPLETION OF REQUIREMENT (HDRC 25 July 2014 and HDRC 22 August 2014)

AFROZ, TANZIM **FOA** **PHD**

Principal Supervisor: Associate Professor Shawkat Alam
Associate Supervisor: -
Adjunct Supervisor Z Lipman
Thesis submitted for examination: 3 January 2014
Thesis title: Climate-development Integrated Approach in Coastal Management of Bangladesh: Legal and Policy Responses
Award Recommended: Doctor of Philosophy

APOIFIS, NICHOLAS **FOA** **PHD**

Principal Supervisor: Dr Lloyd Cox
Associate Supervisor: Dr Geoffrey Hawker
Thesis submitted for examination: 14 February 2014
Thesis title: 'FUCK MAY 68, FIGHT NOW!' Athenian Anarchists and Anti-authoritarians: Militant Ethnography & Collective Identity Formation
Award Recommended: Doctor of Philosophy

BARQUERO ARROYO, MARCO DAVID **FOS** **PHD**

Principal Supervisor: Dr Martin, Whiting
Associate Supervisor: Associate Professor Phillip Taylor, Professor Christopher Evans
Adjunct Supervisor R Peters
Thesis submitted for examination: 26 February 2014
Thesis title: Geographic variation in male agonistic display among three populations of the lizard Amphibolurus muricatus: the role of habitat structure, predation risk and temperature
Award Recommended: Doctor of Philosophy

BEAUMONT, ANA ELEN **FOA** **PHD**
Principal Supervisor: Professor Mitchell Dean
Associate Supervisor: Professor Jacqueline Hayden
Thesis submitted for examination: 22 October 2013
Thesis title: New Directions for Participations and Governance: The Idea of the Youth Council in Modern Liberal Democracies
Award Recommended: Doctor of Philosophy

BERRY, SINEAD **FOHS** **DPSYCH**
Principal Supervisor: Associate Professor Cathy McMahon
Associate Supervisor: Dr Frances Gibson
Thesis submitted for examination: 23 December 2013
Thesis title: Understanding Mind-Mindedness: Maternal Correlates and the Experience of Parenting, Parenting Behaviour and Child Behaviour
Award Recommended: Doctor of Psychology

BEZARD, RACHEL CHRISTINE **FOS** **PHD**
Principal Supervisor: Professor Simon Turner
Associate Supervisor: Dr Bruce Schaefer
Thesis submitted for examination: 29 April 2014
Thesis title: Impact of crustal assimilation on the Lesser Antilles arc lava geochemistry
Award Recommended: Doctor of Philosophy

BILAL, MUHAMMAD **FOA** **PHD**
Principal Supervisor: Dr Ian Bedford
Associate Supervisor: Dr Lisa Wynn, Dr Christopher Houston
Thesis submitted for examination: 8 April 2014
Thesis title: Allah's Community: The Interplay of Islam and Everyday Life in Pakistan. An Ethnography of a Rawalpindi Urban Community
Award Recommended: Doctor of Philosophy

BILOUS, REBECCA **FOS** **PHD**
Principal Supervisor: Dr Sandra Suchet-Pearson
Associate Supervisor: Professor Richard Howitt, Dr Kate Lloyd
Adjunct Supervisor: A Clarke
Thesis submitted for examination: 20 March 2014
Thesis title: Telling and hearing: Learning from Macassans - Yolngu stories of connecting
Award Recommended: Doctor of Philosophy

CHEN, JIN HUA JESSICA **FOBE** **PHD**
Principal Supervisor: Associate Professor Maria Dyball
Associate Supervisor: Mr Alan Kilgore
Thesis submitted for examination: 12 December 2013
Thesis title: Stakeholder Accountability in the Australian Not-for-Profit Sector
Award Recommended: Doctor of Philosophy

DE WIT, BIANCA **FOS** **PHD**
Principal Supervisor: Associate Professor Sachiko Kinoshita
Associate Supervisor: Associate Professor Genevieve McArthur, Dr Nicholas Badcock
Thesis submitted for examination: 17 July 2014
Thesis title: A Fresh Look on Semantic Priming Effects
Award Recommended: Doctor of Philosophy

DECOURCY, ELISA **FOA** **PHD**
Principal Supervisor: Dr Hsu-Ming Teo
Associate Supervisor: Dr Alison Holland
Thesis submitted for examination: 20 January 2014

Thesis title: The Photographic Encounter: Picturing Difference and Distinction in Metropolitan England and in the Early Twentieth Century English Travelogue
Award Recommended: Doctor of Philosophy

DIANAT, OLDOOZ **FOS** **PHD**
Principal Supervisor: Professor Mehmet Orgun
Associate Supervisor: -
Adjunct Supervisor: L Flax
Thesis submitted for examination: 22 January 2014
Thesis title: Representing and reasoning about Bayesian games with epistemic logic
Award Recommended: Doctor of Philosophy

DIESEN, GLENN **FOA** **PHD**
Principal Supervisor: Dr Stephen Wood
Associate Supervisor: Dr Geoffrey Hawker
Thesis submitted for examination: 24 March 2014
Thesis title: Inter-democratic Security Institutions and the Security Dilemma: EU and NATO relations with Russia after the collapse of the Soviet Union
Award Recommended: Doctor of Philosophy

EGLINGTON, COL **FOS** **PHD**
Principal Supervisor: Associate Professor Kelsie Dadd
Associate Supervisor: Associate Professor Ruth Mawson
Adjunct Supervisor: J Talent
Thesis submitted for examination: 6 March 2014
Thesis title: Taxonomy, evolution, biogeography and palaeoenvironmental significance of Victorian Palaeogene Ostracoda
Award Recommended: Doctor of Philosophy

EVANS, SANDRA JANETTE **FOA** **PHD**
Principal Supervisor: Dr Denis Crowdy
Associate Supervisor: Dr Andrew Alter
Adjunct Supervisor A McNeil
Thesis submitted for examination: 26 February 2014
Thesis title: Meetings at the Table of Time: A Creative Practice Enquiry into Carnatic Jazz Intercultural Music
Award Recommended: Doctor of Philosophy

GARSIDE, CLIFFORD JOHN **FOS** **PHD**
Principal Supervisor: Dr Melanie Bishop
Associate Supervisor: Associate Professor Culum
Thesis submitted for examination: 18 March 2014
Thesis title: Abiotic and biotic factors influencing the invasion of Carcinus maenas in southern New South Wales, Australia
Award Recommended: Doctor of Philosophy

GERMAIN, CARMEN LORENA **FOHS** **DPSYCH**
Principal Supervisor: Dr Maria Kangas
Associate Supervisor: Professor Ronald Rapee
Adjunct Supervisor: D Forbes
Thesis submitted for examination: 24 January 2014
Thesis title: An investigation of anger regulation in two clinical groups: Veterans with combat-PTSD and individuals with higher trait-anger
Award Recommended: Doctor of Psychology

GIBSON, JAMES EDWARD **FOA** **PHD**
Principal Supervisor: Associate Professor Stuart Piggin
Associate Supervisor: Dr Kenneth Parry

Thesis submitted for examination: 19 March 2014
Thesis title: The Development of the Sensus Divinitatis and its Application to the Propagation of the Christian Gospel: Case Studies of the Divine Sense in Western Christian Thought
Award Recommended: Doctor of Philosophy

GIFFNEY, RAELENE ANNE FOS PHD
Principal Supervisor: Dr Darrell Kemp
Associate Supervisor: Professor Marie Herberstein
Thesis submitted for examination: 20 March 2014
Thesis title: Maternal care and social behaviour in the hibiscus harlequin bug, Tectocoris diophthalmus
Award Recommended: Doctor of Philosophy

GRANT, PATRICK FOA PHD
Principal Supervisor: Dr Peter Doyle
Associate Supervisor: Dr Katharine Rossmanith
Thesis submitted for examination: 7 April 2014
Thesis title: Bodies on the Boards: Materiality and Movement in the Production of Comics and Graphic Novels
Award Recommended: Doctor of Philosophy

HAMILTON, JOHN PERRY FOA PHD
Principal Supervisor: Professor Peter Radan
Associate Supervisor: -
Adjunct Supervisor: B Kercher
Thesis submitted for examination: 22 April 2014
Thesis title: Adjudication on the Gold Fields in New South Wales and Victoria in the 19th Century
Award Recommended: Doctor of Philosophy

HE, WEI FOHS PHD
Principal Supervisor: Dr Blake Johnson
Associate Supervisor: Dr Jonathan Brock
Adjunct Supervisor: W Wang
Thesis submitted for examination: 29 November 2013
Thesis title: Development of face processing in the human brain
Award Recommended: Doctor of Philosophy

HEERSMINK, JAN RICHARD FOHS PHD
Principal Supervisor: Professor John Sutton
Associate Supervisor: Professor Max Coltheart
Thesis submitted for examination: 19 December 2013
Thesis title: The varieties of situated cognitive systems: Embodied agents, cognitive artifacts and scientific practice
Award Recommended: Doctor of Philosophy

HUNTER, JOHN PAUL FOS PHD
Principal Supervisor: Dr Julie Raftos (Acting)
Associate Supervisor: -
Adjunct Supervisor J Kohen
Thesis submitted for examination: 31 March 2014
Thesis title: Seven Generations Healing: Traditional Ecological Knowledge Recording, Application, Maintenance and Revival
Award Recommended: Doctor of Philosophy

HYDE, ELAINA ANN FOS PHD
Principal Supervisor: Associate Professor Daniel Zucker
Associate Supervisor: Associate Professor Orsola De Marco
Thesis submitted for examination: 06 November 2013
Thesis title: Selecting Sagittarius: A Study in Kinematics and Metallicities

Award Recommended: Doctor of Philosophy

KIDD, JOSHUA ALEXANDER FOHS PHD
Principal Supervisor: Professor Christopher Candlin
Associate Supervisor: Dr Jill Murray
Adjunct Supervisor: R Varshney
Thesis submitted for examination: 6 February 2014
Award Recommended: Doctor of Philosophy

KIRBY, LAURA CATHERINE FOHS DPSYCH
Principal Supervisor: Dr Ben Searle
Associate Supervisor: Associate Professor Mark Wiggins
Thesis submitted for examination: 25 October 2013
Thesis title: Developing Experimental Methodologies for Examining the Proactivity Process
Award Recommended: Doctor of Psychology

KNAPMAN, ALISA JOY FOHS PHD
Principal Supervisor: Professor Mark Connor
Associate Supervisor: -
Adjunct Supervisor M Christie
Thesis submitted for examination: 1 May 2014
Thesis title: The effect of μ-opioid receptor polymorphisms on receptor signalling systems
Award Recommended: Doctor of Philosophy

LAU, KAM WING ALLEN MGSM DBA
Principal Supervisor: Dr Richard Petty
Associate Supervisor: -
Thesis submitted for examination: 20 January 2014
Thesis title: A comparative analysis of the application of Altman (1968) Z-score and Ohlson (1980) P-score prediction models to Hong Kong public listed companies, and the impact of cash conversion cycle and non-financial variables on predicting business failure
Award Recommended: Doctor of Business Administration

LIU, JING FOS PHD
Principal Supervisor: Dr Manolya Kavakli-Thorne
Associate Supervisor: Associate Professor Stephen Cassidy
Thesis submitted for examination: 16 August 2013
Thesis title: Analysis of Gender Differences in Speech and Hand Gesture Coordination for the Design of Multimodal Interface System
Award Recommended: Doctor of Philosophy

MARSH, SCOTT FOHS PHD
Principal Supervisor: Associate Professor Manjula Waniganayake
Associate Supervisor: Dr John De Nobile
Thesis submitted for examination: 28 May 2014
Thesis title: Locating and imagining leadership that improves learning in NSW independent schools
Award Recommended: Doctor of Philosophy

MARSHALL, VIRGINIA FOA PHD
Principal Supervisor: Ms Francesca Dominello
Associate Supervisor: Associate Professor Cameron Stewart, Dr Alexander Reilly
Thesis submitted for examination: 8 February 2010 Resubmitted: 5 April 2013
Thesis title: A web of Aboriginal water rights: Examining the competing Aboriginal claim for water property rights and interests in Australia
Award Recommended: Doctor of Philosophy

MCCONNELL, DOUGLAS WILLIAM FOA PHD
Principal Supervisor: Professor Jeanette Kennett

Associate Supervisor: Professor Catriona Mackenzie
Adjunct Supervisor: C Fry
Thesis submitted for examination: 11 April 2014
Thesis title: Narrative, self governance, and addiction
Award Recommended: Doctor of Philosophy

MCDOUGALL, LINDY JOAN FOA PHD
Principal Supervisor: Dr Lisa Wynn
Associate Supervisor: Associate Professor Gregory Downey
Adjunct Supervisor: V Loblay
Thesis submitted for examination: 2 April 2014
Thesis title: The biomagical vulva: A 'clean slit'
Award Recommended: Doctor of Philosophy

MCKENZIE, ALEXANDER ROSS MGSM DBA
Principal Supervisor: Dr Steven Segal
Associate Supervisor: -
Adjunct Supervisor: R Dunford
Thesis submitted for examination: 12 December 2013
Thesis title: Implementing Global Sourcing Strategies and Optimising Offshoring Capability: A Longitudinal Case Study
Award Recommended: Doctor of Business Administration

MCMAHON, CHRISTOPHER JAMES FOS PHD
Principal Supervisor: Dr James Downes
Associate Supervisor: Associate Professor Judith Dawes
Thesis submitted for examination: 01 August 2013
Thesis title: Fabrication of Organic Field Effect Transistors Using Photosensitive Active Materials
Award Recommended: Doctor of Philosophy

MEANY, THOMAS FOS PHD
Principal Supervisor: Prof Michael Withford
Associate Supervisor: Associate Professor Michael Steel
Adjunct Supervisor G Marshall
Thesis submitted for examination: 24 April 2014
Thesis title: Laser Written Integrated Photonics for Quantum Information Science
Award Recommended: Doctor of Philosophy

MIRZAEI, ABAS FOBE PHD
Principal Supervisor: Dr David Gray
Associate Supervisor: Associate Professor Hume Winzar, Dr Christoph Baumann
Thesis submitted for examination: 17 February 2014
Thesis title: Developing an objective long-term oriented measure to monitor brand health
Award Recommended: Doctor of Philosophy

MOURAD, ANNA-LATIFA FOA PHD
Principal Supervisor: Professor Naguib Kanawati
Associate Supervisor: Associate Professor Boyo Ockinga
Thesis submitted for examination: 26 May 2014
Thesis title: Rise of the Hyksos: Egypt and the Levant from the Middle Kingdom to the early Second Intermediate Period
Award Recommended: Doctor of Philosophy

PATRICKSON, BRONWIN LEIGH FOA PHD
Principal Supervisor: Professor Sherman Young
Associate Supervisor: Associate Professor Michael Hitchens, Dr Stephen Collins
Thesis submitted for examination: 6 December 2013
Thesis title: Plai and the Discovery Process

Award Recommended: Doctor of Philosophy

OBERECKER, ANDREAS MGSM DBA

Principal Supervisor: A/Prof Yiming Tang

Associate Supervisor: Professor Richard Badham

Thesis submitted for examination: 18 December 2013

Thesis title: Strategy of Foreign Subsidiaries in China: An Inquiry into the Relationships between Market Orientation, Perceived Uncertainty and Performance

Award Recommended: Doctor of Business Administration

O'NEILL, MARJORIE SPOONER FOBE PHD

Principal Supervisor: Dr Denise Jepsen

Associate Supervisor: Associate Professor Lawrence Ang

Thesis submitted for examination: 3 January 2014

Thesis title: The New Late Career: A Mixed Method Study of Health Workers. Understanding The Workforce Issues Of Today's Older Workers

Award Recommended: Doctor of Philosophy

ORUMIEH CHI HA, MOHAMMAD ALI FOS PHD

Principal Supervisor: Professor Josef Pieprzyk

Associate Supervisor: Dr Ron Steinfeld

Thesis submitted for examination: 31 October 2013

Thesis title: Cryptanalysis of lightweight cryptographic algorithms

Award Recommended: Doctor of Philosophy

PEREZ, EMILIE FOS PHD

Principal Supervisor: Dr Simon Griffith

Associate Supervisor: -

Adjunct Supervisor: C Vignal

Thesis submitted for examination: 6 March 2014

Thesis title: Communicating about stress: modulation of vocalizations in the zebra finch

Award Recommended: Doctor of Philosophy

RUSKIN, JENNIFER FOBE PHD

Principal Supervisor: Associate Professor Cynthia Webster

Associate Supervisor: Dr Erik Lundmark

Adjunct Supervisor R G Seymour

Thesis submitted for examination: 26 March 2014

Thesis title: Giving selflessly and building oneself: a study of social entrepreneurial motives and rewards

Award Recommended: Doctor of Philosophy

SCHINELLA, ELYSE FOS PHD

Principal Supervisor: Dr Craig O'Neill

Associate Supervisor: Dr Juan Carlos Alfonso, Dr Mark Lackie

Thesis submitted for examination: 07 February 2014

Thesis title: Constraining the Contribution of Isostasy and Dynamic Uplift at Venusian Volcanic Rises and Tessera: Implications for Rifting and Volcanism

Award Recommended: Doctor of Philosophy

SMALL, VIRGINIA MARGARET FOA PHD

Principal Supervisor: Associate Professor Sherman Young

Associate Supervisor: -

Thesis submitted for examination: 8 April 2014

Thesis title: Hit and Myth: Selling Newspapers by Framing the Asian Threat

Award Recommended: Doctor of Philosophy

STRAZZULLO, GUY GAETANO FOA PHD

Principal Supervisor: Dr Denis Crowdy

Associate Supervisor: -
Adjunct Supervisor A McNeil
Thesis submitted for examination: 24 March 2014
Thesis title: An inquiry into improvisation - reconciling the differences between performance and composition
Award Recommended: Doctor of Philosophy

SUTTON, KATELIN AMY FOHS PHD
Principal Supervisor: Dr Megan Oaten
Associate Supervisor: Professor Julie Fitness, Dr Trevor Case
Thesis submitted for examination: 11 February 2014
Thesis title: An exploration of gossip as an intrasexual competition strategy
Award Recommended: Doctor of Philosophy

TADIC, DUSANKA FOHS PHD/MCLPSY
Principal Supervisor: Professor Ronald Rapee
Associate Supervisor: Dr Maria Kangas, Dr Viviana Wuthrich
Thesis submitted for examination: 21 February 2014
Thesis title: Age differences in wellbeing: the role of emotion regulation, cognitive biases and coping
Award Recommended: combined Doctor of Philosophy and Master of Clinical Psychology

THAI, QUANG LUU FOS PHD
Principal Supervisor: Dr Sam Reisenfeld
Associate Supervisor: -
Thesis submitted for examination: 10 September 2013
Thesis title: Sustaining the Information Age: Channel Selection using Low-Computation Occupancy Analysis for Spectrum Sharing by Wireless Communication Devices
Award Recommended: Doctor of Philosophy

WEI, YUAN HUAN MGSM DBA
Principal Supervisor: Mr Lars Groeger
Associate Supervisor: Dr Norman Chorn
Thesis submitted for examination: 1 April 2014
Thesis title: Global leadership competencies of senior executives from non-state-owned companies of China: A qualitative study in a Confucian cultural context
Award Recommended: Doctor of Business Administration

WONG, ANTHONY FOS PHD
Principal Supervisor: Professor Xuan Duong
Associate Supervisor: Dr Adam Sikora
Thesis submitted for examination: 5 March 2014
Thesis title: Modern Harmonic Analysis: Singular Integral Operators, Function Spaces and Applications
Award Recommended: Doctor of Philosophy

XI, LIHUI MGSM PHD
Principal Supervisor: Dr David Gallagher
Associate Supervisor: -
Thesis submitted for examination: 6 February 2014
Thesis title: Alpha generating skill of active Australian equity fund managers
Award Recommended: Doctor of Philosophy

ZAMBRANA PUYALTO, XAVIER FOS PHD
Principal Supervisor: Associate Professor Gabriel Molina-Terriza
Associate Supervisor: Associate Professor Judith Dawes
Thesis submitted for examination: 25 March 2014
Thesis title: Control and Characterization of Nano-Structures with the Symmetries of Light
Award Recommended: Doctor of Philosophy

ZEDNIK, ANITA **FOBE** **PHD**
Principal Supervisor: Professor Charles Throsby
Associate Supervisor: Associate Professor William Bryant
Adjunct Supervisor: R Scarpa
Thesis submitted for examination: 13 May 2014
Thesis title: Aesthetic taste and consumer demand for cultural goods: an application to theatre
Award Recommended: Doctor of Philosophy

ZHAN, LIKAN **FOHS** **PHD**
Principal Supervisor: Professor Stephen Crain
Associate Supervisor: Dr Peng Zhou
Adjunct Supervisor D Khlentzos
Thesis submitted for examination: 11 April 2014
Thesis title: The Interpretation of Conditionals in Natural Language
Award Recommended: Doctor of Philosophy

ZHANG, HAIBIN **FOS** **PHD**
Principal Supervisor: Associate Professor Yan Wang
Associate Supervisor: Professor Mehmet Orgun
Thesis submitted for examination: 25 April 2014
Thesis title: Context-Aware Transaction Trust Computation in E-Commerce Environments
Award Recommended: Doctor of Philosophy

CONSIDERATION FOR VICE-CHANCELLOR'S COMMENDATION

EVANS, SANDRA JANETTE **FOA** **PHD**
Principal Supervisor: Dr Denis Crowdy
Associate Supervisor: Dr Andrew Alter
Adjunct Supervisor A McNeil
Thesis submitted for examination: 26 February 2014
Thesis title: Meetings at the Table of Time: a Creative Practice Enquiry into Carnatic Jazz Intercultural Music

On 22 August 2014, the Higher Degree Research Committee recommended that Sandra Janette Evans' PhD thesis be awarded.

The following comments were received from the examiners:

"This is original, engaging and valuable work. Ms. Evans is courageous to the point of intrepidity, and maintains throughout this work an affectionate curiosity with respect to outcomes that are by no means guaranteed to be satisfactory. As far as I know, very few musicians have taken the notion of intercultural work as seriously as Ms. Evans does. The resulting music is well conceived and expertly executed by all participants. Her accounts of the processes by which the music evolved are detailed, honest, and unfailingly interesting. Her bibliography and citations are exhaustive and well chosen."

"…This body of works (albeit with reflective discourse) constitutes a deep investigation into the nature of intercultural exchange from the world of the primary and, as such, will be a valuable resource to an audience that will include composers, performers, ethnomusicologists, theorists, and amateur musicians. It may qualify as 'participant observation' but the breadth of creative material generated differs from the work of ethnomusicology. I well expect that reviews will come within the academic community as well as the commercial jazz field. I also expect that the work may lead to, or be referenced by, pedagogical texts. Given proper distribution, this work has the potential to seep into many facets of music education and become part of a revitalization of the enterprise. It is *not* an arcane document.

"The first two CDs are high quality recordings with fully realized compositions by some of the finest musicians in the world, so I assume they are already (or soon will be) published. The third project *(Meetings at a Table)* is an excellent document of deep and considered exchange, illustrating well specific issues raised in the analysis of the text. The last CD of different approaches to *alapana* realizations gives particular insight to one facet of the music from both Indian and Australian perspectives. A text of transcriptions of these improvisations with the recording could be published as an individual document of its own.

"I received a wonderful education reading this piece and am grateful to have it in my possession."

"This thesis is a fascinating and ambitious enquiry into the nature and meanings of intercultural creative collaboration, a complex area, especially given that it concentrates on music within the jazz and Carnatic traditions, each of which has its own lively academic discourse. …The study is brought to a close with a series of reflections on the musical processes and outcomes, as well as challenges encountered during the course of the research.

"….In general I found these thorough, well set out, systematic, coherently explained and discussed, and artistically fascinating. Moreover, the study has generated a substantial body of work of a high order, technically and expressively.

"The author is clearly in command of a wide knowledge of the literature related to the technical aspects of the music systems within which she is working, and a sound technical understanding of Carnatic/Hindustani music systems. Numerous challenges, problems, partial and more complete resolutions, serendipitous moments, and personal discoveries are raised or revealed, and discussed fruitfully.

"…I found the thesis most impressive as an investigation and, .. it has much to offer to scholars and students of the growing practice it documents so thoroughly."

Taking into account the examiners reports and the above comments, the committee noted that the thesis was of exceptional merit.

RESOLVED

That Sandra Janette Evans' PhD thesis entitled "Meetings at the Table of Time: a Creative Practice Enquiry into Carnatic Jazz Intercultural Music" be awarded a Vice-Chancellor's Commendation.

ITEM 11.5: SENATE LEARNING AND TEACHING COMMITTEE REPORT

Report of the Senate Learning and Teaching Committee meeting held on 14 July and 11 August 2014.

For approval

REPORT TO ACADEMIC SENATE
SENATE LEARNING AND TEACHING COMMITTEE
MEETING OF 14 JULY 2014

ITEMS FOR NOTING

New appointment to SLTC: Associate Professor Lisa Wynn, representative of Academic Senate.

Ms Elaine Huber, from the Centre for Open Education will be replacing Mr Andrew Burrell for the next 3 months.

Chair's report

A follow-up to the Learning and Teaching planning day held on 30 May 2014 is to be held on 16 July 2014.

The establishment of a Macquarie operated pathway college has been announced with the relationship with Navitas to cease at the end of 2015. The college is flagged for commencement in Session 1 2016.

The new non-ATAR based entry program, the Global Leadership Entry Program has begun to receive applications with over 50 applications received to date.

A new approach to student orientation is being considered with a team created to develop to oversee all on-campus orientation, beginning with the appointment of an Orientation manager. A review will be undertaken to develop a university wide program. A position description of Orientation Manager is being drafted.

Acting Provost report

The Student Attrition Retention and Progression strategy is continuing with the rollout of the Kickstart program development.

The CRIT2 group is to be wound up at the end of July with outstanding tasks to be distributed to the Offices within the University.

General Business

The first two objectives of the Inherent Requirements working party have been met, with requirements designed to be proactive in making students aware of expectations, and availability of support services. The Committee endorsed the current approach and direction of the Inherent Requirements working party.

In 2013 the Merit Scholars program was broadened to include high performing students of GPA 4.0 as well as students joining Macquarie with an ATAR of 98.5 and higher. In 2014 there are 381 such students over 4 Faculties. A proposal was made that the group convened to oversee Merit Scholars be constituted as a sub-committee of the SLTC. The Committee did not see the need for this group to be a subcommittee of SLTC and resolved to accept the Terms of Reference subject to this reference being amended.

The first meeting of the Academic Appeals Policy working party was held on 17 June 2014. Membership comprised members from the existing sub-committee as well as a representative from Campus Wellbeing. The scope of the working party at this stage includes consideration of appeals against admission, readmission, enrolment and exclusion, and will also include appeals against disruption to study and third time enrolment determinations. The Terms of Reference is to be provided to the Academic Senate on 18 July 2014.

Report on Session 3

The Committee considered a report on Session 3 2013-2014 and reinforced the view that Session 3 is a formal part of study at Macquarie. The Chair advised that further work regarding the Academic Year is required. A paper will be presented to the next SLTC investigating options for organising the Academic Year to overcome issues of overlap between Sessions 2 and 3. The Report canvassed students and staff and made the following recommendations that were approved by the Committee:

1. That Faculties ensure student assessment in Session 3 aligns with both the Assessment and Core Hours Policies;
2. That the projects and findings of the Learning, Teaching and Curriculum Working Group of the Steering Committee to Implement the Student Attrition, Retention and Progression Strategy be monitored for projects and processes which benefit student study/work/home life balance;
3. That the PVC (Learning, Teaching and Diversity) inform the Director Property of the expectation that Session 3 teaching venues be air conditioned;
4. That faculties offer a greater range of units at 200, 300 and postgraduate levels in Session 3;
5. That faculties ensure staff teaching in Session 3 use existing enterprise learning management solutions;
6. That student workload be clearly outlined in Unit Guides.

Reports from Faculties

- Faculty of Arts – Some concern was raised over the WHS issues of online marking. Other Faculties also raised their concern. Discussion generally agreed with feedback provided by Human Resources was that marking of online assessments should be considered as any other computer based work.
- Faculty of Business and Economics – The success of the Kickstart program was noted for the 2 units initially trialled, with a further 9 units to be included in the future. It was noted that the Master of International Business commenced online from Session 1 2014.
- Faculty of Human Sciences – The requirement for a large number of special and supplementary exams was noted. It was commented that the University struggles to meet the demand in this area. The Committee agrees that a consistent University wide approach to organising supplementary and special exams should be the goal.
- Faculty of Science – The review of retention and support of students at risk was highlighted.

Themed discussion Indigenising the Curriculum: Associate Professor Susan Page

The next meeting of the Senate Learning and Teaching Committee will be held on Monday 11 August at 10:00am in the Senate Room, Lincoln Building C8A, Level 3.

The full minutes summarised in this report can be accessed via this link.

REPORT TO ACADEMIC SENATE
SENATE LEARNING AND TEACHING COMMITTEE
MEETING OF 11 AUGUST 2014

ITEMS FOR NOTING

Professor Janet Greeley's last SLTC meeting where she was thanked and acknowledged for her valuable contribution.

Chair's report

The Chair provided an oral report on the following matters:

- A half day Learning and Teaching Framework workshop was held recently and the overall feedback was supportive and extremely useful.
- The Learning and Teaching framework will be the topic of the next SLTC meeting to be held on the first day of Learning and Teaching week, 22 September.
- Recruitment for the position of Orientation Manager is to commence shortly, with the successful candidate to be in place prior to 2015 orientation.
- On-line enrolment is progressing with the Lifecycle Manager managing this project.
- The ongoing need for student computer labs was flagged as a topic for ongoing discussion at the SLTC committee meetings.
- An indication was given for each policy group to provide a brief one minute progress update at each SLTC meeting.

Professor Janet Greeley's report

The Inherent Requirements Working Group is in the process of working on refining the definitions of a number of guidelines and their aim is to develop a policy by October 2014, where further consultation with relevant stakeholders will be required prior to procedures also being developed.

Attrition, Retention and Progression Working Group met with the Vice-Chancellor in attendance – It is now a strategic initiative to be co-sponsored by Deidre Anderson and Janet Greeley.

General Business

Reasonable adjustments to PACE Units Procedure and Guideline were discussed, where Ms Lindie Clark explained the reason for the need for a separate procedure and guideline, noting the distinguishing feature of the PACE Program being the involvement of a third party. The Committee *RESOLVED TO APPROVE* the Reasonable Adjustments in PACE Units Procedure and Guideline.

The Chair spoke to a proposal to align the periods during which programs of study are offered and taught across the University. The Committee considered the proposal to move to a six term year which could with appropriate administrative arrangements allow for compressed teaching. The Chair to provide the Committee with a map of possible term dates prior to the 20 October 2014 SLTC meeting, and encouraged broader discussion of the idea.

Working Party updates for were made by the Chair of Academic Senate, whereby he noted that a paper in regards to the Assessment, Grading, Unit Outcome and Examinations would be circulated to the Committee, with a further update and discussion on the progress of this Working Party to be provided at the October 2014 SLTC meeting. He also advised that there had been partial progress on the overall policy development, noting in particular that the academic honesty process is currently being worked on.

A tabled paper was provided noting that the Disruptions to Studies Policy would undergo a review of its implementation and the Committee noted that the membership of the Working Group had been established, where an update would be provided at the next meeting of SLTC on 20 October 2014.

A progress report on the Academic Appeals Policy Working Group was provided and the Working Group confirmed the scope of the Academic Appeals Policy and established a proposed timetable for the development of this policy. A further update will be provided after the next meeting of the Working Group on 25 August 2014.

Themed discussion Student Placements: Professor Janet Greeley and Lindie Clark

The next meeting of the Senate Learning and Teaching Committee will be held on Monday 22 September at 10:00am in the C5C Collaborative Learning space as part of Learning and Teaching Week

The full minutes summarised in this report can be accessed via this link.