



Department of
Education

RESEARCH CONDUCTED ON DEPARTMENT OF EDUCATION SITES BY EXTERNAL PARTIES

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1 POLICY STATEMENT

The Department of Education (the Department):

- recognises the value of quality research and its potential benefit to education, training and to the broader community;
- enables researchers to work with the Department through a smooth and coordinated application process;
- is supportive of site managers participating in selected research projects conducted by external parties; and
- seeks to ensure that the rights, safety, and well-being of participants are protected.

2 BACKGROUND

The *National Statement on Ethical Conduct in Human Research 2007* provides guidelines for the ethical conduct of research involving human participants. It also emphasises that institutions have responsibilities for 'the quality, safety and ethical acceptability of research that they sponsor or permit to be carried out under their auspices'.

3 SCOPE

This policy applies to external parties seeking to conduct research on Department sites, Department managers responsible for those sites and Central Office staff in administering the application process. It will assist all staff, students and their parents in understanding what they should expect when invited to participate in research.

4 PROCEDURES

4.1 PARTICIPATION AND CONSENT

Site managers will determine whether to participate in research projects involving Department sites, staff, and/or students.

Researchers must:

- include written approval from the Department's Director, System and School Performance in the package of information provided to site managers when seeking their agreement to participate in a research project;
- obtain informed written consent from the site manager for research to occur on the site, or for participants to be sought through the site;
- obtain informed, written, voluntary consent from all participants, except where in exceptional cases only, active recorded consent in a form other than written can be justified;
- fully disclose to participants and primary caregivers all information relating to the study in a manner that can be easily understood, including details of what participation will involve, any proposed audio or video recording, and any use of student work or data;

- obtain informed written consent from a primary caregiver and the research participant if the participant is under the age of 18 years. Informed consent from a primary caregiver must indicate that he or she has discussed the matter with their child, who in turn has agreed to participate.

Guidelines

Discussion with site managers may occur for the purpose of seeking collaboration for the design and development of research, but no undertaking can be sought from site managers about future participation before the Department's written approval is provided.

School principals are encouraged to consult their School Council in making decisions about participation in research projects.

The Department does not support the offering of incentives to encourage participation. However, it is acceptable for researchers to assist participating sites by providing administrative support and financial assistance to reduce workload and resource demands by for example:

- *providing pre-photocopied participant information letters and consent forms for dissemination;*
- *reimbursing schools for photocopying/postage costs associated with the research; and*
- *providing financial assistance for employment of relief staff.*

Where a dual relationship with participants exists, (for example, if the researcher is a teacher wishing to involve staff or students in their own school), the Department may request additional procedures be implemented by the researcher to ensure the voluntary nature of consent.

4.2 PARTICIPANT AND DATA WITHDRAWAL

Researchers must:

- advise participants that they have the right to withdraw their participation in a research project, without prejudice;
- advise participants in the information letters and consent forms, whether, or up to what point, participant data can be identified for removal if requested;
- if requested by the Department, ensure that data will be identifiable in cases where there are concerns relating to duty of care, the possibility of disclosure of information that needs to be reported or other concerns regarding the rights, safety or wellbeing of participants.

4.3 PRIVACY AND CONFIDENTIALITY

Researchers must:

- protect the privacy and confidentiality of personal information collected during research;
- indicate to participants the limits to their privacy and confidentiality;
- ensure the names of sites participating in research projects remain confidential and are not disclosed in any published research material;
- ensure that all data and information is stored in a secure environment for a minimum of five years and at the end of this period is disposed of in a manner that maintains the privacy and confidentiality of all participants; and
- ensure the confidentiality of participants throughout the research process, including Department employees, except in circumstances:
 - that require reporting under the Department's *Child Protection in Department of Education Sites* policy; or

- where researchers are legally required to disclose information.

Guideline

The Department's Child Protection policy can be accessed from the Our Policies website at <http://det.wa.edu.au/policies/detcms/portal/>

4.4 CHECKS FOR UNDERTAKING RESEARCH ON DEPARTMENT SITES

Site managers will ensure that external parties who are on a Department site to undertake research complete a Confidential Declaration on arrival at the site.

Guidelines

Appendix C of the Department's Visitors and Intruders on Public School Premises policy contains a copy of the Confidential Declaration. This form is for persons who are not Department employees, but who do require access to a school.

The policy and the Confidential Declaration can be accessed from the Our Policies website at <http://det.wa.edu.au/policies/detcms/portal/>

The Confidential Declaration includes the wording: 'I am aware that I may be required to consent to a criminal record clearance through the Department of Education Screening Unit if it is considered necessary to verify the information I have provided.' If a criminal history clearance is required, the information and consent form to undergo the Nationally Coordinated Criminal History Record Check can be downloaded from: <http://www.det.wa.edu.au/screening/>

For further advice, please contact the Department's Screening Unit, between 8.30am – 4.30pm, on (08) 9264 4477, or by email to screening@education.wa.edu.au.

External parties intending to conduct research that involves contact with children must:

- comply with the *Working with Children (Criminal Record Checking) Act 2004* and the *Working with Children (Criminal Record Checking) Regulations 2005*; and
- comply with the Department's *Child Protection in Department of Education Sites* policy.

Guidelines

It is strongly recommended that:

- *researchers apply for the Working with Children Check Card prior to undertaking their first day of research-related contact with children;*
- *evidence of the check (e.g. Working with Children Check Card, or Working with Children Check application receipt from Australia Post if the card has not been received) is presented to site managers before the first day that research-related contact with children occurs; and*
- *researchers become familiar with the Working with Children Check information and resources found on the Department for Child Protection website at <http://www.workingwithchildren.wa.gov.au>.*

4.5 INSURANCE COVER

Research applicants must provide evidence from the institution in which they are enrolled or their employing body, in the form of a copy of certificates of currency, or a declaration, that their insurance coverage includes:

- a broad form public liability policy of insurance in the amount of not less than \$10 million in respect of each and every occurrence;
- a professional indemnity policy in the amount of not less than \$10 million with respect to any one claim, and in the aggregate any one period of insurance which must be maintained for at least 6 years after the termination or expiry of the project. The insurance policy must be extended to include claims made under the *Trades Practices Act 1974* or the *Fair Trading Act 1987*; and
- a worker's compensation policy in accordance with the provisions of the *Workers' Compensation and Injury Management Act 1981 (WA)*, or appropriate personal accident insurance if the researcher is not a deemed worker.

Guidelines

Research applicants from Western Australian tertiary institutions will be considered to have complied with the above if the relevant certificates of currency are displayed on the institution's website, or they have been lodged by their university with the Department's System Performance branch.

4.6 PUBLICATION AND REPORTING OF RESEARCH FINDINGS

Researchers must:

- obtain separate written consent from the student and primary caregiver for the publication of student work after the items of work have been identified;
- obtain written consent from participants and primary caregivers through a separate consent form if photographic images, audio or video-recordings of participants are to be published. Full information must be disclosed to the participant on the use of the recorded material, data handling procedures and how confidentiality will be ensured;
- provide a copy of the research findings (a 2-3 page summary is sufficient) to the participating Department site manager, and on request, provide participants with access to research findings; and
- forward an executive summary of the research findings to the Department's System Performance branch upon project completion for publication on the Department's intranet site.

Guidelines

In circumstances where there will be visual images and sound recordings of group activities, provision should be made for individuals who do not wish to participate in the activity.

Any images or recordings remain the intellectual property of the participant.

Particular attention should be paid to the visual images and sound recordings of deceased persons of Aboriginal or Torres Strait Islander descent, to which public access is normally restricted.

4.7 THE RESEARCH APPROVAL PROCESS

Research applicants must:

- complete the Application Form for External Parties to Conduct Research on Department of Education Sites (see Appendix A) and attach all relevant documentation specified on the Research Checklist;
- send research applications to the Department's System Performance branch for prior written approval, before approaching site managers to invite participation in the research; and

- inform the Department's System Performance branch of any proposed changes to a research project, and gain approval for the procedures prior to implementation.

Guidelines

In general, approval is more likely for studies where potential benefits are identified, and where administrative and other impacts on the core business of Department sites are minimised.

A research application may be submitted without the ethics approval letter if evidence is provided that a concurrent ethics approval process is underway with the relevant body. In these cases, any approval provided by the Department is conditional upon receipt of formal ethics approval letter from the applicant.

Checklists and templates for information letters and consent forms are provided to help researchers ensure that their application is complete and all required information is included. Please refer to Support Material for Research Conducted on Department of Education Sites by External Parties from the Our Policies website <http://det.wa.edu.au/policies/detcms/portal/>

Incomplete applications will not be processed, including applications that refer the reader to external documents that are not among those requested.

Research applications may be circulated to relevant areas of the Department for comment during the review process.

All applications will be stored in a Department database.

5 RELEVANT DOCUMENTS

5.1 RELEVANT LEGISLATION OR AUTHORITY

Freedom of Information Act 1992
Occupational Health and Safety Act 1984
Public Sector Management Act 1994
School Education Act 1999
Vocational Education and Training Act 1996
Volunteers (Protection from Liability) Act 2002
Western Australian Public Sector Code of Ethics 2002
Working With Children (Criminal Record Checking) Act 2004

5.2 RELATED DEPARTMENT POLICIES

Child Protection in Department of Education Sites
Criminal History Screening for Department of Education Sites
Departmental Insurance Covers - RiskCover Fund Guidelines
Duty of Care for Public School Students
Information, Privacy and Security
Provision of Grants
Risk Management within the Education and Training Portfolio: Policy, Procedures and Guidelines
Visitors and Intruders on Public School Premises

5.3 OTHER DOCUMENTS

Australian Code for the responsible Conduct of Research
National Statement on Ethical Conduct in Human Research 2007
Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research
Australian Code for the Responsible Conduct of Research

6 DEFINITIONS

6.1 RESEARCH

A systematic investigation designed to increase the stock of knowledge. For the purpose of this policy, the definition excludes:

- activities undertaken as part of normal teaching/lecturing practice; and
- undergraduate student assignments below the level of an Honours degree or an equivalent fourth year qualification, which are confined to one site.

Under these exclusions, the site manager can be directly approached without centralised approval from the Department.

6.2 RESEARCHER/RESEARCH APPLICANT

An external party sponsoring or undertaking research where that research is not commissioned by the Department. This definition includes:

- employees of the Department who undertake research for a qualification with an education provider; and
- recipients of Department funding for research that has not been commissioned by the Department.

6.3 EXTERNAL PARTIES

Individuals, organisations, agencies, and government departments that are sponsoring or undertaking research where that research is not commissioned by the Department.

6.4 SITE MANAGER

School principals and all officers who have executive responsibility for overall management of any Department site.

7 CONTACT INFORMATION

System Performance
Department of Education
151 Royal Street
EAST PERTH WA 6004
Telephone: (08) 9264 5512
Email: researchandpolicy@education.wa.edu.au

APPENDIX A APPLICATION FORM FOR EXTERNAL PARTIES TO CONDUCT RESEARCH ON DEPARTMENT OF EDUCATION SITES

RESEARCH CHECKLIST

Please tick or indicate YES as appropriate

- | | YES |
|---|--------------------------|
| 1. All parties involved in the research application have read the Department policy, <i>Research Conducted on Department of Education Sites by External Parties</i> . | <input type="checkbox"/> |
| 2. All sections of the <i>Application Form for External Parties to Conduct Research on Department of Education Sites</i> , have been completed in full. (Please note that referring to another document in place of completing a section of this form is not sufficient). | <input type="checkbox"/> |
| 3. Signed declarations to carry out the research in accordance with the policy have been made by all parties involved in conducting the research, including the party who has commissioned the research and any party contracted to assist in conducting it. | <input type="checkbox"/> |
| 4. All relevant supporting documents are attached: | |
| a. Copies of all surveys, questionnaires, and/or interview schedules. | <input type="checkbox"/> |
| b. All required information letters and consent forms. | <input type="checkbox"/> |
| c. Approval documentation from a Human Research Ethics Committee or appropriate body. | <input type="checkbox"/> |
| d. Copy of a Certificate of Currency for an insurance policy or policies that cover the researcher(s) for public liability, professional indemnity, and workers compensation or a declaration to that effect. | <input type="checkbox"/> |
| e. Copy of a participant consent form for the publication or public use of photos, video or audio recording. | <input type="checkbox"/> |
| f. If applicable, a copy of Working With Children Check Card or, if the card has not been received, WWCC application receipt from Australia Post. | <input type="checkbox"/> |

Please send the signed and completed form and relevant attachments to:

researchandpolicy@education.wa.edu.au

or by mail (if electronic format is not possible) to:

System Performance
Department of Education
151 Royal Street
EAST PERTH WA 6004

SECTION 1: ADMINISTRATION

Full Project Title	
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Short Name by which the project will be known	
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Name of Principal Researcher	
Position	
Academic Qualifications	
Postal Address	
Telephone Number	
Email Address	

Organisation or institution through which the research is to be conducted (if any)	
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Date of the approval from the relevant ethics committee(s) or sponsoring and/or administering institution(s)	
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If this study is to contribute towards an academic qualification, indicate for whom and which qualification	
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SECTION 2: RESEARCH PROJECT

<p>Indicate the proposed date of commencement of the project</p>	
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<p>Indicate the proposed completion date of the project</p>	
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<p>Indicate the Department location(s) at which research will be undertaken (e.g. Central Office, primary schools, senior high schools etc), and how many of each will be involved</p>	
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<p>Please indicate the source of funding for the research</p>	
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<p>Have you approached any Department Staff in the planning stages of the project? If yes, who?</p>	
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<p>Please briefly indicate:</p> <ul style="list-style-type: none"> • the aims of the study; • the education/training/ community benefits; and • the intended beneficiaries of the research. 	<p><u>AIMS</u></p> <p><u>BENEFITS</u></p> <p><u>BENEFICIARIES</u></p>
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SECTION 3: METHODOLOGY

<p><u>Participants and Consent</u></p> <p>Please indicate:</p> <ul style="list-style-type: none">• Who the participants are (Students, parents and/or teachers, age or year level etc.)• Number of participants• How participants will be recruited• How informed, written consent to participate will be obtained	
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<p><u>Data Collection</u></p> <p>Please indicate:</p> <ul style="list-style-type: none">• What participants will be required to do as part of the project• How long it will take, and where and when this will occur• What data collection tools will be used (please provide copies of these tools)• How data will be recorded (e.g. written, audio, video etc.)• If any other data will be used (e.g. student records etc.) and how these data will be obtained	
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<p><u>Risks and Safeguards</u></p> <p>Please indicate:</p> <ul style="list-style-type: none"> • If there are any risks involved in participation • If there are risks involved, what safeguards are in place to respond to these risks 	
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<p><u>Data Confidentiality and Storage</u></p> <p>Please indicate:</p> <ul style="list-style-type: none"> • How the confidentiality of participants will be ensured • Where data will be stored and who will have access to it • When and how data will be destroyed 	
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<p><u>Any Additional Information</u></p> <p>Please provide any further information about your methodology that you think may assist us in reviewing your application.</p>	
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SECTION 4: DISSEMINATION OF RESULTS

<p>How will the results of the study be published and disseminated e.g. publication in journal, newsletter, other?</p> <p>Please Note: If photos, video or audio recordings are to be used for publication or made publicly available in any way you must provide an appropriate consent form for participants.</p>	
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<p>Is there any additional information you would like to provide in support of your application?</p>	
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DECLARATION OF PARTIES INVOLVED IN THE CONDUCT OF THE RESEARCH

- I/we apply for approval to approach Department of Education ('Department') site manager(s) to conduct research.
- If approval is granted, the research will be undertaken in accordance with this application and the Department's policy, *Research Conducted on Department of Education Sites by External Parties*.
- I/we understand that any changes made to this application must be submitted to the System Performance branch of the Department for approval prior to their implementation.
- I/we understand that the information provided in this application will be stored in a Department database for the purposes of record-keeping and knowledge-sharing throughout the Department. All research instruments remain the intellectual property of the developer(s).
- I/we are aware of our obligations to report disclosures relating to the care, safety and protection of children under the Department's *Child Protection in Department of Education Sites* policy.
- I/we understand that the final decision about site participation rests with the site manager.
- I/we will make a copy of the research findings available to all participants upon completion of the project, and provide a copy to the participating Department site manager and the Department's System Performance branch.

PRIMARY PARTIES

Signature of Principal Researcher (as indicated in Section 1)

Name	
Signature	
Date	

Details and Signature of Associate Researcher or Supervisor

Name	
Qualifications / Position	
Address	
Email	
Telephone	
Date	
Signature	

Details and Signature of Associate Researcher or Supervisor

Name	
Qualifications / Position	
Address	
Email	
Telephone	
Date	
Signature	

**If there are more than two associate researchers involved with this project, please attach their details as per the above requirements.

ADDITIONAL PARTIES**Details and Signature of Appropriate Representative of Organisation that Commissioned the Research**

Name	
Organisation	
Qualifications / Position	
Address	
Email	
Telephone	
Date	
Signature	

Details and Signature of Individual from Contracted Organisation(s) who will be Involved in Conducting Aspects of the Research

Name	
Organisation	
Qualifications / Position	
Address	
Email	
Telephone	
Date	
Signature	

Details and Signature of Individual from Contracted Organisation(s) who will be Involved in Conducting Aspects of the Research

Name	
Organisation	
Qualifications / Position	
Address	
Email	
Telephone	
Date	
Signature	

**If there are more than two members from the contracted organisation who conduct parts of the research, please attach their details as per the above requirement

APPENDIX B HISTORY OF CHANGES

Effective Date	Last Update Date	Policy version no	TRIM	Notes
12 March 2009		1.2		Contact information updated. D12/0340226
12 March 2009	27 August 2018	1.3	D18/0378372	Minor changes to include reference to Public Schools D18/0151652 and to reflect organisational changes D18/0378302.