



# Graduation Rule

## Section 1 - Overview & Scope

(1) Graduation is the culmination of the student learning journey for a particular award and a source of both celebration and responsibility of the University for quality control and due diligence.

(2) A function of the UNE Council is to confer, rescind and correct such degrees, diplomas, certificates and other awards. Under this Rule the Council delegates some Council functions to the Vice-Chancellor and Chief Executive Officer, and Academic Board. The Council retains the governance role in overseeing all delegated functions.

Part A Sets out principles

Part B sets out key roles, responsibilities and delegations

## Part A - Principles

### Principles

(3) The University will formally confer on Students who satisfy the requirements of a course in which they are enrolled, the relevant award, in accordance with the [University of New England Act 1993 No 68 \(NSW\)](#).

(4) **Students** who have completed Course requirements must graduate and are not permitted to defer graduation and will not be permitted to enrol in further units in that Course.

(5) Students are deemed to be Graduates when the University has conferred their degree.

(6) The conferral date noted on the Testamur (and digital Testamur) and digital Australian Higher Education Graduation Statement (AHEGS) is the date of the appropriate graduation ceremony. When the conferment is In Absentia, the date will be the date the award is conferred by the University.

(7) A completed major will appear on the Testamur and Academic Record (Transcript), according to relevant Course Rules.

## Part B Key roles, responsibilities and delegations

(8) For Higher Degree Research awards, the Council delegates to the Vice-Chancellor and Chief Executive Officer, and to the Deputy Vice-Chancellor Research, the authority to approve the conferral of an award to a Student who has met the requirements to graduate from a higher degree research Course at the University.

(9) For awards other than those in Clause (8), the Council delegates to the Vice-Chancellor and Chief Executive Officer, and to the Deputy Vice-Chancellor, the authority to approve the conferral of an award to a Student who has met the requirements to graduate from a Course at the University.

(10) The Council will confer the award on an approved Graduand at an official University graduation ceremony, unless the graduand has received permission to graduate In Absentia.

(11) The Council delegates to the Vice-Chancellor and Chief Executive Officer, and to the Deputy Vice-Chancellor Research, the authority to permit a Student to graduate In Absentia, and to confer the award In

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Absentia, where a Student has approval to graduate from a higher degree research Course at the University.

(12) The Council delegates to the Vice- Chancellor and Chief Executive Officer, and to the Deputy Vice-Chancellor, the authority to permit the Student to graduate In Absentia and to confer the award to the Student In Absentia, where a Student has approval to graduate from a Course at the University **other than a higher degree research Course**

(13) Council reserves the authority for the rescission of an award that has been conferred by the University. Any proposed rescission of award must be reported to the Council as per the [Rescission of an Award/ Correction of an Award Procedure](#)(see also [Authorities Retained by Council Rule](#))

#### Rescission of an Award

(14) The Council may rescind conferral of an award in accordance with the Rescission of an Award/ Correction of an Award Procedure.

(15) The decision to rescind the conferral of an award is made by Council on the recommendation of the Deputy Vice-Chancellor, Deputy Vice-Chancellor Research or the Vice-Chancellor and Chief Executive Officer. The Council decision is final.

#### Correction of an Award

(16) The Council delegates to the Deputy Vice-Chancellor or Deputy Vice-Chancellor Research, as relevant, or the Vice- Chancellor and Chief Executive Officer, the authority to correct an award for one of the following reasons:

- a. amendments or corrections to names of the graduate;
- b. corrections to the title of the award, for minor typographical errors; and/or
- c. other minor typographical errors to the award.

(17) All other corrections must be submitted to University Secretariat for approval of the Council.

#### Responsibilities

(18) A Student is eligible to graduate from the Course in which they are enrolled if they have met the requirements in Clause 19(a)(i-v).

(19) In exercising the authority to approve the conferral of an award, to permit a Student to graduate In Absentia or to confer an award In Absentia, the Vice-Chancellor and Chief Executive Officer, Deputy Vice-Chancellor Research or Deputy Vice-Chancellor must certify that they are satisfied that:

- a. the Student:
  - i. has met the Course rules and other Course requirements to graduate;
  - ii. does not have a financial debt to the University, other than a debt that the University has agreed may be repaid after graduation;
  - iii. does not have an unresolved disciplinary case or appeal;
  - iv. is not subject to a current exclusion or expulsion from the University; and
  - v. has returned all University property.
- b. The decision to approve the Student for graduation has been endorsed by:
  - i. The University's Graduate Research Examinations Board, for a higher degree research student; and
  - ii. the Curriculum Committee, for a student other than a higher degree research student.

- (20) The person making the certification referred to in clause (19) above must:
- a. ensure that a copy of the signed and dated certification is:
    - i. provided to the University's designated Graduation Officer without delay; and
    - ii. stored in the correct file in the University's corporate records management system.
  - b. report the exercise of delegated authority under this rule to the Council through the University Secretary and provide an assurance that the requirements of this Rule have been met.

## Authority and Compliance

- (21) The UNE Council, pursuant to [Section 29 of the University of New England Act](#), makes this University Rule.
- (22) These principles are consistent with the Higher Education Support Act 2003 (Cth), and Higher Education Standards Framework (Threshold Standards) 2021.
- (23) The delegation of Council powers under this rule is made pursuant to [Section 17 of the UNE Act](#).
- (24) University Representatives and Students must observe this Rule in relation to University matters.
- (25) The Rule Administrator, the Director Governance and University Secretary, is authorised to make procedures and guidelines for the operation of this University Rule. The procedures and guidelines must be compatible with the provisions of this Rule.
- (26) This Rule operates as and from the Effective Date.

## Section 4 - Definitions

- (27) For the purposes of this Rule the following definition applies:

**Graduation Officer** means the person assigned to the role of coordinating all activities related to the graduation process. This will normally be the Executive Principal, Student Experience, or delegate.

## Status and Details

Status	Current
Effective Date	To be confirmed
Review Date	To be confirmed
Approval Authority	Council
Approval Date	To be confirmed
Expiry Date	To Be Advised
Unit Head	Gabrielle Price Director Governance and University Secretary 61 2 6773 3445
Author	Alicia Zikan
Enquiries Contact	University Secretary +61 2 6773 3445

PROPOSED - REVISED

# Graduation Rule

## Section 1 -- Overview & Scope

(1) Graduation is the culmination of the student learning journey for a particular award and a source of both celebration and responsibility of the University for quality control and due diligence.

~~(1)(2)~~ ~~It is a~~ function of the UNE Council ~~is~~ to confer, rescind and correct such degrees, ~~award such diplomas, certificates and other awards and other certificates, as it thinks fit.~~ Under this Rule the Council delegates some Council functions to the Vice-Chancellor and Chief Executive Officer, ~~and Academic Board and other Senior Executives.~~ The Council retains the governance a governance role ~~to in~~ overseeing ~~the all~~ delegated functions.

## ~~Section 2~~ Scope

~~This Rule applies to UNE Representative and Students.~~

Part A Sets out principles

~~(2) Part B sets out key roles and responsible, responsibilities and delegations :~~

## ~~Section 3~~ -- Rule Part A - Principles

### Principles

- (3) The University will formally confer on Students who satisfy ~~all~~ the requirements of a course in which they are enrolled, ~~are eligible for formal conferral of the relevant award, by the University~~ in accordance with the University of New England Act 1993 No 68 (NSW).
- (4) **Students** who have completed Course requirements must graduate and are not permitted to defer graduation and will not be permitted to enrol in further units in that Course.
- (5) Students are ~~not~~ deemed to be Graduates ~~until when~~ the University has conferred their degree.
- (6) The conferral date noted on for the Testamur (and digital Testamur) and ~~the digital~~ Australian Higher Education Graduation Statement (AHEGS) ~~shall be~~ is the date of the appropriate graduation ceremony, ~~except w~~ When the conferment is In Absentia, ~~when the date will be the date of the award is conferred by conferral by~~ the University.
- (7) ~~Subject to Course rules, a~~ completed major will appear on the Testamur and Academic Record (Transcript), according to relevant Course Rules.

## Part B Key roles, responsibilities and delegations

- (8) For Higher Degree Research awards, HDR... ~~The the~~ Council delegates to the Vice-Chancellor and Chief Executive Officer, ~~and to the~~ Deputy Vice-Chancellor Research, the authority to approve the conferral of an award

to a Student who has met the requirements to graduate from a higher degree research Course at the University.

(9) ~~For all other awards awards other than those in Clause (8),...~~ ~~The the~~ Council delegates to the Vice-Chancellor and Chief Executive Officer, and to the Deputy Vice-Chancellor, the authority to approve the conferral of an award to a Student who has met the requirements to graduate from a Course at the University ~~other than a higher degree research Course.~~

(10) The Council will confer the award on an approved Graduand at an official University graduation ceremony, ~~unless the the approved~~ graduand has received permission to graduate In Absentia.

(11) ~~The University~~ Council delegates to the Vice-Chancellor and Chief Executive Officer, and to the Deputy Vice-Chancellor Research, the authority to permit a Student to graduate In Absentia, and to confer the award In Absentia. ~~- If where~~ a Student has approval to graduate from a higher degree research Course at the University, ~~and the Student has requested permission to graduate In Absentia, then the Council delegates to the Vice-Chancellor and Chief Executive Officer and to the Deputy Vice-Chancellor Research the authority to permit the Student to graduate In Absentia and to confer the award to the Student In Absentia.~~

(12) ~~The Council delegates to the Vice-Chancellor and Chief Executive Officer, and to the Deputy Vice-Chancellor, the authority to permit the Student to graduate In Absentia and to confer the award to the Student In Absentia, where~~ a Student has approval to graduate from a Course at the University **other than a higher degree research Course**, ~~and the Student has requested permission to graduate In Absentia, then the Council delegates to the Vice-Chancellor and Chief Executive Officer and to the Deputy Vice-Chancellor the authority to permit the Student to graduate In Absentia and to confer the award to the Student In Absentia.~~

~~(13) Council reserves the authority for This Rule does not delegate authority to the~~ rescission of ~~an and an~~ award that has been conferred by the University. ~~Any proposed rescission of award must be reported to the Council as per the rescission~~ Rescission of an Award/ Correction of an Award Procedure ~~of award procedure (see also Authorities Retained by Council Rule)~~

~~(13), and the power to rescind awards is reserved to the Council.~~

~~(14) The delegation of Council powers under this rule is made pursuant to Section 17 of the UNE Act.~~

#### Rescission of an Award

~~(14)~~ (14) The Council may rescind conferral of an award in accordance with the Rescission of an Award/ Correction of an Award Procedure, for reasons which include, but are not limited to:

~~a. a graduate wishes to have their award rescinded;~~

~~b. an administrative error has resulted in the conferral of an award for which the Student was not eligible; or a Student or former Student is in breach of a rule or policy of the University where rescission of an award is a valid penalty for such a breach.~~

(15) The decision to rescind the conferral of an award is made by Council on the recommendation of the Deputy Vice-Chancellor, Deputy Vice-Chancellor Research or the Vice-Chancellor and Chief Executive Officer. The Council decision is final.

#### Correction of an Award

(16) The Council delegates to the Deputy Vice-Chancellor or Deputy Vice-Chancellor Research, as relevant, or the Vice-Chancellor and Chief Executive Officer, the authority to correct an award for one of the following reasons:

- a. amendments or corrections to names of the graduate;
- b. corrections to the title of the award, for minor typographical errors; and/or
- c. other minor typographical errors to the award.

(17) All other corrections must be submitted to University Secretariat for approval of the Council.

## Responsibilities

(18) A Student is eligible to graduate from the Course in which they are enrolled if they have met the requirements in ~~clause Clause 20-19~~(a)(i-v).

(19) In exercising the authority to approve the conferral of an award, to permit a Student to graduate In Absentia or ~~to confer to confer~~ an award In Absentia, the Vice-Chancellor and Chief Executive Officer, Deputy Vice-Chancellor Research or Deputy Vice-Chancellor must certify that they are satisfied that:

- a. the Student:
  - i. has met the Course rules and other Course requirements to graduate;
  - ii. does not have a financial debt to the University, other than a debt that the University has agreed may be repaid after graduation;
  - iii. does not have an unresolved disciplinary case or appeal;
  - iv. is not subject to a current exclusion or expulsion from the University; and
  - v. has returned all University property ~~that the Student is required to return~~.
- b. The decision to approve the Student for graduation has been endorsed by:
  - i. ~~In the case of a higher degree research student, the~~ The University's Graduate Research Examinations Board, ~~for a higher degree research student;~~and
  - ii. ~~In the case of a student other than a higher degree research student,~~ the Curriculum Committee, ~~for a student other than a higher degree research student~~.

(20) The person making the certification referred to in clause (20) above must:

- a. ensure that a copy of the signed and dated certification is:
  - i. provided to the University's designated Graduation Officer without delay; and
  - ii. stored in ~~an appropriate~~ the correct file in the University's corporate records management system.
- b. report the exercise of delegated authority under this rule to the Council ~~in due~~ course through the University Secretary and provide an assurance that the requirements of this ~~rule~~ Rule have been met.

## Authority and Compliance

~~(21)~~ The UNE Council, pursuant to Section 29 of the University of New England Act, makes this University Rule.

~~(22)~~ These principles are consistent with the Higher Education Support Act 2003 (Cth), and Higher Education Standards Framework (Threshold Standards) 2021.

~~(23)~~ The delegation of Council powers under this rule is made pursuant to Section 17 of the UNE Act.

~~(24)~~ (24) University Representatives and Students must observe this Rule in relation to University matters.

~~(22)~~ (25) The Rule Administrator, the Director Governance and University Secretary, is authorised to make procedures and guidelines for the operation of this University Rule. The procedures and guidelines must be compatible with the provisions of this Rule.

~~(23)~~ (26) This Rule operates as and from the Effective Date.

## Section 4 - Definitions

~~(24)~~ (27) For the purposes of this Rule the following definition applies:

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**Graduation Officer** means the ~~staff member responsible for the coordination of graduation ceremonies at the University~~ person assigned to the role of coordinating all activities related to the graduation process. This will normally be the Executive Principal, Student Experience, or delegate.

PROPOSED - REVISED



## Status and Details

Status	Current
Effective Date	To be confirmed
Review Date	To be confirmed
Approval Authority	Council
Approval Date	To be confirmed
Expiry Date	To Be Advised
Unit Head	Gabrielle Price Director Governance and University Secretary 61 2 6773 3445
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PROPOSED - REVISED



<b>Authority</b>	ACADEMIC BOARD STANDING COMMITTEE	<b>Date</b>	28 March 2022
<b>Report Ref</b>	#ABSC22423	<b>Item No</b>	3.5
<b>Proposer</b>	Professor Gerd Schmalz, Chair, Research Committee		
<b>Authorised for inclusion on agenda</b>	Professor Robyn Bartel, Chair, Academic Board Standing Committee		

## #ABSC22423 – Chair of Research Committee Report

### Report Purpose & Origin

<b>Purpose:</b>	To provide the Academic Board Standing Committee with an overview of Academic Governance matters considered by Research Committee since the last Academic Board meeting and assurance (or otherwise) and seek endorsement of the Human Research Ethics Committee Terms of Reference.
<b>Origin</b>	Ad Hoc.
<b>Governance focus</b>	Academic Board Standing Committee <a href="#">Terms of Reference</a> : 5, 22, 25, 26, 30. University of New England <a href="#">Act</a> : 15 (Academic Board) University of New England <a href="#">By-Laws</a> : 21 (Function of Academic Board) Higher Education Standards Framework ( <a href="#">Threshold Standards</a> ): Domain 4 ( <b>Research and Research Training</b> ) 4.1.1, 4.1.2 and 4.1.3 (Research), 4.2.1, 4.2.3 and 4.2.4 (Research Training); Domain 5 ( <b>Institutional Quality Assurance</b> ) 5.2.1, 5.2.2 and 5.2.4 (Academic and Research Integrity), 5.3.3 and 5.3.6 (Monitoring, Review and Improvement); Domain 6 ( <b>Governance and Accountability</b> ) 6.1.3 (Corporate Governance), 6.3.1 and 6.3.2 (Academic Governance).
<b>Academic Risk</b>	R1 Research Excellence R2 Research Culture and Integrity R4 Academic Governance and Reporting R6 Policies
<b>Accountability</b>	Professor Gerd Schmalz, Chair, Research Committee

### Resolution

The Academic Board Standing Committee is asked to:

- 1) ENDORSE and RECOMMEND to Council (for approval) the revised Human Research Ethics Committee Terms of Reference; and
- 2) NOTE the report from the Chair of Research Committee, report #ABSC22423.

### Executive Summary

The Research Committee meet for its first meeting of 2022 on 17 March. At this meeting, the Committee considered a report from the Chair of Human Research Ethics Committee (HREC), Associate Professor Jo Coghlan, and endorsed to the Academic Board (Standing Committee) amendment to the HREC Terms of Reference (see **Attachment 1**).

<i>Authority</i>	ACADEMIC BOARD STANDING COMMITTEE	<i>Date</i>	28 March 2022
<i>Report title</i>	Chair of Research Committee Report	<i>Report Ref</i>	#ABSC22423

This report discusses only #RC22336. Further information of the business of the 17 March 2022 meeting will be provided in a future report to 26 April 2022 Academic Board.

## Key Information

The UNE [Code of Conduct for Research Rule](#) sets out UNE’s institutional response and is supported by guidelines that are regularly updated when the NHMRC or other bodies make additions to the code and national guidelines.

The UNE Human Research Ethics Committee is guided by the National Statement on Ethical Conduct in Human Research, 2007 (updated 2018): <https://www.nhmrc.gov.au/about-us/publications/national-statement-ethical-conduct-human-research-2007-updated-2018>

In late 2021 a full rewrite of the Terms of Reference was completed to meet external requirements set out in the National Statement on Ethical Conduct in Human Research 2007 (Updated 2018). Moreover, the ToRs have also been updated to meet current University standards and added to the Policy Register database.

## Future Fit Alignment

## Contribution of this initiative

Goal 1: Crafting, adapting and supporting learning journeys that are distinctive in their accessibility and flexibility.

The ResCom, as a Committee of Academic Board, is a key contributor to academic governance and contributes in particular to quality definition and enhancement as well as assurance, continuous improvement and strategic leadership of the university’s higher degree by research courses for the benefit of its students and the public good.

Goal 2: Creating and sharing knowledge to make a difference locally, regionally and globally.

The ResCom, as a Committee of Academic Board, is a key contributor to academic governance and contributes in particular to quality definition and enhancement as well as assurance, continuous improvement, and strategic leadership of the university’s research and research training initiatives for the benefit of knowledge creation, including for the benefit of local, regional and global communities.

Goal 3: Committing to environmental, social and financial resilience for the University, our staff, our students and our communities.

The ResCom, as a Committee of Academic Board, is a key contributor to academic governance and contributes in particular to quality definition and enhancement as well as assurance, continuous improvement, and strategic leadership of academic governance through focusing on sustainability and resilience, which will enable the university to provide benefits to staff, students, communities and the public good. Recommendations for improved research governance via revised Terms of Reference.

## Appendices / Supporting Documentation

**Attachment 1:** Terms of Reference (Council Approved) – UNE Human Research Ethics Committee

Records, Policy and Governance  
University of New England



Office of the Deputy Vice-Chancellor (Research)  
Phone: +61 2 6773 3715

## Approval Covering Memorandum

**To:** Heiko Daniel  
Research Committee

**Date:** 22nd March 2022

**From:** Heiko Daniel  
Deputy Vice-Chancellor Research

**Proposed Document:** Terms of Reference (Council approved) - UNE Human Research Ethics Committee

**Status:** Revision: (Document 00448, Version 2, Draft 2)

The Terms of Reference (Council approved) - UNE Human Research Ethics Committee is presented for consideration and approval. While there have been contextual changes to the document, these are not considered to be of a sensitive or contentious nature. The changes are not expected to have any impact on resources or compliance.

Full rewrite of the terms of reference was completed to meet external requirements set out in the National Statement on Ethical Conduct in Human Research 2007 (Updated 2018).

Document has also been updated to meet current University terms of reference standards and added into the system.

The nature of the changes are summarised below:

<b>Changes and Impacts</b>			
Contextual Changes		Yes	
Contentious and/or Sensitive Issues		No	
Compliance Impact		Nil	
Resources Impact		Nil	
<b>Basis and Scope Of Amendment/s</b>			
Change Prompted By		Legislative Amendment	
Document Sections Edited		Policy - All Clauses	
<b>Timeframes</b>			
Date of Effect		Date of Publication	
Expiration Date		Not Applicable	
To Be Reviewed		Annually	
<b>Registered Approval Pathway</b>			
Endorsement	Heiko Daniel	Research Committee	dvcr@une.edu.au
Approval	James Harris	Council	james.harris@une.edu.au
<b>Target Audience</b>			
Staff, Students			

**Purpose**

This policy document sets out the Terms of Reference for the Human Ethics Research Committee.

**Consultation**

The following consultation was undertaken in regard to the development of this document. It should be noted that this consultation was undertaken without the aid of the Bulletin Board.

Name of Individual/Group	Number of Opportunities	Total Time Allowed for Comment	Number of Responses
Michael Duffy	5		
Jo Coghlan	3		
David Miron	3		
Research Committee	1		

**Summary of Amendments**

There is nothing further to report in regard to consultation.

These changes were requested by Michael Duffy

Heiko Daniel approval for development of the changes to proceed.

**Implementation Overview**

1. Notification of publication via the Governance Newsletter and UNE website - RPG
2. Communication to key stakeholders - Committee Chair

**Policy Change Control**

Policy Change Request ID: 132

The Delegation Register does not need to be updated.

The Associated Document do not require updating.

The policy was quality reviewed by: Emily Lambert

**Associated Information**

The following information will be published with the document to facilitate understanding, ease of access and implementation.

**Legislation**

Nil

**Standards**

Nil

**Codes**

National Statement on Ethical Conduct in Human Research (2007) (updated 2018)

**Published Documents**

Nil

**Working Documents**

Nil

**File Uploads**

Nil

**Website Links**

National Statement on Ethical Conduct in Human Research 2007

**Paper-based Publications**

Nil

## Terms of **reference**

# Reference (Council approved) - UNE Human Research Ethics Committee

A [PDF version](#) of the HREC Terms of Reference is available.

### Decision-making:

## ~~Pursuant to moral and other obligations of the University, the~~ Section 1 - Overview

~~Human Research Ethics Committee has responsibility for the consideration of the ethical aspects as well as the merit of the conduct of research involving human participants.~~

- (1) ~~The [Human Research Ethics Committee](#) will:~~(HREC) is an independent decision-making body that reports to the [UNE Research Committee](#).
- ~~1. i) review the ethical aspects of all proposals by UNE staff and students involving research on human beings which directly affects the participants in the research; and~~
  - ~~2. ii) ensure that the proposals conform with the general principles of the NH&MRC's National Statement on Ethical Conduct in Human Research 2007 (updated 2018) and meet accepted professional standards;~~
  - ~~3. iii) ensure that all Committee members have a current understanding of the NH&MRC's National Statement on Ethical Conduct in Human Research 2007 (updated 2018) and the Australian Code for the Responsible Conduct of Research 2018 and the Guidelines for Ethical Research in Australian Indigenous Studies.~~
  - ~~4. forward as required a report of its decisions to the relevant Human Research Ethics authority or overseeing body;~~
  - ~~5. supervise the implementation of the principles of the NH&MRC's National Statement on Ethical Conduct in Human Research 2007 (updated 2018) in all research by UNE staff and students involving human participants;~~
  - ~~6. maintain a database of all proposed research projects;~~
  - ~~7. require those carrying out research involving human participants to keep records which will enable the Committee to make a judgement on the ethics of each of these research projects, and provide the Committee with the information necessary to make a judgement on the ethical aspects of research~~
  - ~~8. make inspections of research involving human participants thus recorded, where necessary;~~
- (2) ~~receive and investigate complaints concerning research involving human participants and make recommendations to the supervisor, and, if necessary~~It is established in accordance with the requirements of the [National Statement on Ethical Conduct in Human Research 2007 \(Updated 2018\)](#), hereafter referred to as the [National Statement](#).
- (3) These Terms of Reference of the HREC prescribe:
- a. the members of the HREC, and members' method and term of appointment;
  - b. the functions and terms of reference of the HREC; and
  - c. other matters in connection with the HREC and its operation.

(4) The University of New England HREC embraces and complies with the National Statement and its four ethical values:

- a. respect;
- b. research merit and integrity;
- c. justice; and
- d. beneficence.

(5) A guiding principle of HREC is that participants are people: the Committee has a duty to them and takes their perspectives into account when it considers research proposals.

(6) It is an equally important principle that HREC supports and advises researchers and students in developing and undertaking research of a high ethical standard, and considers their safety and wellbeing in reviewing research proposals.

### Objectives

- ~~9. (7) The HREC functions as an independent decision-making body. It advises, the Deputy Vice-Chancellor (Research);~~
- ~~10. be available for consultation on matters relating to research involving human participants;~~
- ~~11. make recommendations to the Deputy Vice-Chancellor (Research) on matters concerning research involving human participants~~
- ~~12. recommend to the Librarian the acquisition of publications relevant to research involving human participants and arrange that these publications be indexed in such a way as to provide ready access to information~~
- ~~13. represent the University for liaison with bodies outside the University on matters related to research involving human participants~~
- ~~14. ensure that every effort will be made to facilitate the University's aim of increasing the representation of women in the leadership and membership of decision making bodies with the ultimate aim of equal representation~~
- ~~consider and to report on any matter referred to it by the Vice-Chancellor or, supports the Academic Board- and reports to the Research Committee on:~~

- a. protecting the mental and physical welfare, rights, dignity and safety of participants in human research, their data or human tissue;
- b. promoting and supporting ethical standards of human research;
- c. using efficient and effective review process, in accordance with the National Statement, to maintain ethical standards in human research;
- d. protecting UNE's standing as a place of ethical research by reviewing research undertaken by UNE staff and students, and affiliates in accordance with the requirements of the National Statement; and
- e. reviewing research applications to identify potential safety concerns for participants, UNE staff and students and affiliates in the conduct of research.

## Section 2 - Human Research Ethics Committee Membership

### Membership

(8) The minimum membership of UNE HREC shall be eight, and include (NS 5.1.30): a. **Chair** **Reporting:**

#### Deputy

i. the Chair of the HREC is appointed by the Vice-Chancellor (Research)

~~Chair:~~



~~Appointed by the Vice-Chancellor and Chief Executive Officer, in consultation with the Deputy Vice-Chancellor (Research) and the Committee, in addition to the membership, for a two-year, once renewable term.~~

## Membership:

~~The minimum membership of an HREC is seven members, being men and women comprising:~~

~~a Chairperson, with . The Chair will have suitable experience, whose and standing within the University. Their other responsibilities will not impair the HREC's HREC's capacity to carry out its obligations responsibilities under the National Statement; National Statement~~

- ~~b. at least two lay people, one man and one a woman, and a man who have no affiliation are not affiliated with the institution UNE and who are not , currently engage engaged in medical, scientific, legal or academic work;~~
- ~~c. at least one person with knowledge of, and the current experience in, the professional care, counselling of and treatment of people; for example, (e.g. a nurse or allied health professional);~~
- ~~d. at least one person who performs a pastoral care role in a community, for example, (e.g. an Aboriginal Elder or a minister of religion);~~
- ~~e. at least one lawyer, where who, if possible one who, is not engaged to advise the institution UNE;~~
- ~~f. a representative of Aboriginal and Torres Strait Islander interests;~~

~~f.g. at least two people academic members with current research experience that is relevant to research proposals to be being considered at the meetings they attend. These two members may be selected, according to need, form an established pool of inducted members with relevant an HREC meeting. The Chair of HREC and the Deputy Vice-Chancellor Research will consult over the appointment of up to 12 academic members, with experience; and in the research areas of: i. information technology.~~

- ~~a. at least two Aboriginal or Torres Strait Islander persons, one who has a tertiary qualification and experience in being involved in research and the other being the Director of Oorala Aboriginal Centre
 
  - ~~ii. Members the sciences; and~~
  - ~~iii. psychology;~~
  - ~~iv. health;~~
  - ~~v. engineering and the built environment;~~
  - ~~vi. education;~~
  - ~~vii. business and law;~~
  - ~~viii. arts and social sciences;~~~~

## Appointment procedure

~~(9) Prospective members of UNE HREC may be recruited by direct approach, nomination or by invitation to express an interest. They are appointed by the Vice-Chancellor and Chief Executive Officer, or the Deputy Vice-Chancellor Research as the Vice-Chancellor and Chief Executive Officer nominee.~~

~~(10) Members are appointed for their knowledge, qualities and experience and not as representative of any organisation or opinion. Appointments will recognise candidates with a broad knowledge of, and commitment to, ethical decision-making.~~

~~(11) On appointment members will hold office for a two-year period and sign a statement undertaking:~~

- ~~a. that all matters of which they become aware during the course of their work on UNE HREC will be kept confidential;~~
- ~~b. that any conflicts of interest, actual or perceived, that may serve arise during their tenure on UNE HREC will be declared; and~~

c. that they have not been subject to any criminal conviction or disciplinary action that would prejudice their standing as an UNE HREC member.

(12) Additional members may be appointed to all categories, except for the position of Chair, so that the HREC remains compliant with the National Statement and has the body of expertise to review research.

~~(9)~~(13) HREC members are appointed for a two-year term and may be re-appointed for a maximum of five consecutive terms.

### **Termination of Office: appointment**

~~Members will hold office~~(14) The Deputy Vice-Chancellor Research may terminate in writing the appointment of any HREC member if the Deputy Vice-Chancellor Research is of the opinion that:

it is necessary for a two-year period the proper and may serve a maximum of five consecutive terms.

### **Frequency of meetings:**

~~a. The Committee will meet once a month to assess high risk application and a sub-Committee effective functioning of the University HREC meets weekly;~~

~~b. the person is no longer qualified or fit to serve on the University HREC; or~~

~~c. the person has failed to assess low risk, carry out their duties as a University HREC member.~~

### **Invited members**

(15) The UNE HREC may invite a researcher or researchers, and they may request, to attend meetings for discussion of their proposed research (NS 5.2.20).

(16) The UNE HREC may seek advice from experts to help in considering a research proposal (NS 5.2.21) under these conditions:

~~a. the experts shall be bound by the same confidentiality requirements as UNE HREC members; and~~

~~b. any conflicts of interest they have should be disclosed and managed.~~

### **Observers**

(17) The Chair may invite members of the UNE community and the wider community, who are not researchers, to attend UNE HREC meetings as observers.

### **Casual vacancies**

(18) In the event that a membership lapses before a term of office expires, the Chair may take steps to fill a casual vacancy.

#### **Chair**

(19) The Chair will be appointed for a two-year term of office and is renewable for a further two years only.

### **Deputy Chair/s**

(20) The HREC will elect from among its members **up to two** Deputy Chair/s for a period of two years, renewable for a second term, who will:

~~a. chair meetings of the HREC in the absence of the Chair; and~~

~~a-b. assist the Chair in completing HREC business, including in reviewing and approving low/negligible risk applications for expedited ethical review.~~

## **Self review:**

### **Once in every twelve month period, the Gender representation objectives**

(21) UNE HREC follows the requirement of the National Statement (Section 5 Processes of Research Governance and Ethical review 5.1.29a) that, as far as possible, there should be equal numbers of men and women on a HREC.

### **Balance**

(22) As far as possible there should be:

- a. appropriate representation of the diversity of UNE's cultural environment; and
- b. at least one third of members who are from outside the University.

### **Indemnity**

(23) UNE indemnifies members for actions in the course of their conduct as HREC members.

### **Remuneration**

(24) The Chair and the Deputy Chair/s of HREC will receive a honorarium as a condition of their appointment. There is no other remuneration for HREC members. Those members who are not University staff may, however, be remunerated for travel, parking and other costs associated with attending to the business of HREC. The HREC service of members who are University staff may be recognised in their workload allocation.

### **Conflict of interest**

(25) In accordance with the UNE Conflict of Interest Policy, Conflict of Interest Procedures and the National Statement (Section 5.4 Conflicts of Interest) UNE will adopt measures to manage conflict of interest.

(26) Members are required to disclose any perceived or actual conflict of interest in research to be reviewed, including any:

- a. personal involvement or participation in the research;
- b. financial or other interest or affiliation; or
- c. involvement in competing research.

(27) UNE HREC's measures to manage conflicts of interest may include exclusion from a meeting, or from some of UNE HREC's deliberations.

(28) If the member withdraws from the meeting, the UNE HREC Secretary will record the member's declaration of interest and absence in the minutes.

(29) The member's withdrawal from the relevant part of the meeting will not affect the quorum.

### **Training**

(30) UNE HREC members must have an understanding of the national regulatory and legislative requirements and the relevant UNE policies dealing with ethical research conduct.

(31) Newly-appointed members will receive induction training that is relevant to the responsibilities of the HREC, in accordance with the National Statement (Chapter 5 Responsibilities of HRECs, Other Ethical Review Bodies, and Researchers 5.2.3).

(32) UNE HREC members will be required to attend continuing education or training programs on research ethics at least every two years.

(33) At the discretion of the Chair, training and development in research ethics and associated procedures will also be available to UNE Representatives and Higher Degree by Research students.

## **Section 3 - Human Research Ethics Committee Functions**

### **Functions**

(34) The functions of UNE HREC are classified in the following domains: reviewing, approval, advisory, monitoring and communication functions.

### **Reviewing functions**

(35) The HREC is responsible for reviewing applications for ethics approval which includes:

- a. reviewing the ethical aspects of research proposals involving human research from UNE staff and students, and from non-affiliated researchers, to determine whether they are acceptable and consistent with national regulatory and legislative requirements, particularly:
  - i. the National Statement;
  - ii. the Australian Code for the Responsible Conduct of Research; and
  - iii. AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research.
- b. establishing procedures to promote good ethical review, as outlined in the National Statement (CI's 5.1.28 and 5.1.37).
- c. ensuring the compliance of research proposals with UNE policies on human research and attendant procedures, including:
  - i. Code of Conduct for Research Rule;
  - ii. Collaborative Research Rule;
  - iii. Management and Storage of Research Data and Materials Policy and Procedures;
  - iv. Open Access to UNE Research Publications and Data Policy;
  - v. Research UNE Deposit, Collection and Access Rule;
  - vi. Records Management Rule and Procedures; and
  - vii. Knowledge Assets and Intellectual Property Policy.
- d. at the discretion of the Chair and on a fee for service basis, accepts and reviews research proposals from external organisations or researchers with no direct link to UNE.

### **Approval functions**

(36) HREC responsibilities for approving applications includes:

- a. granting approvals for research projects, where review has determined them to be ethically acceptable and in accordance with relevant standards and guidelines, including:
  - i. UNE researchers' requirements that proposed research involving human beings to provide sufficient detail/information for UNE HREC to make a judgment on the ethical aspects of the research;
- b. withholding, withdrawing, suspending, restricting or terminating ethical approval for research proposals where, through review, UNE HREC has determined them to be ethically unacceptable and not in accordance with relevant standards and guidelines;
- c. reviewing requests from UNE staff and external researchers to recognise ethical approval granted by another registered HREC for research to be conducted on UNE premises;
- d. recording and acknowledging approvals involving UNE staff, which have been issued by another registered HREC for research which is to be carried out elsewhere; and

e. granting approvals for research proposals from external organisations with no direct links to UNE.

## **Monitoring functions**

(37) HREC responsibilities for monitoring research conduct includes:

- a. monitoring the conduct of approved research projects by requiring researchers to submit annual and completion reports;
- b. reviewing, approving or withholding approval on variations to existing ethical approval; and
- c. maintaining an accurate efficient and accessible database of all proposed and approved research projects (NS 5.2.25-5.2.29).

## **Advising functions**

(38) HREC is responsible for providing advice to assist with:

- a. supporting researchers and students involved in human research; and
- b. advising the Deputy Vice-Chancellor Research on ethical issues, including the ethical aspects of any complaint against researchers, research projects or teaching protocols.

## **Communication functions**

(39) The HREC notes that good ethical review requires open communication between review bodies and researchers (National Statement Chapter 5.2 Responsibilities of HRECs, Other Review Bodies, and Researchers 5.2.14). It will discharge this responsibility by:

- a. promoting awareness of the National Statement among researchers and students;
- b. making UNE HREC and its staff readily accessible to researchers; and
- c. communicating the outcomes of review to researchers in a timely manner.

## **Authority**

(40) UNE HREC is authorised to seek data and information from the University through the Deputy Vice-Chancellor Research to meet its duties and functions.

# **Section 4 - Delegations**

## **Delegation from Council**

(41) UNE HREC has delegated authority from the Council under Sec 17 of the University of New England Act 1993 (NSW) to perform on its behalf the reviewing, approval, advisory, monitoring and communication functions set out in the Terms of Reference above, and all matters ancillary to those functions.

(42) UNE HREC may delegate authority to act on its behalf to the Chair, Deputy Chair, sub-Committees and the Human Research Ethics Officer. Any person or body delegated will report to HREC.

## **Sub-Committees**

(43) The Chair of HREC may convene such sub-committees as may be necessary to fulfil HREC responsibilities. The Chair, in consultation with HREC, will determine the Terms of Reference for any sub-committee.

## **Section 5 - Conduct of Human Research Ethics Committee**

### **Reporting to the Deputy Vice-Chancellor Research and to the Research Committee**

(44) The Chair of the HREC reports to the Deputy Vice-Chancellor Research through the Director Research Services.

### **Procedures**

(45) UNE HREC conducts its business in accordance with these Terms of Reference and the Standard Operating Procedures.

### **Meetings**

(46) UNE HREC meets at least eight times a year to review high-risk applications and as required in order to review lower and negligible risk applications, and to perform its other functions.

### **Business papers**

(47) Unless the Chair directs otherwise, HREC business papers are distributed to committee members and official attendees at least seven days prior to the meeting, or such shorter period as is practicable in the circumstances.

### **Confidentiality**

(48) Because of the confidential nature of the business of the HREC, there should be no public disclosure of business papers, minutes, or other information associated with the work of the Committee. This is consistent with CI 5.1.37 of the National Statement, which directs HREC and other ethical review bodies to exercise appropriate confidentiality of the content of applications and the deliberations of review bodies.

### **Quorum**

(49) At any meeting of the HREC that considers high-risk applications, one half of the voting membership plus one constitutes a quorum.

(50) Where there is less than full attendance at an UNE HREC meeting, the Chair must be satisfied that, before a decision is reached, members have received all papers, have had an opportunity to contribute their views and have their views considered and recorded.

### **Use of technology**

(51) For its business papers, meetings and otherwise to conduct its business, the HREC and its members may use technology including telephone, video-conferencing, telepresence, email and internet as arranged by the Chair and/or Committee Secretary.

### **Resolutions**

(52) The Human Research Ethics Committee may pass a resolution by 'flying minute' provided that the resolution has been approved by a simple majority of the Committee members at the time the resolution is made.

### **Confirmation of minutes**

(53) Draft minutes will normally be circulated to members for comment promptly after each meeting. Next, the minutes (with any necessary changes) will be circulated for adoption by the HREC. The minutes will be finalised and adopted when they have been approved by a majority of the members that were present at the relevant meeting. Alternatively, the minutes may be included in the business papers for the next Committee meeting and considered and adopted by the Committee at that meeting.

**Self-review**

(54) Once annually the HREC shall devote ~~at least~~ part of one meeting to a~~the~~ review of its policies, practices and procedures over the preceding ~~12~~twelve months.

**Support:**

**Secretary to the HREC**

(55) Human Research Services~~Ethics Officer~~ will provide ~~Administrative~~secretarial and administrative support to the HREC.

**Section 6 - Interpretation**

(56) This document should be interpreted using the following principles:

- a. Where Human Research Ethics Committee membership is defined by reference to an office held (eg. 'Chair of Academic Board'), that office-bearer is a member ex officio and has all of the same rights and responsibilities (including voting) as other Committee members whilst holding the office specified.
- b. This document does not override or otherwise affect:
  - i. the Authority Retained by Council Rule; or
  - ii. the Vice-Chancellor Functions Rule;
  - iii. however, it operates as a delegation of certain authorities that have been retained by Council.

(57) The existing terms of reference and any other documents governing the Human Research Ethics Committee at the Effective Date Terms of Reference are approved, are replaced and have no further operation.

**Status and Details**

<u>Status</u>	<u>Current</u>
<u>Effective Date</u>	<u>To Be Advised</u>
<u>Review Date</u>	<u>To Be Advised</u>
<u>Approval Authority</u>	
<u>Approval Date</u>	<u>To Be Advised</u>
<u>Expiry Date</u>	<u>To Be Advised</u>
<u>Unit Head</u>	<u>Heiko Daniel</u> <u>Deputy Vice-Chancellor Research <a href="mailto:dvcr@une.edu.au">dvcr@une.edu.au</a></u>
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<u>Enquiries Contact</u>	<u>Office of the Deputy Vice-Chancellor (Research) +61 2 6773 3715</u>

**Glossary Terms and Definitions**

**"UNE Representative"** - Means a University employee (casual, fixed term and permanent), contractor, agent, appointee, UNE Council member, adjunct, visiting academic and any other person engaged by the University to undertake some activity for or on behalf of the University. It includes corporations and other bodies falling into one or more of these categories.

*This policy document may be varied, withdrawn or replaced at any time. Printed copies, or part thereof, are regarded as uncontrolled and should not be **Page 9 of 10** relied upon as the current version. It is the responsibility of staff printing this document to always refer to UNE Policy Library for the latest version.*

"Student" - Is an admitted student or an enrolled student, at the relevant time: 1. an admitted student is a student who has been admitted to a UNE course of study and who is entitled to enrol in a unit of study or who has completed all of the units in the UNE course of study; 2. an enrolled student is a student who is enrolled in a unit of study at UNE.

"Effective Date" - means the Rule/Policy takes effect on the day on which it is published, or such later day as may be specified in the policy document.

"University" - University of New England

"Researcher" - A person (or persons) who conduct(s), or assists with the conduct of research.





# Terms of Reference (Council approved) - UNE Human Research Ethics Committee

## Section 1 - Overview

### Human Research Ethics Committee

(1) The Human Research Ethics Committee (HREC) is an independent decision-making body that reports to the UNE Research Committee.

(2) It is established in accordance with the requirements of the [National Statement on Ethical Conduct in Human Research 2007 \(Updated 2018\)](#), hereafter referred to as the [National Statement](#).

(3) These Terms of Reference of the HREC prescribe:

- a. the members of the HREC, and members' method and term of appointment;
- b. the functions and terms of reference of the HREC; and
- c. other matters in connection with the HREC and its operation.

(4) The University of New England HREC embraces and complies with the [National Statement](#) and its four ethical values:

- a. respect;
- b. research merit and integrity;
- c. justice; and
- d. beneficence.

(5) A guiding principle of HREC is that participants are people: the Committee has a duty to them and takes their perspectives into account when it considers research proposals.

(6) It is an equally important principle that HREC supports and advises researchers and students in developing and undertaking research of a high ethical standard, and considers their safety and wellbeing in reviewing research proposals.

### Objectives

(7) The HREC functions as an independent decision-making body. It advises, the Deputy Vice-Chancellor Research, supports the Academic Board and reports to the Research Committee on:

- a. protecting the mental and physical welfare, rights, dignity and safety of participants in human research, their data or human tissue;
- b. promoting and supporting ethical standards of human research;
- c. using efficient and effective review process, in accordance with the [National Statement](#), to maintain ethical standards in human research;

- d. protecting UNE's standing as a place of ethical research by reviewing research undertaken by UNE staff and students, and affiliates in accordance with the requirements of the [National Statement](#); and
- e. reviewing research applications to identify potential safety concerns for participants, UNE staff and students and affiliates in the conduct of research.

## Section 2 - Human Research Ethics Committee Membership

### Membership

(8) The minimum membership of UNE HREC shall be eight, and include (NS 5.1.30):

- a. Chair
  - i. the Chair of the HREC is appointed by the Vice-Chancellor and Chief Executive Officer, in consultation with the Deputy Vice-Chancellor Research. The Chair will have suitable experience and standing within the University. Their other responsibilities will not impair the HREC's capacity to carry out its responsibilities under the [National Statement](#)
- b. at least two lay people, a woman and a man who are not affiliated with UNE and who are not currently engaged in medical, scientific, legal or academic work;
- c. at least one person with knowledge of the current experience in the professional care, counselling and treatment of people (e.g. a nurse or allied health professional);
- d. at least one person who performs a pastoral care role in a community (e.g. an Aboriginal Elder or a minister of religion);
- e. at least one lawyer, who, if possible, is not engaged to advise UNE;
- f. a representative of Aboriginal and Torres Strait Islander interests;
- g. at least two academic members with current research experience that is relevant to research proposals being considered at an HREC meeting. The Chair of HREC and the Deputy Vice-Chancellor Research will consult over the appointment of up to 12 academic members, with experience in the research areas of:
  - i. information technology.
  - ii. the sciences; and
  - iii. psychology;
  - iv. health;
  - v. engineering and the built environment;
  - vi. education;
  - vii. business and law;
  - viii. arts and social sciences;

### Appointment procedure

(9) Prospective members of UNE HREC may be recruited by direct approach, nomination or by invitation to express an interest. They are appointed by the Vice-Chancellor and Chief Executive Officer, or the Deputy Vice-Chancellor Research as the Vice-Chancellor and Chief Executive Officer nominee.

(10) Members are appointed for their knowledge, qualities and experience and not as representative of any organisation or opinion. Appointments will recognise candidates with a broad knowledge of, and commitment to, ethical decision-making.

(11) On appointment members will sign a statement undertaking:

- a. that all matters of which they become aware during the course of their work on UNE HREC will be kept confidential;
- b. that any conflicts of interest, actual or perceived, that may arise during their tenure on UNE HREC will be declared; and
- c. that they have not been subject to any criminal conviction or disciplinary action that would prejudice their standing as an UNE HREC member.

(12) Additional members may be appointed to all categories, except for the position of Chair, so that the HREC remains compliant with the [National Statement](#) and has the body of expertise to review research.

(13) HREC members are appointed for a two-year term and may be re-appointed for a maximum of five consecutive terms.

### **Termination of appointment**

(14) The Deputy Vice-Chancellor Research may terminate in writing the appointment of any HREC member if the Deputy Vice-Chancellor Research is of the opinion that:

- a. it is necessary for the proper and effective functioning of the University HREC;
- b. the person is no longer qualified or fit to serve on the University HREC; or
- c. the person has failed to carry out their duties as a University HREC member.

### **Invited members**

(15) The UNE HREC may invite a researcher or researchers, and they may request, to attend meetings for discussion of their proposed research (NS 5.2.20).

(16) The UNE HREC may seek advice from experts to help in considering a research proposal (NS 5.2.21) under these conditions:

- a. the experts shall be bound by the same confidentiality requirements as UNE HREC members; and
- b. any conflicts of interest they have should be disclosed and managed.

### **Observers**

(17) The Chair may invite members of the UNE community and the wider community, who are not researchers, to attend UNE HREC meetings as observers.

### **Casual vacancies**

(18) In the event that a membership lapses before a term of office expires, the Chair may take steps to fill a casual vacancy.

### **Chair**

(19) The Chair will be appointed for a two-year term of office and is renewable for a further two years only.

### **Deputy Chair/s**

(20) The HREC will elect from among its members up to two Deputy Chair/s for a period of two years, renewable for a second term, who will:

- a. chair meetings of the HREC in the absence of the Chair; and
- b. assist the Chair in completing HREC business, including in reviewing and approving low/negligible risk applications for expedited ethical review.

## Gender representation objectives

(21) UNE HREC follows the requirement of the [National Statement](#) (Section 5 Processes of Research Governance and Ethical review 5.1.29a) that, as far as possible, there should be equal numbers of men and women on a HREC.

## Balance

(22) As far as possible there should be:

- a. appropriate representation of the diversity of UNE's cultural environment; and
- b. at least one third of members who are from outside the University.

## Indemnity

(23) UNE indemnifies members for actions in the course of their conduct as HREC members.

## Remuneration

(24) The Chair and the Deputy Chair/s of HREC will receive a honorarium as a condition of their appointment. There is no other remuneration for HREC members. Those members who are not University staff may, however, be remunerated for travel, parking and other costs associated with attending to the business of HREC. The HREC service of members who are University staff may be recognised in their workload allocation.

## Conflict of interest

(25) In accordance with the UNE [Conflict of Interest Policy](#), [Conflict of Interest Procedures](#) and the [National Statement](#) (Section 5.4 Conflicts of Interest) UNE will adopt measures to manage conflict of interest.

(26) Members are required to disclose any perceived or actual conflict of interest in research to be reviewed, including any:

- a. personal involvement or participation in the research;
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- c. involvement in competing research.

(27) UNE HREC's measures to manage conflicts of interest may include exclusion from a meeting, or from some of UNE HREC's deliberations.

(28) If the member withdraws from the meeting, the UNE HREC Secretary will record the member's declaration of interest and absence in the minutes.

(29) The member's withdrawal from the relevant part of the meeting will not affect the quorum.

## Training

(30) UNE HREC members must have an understanding of the national regulatory and legislative requirements and the relevant UNE policies dealing with ethical research conduct.

(31) Newly-appointed members will receive induction training that is relevant to the responsibilities of the HREC, in accordance with the [National Statement](#) (Chapter 5 Responsibilities of HRECs, Other Ethical Review Bodies, and

Researchers 5.2.3).

(32) UNE HREC members will be required to attend continuing education or training programs on research ethics at least every two years.

(33) At the discretion of the Chair, training and development in research ethics and associated procedures will also be available to UNE Representatives and Higher Degree by Research students.

## Section 3 - Human Research Ethics Committee Functions

### Functions

(34) The functions of UNE HREC are classified in the following domains: reviewing, approval, advisory, monitoring and communication functions.

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- a. reviewing the ethical aspects of research proposals involving human research from UNE staff and students, and from non-affiliated researchers, to determine whether they are acceptable and consistent with national regulatory and legislative requirements, particularly:
  - i. the [National Statement](#);
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  - iii. [AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research](#).
- b. establishing procedures to promote good ethical review, as outlined in the [National Statement](#) (CI's 5.1.28 and 5.1.37).
- c. ensuring the compliance of research proposals with UNE policies on human research and attendant procedures, including:
  - i. [Code of Conduct for Research Rule](#);
  - ii. [Collaborative Research Rule](#);
  - iii. [Management and Storage of Research Data and Materials Policy](#) and [Procedures](#);
  - iv. [Open Access to UNE Research Publications and Data Policy](#);
  - v. [Research UNE Deposit, Collection and Access Rule](#);
  - vi. [Records Management Rule](#) and [Procedures](#); and
  - vii. [Knowledge Assets and Intellectual Property Policy](#).
- d. at the discretion of the Chair and on a fee for service basis, accepts and reviews research proposals from external organisations or researchers with no direct link to UNE.

### Approval functions

(36) HREC responsibilities for approving applications includes:

- a. granting approvals for research projects, where review has determined them to be ethically acceptable and in accordance with relevant standards and guidelines, including:
  - i. UNE researchers' requirements that proposed research involving human beings to provide sufficient detail/information for UNE HREC to make a judgment on the ethical aspects of the research;

- b. withholding, withdrawing, suspending, restricting or terminating ethical approval for research proposals where, through review, UNE HREC has determined them to be ethically unacceptable and not in accordance with relevant standards and guidelines;
- c. reviewing requests from UNE staff and external researchers to recognise ethical approval granted by another registered HREC for research to be conducted on UNE premises;
- d. recording and acknowledging approvals involving UNE staff, which have been issued by another registered HREC for research which is to be carried out elsewhere; and
- e. granting approvals for research proposals from external organisations with no direct links to UNE.

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(37) HREC responsibilities for monitoring research conduct includes:

- a. monitoring the conduct of approved research projects by requiring researchers to submit annual and completion reports;
- b. reviewing, approving or withholding approval on variations to existing ethical approval; and
- c. maintaining an accurate efficient and accessible database of all proposed and approved research projects (NS 5.2.25-5.2.29).

## Advising functions

(38) HREC is responsible for providing advice to assist with:

- a. supporting researchers and students involved in human research; and
- b. advising the Deputy Vice-Chancellor Research on ethical issues, including the ethical aspects of any complaint against researchers, research projects or teaching protocols.

## Communication functions

(39) The HREC notes that good ethical review requires open communication between review bodies and researchers ([National Statement](#) Chapter 5.2 Responsibilities of HRECs, Other Review Bodies, and Researchers 5.2.14). It will discharge this responsibility by:

- a. promoting awareness of the [National Statement](#) among researchers and students;
- b. making UNE HREC and its staff readily accessible to researchers; and
- c. communicating the outcomes of review to researchers in a timely manner.

## Authority

(40) UNE HREC is authorised to seek data and information from the University through the Deputy Vice-Chancellor Research to meet its duties and functions.

# Section 4 - Delegations

## Delegation from Council

(41) UNE HREC has delegated authority from the Council under Sec 17 of the [University of New England Act 1993 \(NSW\)](#) to perform on its behalf the reviewing, approval, advisory, monitoring and communication functions set out in the Terms of Reference above, and all matters ancillary to those functions.

(42) UNE HREC may delegate authority to act on its behalf to the Chair, Deputy Chair, sub-Committees and the Human

Research Ethics Officer. Any person or body delegated will report to HREC.

## **Sub-Committees**

(43) The Chair of HREC may convene such sub-committees as may be necessary to fulfil HREC responsibilities. The Chair, in consultation with HREC, will determine the Terms of Reference for any sub-committee.

# **Section 5 - Conduct of Human Research Ethics Committee**

## **Reporting to the Deputy Vice-Chancellor Research and to the Research Committee**

(44) The Chair of the HREC reports to the Deputy Vice-Chancellor Research through the Director Research Services.

## **Procedures**

(45) UNE HREC conducts its business in accordance with these Terms of Reference and the Standard Operating Procedures.

## **Meetings**

(46) UNE HREC meets at least eight times a year to review high-risk applications and as required in order to review lower and negligible risk applications, and to perform its other functions.

## **Business papers**

(47) Unless the Chair directs otherwise, HREC business papers are distributed to committee members and official attendees at least seven days prior to the meeting, or such shorter period as is practicable in the circumstances.

## **Confidentiality**

(48) Because of the confidential nature of the business of the HREC, there should be no public disclosure of business papers, minutes, or other information associated with the work of the Committee. This is consistent with CI 5.1.37 of the [National Statement](#), which directs HREC and other ethical review bodies to exercise appropriate confidentiality of the content of applications and the deliberations of review bodies.

## **Quorum**

(49) At any meeting of the HREC that considers high-risk applications, one half of the voting membership plus one constitutes a quorum.

(50) Where there is less than full attendance at an UNE HREC meeting, the Chair must be satisfied that, before a decision is reached, members have received all papers, have had an opportunity to contribute their views and have their views considered and recorded.

## **Use of technology**

(51) For its business papers, meetings and otherwise to conduct its business, the HREC and its members may use technology including telephone, video-conferencing, telepresence, email and internet as arranged by the Chair and/or Committee Secretary.

## Resolutions

(52) The Human Research Ethics Committee may pass a resolution by 'flying minute' provided that the resolution has been approved by a simple majority of the Committee members at the time the resolution is made.

## Confirmation of minutes

(53) Draft minutes will normally be circulated to members for comment promptly after each meeting. Next, the minutes (with any necessary changes) will be circulated for adoption by the HREC. The minutes will be finalised and adopted when they have been approved by a majority of the members that were present at the relevant meeting. Alternatively, the minutes may be included in the business papers for the next Committee meeting and considered and adopted by the Committee at that meeting.

## Self-review

(54) Once annually the HREC shall devote part of one meeting to the review of its policies, practices and procedures over the preceding twelve months.

## Secretary to the HREC

(55) Human Research Ethics Officer will provide secretarial and administrative support to the HREC.

# Section 6 - Interpretation

(56) This document should be interpreted using the following principles:

- a. Where Human Research Ethics Committee membership is defined by reference to an office held (eg. 'Chair of Academic Board'), that office-bearer is a member ex officio and has all of the same rights and responsibilities (including voting) as other Committee members whilst holding the office specified.
- b. This document does not override or otherwise affect:
  - i. the [Authority Retained by Council Rule](#); or
  - ii. the [Vice-Chancellor Functions Rule](#);
  - iii. however, it operates as a delegation of certain authorities that have been retained by Council.

(57) The existing terms of reference and any other documents governing the Human Research Ethics Committee at the Effective Date Terms of Reference are approved, are replaced and have no further operation.



## Status and Details

<b>Status</b>	Current
<b>Effective Date</b>	To Be Advised
<b>Review Date</b>	To Be Advised
<b>Approval Authority</b>	Council
<b>Approval Date</b>	To Be Advised
<b>Expiry Date</b>	To Be Advised
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## Glossary Terms and Definitions

**"UNE Representative"** - Means a University employee (casual, fixed term and permanent), contractor, agent, appointee, UNE Council member, adjunct, visiting academic and any other person engaged by the University to undertake some activity for or on behalf of the University. It includes corporations and other bodies falling into one or more of these categories.

**"Student"** - Is an admitted student or an enrolled student, at the relevant time: 1. an admitted student is a student who has been admitted to a UNE course of study and who is entitled to enrol in a unit of study or who has completed all of the units in the UNE course of study; 2. an enrolled student is a student who is enrolled in a unit of study at UNE.

**"Effective Date"** - means the Rule/Policy takes effect on the day on which it is published, or such later day as may be specified in the policy document.

**"University"** - University of New England

**"Researcher"** - A person (or persons) who conduct(s), or assists with the conduct of research.

## Document Submission Action Form

Form Completion Instructions			
Step 1	Complete either Part A, B or C to indicate what action you wish be taken in regard to the attached draft.		
Step 2	Complete Part D if you wish to send additional comment, advice or directions to a particular person or group in regard to the attached draft.		
General Information			
Document Title	Terms of Reference (Council approved) - UNE Human Research Ethics Committee		
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Status and Details			
Effective Date	Date of Publication	Expiry Date	<i>(If Known)</i>
Division	Office of the Vice-Chancellor and CEO		
Unit	Office of the Deputy Vice-Chancellor (Research)		
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Part A - Endorsement			
I, the undersigned, hereby endorse the attached draft and recommend it be sent forward for approval.			
			<i>(Add Comments)</i>
Signature		Date	
Name	Heiko Daniel	Position	Research Committee
Part B - Submission Rejection			
I, the undersigned, hereby reject the attached submission for the reasons specified below.			
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Signature		Date	
Name	Heiko Daniel	Position	Research Committee
Part C - Submission on Hold			
I, the undersigned, hereby place this submission on hold for a period of 5, 10, 15, 20, 25, 30 days while I:			
a.	seek further advice.		<i>(Tick to confirm this action)</i>
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