

**MINUTES OF A MEETING OF THE
LINCOLN UNIVERSITY COUNCIL**

**Held on Monday 14 December 2015 at 8.30am
Council Meeting Room, George Forbes Building, Lincoln University**

Present: Mr T C Lambie (Chancellor), Mr P Cook, Ms K P Fryer, Mr B D Gemmell, Mr A J Hall, Sir G T Harrison, Professor B R Jordan, Mr A W Macfarlane, Ms P Parata-Goodall, Mrs L K Tame, and Dr L J Wood.

In Attendance: Mr M Dickson (Group Manager Corporate Services - Deputy Vice-Chancellor), Dr B R Mann (Governance Adviser), Mr H Gant (Finance Director), and Mr A Carpinter (Director, Governance).

1. *Welcome*

Mr Lambie welcomed members to the first meeting of the re-constituted Council, in particular Ms Puamiria Parata-Goodall and Mr Peter Cook who were attending their first meeting as Council members.

2. *Apologies*

An apology for absence was received from Dr Hay. Apologies for not being in attendance were received from Professor Matear and Mr Morley.

3. *Disclosures of Interest*

There were no disclosures of interest.

4. *Notice of Items of General Business*

There were no items of general business notified.

5. *Election of Chancellor and Pro-Chancellor*

The report from the Governance Adviser was NOTED. The report explained the amended provision in the Education Act 1989 providing flexibility for the terms of office of the Chancellor and Pro-Chancellor to be set for a period not exceeding the term of the office holder's current term as a member of Council.

Council RESOLVED:

That the elected Chancellor and Pro-Chancellor serve for terms to 31 December 2016.

Moved: Sir Graeme Harrison

Seconded: Mr Lambie

MOTION CARRIED

5.1 *Election of Chancellor*

The Secretary called for nominations for Chancellor for 2016 and one nomination was received.

Council RESOLVED:

That Mr Tom Lambie be elected as Chancellor of Lincoln University Council for 2015.

Moved: Mr Hall

Seconded: Professor Jordan

MOTION CARRIED

5.2 *Election of Pro-Chancellor*

The Chancellor called for nominations for Pro-Chancellor for 2016 and one nomination was received.

Council RESOLVED:

That Mr Tony Hall be elected as Pro-Chancellor of Lincoln University Council for 2015.

Moved: Mrs Tame

Seconded: Sir Graeme Harrison

MOTION CARRIED

6. *Result of the Election of Academic and General Staff Council Members*

The report from the Returning Officer on the election of two Council members by staff was TABLED.

Council noted the result of the election of the Academic Staff and the General Staff Council members and the consequent appointment of Professor Brian Jordan and Mr Peter Cook to Council for four years to 10 December 2019.

7. *Council Meeting Schedule 2016*

The report from the Director, Governance was NOTED. Confirmation was sought of the provisional meeting schedule for 2016.

Council confirmed that the September Council meeting would be held on the 27th and that the Council meetings would start at 8.30am.

Council RESOLVED:

That Council approve the schedule of Council meeting dates for 2016.

Moved: Ms Fryer

Seconded: Ms Parata-Goodall

MOTION CARRIED

8. **Council Committees**

The report from the Governance Adviser and Director, Governance was NOTED. Feedback was sought on a proposed option for restructuring the Council committees and approval was sought of an interim arrangement pending completion of this review.

It was considered that the full Council should consider financial planning and monitoring, strategic planning, health and safety, and risk matters, generally without prior consideration by a Council committee. Council workshops would be utilised, as required.

There was support for the following proposed structure:

- Ahumairaki, meeting in the previous pattern – Māori development.
- Appeals Committee, meeting as required.
- Appointment and Remuneration Committee, meeting as required – overseeing the Vice-Chancellor relationship.
- Audit Committee, meeting quarterly – internal and external auditing, and annual report.
- Awards Committee, meeting once per year – University awards.
- Human Ethics Committee, meeting as required. (This Committee involves only one Council member, but is deemed to be a Council committee under the Health Research Council requirements for ethics committees.)

Council would retain the flexibility to appoint ad hoc committees for specific purposes.

A final proposal is to be submitted to the January Council meeting, with draft Terms of Reference for the new or revised Committees and a draft membership allocation (**action**).

Council RESOLVED:

That meetings of the Audit Committee be set for: 23 March, 11 April, 25 July and 21 November 2016.

*Moved: Mrs Tame
Seconded: Mr Hall
MOTION CARRIED*

9. **Other Governance Reforms**

The report from the Director, Governance was NOTED. It provided an update on the remaining governance reform tasks and sought approval for the existing Standing Orders to continue in place, with minor amendment, pending the completion of a substantive review.

The proposed amendment to the Standing Orders was to remove a redundant reference in the composition of the 'Executive Committee' to "the Deputy Vice-Chancellor" holding the role of a Council member, as follows:

- 1.7... The Council delegates to the Chancellor, Pro-Chancellor, Vice-Chancellor and the ~~Deputy Vice-Chancellor~~ one other Council member the executive power to make decisions on urgent matters. These decisions will be subject to the retrospective approval of Council. A quorum of three of these Council members is required in order to exercise this delegation.

It was noted that other universities make effective use of such executive committees to act on urgent matters.

The implementation of an enhanced on-line system for managing Council papers was discussed. It was requested that background information on the Diligent Boardbooks package be circulated to Council members (**action**).

Secretary:
As soon as possible

Council RESOLVED TO:

1. **Note** the progress update on the governance reform tasks associated with the transition to the re-constituted Council.
2. **Amend** section 1.7 of the Standing Orders of the previous Council, as outlined in the report.
3. **Approve** the Standing Orders, as amended, to apply to all Council and Council committee meetings, pending the completion of a substantive review.

*Moved: Sir Graeme Harrison
Seconded: Mr Macfarlane
MOTION CARRIED*

10. Procedural Matter

Prior to reaching the motion in the Council agenda to exclude the public from the meeting for certain items of business, the Chancellor asked members whether any of those items should be considered in the open session. No items were raised.

11. Motion by the Chancellor for Resolution to Exclude the Public Pursuant to s48 of the Local Government Official Information and Meetings Act 1987:

The Chancellor moved that the public be excluded from the following parts of the proceedings of this meeting, namely:

General subject matter	Reason for passing this resolution in relation to each matter	Grounds under s. 48(1) for the passing of this resolution
Council Fees	To protect the privacy of natural persons	7(2)(a)
Financial Performance to 30 November 2015	To avoid prejudice or disadvantage to the commercial activities of the University To prevent the disclosure or use of official information for improper gain or improper advantage	7(2)(h) 7(2)(j)
Lincoln Hub Update	To avoid prejudice or disadvantage to the commercial activities of the University To prevent the disclosure or use of official information for improper gain or improper advantage	7(2)(h) 7(2)(j)
Insurance Update	To avoid prejudice or disadvantage to the commercial activities of the University To prevent the disclosure or use of official information for improper gain or improper advantage	7(2)(h) 7(2)(j)

General subject matter	Reason for passing this resolution in relation to each matter	Grounds under s. 48(1) for the passing of this resolution
Work Plan 2016	To avoid prejudice or disadvantage to the commercial activities of the University To prevent the disclosure or use of official information for improper gain or improper advantage	7(2)(h) 7(2)(j)

MOTION CARRIED

The Chancellor also moved that Dr B R Mann (Governance Advisor), Mr M Dickson (Group Manager Corporate Services, Deputy Vice-Chancellor), Mr H Gant (Finance Director), Ms A Kingsbury (LUSA President-elect for 2016) and Mr A Carpinter (Director, Governance) be permitted to remain at this meeting after the public has been excluded, because of their knowledge of the matters being discussed. This knowledge, which will be of assistance in relation to the matters to be discussed, is relevant to those matters because of their involvement in the development of reports to Council on these matters.

MOTION CARRIED

12. *Report from Public Excluded Session*

General Subject Matter	Reason for passing this resolution in relation to each matter
Council Fees	The report was RECEIVED. The discussion and any decision shall remain confidential at this time for the reasons noted above, except for the release of the Council fees for the purposes of reporting requirements.
Financial Performance to 30 November 2015	The report was RECEIVED. The discussion and any decision shall remain confidential at this time for the reasons noted above, except for the University's summary financial position to 30 November 2015.
Lincoln Hub Update	The report was RECEIVED. The discussion and any decision shall remain confidential at this time for the reasons noted above.
Student Statistical Reporting	The report was RECEIVED. The discussion and any decision shall remain confidential at this time for the reasons noted above.
Insurance Update	The report was RECEIVED. The discussion and any decision shall remain confidential at this time for the reasons noted above.
Work Plan 2016	The report was RECEIVED. The discussion and any decision shall remain confidential at this time for the reasons noted above.

13. *Closure and Next Meeting*

The meeting closed at **10.10am**.

The next meeting is on **Tuesday, 26 January 2016** at **8.30am**, Lincoln University.

Signed: _____ (Convenor)

Date: _____

**ACTION SCHEDULE resulting from the Council In-Committee meetings
AS AT 14 December 2015**

<i>Action</i>	<i>Responsibility</i>	<i>Meeting/Item</i>	<i>Due</i>
A final proposal for the Council committee structure is to be submitted, with draft Terms of Reference for the new or revised Committees and a draft membership allocation	Governance Advisor/Director, Governance	14 December 2015 Item 8	26 January 2016
Circulate background information on the Diligent Boardbooks package.	Director, Governance	14 December 2015 Item 9	As soon as possible

Agenda Item 6

Council Committee Terms of Reference

The purpose of the report is to seek approval of proposed Terms of Reference for the Council Committees to be established under the re-constituted Council.

Committee Structure

At the Council meeting on 14 December 2015, feedback was provided on a proposed Committee structure. It was considered that the full Council should consider financial planning and monitoring, strategic planning, health and safety, and risk matters, generally without prior consideration by a Council committee. Council workshops would be utilised, as required.

There was support for the following proposed structure:

- Ahumairaki, meeting in the previous pattern – Māori development.
- Appeals Committee, meeting as required.
- Appointment and Remuneration Committee, meeting as required – overseeing the Vice-Chancellor relationship.
- Audit Committee, meeting quarterly – internal and external auditing, and annual report.
- Awards Committee, meeting once per year – University awards.
- Human Ethics Committee, meeting as required. (This Committee involves only one Council member, but is deemed to be a Council committee under the Health Research Council requirements for ethics committees.)

Council would retain the flexibility to appoint ad hoc committees for specific purposes.

Proposed Terms of Reference

The attached Terms of Reference for the following Committees have been reviewed in light of the requested committee structure, in particular the narrowing of the role of the previous Audit and Risk Management Committee and the merging of the three previous award committees into a single committee. Terminology and position titles have been updated.

Ahumairaki

Reference has been deleted to the Committee reviewing annually and commenting in the University Annual Report on the University's work in meeting its obligations under its Investment Plan and the Tertiary Education Strategy. The Annual Report will be considered by the Audit Committee prior to approval by the full Council

Appeals Committee

The Council Appeals Committee does not have formal terms of reference beyond the following section of the disciplinary regulations (refer to paragraph 2):

5. Appeals

- (1) Any person aggrieved by any decision made by any person acting under the provisions of Regulation 4 of these Regulations may appeal to the Vice-Chancellor.
- (2) Any person, club or society aggrieved by any decision of the Vice-Chancellor may appeal to the Appeals Committee of the Council whose decision shall be final. The Appeals Committee of the Council shall comprise: four members of the Council appointed by the Council, of whom one shall be chairman and of whom two shall be nominated by the Lincoln University Students' Association. The decision of the Appeals Committee shall be determined on the record of the proceedings undertaken by the Vice-Chancellor, provided that the Appeals Committee may hear any witnesses examined at the prior hearing. All matters before the Appeals Committee shall be decided by a clear majority.
- (3) Any appeal under this regulation shall be in writing, addressed to the Vice-Chancellor.

No appeals have been made to the Appeal Committee since 2012.

Appointment and Remuneration Committee

A previous restriction on the term of appointment of Committee members has been removed. Membership will be reviewed annually as it is with other Committees.

Audit Committee

The Terms of Reference have been narrowed to the proposed functions in relation to the external and internal auditing and the preparation of the Annual Report.

The maximum number of Council members, other than the Chancellor, has been reduced from seven to five members. The University of Canterbury Audit and Risk Committee has provision for up to two external co-opted members, as required. In the interests of having access to outside expertise, this provision should be incorporated to provide the option at any time should the Council wish to use it.

Awards Committee

The various award criteria have been drawn together. Previously there was provision for revoking honorary degrees and this has been extended to include the other awards.

The membership largely reflects the stakeholder groups previously involved in the three committees, with the removal of three positions involved in one or more of those committees in order to make the size of the single committee manageable (being the additional member of the Executive Leadership Team, the Immediate Past President of the Alumni Association and the local community representative).

Human Ethics Committee

No change has been made to the previous Terms of Reference.

Other Matters

Consideration is still to be given to a possible appointment committee to coordinate the process for future appointments to Council, in particular the pool of three members appointed by Council (including at least one alumnus).

A separate report covers the proposed membership of the Council Committees for 2016.

Recommendations

That Council:

1. **Establish** the Council Committees outlined in the report.
2. **Adopt** the Council Committee Terms of Reference attached to the report.

B R Mann

Adrian Carpinter
Director, Governance

20 January 2016

AHUMAIRAKI

1. NAME AND PURPOSE
 2. TERMS OF REFERENCE
 3. MEMBERSHIP
 4. QUORUM
 5. MEETING FREQUENCY
 6. REVIEW
-

1. NAME AND PURPOSE

- 1.1. The name of the Committee shall be “Ahumairaki”, which means “develop rapidly, move upwards and outwards”. At its meeting on 9 December 2008, Lincoln University Council approved this name as the sole title of the Committee replacing “Māori Development Committee”.
- 1.2. Section 181(b) of the Education Act 1989, the Tertiary Education Strategy and the University Investment Plan place an obligation to recognize and provide for the Treaty of Waitangi and to contribute to Māori development aspirations.

2. TERMS OF REFERENCE

- 2.1. To identify Māori development aspirations and factors influencing Māori student study choice through appropriate engagement with Māori communities.
- 2.2. To make recommendations to Council for actions intended to enhance the University's meeting of its obligations under its Investment Plan and the Tertiary Education Strategy.
- 2.3. To provide specific advice on improving Māori student participation, recruitment, retention and achievement.
- 2.4. To oversee the development and carrying out of appropriate specific strategies for Māori development contributing to the achievement of the key performance indicators in the current Investment Plan and the Three Year Plan.
- 2.5. To engage with, and receive reports from, the University's Academic Board on issues related to Māori development.
- 2.6. To advise and assist the Chancellor and Vice-Chancellor in their interactions with iwi and mana whenua.
- 2.7. To monitor the University's relationship with Te Tapuae o Rehua.

3. MEMBERSHIP

- 3.1. Chancellor (Ex Officio)
- 3.2. Te Rūnanga o Ngāi Tahu Council member
- 3.3. Te Taumutu Rūnanga appointee
- 3.4. Vice-Chancellor
- 3.5. Deputy Vice-Chancellor – Māori and Communities
- 3.6. Te Āwhioraki (Māori Students' Association) appointee
- 3.7. Lincoln University Students' Association appointee
- 3.8. In attendance (non-voting): Māori Outreach Co-ordinator – Kaitakawaenga.

4. QUORUM

The Committee will be legally constituted when a majority of the total membership is present.

5. MEETING FREQUENCY

- 5.1. A minimum of four meetings annually.
- 5.2. Meetings to normally be held at least two weeks prior to a meeting of Council.

6. REVIEW

Manager:	Director, Governance
Approval Date:	<i>January 2016</i>
Approval Body:	Council
Next Review Date:	<i>January 2019</i>

KEY WORDS

Treaty, Māori, BCCMs

APPOINTMENT AND REMUNERATION COMMITTEE

1. PURPOSE
 2. TERMS OF REFERENCE
 3. COMMITTEE PROTOCOLS
 4. MEMBERSHIP
 5. MEETING FREQUENCY
 6. REVIEW
-

1. PURPOSE

The purpose of the Appointment and Remuneration Committee is to formalise procedures concerning the employment contract for the University's Chief Executive Officer, the Vice-Chancellor and related matters.

2. TERMS OF REFERENCE

- 2.1. Having regard to legislative requirements (including the Privacy Act 1993), the role of the State Services Commission and the University Investment Plan, the Committee, acting through the Chancellor, will recommend to Council
 - 2.1.1. contract renewal and duration
 - 2.1.2. selection processes when the position is to be advertised publicly
 - 2.1.3. a shortlist of candidates following advertisement.
- 2.2. During the term of the CEO's contract, within the Council's guidelines, having regard to the Privacy Act 1993, to annually:
 - 2.2.1. negotiate on behalf of Council contract terms and remuneration with the appointee and the State Services Commission
 - 2.2.2. determine the process for the negotiation of the Chief Executive Officer's annual objectives and work programme
 - 2.2.3. review the Chief Executive Officer's performance annually and determine any performance payment.
- 2.3. Any direct contractor appointments by the Vice-Chancellor require approval by the Convenor of the Committee.
- 2.4. Report to Council at appropriate intervals.

3. COMMITTEE PROTOCOLS

The conduct of meetings of the Committee is governed by the Local Government Official Information and Meetings Act 1987.

4. MEMBERSHIP

4.1. Ex officio

4.1.1. Chancellor

4.1.2. Pro-Chancellor.

4.2. Up to three other members of Council, appointed by the Council, who are not employee or student representatives.

4.3. The Committee will be legally constituted when a majority of the total membership is present.

5. MEETING FREQUENCY

As required.

6. REVIEW

Manager:	Director, Governance
Approval Date:	<i>January 2016</i>
Approving Body:	Council
Next Review Date:	<i>January 2019</i>

AUDIT COMMITTEE

1. PURPOSE
 2. TERMS OF REFERENCE
 3. COMMITTEE PROTOCOLS
 4. MEMBERSHIP
 5. MEETING FREQUENCY
 6. REVIEW
-

1. PURPOSE

The purpose of the Audit Committee is to oversee:

- ❖ effective management of financial risks
- ❖ internal audit and external audit functions
- ❖ preparation of the University's annual report
- ❖ the University's compliance with laws and regulations.

2. TERMS OF REFERENCE

Effective Management of Financial Risks

- 2.1. To satisfy itself that effective systems of accounting and internal control are established and maintained to manage financial risk.
- 2.2. To satisfy itself as regards the integrity and prudence of management control systems, including the review of policies (including monitoring investment policy) and/or practices.

Internal Audit and External Audit Functions

- 2.3. To review the efficiency and effectiveness of internal and external audit in relation to their respective responsibilities.
- 2.4. To ensure there have been no unjustified restrictions or limitations placed on the auditors.
- 2.5. To ensure that the scope of the audit (internal and external) is adequate, ensuring emphasis is placed on areas where the Committee, management or the auditors believe special attention is necessary.
- 2.6. To approve each year the internal audit plan recommended by the internal auditors.
- 2.7. To review and assess the reports and other findings of the internal and external auditors and the action taken and timetable proposed by management in response to the findings.

Preparation of the University's Annual Report

- 2.8. To ensure the University's accounting policies and practices meet the requirements of the Public Finance Act, the Education Act, the Companies Act and the Financial Reporting Act in regard to the University's subsidiaries, Ministry of Education and Tertiary Education Commission requirements and generally accepted accounting principles.
- 2.9. To recommend to Council for approval the University's Annual Report (incorporating the annual financial statements).

Compliance with Laws and Regulations

- 2.10. To monitor developments and changes in the various rules, regulations and laws which relate generally to the University's business operations (conducted either in its name or through its subsidiaries) and to report to Council any non-compliance with such laws.
- 2.11. To receive and assess reports from the Vice-Chancellor on significant developments and changes in applicable laws.
- 2.12. To review the application and effectiveness of the compliance framework to ensure controls capture all applicable legislation and monitor compliance.

Other Responsibilities

- 2.13. To perform or undertake on behalf of Council any such other tasks or actions as Council may from time to time authorise.
- 2.14. To ensure that there are appropriate investment policies in place that ensure compliance with legislative requirements.
- 2.15. To receive and assess reports on fraud incidents from the Vice-Chancellor and review the adequacy of action taken to prevent any similar reoccurrences.

3. COMMITTEE PROTOCOLS**3.1. Authority**

Council authorises the Committee within the scope of its responsibilities to:

- (a) seek any information it requires from:
- ❖ any employee; and
 - ❖ external parties.

- (b) obtain outside legal or other independent professional advice
- (c) ensure the attendance of external parties with relevant experience and expertise.

All employees are expected to co-operate with any request made by the Committee.

3.2. Council Reporting

The Committee shall report on each of its meetings to Council.

3.3. Records of Meetings

All meetings of the Committee will be minuted.

3.4. Assessment Arrangements

The Chairperson shall initiate a review of the performance of the Committee at least once every two years. The review shall be conducted on a self-assessment basis (unless otherwise determined by the Chairperson), with appropriate input sought from the Vice-Chancellor, the internal and external auditors, management, and any other relevant stakeholders, as determined by the Committee.

4. MEMBERSHIP

Membership and Attendance at Meetings

- 4.1. The Committee shall comprise not more than five external, non-executive Councillors appointed by the full Council of the University from time to time, and the membership shall be reviewed annually by Council. At least one member should have accounting or related financial management experience. Up to two further members may be co-opted to the Committee by Council, as required, to access additional expertise. The Chancellor shall be an ex officio member of the Committee, but shall not chair the Committee. The Committee will be legally constituted when a majority of the current membership is present.
- 4.2. The Committee shall meet separately or jointly with the internal auditor and external auditor without management present at least annually.
- 4.3. The Vice-Chancellor (or his/her representative) and the Group Manager, Corporate Services – Deputy Vice-Chancellor shall attend all meetings, except any meeting or part of the meeting when the Committee decides to meet without management present.
- 4.4. The Committee may invite such other persons (for example, the Internal and/or External Auditors) to attend as it deems necessary.
- 4.5. The Chairperson of the Committee will be nominated by Council.
- 4.6. The Secretary of the Committee shall be the Council Secretary of the University or such other nominated person as approved by the Committee.

5. MEETING FREQUENCY

Meetings shall generally be held quarterly, with additional meetings convened as required for specific purposes.

6. REVIEW

Manager:	Director, Governance
Approval Date:	<i>January 2016</i>
Approval Body:	Council
Next Review Date:	<i>January 2019</i>

KEY WORDS

Audit, Risk, Council, BCCMs LPP Council Committees

AWARDS COMMITTEE

1. PURPOSE
 2. TERMS OF REFERENCE
 3. NOMINATIONS
 4. PROTOCOLS FOR THE AWARD OF HONORARY DEGREE
 5. PROTOCOLS FOR THE AWARD OF THE BLEDISLOE MEDAL AND THE LINCOLN ALUMNI INTERNATIONAL MEDAL
 6. PROTOCOLS FOR THE AWARD OF THE LINCOLN UNIVERSITY MEDAL
 7. PROTOCOLS FOR REVOCATION OF AWARD
 8. MEMBERSHIP
 9. MEETING FREQUENCY
 10. REVIEW
-

1. PURPOSE

The purpose of the Committee is to advise the Council on the awarding of: higher doctorates *honoris causa*; the Bledisloe Medal; the Lincoln Alumni International Medal; and the Lincoln University Medal. The Committee may also advise Council on the revocation of these awards.

2. TERMS OF REFERENCE

Having regard to the University Strategic Plan, the Committee will:

- 2.1. Advise Council on regulations, guidelines, procedures and other matters relating to awards.
- 2.2. Consider annually nominations for the awards.
- 2.3. Recommend to Council the conferral of any award.
- 2.4. Recommend to Council the revocation of any award.

The Committee may choose to recommend to Council to not confer any of the awards in any particular year.

3. NOMINATIONS

- 3.1. Nominations for the awards should be submitted to the Secretary of the Lincoln University Council on the specified nomination forms.
- 3.2. The Committee will meet to consider the list of nominations including any other nominations raised at the time.
- 3.3. Nominations close on 30 June of each year.

4. PROTOCOLS FOR THE AWARD OF HONORARY DEGREE

In assessing any candidate for the award of an honorary degree, the Council shall take account of the following criteria (4.1 to 4.3) and process:

- 4.1. The candidate has achieved very high distinction in his/her field, whether or not that field relates to the fields of specialisation of Lincoln University. That achievement will be considered under the following categories:
 - ❖ Agriculture and Natural Resources;
 - ❖ Arts, Culture and Sport;
 - ❖ Commerce;
 - ❖ Environment
 - ❖ Māori;
 - ❖ Politics;
 - ❖ Recreation and Tourism; and
 - ❖ Science and Research.
- 4.2. The candidate has established connections with Lincoln University:
 - ❖ on account of being a graduate or diplomat of Lincoln University or
 - ❖ on account of being or having been a member of the Council of Lincoln University or
 - ❖ on account of other connections with Lincoln University (New Zealand or Internationally) or
 - ❖ on account of being a staff member.
- 4.3. The candidate has the potential to enhance the public profile of Lincoln University or of its areas of specialisation.
- 4.4. Before awarding an honorary degree, the Council will be required to be satisfied that the recipient satisfies the criterion in 4.1 above together with at least one of the criteria in 4.2 and 4.3.
- 4.5. Following the Council resolution, the Vice-Chancellor will informally approach the candidate in order to determine if he or she is willing to receive the award and to discuss timing, etc.
- 4.6. Following the report of the Committee and the Vice-Chancellor, the Council will confirm its intention to confer the degree at an appropriate convocation.

5. PROTOCOLS FOR THE AWARD OF THE BLEDISLOE MEDAL AND THE LINCOLN ALUMNI INTERNATIONAL MEDAL

- 5.1. The Bledisloe Medal and the Lincoln Alumni International Medal are awarded to former students or past or current staff members of Lincoln University who, in the opinion of Council, have made an outstanding contribution in their careers and brought credit to Lincoln University.
- 5.2. In addition to 5.1 above, the person awarded the Lincoln Alumni International Medal must have achieved distinction in his/her chosen field in a country other than New Zealand.
- 5.3. In addition to 5.1 above, the person awarded the Bledisloe Medal must have advanced New Zealand's interests.
- 5.4. In assessing the merits of the nominees, the Committee will consider:
 - a) the achievements of each nominee in his/her career;
 - b) the value to economic, scientific, cultural or technological interests of the work of each nominee;
 - c) the extent of the connection between the work of each nominee and the strategy of Lincoln University;
 - d) the extent to which each nominee's achievements reflect on or have the potential to reflect on the University's reputation;
 - e) Bledisloe Medal – the extent to which the candidate's achievements have advanced New Zealand's Interests;
 - f) Lincoln Alumni International Medal – the extent to which the candidate's distinctions were the result of work in a country other than New Zealand.

In considering nominations, the Committee will require an outstanding applicant under both a) and b) above and either c) or d) above.

6. PROTOCOLS FOR THE AWARD OF THE LINCOLN UNIVERSITY MEDAL

- 6.1. The Lincoln University Medal is normally awarded to anyone who provided long-term meritorious voluntary service and support to the fabric or reputation of Lincoln University.
- 6.2. A recipient of the Medal can be a staff or community member or a Lincoln University graduate.
- 6.3. In assessing the merits of each nominee, the Committee will consider the quality and quantity of time and/or resources volunteered by the nominee and the effect of the volunteered work on the furthering of the interests of Lincoln University.

7. PROTOCOLS FOR REVOCATION OF AWARD

In assessing any cases where the actions of a holder of an award bring into question whether the holder should be allowed to retain the award, the Council shall take account of the following guideline criteria (7.1 to 7.4) and process:

- 7.1. The holder has been found guilty in the courts of a criminal offence and sentenced to a term of imprisonment of more than three months; or
- 7.2. The holder has been censured by a relevant regulatory authority or professional body for actions or failures to act which are directly relevant to the granting of the award; or
- 7.3. The holder has acted in a manner clearly contrary to the values of Lincoln University; or
- 7.4. The holder has acted in a manner damaging to the public profile and reputation of Lincoln University.
- 7.5. Before revoking an award, the Council will be required to consider one or more of the guideline criteria in 7.1 to 7.4 above and form a judgement as to whether revocation is justified.
- 7.6. The Committee will make its recommendation to Council at the earliest opportunity.
- 7.7. Following a recommendation from the Committee that an award be revoked, the Council will determine whether to revoke the award.
- 7.8. Following a Council resolution to revoke an award, the Vice-Chancellor shall notify the holder of the decision and request the return of the award.

8. MEMBERSHIP

- 8.1. Ex Officio
 - 8.1.1. Chancellor (Convenor)
 - 8.1.2. Pro-Chancellor
 - 8.1.3. Vice-Chancellor
- 8.2. The Chair of the Academic Board.
- 8.3. One other member of the Academic Board (term of appointment two years).
- 8.4. The Council member appointed in consultation with Te Rūnanga o Ngāi Tahu.
- 8.5. One of the Council members elected by staff.
- 8.6. The Council member elected by the students.
- 8.7. The President of the Lincoln University Alumni Association.

- 8.8. The Secretary of the Lincoln University Alumni Association or a nominee of the Alumni and Development office.
- 8.9. The Committee will be legally constituted when a majority of the total membership is present.

9. MEETING FREQUENCY

Normally one meeting annually to make recommendations to Council on the awards.

10. REVIEW

Manager:	Director of Governance
Approval Date:	<i>January 2016</i>
Approving Body:	Council
Next Review Date:	<i>January 2019</i>

HUMAN ETHICS COMMITTEE

1. CONSTITUTION
2. AIMS
3. TERMS OF REFERENCE
4. MEMBERSHIP
5. MEETING FREQUENCY
6. PRINCIPLES AND GUIDELINES
7. OPERATING PROCEDURES
8. REVIEW

APPENDIX 1 – APPLICATION FORM FOR ETHICAL APPROVAL FOR A PROJECT INVOLVING HUMAN PARTICIPANTS

APPENDIX 2 – INFORMATION SHEET, CONSENT FORM, RUBRIC FOR QUESTIONNAIRES AND SCRIPT FOR TELEPHONE INTERVIEWS

APPENDIX 3 – PROFORMA INFORMATION SHEET FOR FOCUS GROUPS / PILOT STUDIES

APPENDIX 4 – PROFORMA FOR RESEARCH INVOLVING 3RD PARTY ORGANISATIONS

APPENDIX 5 – RESEARCH ON TEACHING AND LEARNING

TERMS OF REFERENCE

1. CONSTITUTION

The Human Ethics Committee was established as a Committee of the Council of Lincoln University on 14 December 1999.

2. AIMS

- 2.1 To ensure that all research at Lincoln University which involves human participants meets established ethical standards including requirements specified by funding agencies such as the Ministry of Business, Innovation and Employment; Health Research Council and Lottery Health Research.
- 2.2 To educate Lincoln University staff on the needs and requirements for ethically-sound research and teaching practices.
- 2.3 To ensure Lincoln University is an institution where high ethical standards of research are maintained.
- 2.4 To minimise any risk of liability faced by the University or its members by research projects involving human subjects.

3. TERMS OF REFERENCE

Having regard to Lincoln University's Investment Plan:

- 3.1 Promote awareness of the need for research involving human participants to be of the highest ethical standards as outlined in the Committee's Principles and Guidelines (as set out in section 6 below).
- 3.2 Either review non-exempted research (see section 6) and teaching projects involving human participants and approve proposals that meet agreed ethical standards, **or** ensure that research, such as clinical trials, which needs to be approved by an external accredited regional ethics committee is indeed only proceeding after having been so approved.
- 3.3 Monitor approved research projects and programmes as continuing to meet ethical standards and from time to time check that project leaders whose research is required to have ethical approval are indeed having their projects reviewed by the Committee.
- 3.4 Maintain an awareness within Lincoln University of the ethical requirements of all appropriate funding agencies.
- 3.5 Report on the activities of the Committee to the Vice-Chancellor, the Council and the HRC Ethics Committee annually and, as required on specific issues arising, to the Vice-Chancellor and to the Council where the Council's attention or consideration may be warranted.

4. MEMBERSHIP

- 4.1 Membership shall be as determined from time to time in accordance with the guidelines or requirements of the Health Research Council. The Chair will be appointed by the Council on the recommendation of the Vice-Chancellor¹. One member will be appointed by the Council from the non-executive members of Council. Other members will be appointed by the Vice-Chancellor. The Council will be advised of such appointments.
- 4.2 The membership term shall be three years and may be renewed for one term. A retiring member may not be re-appointed to the Committee until three years following the most recent term served by that member.
- 4.3 The Committee is served by a Lincoln Research & Innovation Office appointed Secretary whose duties include maintaining a database and records of all cases considered by the Committee, distributing copies of papers for meetings and applications for ethical approval to the Chair and other members, taking minutes of meetings of the Committee, handling requests for Committee publications and documents, and general correspondence associated with the work of the Committee.
- 4.4 The Committee will be legally constituted when a majority of the total membership is present.

Note: The Chair will be a lay member of the Committee.

individual owners or Iwi, which could be contingent on the cultural sensitivity of the intended use and communication of results.

- 6.2.2 For degree or diploma units, i.e. undergraduate or postgraduate courses, which involve laboratories, projects or surveys of humans, the examiner is required to seek ethical conduct approval of this Committee. Only one application needs to be made for each degree or diploma unit. Once granted, approval will remain in force unless substantial changes are made to the degree or diploma unit or unless the laboratory, project or survey concerned is changed. A new application for ethical conduct is required after three years.
- 6.2.3 Activities ordinarily exempted from review include the following:
- (1) Subject and lecturer evaluations undertaken by Library, Teaching and Learning, Lincoln University Students' Association, or academic departments, provided that this is in accordance with the provisions of the Privacy Act.
 - (2) Research projects involving interviews with and/or observations of public figures or professional persons in the areas of their duties or competence (for example, a farm manager/owner or a forestry worker, as part of a field trip), provided that this is in accordance with the provisions of the Privacy Act.
 - (3) Teaching assignments which involve interviews, collaboration and/or observation of public figures, professional or business workers in their areas of competence or primary activity (for example a farm manager involved in a field trip demonstration) and individuals or communities acting in a client capacity (for example, a community group involved in a planning or design exercise), provided that this is in accordance with the provisions of the Privacy Act.
 - (4) Non-interactive observation of people in the normal course of everyday life, provided that this is in accordance with the provisions of the Privacy Act.
- 6.2.4 Automatic approval is granted where the project is of a kind for which approval must be sought from an accredited regional ethics committee such as the Canterbury Ethics Committee so long as a copy of the application form sent to that committee and a copy of the external ethics committee's letter of approval have been received by the Human Ethics Committee.
- 6.2.5 Where projects are required to be reviewed by an accredited regional ethics committee, the Human Ethics Committee nonetheless prefers to review them prior to submission to the external committee so that advice may be given on what, if anything, the outside body may be likely to consider to be lacking in the proposal.

6.3 Guidelines

Four primary principles underlie the Guidelines:

- (a) informed and voluntary consent
- (b) respect for rights of privacy and confidentiality

- (c) limitation of deception
- (d) minimisation of risk

Researchers and teachers should take account of these principles in planning their projects and preparing their proposals. Some implications of the principles are indicated below.

6.3.1 Informed Consent

- (1) Prospective participants must be made fully aware of the nature of the research, so that they can make informed decisions whether or not to participate.
- (2) Participants must also be alerted to their right to decline to participate in the research, and to withdraw from it at any time (including withdrawal of information they have provided) without prejudice to any of their pre-standing rights or privileges.
- (3) It is normally desirable that information be given, and consent obtained, in written form, but it is recognised that in certain cases this may not be appropriate or necessary (as with telephone-based surveys).
- (4) Participation must not be obtained through coercion of any sort, or inducement beyond reasonable compensation for participation.
- (5) In some research involving groups of persons, it may be necessary to obtain consent from leaders of the group, as well as from members.
- (6) Where prospective participants are not capable of giving informed consent to their own participation (as in the case of young children) this must be obtained in writing from a legal representative of that person. Even where consent has been obtained in this way, dependent persons must not be required to participate against their will.

6.3.2 Privacy and Confidentiality

- (1) Participants have an absolute right to privacy and confidentiality, and they must be invited to exercise this right. Publishing data that allows for identification of a participant is a breach of that right.
- (2) The identification of participants must not occur without their consent. Steps must be taken to ensure that no participant's identity be disclosed to, or known by, any person, unless the participant consents to his or her identity being made known to a particular person or class of people. The consent form should provide for disclosure of information to necessary persons, usually being to the researcher, his or her supervisor and the Human Ethics Committee.
- (3) Anonymity of the information provided by participants must be ensured. Steps must be taken to ensure that all information provided to anyone other than the researcher, his or her supervisors and the Human Ethics Committee is anonymous, unless the participant waives his or her right to anonymity.
- (4) Researchers are responsible for the safekeeping of consent forms and the secure storage or destruction of information that may enable participants to be identified.

6.3.3 Limitation of Deception

- (1) Deception of participants is allowed only when it has been shown to be appropriate and necessary for meeting the objectives of the project and that the information cannot be objectively obtained in any other way.
- (2) As soon as possible following completion of a project activity where deception has occurred, participants must be provided with an explanation of the true state of affairs and of the need for the deception, and should then be given the opportunity to withdraw from participation in the project, including withdrawal of any information they have provided.

6.3.4 Minimisation of Risk

- (1) Researchers must endeavour to minimise any risks attendant on participation; such risks include pain, stress, emotional distress, embarrassment, and moral or cultural offence.
- (2) Prospective subjects must be informed of any potential risks at the time when informed consent is sought, and should also be consulted to ascertain any potential risks that they foresee.

6.3.5 Compensation

Information regarding known risks and compensation provisions should be included in the Information Sheet. Entitlement to accident compensation applies only as defined by the Accident Rehabilitation and Compensation Insurance Act.

A clinical trial has been defined by the Accident Rehabilitation and Compensation Insurance Corporation (ARCIC) as:

"any systematic research study involving humans, whether they are patients or non-patient volunteers. The objective of the study would be to obtain clinical and scientific information about a pharmaceutical product, medical items, treatment, medical procedures etc.

The study would be limited to a particular time frame and should have been approved by an accredited ethics committee.

Injury resulting from a clinical trial will be considered for cover as a medical misadventure"

Note: This is not a statutory definition as per the Accident Compensation and Rehabilitation Insurance Act.

Researchers will be required to indicate if their proposed research is sponsored or commissioned by an outside funder. The committee will determine whether the research is primarily for the benefit of the sponsor. Where the answer is in the affirmative, then the sponsor will be required to indemnify the researcher, the university and the institutional ethics committee members for any liability which may arise through a claim by any participant in the research project which is not otherwise eligible for coverage by ARCIC.

6.4 Teaching Exercises or Projects

Where a teaching activity involves projects or exercises which require review and approval, the following guidelines apply:

- (1) The lecturer in charge of the activity must ensure that the students are acquainted with these principles and guidelines and that the projects or exercises are conducted in accordance with them.
- (2) In the case of undergraduate courses, the lecturer may apply for blanket review and approval. The application must provide full and adequate information regarding the students' projects or exercises, and evidence that students are acquainted with these principles and guidelines and will apply them.

6.5 Dissertations and Theses

Approval by the Human Ethics Committee is to be obtained prior to commencement of any research studies

- (1) Normally postgraduate students must make their own applications, in good time, for review and approval of their projects after due consultation with their supervisors.
- (2) It is a duty of the supervisor to ensure that postgraduate students are aware of Lincoln University's requirements for ethical approval of research involving human participants.

6.6 Information Sheets and Consent Forms

Information sheets and consent forms must be written in plain language, which can readily be understood by those invited to participate. These documents should be based on the model examples set out in [Appendix 2](#) which state precisely the kinds of information to be provided and the nature of the consent that the participant is giving. Where research involves the use of a telephone questionnaire, an approved standard script should be followed, based on the model example provided in part D of Appendix 2.

6.7 Focus Groups or Pilot Studies

Focus Groups or pilot studies convened solely for the purpose of developing good quality research instruments.

- 6.7.1 Focus Groups may be convened, or pilot studies undertaken, for the purposes of developing a research instrument prior to ethical approval being gained. This is only permitted when:
- ❖ There is no risk of harm.
 - ❖ The sole purpose of the focus group or pilot study is to provide data to develop a research instrument and not to collect research data.
 - ❖ The data to develop the research instrument is destroyed after the instrument has been developed (aggregate data may be kept for the sole purpose of justifying the development of the research instrument).
 - ❖ The data to develop the research instrument is not used in a publication.

- ❖ The focus group or pilot study participants are adults.
- ❖ The total number of participants involved is limited to 40 persons.
- ❖ The researcher must not have a relationship with the participants whereby potential participants could feel under pressure to participate (eg tutor/student relationship).

6.7.2 The researchers must notify the Human Ethics Committee in writing that they are convening focus groups or undertaking a pilot study with the sole purpose of preparing a research tool. In the notification (see [Appendix 3](#)) for proforma document) the researcher must state that all the requirements in 6.7.1 have been met. Their supervisor or manager must countersign the notification.

6.7.3 The notification must be sent to the Committee five working days prior to the focus group or pilot study being undertaken.

6.8 Research Involving Third Party Organisations (Appendix 4)

Where research involves an agreement or contractual relationship with a third party organisation or group to undertake some or all of the research, then the applicant should complete and have signed by the third party a protocol ([Appendix 4](#)) which gives an undertaking that in administering and conducting the research the third party will:

- (i) Comply with ethical standards, including the practices, policies and guidelines of the Lincoln University Human Ethics Committee;
- (ii) Comply, administer and conduct the research in accordance with the terms of the ethical approval of the research given by the Human Ethics Committee.

Where during the course of an approved research project an adverse event happens or there is any breach of (i) or (ii) above, the Lincoln University researcher shall as soon as practicable, but no later than 24 hours, notify the Human Ethics Committee Chair. Activity on the project shall cease until such time the Committee has reviewed matters relating to the breach.

6.9 Maori Research

Where research includes one of more of the following:

- (i) Involves Maori research participants
- (ii) Has relevance to Maori
- (iii) Is Maori-centred
- (iv) Involves Maori participants in the research (which may include Kaupapa Maori research)

Then the applicant should read the Health Research Council's *Guidelines for Researchers on Health Research involving Maori and Te Ara Tika: Guidelines for Maori Research Ethics: A framework for researchers and ethics committee members*. This should occur prior to making an application to the Human Ethics Committee.

6.10 Research on Teaching and Learning

Where research involves a scholarly investigation of teaching and learning, then the applicant should read [Appendix 5](#). This should occur prior to making an application to the Human Ethics Committee.

6.11 Research Recruiting Lincoln University Students

Where research proposes to recruit Lincoln University students as research participants, approval is required from the Assistant Vice-Chancellor (Academic Programmes and Student Experience). Once the Human Ethics Committee is satisfied that the research meets ethical standards the Chair will recommend to the Assistant Vice-Chancellor (Academic Programmes and Student Experience) that the application be approved. In principle, the University gives such permission for research occurring during class time only where it can see that there is benefit to the whole student body. When considering any application involving student recruits, the University also takes account of the overall survey load on the student body.

7. OPERATING PROCEDURES

Though the Committee uses a set of procedures to provide uniform and expeditious treatment of applications, members of the Committee do not see themselves essentially as operating a bureaucratic hurdle or policing body. A major part of the role of its operating procedures is to educate staff and postgraduates about ethical issues that arise in the use of human participants.

7.1 Application Methods

Applications arising in respect of 6.2.2 above should contain the following:

- (i) A copy of the laboratory manual for the degree or diploma unit in question, which should include a copy of the consent form students will be asked to sign;
- (ii) A copy of the subject outline;
- (iii) A covering letter outlining the nature of student projects entailed in the unit in question and explaining how they will be conducted in an ethical manner.

Other submissions to the Committee should be made on a Human Ethics Application Form. This is available from

[http://registry.lincoln.ac.nz/LPP/Policies/AcademicPolicy/Committees/SubResources/Human Ethics Committee Application Form.doc](http://registry.lincoln.ac.nz/LPP/Policies/AcademicPolicy/Committees/SubResources/Human%20Ethics%20Committee%20Application%20Form.doc) or from the [Secretary of the Human Ethics Committee](#) (contact Lincoln Research & Innovation).

The layout of the form is shown in Appendix 1. However, before obtaining and completing an Application Form, potential applicants should read the Committee's Principles and Guidelines. Appendix 2 gives a model project information sheet, consent form and questionnaire rubric.

Please note that in order to ensure that timely decisions are reached before the University closedown, applications must be received by the Human Ethics Committee Secretary by no later than the 26 November and are unlikely to be processed until the third week of January in the following year.

7.2 Review of Applications

Once the Secretary of the Committee has received a set of application forms a reference number and date of distribution will be attached to them by the Secretary and they will be distributed to members, with one copy retained for the records of the Committee.

When distributing applications, the Secretary will note if the matter is urgent, for example because a client requires a speedy turnaround if an opportunity is to be grasped by a research team; however, urgency is unlikely to be recognised where deadlines have been publicised long in advance and applications have been prepared without due regard to them. Once applications have been circulated, procedures are as follows:

- (1) Members of the Committee will send the Chair their comments on the application. Wherever possible, electronic mail is to be used for such communications. Where members see no reason to object to an application being approved without modification, they will simply send to the Chair a message stating the reference number and their approval.
- (2) Comments received within fourteen days of the date of distribution will be examined by the Chair, mindful of his/her own perspectives on the application, for the presence of a consensus view. Where an application has been classed as urgent, the Chair will normally expect to receive enough sets of comments within four working days of members receiving copies of the application.
- (3) When the Chair has received responses from all other members of the Committee and believes that members of the Committee differ only in matters of detail in their reactions to the application, the Chair will write, on behalf of the Committee as a whole, to the applicant, outlining the decision on the application. Where appropriate, this letter will outline the Committee's areas of concern and views on desirable amendments to the proposal which the project leader must discuss with the Chair; in the light of such discussions and agreements about modifications, the Committee's approval may be granted via the Chair.
- (4) Each meeting of the Committee will receive:
 - ❖ For each application granted approval since the previous meeting through the process described in (3) above, the outcome of the application; and
 - ❖ A brief summary of the nature of the project.
- (5) Where the Chair of the Committee discovers that members of the committee do not broadly agree about an application's suitability for ethical approval, then the application will be referred to the Secretary to be added to the agenda of the next meeting of the Committee. On some occasions the project leader may be invited to the meeting. The Secretary will advise the project leader that the application has not proved straightforward to assess and of the date of the meeting at which it will be considered by the Committee. Where the timelines threaten the viability of the project, project leaders may appeal to the Chair of the Committee for consideration under urgency and/or discuss with the Chair aspects of the application that have proved controversial among members of the Committee.

In the light of such discussions the project leader will be free to withdraw the application and submit a revised one.
- (6) Where a Committee member has an interest in an application they must disclose such interest.
- (7) The Committee may make such enquiries as are necessary for the purposes of assessing and making a decision upon any application. Enquiries may be made with any person outside the Committee and some disclosure of information received from

the applicant and from third parties in support of the application may be required for that purpose. Disclosure of such information will be subject to an obligation of confidence.

- (8) Subject to the paragraph above, the Committee will ensure that no information of a personal nature supplied with any application is disclosed to any person, other than the Committee members, without the authorisation of the individual concerned, or otherwise in compliance with the Privacy Act.
- (9) Individuals may at any time exercise the right to seek access to, and correction of, any personal information held by the Committee on that individual, and any such request will be considered in accordance with the Privacy Act.
- (10) Any final decision on an application is subject to approval being received, where necessary, from another University committee or committees.

7.3 Monitoring of Project Implementation

- 7.3.1 The Committee may from time to time conduct audits of projects that have been approved, to ensure that they have been implemented in accordance with procedures approved in the review process.
- 7.3.2 Audits of project implementation may be done on a random basis or may be undertaken in respect of particular projects about which the Committee has been given cause for concern.
- 7.3.3 In the process of undertaking an audit, the Committee will have the right to request access to signed consent forms and to solicit opinions from samples of participants about the ways in which projects under audit were implemented.
- 7.3.4 Where the Committee has been given reason to believe that non-exempted projects involving human participants are being or have been undertaken without first having been approved by the Committee, the Chair of the Committee will consult with the relevant head of department or centre prior to engaging in an investigation. If an investigation is embarked upon, the project leader will be notified about the concerns of the Committee and will be provided with an opportunity to make representations to the Committee. In the meantime, activity on the project will cease forthwith.
- 7.3.5 Where audit work by the Committee uncovers ethically unacceptable conduct on the part of researchers and teachers using human participants in their projects, reports of such findings will be submitted to both the Vice Chancellor and the relevant head of department or centre. In such a case, the project leader will be notified about the concerns of the Committee and will be provided with an opportunity to make representations to the Committee.

7.3.6 Though the Committee may uncover ethically unacceptable conduct through its audit activities and submit reports on its findings, it is not responsible for instituting any disciplinary action against the parties responsible for the conduct.

7.3.7 From time to time the operating procedures of the Committee will be subject to review, to ensure they are achieving their intended purpose.

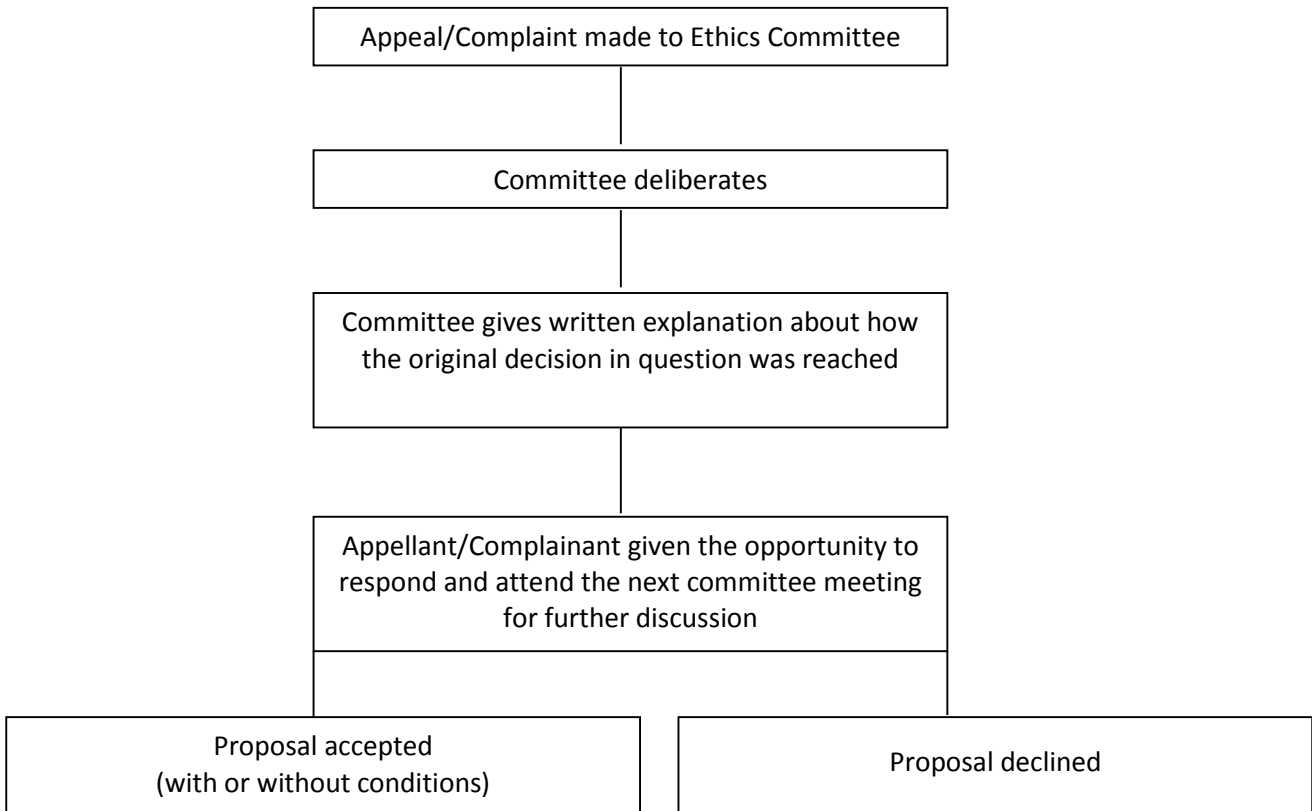
7.3.8 Research Report

The researcher will report to the Committee that the research has been completed and complied with the terms of the approval. Applicants are welcome to provide feedback to the Committee on ethical issues encountered during the course of the research and also a brief summary of the findings. Such feedback assists the Committee in its work.

7.3.9 Where, during the course of any approved research, an adverse event happens or unexpected circumstances occur arising from or seemingly connected with the research, the researcher shall within 24 hours notify the Committee. The Committee shall forthwith take the matter under advisement and review its ethical status.

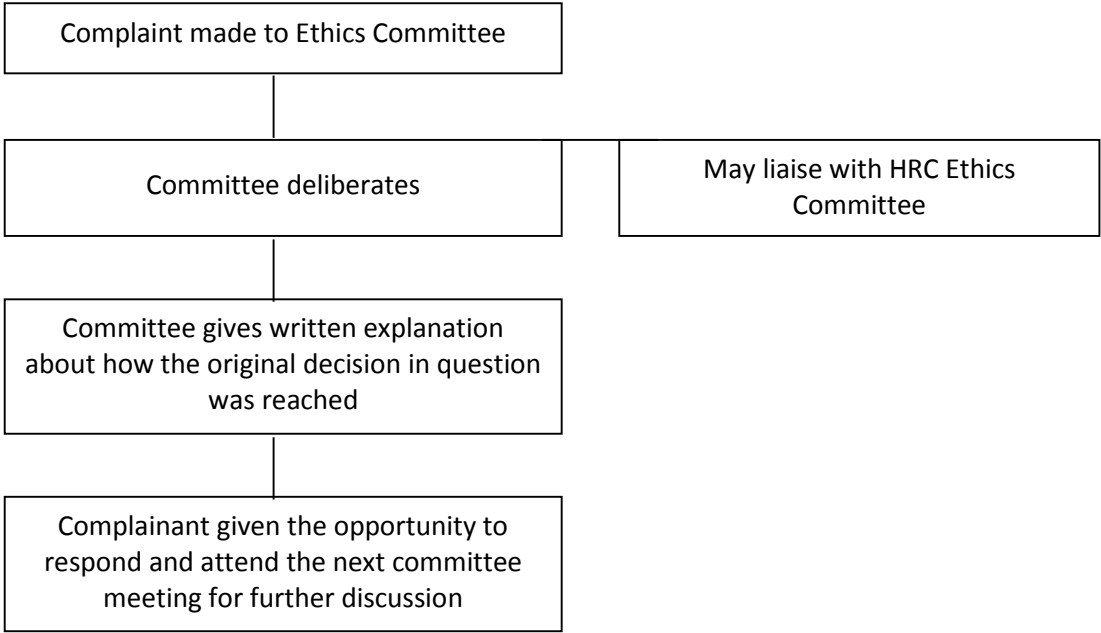
7.4 Appeal and Complaints Procedure

7.4.1 Appeal/Complaint received from an applicant when a proposal is declined



If the decision is still to decline the proposal, researchers may seek a second opinion on research and innovative treatment proposals, service and treatment issues from the HRC Ethics Committee.

7.4.2 Complaints received from individuals other than the applicant about the decision- used by the Committee in reaching a particular decision-making process



If complaint is unresolved to the complainant’s satisfaction, it may be referred to the HRC Ethics Committee.

7.4.3 Complaint received from participants that research is not progressing according to terms agreed by the Ethics Committee

The Ethics Committee will send the complaint to the researcher for comment. The complaint must be in writing (the advocate, where appropriate, working under the Health and Disability Commissioner may be contacted to assist in writing the complaint). It is possible for an Ethics Committee to warn the researcher and the provider that they no longer have protection from the legal redress that an Ethics Committee gives if a protocol has been altered without approval. The complainant will be kept informed.

7.4.4 Complaints about the performance of Ethics Committee members

Complaints about the performance of Ethics Committee members may be received by:

- ❖ the Committee itself; or
- ❖ the contracting organisation; or
- ❖ the Vice-Chancellor acting on behalf of the Council.

In all instances, the Chair and members will be informed of the issue. The Vice-Chancellor will investigate the issue and follow up on the complaint to the point of resolution.

Notification of the outcome of the complaint must be given to the Chancellor.

8. REVIEW

This policy will be reviewed by the Convenor of the Human Ethics Committee every three years, and reported to ELT for approval.

Manager:	Convenor of the Human Ethics Committee
Approval Date:	12 August 2014
Approval Body:	Council
Next Review Date:	12 August 2017

KEY WORDS

Human, Ethics, LPPResearch, LPPCommittees, LPPCouncilCommittees

APPENDIX 1 – APPLICATION FORM FOR ETHICAL APPROVAL FOR A PROJECT INVOLVING HUMAN PARTICIPANTS

[Click here for word version](#)

APPENDIX 2 – INFORMATION SHEET, CONSENT FORM, RUBRIC FOR QUESTIONNAIRES AND SCRIPT FOR TELEPHONE INTERVIEWS

[Research Information Sheet](#)

[Consent Form](#)

[Questionnaire Rubric](#)

[Script for Telephone Interviews](#)

APPENDIX 3 – PROFORMA INFORMATION SHEET FOR FOCUS GROUPS / PILOT STUDIES

[Click here for form](#)

APPENDIX 4 – PROFORMA FOR RESEARCH INVOLVING 3RD PARTY ORGANISATIONS

[Click here for form](#)

APPENDIX 5 – RESEARCH ON TEACHING AND LEARNING

When is an activity to improve teaching and learning simply “good practice” and when is it “research into teaching and learning”?

Teachers regularly identify a problem associated with their own teaching and investigate that problem in order to improve their own practice. This is simply part of good reflective teaching that benefits the teacher and his/her students. The focus moves from “good teaching” to “research” when that problem is used as an opportunity for scholarly investigation, with the intention of improving not only one’s own practice but that of other teachers. (For a basic overview of research into teaching and learning, see Fenton and Szala-Meneok, 2010¹).

These guidelines address some of the ethical issues and solutions which apply to research into teaching and learning. They should be read in conjunction with the Human Ethics Committee “Application Form Guidelines”. Sometimes there are no simple solutions to these issues, but your application should describe how you will attempt to ameliorate them.

1. Voluntary Participation

(a) Opting in:

Consistent with the principle of informed consent, potential participants should not feel coerced into participating. All research participants need to “opt in” to the research; those who do not wish to participate should not be put in a position where the onus is on *them* to ‘contract out’.

You could:

- ❖ Arrange for consent forms to be returned to a neutral place (instead of directly to the researcher).
- ❖ Avoid asking students to publicly indicate their participation/non participation (e.g. by being asked in class whether they are going to participate).
- ❖ Avoid asking students to put their name on a form that indicates they do not agree to participate

(b) Dependent relationships

A power differential exists when you carry out research using students in your own classes. The students may be considered a “captive population” and may feel under pressure to agree to participate in the research as part of completing the course. You will need to consider how you will manage the research so that the dependent relationship will not negatively impact on the participants or adversely influence your results; for example, by ensuring that you do not know who has/has not agreed to participate, and the nature of their responses, while you are teaching that course.

To minimise adverse effects, you could:

- ❖ Assure students (in the Research Information Sheet and other communication) that participation /non-participation will have no bearing on the assessment of any course in which they are enrolled.
- ❖ Use an intermediary (e.g. a faculty colleague, a colleague from Library, Teaching and Learning) to communicate with students about the research.
- ❖ Arrange to have consent forms, identifier codes and data stored by a third party and not released to you until after students have been officially awarded their grades.

¹ Fenton, N. & Szala-Meneok, K. (2010) *Research on Teaching and Learning Guidebook*. Centre for Leadership in Learning, McMaster University. Retrieved from https://cll.mcmaster.ca/resources/pdf/redo_guidebook.pdf

2. Privacy

(a) Participant confidentiality

It is not unusual for researchers to know the identity of the participants, but this may be problematic in teaching and learning research. If the teacher-student power differential is on-going (for example, if you are likely to teach the same students in future semesters, or if you are asking postgraduate students you supervise to take part in a research project), you may decide to arrange that you will have no access at all to the identities of those who have taken part.

You could ensure you will not be aware of who has/has not participated (even after exam grades released) by using an intermediary (e.g. a faculty colleague, a colleague from Library, Teaching and Learning) to gather and store consent forms, gather and code data, so that there is no identifying information, or run focus groups etc., and who has sole access to the list of names and identifiers.

(b) Anonymity

Some researchers have chosen to use student ID numbers instead of names as a way of ensuring anonymity; however, asking participants' to use ID numbers does not necessarily guarantee anonymity because they are only "one step away" from names. It is preferable to use code numbers instead of names or ID numbers.

3. Use of secondary data and use of third parties to obtain data

Scholarly research of teaching and learning often involves correlating some data collected from participants with their course grades. Grades/marks are collected for a specific purpose (to assess the student), and students have the right to know if their work during the course is going to be used for some purpose other than assessing their progress. You should ensure that students are informed that this will occur and their consent is obtained for this use.

4. Burden on participants

(a) Over-researching

Students may be at risk of being "over-researched" (especially given that they will also be engaged in institutional evaluation programmes, etc.)

You may need to gain permission for the research from your Faculty Dean or from the Assistant Vice-Chancellor Academic Programmes and Student Experience, who will have an overview of the extent of teaching and learning research being carried out on campus.

(b) Impacts on teaching time

The research should not intrude too much on teaching time, either through time taken to provide oral information to participants before seeking consent or class time used for data collection.

You could minimise any negative impacts by:

- ❖ Avoiding spending too much class time explaining the research and/or debriefing. (Using Learn/Moodle, for example, to provide details information).
- ❖ If there are good reasons for using class time for an aspect of the research which is not essential for students' learning in that course, tell students in advance that the teaching time will not involve essential course content.

(c) Impact on students' learning experience

If the research involves a trial of a new teaching method or approach, the students should not be in any way disadvantaged in taking this course during the semester in which the trial is conducted as compared to teaching in other semesters.

The Human Ethics Committee requires explicit assurance that trialling a change in instruction would not disadvantage current students; for example, explaining in what ways, if any, the learning outcomes, course work and assessment differs from previous years and the impact of the research on the 'quality' of the learning and assessment.

5. Minimising deception

Deception is sometimes necessary in research to avoid the results being skewed by participants behaving in a way that is influenced by their knowledge of the methods or purpose of the research. However, the students have a right to know if you are trialling a new teaching technique for the purposes of research as well as for their learning benefit.

If research activities occur during class teaching time, it is important that students are made fully aware of this. If there is a risk of the data being biased by students' prior knowledge of the "experiment", it is normal procedure to explain, in general terms at least, the nature of the research and the research design for the research, and then debrief the students fully at the end of the research.

5. Benefits of the research

For the investigation to have value as a piece of research there should be a benefit not just to this cohort, but to others. This benefit to future cohorts should justify the burden on participants.

In the application, you should make explicit the benefit to future cohorts, and how the findings will be disseminated to other teachers and institutions.

Telford Farm Training Institute Board of Management		
Member (Lincoln University appointment, 3 years)	Sheelagh Matear – replacement will be required	
Member	David Yardley	
Member (as Director, Lincoln-Telford Division)	Martin Eadie	