Research – guidelines and procedures

Northern Territory Department of Education



Contents

1. Research application summary	4
1.1. The department's strategic priorities	4
2. Research application guidelines	4
2.1. Conducting education research	4
2.2. Department staff conducting independent research	4
2.3. Research involving non-Government schools	5
3. Research application procedures	5
3.1. Step 1 – Prepare and submit application form	6
3.1.1. Application forms	6
3.1.2. Data requests	6
3.1.2.1. Government school data requests	6
3.1.2.2. Non-government school data requests	6
3.1.2.3. Mixed data requests	6
3.1.3. Consultation with schools or principals	7
3.1.4. Ethics approval	7
3.1.5. Risk mitigation	8
3.1.5.1. Managing potential distress	8
3.1.5.2. Perceived power imbalances	8
3.1.6. Informed consent	8
3.1.6.1. Information statements and consent forms	8
3.1.6.2. Participant information statements	9
3.1.6.3. Consent forms	9
3.1.7. Culturally safe research	9
3.1.7.1. Aboriginal research participants	9
3.1.7.2. Cultural intellectual property	10
3.1.7.3. Working safely with culturally restricted information	10
3.1.7.4. Translators and interpreters	10
3.1.7.5. Further information	10
3.1.8. Incentives	11
3.1.9. Mandatory reporting	11
3.1.9.1. Appropriate supervision	11
3.1.9.2. Working with Children Clearance	11
3.1.10. Planning for dissemination	11
3.1.11. Data, privacy and security	12
3.1.11.1. Cloud platforms and servers	13
3.1.11.2. Data-linkage	13
3.1.12. Key contacts	13
3.1.13. Supporting documents	13

3.2.1. Assessment process 14 3.2.2. Key assessment criteria used by the department 14 3.3. Step 3 - Communicate outcome 16 3.3.1. Letter of outcome 16 3.4. Step 4 - Obtain consent from schools 16 3.4.1. Consent from schools 16 3.5. Step 5 - Obtain data - data request only 16 3.5.1. Data provision 16 3.6. Step 6 - Undertake research 17 3.6.1. Undertaking research 17 3.7. Step 7 - Request a variation or extension if required 17 3.7.1. Variations and extensions 17 3.8. Step 8 - Monitoring 17 3.8.1. Monitoring research 17 3.9. Step 9 - Reporting 18 3.9.1. Reporting 18 3.10. Step 10 - Assess and circulate findings 18 3.10.1. Assess and circulate findings 18 4. Related links, policies and documents 18		3.2. Step 2 - Assess research application	14
3.3. Step 3 - Communicate outcome 16 3.3.1. Letter of outcome 16 3.4. Step 4 - Obtain consent from schools 16 3.4.1. Consent from schools 16 3.5. Step 5 - Obtain data - data request only 16 3.5.1. Data provision 16 3.6. Step 6 - Undertake research 17 3.6.1. Undertaking research 17 3.7. Step 7 - Request a variation or extension if required 17 3.7.1. Variations and extensions 17 3.8. Step 8 - Monitoring 17 3.9. Step 9 - Reporting 17 3.9.1. Reporting 18 3.9.1. Reporting 18 3.10. Step 10 - Assess and circulate findings 18 3.10.1. Assess and circulate findings 18		3.2.1. Assessment process	14
3.3.1. Letter of outcome 16 3.4. Step 4 - Obtain consent from schools 16 3.4.1. Consent from schools 16 3.5. Step 5 - Obtain data - data request only 16 3.5.1. Data provision 16 3.6. Step 6 - Undertake research 17 3.6.1. Undertaking research 17 3.7. Step 7 - Request a variation or extension if required 17 3.7.1. Variations and extensions 17 3.8. Step 8 - Monitoring 17 3.8.1. Monitoring research 17 3.9. Step 9 - Reporting 18 3.9.1. Reporting 18 3.10. Step 10 - Assess and circulate findings 18 3.10.1. Assess and circulate findings 18		3.2.2. Key assessment criteria used by the department	14
3.4. Step 4 - Obtain consent from schools 16 3.4.1. Consent from schools 16 3.5. Step 5 - Obtain data - data request only 16 3.5.1. Data provision 16 3.6. Step 6 - Undertake research 17 3.6.1. Undertaking research 17 3.7. Step 7 - Request a variation or extension if required 17 3.7.1. Variations and extensions 17 3.8. Step 8 - Monitoring 17 3.9. Step 9 - Reporting 18 3.9.1. Reporting 18 3.10. Step 10 - Assess and circulate findings 18 3.10.1. Assess and circulate findings 18		3.3. Step 3 - Communicate outcome	16
3.4.1. Consent from schools 16 3.5. Step 5 - Obtain data - data request only 16 3.5.1. Data provision 16 3.6. Step 6 - Undertake research 17 3.6.1. Undertaking research 17 3.7. Step 7 - Request a variation or extension if required 17 3.7.1. Variations and extensions 17 3.8. Step 8 - Monitoring 17 3.8.1. Monitoring research 17 3.9. Step 9 - Reporting 18 3.9.1. Reporting 18 3.10. Step 10 - Assess and circulate findings 18 3.10.1. Assess and circulate findings 18		3.3.1. Letter of outcome	16
3.5. Step 5 - Obtain data - data request only 16 3.5.1. Data provision 16 3.6. Step 6 - Undertake research 17 3.6.1. Undertaking research 17 3.7. Step 7 - Request a variation or extension if required 17 3.7.1. Variations and extensions 17 3.8. Step 8 - Monitoring 17 3.8.1. Monitoring research 17 3.9. Step 9 - Reporting 18 3.9.1. Reporting 18 3.10. Step 10 - Assess and circulate findings 18 3.10.1. Assess and circulate findings 18		3.4. Step 4 - Obtain consent from schools	16
3.5.1. Data provision 16 3.6. Step 6 - Undertake research 17 3.6.1. Undertaking research 17 3.7. Step 7 - Request a variation or extension if required 17 3.7.1. Variations and extensions 17 3.8. Step 8 - Monitoring 17 3.8.1. Monitoring research 17 3.9. Step 9 - Reporting 18 3.9.1. Reporting 18 3.10. Step 10 - Assess and circulate findings 18 3.10.1. Assess and circulate findings 18		3.4.1. Consent from schools	16
3.6. Step 6 - Undertake research 17 3.6.1. Undertaking research 17 3.7. Step 7 - Request a variation or extension if required 17 3.7.1. Variations and extensions 17 3.8. Step 8 - Monitoring 17 3.8.1. Monitoring research 17 3.9. Step 9 - Reporting 18 3.9.1. Reporting 18 3.10. Step 10 - Assess and circulate findings 18 3.10.1. Assess and circulate findings 18		3.5. Step 5 - Obtain data - data request only	16
3.6.1. Undertaking research 17 3.7. Step 7 - Request a variation or extension if required 17 3.7.1. Variations and extensions 17 3.8. Step 8 - Monitoring 17 3.8.1. Monitoring research 17 3.9. Step 9 - Reporting 18 3.9.1. Reporting 18 3.10. Step 10 - Assess and circulate findings 18 3.10.1. Assess and circulate findings 18		3.5.1. Data provision	16
3.7. Step 7 - Request a variation or extension if required 17 3.7.1. Variations and extensions 17 3.8. Step 8 - Monitoring 17 3.8.1. Monitoring research 17 3.9. Step 9 - Reporting 18 3.9.1. Reporting 18 3.10. Step 10 - Assess and circulate findings 18 3.10.1. Assess and circulate findings 18		3.6. Step 6 - Undertake research	17
3.7.1. Variations and extensions		3.6.1. Undertaking research	17
3.8. Step 8 - Monitoring 17 3.8.1. Monitoring research 17 3.9. Step 9 - Reporting 18 3.9.1. Reporting 18 3.10. Step 10 - Assess and circulate findings 18 3.10.1. Assess and circulate findings 18		3.7. Step 7 - Request a variation or extension if required	17
3.8.1. Monitoring research 17 3.9. Step 9 - Reporting 18 3.9.1. Reporting 18 3.10. Step 10 - Assess and circulate findings 18 3.10.1. Assess and circulate findings 18		3.7.1. Variations and extensions	17
3.9. Step 9 - Reporting		3.8. Step 8 - Monitoring	17
3.9.1. Reporting183.10. Step 10 - Assess and circulate findings183.10.1. Assess and circulate findings18		3.8.1. Monitoring research	17
3.10. Step 10 – Assess and circulate findings		3.9. Step 9 - Reporting	18
3.10.1. Assess and circulate findings18		3.9.1. Reporting	18
		3.10. Step 10 - Assess and circulate findings	18
4. Related links, policies and documents18			
	4	4. Related links, policies and documents	18

1. Research application summary

The Northern Territory (NT) Department of Education (department) values evidence informed practice driven by high quality educational research and analysis. The department is committed to the benefits that quality research can deliver to students, schools and the education system more broadly.

These research guidelines and procedures provide information for anyone seeking to conduct research in or with NT Government schools and departmental staff; or seeking to utilise data held by the department. They outline the department's policy positions and priorities regarding research and provide guidance on when to apply, including explaining what researchers need to know for each stage of the research application process.

1.1. The department's strategic priorities

The Education NT Strategy 2021-2025 commits to a strong and equitable public education system where every child has the opportunity to engage, grow and achieve. It is expected that all research aligns to the seven focus areas included within the plan:

- strengthen instruction for young Territorians
- improve cultural responsiveness
- · engage every child and student in learning
- build the foundations for learning
- support successful transitions beyond schooling
- build an expert education workforce
- differentiated support for Early Childhood Education and Care Services, schools and communities.

2. Research application guidelines

2.1. Conducting education research

All researchers who wish to conduct research in the NT must submit a research application to the department if the project involves:

- NT Government school students
- children, parents or community members recruited via the school
- department employees, including teachers, support staff and corporate staff
- data held by the department that is not already publicly available or that is departmental intellectual property.

2.2. Department staff conducting independent research

Department staff, including teachers conducting independent research within their school or business area, for example as part of post-graduate studies, must also apply to conduct research.

The application must clearly state that the research is being conducted in an independent capacity as a researcher, for example, post graduate studies, and is not affiliated with their role in the department. This

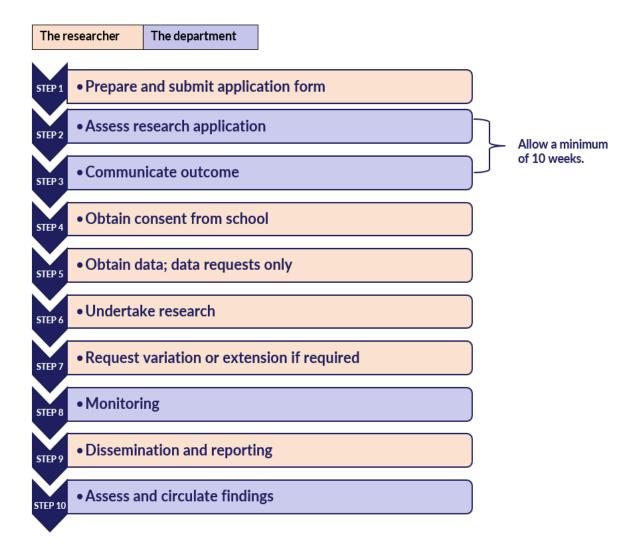
must be clearly articulated in all communication and recruitment material, including information statements and consent forms. Teachers applying to conduct research in their own school or community must be mindful of addressing power imbalances. For further information contact the department's research team, refer to the Key contacts section.

2.3. Research involving non-Government schools

Researchers who seek to conduct research with NT Catholic or independent schools are required to apply individually to the respective NT Catholic Education Office or the Association of Independent Schools NT as relevant.

3. Research application procedures

There are ten steps involved in applying to conduct research. These are listed and explained in further detail below. The estimated processing time for each research application varies by complexity and completeness of the application. Researchers should allow for a minimum of 10 weeks for the completion of steps 2 and 3, from when they submit a research application to when they can expect to receive an outcome.



3.1. Step 1 - Prepare and submit application form

3.1.1. Application forms

To obtain the department's support to conduct research, researchers must fill in an application form:

Application to conduct research

For cross-jurisdictional research, the National Projects – Application to Conduct Research in Schools (National Projects) form is accepted by the department:

National Projects – Application to conduct research in schools

If completing the National Projects form, researchers must still address all requirements set out in these guidelines.

Please complete one of the above application forms and send it with supporting documents to researchapps.DET@education.nt.gov.au, refer to Supporting document' on page 13.

3.1.2. Data requests

Significant data holdings are available publicly on the NTG Open Data Portal and Education NT website. National websites such as MySchool, ACECQA, ABS, AEDC, <a href="ANR Data Portal, SANT Data Link, ROGS and NDIS also publish useful education data. We encourage researchers to submit a research application if they plan to use publicly available departmental data as part of their research.

3.1.2.1. Government school data requests

Government school education data that is not publicly available can be requested from the department's data holdings. To discuss the department's data holdings, please contact the department's Performance team, refer to the Key contacts section.

Requests for data can be made in conjunction with applications to conduct research or as a separate data request. In both scenarios, researchers are required to submit a request for data using the Application to conduct research form or National projects form outlined on page 6.

Please complete an application form and send it with supporting documents to researchapps.DET@education.nt.gov.au, refer to Supporting documents on page 13.

3.1.2.2. Non-government school data requests

The department is the data custodian for a range of non-government school data. If the data requested concerns only non-government schools, the department's support is not required, and researchers must seek individual permission from each non-government school. Once individual permission has been received, researchers are required to email the approval to the Performance team for data provision, refer to the Key contacts section.

3.1.2.3. Mixed data requests

For data requests concerning both government and non-government schools, researchers must undergo both processes, as set out above, related to the relevant data being requested.

Timeframes for provision of data depend on the complexity of the data required. Simple data requests may be processed within two weeks. For more complex data requests that required additional approvals, processing may be delayed.

3.1.3. Consultation with schools or principals

Researchers are advised against consulting with schools or principals prior to applying to conduct research. If consultation with schools or principals has already occurred prior to applying, it is important to note that in-principle support from schools or principals does not guarantee the department's support to conduct the research.

Researchers must not commence research activity without approval from the department. The decision to participate in research is at the principal's discretion and will be based on alignment with the schools' improvement agenda, priorities and capacity. Furthermore, participation of schools, staff and students remains voluntary.

3.1.4. Ethics approval

The department expects researchers to consider and align their application with national ethics guidelines:

- National Statement on Ethical Conduct in Human Research (2007) Updated 2018
- National Health and Medical Research Council's Australian Code for the Responsible Conduct of Research (2018).

Ethics approval is required for all research applications that are aiming to explore issues of particular significance to Aboriginal people or involve a significant number of Aboriginal people or involve participants from vulnerable groups and involve more than low degree of risk of harm, discomfort or inconvenience.

If a sound understanding of the NT context is required to undertake the research effectively, the department may request that ethics approval is obtained from an NT based, National Health and Medical Research Council (NHMRC) registered Human Research Ethics Committee (HREC). The department will also consider ethics approvals from the <u>Australian Institute of Aboriginal and Torres Strait Islander Studies</u> (AIATSIS). If research applications do not involve students/staff **and/or** is low risk and of a non-sensitive nature, then low risk ethical clearance from NHMRC is **recommended**.

In the NT there are 2 registered Human Research Ethics Committees:

- HREC of the NT Department of Health and Menzies School of Health Research
- Charles Darwin University HREC.

Menzies School of Health Research is willing to review and, if approved, provide reciprocal ethical approval for projects considered in other jurisdictions.

Charles Darwin University's ethics committee will only review applications where a key investigator is affiliated with the university.

Contact the department at researchapps.DET@education.nt.gov.au for clarification on ethics requirements.

3.1.5. Risk mitigation

Researchers are expected to anticipate any potential risks the research may cause to participants and have appropriate high-quality mitigation processes in place.

3.1.5.1. Managing potential distress

Where research includes sensitive topics, it is expected that researchers have appropriate training, for example in mental health or first aid, and de-escalation protocols to manage any distress incidents. Contact details for appropriate support organisations are expected to be included within surveys, and on information provided to participants. Support organisations should be relevant to the research topic, but may include Lifeline Australia, Kids Helpline and Beyond Blue.

3.1.5.2. Perceived power imbalances

Researchers can sometimes seek to conduct research with participants over whom they could be viewed to hold a position of perceived power. For example, teachers conducting research on their students as part of private research, or a local health worker conducting research in their community. Research proposals must be designed in such a way to ensure that a position of perceived authority does not make participants feel obliged to participate, compromise the voluntary nature of the research, or impact on responses or data.

3.1.6. Informed consent

Researchers must seek active, opt-in informed consent for all research participants, including department staff and parents of students aged under 18 years who participate in research. Participant information statements and consent forms must be provided with research applications.

3.1.6.1. Information statements and consent forms

Participant information statements and consent forms are vital to ensure that research participants understand what they are participating in and what the research involves. Further guidance on what should be included in information statements and consent forms is available on the Menzies School of Health Research website.

The department expects that participant information statements and consent forms are in plain language and suitable for participant's age, capacity and language background, including provisions for use of a translator or interpreter if appropriate. The department recommends seeking children's assent to participate, in addition to parental consent, with age-appropriate participant information statements and assent or consent forms for older children.

Please note that:

- the department will not support opt-out, implied or passive consent processes for research
- school participation must remain anonymous unless the school explicitly agrees to be identified
- data can only be used for the specific, stated purpose for which it is collected. Researchers must not seek consent for future unspecified use of data.

3.1.6.2. Participant information statements

Participant information statements should include clear information about:

- the purpose of the research and what participation in the research entails, for example all likely activities and timeframes
- participation being voluntary, and that participants may withdraw at any stage without penalty
- any potential risks of participation, including if they are being asked to provide sensitive information, participate in activities that may be sensitive and any potential mandatory reporting requirements
- confidentiality and privacy, including how personal information will be de-identified
- who to contact with questions or concerns
- contact details for support services in the event of distress experienced during research activities if sensitive topics are being discussed
- how their information will be stored, used and secured, who will retain ownership and how long for
- if and when their information will be destroyed or if it may be used for a secondary purpose in the future.

3.1.6.3. Consent forms

Consent forms must:

- confirm participants understand the purpose of the research, what their participation in the
 research involves, including how their information will be used, and, that they have had the
 opportunity to ask questions
- confirm participants understand that participation is voluntary, they can withdraw their consent at any time, and they can understand what withholding consent means for them
- confirm participants understand any potential risks of participating in the research, including
 activities that may cause potential distress and potential mandatory reporting obligations of the
 researcher
- confirm participants understand that confidentiality will be maintained, and data stored securely
- allow participants to choose not to be videoed, voice recorded or photographed
- allow participants to choose if samples of their work, for example, work sheets, artwork, lesson plans, can be collected.

3.1.7. Culturally safe research

It is essential that research is done in a culturally safe way.

Researchers are responsible for demonstrating a level of cultural competency and culturally safe practice appropriate to the research project. This includes considering the NT context.

3.1.7.1. Aboriginal research participants

If research includes Aboriginal participants, researchers are expected to be familiar, and align their research approach with the following:

- Australian Institute for Aboriginal and Torres Strait Islander Studies (AIATSIS) Code of Ethics for Aboriginal and Torres Strait Islander Research (2020)
- National Health and Medical Research Council (NHMRC) Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders (2018)
- NHMRC Australian Code for the Responsible Conduct of Research (2018)
- Productivity Commission's Indigenous Evaluation Strategy.

It is important to note that informed consent from Aboriginal participants means understanding that Aboriginal people have the right to determine what research is and is not carried out in their communities.

When working with Aboriginals and culturally diverse communities, researchers should consider, when appropriate, using alternative ways to ensure that informed consent is achieved, including use of translators, DVD's, books and flipcharts or images. Researchers should also be aware that a longer time period may be required to discuss, consult, and obtain consent when conducting research with people who speak English as an additional language.

3.1.7.2. Cultural intellectual property

Appropriate use of Aboriginal cultural intellectual property should be negotiated with the relevant community representatives, including use and storage of culturally restricted information, publication of findings, and copyright, refer to Dissemination on page 11.

3.1.7.3. Working safely with culturally restricted information

Some research may include access to culturally restricted information for a particular purpose. Clear and open communication regarding protocols and laws that apply to culturally restricted information should form part of each research planning, including how to collect, store and dispose of, or archive this data appropriately.

3.1.7.4. Translators and interpreters

If necessary, researchers should source translators or interpreters to ensure appropriate engagement and informed consent. The <u>Interpreting and Translating Service NT</u> and the <u>Aboriginal Interpreter Service</u> are available to assist with interpretation services at the cost of the researcher.

Please note that it is not appropriate for researchers to use educators or assistants as translators or interpreters for any part of the research.

3.1.7.5. Further information

Further information about culturally safe research is available at:

- Researching Indigenous Health: A practical guide for researchers | Lowitja Institute
- Arts Law Centre of Australia's website.

3.1.8. Incentives

The department does not support incentives that influence participation and responses from research participants; however, provision of support to facilitate the research will be considered. For example, if the participant is required to use an app on a device to be able to participate in the research, the provision of credit for the period of the research would be deemed appropriate. Providing a participant with credit or a device after this period would be considered inappropriate.

3.1.9. Mandatory reporting

All research projects must consider the department's <u>Mandatory reporting of harm and exploitation of</u> children guidelines.

Under the <u>Care and Protection of Children Act 2007</u>, the wellbeing of a child includes the child's physical, psychological and emotional wellbeing. Researchers must advise the school principal if they recognise that a child under 18 years has suffered or is likely to suffer harm or exploitation be it physical, emotional, psychological or sexual.

Research applications that relate to mental health, wellbeing, alcohol or drug related content, or have the potential to cause distress, must:

- ensure data can re-identify participants in case a mandatory report is required
- include a process to ensure that school principals are notified and kept informed of the management of any adverse events.

3.1.9.1. Appropriate supervision

The department recommends that a suitable school or community representative is present when researchers conduct interviews or focus groups with students; however, it is at the discretion of the school principal to determine if appropriate supervision is required.

3.1.9.2. Working with Children Clearance

Any researcher coming into contact, or potential contact, with children must hold a current Working with children clearance notice. This includes face to face research, remote research, or access to identified data. Researchers intending to do research that involves contact or potential contact with children are required to obtain an NT Ochre Card, the Working with Children Clearance.

Researchers must apply for an <u>NT Working with children clearance</u> through Safe NT. Interstate cards are not accepted.

3.1.10. Planning for dissemination

Research applications are expected to include information in a data management plan about how research findings will be disseminated. When appropriate, researchers should endeavour to share summary findings or a school level report with participants and the principal of participating schools. The department notes that the decision to disseminate findings from research commissioned by government agencies, for example, the Commonwealth Government, may lie with that government entity and not the researcher. If this is the case, please state this clearly in the research application.

The department requires that researchers inform the department 30 days prior to any anticipated media or publications, including journal articles resulting from the research. Researchers may be directed to liaise

with the department's Communications and Media team. The department also welcomes presentations of the research findings, which can be arranged by emailing researchapps.DET@education.nt.gov.au.

When conducting research with Aboriginal people, some additional considerations may be required when developing a dissemination strategy. Considerations include:

- ensuring permissions are in place to publish outside the community
- allowing guardians of cultural knowledge adequate time to review publications and raise any questions or concerns
- · sharing authorship, if appropriate
- citing knowledge that is owned collectively, if appropriate
- using and publishing culturally restricted information appropriately.

The Productivity Commission's <u>Indigenous Evaluation Strategy</u> provides further guidance around what to consider for dissemination of research involving Aboriginal people.

3.1.11. Data, privacy and security

Data refers to, but is not limited to, quantitative data, qualitative data, such as work sheets, artwork, lesson plans, recordings and photographs collected as part of research. Maintaining privacy and the secure storage of data is of paramount importance.

Researchers are responsible for ensuring data is collected, stored, and disposed of in compliance with relevant legislation and ethical standards, including:

- The department's Data Access Policy and Protocol
- NT Information Privacy Principles (IPPs)
- Information Act 2002
- Privacy Act 1988 (Cth)
- Care and Protection of Children Act 2007.

Research applications must have clearly articulate privacy and security processes within the research application form or as a separate Data Management Plan. This includes, but is not limited to:

- strategies for secure storage of data both digital and paper based
- protection of privacy in publication of data
- separate storage of identification keys for de-identified data
- restricted data access
- secure destruction methods and schedule
- data linkage privacy protocols.

Additional considerations:

• if culturally restricted data is collected, ensure clear agreements regarding protocols for use and publication are in place.

3.1.11.1. Cloud platforms and servers

The use of cloud services can carry significant risk to the Department due to legislation requirements under the *Information Act 2022*. Researchers must abide by the 10 IPPs when collecting and handling person information. For more information, please visit https://infocomm.nt.gov.au/privacy/information-privacy-principles.

If using a cloud platform, including for online consent, researchers are urged to consider what personal information is essential to the research. The less identifying information collected, the easier it will be to mitigate identification risks. If researchers plan to obtain consent from participants through an online platform, they must outline how collection of this information will adhere to the department's privacy requirements as outlined above.

3.1.11.2. Data-linkage

Researchers must provide details of any data linkage associated with collection of their data, and the procedures they will use to ensure that individuals' data remains anonymous and protected.

3.1.12. Key contacts

To contact the department for advice or queries regarding research applications, please email Researchapps.DET@education.nt.gov.au or telephone (08) 8999 3535.

To contact the Performance Team in relation to the department's data holdings, please email analysis.doe@education.nt.gov.au.

3.1.13. Supporting documents

Completed research application forms along with supporting documents are to be emailed to ResearchApps.DET@education.nt.gov.au.

Supporting documents to submit with the application are set out below:

- research instruments, for example, survey questions and focus group guides
- participant information statements for each distinct cohort of participants
- consent forms for each distinct cohort of participants
- letters to principals explaining the research and the time and resources requested of school staff, where relevant
- completed application to a HREC
- approval letter from a HREC or letter of ethical conduct outlining how the research application aligns with the relevant national guidelines on pages 6 and 7, if already obtained
- Working with children clearance notice if research involves potential contact with children
- insurance documentation to confirm appropriate indemnity cover
- data management plan, refer to Data, privacy and security on pages 11 and 12.

3.2. Step 2 - Assess research application

3.2.1. Assessment process

Once an application is received, the department will confirm receipt of the research application and provide a reference number. The reference number should be used in all subsequent correspondence about the research application.

To assess an application, the department will consult internally with content specialists and seek further information or clarification from researcher or their nominated contact person, as appropriate, to inform advice for the department's delegate to decide about approval.

Please allow up to a minimum of ten weeks to receive an outcome for your application. It is unlikely that research applications will be approved for commencement in the same school term that the application is received.

Common circumstances that may delay the assessment process are:

- an incomplete application
- missing supporting documentation
- unclear research aims, questions or methodology
- consent forms that do not align with the IPPs.

The department may request amendments to the research application in circumstances where the research:

- is proposed to occur during busy times for schools, for example, during NAPLAN testing or during Term 4
- is proposed to be conducted with oversampled or overburdened schools
- will cause unreasonable burdens on schools.

3.2.2. Key assessment criteria used by the department

The assessment criteria used by the department to assess research applications are adapted from the <u>Queensland Government's Standards of Evidence</u> and the <u>Australian Education Research Organisation</u>'s Standards of Evidence. The assessment criteria is set out in the Key assessment criteria table.

KEY ASSESSMENT CRITERIA					
	Design				
Research design	 contributes to new knowledge appropriate scope and clear focus on research aims and objectives research questions aligned with aims and objectives, clear, focused, and analytical strong methodology in sampling, recruitment, data collection instruments, and analysis approach 				
Burden on school, participant and department	 minimum effort commitment required from participants, either ongoing or one-off minimum disruption to teaching/learning/business, either ongoing or one-off minimum administrative burden on school and/or corporate staff, either ongoing or one-off 				

KEY ASSESSMENT CRITERIA					
Ethics and Risks					
Ethics approval	 approval relevant ethics clear and comprehensive plain language statement and consent form clear and comprehensive communication with gatekeeper research agreement with Indigenous partner if applicable 				
Privacy and confidentiality	 research sites agree to be named or does not agree to be named clear and comprehensive de-identification approach for participants' privacy and confidentiality 				
Management of risks and sensitivity to participants	or what could be harmed and how				
 clear and comprehensive secure data storage method clear and comprehensive Secure data destruction method and timeline 					
	Benefits				
Benefits to school, participant and department	 the research presents significant alignment with one or more departmental strategies and priorities the research is likely to make a significant contribution to one or more school policies the research is likely to make a significant contribution to corporate governance and operation 				
Dissemination					
Dissemination	 detailed information on the dissemination strategy about the type, purpose and timeframe of publication findings will be fully shared with all or selected stakeholders participants are given opportunity to provide feedback on school level reports if applicable 				

3.3. Step 3 - Communicate outcome

Following support from the department, the final decision on whether a school participates in research is at the discretion of the relevant school principal. The participation of each individual remains voluntary.

3.3.1. Letter of outcome

- 3.3.2. All applicants will be advised of the department's decision via email. Possible outcomes include supported, conditionally supported and not supported.
 - If a research application is supported, researchers can then approach school principals with their email of support to discuss the school's participation.
 - If a research application is conditionally supported, researchers are requested to provide a response to the conditions outlined in the email within 14 days. If these conditions are met, the department will then provide confirmation of full support via email.
 - If a research application is not supported, you will receive an email outlining the reasons why.

Emails of support are valid for six months after the report due date stated on the application form. If researchers have not commenced their research within this timeframe, a request to vary the research is required, refer to Requests for variations or extensions on page 16.

3.4. Step 4 - Obtain consent from schools

3.4.1. Consent from schools

On receipt of a formal Letter of support from the department, researchers can then obtain formal consent from the relevant school principals and individual participants using the approved participant information statements and consent forms.

The final decision on whether to participate is at the discretion of each school principal and each consenting participant.

Once consent from schools has been obtained, researchers must email the department at researchapps.DET@education.nt.gov.au to provide a list of participating schools.

3.5. Step 5 - Obtain data - data request only

3.5.1. Data provision

On receipt of confirmation of support from the department, researchers must email the Performance team at analysis.doe@education.nt.gov.au, attaching the email of support, with a brief overview of data request requirements, including:

- what has been supported or the scope of data
- completed participant consent forms if applicable
- a copy of the research application form.

The Performance team will then work with the researcher regarding data provision. To enable a timely response, researchers ought to include the research application reference number in the email subject line to the Performance team at analysis.doe@education.nt.gov.au.

3.6. Step 6 - Undertake research

3.6.1. Undertaking research

Researchers must undertake research as per their approved application. Researchers must advise the department as soon as possible of any changes to supported research.

3.7. Step 7 - Request a variation or extension if required

3.7.1. Variations and extensions

Extensions, minor amendments and variations can be requested via email to the department for processing, refer to the Key contacts section. Please include a description of amendments or reason for extension, any associated documentation that has been updated including ethics approval, if required, and changes to original timeframes such as the date of report submission. Examples include, but are not limited to:

- change or addition of schools
- additional survey questions
- changes to participant information statement or consent form
- delay to report submission
- additional data year or a change to a data request.

In most instances minor amendments are noted by the department's delegate and no further action is required. Significant changes may require an amended research application. Researchers are to email the department to discuss significant changes to the research, <u>researchapps.DET@education.nt.gov.au</u>.

It is important to note that some changes may also require re-approval from the Human Research Ethics Committee. Once amendments to ethics approval are re-approved, you are required to send a copy of the approval letter to the department.

3.8. Step 8 - Monitoring

3.8.1. Monitoring research

To enable research findings to contribute to school and system improvements, and the national education evidence base more broadly, the department plans to develop a searchable repository. It is intended for this repository to include all supported projects, with a summary and link to reports where applicable. The department may contact you to request an update on the progress of your research.

The department will also monitor the capacity of schools when they are engaged in research to oversee any unintended burden on schools.

3.9. Step 9 - Reporting

3.9.1. Reporting

It is expected that researchers submit publications, including journal articles, details of anticipated media coverage and final reports to researchapps.DET@education.nt.gov.au at least one month prior to publication. Researchers must also submit any publications and final reports once the research is complete.

3.10. Step 10 - Assess and circulate findings

3.10.1. Assess and circulate findings

The department will review the findings and circulate to relevant business areas and senior executives to inform our work. Research findings may also be shared with other NT Government departments where relevant.

4. Related links, policies and documents

Applying to the NT Department of Education to conduct research

https://education.nt.gov.au/statistics-research-and-strategies/about-education-research

National research projects

https://www.aare.edu.au/research-and-advocacy/research-ethics/national-application-form/

NT publically available data holdings

https://data.nt.gov.au/

https://education.nt.gov.au/education/statistics-research-and-strategies/strategic-plan

National publically available data holdings

https://www.myschool.edu.au/

https://www.acecqa.gov.au/

https://www.abs.gov.au/

https://www.aedc.gov.au/

https://www.acara.edu.au/reporting/national-report-on-schooling-in-australia/national-report-on-schooling-in-australia-data-portal

https://www.santdatalink.org.au/available datasets

https://www.pc.gov.au/ongoing/report-on-government-services

https://www.ndis.gov.au/about-us/publications/quarterly-reports

Ethics approval

https://www.nhmrc.gov.au/about-us/publications/national-statement-ethical-conduct-human-research-2007-updated-2018

https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2007

NT based registered Human Research Ethics Committees

https://www.menzies.edu.au/page/Research/Ethics_approval/

https://www.cdu.edu.au/research/ori/human-ethics

Managing potential distress

https://www.lifeline.org.au/

https://kidshelpline.com.au/

https://www.beyondblue.org.au/

Information statements and consent forms

https://www.menzies.edu.au/content/Document/Participant Information Sheet Guidelines 2017.pdf

Culturally safe research

https://aiatsis.gov.au/sites/default/files/2020-10/aiatsis-code-ethics.pdf

https://www.nhmrc.gov.au/about-us/resources/ethical-conduct-research-aboriginal-and-torres-strait-islander-peoples-and-communities

https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018

https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018

https://www.pc.gov.au/inquiries/completed/indigenous-evaluation/strategy/indigenous-evaluation-strategy.pdf

https://www.lowitja.org.au/page/services/resources/health-policy-and-systems/aboriginal-and-torres-strait-islander-leadership/Researching-Indigenous-Health-Guide

https://www.artslaw.com.au/information-sheet/indigenous-cultural-and-intellectual-property-icip-aitb/

Translators and interpreters

https://nt.gov.au/community/interpreting-and-translating-services/interpreting-and-translating-service-nt/about-interpreting-and-translating-service-nt

https://nt.gov.au/community/interpreting-and-translating-services/aboriginal-interpreter-service

Mandatory reporting

https://education.nt.gov.au/education/policies/mandatory-reporting-of-harm-and-exploitation-of-children

https://legislation.nt.gov.au/Legislation/CARE-AND-PROTECTION-OF-CHILDREN-ACT-2007

Working with children clearance

https://forms.pfes.nt.gov.au/safent/Apply.aspx?App=WWC

Planning for dissemination

https://www.pc.gov.au/inquiries/completed/indigenous-evaluation/strategy/indigenous-evaluation-strategy.pdf

Data, privacy and security

https://education.nt.gov.au/education/policies/data-access

https://infocomm.nt.gov.au/privacy/information-privacy-principles

https://legislation.nt.gov.au/en/Legislation/INFORMATION-ACT-2002

https://www.legislation.gov.au/details/c2014c00076

https://legislation.nt.gov.au/Legislation/CARE-AND-PROTECTION-OF-CHILDREN-ACT-2007

Cloud platform servers

https://infocomm.nt.gov.au/privacy/information-privacy-principles

Key assessment criteria

https://qed.qld.gov.au/our-publications/managementandframeworks/Documents/evidence/standards-of-evidence.pdf

https://edresearch.edu.au/

Document information

Document title	Research – guidelines and procedures	
Contact details	Department of Education	
Approved by	Executive Director, Strategic Policy, Projects and Performance	
Date approved	September 2021	
Document review	Annually	
TRM number	50:D23:90276	

Version	Date	Author	Changes made
1.0	December 2019	Research Subcommittee	First version
1.1	May 2021	TAL Team	Amendments due to change in governance structure and process, inclusion of standards of evidence and flow of document General Manager Strategic Services Approved September 2021
2.0	September 2023	Assistant Director Research, School and System Improvement Design	Administrative amendments to align roles and responsibilities to the structural alignment in effect from 1 July 2022, including NTG template and minor formatting