



**CATHOLIC
EDUCATION
MELBOURNE**

Policy 2.8: Researchers in Catholic Schools and
Access to Data on Catholic Schools

Appendix 1: CEM Requirements for Seeking Approval and
Conducting Research

Contents

1. Introduction	3
Distinctiveness of the CEM process	3
2. Research that requires CEM approval	3
3. Research that does NOT require CEM approval	3
4. Research that CEM is unlikely to support	4
5. Process for applying to conduct research.....	4
Preparing and submitting an application.....	4
Documentation	5
Review process.....	6
Outcome	6
Approaching schools	6
Amendments.....	6
Final report.....	6
6. Engaging schools in research	7
7. Benefit and Demand	7
Benefit and value	7
Burden.....	8
Incentives	8
Randomised controlled trials (RCTs).....	8
8. Sensitivities	8
Duty of care.....	9
School and sector comparisons	9
9. Consent	9
Bundling consent and using data in future research	10
10. Confidentiality and Privacy.....	10
11. Ethics committee approval.....	10
12. Need help?	10

1. Introduction

Catholic Education Melbourne (CEM) values high quality and ethical research that aims to improve the outcomes of students, staff and families in Catholic school communities.

Specifically, CEM welcomes research that:

- supports and improves student learning, wellbeing and engagement
- strengthens school leader, teacher and parent capability to support children and young peoples' learning and development
- encourages jurisdictions, government and community partners to reflect on and enhance their capability to better serve and lead schools
- seeks to engage schools as important and respected stakeholders in educational research
- contributes to the knowledge and capacity of the broader community to enhance the outcomes of children and young people, locally and globally.

The purpose of this document is to assist researchers plan their research project and submit an application to conduct research in Melbourne Catholic schools that meets CEM requirements and expectations.

Distinctiveness of the CEM process

CEM reviews research applications using a similar process to a Human Research Ethics Committee, in that we are guided by the [National Statement on Ethical Conduct in Human Research](#). However, as a jurisdiction focused on providing support and leadership to Melbourne Catholic schools, we also consider:

- how the research process may benefit Melbourne Catholic schools, and the value of the potential research outcomes to our schools and jurisdiction
- if the demand and interruption to schools may outweigh any potential benefit, or significantly disrupt the core work of schools (i.e. learning and teaching)
- the alignment (or possible misalignment) with the Catholic ethos, and CEM's strategic plan, programs and approach to supporting schools
- the potential risks to our schools and jurisdiction in the conduct of the research, reporting of findings, and achievement of CEM's mission and strategic priorities
- how potential risks will be prevented or minimised
- the appropriateness of conducting the research in a school setting.

2. Research that requires CEM approval

Applications to conduct research in Melbourne Catholic schools are required from:

1. all non-school based researchers
2. school-based researchers conducting research as part of a **PhD or professional doctorate**
3. all researchers wishing to conduct research that is deemed sensitive (see section 8. *Sensitivities* for details).

CEM approval is not an endorsement of the research, but an indication to schools that the project is ethically sound and meets CEM requirements as outlined in this document. Researchers with CEM approval can approach Melbourne Catholic schools, but it is the Principal's decision as to whether they agree for their school to participate in the research in any capacity.

3. Research that does NOT require CEM approval

CEM approval is NOT required from:

1. School staff undertaking research in their own school for the purposes of ongoing learning, reflection and improvement, and with no intention to publish the findings in the public domain.

2. Student researchers wishing to conduct research as part of **undergraduate study or postgraduate study at diploma, honours or masters level** IF the research:
 - a. is appropriate for a student researcher to conduct in school/s (i.e. the topic is not sensitive according to section 8. *Sensitivities*, and the methodology is not intrusive
 - b. is 'negligible' or 'low' risk research according to the [NHMRC guidelines](#), and therefore highly unlikely to raise concerns for participants, or the school community
 - c. is supervised by an experienced researcher, and given ethical clearance by the relevant institution
 - d. minimises any risk of participants being identified given the small sample sizes associated with student research.

Student researchers who meet all of the criteria in point 2 above can seek approval directly from the school Principal, however Principals have the right to request the student seeks CEM approval if they wish.

Principals', student researchers and/or supervisors can also seek CEM advice on any of these matters by contacting the Analysis, Policy and Research team on research@cem.edu.au.

4. Research that CEM is unlikely to support

CEM may decline or request changes to applications where:

1. the content of the research proposal may raise issues contrary to the ethos of the Catholic Church (e.g. sexuality, abortion, contraception, euthanasia)
2. the potential benefits of the research to Catholic education or the broader community are not demonstrated; or the research is for commercial, journalistic or marketing purposes
3. benefits of the research are outweighed by the demands placed on participants and school resources
4. required documentation is incomplete or inadequate
5. the study method is intrusive and/or inappropriate for the school setting, and has the potential to stimulate stress or risk-taking behaviour, or lead participants to incriminate themselves
6. the researcher lacks the experience or qualifications to conduct research on:
 - a. the private affairs of participants e.g. body image, mental health, family relations, sexuality; or
 - b. negative risk-taking behaviour e.g. under-age drinking, illicit drug-taking, violence, stealing, suicide
7. the research focuses on behaviour outside the experience and age range of the participants
8. there is an unacceptable level of risk to participants, schools and/or CEM
9. additional support is not provided in relation to matters that may negatively impact participants
10. confidentiality and privacy of participants is not adequately protected
11. inappropriate inducements are offered to participants or schools
12. schools and/or participants are not provided with adequate information, and appropriate consent is not sought.

5. Process for applying to conduct research

Preparing and submitting an application

Researchers must submit an online application through CEM's web-based [Research Register](#). For detailed instructions on this process, applicants should refer to the [Research Register User Guide for Researchers](#).

Firstly, the applicant must register as a new user of the Research Register, or log-in if they are an existing user. An online application form needs to be completed and all relevant documentation uploaded.

Documentation

Principal letter

Principal permission must be sought before the research can begin or any participants are contacted. Therefore, an introductory letter should be provided which clearly outlines: the purpose of the research; overall timeline; who the participants will be and what they are expected to do (i.e. methodology); time demand for each activity; and any school resources required. The letter should also indicate how the principal is to communicate their approval (e.g. attached consent form or reply email).

Information to principals should also include the research instruments, plain language statements, consent forms, and any other documents to be provided to participants.

Plain language statements

Plain language statements (PLS) should be provided for each participant type, and clearly state: the purpose of the research; what the participant will be asked to do; the time demand for each activity; how their data and identity will be protected; the process for withdrawing if they no longer wish to participate and/or want their data removed; and how to access follow-up support if the research has the potential to cause discomfort.

A parent PLS is sufficient for children and young people, however it is respectful for students to also have their own PLS, especially those in secondary school. If information statements are provided for students, they must be written in age-appropriate language.

Consent forms

Consent forms should be provided for each participant type and clearly outline the components of the research that the participant is consenting to. Avoid bundling consent wherever possible, so participants have the option of saying yes or no to a particular element, for example being video recorded or their data being used in future research.

Instruments

All research instruments (e.g. surveys, interview questions, observation framework) should be provided with the initial research application as they form an important part of the review process. Final versions are strongly preferred and are less likely to delay CEM approval.

Occasionally researchers may not be able to provide the final instrument because it is dependent on early research findings, however an indicative draft is still required. If the research topic and methodology is not sensitive nor intrusive, CEM may be able to provide approval on the draft versions. However, it is more likely CEM will request final copies are submitted before approval is issued, or that particular phase of the research commences.

Ethics approval

Ethics committee approval from the researcher's respective university or organisation is required before CEM will issue approval. Researchers are permitted to submit their application to CEM while their institution's ethics approval is still pending, however it is preferred that the research proposal and documentation submitted to CEM already incorporates ethics committee feedback.

If the researcher/s choose to submit to CEM and the ethics committee simultaneously, a copy of the institution's ethics approval and all revised documentation need to be submitted to CEM before final approval will be issued.

Expectations

It is expected that all documentation will have been proofread and edited before submission. CEM will not provide editing feedback, unless the information is confusing or misleading to schools or participants.

If the research is targeting school communities with participants who speak English as a second language, researchers should consider having plain language statements, consent forms and instruments translated into the participants preferred language.

Review process

The review process can take up to 6 weeks once a completed application has been submitted. The timeline can be shorter or longer depending on: the complexity and sensitivity of the research project; how quickly the researcher/s can respond to feedback and amendment requests; and the volume of CEM applications at the time.

Applications are reviewed using the [National Statement on Ethical Conduct in Human Research](#), as well as this CEM *Policy 2.8: Researchers in Catholic Schools and Access to Data on Catholic Schools*. Advice is sought as required from relevant teams across CEM, school staff, the CEM Research Committee and colleagues from other Australian jurisdictions.

Feedback is provided in the online Research Register, and researchers are notified by email to log-in to the system and respond to CEM queries and requests for change. The review and communication process is all conducted within the Research Register to ensure accurate records are maintained. If all requirements are addressed, the application is recommended for approval.

Outcome

Approve

The principal researcher and primary contact named in the online application will receive formal notification of the outcome via email. If the application is approved, the email will contain CEM's standard conditions of approval, as well as any additional conditions already communicated and agreed through the review process.

Decline

It is CEM's intention to work with researchers to approve applications that meet CEM requirements and have the potential to add value to participants, schools and/or the education community. Occasionally, an application will be declined if CEM requirements are not met as outlined in section 4. *Research that CEM is unlikely to support*, and/or if the research is deemed unsuitable for a school environment. The reason/s for declining the application will be clearly communicated to researchers via email and in the Research Register.

Withdraw

Researchers may wish to withdraw their application if they no longer need CEM approval or if they are unable to meet CEM requirements outlined during the review process. This can be actioned by the researcher from within the Research Register, or by sending an email to research@cem.edu.au. CEM can also withdraw an application if researchers do not respond to clarifications or change requests within six months of submission.

Approaching schools

Once an application is approved, researchers can approach principals in Melbourne Catholic schools inviting them to participate in the research. Principals then decide whether the research may add value to their school community and give informed consent, before the research can begin or any participant is approached. Please note, CEM does not play a role in promoting external research or recruiting schools.

Amendments

If researchers wish to make changes to their application, either before or after it has been approved, they are required to email research@cem.edu.au with: the project number; project title; name of the principal researcher; clear details of the amendments; and copies of any changed documentation.

For application's that are more than three years old, or the modifications are major, researchers will be asked to submit a new application.

Final report

It is a condition of CEM approval that researchers submit a summary of their research findings to CEM and participating schools at the conclusion of their study.

The final report should include:

- the title of the research
- the name of the principal researcher and their organisation or institution
- a summary/abstract of the research
- the rationale for the research and how it sought to add value to education
- the research questions and hypotheses that were explored
- a brief outline of the research design and methodology
- findings in relation to the research questions
- implications of the findings for schools and the broader education community.

6. Engaging schools in research

Schools are primarily sites for learning and teaching, and school leaders and teachers are understandably critical of activities that take them away from their core work. While educational research has great potential to add value to school communities, many requests to participate in research are turned down by schools.

Schools reported to CEM through the [Understanding School Engagement in Research](#) (USER) project in 2016 that they most often say 'no' to research requests because:

- the demand on their time and resources is too great;
- the timing is not right and the research would compete with other projects and priorities; and
- the research topic is not related to school and student needs.

Schools also reported through the USER project they are more favourable to research projects that:

- focus on topics that align with their priorities and school improvement goals (i.e. seen as relevant to them)
- are seeking to improve teacher capability and student outcomes, or at least have a line of site to this (i.e. believed to be relevant to the core work of schools and education generally)
- offer tangible benefits and outcomes (e.g. workshop for students, professional learning session for staff)
- are not too time consuming or burdensome on staff, students and families
- have a capacity building component for staff (e.g. professional learning), not just a data gathering exercise
- are led by researcher/s who understand and are respectful of the school context
- have clear and concise communications, where the purpose, benefit and demand are made clear upfront
- do not compete with other school demands (e.g. start/end of the year, report-writing time, NAPLAN)
- will provide school-specific feedback, or at least a copy of the research findings.

Given schools are critical stakeholders in educational research, researchers are encouraged to consider ways to meaningfully engage schools throughout the research process, and help them understand how the findings may impact on their school community.

7. Benefit and Demand

Benefit and value

It is expected that when researchers conduct research in Melbourne Catholic schools, they do so on the basis that the findings may assist to improve student outcomes, strengthen teacher and school leader capability, and increase school effectiveness. Research in areas beyond the immediate concerns of schools should be conducted only when it can be demonstrated that the findings may have a potential benefit for the participants themselves.

Schools reported through the USER project that while they value research and are willing to contribute to the endeavour of creating new knowledge, they are more willing to engage in research that has a direct benefit to them.

To enhance the benefit and value, researchers should consider and demonstrate:

- the gap in knowledge, understanding and practice the research is seeking to address
- how the research will add value to participants, schools, jurisdictions and the broader education community
- how they can work in partnership with school communities throughout the research process
- how they will communicate the findings and engage stakeholders in the potential implications.

Burden

CEM will consider the potential demand and burden of the proposed research project, including:

- the time, resources and coordination required from participating schools
- the effort and commitment expected from participants (i.e. staff, students and parents)
- the extent to which the research may disrupt regular school activity or divert attention from school priorities
- the potential risks to participants, schools and CEM, and the burden of managing those risks
- the burden of the review process on CEM and schools for overly complex research projects that do not have a clear purpose or benefit.

Incentives

To compensate for the time and resources a school may contribute to a study, researchers should consider what they might 'give back' to the school that is of educational value (e.g. educational books or resources, professional learning session for staff, interactive workshop for students).

CEM discourages the use of incentives (e.g. \$20 shopping voucher) as a recruitment strategy for attracting participants. Vouchers or monetary compensation may be appropriate when participants are required to give a significant amount of their own time or resources to participate in the research. However, the compensation amount/item should be proportional to the effort, and take into account the customs and practices of the school.

Randomised controlled trials (RCTs)

The use of RCTs in educational research is a debated topic that attracts different views from within the education and research communities. CEM acknowledges that RCTs may be an appropriate methodology for some educational research and can make an important contribution to the evidence-base. However, if a proposal includes an RCT in the research design, CEM will consider the demand on control groups/schools, as well as potential risks (e.g. cost of excluding a group from an intervention, and the likelihood of conflict or division arising between the groups).

Researchers proposing RCTs in their research design should consider:

- providing control group access to the intervention once the trial is complete and found to be successful
- providing a report of the data collected in a format that could be of use to schools
- offering professional learning to staff in the area of researcher expertise
- giving control groups priority in future phases of research or related programs.

8. Sensitivities

The following topics are considered sensitive and must be managed appropriately IF CEM approval is granted:

- body image, eating disorders, psychological disorders, depression, anxiety, self-harm, suicide
- sexuality, gender identity, sexual behaviour
- sensitive cultural issues, race, ethnic identity, religious beliefs or world views
- gambling, alcohol use, illicit drug use, criminal activity or anti-social behaviour
- disease or health issue (mental, physical or social)
- parenting strategies, including children and young people's attitudes towards parenting
- fertility, pregnancy.

A research project may also be deemed sensitive if the methodology is intrusive (either physically or emotionally), and if vulnerable participants are being recruited.

If researchers wish to conduct research in schools that is deemed sensitive, they must demonstrate:

- they have the necessary qualifications and experience to manage the research project
- they are aware of relevant ethical and legal obligations
- how potential risks will be managed without placing too much burden on the school
- how referral and follow up support will be provided if required by a participant
- how the school will be supported should the research reveal concerning findings
- the project has been reviewed and approved by a Human Research Ethics Committee (HREC).

Duty of care

The safety and wellbeing of students is paramount. If researchers wish to conduct any research activity on school grounds, they must present a valid Working with Children Check (from any Australian State or Territory) to the school principal before the research can commence.

If the research involves face-to-face interaction with students (e.g. interviews, focus groups, testing), such activities must take place in the presence of a teacher or other adult with legal duty of care, or in an open space in view of school staff. If at any time during a research project, a researcher identifies that a student may be at risk of harm, the researcher must report this information, including the identity of the student, to the principal.

School and sector comparisons

CEM does not support school or sector comparisons in the reporting of external research findings because it may lead to unfair judgement and scrutiny at the school or jurisdiction level, rather than focusing on the intervention, program or approach that was researched. CEM discourages analysing and reporting on evidence that may fuel public perceptions of some schools or sectors as 'better' or 'worse'.

9. Consent

CEM requires that active consent is sought for all participants in all but exceptional circumstances, and consent must be provided in written format. In the case of parents, not only is informed and active consent an ethical consideration, it is also an opportunity for schools to actively engage parents in a school-agreed activity.

When the research involves the participation of children or young people, consent must be provided by their parent/carer, in addition to the assent of the student. Children and young people must still be given the option to decline to participate in the research even if their parents/carers have provided consent.

In the case of participants or their parents/carers with limited English language skills, translated information and consent forms should be provided.

In very limited circumstances, CEM may consider and approve parent/carer passive or 'opt-out' consent after careful consideration of the following:

- size of the desired sample for research validity, and the practicality of gaining active consent
- sensitivity of the research, and whether parents could reasonably object to their child's participation
- methodology of the research and whether the data collected will be personal, sensitive and/or identifiable
- degree of risk or harm to participants, the school and/or CEM if parents believe they were not adequately informed or had sufficient opportunity to 'opt-out'
- maturity and/or vulnerability of participants and whether their assent/consent alone would be suitable.

On the rare occasion passive parent/carer consent is approved, researchers must:

- confirm with participating school principals that they are comfortable with a passive consent process

- ensure parent information and consent forms very clearly state and highlight it is a passive/opt-out consent process (e.g. bold relevant text, put consent information in a shaded box)
- work with the participating schools to ensure multiple communications are sent to parents, and adequate time is given for parents/carers to ask questions and/or 'opt-out'.

Bundling consent and using data in future research

Wherever possible, consent should not be bundled so participants are forced to consent to all, or none, of the components of the research. If there are elements that participants might be uncomfortable with, these should be listed separately with a yes/no option. For example, being video recorded, having their height and weight measured, or their data being used in future research. While CEM is supportive of unidentified data being shared in future-ethically approved research, participants should have the opportunity to say yes/no to this component.

10. Confidentiality and Privacy

Researchers must comply with the [Privacy Act 1988, Commonwealth](#), and protect the privacy, confidentiality and where possible anonymity of participants, both in the collection and storage of data.

If anonymity is not possible or guaranteed (due to audio or video taping participants, small sample size, collecting identifying information for longitudinal studies, tracking and data-linking purposes) then participants must be informed of this and confidentiality assured. Individual participants and schools must not be named in any reporting of research findings, unless explicit consent has been given.

Data should only be used for the purpose for which it was collected, and if researchers wish to use de-identified data in future-ethically approved research, they must seek active consent from participants.

Researchers need to outline in their application and information to schools and participants:

- how they will ensure confidentiality in the collection, analysis and storage of data, and in the reporting of research findings
- adequate processes for the secure storage of and access to data
- justification for any limitations to confidentiality and anonymity.

11. Ethics committee approval

It is expected that almost all applications to conduct research in Melbourne Catholic schools will be supported by approval from a Human Research Ethics Committee (HREC). According to the [National Statement on Ethical Conduct in Human Research](#), all research that is more than 'low risk' and/or proposes to collect personal or sensitive information, including physical, mental or psychological health data, must be reviewed by a formal HREC.

Researchers who are not based at a university or believe their research does not require formal ethical review, must justify why their research will not be accompanied by HREC approval. In addition, CEM may request the researcher/s provide a statement outlining how their research will be conducted ethically, addressing issues of: informed and voluntary consent, confidentiality and privacy, safe management of data, risk management and reporting of findings.

CEM approval is conditional on ethics committee approval from the relevant institution. While a researcher can apply to CEM and the HREC simultaneously, all changes and updated documentation based on HREC conditions need to be provided back to CEM for final approval.

12. Need help?

For any questions related to these CEM requirements or advice on preparing an application to conduct research in Melbourne Catholic schools, please contact the CEM Analysis Policy and Research team on 03 9267 0228 or research@cem.edu.au. See also, *Appendix 2: Researcher Checklist* for a helpful quick-reference guide.