

RESEARCH AND KNOWLEDGE EXCHANGE

Criteria for Performance Excellence		4 Knowledge Management	
Key Evaluative Question/s	3,5,6	Policy Number	4.02
Approval Date	May 2015	Approval Body	Academic Board
Next Review	September 2016	Policy Manager	Chief Executive/Research Project Manager

Controlled document - refer to online QMS for latest version

PURPOSE

To expand TPP’s research and knowledge exchange activities and capability, foster an institutional culture of improving learning, teaching and the student experience as well as supporting the professional development of staff. Creating and formalising a culture of research and knowledge exchange is increasingly important as TPP moves into teaching higher level programmes.

This policy will ensure that research and knowledge exchange activities undertaken at Tai Poutini Polytechnic are consistent, appropriate and conducted in an ethical manner.

DEFINITIONS

Appropriate protection

includes informed consent, avoidance of physical, mental or emotional harm, and avoidance of risk to business viability, confidentiality or intellectual property

Copyright

as stated in TPP’s Copyright policy, copyright is the legal protection of original works, regardless of whether the work is published or unpublished. Under the Copyright Act 1994, copyright automatically applies as soon as the work is put into material form- whether in print, stored on a computer or recorded in any way.

Degree

an award that recognises the completion of a course of advanced learning that is taught mainly by people engaged in research (Education Act 1989)

Lead Researcher

the person responsible for coordination and leadership when a research team is involved (see [Responsibilities](#) section below).

Intellectual Property

as stated in TPP’s Intellectual Property policy, intellectual property means and includes:

- Inventions patented or patentable under the Patents Act 1953;
- Designed resitered or registrable under the Designs Act 1953;
- Trade marks registered or registrable under the Trade Marks Act 1953 and trade marks or names protected at common law or under Fair Trading Act 1986;
- Layout designs for integrated circuits protected under the Layout Designs Act 1994;
- Copyright protected under the Copyright Act 1994 in original literary works (inluding computer programs), dramatic works, musical works, artistic works, sound recordings, films, broadcasts, cable programmes and typographical arrangements of published editions.

Knowledge Exchange

A twoway sharing of knowledge gained from research and experience that occurs both between tutors, non-teaching staff, students and the wider community, and is based on the concept of “moving knowledge into action”.

Activities may include:

- The provision of advice or opinion compatible with the definition of research (below);
- Educational resource development;
- Technical information services;
- Sitting on advisory boards;
- External secondments;
- Publishing;
- Organising/attending/presenting at conferences;
- Exhibiting or performing creative works;
- Other activities that are within the scope of knowledge exchange.

Output a body of work (book, journal, conference presentation, exhibits or performances) which can be reported as an outcome of research/knowledge exchange activity

Professional development

Any process or activity that provides added value to the capability of the professional through the increase in knowledge, skills and personal qualities necessary for the appropriate execution of professional and technical duties, often termed competence (Professional Associations Research Network, 2014)

Research

An intellectually controlled investigation that leads to advances in knowledge through the discovery and codification of new information or the development of further understanding about existing information, and practice. Research includes creative works such as an exhibitions and compositions.

There are two key definitions for research in New Zealand. The New Zealand Qualifications Authority (NZQA) definition which applies to educational institutions (New Zealand Qualifications Authority – February 1998) and the Tertiary Education Commission (TEC) definition which underpins the Performance Based Research Fund (PBRF). *This policy is based primarily on the [NZQA definitions for research](#).*

Research Participants

are the individuals who participate in research by being the target of observation by researchers

Social Science Research

in this context, research which involves humans as research participants

POLICY

1. The Education Act 1989 s254 (3a) requires that degree programmes be delivered mainly by people engaged in research. Accordingly, TPP will provide an environment where relevant degree teaching staff members are actively engaged in research, and that this research actively informs the teaching process.
2. TPP supports the:
 - research endeavours of its degree teaching staff to ensure the long-term investment and interest in research reflects TPP's commitment to degree programmes.
 - research and knowledge exchange activities of its non degree staff and non teaching staff, to reflect TPP's commitment to fostering the exchange of knowledge between the polytechnic and its communities.

3. All formal research conducted at Tai Poutini Polytechnic will be in a manner that meets the New Zealand Association for Research in Education ethical guidelines (refer to Appendix 4.02.1).

Management of research and knowledge exchange activity

4. New research and development projects of real or potential interest to local Iwi will, in their formative stages, be communicated for consultation through TPP's Te Kaiwhakahaere o Matauranga Māori.

RESPONSIBILITIES

5. The CEO will designate a senior staff member as **Research Project Manager**, who may be the Chair of the Research Committee, to:
 - manage overall TPP performance relating to research and knowledge exchange outputs;
 - resource support for research activity within budgetary constraints. That person will report progress to the CE monthly;
 - ensure appropriate involvement of TPP's Te Kaiwhakahaere o Matauranga Māori; and
 - oversee the collaboration with other ITPs or organisations on research and knowledge exchange activities.
6. **Research Committee** will:
 - support and oversee research initiatives at TPP;
 - consider proposals and make recommendations as to which research activities are undertaken at TPP;
 - champion a culture of research and knowledge exchange at TPP.
7. **General Managers** will monitor:
 - the research outputs of degree teaching staff within their areas of responsibility, and ensure that the outputs demonstrate compliance with this policy, including staff members meeting legislative requirements for teaching degrees;
 - staffing for research and knowledge exchange mentoring and/or co-ordination roles;
 - research is being used to inform teaching and learning in degrees;
 - at least 50 per cent of staff teaching in each degree are actively involved in research;
 - research links to business and community needs and there is clear evidence of community engagement .
8. The **Programme Leader** (in the case of degree teaching staff) or Line Manager (in the case of non-teaching staff) will be responsible for:
 - ensuring degree teaching staff develop personal research plans;
 - ensuring staff applying for funding or time allocations develop personal research plans;
 - allocation of time to support research activity;
 - monitoring progress in achieving planned outcomes .
9. A **Lead Researcher** (either a staff member or a student) is assigned to each research project prior to its commencement and is responsible for adherence to this policy and approved procedures. The Lead Researcher is responsible for ensuring research participants have read and understood this policy, their rights and roles within the research project and any consent forms are signed. Further, the Lead Researcher is responsible for ensuring the capacity of each potential participant to give such consent or assent to participant

10. **Research Participants** are responsible for reading and understanding this policy and associated documents, their rights and roles within a research project.

Planning & Performance

11. Research projects by staff members will not be supported unless they have a personal research plan approved by their line manager.
12. Each year **Programme Leaders** with responsibility for degree programmes, will present a Research Plan for their curriculum area to the Research Committee.
13. A **senior Librarian** will update annually the Research Register which identifies all research/knowledge exchange outputs and community service .
14. **All programmes and organisational areas which intend to conduct formal research** (which results in a research output) must first receive “approval in principle” from the Research Committee.
15. **The Research Committee** will monitor the progress of all research activity, provide ethical approval (where required) and awards from an annual research fund. This process will help to minimise any potential risks, ensure research quality and attain consistent research outputs for TPP’s portfolio.

Student research

16. Where the research components of a course(s) are:
 - less than two credits, the Research Committee delegates the approval in principle decision to the **Programme Leader** who will report to the next Academic Board meeting;
 - greater than two and less than 10 credits, the Research Committee delegates the approval in principle to the **General Manager**, who will report to the following Academic Board meeting;
 - 10 or more credits, the **Research Committee** must approve in principle the decision to commence the research project.
 - In all instances a Student Research Plan (form 4.02 A(v)) must be completed by the **student or the Tutor** on behalf of the class when all members of the class are undertaking the same research project.
17. **Any research activities undertaken by students** as part of their programme or course requirements must be supervised by an academic staff member.
18. The **supervisor** is responsible for ensuring:
 - the welfare of students, human participants and animals involved in the research;
 - ensuring that the appropriate research methodologies are employed;
 - any ethical considerations have been addressed; and,
 - Approval (as dictated in 15 above) is sought prior to the research project commencement.
19. The Research Committee will ensure (via the Lead Researcher) that participants of social science research projects are appropriately protected, that the roles and rights of those involved are clear and all risks or potential adverse effects of the research project are mitigated in accordance with institutional standards described in this policy.

20. The **Lead Researcher** will report quarterly to the Research Committee to demonstrate how these obligations are being met and to provide a quality check on progress.

SCOPE

21. This policy applies to all formal research projects conducted at Tai Poutini Polytechnic by staff and students.
22. TPP recognises that research activity is not confined to academic staff and supports research and knowledge exchange activities, as far as budgets permit, as part of professional development in any area of the institution.
23. TPP recognises Knowledge Exchange activities enhance TPP's credibility and reputation. Staff are encouraged to present research findings at conferences, workshops and/or seminars, both within TPP or externally. Staff will be encouraged and supported in presenting their knowledge, skills and successes in research and knowledge exchange to local schools, industry and community.

Note: Internal evaluative processes which ensure institutional/service quality outputs (e.g. student satisfaction surveys, culture survey and processes covered by other TPP policies) are not considered research within this context and are therefore excluded from this policy. Tai Poutini Polytechnic market research activities are also excluded from this policy.

RELATIONSHIPS

Internal:

- [Health and Safety policy](#)
- [Consolidated Code of Staff Ethics policy](#)
- [Professional Development policy](#)
- [Protected Disclosure of Information policy](#)
- [Records Management policy](#)
- [Privacy policy](#)
- [Te Ao Māori policy](#)
- [Research Committee Terms of Reference](#)
- [Intellectual Property policy](#)
- [Copyright policy](#)
- [Kaupapa Māori Research \(Māori Ethics, Protocols and Guidelines for Research\)](#)

External:

- [Education Act 1989 s254\(3a\) regarding degree programmes](#)
- [NZQA definition of "Research"](#)
- [Copyright Council of NZ and International Copyright](#)

Note: New Zealand is a party to various international agreements relating to copyright, including the Berne Convention for the Protection of Literary and Artistic works, the Universal Copyright Convention, and the Agreement on the Trade-Related Aspects of Intellectual Property Rights (the TRIPS Agreement).

PROCEDURES

[4.02 A How to gain approval for research](#)

[4.02 A.i. How to gain approval for research \(flowchart\)](#)

FORMS

[4.02 A \(i\) Risk Assessment for Research Projects](#)

[4.02 A \(ii\) Application for Approval of Research Projects](#)

[4.02 A \(iii\) Participant Informed Consent form](#)

[4.02 A \(iv\) Professional Development and Research Plan form](#)

[4.02 A \(v\) Research Plan \(Student\)](#)

[4.02 A \(vi\) Research Outputs Reporting](#)

[4.02 A\(vii\) Confidentiality Agreement for Research Projects between TPP and a Third Party](#)

APPENDICIES

[4.02.1. New Zealand Association for Research in Education Ethical Guidelines 2010](#)

REFERENCES

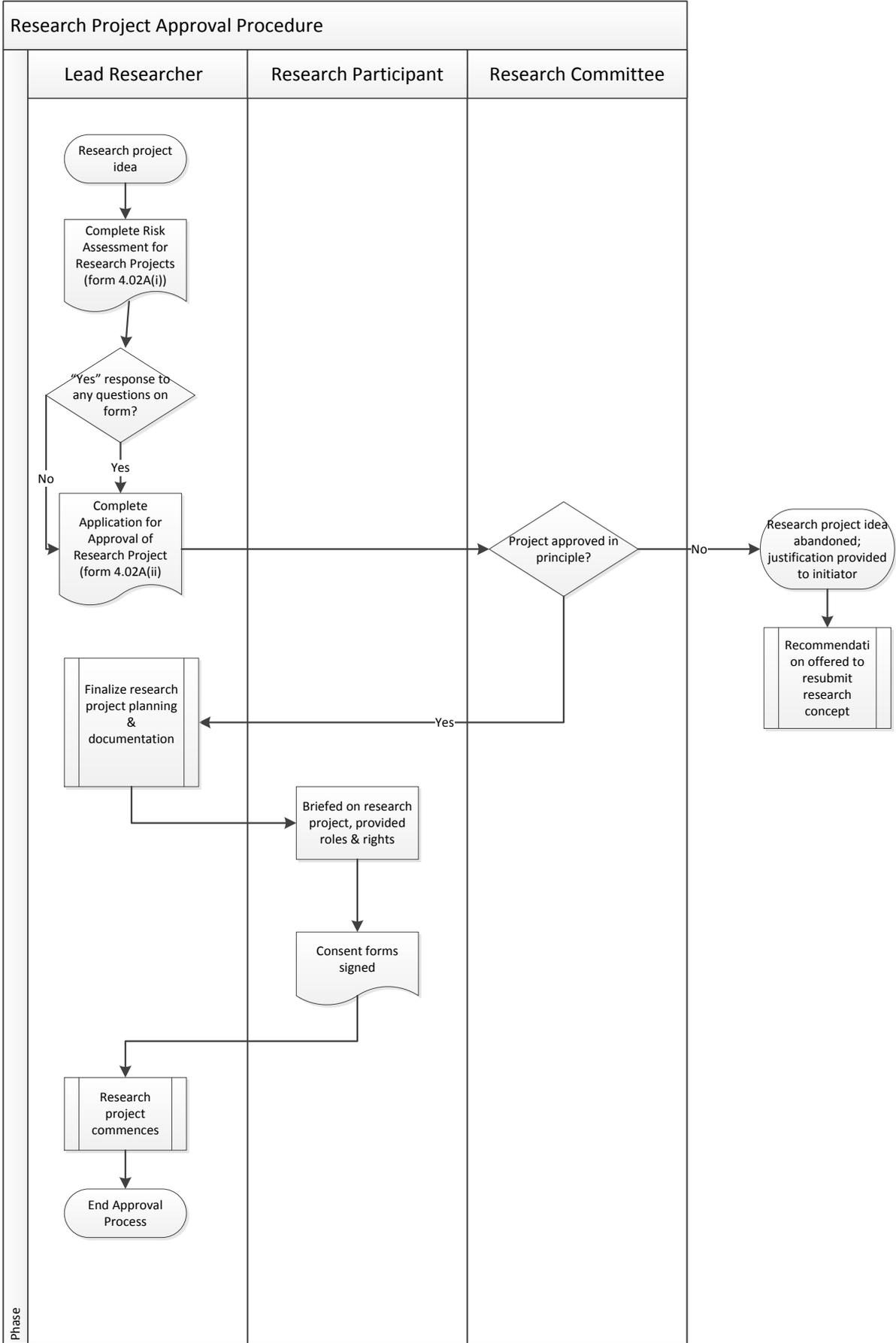
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How to gain approval for a research project

PROCEDURE

1. Research applications may be made by individual students, by a staff member, or by the Tutor on behalf of the class when all members of the class are undertaking the same project.
2. Applicants will complete a Risk Assessment for Research Projects (**form 4.02 A(i)**), to consider any potential risks associated with the project. If any questions or issues arise, consult the Research Committee for guidance.
3. Applicants will then complete an Application for Approval of Research Project (**form 4.02 A(ii)**) which must be received prior to the commencement of the research project.
4. Both completed forms will be sent to the Research Committee. The Research Committee will respond forwarding a letter of approval. This letter must be received prior to the project commencing.
5. If the Research Committee does not approve a research proposal, a justification for the refusal and/or the opportunity to provide further information will be provided.
6. Once approved, the research project planning and documentation may commence.

How to gain approval for a research project (flowchart)



New Zealand Association for Research in Education Ethical Guidelines 2010

1. Overview

1.1 These ethical guidelines supersede all previous ethical guidelines of the New Zealand Association for Research in Education (the 'Association'), including the previous revision in December 1998.

1.2 These guidelines acknowledge the principles of the Treaty of Waitangi, including active protection of tikanga Māori, te reo Māori me ōna tikanga, and tino rangatiratanga or Māori self-determination. It is the duty of educational researchers to consult meaningfully with tangata whenua on all research that concerns Māori. And to ensure that research maintains the integrity of Māori. The guidelines also acknowledge the United Nations Declaration on the Rights of Indigenous Peoples.

1.3 The guidelines articulate a set of principles to guide the decisions and practice of all members of the Association in their dealings with one another, the research community, institutions and organisations and people who are the focus of their educational research. Researchers should have a clear understanding of their duties and responsibilities to themselves and others while undertaking research.

1.4 The prime activity of the members of the Association is to develop and implement research that seeks to affect educational knowledge, goals, policies, practices, services, facilities or justice in beneficial ways. Such research should be carried out with care, and with genuine respect for research participants and their educational communities.

1.5 The guidelines are underpinned by understandings of Aotearoa New Zealand as (a) locally, a linguistically and culturally diverse state; (b) regionally, in the Pacific; and (c) globally, part of an increasingly networked society.

1.6 The guidelines are responsive to: the acceptance of diverse research approaches and philosophies; the influence of new research technologies; the proliferation of the internet and social networking communities; and the growth in contract research and evaluation.

1.7 The guidelines are not intended as prescriptive rules, but to assist members in making good, informed choices about the conduct of their research in complex educational settings with multiple constituencies. All members of the Association are expected to strive to protect the integrity and reputation of the field of educational research in Aotearoa New Zealand by ensuring they conduct their research to the highest standards.

1.8 Educational researchers proceed from a wide range of theoretical approaches, research methods, paradigms and goals. Association members are expected to engage with and examine different perspectives in a spirit of genuine curiosity and enquiry.

1.9 With due consideration of the public's right to know, researchers should avoid bringing the research community into disrepute by public accusations or allegations about the research conduct of others. Suspected research misconduct (including fabrication, falsification or plagiarism) should in the first instance be reported confidentially to the relevant research authority (e.g. funder, employer, and publisher) for investigation.

1.10 The strength of these ethical guidelines will lie in their common adoption and use by educational researchers. Recognising that members of the Association act in diverse study and working contexts, and conduct research for a variety of ends, it is assumed that these guidelines will be read in conjunction with relevant organisational guidelines and codes promulgated by professional bodies.

1.11 Ethical decisions concerning the conception, design, commission, conduct, reporting and dissemination of educational research are based on a range of moral foundations and different kinds of reasoning. There will rarely be total agreement on these matters among all members of the Association and sometimes ethical principles may be in mutual conflict.

1.12 The guidelines provide the basis for collegial dialogue and rational analysis when conflicting ethics are presented during the course of the research. Ethical dilemmas may occur at any stage of educational research, from conception to dissemination. Whenever dilemmas occur, they require reflexive consideration and resolution by researchers.

1.13 Researchers are expected to discuss the ethics of their proposed research with suitably qualified and experienced peers. Where the risks of harm in a proposed research project are considered to be greater than those found in routine educational activity, researchers should make special efforts to either seek formal, independent ethical review (in the case of their own proposals for research), or assurances that this has been undertaken (in the case of contract or collaborative research proposals).

2. General Principles

2.1 Educational researchers should seek at all times to avoid harm and do good. Members of the Association may undertake research only on topics and using methods where they have the requisite knowledge, skills and experience. Educational research aims to advance knowledge and consequently should be worthwhile, not trivial or repetitive.

2.2 Members of the Association are guardians of the integrity of educational research in Aotearoa New Zealand. This requires an appreciation of and commitment to the nurturing of both established and emerging educational research traditions in the Aotearoa New Zealand context.

2.3 Members also have a specific commitment to encouraging and facilitating research by Māori, research in te reo Māori, and research that promotes the aspirations of Māori.

2.4 In the conception, design, conduct, reporting and dissemination of the research there should be thoughtful concern for the rights and interests of all the individuals, groups and institutions

involved and affected by it.

2.5 Researchers should develop relationships based on trust and mutual respect. This is particularly important in research that seeks to question participants' educational beliefs or practices.

2.6 The rights and welfare of learners, research participants and the public should take precedence over the self-interest of members of the Association or the interests of employers, colleagues or other special interest groups.

2.7 Those involved in the commission or conduct of educational research are expected to identify and declare actual or perceived conflicts of interest, and to ensure that such conflicts are independently reviewed, mitigated and managed.

2.8 All research work should be conducted and reported objectively and frankly, without prejudice. Due note should be taken of limitations in techniques and the influence of particular theories and ideologies in research.

2.9 There should be in all aspects of research a spirit of open enquiry and open discussion. With due care for participants, both positive and negative information should be reported fully. Researchers also have a duty to consider alternative explanations for their findings.

2.10 Research findings should be expressed in ways that are readily understood by those with an interest in them. The dissemination of findings should seek to maximise the beneficial effects of educational research.

2.11 Opinions unsupported by evidence should be clearly distinguished from research findings. Researchers should endeavour to ensure that their research findings are reported and interpreted accurately by others.

3. Principles Relating to Research Participants

3.1 Harmful Effects and Unintended Consequences. Researchers have a specific duty of care to research participants: to avoid unnecessary anxiety or harm to participants, groups or communities by the research procedures that are used, by the details in the research reports, or as a consequence of participating in the research.

3.2 Informed consent. Before participants make a decision about their involvement in a project they need to be given a clear description of why the research is being undertaken, what it involves, how it will be reported, and the extent of public availability. Their consent to being involved should then be sought without undue pressure or persuasion and they should have the right to withdraw at any time. In some research exercises, it may be appropriate for both the group or community and individuals to consent to participate.

3.3 Capacity to consent. Researchers should consider the capacity of each potential participant to give consent or assent to participate. In any research involving participants whose capacity is uncertain, consent should also be sought from parents, whānau, or someone else who has authority to give it. Typically, in research that involves young children, parents or caregivers are also asked for their consent.

3.4 Hidden purposes. If the real purpose of the study cannot for good reason be told to the

participants, then independent review should be undertaken to ensure they are not harmed in any way by the proposed research procedures. Appropriate debriefing procedures must be used at the first opportunity with participants when the study has been completed.

3.5 Adverse effects. If there are any doubts or unknowns concerning the effects of a research procedure on participants, active steps should be taken to protect them from any kind of harm and to get the consent of all parties concerned after the possible risks have been explained to them. If adverse effects are encountered during the course of a research exercise, it should normally be terminated as soon as is practicable in order to avoid further harm.

3.6 Confidentiality. Confidential information should be stored securely and de-identified whenever practicable. Any individual information or other private matters should be kept strictly confidential, to the extent permitted by the law. Researchers should inform potential participants of any circumstance in which there may be a legal, contractual, or professional obligation to disclose confidential research information.

3.7 Use of identifiable information. If permission is to be sought by the researcher to retain and use identifiable information for other purposes, participants should be made fully aware of all intended uses of the information, for what period of time, and the potential effects of such use.

3.8 Time taken. When research projects take time away from regular teaching and learning activities, care should be taken that such actions do not hinder the participant's educational progress.

3.9 Institutional responsibilities. Researchers should not recruit participants from educational settings simply for convenience. Where any institution or community grants access to potential participants in a research exercise, all that community's requirements and responsibilities in this matter should be openly acknowledged and respected by researchers.

4. Principles Relating to Research Personnel

4.1 Duty of care. Members of the Association belong to a research community in Aotearoa New Zealand. All members have a specific duty of care to other research personnel such as colleagues, novices and students enrolled in research training degrees.

4.2 Awareness. Everyone associated with a research exercise should be aware of its purposes, its methods and the uses to which research information will be put before they become involved in it. This is particularly important in team or contract research where Association members may not have participated fully in the conception and design of the exercise; or where participation in a funded intervention or evaluation may be a contractual requirement.

4.3 Training. No one should be involved in collecting data on complicated or sensitive research topics unless they are suitably trained or are being trained and supervised by a qualified person. It is expected that training in research ethics will be an explicit part of any research personnel education programme.

4.4 Education. Senior researchers should as a matter of course provide opportunities and continuing education for novice researchers and research assistants. This education may take place formally within a particular project, research group or institution; or less formally among groups of educational researchers with common interests. Senior members of the Association who are more

likely to have access to established national and international networks of colleagues have a particular obligation in this regard.

4.5 Research Assistants. Research assistants, including students and sub- contractors, should have the relevant parts of these ethical guidelines drawn to their attention especially as they relate to confidentiality and respect for privacy.

5. Principles Relating to Research Findings

5.1 Ownership. Intellectual property rights including the right to publish, disseminate and further develop research findings should be clarified, agreed and documented at the outset of any research project. This is particularly important in the case of contract, team or supervised student research; or research that involves specific cultural communities who possess unique knowledge; or collaborative research on education practitioners' work.

5.2 Peer review. Researchers should make draft reports of research available for critical review by participants and other scholars in the same field. Educational research should not be publicly disseminated unless it has been subject to independent review.

5.3 Impact. Researchers have a basic duty to disseminate the findings of their research to appropriate scholarly, professional and community constituencies. This helps to ensure that research both challenges inappropriate educational conventions and encourages the widest adoption of new educational wisdom.

5.4 Availability. Members of the Association should exercise considerable caution in commissioning or entering into research contracts which do not permit the open dissemination of research findings within a reasonable period of time.

5.5 Acknowledgement. There should be a ready acknowledgement of all forms of assistance given to a research project including all sources of funding or patronage, and specialist expertise.

5.6 Reciprocity. Participants and institutions involved should normally be given a report of research findings both as a courtesy and to enable them to benefit, directly or indirectly, from their willingness to facilitate the research exercise.

Revised December 2010