

Research and Knowledge Transfer

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Applies From:	Immediately

Authorisation:	Academic Board
Officer Responsible:	Director, Academic

1 Introduction

1.1 Purpose

The purpose of the policy is to support and foster a culture of creative, applied research, scholarship and innovation activity which inspires teaching and learning, Research activity adds value to Ara Institute of Canterbury¹, New Zealand's economy and addresses environmental and social challenges, particularly in the Canterbury region. The policy ensures that Ara complies with the Education Act, s253B, external academic regulations and requirements.

1.2 Scope and Application

This policy applies to all research and knowledge transfer projects undertaken by Ara staff, contract researchers, students, and outside bodies/persons. It relates to NZQA Approval and Accreditation of Courses Leading to Degrees and Related Qualifications (2014) and to implementing TEC and Ara Strategies.

1.3 Formal Delegations

- a The Ara Council delegates the Academic Board to:
 - i Approve new and existing programmes and courses which are in accordance with the Ara Strategic Plan and Investment Plan
 - ii Admit students to approved programmes and courses
 - iii Grant awards
 - iv Develop, monitor, review and maintain policies on academic matters, including research
- b The Director, Academic Services has financial accountability for the central Research Fund.
- c Various other delegations are held by specified persons/bodies (e.g. Research and Knowledge Transfer Manager, Director Academic Services, Academic Research and Knowledge Transfer Coordinator), as set out in the Research Responsibilities /Delegations attachment to this policy.
- d The Human Ethics Subcommittee has delegated authority to consider all research projects that involve human subjects to ensure that the rights and interests of research project participants, Ara staff and students are protected, and to provide ethics clearance on behalf of the central Research and Knowledge Transfer Committee (refer

¹ From herein referred to as Ara

subcommittee terms of reference). Research involving ethical issues outside the expertise of this Subcommittee (e.g. using animal subjects) is to be considered by an appropriate ethics body.

1.4 Definitions

- a **Knowledge Transfer:** Partnerships between industry, public and tertiary institutions, which add to value to the economy and enhances society and the environment through transfer of knowledge and expertise.
- b **Research and Knowledge Transfer Committee:** (referred to as 'the Committee' or RKTC) a Committee set up by the Academic Board to provide governance and direction on research matters.
- c **Ara Research and Knowledge Transfer Office:** The central administrative and support service, managed by the Manager of Research and Knowledge Transfer within the Academic Division.
- d Research is defined by the New Zealand Qualifications Authority (Approval and Accreditation of Courses Leading to Degrees and Related Qualifications, April 2014, p11).

Research is original investigation undertaken in order to contribute to knowledge and understanding and, in the case of some disciplines, cultural innovation or aesthetic refinement. It typically involves enquiry of an experimental or critical nature driven by hypotheses or intellectual positions capable of rigorous assessment by experts in a given discipline.

It is an independent, creative, cumulative and often long-term activity conducted by people with specialist knowledge about the theories, methods and information concerning their field of enquiry. Its findings must be open to scrutiny and formal evaluation by others in the field, and this may be achieved through publication or public presentation. In some disciplines, the investigation and its results may be embodied in the form of artistic works, designs or performances.

Research includes contribution to the intellectual infrastructure of subjects and disciplines (e.g. dictionaries and scholarly editions). It also includes the experimental development of design or construction solutions, as well as investigation that leads to new or substantially improved materials, devices, products or processes.

It is expected that research will be exposed to peer scrutiny.

At Ara research is focused on creative and applied research. Work that involves the routine application of established techniques on routine problems is unlikely to constitute research but may be knowledge transfer.

- e Fast track projects – these are projects which do not need technical review and include:
 - i. Contracts for research or knowledge transfer
 - ii. Masters projects
 - iii. Masters and PhD theses
 - iv. Contracts/invitations for quality assured exhibitions or performances or participation in a festival programme
 - v. External Knowledge Transfer Projects

Note: The approval process will ensure ethics approval has been obtained if required.

- f Knowledge Transfer Activities include

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- i. Consultancy, which involves the deployment of existing knowledge and the application of analytical and investigative skills to the resolution of problems presented by a client, usually in an industrial, commercial or professional context.
- ii. Professional practice, some of which overlaps with consultancy when conducted at an advanced level. In certain subject areas and professions, the theorisation and effectiveness of professional practice are advanced by academic staff who practise and participate in it.

These may be considered research if they meet the definition of research above.

- g **Human Ethics Subcommittee:** Sub-group set up by the RKTC to evaluate the ethics related aspects of research proposals and provide ethics clearance for projects involving human participants.
- h **Department Board of Studies:** Board set up within each department with delegated authority from Academic Board for management of academic activity within the department.
- i **Research Development Forum:** is an operational group tasked with ensuring the successful development of a research culture at Ara. This forum reports to RKTC.
- j **Department RKT sub committees:** Committees that are set up by the Board of Studies within each department which delivers degree or post graduate qualifications to support and report on the RKT activities within that department. It is recommended that all Departments which deliver a degree have a Department RKTC or are members of an existing one.
- k **Performance Based Research Fund (PBRF):** Government level fund, managed by the Tertiary Education Commission, to reward research excellence.
- l **ORCID (Open Researcher & Contributor ID):** provides a researcher with a unique identifier which is linked to their published research outputs and activity and generates an external, searchable record of their research activity.

Related Ara Procedures and Forms

- APP803a Research Responsibilities/Delegations
- APP803b Code for the Responsible Conduct of Research
- APP803c Research Project/Program Application
- APP803d Conference Application
- APP803e Publication Incentive Grant Application
- APP803f Dissemination Incentive Grant Application
- APP803g Project/Program Grant Application
- APP803h Approval for use of an Incentive Grant
- APP803i Supervision for Higher Qualification Grant Application
- APP803j Evaluation Project Application
- APP803k Research Literature Review Application
- APP803l Externally Funded Research Application
- APP803m Technical Review Checklist
- APP803n Project/Program Change form
- APP803o Annual Research Plan
- APP804b Model Consent Form for Research with Students
- APP804c Model Consent Form for Research Involving Interviews
- APP804d Model Consent Form for Anonymous Questionnaires
- APP804e Model Consent Form for Focus Groups
- APP805a Supervision Contract

Related Ara Policies

- APP203 Academic Board Terms of Reference
- APP303 Board of Studies Membership and Terms of Reference
- APP801 Research and Knowledge Transfer Committee Membership and Terms of Reference
- APP804 Research Ethics
- APP805 Postgraduate Thesis and Research Project Supervision and Examination Policy
- APP806 Postgraduate Board of Studies Membership and Terms of Reference
- APP807 Postgraduate Thesis Guidelines
- CPP206 Financial Support for Obtaining Higher Qualifications
- CPP208 Resolving Staff Performance or Conduct Issues

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<ul style="list-style-type: none"> • APP805b Postgraduate Research Project Application Form • APP805c Model Consent Form for Postgraduate Research Interviews • APP805d Model Information for Postgraduate Research Participants • APP805e Progress Report Form • APP805f Thesis Submission Form 	
<p>Related Legislation or Other Documentation</p> <ul style="list-style-type: none"> • NZ Qualifications Authority (Approval and Accreditation of Courses Leading to Degrees and Related Qualifications, ITP Quality, 2014) • Current TEC Strategy • PBRF Guidelines • Collective employment agreements 	<p>Good Practice Guidelines</p> <ul style="list-style-type: none"> • HR Guidelines For The Allocation And Management Of The Annual Workload Of Academic Staff • APP803b Code for the Responsible Conduct of Research • APP804a Ethics Guidelines • Guide for Researchers
<p>References</p>	
<p>Notes</p> <p>a) In April 1991, the (then) Christchurch Polytechnic Council delegated to the Chief Executive (CE) responsibility for the operation of the Academic Board, in accordance with s182.2 of the Education Amendment Act 1990. It also delegated to the CE power to sub-delegate specified functions and powers.</p> <p>b) In 1992, a temporary central position (Academic and Research Adviser) was created to provide policy direction and assistance on a range of matter related to external quality assurance requirements, including research. The position was expanded in to a permanent senior level position (now Academic Director) in 1994.</p> <p>c) 12 March 1992 The Academic Research Committee was established with specified responsibilities under delegation from the Board. The Terms of Reference were amended in September 2011 and the name changed to Research and Knowledge Transfer committee (RKTC).</p> <p>d) The Dean of Research position, (Manager since 2010), reporting to the Academic Director, was created in 2000 to help with the expanded workload. It is now a full time tenure position.</p> <p>e) April 2007, Faculty Research Committees had delegated authority to approve research projects/programs for staff and students within the designated discipline area, subject to ethics clearance being obtained from the central Human Ethics Sub-committee. Following the disbanding of faculties (March 2012), this delegated authority returns to the central RKTC. Ara entered the Performance Based Research Fund process in its second round (2006) and participated in 2012.</p> <p>f) November 2015 Alignment to current planning process, streamline approval processes and update reporting processes.</p> <p>g) April 2016 – new branding</p> <p>h) August 2016 – addition of forms not previously linked to the policy. Inclusion of information relating to Postgraduate Board of Studies and the revised Research and Knowledge Transfer Committee Membership and Terms of Reference.</p>	

2 Principles

Research and knowledge transfer will be undertaken in accordance with the following principles:

- 2.1 Activities will align with the institute's strategies, plans, and relevant government strategies.
- 2.2 Activities will produce quality outputs which impact positively on stakeholder outcomes.
- 2.3 Activities will maximize the benefits of the institute's investment in research and knowledge transfer.
- 2.4 Projects are mostly developed through partnerships with industry and stakeholders.
- 2.5 Staff and students have appropriate support for research activity and emerging researchers are mentored.

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3 Associated procedures for Ara Academic Policy on: Research and Knowledge Transfer

Contents:	3.1	Plans
	3.2	Approval of Research Undertaken by Staff on Internal Projects
	3.3	Approval of Research Projects Undertaken by Students
	3.4	Approval of Research Undertaken Contract or by External Bodies
	3.5	Allocation of Internal Research Grants
	3.6	Expected Research and Knowledge Transfer Outputs
	3.7	Records and Reporting
	3.8	Performance Based Research Fund (PBRF)

3.1 Plans

- a The Ara Functional Research Plan and Ara Operational Research Plan are developed by the Research and Knowledge Transfer Committee through consultation as part of the institute's planning process.
- b A rolling three year Departmental Research and Knowledge Transfer plan will be developed by each department that delivers degrees. The Plan will align with the Ara strategic plan, relevant Functional, and Operational plans, especially the Research Plan. This Plan is revised annually.
- c The Department Research Plan is approved by the RKTC and the Department's Board of Studies. Progress is reported each semester against this plan.
- d All staff identified as being required to do research, produce an annual individual research plan according to research time allocation, which is approved by the Heads of Department (or Division Directors). Copies of signed plans are sent to the Research Office. Applications for approval of research or grants require submission of the individual's research plan.

3.2 Approval of Research Undertaken by Staff on Internal Projects

- a The central RKTC is responsible for managing the approval process on behalf of the institution. Approval of research projects and programmes, as defined under this policy, is required if:
 - i. The researcher plans to use Ara resources (e.g. staff time, space, equipment, facilities) or to appoint Ara staff or students as research assistants *and/or*
 - ii. The research is conducted in the name of the institution *and/or*
 - iii. The results will be published or disseminated outside the institution and identified as being associated with Ara *and/or*
 - iv. The project receives funds from Ara or an external source under the auspices of Ara *and/or*
 - v. It involves any human/animal subjects connected in any way with Ara.
- b Approval of research projects/programmes is delegated from RKTC to the Academic Director, Research and Knowledge Transfer Manager and the Director Education and Applied Research.
- c Internal projects are for a maximum three year term and programmes cover a maximum five year term, with six years for a PhD. An extension for a PhD is possible if the University, Division Director and Head of Department agree.
- d Each internal research proposal will be assessed on the strategic alignment, track record, technical review, and benefit to Ara. Information will include the team tasks,

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collaboration, stakeholder(s), industry partner(s); funding (in-kind and cash from Ara and stakeholder/industry partner), outputs, expected outcomes, milestones, budget, staff time allocation and where relevant, student involvement.

- e Where staff are doing a Masters or PhD thesis, under 3.2a, the thesis will need approval, and will align with Ara strategic goals, plans and themes.
- f Heads of Department (or Division Directors, as appropriate) are responsible for endorsing proposals (internal or external) after checking their alignment with relevant functional and operational plans, evaluating the implications of any release from other duties or other resource implications within the department, managing progress and the research outputs.
- g Technical review of internal projects and programmes is required. The Department Research and Knowledge Transfer Committee delegates the review to a person(s) who can provide an appropriate level of technical review. The reviewer will recommend acceptance/modification/rejection of the proposal. The applicant has the right of reply to any issues raised by the reviewer(s).
- h The Human Ethics Subcommittee is responsible for evaluating the ethics related aspects of proposals and providing ethics clearance for projects involving human participants. If a staff member is undertaking supervised research as part of his/her enrolment in a tertiary level qualification or under the auspices of another research body, evidence of ethics approval from that institution/body is submitted to the Ara Human Ethics Subcommittee. Any ethical issues falling outside the expertise of this subcommittee (e.g. animal subjects) must be considered by an appropriate ethics body.
- i Heads of Department are responsible for monitoring research and knowledge transfer activity to ensure compliance with internal and external requirements.
- j Research of an administrative/management nature (e.g. marketing research, consultation surveys, evaluation) undertaken for internal use is not classified as 'academic research' and therefore is not subject to the approval requirements set out in this policy. Standard research practices, including the professional handling of any ethical considerations, are still expected. The RKTC and Manager of Research and Knowledge and Transfer or Academic Services Division are available for advice if requested. Evaluation may require ethics approval. The Chair of the Human Ethics Subcommittee can advise.
- k Serious misconduct related to any research activity is addressed according to the stated procedures in the *APP804 Research Ethics Policy*, *APP803b Code for the Responsible Conduct of Research* and the *CPP208 Resolving Staff Performance or Conduct Issues Policy* if relevant.

3.3 Approval of Research Projects Undertaken by Students

- a Undergraduate Research
 - i Approval of student research projects is required from a minimum of two staff delegated by the Department Research Committee, one of whom is the supervisor. The Department Research Committee's process will ensure that the supervisors have appropriate experience, or are mentored, as required under the *APP803b Code for the Responsible Conduct of Research*. Approved projects will be recorded and provided to the Department Research Committee.
 - ii If a project involves human subjects, or if there are other ethical considerations, the research proposal also requires ethics approval. Where the ethics risk is low, and before the assessment is introduced to the course for the first time, the Department's student ethics approval process for low risk projects must be approved by the Human Ethics Subcommittee.

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- iii. Once approved, the Department can approve subsequent student projects which are low risk ('generic approval'), provided they fit within the criteria of the processes approved. For each low risk student project, the student must have the written approval of at least two staff delegated by the Department Research Committee, including the main supervisor, before any contact with subjects. If the project is outside the criteria for 'generic approval' it must receive approval from the Human Ethics Subcommittee.
 - iv. The Department Research Committee will monitor that the process is implemented. Generic ethics approval for the process lasts for a maximum period of five years. If there are changes to the process, a new generic ethics approval is required from the Human Ethics Subcommittee.
 - v. Documentation of the approval process, with the approval criteria and limitations, model information and consent forms will be provided to support application to the Human Ethics Subcommittee for generic approval.
- b Postgraduate Research
- i. Student Research projects will be approved by the Department Research Committee and the approval copied to the Programme Leader. The Postgraduate Board of Studies will endorse the approval.
 - ii. Where a project involves human subjects, or if there are other ethical considerations, the research proposal also requires ethics approval. It will be submitted by the supervisor to the Human Ethics Subcommittee for approval. The process and documentation is provided in *APP805 Postgraduate Thesis and Research Project Supervision and Examination Policy*, procedures and forms.

3.4 Approval of Research Undertaken Under Contract or by External Bodies

- a Research undertaken by external bodies or under contract to Ara is subject to the procedures and requirements described in Sections 3.2 (a, b, f, h, i, and j) and 3.3.
- b Approval for proposals for research contracts, or Knowledge Transfer projects is given by the Manager of Research and Knowledge Transfer and Academic Director, in consultation with the Head of Department and is subject to the procedures and requirements described in Sections 3.2 (a, f, h, i, and j) and 3.3.
- c In all cases, the impact on teaching and learning is taken into account. Every effort will be made to allow diversification of funding, however, permission to proceed may be denied if the likely disruption is unacceptable.

3.5 Allocation of Internal Research Grants

- a Only approved projects/programmes are eligible for an internal research grant. Funding decisions are made by the Director Academic and Manager of Research and Knowledge Transfer and reported at the RKTC meetings. If the project/programme was not approved before commencement of the research, it will not be eligible for grants, unless it was commenced before employment at Ara.
- b Criteria for eligibility for Ara grants must include strategic fit, benefits to Ara and how the grant produces outputs and outcomes aligned to Ara strategic and functional plans. Criteria are approved by the RKTC. The Research and Knowledge Transfer Office determines the application procedures. Staff members may apply for a grant. Priority is given to those teaching in degree/graduate programmes or degrees under development.

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- c The Research Fund is managed by the Research Co-ordinator and administered by the Academic Services Division. An annual budget is provided through the institute's annual budget round via the Academic Services Division and will include the income from PBRF funding.
- d All obligations and conditions attached to grants are noted on the application form or communicated to researchers when the grant is approved. Staff are responsible for meeting these obligations/conditions, including any reporting requirements. They also are responsible for entering relevant details into the RKT database (refer Section 3.7b). Further grants may not be awarded if conditions of previous grants are not met.

3.6 Expected Research and Knowledge Transfer Outputs

- a Ara management acknowledges that the expected research and knowledge transfer outputs vary according to factors such as the conditions under which the staff member is employed, the amount of degree/graduate level teaching undertaken, the specialist areas and/or level the person teaches in, the person's research experience/qualifications and the magnitude of the person's other responsibilities (e.g. Programme Leader, Head of Department). Ara management also acknowledges that research and knowledge Transfer activity is likely to vary from year to year, depending on staff time and available resources.
- b Research output expectations for individuals with research time are established in discussions with HoD and the relevant line manager with guidance from Human Resources policies and procedures. Staff with allocated research or knowledge transfer time are expected to achieve agreed outputs, or milestones against their approved individual research plan. Guidelines around the expectations associated with different research time allocations and the quantity and quality of research outputs and PBRF engagement are in Research Matters.
- c Heads of Department are responsible for ensuring that the quality and quantity of research outputs comply with internal and external requirements, with overall direction and assistance from the Manager of Research and Knowledge Transfer, Boards of Study, RKTC, Department Research Committees and the Academic Director.

3.7 Records and Reporting

- a The Academic Services Division maintains a central file to administer staff research, grant applications, spending and decisions.
- b The Manager of Research and Knowledge Transfer oversees the institute's Research Output database, which includes a section accessible to the general public. The official record of research activity, including a summary of research outputs for inclusion in the Ara Annual Report, is generated from the database.
- c Staff are required to ensure their entries are complete, correct and up to date in the Ara research output database. Staff are encouraged to update their ORCID records with quality assured research outputs, so they may be linked to Ara profiles to showcase research.
- d Each Semester the Department Research Chair reports on the staff expected to be research active, their research outputs, approved student projects and progress against relevant plans to the Boards of Studies and Research Development Forum, which reports to RKTC.
- e Each Semester the Research Office reports on staff progress on approved projects/programmes to the Head of Department, Programme Manager and copied to the Chair of the Department Committee. Annually research outputs are assessed according to a scheme approved by the central RKTC and reported to Heads of Department.

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- f Each Semester research outputs and progress against the relevant plans are reported to the Academic Board, co-ordinated by the Manager of Research and Knowledge Transfer.
- g At least annually the number of staff teaching on degrees, or higher, who are engaged in research will be reported against the target in Research Matters.
- h The Manager of Research and Knowledge Transfer has delegated authority to submit PBRF portfolios on behalf of the institution and for subsequent reporting.

3.8 Performance Based Research Fund (PBRF)

- a Government established the PBRF in 2003 to encourage and support research excellence. Financial contributions to participating tertiary institutions are based on the quality of submitted portfolios, as judged by government appointed panels.
- b Institutional participation in the PBRF is voluntary, but once the institution has elected to participate there are strict rules relating to the participation of individual staff members. At Ara, the Research and Knowledge Transfer Manager and Academic Director, in consultation with Head of Department, will use PBRF criteria to identify staff who are required to submit an Evidence Portfolio.
- c If required staff will compile Evidence Portfolios which fulfil the requirements of TEC and be of a high standard.