MANUKAU INSTITUTE OF TECHNOLOGY *Te Whare Takiura o Manukau*	**RESEARCH** **ACADEMIC POLICY 7**

1. **INTRODUCTION**

   The purpose of this policy is to ensure that effective and appropriate research occurs at Manukau Institute of Technology ("MIT") in the context of the delivery of degrees, as part of a focus on applied research, development and technology transfer, and commitment to evidence-based decision making.

2. **POLICY**

   2.1. All research will be carried out in accordance with ethical principles and peer reviewed methodologies and must meet the highest ethical and professional standards in order to protect and enhance the reputation of the Institute.

   2.2. All research involving a Maori or Te Tiriti/Treaty of Waitangi dimension will follow the ethics approval process.

   2.3. All MIT degree programmes will have an associated research plan.

   2.4. All degree delivering Faculties/Departments will have research support infrastructure (e.g research committee/research leaders).

   2.5. All academic staff teaching on MIT degree programmes will participate in outcomes focussed research.

   2.6. All degree delivering Faculties/Departments will provide research release time for degree teaching academic staff within the staff member's workload.

   2.7. The Institute will provide a contestable fund to support research, development and technology transfer projects additional to academic staff workload allocations.

   2.8. Non-degree delivering entities at the Institute may include research, development and technology transfer as part of their strategic plans and key performance indicators. This policy also applies in these cases.

   2.9. Research goals and outputs will be reported and evaluated. Research processes will be the focus of Self Assessment and External Evaluation and Review (SAEER) conducted in accordance with the requirements of NZQA for the purposes of ensuring continuous improvement.

3. **PROCEDURES**

   3.1. **Ethical Principles and Peer Reviewed Methodologies**

   3.1.1. Prior to any research being undertaken, ethical approval must be obtained from Academic Board for all proposed research by MIT staff and students involving:

   a) Human subjects (including student course work research).

   b) Both MIT staff and students (including that undertaken outside of course work research) prior to any research being undertaken.

   c) A Maori or Te Tiriti/Treaty of Waitangi dimension.

   All such research must be submitted to the MIT Ethics Sub-Committee for evaluation and recommendation to the Academic Board for ethical approval

   3.1.2. Applications for Ethical Approval made to the MIT Ethics Sub-Committee must be made in accordance with the *Guidelines for Ethical Approval approved by Academic Board* and on the approved application form published on MITNet under *Ethic/Research Documents and Forms.*

   3.1.3. The Ethics Sub-Committee will review applications for research involving both MIT staff and students (including that undertaken outside of course work research) to ensure issues around the ethical implications of the power relationship between staff and students are appropriately considered and dealt with.

   3.1.4. In exceptional circumstances, on the recommendation of the Ethics Sub-Committee, the Chair of Academic Board may approve an application for ethical approval and report this outcome to the next meeting of Academic Board.

   3.1.5. All evaluation, review and monitoring of research undertaken by the MIT Ethics Sub-Committee will include consideration of the mix of Maori and non-Maori content and values through collaboration with Te Komiti Tangata Whenua.

   3.1.6. Researchers not employed by MIT who wish to conduct research at MIT must first apply to the Chief Executive for permission to access MIT for research purposes and then comply with MIT's ethics requirements.

   3.2. **Research Plans**

   3.2.1. Deans/Heads of Departments in conjunction with relevant Programme Committees are responsible for ensuring an Annual Research Plan is prepared for each MIT degree programme. This plan will define the Faculty/Department's commitment to have research active staff teaching on its degree programmes. Each plan must:

   a) Include research time allocations for all degree teaching staff as well as annual output targets.

   b) Be signed off by the relevant Dean/Head of Department and Programme Committee.

   c) Be compiled in accordance with the Academic Board approved guidelines and use the template published on MITNet under *Ethics/Research Documents and Forms.*

3.2.2. Annual Research Plans must be submitted for approval in accordance with the Academic Board approved guidelines to the Director Academic in the November prior to the year of delivery using the published template. The Director Academic will provide feedback on each annual research plan and where appropriate may require changes to be made.

3.3. Degree Teaching

3.3.1. As a condition of employment, all staff teaching on MIT degree programmes must be engaged in outcomes focussed research (refer section 254 (3)(a) Education Act 1989). Deans/Heads of Department in conjunction with the Human Resources Section shall be responsible for ensuring that this condition of employment is included in all relevant job descriptions and employment agreements.

3.3.2. All staff teaching on MIT degrees will have research outputs included in their annual performance appraisals (refer *Human Resources Policy 9: Staff Appraisal*). These outputs will be documented in the appropriate Annual Research Plan (refer section 3.2).

3.4. Research Release Time
Deans/Heads of Department will ensure that work schedules for staff teaching on degrees will include non teaching time for research. These allocations will be identified in the appropriate Annual Research Plan (refer section 3.2).

3.5. Contestable Fund and External Funding

3.5.1. The Institute will provide a contestable Research Development and Technology Transfer Fund (RDTT) to support research, development and technology transfer projects additional to academic staff workload allocations (refer section 3.4).

3.5.2. The Institute RDTT Committee of Researchers appointed by the Chief Executive will: develop criteria for the allocation of RDTT funding; provide application information to MIT staff; and will publish its outcomes to all staff and to the Academic Board. Criteria for the allocation of RDTT funding will be approved by the Chief Executive.

3.5.3. Applications for funding must be made to the RDTT Committee of Researchers in accordance with the approved guidelines and on the application form published on MITNet under *Ethics/Research/RDTT Fund.*

3.5.4. The RDTT Committee will evaluate applications for RDTT funding and make recommendations to the Chief Executive for approval of funding for projects.

3.5.5. All external research funding will be subject to the requirements of *Legal and Compliance Policy 1: Contractual Arrangements*.

3.6. Reporting

3.6.1. All staff must upload information regarding their research outputs to the Institute Research Repository.

3.6.2. Deans/Heads of Department are responsible for reporting annually to the Director Academic on Faculty/Departmental research outputs against targets outlined in Annual Research Plans for degree programmes (refer section 3.2) for the previous year.

3.6.3. The Director Academic will report to the Academic Board annually on research outputs of degree delivering staff and others.

3.6.4. The Director Academic will report to the Academic Board annually on the outcomes of the RDTT Fund.

3.6.5. The Chair of the MIT Ethics Committee will report to the Academic Board at each of the Board's meetings on committee outcomes.

3.7. Intellectual Property Rights
Any intellectual property rights arising from research undertaken by Institute staff will be treated in accordance with the provision of *Academic Management Policy 9: Intellectual Property including Inventions and Patents.*

3.8. Privacy Principles
All personal information obtained in the course of research activity undertaken at MIT will be collected, stored and used in accordance with the provisions of the Privacy Act 1993. Resources are available on MITNet under *Staff Information/Privacy Principles Resources* to assist staff in the application of the Privacy Act 1993. Further assistance and guidance may also be sought from the Institute Privacy Officer.

4. EVALUATION/OUTCOMES

4.1. The Academic Board will respond to and, where appropriate, make requirements for changes to reports as in 3.6 above.

4.2. Research will be the focus of SAEER as part of the Institute's roster of reviews commissioned by the Academic Quality Assurance Sub-Committee of the Academic Board (refer *Academic Policy 8 Evaluation, Review and Monitoring*) conducted in accordance with the requirements of NZQA.

4.3. Deans/Heads of degree delivering Faculties/Departments will have Research Plans and their outcomes included in their appraisal process.

5. AUDIENCE
Researchers, Deans/Heads of Department

6. CONSULTATION SCOPE
Reasonable and appropriate consultation will be undertaken with academic staff and the Tertiary Education Union (TEU).

7. RELEVANT DELEGATIONS

   7.1. Council delegation to the Academic Board: Authority to determine academic policies and operating procedures of the Institute in relation to academic matters (Statute 5 Register of Delegations AB/8).

Research
   7.2. Council Delegation to the Academic Board: Authority set and promote quality standards for research, approve and monitor research proposals, and approve and coordinate research funding (Statute 5 Register of Delegations AB/2).

   7.3. The Academic Board to Director Academic (sub-delegation): Authority in exceptional circumstances, on the recommendation of the Ethics Sub-Committee, to approve an application for ethical approval in accordance with the Academic Board approved guidelines.

   7.4. The Academic Board to Director Academic (authorisation): Authority to approve annual research plans for degree programmes in accordance with the Academic Board approved guidelines.

Evaluation
   7.5. Council delegation to the Academic Board: Authority for the monitoring and application of quality assurance requirements in the development and delivery of all programmes, (including with respect to learning, teaching, assessment and student performance) through quality evaluation, review and reporting processes (Statute 5 Register of Delegations AB TBA).

8. RELEVANT LEGISLATION
   Copyright Act 1994
   Education Act 1989
   Employment Relations Act 2000
   Hazardous Substances and New Organisms (HSNO) Act 1996
   Health and Safety in Employment Act 1992
   Health Research Council Act 1990
   Human Rights Act 1993
   Injury Prevention, Rehabilitation Compensation Insurance Act 1992
   Official Information Act 1982
   Privacy Act 1993
   Protected Disclosures Act 2000
   Other legislation relevant to the particular field of research

9. LEGAL COMPLIANCE
   This policy complies with Institute statutes, regulations and relevant legislation.
   All research practice must comply with relevant legislation.

10. RELATED DOCUMENTS AND FORMS
   Statute 4 Constitution and Operation of Academic Board and Committees
   Statute 5 Delegations
   Academic Policy 8: Evaluation, Review and Monitoring
   Academic Management Policy 9: Intellectual Property including patents and Inventions

Human Resources Policy 9: Staff Appraisal
Legal and Compliance Policy 1: Contractual Arrangements
Ethics Application Form
Guidelines for Ethical Approval approved by Academic Board
Degree Research Plan
RDTT Application Form
RDTT Guidelines

11. DEFINITIONS

"Academic Board" means the Academic Board of MIT established by Council pursuant to section 182 of the *Education Act 1989* and constituted in accordance with *Statute 4 Constitution and Operation of Academic Board and Committees*.

"Academic Quality Assurance Sub-Committee" means the committee established by the Academic Board to ensure that quality is maintained in all aspects of the delivery of learning and teaching at the Institute and constituted in accordance with *Statute 4 Constitution and Operation of Academic Board and Committees*.

"Academic Staff" means all staff whose duties include, or directly assist staff whose duties include, all of the following in some measure: lecturing, lesson preparation, student assessment, pastoral care, and whose duties may also include: research, curriculum development, teacher development, or staff who directly advise those described above on academic matters. This definition excludes any staff member who has, or is the associate or deputy to any staff member who has, one of the following titles: Head of Department, Dean, Director, Head of School.

"Academic Standards Sub-Committee" means the committee established by the Academic Board to review proposals and recommend the approval of programmes leading to qualifications as constituted in accordance with *Statute 4 Constitution and Operation of Academic Board and Committees.*

"Annual Research Plan" means a report that describes both research activities completed during the current year and research activities planned for the following year.

"Chief Executive" means the person appointed by Council to the Office of Chief Executive of Manukau Institute of Technology pursuant to 180 (a) of the Education Act 1989.

"Council" means the governing body of Manukau Institute of Technology constituted in accordance with Part 15 of the Education Act 1989.

"Dean/Head of Department" means the head of a faculty or academic department (including the Manukau School of Visual Arts and the New Zealand Maritime School) responsible for a course or programme*.*

"Ethics Sub-Committee" means the committee established by the Academic Board to review and monitor the ethical standards of research projects and student coursework research at MIT which involves human participants as constituted in accordance with *Statute 4 Constitution and Operation of Academic Board and Committees.*

"Evidence-based decision making" means the application of evidence gained from a scientific method to decision making.

"Faculty/Department" means an academic faculty or department (including the Manukau School of Visual Arts and the New Zealand Maritime School).

"Institute" means the Manukau Institute of Technology.

"Job Descriptions" means the written statement identifying the responsibilities of specific Institute positions. Including information about knowledge and skills needed, and relationships with other positions.

"MIT" means Manukau Institute of Technology.

"NZQA" means the New Zealand Qualifications Authority.

"Outcomes focussed research" means research that leads to a measurable outcome, usually work which can be published, publicly disseminated, presented or exhibited.

"Programme" is a stand-alone course, or combination of courses.

"Programme committee" means the Programme Committee responsible for each programme constituted in accordance with Manukau Institute of *Statute 4 Constitution and Operation of Academic Board and Committees*.

"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. 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. [PBRF Definition 2006]

"SAEER" means the process of Self Assessment and External Evaluation and Review administered by NZQA which forms the quality assurance framework for New Zealand tertiary education providers (other than Universities) focusing on the quality and value of the outcomes achieved in tertiary education and the key processes that contribute to them.

"**Staff**" means a person under an employment contract at the Institute on a full-time, part-time, or casual basis and for a permanent or fixed-term duration.

"Student" means a person enrolled on a programme at the Institute.

12. DOCUMENT MANAGEMENT AND CONTROL

Category	Academic
Sponsoring Director	Director Academic
CE Approval Date	30 September 2009
Council Minute	NA
Academic Board Minute	21 October 2009
Effective Date	1 January 2010
Review Date	1 January 2012
Version	Version 1