

# Pacific Academic Staff Caucus Advancing Research Collaboration grants

## GENERAL OVERVIEW

### Purpose

The Pacific Academic Staff Caucus is the collective representative body of Pacific academic staff at the University of Otago, with a primary mandate of supporting Pacific academic excellence. Our activities align with the university's strategic imperatives in relation to research, teaching and the creation of a culturally stimulating environment for Pacific academics at Otago.

Pacific Academic Staff Caucus Advancing Research Collaboration (PARC) grants aim to promote stronger research pathways for Pacific academics and encourage broad research-related activity that demonstrates a strong commitment to, and support of, engagement with Pacific communities. Therefore, the primary objective of PARC grants is to support the development, or further strengthening, of research collaborations specific to Pacific researchers and research, in line with the University's Pacific Strategic Framework (<https://www.otago.ac.nz/about/official-documents/otago666440.pdf><https://www.otago.ac.nz/maori/otago667421.pdf>). A secondary objective is to provide opportunity for non-Pacific staff to create and/or further develop competencies in researching with Pacific communities.

In line with the purpose of PARC grants, the assessment panel will take into consideration some or all of the following criteria:

1. To support the development of Pacific research-related activity of Pacific academic and professional staff;
2. To support early-career Pacific academic staff;
3. To support engagement with Pacific communities for research that has direct benefit to Pacific;
4. To provide funding for research collaborations that are of specific relevance and benefit to Pacific that will lead to future applications with external funding sources; and
5. To encourage the pursuit of research that will translate into benefit for Pacific communities in particular, and the wider New Zealand society.

### Timetable

PARC grants will be awarded annually. Grants will have a start date between 1<sup>st</sup> October 2023 and 28<sup>th</sup> February 2024. 'Out of season' applications will be considered on a case-by-case basis.

### Nature of the Grants

PARC grants are intended to provide support for the advancement of either existing or new Pacific research collaborations and research-related activity. The kinds of initiatives funded are for example, relationship building with researchers, community, churches, industry, or government; hosting a research symposium with the express intention of building a collaborative project with specific input and outcomes relevant to Pacific; supporting culturally appropriate modes of research dissemination to Pacific communities; supporting researchers from other New Zealand institutions or Pacific community members to travel to attend such events and research gatherings; or conversely, Otago researchers travelling to other locations (within or outside New Zealand), attending relevant national

symposia or conferences or gatherings with Pacific communities with the intention of making research connections.

## ELIGIBILITY

### Staff Eligibility

PARC grants are available to support initiatives that have a Pacific academic as Principal Investigator or Co-Principal Investigator and that meet the criteria outlined above.

To be eligible as a Principal Investigator for a PARC grant the University of Otago staff member must:

#### *Either*

- Hold a teaching and research position which is funded fully or partly (at least 0.2 FTE) from the University block grant, whose appointment in such a role at the University of Otago includes the full term of the proposed project.

*or*

- Be appointed to a research-only position (Post-Doctoral/Research Fellow or above) at an average of at least 0.2 FTE for the full term of the proposed project.

*or*

- Be a University of Otago staff member (Professional/Teaching Fellow/Professional Practice Fellow) at an average of at least 0.2 FTE for the full term of the proposed project.

#### *Note:*

- The Principal Investigator is required to make a time commitment on the application of at least 0.10 FTE per annum.
- The panel will consider whether a post-doctoral fellow (and their research collaboration) is likely to remain at Otago and build upon the work supported with this funding.
- The panel will take into consideration Pacific academic career pathways, including those academics in non-tenured positions that meet the eligibility criteria (e.g. at least 0.2 FTE). Each application will be reviewed and managed in context of the applicant's position at the University. Note that applicants must still comply with the eligibility criteria above.
- The panel will consider applications from non-Pacific staff whose research meets the criteria above, and where the co-PI of the proposal is a Pacific staff member. In some instances, specifically where in the Pacific researcher is early-career a Pacific mentor(s)/advisor(s) must be identified to support the project.
- In determining eligibility, periods of parental leave or other circumstances (e.g. absences caused by health issues) will be considered on a case by case basis.
- Any queries regarding eligibility should be directed to your Research Advisor before submission.

### Early Career Staff Eligibility

Special consideration is given to **Early Career Staff** members. The definition of an **Early Career Staff** member is one whose first appointment to the equivalent of a PBRF eligible position at **any university or research institute** was after 1 July 2017. Time spent on parental leave or in non-research-related activity is excluded from the yearly count of research experience.

Early Career applicants may apply as Principal Investigators, even if they have been previously awarded a PASC grant and provided that they still meet the Early Career definition.

**Early Career staff** will have identified a Pacific research mentor(s)/advisor(s) to support the project.

### **Term of Grant**

The grant must be expended within the year (12-month period) for which it has been applied. Grants may not be deferred, except in exceptional circumstances. A request must be made to the grant convenor providing details for why a deferral is required.

### **Research Eligibility**

The project **should be distinct** from the applicant's research projects funded by external research agencies or internal sources (e.g., University of Otago Research Grant). PASC funding does not cover shortfalls in external or internal funding, it is intended to fund new, and distinct from existing, research-related activity.

PASC grants may be complementary to existing and proposed grants. In these cases, the applicant must explain clearly how the grants are complementary and fully justify the distinction.

### **Concurrent Grants**

PASC grants may be held concurrently with other grants, such as the Otago University Research Grants, Health Research Council Grants, Marsden, MBIE for example.

### **Number of Applications**

Only one application as a Principal Investigator/Co-Principal Investigator will be accepted from any eligible staff member and no more than two other applications as an Associate Investigator.

A maximum of two consecutive awards can be received before a stand-down period of one-year is required.

### **Length of Grants**

Applications may be submitted for one year (12 months) projects. The proposal must outline the work that will be completed as the PASC panel may decide to fund the grant in part or in full. If you believe your project will require more than one year, please discuss with your Research Advisor.

### **A PASC grant is intended to support the applicant's own research project/programme development.**

Although graduate students may contribute to the research project, students' own research or research-related activities are not eligible to seek funding from a PASC grant.

**A PhD student's research must not depend on a PASC grant.** The grant cannot support data collection for the PhD.

### **Financial Limitations**

The minimum limit for PASC applications is \$2,000 GST excl per annum.

The maximum limit for PASC applications is \$20,000 GST excl per annum.

### **Research and Study Leave, Retirement, Leave Without Pay, Resignation**

The staff member should not plan to retire or resign during the year for which the funding is sought. If Research and Study Leave (RSL) is planned, the applicant must explain how the funding for the proposed research is distinct from any Departmental/Programme/School/Divisional or external funds

that have been received or will be applied for, for RSL. If leave without pay is planned, the applicant must indicate how the research will be managed.

### **Annual Reporting Requirements**

At the completion of the grant term, recipients will submit an electronic report to both Pacific Academic Staff Caucus executive and the Research and Enterprise Office on the use of the grant no later than three months' after the grant's end date. E.g., for 2023 PASC which begin on 1<sup>st</sup> October 2023 , a final report must be submitted by 31<sup>st</sup> December 2024. Download the report template from [www.otago.ac.nz/research/forms/](http://www.otago.ac.nz/research/forms/). A reminder will be sent to grant recipients. **Failure to submit a report will exclude your future applications from consideration.**

### **OUT-OF-SEASON APPLICATIONS**

Occasionally exceptional requests for a PASC grant may be considered at times outside the usual annual application round. Applicants should contact their Research Advisor to confirm whether a proposal meets PASC Out-of- Season eligibility before applying.

Out-of-Season PASC applications must meet all the criteria of the standard PASC scheme and be of sufficient quality to have been funded in the previous round. An application will be accepted if:

- there are exceptional and/or unforeseen reasons; or
- a case can be made in regards to lost opportunity to engage with potential research collaborators.

In both circumstances, funding may be made available to PIs who are within their PASC stand down period. In these circumstances, the PI will serve their stand down the following year.

In addition to the standard criteria, an Out-of-Season PASC application must present a strong and compelling justification which:

- Identifies the one-off research collaboration opportunity which will be lost if the funding is not available within the timing of the usual annual funding round;
- Emphasises the extraordinary reason, with respect to timing, for the request; and,
- Explains why the request could not have been submitted in the previous round and the urgency that prevents it being developed and submitted in the subsequent round.

Out-of-Season applications should be sent to the Research and Enterprise Office on the standard PASC application form, with a cover letter outlining the three conditions above. The application will be assessed by the PASC executive with the power to co-opt expertise as required.

## **ASSESSMENT**

### **Assessment Panel**

Applications will be assessed by the PASC grant panel of between 3 to 4 senior Pacific academics (where possible having a representative from the four University Divisions). The assessment panel reserves the right to co-opt additional members or seek feedback from suitably qualified persons if it believes it lacks any specific topic expertise to adequately assess an application.

### **Assessment Criteria**

The panel will consider:

- The quality and clarity of the proposal;
- The relevance and benefit of the proposed activity to Pacific;
- The potential of the research to build capacity within the Pacific research community;
- The appropriate use of pedagogies;
- The degree of collaboration with other Pacific researchers, communities, providers, organizations;
- The evidence of an appropriate track record in working with Pacific researchers and community; and,
- The level of knowledge/familiarity of tikanga Pacific in research\*.
- The Assessment Panel may, if it considers it desirable, provide feedback to applicants and ask for resubmission in line with that feedback. The resubmitted application will then be considered by the panel as part of the original application's round.

*\*If the team is not confident in culturally appropriate approaches within the research context an additional comment must be made regarding how the research team and project will be supported eg., mentoring.*

## THE APPLICATION FORM

### General Information

1. **Use language that a well-informed reader who is a non-specialist in the field will comprehend.** Applications modified from applications submitted to external granting agencies (e.g., Marsden HRC, MBIE) will normally need rewording for non-specialists.

2. **Do not change the default margins, single line spacing, or type font and size** (Arial 11-point type font or larger).

3. **Research Advisors are able to assist with application advice**, but it is the applicant's responsibility to ensure that the application is completed correctly. Particular care should be taken to ensure that budgets are accurate and that early career applicants meet the criteria. A Head of Department/Resource Centre must approve the application prior to the due date.

4. If the grant is required to conduct research **consultation with the Ngāi Tahu Research Consultation Committee**, this should be undertaken as part of the standard University process. Please refer to 'Research consultation with Māori' on the University website: [www.otago.ac.nz/research/Māoriconsultation/](http://www.otago.ac.nz/research/Māoriconsultation/)

Note: Staff from University of Otago Christchurch should follow this link: <https://www.otago.ac.nz/christchurch/research/researchoffice/maoriconsultation/index.html> and undertake their consultation through Karen Keelan (Māori Research Advisor, UOC).

5. A copy of any required ethics approvals must be forwarded to the Research and Enterprise Office before the account can be opened.

6. All signatures are to be electronic (either a typed name or a scan of the signature).

Please contact your Research Advisor if you have any problems or queries.

## SECTION GUIDELINES

Please use Arial 11-point font or larger. Applications in which page or word limits are exceeded will not be considered.

### 1. Applicant Details

- Name of Principal Investigator or Co-Principal Investigators;
- Name of Associate Investigators;
- Current position, and FTE employed at University of Otago for duration of the project (not including the FTE for the PASC proposed project);
- Department/School and Division;
- Contact details including phone number and e-mail address;
- Identify whether early-career, and include name and details of mentor; and
- Outline if and how mentoring is required for the project to be successful. This will depend on the team composition and degree of experience the PIs have in research with Pacific. If a mentor is required provide a brief explanation of the mentor's experience, what role they play and include their CV as per section D below (300 words max).

### 2. Summary description of the grant details

- Title of PASC project (**15 words max**)
- Name of future potential external funder(s)
- Budget summary, including total funds being applied for excluding GST

### 3. The PARC grant proposal

#### Section A: The PARC grant (max 3 pages including references – weighting 70%)

##### 1. Description of intended research collaboration (20%)

- A brief overview and aim of the intended research collaboration and or activity.

##### 2. Why do you need this PARC funding? What are your anticipated outcomes and or objectives from utilising this funding? How will it contribute to the success of the external funding application? (30%)

- Provide a lay summary of the proposed use of the funding and potential outcomes including the development of research collaborations.
- How the project will further the aims and purposes of the Pacific Strategic Framework.
- Details of how PARC funding will result in future external funding applications (e.g. MBIE, HRC), the current status of any related application(s) and description of any overlap.

##### 3. Proposed work-plan for utilizing the PARC funding (20%)

- Time frame of the research collaboration in months (maximum 12 months).
- Describing procedural steps, role of each participant; include a full timeline with projected date of submission of external funding application).
- Explanation of roles and responsibilities of all researchers involved in the project.

#### Section B: The External application research topic (2 pages max – weighting 10%)

1. Describe the intended research project/activity.
2. Name of funder(s) and round.
3. Level of funding (approximate) expected.
4. Does the funder pay overheads?

5. Describe the connection to specific external funder(s):
  - Identify the explicit linkages to the funding priorities of external funders;
  - Explain how the project will build a more substantial research endeavour;
  - Explain how the project will further the aims and purposes of supporting research excellence including strategic alignment with Vision Mātauranga and other related policies, where applicable. (see Appendix 1 for University of Otago expectations regarding vision mātauranga).
6. Describe the impact and or benefits that will result from this research.

### **Section C: References (Maximum one page)**

Use the standard referencing method for your discipline area. If references are multi-authored, there is discretion to limit the author list to a more convenient number to fit space limitations.

### **Section D: Curriculum Vitae (weighting 20%)**

*Include CVs (RSNZ or MBIE format, narrative or standard) to demonstrate how the Principal Investigator, Co-Principal Investigator, and Associate Investigators are qualified to undertake and complete this project. CVs for Mentors associated with the application/project must also be included.*

Please use the New Zealand RS&T Curriculum Vitae Template

Available from [https://www.otago.ac.nz/research/forms/5\\_NZ%20RS&T%20CV%20Template/](https://www.otago.ac.nz/research/forms/5_NZ%20RS&T%20CV%20Template/)

### **Section E: Budget for PARC Grant**

PARC's support direct costs only. Overheads, academic (indirect staff) salaries and salary-related costs are not included. Direct staff (e.g. Research-only staff members, research assistants) are eligible costs.

In all cases, tasks and funding of all staff (indirect and direct) and requests for operating expenses must be fully justified and explained. *Note: The level of financial support will be influenced by your budget justification.*

**No extensions** will be available without formal prior approval.

#### **Staffing and Salaries**

*Research-only Staff Principal Investigators:*

Research-only staff Principal Investigators funded at less than 1.0 FTE, but at least 0.5 FTE at the time of their PASC application and during the term of the PASC, may apply for their own salary up to an additional 0.2 FTE. Ensure that these calculations **do not** include any FTE proposed in this application.

The FTE total of any research-only staff member **should not exceed 1.0 FTE across all applications**, including external research that is already contracted during the period of the PASC.

#### **Salary costs:**

- Use the projected salary rates from the drop-down Grade and Salary boxes in the CCW Staff pages.
- 2024 salary rates are to be used for year one and 2025 projected salaries for year two, if applicable. Applicants must factor in increases due to increments and promotions.
- **Include salary-related costs** (i.e. ACC and superannuation) for each direct salary in the application (i.e. University policy for every research funding application).



### **Appointing staff:**

**Undertakings to staff should not be made until a grant is awarded.** Contact the Human Resources Division before advertising for and appointing staff to confirm employment and other details.

**Appointment of staff** (both named and unnamed in the application) must be made within two months of the proposed appointment date or by 31 March 2024 if no appointment date is noted. If the requested staff position has not been filled, notify the Research and Enterprise Office. Failure to secure the services of suitably-qualified personnel may render the grant inoperable.

**Postdoctoral researchers** funded at less than 1.0 FTE may be funded by a PASC up to 0.5 FTE, provided the PASC does not conflict with any other contractual requirements. *Note: the total commitments of a postdoctoral researcher must not be more than 1.0 FTE.*

**Postgraduate student stipends** cannot be funded by the PASC.

### **Operating Expenses**

- Consumables and equipment should be listed individually in the table and **fully justified**. A listing in itself does not constitute a justification.
- **User-charges for equipment** must be carefully justified and detailed, and accompanied by a written quotation from the Administrator of the Department/Programme/School in which the equipment is housed.
- **Equipment and library materials** purchased via PARC's become the property of the University.
- **Publishing costs** must be fully justified and include a timeframe indicating when and where publishing is intended. The assessment panel will consider these requests with reference to the costs usually experienced with publishing in that discipline. Funding is capped at \$2,000 per PASC application. Applicants should consider the University of Otago Open Access Policy when determining where and how to publish their findings (<https://www.otago.ac.nz/administration/policies/otago664881.html>).
- Requests for funding of **specialised equipment** (including computers and software) may be put forward only if the item:
  - Would not normally be expected to be available in a Department/Programme/School; and
  - Is essential to the project because of its specialised research nature; and
  - Is fully justified, including why it cannot be purchased through normal Department or School processes.
- Orders for **capital equipment** (other than computers) should be placed only after consultation with staff of the Procurement Office, Financial Services Division.
- **Travel, accommodation, and sustenance expenses** will be funded only where the research **cannot be undertaken or completed** without the requested travel.

Regardless of travel type, **all travel requests must be fully justified**.

There are three types of travel that might be funded:

1. Travel to *access specific physical locations* such as archives or special collections not available through electronic or published means, archaeological or field sites, or, in limited cases,

specialised equipment that requires the PI to operate it. Access to the site may, at times, require the PI to pay travel expenses for non-research personnel.

2. Travel to *access individuals or groups in specific locations*, such as iwi, hapū, community focus group or clinical research participants, where other means, such as phone, skype or electronic communication are inappropriate to either the subject group or the methodology. Access to the individual or group may, at times, require personnel to accompany the PI.
3. Travel to *access a specific named research collaborator* who needs to be physically present to undertake the project. This might require the PI to travel to the collaborator or vice versa. The *collaborator should be a co-PI or AI* on the project.

[**Note:** such travel can be to *undertake the research itself* or a specified approach to planning research or accessing a particular skill or technique, which may form an indirect element of the project but should not be the focus].

Applicants are expected to address the following points (as applicable):

1. Applicants should provide detailed explanations for travel which should align to the Proposed Research and Timetable in sections 7 and 8.
2. Travel requests to *museums, libraries and archival sites* should include a detailed estimate of the volume of information needed and the time required to do this.
3. If use is to be made of *University pool vehicles*, then calculations should be as set by the Department or Division. The University Policy is to use *rental vehicles*. Where use of a personal vehicle is unavoidable, an explanation should be made and claims should be made at the standard University rate.
4. Use of *helicopters, boats, or other unusual travel* must be clearly detailed and justified. Additionally, where Departments/Programmes/Schools regularly use such travel, explain whether economies might be made (e.g. by joining other already planned expeditions or voyages).
5. Where access to a site, object or people requires *travel funding in an overseas country for a non-researcher* to accompany the PI, explain the access requirements of the research, the specific role of the person within the research (i.e., why that person *must* accompany the PI), and whether other funding avenues for the person have been explored.
6. Where travel funding is sought for as research collaborator who is either from NZ or overseas, explain why other funding sources, such as William Evans Fellowships, external international travel funding or conference travel to meet colleagues has not been sought. There should also be an explanation about the *collaborator's own efforts* to secure funding/resources for the travel component of the research (e.g., what is the co-funding).

**Note:** PASCs do not fund travel or other expenses for collaborators to travel to the Antarctic.

7. Requests for accommodation and sustenance should be based on actual and reasonable rates but may not exceed the University guidelines: [www.otago.ac.nz/administration/policies/otago025562.html](http://www.otago.ac.nz/administration/policies/otago025562.html)
8. All travel should be well justified and take into account the University's travel and sustainability policies.

**Research-related travel between the Dunedin, Christchurch and Wellington campuses:** Applicants should consider the use of the University's videoconferencing facilities for meetings, instead of travel, in order to reduce costs.

**University of Otago travel insurance for University research personnel** should be included in the budget at the current rate.

**Only University of Otago employees on the grant** are eligible to receive travel, accommodation or sustenance payments except as noted above in 5 and 6.

#### **Compensation of research participants:**

Some research requires participants to be compensated for the reasonable and/or actual costs associated with taking part in research. Typical compensation includes travel and food vouchers. In some, **very limited cases**, employers may require some form of employment compensation – in whole, part or in addition – so that a participant may take part in the research. In all cases, the compensation should be commensurate with the standards established within the discipline area. Applicants should be clear about the need to either ‘release’ participants from their employment or why additional compensation is required. All such requests will be carefully scrutinised by the panel.

#### **Koha and Pacific Gifting:**

Finance maintains its own policy for determining when paying or imparting a koha/gifting is relevant.

Research & Enterprise recommends that, where relevant, panels and researchers consult these University policies:

<https://www.otago.ac.nz/administration/policies/otago003233.html>

and

<https://www.otago.ac.nz/administration/policies/otago040039.html#:~:text=Authorisation%20procedure%20for%20gifting,reason%20for%20the%20gift%3B%20and>

But, for the purposes of PASCs, additional guidelines may assist.

- The University defines koha as a “present, gift, parting or final instruction”; as a general rule, it is appropriate to koha for hospitality received or where an acknowledgement is due. For example, hospitality received includes when a researcher is hosted on a Marae or in a Māori community setting of any kind. Where an acknowledgement is due includes at a tangihanga (funeral) or where a Māori cultural service has been rendered. Cultural service can include where a kaumātua (a person of status) has conducted a mihi whakatau (welcome) on behalf of a researcher or related group;
- In most circumstances koha should take the form of cash. Travel vouchers and other reimbursements may be appropriate where the koha is to acknowledge a particular service – for example, travelling to conduct a mihi whakatau – but even then cash that adequately covers the travel and then some (for example, enough also to cover the time given) is considered more appropriate.

There are also cases where a koha/gift is not appropriate. For example, where a research service is rendered the researcher should be paid a salary, wage, or contractual payment. Researchers who are involved in a research project – whether named participants or simply consultants – are being paid for their intellectual and professional contribution.

There will also be cases where a researcher may wish to koha/gift in their personal capacity rather than a University capacity. This type of koha/gift will usually occur to acknowledge the development of a relationship above and beyond the University or the particular research project.

#### **Subcontracting**

Subcontracting is permitted for payment of services or operating expenses where the work can't be carried out within the University. Salaries for non-University staff will not be covered, except in exceptional circumstances as described in Compensation above.

**Items not normally funded:**

- Travel to conferences
- Miscellaneous items of stationery, printer paper, postage and courier, and general photocopying<sup>1</sup>
- General reusable laboratory consumables, e.g. glassware, safety glasses
- General computer storage (e.g. external hard drives, flash drives, cloud storage, software, and license fees)
- Computers, including laptops, for routine data analysis and word processing.<sup>2</sup>
- Digital cameras and audio recorders.
- Any other expenses normally paid for by Department/ Programme/ School funds
- Travel and other expenses to fund overseas researchers visiting NZ or a researcher located outside NZ except in circumstances as described in Travel above.
- Salaries for non-University staff except in circumstances as described in Compensation above.

**Section F: Budget justification: (1 page maximum)**

- Explain why requested items are required, with attention to any costs outside the general categories of assistance.

**Section G: Ethical approval:**

- Indicate whether ethical approval (Human or Animal) is required.  
Note: A copy of the approval must be forwarded to Research & Enterprise before a research account can be created.

**Section H: Signatories:**

- Applicant (Principal Investigator)
- Head of Department
- Statement of support and an indication of specific strategic value to the Department
- Declaration that the HoD undertakes that, to the best of their knowledge, their Department is able to secure sufficient funding for the applicant for the length of this study.

**Signatures**

All signatures are to be electronic. To sign the application, either type your name or insert a scan of your signature.

The Signatory Page must be signed by the PI to acknowledge that all information in the application is true and correct.

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<sup>1</sup> Where large surveys form part of the research proposal, for example, printing and postage costs may be requested. This needs to be fully justified and items costed in detail.

<sup>2</sup> These are considered to be standard departmental items.

The application must also be signed by the Head of Department or Dean (or Head of School for the Humanities Division only, or Head of Resource Centre) to acknowledge that, should the application be approved, the basic resources will be made available.

The HOD must check the following:

- confirm whether the applicant meets the criteria of an Early Career Staff member; and
- also indicate if they are aware of any conflict of interest relating to this application or any other pertinent information that should be brought to the attention of the assessment panel.

## APPENDIX 1 – VISION MĀTAURANGA

### Introduction

The University of Otago maintains a commitment to the Treaty of Waitangi. In particular the University is required to participate to an education system which honours Te Tiriti o Waitangi and supports the Crown-Māori relationship (Education Act 2020).

- How could your research contribute to an education system which honours Te Tiriti and supports the Crown-Māori relationship?

The University is also committed to fostering academic freedom and autonomy, **within the law**, while balanced against the **highest ethical standards** (Education Act 2020).

Where the research theme or domain may not be covered by the current ethics processes of the University, the highest ethical standards rule still applies to all research. University expectation is that researchers will strive for the highest ethical standards applicable to professional conduct and academic practice.

*Please note: The University will be implementing a new process where it requires all research ideas to provide a Māori Research Plan. This will not be in place for the 2024 round, but applicants should be aware that it may be required for subsequent rounds.*

### The government Vision Mātauranga Policy

In the Research Division, and in PASC grants in particular, part of our commitment takes the form of a Vision Mātauranga (VM) statement. It is noted in the Ministry of Business, Innovation and Employment Vision Mātauranga Policy that “all research is relevant to Māori.”

In the Ministry of Business, Innovation, and Employment’s words VM exists to:

- To use the science and innovation system to help unlock the potential of Māori knowledge, people and resources for the benefit of New Zealand.
- To recognise Māori as important partners in science and innovation; both as inter-generational guardians of significant natural resources and indigenous knowledge, and owners and managers of commercial assets.
- To build the capability of Māori individuals, businesses, incorporations, rūnanga, trusts, iwi, hapū, and marae to engage with science and innovation.
- To maximise the quality of the relationship between Māori and the Crown through science and innovation through the Treaty of Waitangi.

There are four themes within the VM policy, these are:

- Indigenous Innovation, which involves contributing to economic growth through distinctive research and development;
- Taiao, which is concerned with achieving environmental sustainability through iwi and hapū relationships with land and sea;
- Hauora/Oranga, which centres around improving health and social wellbeing; and
- Mātauranga, which involves exploring indigenous knowledge.

Research relevance to Māori will vary and not all research will need to involve engagement with Māori communities. In all instances and where you have decided your research is of low or limited relevance to Māori, you should describe how you have considered how your research could be of relevance to Māori. We also recommend seeking advice.

In all applications, VM is relevant. For example, where a research project is relevant to the general population of New Zealand, it is also relevant to Māori. Or application utilises a kaupapa Māori methodology or Mātauranga Māori (Māori knowledge systems), even in a minor way, or involves Māori as researchers, participants, or subjects then it might be highly relevant. The application will require a VM statement. It will also require a VM statement if the research is relevant to outcomes for Māori or to their collective aspirations.

In articulating VM relevance, researchers may find it useful to consider the following questions adapted from the Royal Society guidelines:

- **Does / how could the research *involve or affect* Māori?**
  - Involve could mean that Māori people, data, information or narratives important of effecting Māori, whether individually or collectively, participate in the research's design or undertaking;
  - Involve a research theme or domain important to Māori (eg: Māori land, ethics, philosophy, climate change, NZ fauna and flora, natural resource management, human health, NZ society, history, economics, development, law, sustainability, business, ecology).
  - Involve Māori staff or researchers.
  - That the research utilises mātauranga Māori, usually in a minor way, in its design and undertaking; or
  - That the research contributes to or is expected to contribute to Māori (iwi/hapū/whānau/etc) aspirations and outcomes.
  - Utilise comparative measures involving or effecting Māori or Māori information.
  - Utilises, involves or might affect taoka / taonga or data rendered from taoka / taonga.
  - Utilises, involves or might affect environment, economy and / or the society of Aotearoa New Zealand.
  
- **Is or how could the research become *specifically relevant* to Māori?**
  - Specific relevance is often self-evident, but for the purposes of this exercise it can include research that utilises mātauranga Māori, usually in a more than minor way, in the design and undertaking; or
  - Research that identifies, contributes to, often in a direct way, Māori aspirations and outcomes.
  - Utilise comparative measures involving or effecting Māori or Māori information.
  
- **Does or how could the research *centre* Māori?**
  - Research that centres Māori can include research that is Māori-led;
  - That utilises Mātauranga Māori in a major way (for example, in the method, models, frameworks, tools, etc);
  - That consults or collaborates with Māori, usually collectively (e.g. iwi) but can also individually (e.g. Māori researchers);
  - That directly identifies, effects or contributes to Māori aspirations and outcomes.
  - Utilises, involves or might effect taoka / taonga or data rendered from taoka / taonga.
  - Utilises, involves or might effect environment, economy and / or the society of Aotearoa New Zealand.

The last category where VM applies might involve **kaupapa Māori research (KMR)**. If you are conducting KMR it will be self-evident that VM applies.

It is important to note that giving effect (by way of implementation throughout the research life cycle) to VM is an active obligation. For example, where a geographer proposes to model coastal inundation in Otago in 2050, and expects to find Ngāi Tahu Marae are at greater risk of inundation, giving effect to VM could mean taking the following minimum steps: consulting with the relevant Marae committees and explaining the research; inviting those committees to participate in the research and creating formal mechanisms to allow that (e.g. a co-governance board); and undertaking to consult with the committees in the publication and distribution of results.

### **Researcher relationships with Māori**

Where research warrants Māori involvement, input, advice or engagement researchers should have readily available relationships with Māori researchers or community organisations. Expectation is that Māori will be provided adequate time (from their perspective) to participate and respond fully. Research should provide opportunities for engagement, participation, contribution and benefit – as a minimum.

### **What if research is of low or limited relevance to Māori?**

If none of these categories apply to your research, you may consider that VM may be of low relevance. Research can be more relevant to Māori in most instances. It commits to, for example, training mentored Māori researchers (e.g. postdocs), even where the research is not specifically relevant to Māori.

In the event that VM is still not considered very relevant applicants should provide a detailed rationale for this assumption explaining why and how they came to that conclusion.

For those cases where **VM remains of limited or low relevance**, we would like to see researchers explain how their research:

- Is low or limited relevance to Māori.
- Involves no mātauranga Māori;
- does not involve Māori in the research design or undertaking (e.g. they do not sit on any research management/advisory/governance panels);
- is not inclusive of Māori land, institutions, or aspirations and outcomes and nor are these the subject of any component of the research;
- the work is unlikely to be of greater direct relevance to Māori than members of any other group.

### **Do clinical applications require a VM statement?**

Yes. Given that applications primarily or partially involving clinical work may include the participation of Māori as subjects or participants, a VM statement is required.

In applications involving clinical work and Māori the applicant must formulate, in consultation with Māori colleagues or partners, a cultural safety plan that includes – at a minimum – mechanisms for protecting Māori participants and their data and a plan for training members of the research team in cultural safety.

Clinical applicants may wish to consult the Health Research Council's Māori Health Advancement Strategy.



## Research domains particularly important to Māori

The following domains are a list which are considered by the University to be important to Māori communities, it is not exhaustive. Nor do these domains sit in isolation from each other. A preferred approach is for increasingly investigation from a Te Ao Māori lens, in a multidisciplinary approach which maintains wholistic and its distinct character from that of western science.

- Holistic wellbeing
- De-colonisation of identity, data, economy, mātauraka Māori
- Environmental Planning
- Māori land
- Housing
- Psychology of colonisation – decolonisation
- Ethics – Artificial Intelligence, native fauna, flora and Māori comparative research
- Human rights and development rights
- Philosophy of science and tikaka
- Climate change
- NZ fauna and flora (endemic or otherwise found in NZ)
- Natural resource management
- Human health
- NZ society
- NZ History / Indigenous history
- Economics
- Business tool development
- Law
- Sustainability
- Ecology

For further information, the following links may be helpful:

<https://www.mbie.govt.nz/science-and-technology/science-and-innovation/agencies-policies-and-budget-initiatives/vision-matauranga-policy/>

<https://www.mbie.govt.nz/assets/9916d28d7b/vision-matauranga-booklet.pdf>

<https://royalsociety.org.nz/assets/Uploads/2018-MFCA-Guidelines-for-Applicants.pdf>

<http://www.hrc.govt.nz/news-and-publications/publications/te-ara-tika-guidelines-m%C4%81ori-research-ethics-framework-researcher>

[https://gateway.hrc.govt.nz/funding/downloads/HRC\\_Maori\\_Health\\_Advancement\\_Guidelines.pdf](https://gateway.hrc.govt.nz/funding/downloads/HRC_Maori_Health_Advancement_Guidelines.pdf)

<https://www.sftichallenge.govt.nz/vision-matauranga>

<https://vimeo.com/488338682>