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<b>Approval Authority</b>	Deputy Vice-Chancellor
<b>Contact Officer</b>	Director, Research Services – Officer of the Deputy Vice-Chancellor

## Introduction

This document outlines the principles and expectations around the conduct of research by staff and students at the University.

## Definitions

**Hapū** – kinship group, clan, tribe or subtribe – section of a large kinship group and the primary political unit in traditional Māori society.

**Iwi** – extended kinship group, tribe, nation, people, nationality or race – a large group of people descended from a common ancestor and associated with a distinct territory.

**Research Contract** – an agreement between the University of Canterbury and an external party, outlining the funding to be provided and the research to be undertaken in return (including deliverables and other contract terms, such as the share of the intellectual property). May result from a contestable research funding application process or be negotiated directly with the funder.

**Rūnanga** – council, tribal council, assembly, board, boardroom, iwi authority – assemblies called to discuss issues of concern to iwi or the community.

## Policy Statement

The conduct of research is fundamental to the activities of a university. The University has high standards for research which apply to all its researchers.

Researchers of the University must adhere to high standards in their research work as failure to meet acceptable standards damages the researcher, his or her colleagues, the reputation of the University, and the general community. The University cannot permit the integrity of its research programmes to be placed at risk for any reason.

## **Guiding Principles**

### **1. High Standards**

Researchers must be committed to the highest standards of professional and personal integrity in undertaking and supervising research. They also have a duty to maintain the highest standards in research applicable to their discipline, and thus to protect and enhance the University's reputation.

### **2. Limitations on Research**

Researchers must only claim expertise in research areas in which they have demonstrable competence. Researchers should also ensure that there is appropriate disclosure of any limitations on their work due to insufficient resources. This disclosure should be made in writing to the Head of Department/School (HOD/S) and, where funding is provided by an external source, to Research & Innovation.

When in doubt, researchers should seek assistance with their research from their colleagues or peers. Debate on, and critique of, research work are essential parts of the research process.

### **3. No Manipulation of Results**

Researchers must not manipulate the results of the work to meet the perceived needs or requirements of funding agencies or other interested parties, nor condone such manipulation by others, including research staff who report to them and students under their supervision.

### **4. Publicly Funded Research**

Researchers must ensure, wherever possible, all research work that is publicly funded is effectively transferred or disseminated to achieve appropriate public good. A strategy for transferring the knowledge or intellectual property outputs of the research should be developed, consistent with the objectives, intent and contractual requirements of the funding agency, at the beginning of the research project and prior to any publication. Research results and methods should be open to scrutiny by the world at large and by colleagues through appropriate professional publication, as a means of achieving excellence in research and contributing to the collective body of knowledge.

Some funders and publishers require original data be made publicly accessible to other researchers and where stipulated, these requirements must be honoured.

The Research Committee encourages the transfer of research outputs to users or intermediaries to achieve benefit for New Zealand society and the environment. It also encourages dissemination of research to the general public through public meetings, television and radio interviews, and contributions to the popular press, etc. In addition, all researchers need to do their part to ensure that members of the general public appreciate the value of publicly funded research in New Zealand.

Research work of particular relevance to Māori may require dissemination through hui (meetings) with rūnanga.

The Research Committee further encourages researchers to disclose to the Commercial Director, Research & Innovation, ideas and inventions with potential commercial value, with more information available at [IP Commercialisation \(University Research website\)](#).

## 5. Commercial Research

The issue of commercial confidentiality of research requires careful consideration. It must be subject to a signed contractual agreement covering the exchange of information and publication of results. Discussion and interchange of ideas are basic elements of all University research. Confidentiality clauses for commercial research must be negotiated and agreed upon by Research & Innovation.

A confidentiality agreement may be required if research staff or students have access to inventions, confidential information, or new techniques being developed by other people either within or outside the University. Such confidentiality agreements may be for an indefinite period of time, but they should not be entered into if they prevent the University's research staff or students from publishing their own work (however, the withholding of publication for a limited period may be acceptable if this is required by others to obtain patent protection or a market lead for the new inventions and techniques). In the case of student research, the restriction on publication cannot be for a period exceeding two years, except in special circumstances and requiring the written approval of the Deputy Vice-Chancellor (DVC). Requests by the commercial party to embargo theses are approved by the Dean of Postgraduate Research. In some circumstances, it may be appropriate to allow a third party the right to review manuscripts before submission for publication and to request the removal of confidential or commercially sensitive information.

Where data of a commercially confidential nature has been obtained, commercial confidentiality shall be observed and research workers shall not use such information for their own personal advantage or that of a third party. In the particular case of student research where there are issues of commercial confidentiality and ownership of intellectual property (IP), students and their supervisors are referred to the [Intellectual Property Policy \(PDF, 534KB\)](#).

## 6. Ethical and Socially and Culturally Responsible Research

The University is committed to engaging only in ethical and socially and culturally responsible research while preserving academic freedom.

a) Research Funding

In respect to research grants, this means that funding will not be accepted where it would be unethical or socially or culturally irresponsible to do accept it by reason of one or more of

- the identity of the proposed funder or its associates,
- the activity the proposed funder engages in,
- the nature of the proposed research, and/or
- the imposition of inappropriate conditions on the research by the proposed funder.

Examples of when it may be ethically, socially or culturally irresponsible to accept funding are:

*(i) Problematic funders*

Includes:

- Tobacco companies,
- Arms manufacturers,
- Terrorist or criminal organisations, and
- Organisations subject to restrictions under UN Security Council Resolutions, or under any other trade or economic sanctions, laws or regulations.

Refer to [UN Sanctions \(New Zealand Foreign Affairs & Trade website\)](#) for further information

*(ii) Problematic research*

Might include research that deals with human remains in an improper manner, is based on a hypothesis of racial inferiority, or is assisting in the development of prohibited weapons.

*(iii) Problematic conditions on research*

Might include constraints on the conclusions which may be drawn by the researcher, or the mandating of academically unsound methodologies. \*

*Note: Confidentiality agreements and embargos that are consistent with public interest will not usually contravene these principles.*

b) Issues around Funding

Research funding managed by Research & Innovation is linked to a staff member. Any dispute around research funding managed by Research & Innovation will be escalated to the Deputy Vice-Chancellor (DVC) by the [Director, Research Services](#)

[or Commercial Director, Research & Innovation](#) (*University Research & Innovation and Postgraduate Contacts webpage*).

## 7. Human Ethics

The University has two Human Ethics Committees that review proposals for research and teaching exercises that involve human participants, to ensure that this work is conducted with appropriate regard for the ethical standards and cultural values:

- The Human Ethics Committee (HEC) reviews all proposals that are conducted within the University or outside of the University that do not involve an educational setting for either research or teaching and learning.
- The Educational Research Human Ethics Committee (ERHEC) reviews research that is conducted in an educational setting, is about an educational setting, or involves research into teaching and learning.

Research projects requiring review and approval by either of the Human Ethics Committees include any research or teaching activity in which persons are subjected to experimental procedures, observation, questioning and/or are otherwise used as a source of information or data; or research which draws on personal information which is not currently in the public domain accessed from artefacts such as documents or computer records that has been collected for other purposes than the research.

Research that is of a clinical nature, including studies involving invasive testing or treatment intervention, must be referred to the New Zealand Health and Disability Ethics Committees. There may also be a need to obtain approvals from other local ethics committees, e.g., the New Zealand Health and Disability Ethics Committees.

All research and teaching activities involving human participants must take into account

- participation in any research project, course work project, or teaching exercise is voluntary;
- information provided to gain the consent of participants is transparent, adequate and appropriate;
- participants must be made aware of their right to decline to participate or withdraw from participation in the project at any time (including withdrawal of any information they have provided);
- any deception or departure from the standard of fully-informed consent is justified in terms of its necessity to the scientific aims of the project;
- where deception has occurred, participants must be provided with an explanation of the true purpose of the project and the need for deception as soon as possible following completion of the project, and given the opportunity to withdraw from participation in the project;
- confidentiality of information is assured at all stages of a project;
- projects accord with legal requirements such as those of the [Privacy Act 1993 \(New Zealand Legislation website\)](#);

- researchers must endeavour to minimise any risk to participants and advise participants of any potential risks when seeking informed consent;
- special care should be taken with potentially marginalised, or otherwise vulnerable or disempowered participants;
- researchers should respect the property of others, including legal rights to land, goods, intellectual property, taonga and culturally sensitive data of any particular group;
- projects accord with the principles of the Treaty of Waitangi and consultation with Māori should be undertaken when appropriate;
- projects involving human participants are supervised by suitably qualified personnel and must meet appropriate scientific and scholarly standards, including those aligned with the [Children's Act 2014 \(New Zealand Legislation website\)](#);
- any real or possible conflicts of interest must be avoided or declared;

Researchers should consult with the appropriate Human Ethics Committee about exemptions from these requirements.

Further information is available from the [Human Ethics Policy Research Involving Human Participants \(PDF, 272KB\)](#) and the University [Human Ethics \(University Human Ethics website\)](#) web pages.

## 8. Animal Ethics

Animals must not be used in research, teaching or for any other purpose without the prior approval of the Animal Ethics Committee.

The Animal Ethics Committee is required by law to minimise the use of animals as well as reduce, avoid, or ameliorate the pain, suffering, and death of animals used in teaching and research at the University. Researchers are advised to refer to the [Animal Welfare Act 1999 \(New Zealand Legislation website\)](#) and [Animal Welfare \(Records and Statistics\) Regulations 1999 \(New Zealand Legislation website\)](#).

The term “animals” means:

- a) Any live mammal including a marine mammal (but does not include human beings);
- b) Any live bird;
- c) Any live reptile or amphibian;
- d) Any live fish, octopus, squid, crab, lobster or crayfish; and/or
- e) Any other animal that is declared by the Minister to be an animal by notice in the Gazette.

The Animal Ethics Committee has specific application forms for the “Use of Animals in Teaching” and “Use of Animals in Research” that must be completed, approved and filed before any research or teaching involving animals is undertaken. These are appended to the [Animal Ethics Committee \(AEC\) Code of Ethical Conduct \(PDF, 146KB\)](#). The number of animals used in research and teaching must be reported annually in writing to the

Ministry for Primary Industries and research laboratories will be monitored by the Animal Ethics Committee every six months for compliance with the approval.

Researchers should be aware that any research involving New Zealand native animal species may be of special interest to Māori. Consultation with Māori at the earliest possible time in the planning of the research project is advised and Environmental Protection Authority (EPA)/Department of Conservation (DOC) approvals may be required.

Further information and forms are available from the [Ethics intranet page \(University Research & Innovation intranet\) \(staff only\)](#).

## 9. Consultation with Māori

The University is legally bound to acknowledge the principles of the Treaty of Waitangi in the performance of its functions and the exercise of its powers ([s181 \(b\), Education Act 1989 \(New Zealand Legislation website\)](#)). The University is committed to ensuring its special relationship with Ngāi Tahu and its hapū, and particularly Ngāi Tūāhuriru and its wider relationship with all Māori, iwi, and hapū are managed in the spirit of partnership and good faith. For this reason the University has put in place procedures that ensure staff and student researchers are able to access high quality consultation with Māori via examination of research proposals by both the Ngāi Tahu Consultation and Engagement Group and the Ngāi Tahu Research Centre (NTRC). These procedures are activated in the first instance through contact with Kaiārahi Māori Research in Research & Innovation.

Kaupapa Māori research that is carried out within the Christchurch or Canterbury region must involve consultation with the Ngāi Tahu Research Centre.

It is the responsibility of the researcher to be aware of when they should conduct consultation with Māori regarding their research. If in doubt the researcher should speak with their Kaiārahi (Māori advisor), or the Kaiārahi Māori Research.

Further information regarding research and consultation with Māori is available on the [Māori Consultation web page \(University Research website\)](#).

## 10. Safety and Biosafety

Research needs to comply with the requirements of the [Health and Safety at Work Act 2015 \(New Zealand Legislation website\)](#) as well as any relevant [Health and Safety at Work Regulations \(see New Zealand Legislation website\)](#). As the University submits relatively few applications to the Environmental Protection Authority (EPA), an Institutional Biological Safety Committee (IBSC) is not required. As a consequence, any research on new, genetically modified, or unwanted organisms must have direct approval from the EPA, with all applications submitted via the Biological Facility and Compliance Officers.

Most University departments/schools have a staff member who is designated as the Departmental Safety Officer or Biological Facility and Compliance Officer; when there is any doubt or need for clarification, researchers should contact the University's Health and Safety Manager. The University also has a number of Health and Safety Committees, and

the Committees work with staff to ensure information on hazards, safety and emergency response are disseminated broadly and safety procedures are put in place.

The [Hazardous Substances and New Organisms Act 1996 \(New Zealand Legislation website\)](#) applies to many research areas. For work in this area, researchers should contact their Departmental Safety Officer or Biological Facility and Compliance Officer; when there is any doubt or need for clarification, researchers should contact the University's Health and Safety Manager for information and advice.

For further information please refer to the [Health and Safety Toolkit for Staff, Students and Visitors \(University Health & Safety intranet\) \(staff only\)](#) and [Emergency Management Website \(University Emergency Management website\)](#).

## 11. Retention of Data

Original data and software on which published material is based, should be kept for at least six years, or as specified in any relevant funding contract but, preferably, indefinitely.

The HEC requires retention for five years for Master's or lower level student research data and retention for ten years for PhD level student and University staff research data. Indefinite storage of data involving human participants requires disclosure to, and consent of, those participants, as does any future use of such data by researchers other than those who gathered it.

Individual researchers should ensure compliance with this policy, and are responsible for the development of a research data management plan and retention of their research data. The researcher must decide which data and materials should be retained, although in some cases this is determined by law, funding agency, a publisher or by convention in the discipline. Departments should make arrangements for storage of research data, in consultation with IT Services.

While retaining data does not of itself prevent the falsification of primary data, it is vital to have this record if questions are asked subsequent to publication. If primary data is not retained, genuine errors may be mistaken for misconduct, to the detriment of individual researchers, their colleagues and the University. The potential value of the material for further research should also be considered, particularly where the research would be difficult or impossible to repeat.

Some funders are requiring that original data be made publicly accessible to other researchers and where stipulated, these requirements must be honoured.

Long-term retention of original data that consists of personal information needs to be justified to avoid a breach of Privacy Principle 9 of the [Privacy Act 1993 \(New Zealand Legislation website\)](#):

*"...that an agency that holds personal information shall not keep that information for longer than is required for the purposes for which the information may be lawfully used."*



For further information about retention of the University's administrative data, please refer to the [Data Management Policy \(PDF, 158KB\)](#).

## 12. Expectations for Publications and other Research Outputs

Staff and students must be very careful in using and interpreting material from other authors, colleagues and students. It is essential that all references are properly acknowledged and documented.

It is important that all authors listed in the publication should have contributed in a significant way to the work. The principal author should advise all authors that they have responsibility either for the entire paper or for that part with which they are concerned. Guidelines on joint publication involving research students and staff are contained in the [Research Work for a Master's or Doctoral Thesis \(PDF, 356KB\)](#).

Similarly, the Principal Investigator or HOD/S, aided by Research & Innovation, should ensure that inventors named on an invention disclosure or patent have made an intellectual contribution to the conception of the invention, consistent with the definitions in US patent law.

The creation of books, papers, articles or other new works is an important expectation of each staff member *whose contract requires research*. In some cases, research may lead to other research outputs, including intellectual property.

Upon registration for Doctoral or Master's study, students should note the supervisory agreement that includes issues related to authorship of results from thesis work. Further, each academic department/school is required to provide a form for thesis students and their supervisors to sign at the commencement of studies, showing their agreement on issues regarding intellectual property, publication, data access and so on.

## 13. Serious Misconduct in Research

The following matters are deemed to be serious misconduct and perpetrators (both staff and students) are open to disciplinary action by the University:

- The fabrication or falsification of data, including changing records.
- Claiming results that have not been obtained.
- Plagiarism, including the direct copying of textual material, the use of other people's data without acknowledgment, the deliberate use of published or unpublished ideas obtained from other people not directly involved in the research without adequate acknowledgment, or not acknowledging substantial intellectual contributions made by others to the research.
- Misleading ascription of authorship, including the listing of authors without their permission and attributing work to others who have not in fact contributed to the research.

- Other serious misdemeanours in specific disciplines, e.g., departing from protocols approved by the University in human or animal experimentation.
- Misappropriation of research funding.

Serious misconduct by staff members and students will be managed in accordance policies and regulations, as appropriate:

- [Staff Code of Conduct \(PDF, 429KB\)](#)
- [Student Code of Conduct \(PDF, 220KB\)](#)
- [Employee Disciplinary Policy \(PDF, 211KB\)](#)
- [Academic Integrity Guidance for Staff and Students \(PDF, 256KB\)](#)
- [Discipline Regulations \(University Regulations website, PDF 38KB\)](#)
- [Academic Integrity and Breach of Instructions Regulations \(University Regulations website, PDF 40KB\)](#)

#### **14. The Role of Supervisors of Postgraduate Student Research**

The University, through HOD/Ss and supervisors, is responsible for ensuring that postgraduate student research is properly supervised. Supervisors have a duty to ensure thesis students are made aware of the existence of relevant University regulations, policies and procedures, and they must reach agreement with the student on a mutually suitable working relationship and on such matters as joint publication and access to data, as outlined in the [Research Work for a Master's or Doctoral Thesis \(PDF, 356KB\)](#).

#### **15. Authorisation of Contracts and Other Formal Agreements by Staff**

Individual researchers and HOD/Ss may not sign contracts or other formal agreements with external agencies, companies or individuals on behalf of the University. Only members of the Senior Management Team (SMT) or their authorised delegates are appropriate signatories for the University. In the case of research funding and consultancy activities, all contracts and agreements are processed through Research & Innovation who either have the authority to sign as the authorised delegate/s of the DVC, or will obtain the authorisation of the DVC or other SMT member/s. Individual researchers and HOD/Ss may sign confidentiality and non-disclosure agreements binding themselves individually, but not binding the University, the University's information or other members of the University.

Signing contracts or agreements without the formal delegated authority to do so, as set out in this policy, such that the countersigning party or parties believe that they have a binding contract with the University, is deemed to be serious misconduct and opens the perpetrator to disciplinary action by the University.

## Related Documents and Information

### Legislation

- [Animal Welfare \(Records and Statistics\) Regulations 1999 \(New Zealand Legislation website\)](#)
- [Animal Welfare Act 1999 \(New Zealand Legislation website\)](#)
- [Children's Act 2014 \(New Zealand legislation website\)](#)
- [Education Act 1989 \(New Zealand Legislation website\)](#)
- [Hazardous Substances and New Organisms Act 1996 \(New Zealand Legislation website\)](#)
- [Health and Safety at Work Act 2015 \(New Zealand legislation website\)](#)
- [Health and Safety at Work Regulations \(see New Zealand Legislation website\)](#)
- [Privacy Act 1993 \(New Zealand Legislation website\)](#)
- [Treaty of Waitangi Act 1975 \(New Zealand Legislation website\)](#)

### UC Regulations

- [Discipline Regulations \(University Regulations website, PDF 38KB\)](#)
- [Academic Integrity and Breach of Instructions Regulations \(University Regulations website, PDF 40KB\)](#)

### UC Policy Library

- [Academic Integrity Guidance for Staff and Students \(PDF, 256KB\)](#)
- [Animal Ethics Committee \(AEC\) Code of Ethical Conduct \(PDF, 146KB\)](#)
- [Data Management Policy \(PDF, 158KB\)](#)
- [Employee Disciplinary Policy \(PDF, 211KB\)](#)
- [Health and Safety Policy \(PDF, 227KB\)](#)
- [Human Ethics Policy Research Involving Human Participants \(PDF, 272KB\)](#)
- [Intellectual Property Policy \(PDF, 534KB\)](#)
- [Provision of Resources Policy - Support for Doctoral Students \(PDF, 215KB\)](#)
- [Research Contracts Policy \(PDF, 229KB\)](#)
- [Research Work for a Master's or Doctoral Thesis \(PDF, 356KB\)](#)
- [Staff Code of Conduct \(PDF, 429KB\)](#)
- [Student Code of Conduct \(PDF, 220KB\)](#)

**UC Website and Intranet**

- [Emergency Management \(Health & Safety intranet\) \(staff only\)](#)
- [Emergency Management \(University Support Services website\)](#)
- [Health and Safety Toolkit for Staff, Students and Visitors \(University Health & Safety intranet\) \(staff only\)](#)
- [Human Ethics \(University Study website\)](#)
- [IP Commercialisation \(University Research website\)](#)
- [Māori Consultation \(University Research website\)](#)
- [Master's Degrees \(University Study website\)](#)
- [Policies, Regulations and Guidelines \(University Postgraduate website\)](#)
- [Postgraduate website \(University Postgraduate website\)](#)
- [Māori Research \(University Research & Innovation intranet\)](#)

**Contact Information**

Human Ethics Committee	Human Ethics Chair	<a href="mailto:human-ethics@canterbury.ac.nz">human-ethics@canterbury.ac.nz</a>
Educational Research Human Ethics Committee	Educational Research Human Ethics Committee Chair	<a href="mailto:human-ethics@canterbury.ac.nz">human-ethics@canterbury.ac.nz</a>
Animal Ethics Committee	Animal Ethics Chair	<a href="mailto:animal-ethics@canterbury.ac.nz">animal-ethics@canterbury.ac.nz</a>
Ngāi Tahu Consultation and Engagement Group	Māori Research Kaiārahi	Ext 45520
Māori Research Advisors	Māori Research Kaiārahi	Ext 45520
Health and Safety	Health and Safety Manager	Ext 6630
Research & Innovation	<b>General Enquiries:</b>	
	Acting Director Research Services	Ext 4028
	Māori Research Kaiārahi	Ext 45520

**Document History and Version Control Table**

Version	Action	Approval Authority	Action Date
<i>For document history and versioning prior to 2013 contact <a href="mailto:ucpolicy@canterbury.ac.nz">ucpolicy@canterbury.ac.nz</a></i>			
1.00	<ul style="list-style-type: none"> <li>• Converted document onto new template and updated hyperlinks.</li> <li>• AVC(R) changed to DVC(R).</li> </ul>	Policy Unit	Sep 2013
1.01	Hyperlinks updated.	Policy Unit	Sep 2014
1.02	Extended review date to reflect	Policy Unit	Jan 2015

	consultation period.		
1.03	A/A updated from Chair, Research Committee to DVC(R).	Policy Unit	May 2015
2.00	Scheduled review by CO.	Policy Unit	Jun 2015
2.01	Amendments to hyperlinks.	Policy Unit	Jun 2015
2.02	“Faculty” references removed to reflect College-Faculty merger.	Policy Unit	Jun 2016
2.03	<ul style="list-style-type: none"> <li>• A/A updated from DVC(R) to DVC(R and I).</li> <li>• Added definitions and links.</li> <li>• MRAG changed to Ngāi Tahu Consultation and Engagement Group.</li> <li>• Updated contact details.</li> </ul>	Policy Unit	Sep 2016
2.04	<ul style="list-style-type: none"> <li>• DVC(R and I) changed to DVC.</li> </ul>	Policy Unit	Sep 2017
3.00	Scheduled review by CO, minor changes to content, changes to content layout	Deputy Vice-Chancellor	June 2019

**This policy remains in force until it is updated.**