

Research & Related Scholarly Activities

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This version is a complete policy update, incorporating changes introduced after the introduction of the Performance Based Research Fund as well as developments related to the administration of research at CPIT.

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Section 1 : Policy Overview

1.1 Policy Statement

Research and related scholarly activities support and enhance CPIT's core business of teaching and learning, as well as contributing to the professions and industries we serve. Staff and students are encouraged and supported to engage in research activities as a recognised part of their work or study, and are expected to meet the standards set by the Academic Board's central Research Committee. Priority for resources (eg allocation of research time, workload formula, distribution of research funds) is given to research that supports degree programmes and/or undertaken by staff involved in degrees or degrees under development. Research grants and other support are allocated according to clear criteria; research output expectations for different categories of staff are also clearly stated, with corresponding workload agreements. Refer 'Research Matters' publication for details.

1.2 Application of Policy

- a This policy applies to all academic research undertaken by CPIT staff, contract researchers, students and outside bodies/persons.
- b It relates primarily to ITPNZ Academic Quality Standard 11.

1.3 Formal Delegations & Variation to Policy

- a In April 1991, the (then) Christchurch Polytechnic Council delegated to the Chief Executive responsibility for the operation of the Academic Board, in accordance with s182.2 of the Education Amendment Act 1990. It also delegated to the CEO power to sub-delegate specified functions and powers.

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- b Delegations to the Academic Board and from the Board to other Committees/bodies are set out in the Academic Board Terms of Reference. Of particular relevance to this policy are: *'establish, oversee and evaluate procedures for the approval, support and oversight of research conducted by staff and students, with particular attention to ethical considerations and ownership issues'* and *'set up and administer a central fund to support staff research, publication and related scholarly activities'*.
- c The Board also has the power to *'set up sub-committees of the Board as required and establish effective delegations and reporting procedures, including the development or endorsement of the terms of reference and membership'*. The Academic Research Committee was established on 12 March 1992, with specified responsibilities under delegation from the Board.
- d The Academic Director has financial accountability for the central Research Fund, administered through the central Research Committee (refer Academic Board terms of reference).
- e The 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, CPIT staff and students are protected, and to provide ethics clearance on behalf of the central Research Committee (refer subcommittee terms of reference). Research involving ethical issues outside the expertise of this Subcommittee (eg using animal subjects) is to be considered by an appropriate ethics body.
- f As of April 2007, faculty level Research Committees have 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 Ethics Sub-committee.
- g Various other delegations are held by specified persons/bodies (eg Dean of Research, Academic Director, Academic Administrator), as set out in the Research Responsibilities/Delegations attachment to this policy.

1.4 Definitions

- a Academic research (also referred to as 'research' in this policy): Original, investigative work of a scholarly nature, with the potential for publication, exhibition, broadcast or other form of dissemination for purposes of peer review (refer Section 2.1 for research categories; refer 'Research Matters' publication for expanded definition, including definition used for Performance Based Research Fund purposes).
- b Academic Research Committee (referred to as 'the Committee' or ARC): Committee set up by the Academic Board, with delegated authority for approving research projects, allocating research grants and setting standards that ensure quality (with particular reference to ethics).
- c CPIT Research Office: The central administrative and support service, managed by the Dean of Research on behalf of the Academic Division.
- d Ethics Subcommittee: Sub-group set up by the Academic Research Committee to evaluate the ethics related aspects of research proposals and provide ethics clearance for projects involving human participants.

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- e Faculty based Research Committees: Committees set up within each faculty to support the research activities within that faculty/school, approve projects under sub delegation from ARC and provide a communication link between the central committee and researchers in the faculty/school.
- f Performance Based Research Fund (PBRF): Government level fund, managed by the Tertiary Education Commission, to reward research excellence.

<p>Attachments:</p> <ul style="list-style-type: none"> • Research Responsibilities/Delegations • Categorisation & Weighting of Research Outputs <p>Further Documents:</p> <ul style="list-style-type: none"> • <i>Research Matters: An Information Resource for Staff</i> [available in hard copy from Academic Division and via InfoWeb] • Updated Workload Guidelines [available from HR Division or Dean of Research] • ARC project and grant approval forms [accessible via InfoWeb] 	<p>Related Policies</p> <ul style="list-style-type: none"> • Research Ethics • Intellectual Property • Workload • Financial Support for Obtaining Higher Qualifications
<p>Notes</p> <ul style="list-style-type: none"> i) In 1992, a temporary central position (Academic & Research Adviser) was created to provide policy direction and assistance on a range of matters related to external quality assurance requirements, including research. The position was expanded into a permanent senior level position (now Academic Director) in 1994. ii) The Dean of Research position (reporting to the Academic Director) was created in 2000 to help with the expanded workload. It is now a full time tenured position. iii) CPIT entered the Performance Based Research Fund process in its second round (2006 – 2007). In 2007, Management Team and the Academic Board confirmed participation in the next round, expected to be 2012. 	

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Section 2: Procedures

2.1 Categories of Academic Research

- a The following categories of research, consistent with the definition developed by the NZ Qualifications Authority ('Approval & Accreditation of Courses Leading to Degrees and Related Qualifications, ITP Quality, April 2004), are used as the basis for making decisions related to the approval and funding of research activities at CPIT:
 - i Basic or fundamental research: Experimental or theoretical work undertaken primarily to acquire new knowledge, without any particular application or use in mind (often referred to as 'blue skies' research).
 - ii Strategic research: Work intended to generate new knowledge in an area not sufficiently advanced for specific applications to be identified.
 - iii Applied research: Work that develops or tests existing knowledge, is directed primarily towards specific objectives or the evaluation of current practices. Note that work involving the routine application of established techniques is unlikely to be classified as 'research' in this context.
 - iv Scholarship: Work intended to expand the boundaries of knowledge and understanding within and across disciplines through analysis, synthesis and interpretation of ideas and information, making use of a rigorous methodology.
 - v Creative work: The invention and generation of ideas, hypotheses, images, performances or artefacts, including design, leading to the development of new knowledge, understanding or expertise.
- b A further category, Consultancy and/or Professional Practice, is classified as research if the work undertaken (i) applies existing knowledge and investigative skills to solving problems in an industrial, commercial or professional context, (ii) fits one or more of the other categories listed above and/or (iii) advances the practice or quality of the relevant industry/profession.
- c Activities concerned primarily with course development, professional development and/or keeping abreast of new developments in the subject/content area are not regarded as research, despite their importance to the overall quality of teaching and learning.

2.2 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. At CPIT, staff receiving a specified level of research time/other resources are expected to submit a portfolio (refer *Research Matters* and HR's Workload Guidelines for details).

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2.3 Approval of Research Undertaken by Staff

- a Approval of research projects, as defined under this policy, is required from the Academic Research Committee or delegated body (currently formally established Faculty based Research Committees) if
- i the researcher plans to use CPIT resources (eg staff time, space, equipment, facilities) or to appoint CPIT 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 CPIT
- and/or*
- iv the project receives funds from CPIT or an external source under the auspices of CPIT
- and/or*
- v it involves any human/animal subjects connected in any way with CPIT.
- b The central Academic Research Committee and (under delegation) each of the faculty based Research Committees are responsible for managing the research approval process on behalf of the institution. Specific sub delegations apply (refer *Research Matters* and the attached Research Responsibilities/Delegations sheet).
- c The central Ethics Subcommittee is responsible for evaluating the ethics related aspects of research 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 CPIT's Ethics Subcommittee. Any ethical issues falling outside the expertise of this Subcommittee (eg animal subjects) must be considered by an appropriate ethics body.
- d Deans or Heads of School (or Division Directors in the case of non academic staff) are responsible for approving staff research plans before projects are submitted for approval by the relevant Research Committee, allocating staffing and research time, ensuring adequate resources (other than those provided by ARC) are available and monitoring research outcomes.
- e Research of an administrative/management nature (eg marketing research, consultation surveys) 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, however. The ARC, Dean of Research or Academic Division is available for advice if requested.
- f Serious misconduct related to any research activity is addressed according to the stated procedures in the "Research Ethics" policy, and the "Resolving Staff Performance or Conduct Issues" policy if relevant.

2.4 Approval of Research Undertaken by Students

- a Approval of student research projects is required from the relevant faculty based Research Committee. If an assignment involves human subjects or there are other ethical considerations, the research proposal also requires ethics clearance from the Ethics Subcommittee (or other appropriate ethics body for subjects other than humans) the first time the assignment is used. For subsequent uses, notification to the Faculty/School Ethics Adviser is sufficient.

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- b If the same research assignment is used for more than one class at the same or future time, the faculty based Research Committee may grant ‘generic approval’. This means that the project does not require separate approval each time the assignment is set, even when the actual projects differ in content/methodology. The following information is required for generic approval:
 - i the learning outcomes of the research assignment (ie brief statement of its purpose)
 - ii a copy of the assignment brief or information pack that is given to students, setting out how any ethical issues are to be addressed, eg confidentiality, informed consent (refer above for details regarding ethics clearance)
 - iii a summary of the research experience of the staff members likely to supervise the projects
 - iv details of the training/assistance/supervision that will be provided to students to ensure they are ‘safe researchers’
 - v the likely end product of the assignment (eg report, exhibition, broadcast) and in what arena (internal/external).

2.5 Approval of Research Undertaken by External Bodies or Under Contract

- a Research undertaken by external bodies or under contract to CPIT is subject to the same procedures and requirements described in Sections 2.3 and 2.4. Approval to proceed is given by the Dean of Research or Academic Director, in consultation with the most relevant faculty based Research Committee.
- b In all cases, the impact on teaching and learning is taken into account. Even if the research itself is acceptable, permission to proceed may be denied if the likely disruption is unacceptable.

2.6 Allocation of Research Grants

- a Only approved projects are eligible for an internal or external research grant.
- b Criteria for eligibility for CPIT grants are published by the central Research Committee, along with the application procedures. Any staff member can apply for a grant, although priority is given to staff teaching in degree/graduate programmes or degrees under development.
- c The Research Fund is administered by the Academic Division on behalf of the ARC. An annual allocation (currently \$250,000) is provided through CPIT’s annual budget round via the Academic Division.
- 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 CPIT Research Website (refer Section 2.8).

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2.7 Expected Research Outputs

- a Research supports our core business of teaching and learning. CPIT therefore encourages and supports staff and student research as a recognised part of their work/study. However, research is a required activity only for designated staff teaching in degree/graduate programmes (refer Education Act 1990 s162[4], which defines degrees as being ‘taught mainly by people engaged in research’).
- b CPIT management acknowledges that the expected research output varies 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 persons other responsibilities (eg Programme Leader, Head of School). CPIT management also acknowledges that research activity is likely to vary from year to year, depending on staff time and available resources.
- c Staff with allocated research time are expected to achieve agreed research outcomes against their approved research plan and within the agreed timeframe. Research output expectations for various categories of staff are set out in *Research Matters*. Guidelines defining the amount of time available for research, the expectations regarding quantity and quality of research outputs and expectations related to PBERF engagement have also been developed (refer HR document).
- d Research outputs are weighted according to a scheme endorsed by the central Research Committee (refer attached).
- e Faculty Deans or Heads of School are responsible for monitoring research outputs, with overall direction and assistance from the Dean of Research, Faculty/School Research Committee Chairs and the Academic Director.

2.8 Records and Reporting

- a The Academic Division maintains a central file of research and grant applications and decisions. Faculties are required to maintain fuller records of projects undertaken by staff and students.
- b The Dean of Research oversees CPIT’s Research Website, which includes a section accessible to the general public. Staff are responsible for ensuring the entries are correct and up to date. The official record of research activity, including a summary of research outputs for inclusion in CPIT’s Annual Report, is generated from this website.
- c Staff are expected to lodge research outputs in the institutional research repository.
- d The Dean of Research has delegated authority to submit PBRF portfolios on behalf of the institution and for subsequent reporting on results.

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