

APPROVAL AND PUBLICATION OF RESEARCH

Section	Research		
Approval Date	16.07.08	Approved by	Academic Board
Next Review	April 2010	Responsibility	Director of Teaching and Learning
Key Evaluation Question	4	ITPNZ Quality Standard	11

PURPOSE

To ensure Nelson Marlborough Institute of Technology (NMIT) research meets accepted professional and ethical standards.

SCOPE

All research¹, as described in DEFINITION OF RESEARCH, undertaken by staff or students of NMIT that will be associated in any way with the name of NMIT, including research undertaken jointly or in collaboration with external people and organisations, and research supervised externally.

¹Note: for the purpose of gaining approval to undertake and publish research the NMIT Definition of Research is expanded to include projects, protocols, contracts and teaching activities, including experiments set up for teaching purposes, which involve ethical considerations. Refer: *Ethical Considerations for Research*

Approval to undertake research and/or to publish research.

DEFINITION OF RESEARCH:

NMIT has adopted the definitions of research activities developed by the Council for National Academic Awards (1992) and used by the New Zealand Qualifications Authority (1995) as a basis for accreditation of degree courses. Activities mainly concerned with keeping abreast of new developments shall not be regarded as research. The following activities fall within the NMIT definition of research:

1. Basic or Fundamental Research:

Experimental or theoretical work undertaken primarily to acquire new knowledge without any particular application or use in view.

2. Strategic Research:

Work intended to generate new knowledge in an area which has not yet advanced sufficiently to enable specific applications to be identified.

3. Applied Research:

Work which develops or tests existing knowledge and is primarily directed towards either specific practical objectives or towards the evaluation of policies or practices.

4. Scholarship:

Work intended to expand the boundaries of knowledge and understanding within and across disciplines by the analysis, synthesis and interpretation of ideas and information, making use of a rigorous methodology.

5. Creative Work:

The invention and generation of ideas, hypotheses, images, performances or artifacts, including design, in any field of knowledge, leading to the development of new knowledge, understanding or expertise.

6. Consultancy:

Work which involves the deployment of existing knowledge and the application of analytical and investigative skills to the resolution of problems presented by a client.

7. Development:

Systematic activity based on existing knowledge or research and/or practical experience directed towards producing new materials, products, systems or services

APPROVAL TO UNDERTAKE AND PUBLISH RESEARCH

Research requires prior approval of the Research & Ethics Committee (R&EC), including:

- all research by NMIT staff, whether supervised by other Institute staff or supervised externally, where the work is not part of obtaining a qualification from another recognised university or tertiary education institute.
- research where ethical or legal aspects could give rise to a liability of legal damage proceedings being taken against the Institute or a researcher and/or research involving ethical considerations within the Terms of Reference of the R&EC. Refer *Ethical Considerations for Research*.
- research funded by an outside agency.
- research undertaken by staff as part of gaining a qualification from another recognised university or tertiary education institute.
- presentation or publication of research and/or surveys by NMIT staff or students.

Research (including surveys) by students as part of their NMIT programmes, need only be notified to the Research & Ethics Committee where it will involve participation of Human subjects, and additionally NMIT's Animal Ethics Committee where it will involve Animal subjects. Refer *Ethical Approval for Student Research*.

APPLICATION PROCEDURE

RESEARCH BY NMIT STAFF

Complete form REC1.

The Convenor of the R&EC may forward each application for research to (at least) two members for evaluation and an approval decision. Research proposals do not necessarily require approval from all members of the R&EC. The Convenor of the R&EC may make the approval decision if the members do not agree. Alternatively the application may be considered at a meeting of the R&EC. The Convenor of the R&EC may at his/her discretion require any application to be submitted to the Nelson Marlborough Ethics Committee for consideration.

RESEARCH BY NMIT STUDENTS

Complete Form SR1 appended to policy *Ethical Approval for Student Research*. Notification must be sent to the representative of the R&EC named on the Form SR1 where the research requires participation of Human subjects, and in addition to NMIT's Animal Ethics Committee where requiring participation of Animal subjects.

CRITERIA FOR APPROVAL OF RESEARCH

The following criteria shall be considered by the R&EC when reviewing projects for approval:

- Feasibility of the project including financial provisions
- Research experience of the team in relation to the objectives and methodology of the project
- Consistency with the Institute's Mission, Vision and Values and the applicant's teaching duties
- Ability of the Institute to support the project (including physical and personnel aspects)
- Research design and methodology
- Potential effects on the research subjects
- Adherence to relevant ethical requirements; refer *Ethical Considerations for Research*
- The work is open to peer and public appraisal and scrutiny.
- Expected benefits to the Institute, community, industry or other relevant groups
- Accountability of the researcher
- Nature and adequacy of supervision for the project
- Intellectual Property issues are addressed; refer *Intellectual Property*.

NOTIFICATION OF PUBLICATION OR PRESENTATION OF RESEARCH

All submission of work for publication or presentation must be notified to the R&EC on form REC2.

NMIT PUBLICATIONS

WORKING PAPER SERIES

The working paper series is intended to provide staff and students with a means of communicating new and partly developed ideas in order to facilitate debate. Working papers will not necessarily be taken as complete works or final expressions of opinion. While peer review will be encouraged, a working paper will not be formally reviewed. Application to publish a working paper will be made to the R&EC on form REC3.

OCCASIONAL PAPER SERIES

The occasional paper series enables staff and occasionally students to publish research findings or theoretical papers for wider discussion and comment and will usually reflect completed research. Applications to publish should be on form REC3. To be published in this series, a paper will have undergone a formal peer review process by at least two reviewers and been evaluated by an editorial sub-committee, answerable to the R&EC. Occasional papers will be published with an ISSN number.

CRITERIA FOR ALL WORKING PAPERS AND OCCASIONAL PAPERS

The author must certify that a paper or project represents the author's own original work and is not an infringement of any existing copyright.

- Any significant contribution by others shall be appropriately acknowledged in the manuscript.

- The research methodology and ethical procedures must be clearly described.

REFERENCES

INTERNAL

Ethical Considerations for Research
Ethical Approval for Student Research
Intellectual Property

APPENDICES

- Appendix One: Application for Research and Ethics Committee Approval for Undertaking Research (Form REC1)
- Appendix Two: Notification of Intention to Publish or Present Research (Form REC2)
- Appendix Three: Application to Publish a Working or Occasional Paper in the NMIT Series (Form REC3)
- Appendix Four: Research Funding Request (Form REC4)

REC1

NOTIFICATION OF INTENTION TO UNDERTAKE RESEARCH

Date received		Application no	
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1 Researcher Details			
1.1	Name of Researcher(s):		
1.2	Position of Researcher(s)		
1.3	School:		
1.4	Preferred email address:		
2 Type of Project (Tick)			
<input type="checkbox"/>	Research for tertiary qualification	<input type="checkbox"/>	Research undertaken as part of a group
<input type="checkbox"/>	Individual Research	<input type="checkbox"/>	Research funded by external body
<input type="checkbox"/>	Other, please specify		
3 Project Outline			
3.1	Proposed Title:		
3.2	Brief Outline (include objectives):		
3.3	Expected Outcomes of the Project (e.g. conference presentations, publications):		
3.4	Expected start date:		Expected completion date
3.5	If this research is part of your tertiary study, please provide the following details:		
	Qualification:		
	University:		
3.6	Expected research methodology:		
3.7	Does your research require the participation of:-		
	Human subjects?		Animal subjects?
3.8	What supervision or peer review of the project is planned:		

4 Funds	
4.1	Are NMIT research funds being requested to support this presentation? <i>(If yes, please complete and attach a funds request form (REC4))</i> <input type="checkbox"/> Yes <input type="checkbox"/> No
5 Legal/Ethical Issues	
5.1	Please describe any potential liability for prosecution from ethical or legal issues
5.2	What ethical consent has been/will be obtained?
Signature(s) of Researcher(s)	
Date:	
Research & Ethics Committee recommendation:	
Research and Ethics Committee comments:	
Date:	Accepted <i>(on behalf of Research and Ethics Committee)</i>

Thank you for your notification.

This will be submitted to the NMIT Research and Ethics Committee.

Please send the completed signed hard copy of this form to the Secretary of the Research & Ethics Committee as well as an emailed copy of this form.

RESEARCH AND COMMITTEE ETHICS

REC2

 NOTIFICATION OF INTENTION TO PUBLISH OR PRESENT
 RESEARCH

Date received		Application no	
1 Researcher Details			
1.1	Name of Researcher(s):		
1.2	Position of Researcher(s):		
2 Type of Submission (Tick)			
	<input type="checkbox"/> Conference Paper	<input type="checkbox"/> Journal Paper	
	<input type="checkbox"/> Conference Presentation	<input type="checkbox"/> Book	
	<input type="checkbox"/> Book Chapter	<input type="checkbox"/> Book Review	
	<input type="checkbox"/> Newspaper/magazine article	<input type="checkbox"/> Other, specify	
3 Body to which submission has been made (e.g. name of conference or publication)			
4 Title of your paper or submission			
5 When do you expect to hear if your submission has been accepted?			
6 What is the expected publication/presentation date?			
7 Was the initial research approved by the NMIT Research and Ethics Committee?			
	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
8 Was the research approved by some other Research and/or Ethics Committee?			
	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
If yes, give the name of the approving body and the date.			
9 Has this work been published elsewhere?			
	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
If yes, give details			
10 Are NMIT research funds being requested to support this presentation? (If yes, please complete and attach a funds request form (REC4))			
	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Signature(s) of Researcher(s)			
Date:			

Thank you for your application.

This will be submitted to the NMIT Research and Ethics Committee.

Please send the completed signed hard copy of this form to the Secretary of the Research & Ethics Committee as well as an emailed copy of this form.

REC3

APPLICATION TO PUBLISH A WORKING OR OCCASIONAL PAPER IN THE NMIT SERIES

Date received		Application no	
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1 Applicant Details			
1.1	Name of Applicant(s):		
1.2	Position of Applicant(s):		
1.3	School:		
1.4	Contact details (email or phone):		
2 Paper Title			
3 Type of Paper (Tick)			
<input type="checkbox"/> Occasional		<input type="checkbox"/> Working	
4 Has this paper been published (or submitted for publication) elsewhere?			
<input type="checkbox"/> Yes		<input type="checkbox"/> No	
5 Reviewers			
If you are applying for an occasional paper, please provide the names and contact details of two people, expert in your field, who we might approach to act as a reviewer of the paper.			
5.1	Name		
	Institution/Company:		
	Address/contact details:		
5.2	Name		
	Institution/Company:		
	Address/contact details:		
Signature(s) of Researcher(s)			
Date:			
Research and Ethics Committee Recommendation			
Date:			

Thank you for your application.

This will be submitted to the NMIT Research and Ethics Committee.

Please send the completed signed hard copy of this form to the Secretary of the Research & Ethics Committee as well as an emailed copies of this form and your paper.

REC4

RESEARCH FUNDING REQUEST

1 Applicant Details			
1.1	Name of Applicant(s):		
1.2	Position of Applicant(s)		
1.3	Applicant's School		
2 Reason for Request Please identify the primary reason for this request			
2.1	<input type="checkbox"/> Undertake research project	<input type="checkbox"/> Employ research assistance:	
	<input type="checkbox"/> Present research at conference:	<input type="checkbox"/> Attend conference:	
	<input type="checkbox"/> Exhibition expenses:	<input type="checkbox"/> Tertiary study expenses:	
	<input type="checkbox"/> Other: (Please provide details)		
2.2	Has this work previously received funding support from NMIT? <i>(If yes, please provide details)</i>		
	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3 Funding Requested			
3.1	What is the total amount of your funding requests from all sources?	\$	
3.2	What is the amount that you are requesting from the Research Fund?	\$	
3.3	Are you requesting other funds from NMIT? <i>(If yes, please provide details)</i>		\$
	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3.4	Are you requesting external funds? <i>(If yes, please provide details)</i>		\$
	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
PLEASE PROVIDE THE BUDGET DETAILS REQUESTED ON PAGE TWO OF THIS FORM			
Signature(s) of Applicant(s)			
Date of application:			
Signature of Head of School			
Date received by R & E Committee:			
Research & Ethics Committee Comments:			
Research & Ethics Committee Decision:			
Date:		Amount approved:	\$
Type of Report Back Required:			

