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## Responsible Research Policy

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### 1. Purpose

The purpose of this Policy is to:

- (a) Set out the overarching values, associated general principles, behaviours and expectations related to the conduct, management and administration of responsible research at Te Herenga Waka—Victoria University of Wellington (the University), with the intention to support good conduct and good practice of research for individual researchers and the University as a whole.
- (b) Provide the framework for all research-related policies, procedures, processes and guidelines, to ensure that all Members of the University Community are aware of and adhere to the highest ethical and professional standards in all activities related to research.

### 2. Application of Policy

This Policy applies to all Members of the University Community involved in the conduct, management, and administration of research.

## Policy Content

### 3. Values and Principles of Responsible Research<sup>1</sup>

- 3.1 Te Herenga Waka – Victoria University of Wellington is a world-class tertiary education institution that operates on a values-based system.
- 3.2 With, and as, tangata whenua, we value Te Tiriti o Waitangi, rangatiratanga (leadership), manaakitanga (the fostering of knowledge), kaitiakitanga (responsibility for and guardianship of knowledge), whai mātauranga (intellectual curiosity), whanaungatanga (collaboration and collectiveness) and akoranga (collective responsibility for learning).
- 3.3 We uphold the eight principles in Te Tiriti o Waitangi Statute in all our endeavours.
- 3.4 The University upholds the principle of academic freedom and the role both it and its members play as critic and conscience of society and in the advancement of knowledge<sup>2</sup>, while balancing these with the responsibilities all Members of the University Community have to their research participants, colleagues, community, discipline, and the University.
- 3.5 Academic integrity is foundational to the work of all Members of the University Community, who are expected to uphold ethical standards in all academic activities, including research, engagement, and teaching and learning. This is at the core of the University's ethical values and reflects its strong commitment to respect, responsibility, fairness, integrity, and empathy.
- 3.6 In the context of undertaking responsible research, this Policy considers the values of the University and how these values can be reflected when undertaking research:

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<sup>1</sup> The values and principles reflect and acknowledge the work of the Royal Society Te Apārangi Research Charter for Aotearoa New Zealand and The Pūtaiora Writing Group Te Ara Tika Guidelines for Māori research ethics.

<sup>2</sup> As set out in sections 267 and 268 of the Education and Training Act 2020.

**Respect**

We uphold the mana of people through the respectful conduct of research, balancing one's own authority and the rights held by others both individuals and communities. We act with care (aroha) and rigour (pūkenga), respecting and appreciating diverse values and communities (manaakitanga).

**Responsibility**

We act responsibly, ensuring resources are managed appropriately and all relevant research requirements and standards are met (kaitiakitanga). We understand our cultural and social responsibilities, foster relationships and partnerships, and maintain a duty of care with relevant communities and our colleagues.

**Fairness**

We act with honesty, transparency and good faith, treating people fairly and equitably to build relationships of mutual faith and trust (whakapono). We undertake to fairly distribute the benefits and burdens of research to individuals and communities.

**Integrity**

We act with integrity to respect the legitimate interests of relevant communities (tika) and ensure the trustworthiness of research through the soundness of its methods, the honesty and accuracy of its presentation. We act to benefit society, contributing to broad concepts of well-being, and balancing benefits against risks and costs.

**Empathy**

We acknowledge the importance of relationships with relevant communities in our research (whakapapa), and the protection and care (aroha) that is part of that. We act in a way to not cause intentional harm to research participants, identify the risks of harm and ensure that those risks do not outweigh the expected benefits.

**4. The University contribution to supporting a responsible research environment**

4.1 The University contributes to a responsible research environment by:

- (a) safeguarding the health, safety, wellbeing and rights of staff and students, in accordance with the Health, Safety and Wellbeing Policy, the Privacy Policy and the Education and Training Act 2020.
- (b) providing good governance and management practices to support and encourage responsible research practice including through affirmative actions that support the University's Equity, Diversity and Inclusion Framework;
- (c) fostering leadership through the University Research Committee to build a strong research culture, develop appropriate research strategies, and support internal investment in research activities;
- (d) providing appropriate amenities, support systems, and opportunities for ongoing training, education and mentoring for members of the research community where appropriate;
- (e) providing for the safe and secure storage, management and access for future use of research artefacts, data, samples and records; and
- (f) using good practice processes to receive concerns or complaints about matters of potential research misconduct in relation to clause 6, investigate and determine such matters, including whether serious misconduct has taken place, and undertake any necessary follow-through actions.

## 5. Expectations of Members of the University Community<sup>3</sup>

- 5.1 As an academic community, we prize excellence, intellectual rigour, critical inquiry, academic freedom, and institutional autonomy. The University and Members of the University Community can facilitate a research environment that aligns to the values and principles of this policy by supporting and encouraging the responsible conduct, management and administration of research.
- 5.2 In this context, Members of the University Community are expected to:
- (a) Behave ethically and with honesty and professionalism, and undertake their research and related activities diligently, carefully and appropriately;
  - (b) actively seek research excellence, demonstrate the highest standards of behaviour, and foster a culture of integrity including through supporting colleagues, responding positively to requests for mentoring advice and providing opportunity to those who are early in their research career;
  - (c) be respectful to other people, acting with cultural safety and intellectual rigour (pūkenga), and appreciating diverse values and communities (manaakitanga), while recognising that some research may cause discomfort or engage in criticism reflecting the role the University has as critic and conscience of society;
  - (d) if appropriate in terms of the research question and methodology, endeavour to identify and engage with stakeholders and/or affected communities (whakapapa), recognise their rights (mana), and respect their interests (tika), including intergenerational interests;
  - (e) if appropriate in terms of the research question and methodology, partner with mana whenua, tangata whenua, iwi, hapū or other communities for whom there are reasonably foreseeable direct impacts, which may include using appropriate methodologies such as kaupapa Māori, rangahau or collaborative pathways that are co-designed and co-delivered with those partners;
  - (f) be mindful of the environmental effects of their research and research practices including the effects of travel (kaitiakitanga);
  - (g) act with integrity and professionalism when undertaking peer review, assessor and reviewer roles.
  - (h) contribute to the public interest by:
    - (i) being mindful of their obligations to society;
    - (ii) reflecting on what the consequences of their research might be;
    - (iii) disseminating results and findings as soon as it is appropriate to do so and in accordance with the Open Access Policy where practicable; and
    - (iv) engaging responsibly with the public.

## 6. Requirements of Members of the University Community

- 6.1 The Members of the University Community are required to:
- (a) meet all ethics requirements and standards, including those set out in:
    - (i) the University's Animal Ethics Policy; and

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<sup>3</sup> The expectations of Members of the University Community reflects and aligns where appropriate to the Royal Society Te Apārangi Research Charter for Aotearoa New Zealand.

- (ii) the University's Human Ethics Policy and Human Ethics Guidelines;
- (b) meet all legal and regulatory requirements and implement relevant practice and risk management standards including the University's Risk Management Policy;
- (c) safeguard the health, safety, well-being, and rights of research participants, in accordance with the Health, Safety and Wellbeing Policy and Privacy Policy;
- (d) only claim competence commensurate with their expertise, knowledge and skills in accordance with the Staff Conduct Policy or the Student Conduct Statute and the Academic Integrity Policy for Students;
- (e) act with honesty and integrity when applying for research funding, and responsibly manage any research grant funding they receive, from both external and internal sources, in accordance with all contractual agreements with funders and the University's Management of External Research, Consultancy and Related Contracts Policy where applicable;
- (f) responsibly manage artifacts, data, samples and records they access, create or collect, in accordance with the relevant University (see section 9: Related documents) and any contractual agreements with funders, publishers or other third-parties;
- (g) disclose all interests and manage conflicts of interests in accordance with the Conflicts of Interest Statute;
- (h) correctly attribute those who have contributed to or funded the research in accordance with the Research Management Guidelines and appropriately acknowledge relevant work by others; and
- (i) appropriately recognise the ownership of copyright and intellectual property in accordance with the Intellectual Property Policy.

## 7. Complaints

- 7.1 A failure by a Member of the University Community to adhere to the expectations set out in clause 5.2 of this Policy may not, in and of itself, constitute research misconduct.
- 7.2 Where there is a concern that a Member of the University Community has failed to comply with the requirements of this Policy, complaints will be handled in accordance with the Staff Conduct Policy or the Student Conduct Statute as appropriate.

## 8. Definitions

In this Policy, unless the context otherwise requires:

Cultural safety<sup>4</sup> means the creation of an environment where researchers and their associated research organisations examine themselves and the potential impact of their own culture on the research they undertake with and on their research participants from another culture – this may include, but is not restricted to age or generation; gender; sexual orientation; occupation and socioeconomic status; ethnic origin or migrant experience; religious or

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<sup>4</sup> This definition is based on the definition of cultural safety in the context of health care, developed by Curtis, E., Jones, R., Tipene-Leach, D. et al. Why cultural safety rather than cultural competency is required to achieve health equity: a literature review and recommended definition. *Int J Equity Health* 18, 174 (2019). <https://doi.org/10.1186/s12939-019-1082-3>

	spiritual beliefs; and/or ability. This requires individuals and organisations to acknowledge and address their own biases, attitudes, assumptions, stereotypes, prejudices, structures and characteristics that may affect the research being undertaken. Cultural safety encompasses a critical consciousness where researchers and research organisations engage in ongoing self-reflection and self-awareness and hold themselves accountable for the development and delivery of research that is considered safe, as defined by the patient and their communities, and influence the research community to reduce bias and achieve equity within the wider research environment.
Good practice processes	means the processes that provide advice to those with concerns, are visible, supportive of the welfare of all parties involved, timely, effective, robust, procedurally fair, observe natural justice, separate investigation and decision-making roles, and, for potentially serious matters, normally use independently appointed lay members in the decision bodies that both determine the matter and decide any follow through actions to protect the public interest.
Harm	means an adverse event(s) that affects the psychological, socio-cultural, or physical interests or welfare of a research participant.
Kaupapa Māori	means research where Māori are significant participants, and where the research team is typically all Māori; research where a Māori analysis undertaken and which produces Māori knowledge; research which primarily meets expectations and quality standards set by Māori.
Research misconduct	refers to actions considered as examples of Misconduct/Serious Misconduct under the Staff Conduct Policy or Academic Misconduct under the Academic Integrity Policy in the case of Students.
Rangahau	means the traditional Māori process of inquiry, discovery, invention and innovation in the development of new knowledge, new ways of knowing, being and doing, from old knowledge.
Members of the University Community	means staff members, students, independent contractors, adjunct and visiting staff, visiting scholars and interns, professors emeriti and any other persons providing services to the University.

### Related Documents and Information

#### 9. Related Documents

[Education and Training Act 2020](#)

[Victoria University of Wellington Act 1961](#)

[Academic Integrity Policy for Students](#)

[Animal Ethics Policy](#)

[Conflicts of Interest Statute](#)

[Cyber Security Procedures](#)

[Equity, Diversity and Inclusion Framework](#)

[Health, Safety and Wellbeing Policy](#)

[Human Ethics Policy](#)

[Human Ethics Guidelines](#)

[Information and Records Management and Security Policy](#)

[Intellectual Property Policy](#)

[Management of External Research, Consultancy and Related Contracts Policy](#)

[Open Access Policy](#)

[Records and Information Management Procedures](#)

Research Management Guidelines (in development)

[Risk Management Policy](#)

[Student Conduct Statute](#)

[Sustainability Policy](#)

[Te Tiriti o Waitangi Statute](#)

[Public engagement guidelines for researchers, scholars and scientists](#)

[Research Data Management Guide](#)

[Trusted Research – Protective Security Requirements \(TR-PSR\) Guide for Senior Leaders](#)

## 10. Document Management and Control

### *Essential Record*

Approver	Tumu Whakarae – Vice-Chancellor
Approval Date	30 April 2024
Effective Date	30 April 2024
Next Review Date	1 June 2026
Policy Sponsor	Maruārangi – Deputy Vice-Chancellor (Research)
Policy Owner	Director, Research Office

### *Modification History*

Date	Approval Agency	Details
30 April 2024	Tumu Whakarae – Vice-Chancellor	New policy.