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1. HOW DO I PLAN MY RESEARCH?
1.1 Importance of and Definition of Research

Research is a - perhaps the - defining feature of a university. Under New Zealand’s Education Act 1989, the principal aim of a university is to develop intellectual independence. We are required to ensure that teaching and research are closely interdependent and performed to international standards. The autonomy of universities and academic freedom to question and test received wisdom, to put forward new ideas and to state controversial or unpopular opinions are explicitly protected, reflecting our unique role in the creation and dissemination of knowledge to enhance progress and democracy. That freedom carries with it rigorous ethical responsibilities and openness to peer review. Universities are also required to accept a role as ‘critic and conscience of society’.

The term ‘research’ can be defined in a number of different ways. To ensure clarity, The University of Auckland uses the definition of research taken from the Performance Based Research Fund (PBRF), which is:

For the purposes of the PBRF, research is original investigation undertaken in order to contribute to knowledge and understanding and, in the case of some disciplines, cultural innovation or aesthetic refinement.

It typically involves enquiry of an experimental or critical nature driven by hypotheses or intellectual positions capable of rigorous assessment by experts in a given discipline.

It is an independent*, creative, cumulative and often long-term activity conducted by people with specialist knowledge about the theories, methods and information concerning their field of enquiry. Its findings must be open to scrutiny and formal evaluation by others in the field, and this may be achieved through publication or public presentation.

In some disciplines, the investigation and its results may be embodied in the form of artistic works, designs or performances.

Research includes contribution to the intellectual infrastructure of subjects and disciplines (eg. dictionaries and scholarly editions). It also includes the experimental development of design or construction solutions, as well as investigation that leads to new or substantially improved materials, devices, products or processes.¹

* The term ‘independent’ here should not be construed to exclude collaborative work.

1.2 Research Programmes and Research Projects

It is useful to make a distinction between research programmes and research projects. A programme is a major research theme, which may occupy a researcher for several years or, indeed, for a lifetime (for example, programmes of research on causes of cancer or sources of economic growth). A research programme may be disciplinary, multidisciplinary or interdisciplinary. It may range from something very theoretical to something very applied. It may occupy only the individual or involve collaborations with other researchers. Heads of Academic Units (Schools, Departments or Large Scale Research Institutes, LSRIs) in the University are interested in ensuring that new academic staff successfully develop one or more programmes of research. It is important to choose and progress a programme of research after completing a PhD. It may continue the work of the PhD or branch out in a new direction.


https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/research-36/about-research-at-the-university-of-auckland/research-guide
A research project is a finite research activity, based on a discrete set of research objectives, methods and projected outputs. A project aims to address a specific question within a limited timeframe. It may be a one-off activity, not linked to a longer-term enquiry, or may sit within a strategic research programme.

1.3 Establishing Collaborations

Collaboration in research is increasing. This occurs when researchers, within or between institutions, nationally or internationally, agree to work together to achieve a goal that would be difficult for any of the participants to complete independently.

Research collaboration has many advantages. It makes more effective use of individual talents and extends the individual researcher’s network. Collaboration increases the skills, tools, and facilities available for research and may provide access to additional sources of funding. Intellectual stimulation from collaboration may increase creativity. Research collaboration may benefit individual research performance beyond increased numbers of research outputs. Involvement in research collaborations can be a sign of peer esteem and also a contribution to the research environment.

There are some potential difficulties associated with collaboration. While collaboration at its simplest level may be an informal agreement between two individuals to work together, some collaborations are complex, requiring written agreements between the collaborating institutions. These should define the general principles of the collaboration and cover issues relating to:

- managing research findings
- sharing and ownership of intellectual property
- commercialisation of the research outcomes
- confidentiality
- management and disposal of research materials
- responsibility for ethics and biological safety
- reporting to funding agencies.

For further information, visit the subcontracting pages on the staff intranet. For further information on research integrity, ethics and safety, visit the research integrity pages on the staff intranet. For advice on intellectual property and commercialisation of research outcomes, contact UniServices.

See Section 3.2 for information on inter-institutional agreements - collaborative applications for research funds.

1.4 Collaborative Research Groups at the University of Auckland

Types of collaborative research groups

Establishing or participating in a collaborative research group can be extremely beneficial, both for the research programme and for the careers of the researchers involved. There is a large amount of informal collaborative research activity that goes on across the university, between individual researchers and between research teams. Often, development of and participation in informal networks is the simplest way to participate in collaborative research. In addition, the University has a number of formal research centres, networks and programmes to enhance and develop collaborative activity. These include:
Formal research centres (see below)

Thematic Research Initiatives (TRIs) – three research initiatives established in 2010 to enhance co-ordination and collaboration and enhance the quality of research in the following areas: Transforming Cities, Te Whare Kura, and Biopharma. In addition, two Strategic Research Initiatives have been established, the Food and Health Programme, and the Innovative Manufacturing and Materials Programme.

Centres of Research Excellence (CoREs) – The Government established eight CoREs in New Zealand in 2001 to encourage the development of excellent tertiary education-based research that is collaborative, strategically focused and creates significant knowledge transfer activities. The University of Auckland currently hosts three of these: the Maurice Wilkins Centre, Gravida: the National Centre for Growth and Development, and Ngā Pae o te Māramatanga. Results of the new CoRE selection round are due in 2014.

Faculty level research themes – a number of faculties have established research themes in particular areas to develop and co-ordinate collaborative research activity. Your Associate Dean (Research) will be able to advise about these.

What is a research centre?

Research centres are major contributors to the overall research effort of the University. While academic departments/schools are the key organisational units for the University, centres play an important role in changing the focus of research and facilitating interdisciplinary advances. Establishment of a research centre is a good way to build capability in a particular area and gather a critical mass of researchers to work collaboratively.

A research centre is a group of academic and research staff with a commitment to undertake research activity that is greater than or different from the activity that would be undertaken by the individual members in the absence of the centre. A centre has a formal management and reporting structure, a number of staff (critical mass) and preferably also a group of research students whose work is part of the centre. Centre status does not imply permanency, as centres are intended to provide a flexible structure.

The following categories of centre exist:

- Department/School Unit
- Faculty Centres
- University Centres.

For definitions of the different categories of centre, please see the Policy on Units, Centres and Institutes.

If you wish to establish a formal research centre, a formal proposal must be submitted to the relevant authority. For department/school units, this is the Academic Head of the school/department; for faculty centres, this is the Dean(s) of the faculty/ies; and for University centres, this is the Deputy Vice Chancellor (Research). It is strongly recommended that you discuss your ideas in advance with the relevant authority before beginning to develop a proposal. Please see the Policy on Units, Centres and Institutes for further details, including the information that should be included in the proposal.

Once a centre has been established, there are ongoing reporting and accountability requirements. Faculties should establish reporting requirements for department/school units. Faculty and University centres are required to submit annual reports to their host faculty/ies. Each unit or centre undergoes a formal review three years after its establishment, and is reviewed on a regular basis thereafter. Please see the Guidelines for Review Procedures document for further information.

https://www.staff.auckland.ac.nz/uaa/home/staff-intranet/research-36/about-research-at-the-university-of-auckland/research-guide
2. WHO SUPPORTS MY RESEARCH?
2.1 Structure of Research Support at the University of Auckland
2.2 Deputy Vice-Chancellor (Research)

The Deputy Vice Chancellor (Research) has overall responsibility for the management of the University’s research affairs, facilitated through the Research Office.

The Deputy Vice Chancellor (Research):

- Reports directly to the Vice-Chancellor
- Is Chair of the University of Auckland Research Committee (UARC)
- (Or nominee) is an ex officio member of the Board of Directors for Auckland UniServices Ltd.

For further information, read the Deputy Vice Chancellor (Research)’s welcome or contact the Research Office.

2.3 The University of Auckland Research Committee (UARC)

UARC is a committee of Senate responsible for

- Setting, managing and administering research policies (for access to the policies, visit the University Policy Register)
- Advising Senate on research-related matters
- Allocating a portion of University sponsored research funding
- Overseeing externally-funded research contracts in the public domain such as those from the Ministry of Business, Innovation and Employment (MBIE), the Health Research Council (HRC), and the Royal Society of New Zealand (Marsden)
- Establishing and monitoring research centres.

For further information, visit the Research Committee internet page.

2.4 Faculty Support

Each faculty and large scale research institute (LSRI) provides its own research support. Each faculty and LSRI has an Associate Dean (Research) (or equivalent), who is able to provide advice and support on research related matters, and is aware of University policy and processes related to research. Please check your faculty or LSRI website for more information on what support is available, and for contact details for the Associate Dean (Research) and any other support staff.

Faculty of Arts
Faculty of Business and Economics
Faculty of Creative Arts and Industries
Faculty of Education
Faculty of Engineering
Faculty of Law
Faculty of Medical and Health Sciences
Faculty of Science
Auckland Bioengineering Institute
Liggins Institute
2.5 Research Office

The Research Office is responsible for facilitating the administration of the University's research affairs and for providing information and services in support of research at the University that is funded from public good, charitable trust and international sources. The mission of the Research Office is to provide excellent research administration in support of The University of Auckland as New Zealand's premier research university.

Services provided to academic staff include:

- Identifying funding opportunities (eg upcoming opportunities, eligibility criteria)
- Application processes (liaising with funding bodies, application requirements and compliance, proposals, peer reviewing etc)
- Administration of awards (liaising with the funding body, assisting with negotiation of contracts, submission of funder achievement reports)
- Closure of projects (manage remaining funds and close accounts).

Research Office Structure

The Research Office is divided into four business units, each with different core functions, roles and responsibilities. The business units are: Business Growth; Finance, Ethics and Compliance; Operations; and Corporate Services.

For further information about the Research Office, visit the Research Office contacts and services page on the staff intranet.

2.6 UniServices

Established in 1988, Auckland UniServices Limited (UniServices) is a company, wholly owned by The University of Auckland. UniServices manages the University’s intellectual property and is responsible for all research-based consultancy partnerships and commercialisation. It tries to ensure that staff, and the University at large, are appropriately compensated for their activities on behalf of outside organisations.

Services provided

- Research, consulting and testing services for commercial organisations, or for government organisations which let contracts on a commercial basis (this usually means where the government organisation wishes to own the intellectual property resulting from the research)
- Commercialisation of intellectual property developed by staff of the University
- Establishing businesses and undertaking other commercial activities related to the University

Relationship between UniServices, University Staff and Academic Units

University staff members undertaking activities with UniServices are technically consultants to UniServices, and are free to accept or refuse any work offered through UniServices. In the case of
research contracts, the principal investigator to whom the day-to-day contract management will be delegated (especially for professional matters) will be designated the “consultant”. UniServices takes the financial and prime contractual risk, and therefore principal investigators must liaise regularly with their UniServices business manager.

Where Academic Unit technicians, equipment and other resources are involved, the Academic Unit (meaning the school or, in the absence of a school structure, the department) is a subcontractor to UniServices. At the time a contract is being prepared, the Head of the Academic Unit (Academic Head, or AH) is advised and the AH approval form is circulated by UniServices. This in effect forms a contract between the Academic Unit and UniServices.

Where there are insufficient staff resources within an Academic Unit, some special skills are required, or postgraduate students are performing the contract work as part of their studies, UniServices hires staff on market terms, endeavouring to be consistent with University employment arrangements. Supervision of contract staff is usually delegated from the business manager to the principal investigator.

UniServices must reimburse the University for the salary and indirect costs associated with University staff undertaking research or consulting through UniServices on a full-cost-funding basis. Providing this is done, staff members are then able to negotiate workload relief with their AH and Dean for the time spent on UniServices contracts. This should be recorded in the approval documentation for UniServices contracts signed by the AH. Workload relief is not available if full reimbursement of costs by UniServices is not made.

UniServices also reimburses the University for the indirect costs it incurs which are associated with the provision of facilities for UniServices-employed staff within the University. For further information, visit the UniServices website.

2.7 Who Manages my Contract – Research Office or UniServices?

It is University policy that all public good research proposals and research contracts are administered through the Research Office. This includes contracts where the resulting intellectual property belongs to the University (eg, HRC funding). Communication with the funders should be made through the Research Office.

UniServices will handle a research contract if

- Research activity is considered commercial, i.e. if ownership of intellectual property arising from any research project is transferred to the sponsor
- The sponsor seeks to direct/influence the course of research and will be the proprietor of the research outcomes

If The University of Auckland is named as the head contractor in a collaborative research bid, then the contract is handled by the Research Office. If the researcher or research group is a subcontractor in any collaborative research application then the contracts are managed through UniServices, with the exception of sub-awards under US Federal public good research grants. These are managed by the Research Office. Researchers involved in any collaborative research applications for funding with other institutions should first discuss the issues with the Research Office or with the UniServices business manager for their particular faculty.

https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/research-36/about-research-at-the-university-of-auckland/research-guide
The Research Office and UniServices work closely on those public-good contracts where subcontracts are involved, but there is a clear delineation of work and responsibilities between the two offices. If there is any doubt about whether the Research Office or UniServices should be responsible for the administration of a particular research contract/grant, it is recommended that the researcher contacts the UniServices business manager for their faculty.

Researchers should contact the UniServices business manager assigned to their faculty at the earliest stage if they are in discussions with potential clients about a research project, even if there is substantial academic merit in a research contract funded by business or government. UniServices will work with researchers on:

- Proposal or tender preparation
- Budget preparation
- Negotiation with the client
- Drafting or evaluation of contracts
- Project risk analysis
- Reviewing the project
- Ownership of intellectual property

Decisions on intellectual property matters should not be made until after the staff member has made contact with a UniServices business manager.

For further information, visit the About research at the University of Auckland pages on the staff intranet.
3. HOW DO I GET FUNDED?
3.1 The University’s Full Cost Funding Principle

Funding for research at The University of Auckland is not explicitly provided for by the government via our core agreement with the Tertiary Education Commission (TEC). The funding from TEC is primarily for teaching and degree completion. Funding for research (and for some teaching) is via the Performance Based Research Fund (PBRF). However, this funding represents only a small part of funding required to support the scale and scope of the University’s research.

All the major research funding organisations in New Zealand have moved to a contract based approach, where the contract is directly with the University. In these contracts the funder effectively purchases a portion of the University’s research capability to deliver specified contract outputs. The research capability is inclusive of the staff and student time, equipment and consumables, travel, use of the University’s facilities and infrastructure. The University is legally bound to deliver the contracted outputs (these may be achievement of agreed objectives and milestones, published work, patents and reports, products, processes and services to third parties).

The University is committed to the principle of full cost funding for external research. This approach has been agreed with all major research funding organisations in New Zealand. Refer to Section 3.4 for further information on determining a budget.

3.2 Opportunities for Research Funding

Externally Funded Research

The Research Office informs academic staff about external domestic and international funding opportunities via:

- A regularly updated list of current research funding opportunities including deadlines for over 100 relevant funds
- Email (email the Research Office Helpdesk to subscribe)
- Research Funding Databases

For further information, visit the Find funding opportunities page on the staff intranet.

Inter-Institutional Agreements: Collaborative Applications for Research Funds

Increasingly, funding bodies such as the HRC, MBIE and Marsden are encouraging inter-institutional research with policies that require evidence of research collaboration. Therefore applications may require agreements with individuals or groups working at other institutions.

It is important that before the application is submitted, the parties involved in the collaborative research project have reached a formal agreement on:

- how the funds are allocated or reallocated if the amount requested is different from the amount awarded
- how the costs of the research and overheads are allocated or reallocated between institutions
- how the intellectual property ownership rights of all parties are defined.
A template for the Memorandum of Understanding for Collaborative Research, which can be used to formalise the agreed arrangements, is available from the Research Office or UniServices.

**Internally Funded Research**

The University of Auckland research funds are distributed in a number of ways. Those funds which are competitive, or contain the possibility for a competitive element are:

- **Faculty Research Development Fund (FRDF)** - established to support the development of research careers of academic staff. FRDF funding is provided to enable staff to achieve the best possible research performance, and have the maximum opportunity to gain external funding to support their research activities.

- **Academic Unit PBRF Allocation** – distributed by Academic Units to support research performance. Some Academic Units choose to hold competitive rounds.

- **Strategic Research Initiatives Fund** – provides support for cross-faculty research projects, research centres that are classified as University Centres and strategic research initiatives where they support the achievement of the objectives in the University’s Strategic Plan.

- **Early Career Research Excellence Awards** – established to recognise and promote excellence and research leadership potential among emerging researchers at The University of Auckland

- **Distinguished Visitor Awards** – established to enable scholars and researchers who have made very significant contributions to their disciplines to visit The University of Auckland and to participate in the intellectual life of the University.

For more details on all these funds, and on the University’s recognition of outstanding research via Research Excellence Awards, please visit the University sponsored funding page on the staff intranet.

**Eligibility for Internally Funded Research**

You are eligible to apply for the FRDF if you are:

- A member of the academic staff employed by the University and you have an employment contract that specifies that you must undertake research and teaching.

- A member of the academic staff employed by the University to do research, and your salary is paid by external grants, contracts or fellowships, and you are contributing significantly to at least two of the following activities for the University, without additional remuneration - teaching, graduate supervision, or university service. You must provide a supporting statement from your Academic Head outlining these commitments.

- A staff member employed by the University to do research on fixed term or part time contract provided that:
  - The term of your contract is two years or more;
  - Your appointment is 0.2 FTE or greater;
  - You can demonstrate in your application that you can complete your project within the contracted time available and within the remaining duration of your contract.
Where the funds are specifically designated for new staff and an applicant has had more than one employment contract with the University, the relevant starting date for the purposes of eligibility for funding will be determined by the committee allocating the funds. In no case may a staff member receive more than one allocation of new staff funding. If there remains uncertainty about a staff member’s eligibility, the Deputy Vice-Chancellor (Research) shall decide the issue.

For further details about the FRDF and the University’s FRDF guidelines, please visit the University sponsored funding page on the staff intranet. Please note that faculties and LSRIs may have additional FRDF guidelines which will also apply. For details about eligibility for the other internal funds, please visit the University sponsored funding page on the staff intranet.

3.3 Preparing a Research Proposal

Developing and writing a good research proposal is key to funding success. Each funding agency provides guidelines and forms for applicants for research funding. The Research Office offers support to academic staff who wish to apply to public good research funding agencies.

The Research Office offers specific assistance strategies for applications to Marsden, HRC and MBIE. These assistance strategies provide forms, guidelines, budget templates, key dates, application checklists and much more. The University also offers mock evaluation panels where your application will be assessed by people who have a successful track record in applying for research funding. The Research Office is the University’s point of contact for dealing with external funding agencies, and all communication with external funders must be done via the Research Office.

For applications to other research funding agencies, the Research Office provides general advice on how to write a good research proposal, how to handle human resources and budget issues, and other support. For further information, visit the Develop your research funding application and apply page on the staff intranet. For further assistance, contact the Research Office.

3.4 Determining a Budget

Funding agencies require you to determine a budget for your research project. The University of Auckland applies a full cost funding principle, which means that the budget should cover all the costs of providing the services and outcomes promised to the funder in the contract. Thus all direct and indirect costs (also called overheads) need to be determined when budgeting for your research project.

Budget templates are available from the Research Office for each of the major research funds. These are designed to assist you with your budget preparation. To obtain the relevant template, visit the Develop your research funding application and apply page on the staff intranet, or contact the Research Office Helpdesk.

Calculation of direct costs

Direct costs are budgeted in advance and then charged to the relevant single project or contract when incurred.

Direct costs typically comprise salaries of staff working on the research project, student stipends / scholarships, travel and conferences, consumables (such as laboratory reagents), non-capital equipment, animal costs or specific facilities charges, other project-specific costs, including equipment user charges.
Unless otherwise specified, research contracts or awards will not usually fund the purchase or part-purchase of equipment items over $5,000. The University would be expected to fund any capital purchases and these would become a fixed asset within the University’s Asset Register. Any capital equipment purchases over $100,000 would need to be approved by the University’s Director of Administration, and will require an appropriate business case. Please seek advice from your faculty finance team if required.

However, it may be possible to apply for funding to cover the depreciation cost of equipment attributable to that project, as part of a funding application. The use of existing equipment that had a purchase price of less than $100,000 is generally included within the overhead component.

**Calculation of indirect costs/overheads**

Overheads include the costs associated with providing central services that cannot be assigned to any one particular project. These include services such as Finance, Human Resources, Information Technology, Property Services, Library, Research Office, Offices of the VC and DVC(R), Faculty and Academic Unit research support services including the Dean’s office, and some specific research-related charges such as occupancy, depreciation costs of equipment and utilities charges (but not user charges that are directly attributable to a research project).

The indirect costs or overheads are calculated according to a methodology established in the 2003 Full Cost Funding agreement with government and are subject to independent audit and periodic review.

The calculation is undertaken as follows:

1. The total indirect costs of the institution supporting externally funded research are determined as $A$.

2. The total direct salary component associated with externally funded research is determined as $B$.

3. The research overhead recovery rate is then determined as the ratio $A/B$, expressed as a percentage. The rate is thus a function of both indirect costs supporting externally funded research and researcher salary levels.

The overhead rate for the University of Auckland in late 2011 decreased from 114% of salaries to 111%.

When a contract is signed, the University sets up a research project account in the Research Management Module and in the University financial system, into which money from the contract is paid. The costs of undertaking the research are then paid from this account as follows:

- The salary components for researchers are used to pay for that portion of the researchers’ time that is spent on the project, as specified in the contract. In this way, the University is able to guarantee to funders that these funds are applied directly to supporting researchers working on the project.

- The direct research costs of the project are paid from the project account on the approval of the Principal Investigator (subject to the University’s procurement policy and practice).

- The overhead component associated with each salary is transferred out of the project account into ‘overheads’ accounts held by the host Academic Unit/Faculty/LSRI. The
Academic Units/Faculties/LSRIs then use these monies to pay the indirect costs associated with supporting the research. The kind of support required varies between faculties, so the exact costs paid with overhead monies also varies.

- At the very least, each faculty must pay for the University services used to support research activities, including a portion of the costs of central services such as the library, the computer network, human resources services, and Research Office services. Most central costs are apportioned on a FTE basis, taking into account the numbers of researchers using the services across the University.

The full cost calculation methods used by UniServices are similar to those used for public good research funding contracts. UniServices retains a commission for its work and in some cases a commission is also retained for Faculties and Academic Units, in addition to the salary and indirect cost components for University staff and the indirect cost components for UniServices staff. UniServices pays consulting fees on invoice, or holds these on behalf of the University.

**Marginal funding**

In some cases where research funding is donated or provided by a charitable organisation, it is possible to receive marginal funding (ie, funding that covers only part of the overall costs of a research project). In these cases, the University usually minimises any obligation to provide the funder with services and deliverables, so that those promised cost no more than the funds provided. Intellectual property generated by such projects should usually belong to the University, and the funder should allow the University to seek other funding to cover the costs of the wider work. The Dean of the faculty (or nominee) and Research Office must be consulted before any proposal is made for marginal funding. For further information on gifts and donations, see section 3.9.

**3.5 Workload Relief**

The agreement between the government and all New Zealand universities states that in exchange for the payment of the full costs of the research, Academic Heads will agree in writing to provide workload relief for researchers to fulfil their time commitments to research contracts.

Workload relief is funded from the salary savings that arise when a researcher’s time is paid in part by an externally funded research contract. This means that workload relief does not apply to contracts that do not include researchers’ salaries and full overheads.

Workload relief should be agreed between the Academic Head and the relevant academic staff member at the time that the funding application is submitted. The agreed arrangements should be documented on the University’s Workload Relief Agreement Form and submitted with the funding application to the Research Office.

Workload relief enables researchers to allocate time to a research project for which they are contracted. Workload relief may include:

- Research assistance, e.g. Research Assistants, technicians, Postdoctoral Fellows;
- Administrative support for research management and compliance;
- Employing teaching assistants and casual contractors to carry out identified teaching duties e.g. lecturing, field trips, laboratories, seminars, marking and assessment.

To provide greater clarity on workload relief, the University guidelines propose that the salary savings that arise from the direct salary costs paid by external funding be used as follows:
a. 40% to be spent at the discretion of the Academic Unit to provide generic or targeted workload relief
b. 40% to be spent at the discretion of the researcher to provide targeted workload relief or capability enhancement (arranged through, and in consultation with the Academic Head)
c. 20% to be spent at the discretion of the Faculty to stabilise employment of grant-funded research staff who are between grants.

These arrangements are guidelines, not a mandatory policy, and may be varied by the Dean/Director of each Faculty/LSRI to accommodate their different circumstances.

For further information on workload relief, including the workload relief agreement form, visit the Preparing a budget for your application page on the staff intranet. To access the University’s Guidelines on Workload Relief, visit the University Policy Register.

3.6 Obtaining Academic Unit, Faculty and University Approval

Applications are now submitted and approved internally through the Research Funding Module electronic system.

The electronic approval process enables the Research Office to ensure that the interests of The University of Auckland and its employees are appropriately safeguarded.

The approval process for applications with a budget of $20,000 and under involves review/commitments by:

- the Applicant
- the Mentor/Supervisor (where the applicant is a postgraduate student),
- the Academic Head
- the Deputy Vice Chancellor (Research) or delegate (signature is obtained by the Research Office).

For an application with a budget over $20,000, the following signatures are also required:

- the Faculty Accountant (or delegated authority)
- the School Manager (Faculty of Medical and Health Sciences only)
- the Head of School (Faculty of Medical and Health Sciences only)
- the Dean of the Faculty (or his/her nominee),
- the Deputy Vice Chancellor (Research) or delegate (signature is obtained by the Research Office).

The responsibilities of each approver involved in this process are set out in the User Guide for Cover sheets for Research Grant Applications.

For further information, including the User Guide for Cover sheets, visit the Submitting an application page on the staff intranet.
3.7 Submitting your Research Proposal

How do I submit my application for external funding?

Externally funded research

You must submit your application to the Research Office, through the Research Funding Module by the deadline published in the Calendar of Funding Opportunities, available in the Find Funding Opportunities page of the intranet or the faculty intranet. The application will be approved electronically by the relevant approvers, compliance checked by the Research Office and submitted to the funder by the due date. All public good applications must be submitted via the Research Funding Module. If the funding you are applying for is not listed in the Calendar of Funding Opportunities, please phone the Research Office on extension 87956 or email the Research Office for assistance. All research staff have access to the Research Funding Module and this is best accessed, including user guides, through the Academic Profile page on the staff intranet.

University sponsored research

University sponsored research funding applications such as the FRDF, Early Career Research Excellence Award and Distinguished Visitor Award are also lodged via the online Research Funding Module. The proposal is then submitted for faculty and committee approval through the Research Funding Module electronic routing process.

Why does the Research Office need my application?

Research Office staff will check your application for compliance against funder guidelines, check that the application has the support of the sponsoring faculty/LSRI, obtain approvals on behalf of the University (signatures the Deputy Vice Chancellor (Research) or delegate), and will then submit the application to the funding agency.

How does my application get submitted to the funding agency?

Many of the large funders provide a web-based portal for the submission of research funding applications. You can contact the Research Office for access to the relevant portal so you can develop your application, but most funders require the Research Office to submit the applications. Once you have completed and/or uploaded and released your application, it becomes accessible for compliance checking by the Research Office. When the checking and revision is completed, it is released to the funder by the due date.

3.8 Notification of Outcome of Research Proposal

If you have applied to the HRC, Marsden Fund or MBIE, either you will receive a letter directly advising you of the outcome of your application, or the appropriate research administrator from the Research Office will advise you of the outcome of your research grant application once they hear back from the funding agency.

The funder may provide comments about both successful and unsuccessful proposals, in which case the Research Office will also pass these comments on to you.

In the case of some charitable organisations and other funders, the funder will send a letter directly to the Principal Investigator, and copy this to the Research Office. However in most cases, the Research Office will be in touch with you in the first instance.
If your proposal is successful in gaining external funding, the University will enter a contract with the funding agency on your behalf. Once the contract has been executed, and the acceptance documentation is signed, you will receive a notification email from the Research Office which will include the following information:

- the funds available
- your reporting obligations
- what research is expected from you
- your obligations regarding ethical and biological safety approvals.

You will receive a separate email containing your summary budget approved for expenditure. Expenditure on the award can then begin, subject to any conditions being met (eg, ethics approval).

### 3.9 Gifts and Donations

The University’s Charitable Gift and Sponsorship Acceptance and Approval Policy sets out a framework under which the University may accept gifts, and it sets out procedures related to gifts and sponsorships. This policy allows the University to accept gifts and sponsorships that are appropriate to the University’s goals, legal requirements and obligations, and sets out situations in which the University would not accept gifts.

All gifts and donations that are received for research purposes must be passed to either The University of Auckland Foundation (UoAF) or the School of Medicine Foundation for registration and reporting purposes. If you receive a gift for research purposes or you are in discussions with a potential donor about a gift, you must contact the Manager of the UoAF. The UoAF is responsible for maintaining a register of all gifts and donations received by the University and reporting on these in compliance with the Charities Act 2005.

The UoAF will facilitate discussions with the researcher, Dean, host faculty or Large Scale Research Institute and the donor to determine and agree the broad principles for use of the gifted or donated funds. The UoAF will prepare a formal agreement, including details such as the research expectations, precise start and end dates, any reporting requirements, and will notify the Research Office once this is agreed. The Research Office will then establish a research account to administer the gifted funds. This will include contacting the researcher or faculty accountant to obtain an approved and coded budget. The Research Office can provide advice and support to complete these and any other requirements.

For further information, see the Charitable Gift and Sponsorship Acceptance and Approval Policy, which is available on the University Policy Register, and the Guidelines for establishing a Research Account through the Research Office for the Administration of Gifts/Donations for Research, which is available from the About Research at the University of Auckland page on the staff intranet. Alternatively, contact the University of Auckland Foundation directly.
4. DO I NEED ETHICS APPROVAL AND/OR BIOLOGICAL SAFETY APPROVAL FOR MY RESEARCH?
4.1 Types of Research that Require Ethics or Biological Safety Approval

You will need to obtain ethics approval prior to commencing your research if it falls into one of the following categories:

- Research that involves working with human participants (certain research with human participants is exempt, for example, observational studies in public where participants will remain anonymous, or research involving publicly available data)
- Research that involves manipulation of an animal for the purposes of research, testing or teaching
- Research that involves killing any animal in order to undertake research, testing or teaching on a dead animal or their tissues
- Fieldwork involving animals that extends beyond simple observation

You will need to obtain approval from the Biological Safety Committee prior to commencing your research if it falls into one of the following categories:

- Research that involves genetically-modified organisms (GMOs), unless the particular GMO is covered by an existing approval granted by the Environmental Protection Authority (EPA) (formerly the Environmental Risk Management Authority (ERMA)), and the approval applies to your research
- Research that involves working with high risk (non-GMO) micro-organisms.

The Research Office does not release funds for approved research until it has been notified by the Principal Investigator of approval from the appropriate ethics committee or other regulatory body.

4.2 Research with Human Participants

Do I need approval from the Human Participants Ethics Committee?

Prior to commencing any research that involves human participants, you must gain approval from an ethics committee that has been approved by the Health Research Council (HRC). This includes research undertaken within teaching sessions, laboratories, or as part of coursework. It includes research involving questionnaires, interviews and surveys (including web based surveys), both within and outside the University. There are types of research involving human participants that may be exempt from ethics approval. These are listed in section 2.5 of the UAHPEC Applicants Manual. If you think your research is exempt but are unsure, please contact the ethics administrators for clarification.

The University of Auckland Human Participants Ethics Committee (UAHPEC) has been approved by the HRC. All research undertaken at the University of Auckland involving human participants must obtain prior approval of the UAHPEC or a Health and Disability Ethics Committee (HDEC) (see below).

The function of UAHPEC is to review proposed research involving human participants that is conducted by members of the University.

The UAHPEC will:
- review and, where satisfied that it is appropriate, approve submitted research for compliance
with ethical principles

- provide advice and assistance to anyone undertaking such research
- receive, record and respond to information concerning adverse events
- from time to time, monitor approved projects to ensure that the research has been carried out in accordance with the ethics approval that was given.

Some research which does not directly involve human participants may still require approval by an ethics committee. For example, you may require approval from an ethics committee for research involving particular types of human cell lines or other human tissue under the Human Tissue Act 2008.

**Do I need approval from a Health and Disability Ethics Committee?**

Apart from the research exemptions (listed in the Applicant’s Manual), the only research that involves human participants that does not require approval from the UAHPEC is research that requires approval from a Health and Disability Ethics Committee (HDEC). In general, research requires HDEC review if it involves one or more of the following:

- Human participants acting as consumers of health or disability services, or as relatives or caregivers of consumers of these services, or as volunteers in clinical trials

- Human tissue, unless informed consent has been obtained for its use and it has not been made available to researchers in a form that could reasonably be expected to identify the individual concerned or there is a statutory exception to the need for consent

- Health information, unless its use has been authorised by the individuals concerned, or unless the researchers receive it in a de-identified form and it cannot be matched by the researcher to another data set which could identify individuals.

Even if your research does not require HDEC approval, you must still meet the ethical requirements of the University of Auckland.

If you are unsure about whether to apply to the UAHPEC or an HDEC, please contact the Ethics Administrators in the Research Office. If you are required to submit an application to an HDEC, you do not also need to apply to the UAHPEC. However, investigators are required to add the University of Auckland as a sponsor on their HDEC applications. For further information on the HDECs and how to submit an ethics application to them, visit the HDEC website.

**How do I apply for approval?**

All applications for human ethics (UAHPEC) approval (except applications made for Honours projects) must be submitted online through the Human Ethics Module. Applications for Honours projects must still be submitted by completing a hard copy application form available on the UAHPEC page on the University website (named “Word Copy of the online form 2012”). All student applications (including Masters, Doctoral and Honours research) must be submitted by the appropriate supervisor.

For assistance with completing the application form, read the ‘Guiding Principles for Conducting Research with Human Participants’ and UAHPEC’s ‘Applicant’s Manual’, which provides guidance about the information that must be included in your ethics application.
The Research Office offers regular workshops on the ethics application process. In addition, most faculties and high user Academic Units have ethics advisors who can also assist you. More information about workshop dates can be found here on the UAHPEC page, and you can also contact the Ethics Administrators for more information.

For further information, including information about the online application process, access to the application form, a list of closing dates for applications for each UAHPEC meeting, the Guiding Principles for Conducting Research with Human Participants, the Applicant’s manual, a list of upcoming workshops, and a list of ethics advisors, visit the Human Ethics pages on the staff intranet.

To apply to a Health and Disability Ethics Committee, you must complete the online HDEC Form. Information about the online submission process can be found here on the HDEC website. If your research involves Auckland District Health Board (ADHB) patients, you must also contact the ADHB Research Office.

What happens after I submit my application?

For applications to the UAHPEC, there are two routes to ethical review: Low Risk Review and Full Review.

A low risk research project is one where there is low risk of physical harm, psychological harm, exploitation or other potential adverse effect. Participants must give fully informed consent and must have the right to choose anonymity in all reporting. In all cases, the Committee will decide whether an application is low risk.

If any application is considered to be low risk, it will be reviewed and the applicant will hear the outcome within three weeks.

If the application is not deemed low risk, it will be automatically put on the next UAHPEC agenda for full review. For further information, see the Human Ethics pages on the staff intranet.

4.3 Research Using Animals

What are the requirements relating to the use of animals in research?

The use of animals for research or teaching at The University of Auckland is governed by the Animal Welfare Act 1999. This Act allows the University to have a Code of Ethical Conduct, which is approved by the Ministry of Primary Industries (MPI), and to establish an Animal Ethics Committee (AEC) to consider all applications involving the use of animals for research, testing and teaching. The University of Auckland has an AEC that considers all such applications.

Do I need approval from the Animal Ethics Committee?

The Animal Welfare Act 1999 requires that approval is gained from an approved AEC prior to commencing research that involves:

- any manipulation of any animal for the purposes of research, testing or teaching; or
- the killing of an animal in order to undertake research, testing or teaching on a dead animal or their tissues.

In relation to use of animals in fieldwork, approval is required if the project extends beyond simple observation of the animals in the wild.
A flowchart is available on the Animal Ethics pages on the staff intranet to help determine whether AEC approval is required and how animal usage should be reported.

Treatment of sick animals should only be done following consultation with the Animal Welfare Officer. Any therapy or prophylaxis necessary for the welfare of any animal will not require AEC approval but may require a veterinary prescription in order to meet the requirements of Agricultural Compounds and Veterinary Medicines Act 1997.

How do I apply for approval?

All applications for animal ethics approval must be submitted online through the Animal Ethics Module on Info Ed.

The Committee recommends that researchers intending to use animals consult the Animal Ethics Administrator or the Animal Welfare Officer informally before submitting an application. For further information, including the Code of Ethical Conduct, the online application process, the application form, and the closing dates for submission, visit the Animal Ethics page on the staff intranet.

Animal ethics application workshops are held monthly. More information can be found on the Training for Researchers using Animals page or by contacting the Animal Ethics Administrator (animalethics@auckland.ac.nz).

If I collaborate with staff from another institute, from which committee should we seek approval?

For New Zealand based collaborations, the National Animals Ethics Committee has published guidelines regarding which AEC should assume the approval role. You should consult these guidelines if you are collaborating with another New Zealand institution. If approval is granted by another institute, the application form and approval notice must be tabled before The University of Auckland AEC before you start the work. The Chair of The University of Auckland’s AEC shall approve such work pro tem.

If the work involves killing animals specifically for study of the animal or its tissue and the host Institute does not require ethical approval, then a full application should be submitted to The University of Auckland AEC.

In the case of international collaborations, it is usually the case that the appropriate approval procedure should be followed in the country in which the research is to take place (ie, work in New Zealand should gain approval from the appropriate New Zealand AEC, while for work overseas, researchers should apply to the local AEC equivalent). The application form and approval notice must be tabled before The University of Auckland AEC before you start the work.

4.4 Research Involving Production or Import of Genetically Modified Organisms and Higher Risk Micro-organisms

Do I need approval from the Biological Safety Committee?

Under the Hazardous Substances and New Organisms Act 1996, all staff of the University whose research involves Genetically Modified Organisms (GMOs) must obtain prior approval from The University of Auckland Biological Safety Committee (UABSC) or the Environmental Protection Authority (EPA). The EPA has taken over the former responsibilities of the Environmental Risk
Management Authority (ERMA). The EPA is responsible for assessing the importation, development, field-testing and release of all the GMOs in New Zealand, and has delegated the task of rapid assessment of low risk GMOs to the UABSC.

Approval for research involving development and importation of higher risk GMOs into containment must be obtained from the EPA, but these applications must be submitted to the UABSC in the first instance. The UABSC (uabsc@auckland.ac.nz) and the Biological Safety Officer (bso@auckland.ac.nz) will be able to provide assistance and support before you submit to the EPA.

Approval for research involving development and importation of low risk GMOs into containment can be obtained from the UABSC. UABSC approval is also required for the use of higher risk micro-organisms (not genetically modified) to ensure work with these micro-organisms is conducted in a safe manner and there are suitable containment facilities.

For further information, view the following policies on the University Policy Register:

- UABSC Approval of Work Involving Higher Risk Micro-Organisms Policy
- HSNO Approval of Genetically Modified Organisms Policy
- HSNO Approval of Higher Risk Genetically Modified Organisms Policy.

You may not need to apply for approval to import a GMO if a full committee of the EPA (or ERMA) has previously granted approval to another researcher (regardless of institution) to import into containment the GMO that you are intending to use. Please note that this only applies to full committee decisions not delegated decisions. In the case of full committee decisions, the approval is granted for the GMO not the organisation. Approvals granted under delegation by Institutional Biological Safety Committees (such as the UABSC) or the Chief Executive of the EPA to import GMOs into containment are much more limited and can only apply to the organisation to which they are granted. This is a very important distinction between approvals granted directly by a full committee of the EPA and those granted under delegation (such as by the UABSC).

For further information on whether you need to apply for approval from the UABSC or from the EPA, and on existing EPA approvals to import a GMO into containment, please visit the Biological Safety pages on the staff intranet.

How do I apply for approval?

Submitting an application to the Biological Safety Committee must be done through the ‘My Animal Ethics/Bio-Safety Module’ in the InfoEd online submission process. Forms are located at the Biosafety Resource Documents page on the staff intranet.

High-risk GMOS

Applications to import or develop high-risk GMOs must be made to the EPA; the UABSC is unable to approve these applications. However, all applications to the EPA must be submitted to the UABSC in the first instance. The Committee must be aware of all applications made to the EPA, and may provide you with invaluable advice and support relating to your application.

In order to apply, you must:
• submit a copy of the application within the online system. Include a covering letter to the Ethics and Biological Safety Administration office for inclusion in the upcoming agenda of the UABSC
• send your application to the EPA once you have had feedback from the UABSC
• provide the UABSC with a copy of the approval document when received
• advise the UABSC of any further amendments or variations and subsequent approvals.

For further information and an application form, visit the EPA website.

Low-risk GMOs

If you are intending to develop low-risk GMOs in containment, you must complete the NO3P application form.

If you are intending to import low-risk GMOs into containment, you must complete the NO2R application form.

Applications must be submitted at least 10 days prior to the next scheduled UABSC meeting. The application forms, user guides, administration contact details, and UABSC meeting dates are available from the Biological Safety pages on the staff intranet.

High risk (non GMO) micro-organisms

If you are intending to work with high risk (non GMO) micro-organisms, you should apply in writing to the UABSC. All applications are submitted via InfoEd.

What if I need to amend my application?

Researchers may discover that they require new inserts or vectors after they have received an approval. It may be possible to amend your application, provided the changes are minor in effect. To add new inserts or vectors to an existing application, contact the Biological Safety Officer.

What are the requirements relating to containment of GMOs?

All work involving GMOs and high risk unmodified micro-organisms must be developed and used within the confines of a Ministry of Primary Industries (MPI) approved containment facility. Contact the Biological Safety Officer before applying to ensure that the laboratory you use is included within a containment facility.

What happens if there is an incident?

You must report any incidents or accidents involving GMOs to the Biological Safety Officer immediately. The Biological Safety Officer is responsible for reporting any accident or incident involving work with GMOs to the EPA and, in consultation with the UABSC, will regularly visit all containment facilities to monitor and facilitate the safe handling and containment of ongoing experiments involving GMOs.
5. HOW DO I MANAGE MY RESEARCH?
5.1 Conduct of Research

The University’s Code of Conduct for Research sets out responsibilities and standards that staff, students and other members of the University must adhere to when they are conducting research. The code includes provisions related to ethical standards for the conduct of research, confidentiality, privacy, retention of data, publication, plagiarism, attribution of authorship, supervision of graduate students, conflict of interest, use of University resources, and procedures for dealing with concerns relating to misconduct in research.

The Code of Conduct for Research is available on the University Policy Register.

Best practice for keeping Laboratory Notebooks – which should provide a permanent, unalterable and witnessed record of a researcher’s work – is set out in UniServices’ Laboratory Notebook Guidelines.

The University’s Staff Research Misconduct Policy is also available on the University Policy Register, and seeks to ensure that researchers at the University of Auckland maintain the highest standards of professional conduct when undertaking and supervising research.

5.2 Authorship Guidelines

The University’s Authorship Guidelines include guidance and set out responsibilities of researchers related to authorship of research outputs. They provide guidance on who should qualify for authorship, and when others should be acknowledged as contributors, and encourage researchers to agree on authorship of any research outputs prior to undertaking collaborative research. The Authorship Guidelines are available on the University Policy Register.

5.3 Research and Study Leave

Research and study leave is relief from teaching and administrative duties which may be granted to members of academic staff with the status of lecturer or above, in order to pursue research and study programmes that are approved by the University. Under the University’s Policy on Research and Study Leave, granting of research and study leave is always discretionary.

The types of research and study leave available are:

- **Long Leave** - Two consecutive semesters after completing 12 semesters’ continuous service (the period of service, including the leave, being 14 semesters).
- **Short Leave** - One semester after completing 6 semesters’ continuous service (the period of service, including the leave, being 7 semesters).
- **Condensed Leave** - A short period taken for a special purpose such as attendance at an overseas conference. Any period of leave taken in this way will be deducted from the leave entitlement within the current period of service.

The University attempts to help staff on approved research and study leave by providing grants-in-aid. The maximum rates are reviewed each year by the University and are set out in the Research and Study Leave Application Form. A number of conditions apply to the grants-in-aid, which are set out in the Policy on Research and Study Leave.

If you wish to apply for research and study leave, you should first discuss your plans with your Head of Department or School. You will need to complete the Research and Study Leave Application Form, available from the University Forms Register.
Further details about eligibility for research and study leave, types of research and study leave, grants in aid, how to apply, the process for considering applications, and reporting requirements are available in the University’s Policy on Research and Study Leave, available from the University Policy Register.

5.4 Protecting your Intellectual Property

Where staff members create any form of intellectual property (other than an excluded copyright work) in the course of their employment or using University resources, the University is acknowledged as having rights to that intellectual property. All such intellectual property developed by staff is required to be assigned to UniServices, which will make decisions related to its commercialisation. All inquiries for consulting and testing services received through the University must be actioned through UniServices, which provides a mechanism for staff to provide paid consulting services.

Intellectual property created by University of Auckland students will belong to the student although the University may require an assignment of rights as a condition of participation in a particular research project or exercise.

“Intellectual Property” means any discovery, innovation, invention, form, shape, sound, image, expression, technique or process which is the product of skill, effort or intellect, but does not include excluded copyright works such as books, articles, conference papers, instructional materials and works of art.

For further information, see the Policy on Intellectual Property Created by Staff and Students and the Policy on Outside Activities Undertaken by Academic Staff, which are available from the University Policy Register.

5.5 Employment of Staff

Your research grant or contract may require you to employ staff to assist with the research project. Your Academic Head will be responsible for employing the staff for your research project, and will be supported by the HR Adviser / Solutions and Recruitment Consultant responsible for your area. The University’s Online HR Management System, Peoplesoft HR, is a tool that can be used by Principal Investigators to recruit staff and postdocs. It offers users the ability to have research positions advertised worldwide within 24 hours through the University’s internet careers site.

Contracts for employment

The University has a variety of individual employment agreements that it may offer staff engaged to cover externally funded research activities. The options available include:

- **Fellowships and scholarships**: these may be awarded to individuals to cover the salary components of their research. Fellowships are tied to the name of the awarded individual so there is no need for a selection process, but rather individuals can be appointed directly.

- **Casual employment contracts**: employment on an “as-and-when required basis” where there is no ongoing relationship or guarantee of future work.

- **Fixed term employment contracts**: which can be entered into where there is a genuine reason based on reasonable grounds for determining that a position is fixed term. The employee must be advised of how and when his/her employment will end and the reason it
will end in this way. Fixed term appointments can be made without advertising for professional staff positions that are under 12 months, and for academic positions that are under three years. Positions outside of these time periods all need to be advertised.

- **Permanent employment contracts:** the University has a variety of collective and individual employment agreements. The appropriate agreement will depend on the type of position and responsibilities. All new permanent positions need to be advertised through Peoplesoft HR, which facilitates recruitment from advertising through to job offer.

**Where I can get further information and assistance?**

Policies relating to the employment of staff are available from the University Policy Register. All recruitment and employment matters must be conducted in strict accordance with the University’s Human Resources policies.

For further information on recruitment, employment agreements, pay rates, staff induction, performance reviews and other key processes, visit the Human Resources pages on the staff intranet. Your Academic Head can contact an HR Advisor/Recruitment and Solutions Consultant for assistance with recruitment, employment and the use of Peoplesoft HR.

### 5.6 Accessing University Facilities

The University’s position is that appropriate space and equipment should be provided to support research activities. Faculties are encouraged to provide access to office space, equipment, and support for conference funding for externally funded research staff.

Externally funded research staff also have access to all the facilities and services available to other staff at the University, including library access, IT equipment and support, health services, parenting support, the recreation centre, the staff common room club, spiritual support services, the University Marae and Fale Pasifika. For further information about services provided to University staff, visit the Staff services on campus page on the staff intranet. The use of a number of these facilities is governed by a policy. For further information, visit the University Policy Register.

For further information about accessing equipment and research facilities, contact your faculty, school, department, or institute.

### 5.7 Transferring Material Between Institutions

A Material Transfer Agreement or Conditions of Supply Form is required for transferring specific experimental materials to or from the University of Auckland to ensure that the University’s obligations are met and to protect researcher’s and the University’s intellectual property. More information can be found on the material transfer page on the staff intranet.

A **Material Transfer Agreement (MTA)** is required for transferring the following material from the University of Auckland:

- experimental material that has commercial or potential commercial application and is or may be subject to UniServices contracts or Intellectual Property agreements
- experimental material with therapeutic application
- experimental material that is pathogenic, hazardous, contains radionuclides or whose properties are unknown
- cell-lines established from tissue taken in New Zealand.
A **Conditions of Supply Form (CSF)** is required for transferring the following material from the University of Auckland:

- material that is readily available for sale by other parties and which will be supplied with no restrictions to subsequent resale
- polyclonal/monoclonal antibodies and non-hazardous materials that are not covered by UniServices or Intellectual Property agreements
- specimens fixed in formaldehyde or ethanol from animals excluding human specimens.

Material Transfer Agreements are routinely required by external institutions transferring material to the University. If you are receiving materials for research which fall under the following categories and have not received an MTA from the provider organisation, you must complete The University of Auckland Material Transfer Agreement:

- Commercial or potential commercial application
- Pathogenic
- Hazardous
- Contains radionuclides
- Properties of which are unknown.

For further information see the [material transfer](https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/research-about-research-at-the-university-of-auckland/research-guide) page on the staff intranet.

### 5.8 Monitoring Research Expenditure

If you are successful in obtaining external research funding, you will receive a notification email from the Research Office once the contract has been executed and the acceptance documentation is signed. The notification email will include the following information:

- the funds available
- your reporting obligations
- what research is expected from you
- your obligations regarding ethical and biological safety approvals.

For complex projects, you will receive a separate email containing your contract and summary budget approved for expenditure. Expenditure on the award can then begin, subject to any conditions being met (eg, ethical approval).

**How do I check my project expenditure and balance?**

The first-named Principal Investigator and his/her Academic Unit are responsible for the daily management of research funds. If you have been given a project account, you will be able to check your balance and any expenditure by contacting your Finance Manager, who will be able to access a Budget Availability Report.

If you are a Principal Investigator, you must be aware of all invoicing requirements, and any associated project milestones/reports, and ensure that they are met in a timely manner. Your Academic Unit Finance Administrator is responsible for advising you on the monitoring of expenditure. Funders will reasonably expect that funds awarded will be fully utilised by the contract end-date. If contract monitoring feedback indicates that a project is significantly underspent or overspent compared to budget, Principal Investigators should expect to take the necessary actions to accelerate or reduce the level of spending accordingly.
In most cases it is possible to carry-forward unspent funds from an external funding agency from one year to the next up to the contract end-date, but each funding body has different conditions and processes. Those funders that do not automatically allow this may require a contract variation. Your Research Administrator can advise.

For further information, visit the Manage your research funding page on the staff intranet or contact the Research Office Helpdesk.

How are contributions from co-funders handled?

If you secure a user contribution towards research that is funded by a public good agency, the user contribution will be handled by UniServices. The public good contribution will be handled by the Research Office. UniServices and the Research Office will work co-operatively to meet accountability and reporting requirements.

What expenditure is acceptable and unacceptable?

The University’s Guidelines for Acceptable Expenditure on Externally-Funded Research Projects set out principles to guide Principal Investigators when requisitioning, approving, and monitoring direct research project expenditure. All purchases must also comply with the University’s Procurement Policy. Both the Procurement Policy and the Guidelines for Acceptable Expenditure on Externally-Funded Research Projects are available from the University Policy Register.

What happens to the balance in my grant account at the end of the project?

University-sponsored research

If you have received a grant from the FRDF, projects are terminated automatically on the specified expiry date and no extensions are possible. Any unspent funds will be returned to the University general research pool.

If you have received a grant from the UARC (such as an Early Career Research Excellence Award or Distinguished Visitor Award), projects are automatically terminated two years after the date the award was granted. If you wish to apply for an extension, this must be arranged at least two months prior to the project end date. Applications must be made in writing to the Research Office, and will only be granted in exceptional circumstances.

For further information, see the Policy on Balances of University Sponsored Research Grant Accounts, which is available from the University Policy Register.

Externally funded research

At the expiry date of a contract or agreement, it is important to ensure that all transactions and commitments are finalised within 3 months of the contract end-date because sponsors set tight time limits for the University to submit final claims for reimbursement.

Underspent (credit) balances

The way in which credit balances on externally funded research accounts are managed depends on the funder. Some external funding agencies (such as HRC) do not require unspent funds to be returned to them. Other external funding agencies, such as The Royal Society of New Zealand require the University to return unspent funds (the entire unspent amount if it is more than $10,000). In these cases the Research Office will process the refunds.
In cases where the funds remaining do not need to be returned to the funder, the Principal Investigator may apply to Research Office to keep the funds available for up to 12 months, for research activities related to the funded project. In order to apply for an internal extension of up to 12 months, you should submit a signed Internal Extension Form along with a simple research plan and budget to the relevant research administrator for approval and processing. You will be notified by email once this is completed. Contact details for research administrators are available on the Research Office contacts page.

If no extension is requested, or the 12 month extension date is reached and there are still unspent funds remaining, the entire amount will be transferred automatically from the research account to a Strategic Faculty Research Fund Account under the control of the Dean. Funds transferred to this account will be allocated at the Dean’s discretion to support strategic faculty research initiatives.

In all cases when the research project account is cleared it will be closed for financial transactions. When all reports and obligations to the funder are completed, it will be formally closed.

From 2013, unspent funds in UniServices Academic Head accounts (also known as HOD accounts) which have been in the account for a period of three years or longer will also be returned to a research project account within the Faculty under the control of the Dean.

Overspent (debit) balances

If a research project account becomes overspent and there are insufficient future revenue payments to cover this loss, the project account will be closed for financial transactions. The Faculty Finance staff will propose and arrange for any transfers to return the project to a zero balance. If this is not possible, the overspend will be recovered from a nominated host Academic Unit operating account by the end of the quarter the deficit was confirmed.

For further information, see the Policy on Balances of University Sponsored Research Grant Accounts, which is available from the University Policy Register, or visit the Manage your research funding page on the staff intranet.

5.9 Alterations to the Research Plan, Timetable, and Budget

If the University enters into a contract with an external funding agency on your behalf, it usually involves a number of obligations for the University, such as commitments to:

- Maintain adequate procedures for management of the research, financial management, and reporting.
- Work responsibly, continuously and diligently to achieve the contracted objectives by the completion date.
- Obtain and maintain all consents required for implementing the contract.
- Notify the funder if consents cannot be obtained or are withdrawn.
- Notify the funder if the contracted objectives and outputs cannot be met, or cannot be met in the specified time period.
- Notify the funder if the level of active involvement of key personnel named in the contract changes.

These commitments cannot usually be altered unless they are agreed by the parties and properly documented in a variation schedule.
Is a contract variation required?

If things are not going to plan and you become aware that you may not achieve the objectives or outputs in the contract, or comply with other terms and conditions of the contract, contact the Research Office immediately. The Research Office can advise you on the appropriate action to take.

If you are struggling to meet the timeframes agreed in a research contract, you should carefully consider whether a delay and contract variation will reflect poorly on the University, and whether it may affect your ability to gain funding in the future. Alternative solutions, rather than requesting a variation, may be more appropriate for bringing the research back on track. All correspondence with external funding agencies about potential variations to contracts must be done by the Research Office and the procedure set out below must be followed.

The budget for a research contract is a fixed amount, split into a number of specified cost categories. Minor variations of costs within a category are not uncommon and may be managed effectively by the Principal Investigator. However, where more significant occurrences affect more than one cost category, it may be necessary to seek approval from the funder to vary the budget. The definitions for minor and significant occurrences will vary between funding agencies so contact the Research Office for clarification. Under no circumstances will requests for additional funds for cost increases over the life of the project (eg, salary increases) be made to external funding agencies, as these cost increases should be built into the budget.

What happens if I need to vary a research contract?

If the Research Office recommends that you apply to vary the contract, you will need to comply with the following procedure:

- Complete the Request for Variation of Contract form and the associated Variation of Contract Coversheet, and obtain the signatures of your Academic Head and Dean. Both signatures are mandatory.
- Submit the completed template and signed coversheet to the Research Office.
- The Research Office obtains the signature of the Deputy Vice Chancellor (Research) or delegate, who signs the Request for Variation of Contract on behalf of the University.
- The Research Office advises the funder of the details of the proposed variation, and liaises with you and the funder while the request is under consideration by the funder.

If a variation is approved:

- The funder issues a variation schedule to the contract for execution by the parties.
- The Research Office will provide the Principal Investigator with a copy of the variation schedule.
- The Academic Head and Dean ensure that the project team has all the required resources to meet the terms and conditions of the amended contract.

It is likely that your Academic Head and Dean will want to be informed in good time if you are likely to need to make changes to your research contract. Deans and Academic Heads are encouraged to consider whether issues may be more appropriately addressed without the need for a contract variation. For further information, including the Request for Variation of Contract form and the cover sheet, visit the Reporting to funders page on the staff intranet.
6. HOW DO I REPORT MY RESEARCH?
6.1 Reporting Requirements

Most research grants will be accompanied by an obligation to provide the funder with a report on the research findings. Such reporting must comply with the University's Policy on Research Reporting, available on the University Policy Register.

Faculty Research Development Fund

If you receive funding from the FRDF and you are the Principal Investigator for the project, you must provide a written report to your faculty within three months of the end date of the award. Your faculty will provide a copy of your report to the Research Office. For a copy of the report template and further guidelines, visit the Reporting to funders page on the staff intranet.

Research Committee Funds

If you receive funding though the Early Career Research Excellence Awards or the Distinguished Visitor Awards, you must provide a written report to the UARC within three months of the grant expiry date. A final report is also required on completion of the project, or when the funding for the grant awarded is fully spent (if either occurs earlier than the grant expiry date). A report template and guidelines are provided to recipients of this funding at the time the grant is made. Where there is a project team involved in the grant, it is the Principal Investigator who is responsible for reporting.

Strategic Research Initiatives Fund

If you receive funding from the Strategic Research Initiatives Fund (either for Seeding Funds/Small Project or a Major Research Initiative Award), you are required to submit a written report within three months of the end date of the award. Major Research Initiative Award holders are also required to submit an interim report three months before the end of the first period of funding (normally after two years and nine months), to inform a recommendation about the funding for the final two years of the award. For further information, visit the Strategic Research Initiatives Fund page.

Grants and contracts from external agencies

External funding agencies usually provide details of reporting requirements in contracts or grant notices. The Principal Investigator must be aware of key dates, requirements and milestones. The Research Office will send the Principal Investigator a reminder email one month ahead of upcoming deadlines for reporting, or three months ahead of the due date for final reports. Where the external funding agency provides a template for reporting, the Research Office will provide this to the Principal Investigator.

The Principal Investigator is responsible for writing the reports, and for completing a cover sheet for external research reports that must be signed by the Academic Head and Dean (or his/her delegate) for each report. Each faculty is responsible for ensuring the content of reports to external funders is appropriate and therefore the Principal Investigator should deliver each report to the Dean of the faculty (or his/her delegate) well in advance of the funder’s deadline.

The Principal Investigator must ensure that each report and cover sheet is delivered to the Research Office at least seven days prior to the due date. The Research Office is responsible for submitting the
reports to the external funding agency. If any feedback is received from the funding agency, the Research Office will convey this to the Principal Investigator and the Dean (or delegate).

It is very important that reports to funders refer specifically to progress made against deliverables and milestones in the funding agreement concerned. It is also important (in both reports and associated publications) to make a clear differentiation between deliverables due from the contract concerned and deliverables and research outputs derived from previous contracts. Funders will view negatively any indication that a current contract contains work which was undertaken in previous contracts, whether funded by the same or another agency.

For further information, visit the Reporting to funders page on the staff intranet.

6.2 Research Publication and Creative Work Categories

In order to be recognised by the University as a “research output”, a research output must meet the definitions in the University’s Guideline on the Definition and Categories of Research Outputs. The guideline recognises and defines the following categories of output:

1. Journal Article
2. Conference contribution
3. Chapter
4. Report
5. Thesis/Dissertation
6. Book
7. Edited volume
8. Performance
9. Artefact
10. Patent/ trademark
11. Exhibition
12. Scholarly Edition
13. Software
14. Composition
15. Internet publication
16. Design
17. Confidential Research Output
18. Other.

For further information, please see the Guideline on the Definition and Categories of Research Outputs, which is available on the University Policy Register.

6.3 Reporting Your Publications and Creative Works

Research Outputs is the research management system used at the University of Auckland for recording and managing publications, creative works and professional activities. Research Outputs uses the latest technology to minimise the need for manual data entry. Researchers can choose to search a select list of Library databases for their publication records, and when found, these are presented for the researcher to either claim or reject. Assisted entry forms are also available for books and chapters via Google Books; or CrossRef for Journal Articles. Where publications are co-authored by several University of Auckland researchers, only one researcher needs to enter the data into the system, and then resolve the University of Auckland co-authors; this ensures the record goes into their co-authors pending lists for them to claim.
Once data is recorded in Research Outputs researchers can re-use that data to:

- Pre-populate Academic CVs and the APR report
- Select which research outputs to display in the University Directory by marking selected items as favourites.
- Make relationships between publications, users, and professional activities.
- Upload full text to the institutional repository for increased visibility of research outputs.
- Export files in RIS, BibTeX, and CSV format.

For some publications in Research Outputs, a researcher can see additional information, such as journal metrics, citation counts, collaboration maps, University co-authorship graphs, publication graphs, Altmetrics (alternative metrics) and links to the full text.

To access Research Outputs, visit the Research Outputs page on the staff intranet.

### 6.4 PBRF

The Performance Based Research Fund (PBRF) is a national assessment of tertiary education organisations aiming to encourage and reward excellence in research. It is administered by the TEC, and it is used to allocate government research funding to the tertiary sector according to the quality of research produced in each institution. One of the ways the quality of research is assessed is through periodic quality evaluations.

The quality evaluation requires all eligible staff to be assessed on the basis of their research outputs, peer esteem and contribution to the research environment. Each eligible staff member is required to provide an evidence portfolio. The University provides these evidence portfolios (with a nominated quality category) to the TEC for external peer review and assignment of a final quality category.

Two key principles govern the eligibility of staff to participate in the quality evaluations: the individual must be an academic staff member (i.e. they are expected to make a contribution to the learning environment); and the individual is expected to make a significant contribution to research activity and/or degree teaching. Specific guidelines related to eligibility are released prior to the quality evaluation.

You can use Research Outputs to assist with the preparation of an evidence portfolio. The University of Auckland operates an iterative process for evidence portfolio preparation, whereby staff complete draft evidence portfolios which then must be evaluated by internal panels which mirror the TEC evaluation panels. The internal panels provide feedback to staff including suggestions for improvement.

PBRF quality evaluations have taken place in 2003, 2006 and 2012. The next quality evaluation round is expected in 2018.

In addition to the quality evaluation, the PBRF measures each tertiary organisation on its research degree completions, and the amount of external research income. These three measures are weighted and determine the level of funding each institution will receive from the PBRF.
For further information on the PBRF, visit the PBRF pages on the staff intranet, or the Tertiary Education Commission website.

The TEC publishes PBRF Guidelines prior to each quality evaluation round, and these provide further detailed information.

6.5 Recognition for Research Excellence

The University recognises and promotes excellent research via its Research Excellence Awards. These are open to researchers at most career levels, and each is awarded for one particular project or programme, rather than for lifetime achievement. For more information visit the University-sponsored research page.
7. ACRONYMS AND USEFUL LINKS

7.1 Acronyms

ADHB  Auckland District Health Board
AH    Academic Head
AEC   Animal Ethics Committee
AU    Academic Unit
CoRE  Centres of Research Excellence
EPA   Environmental Protection Authority
ERMA  Environmental Risk Management Authority
FRDF  Faculty Research Development Fund
GMO   Genetically Modified Organism
HDEC  Health and Disability Ethics Committee
HoD   Head of Department
HRC   Health Research Council
LSRI  Large Scale Research Institute
MPI   Ministry of Primary Industries
MBIE  Ministry of Business, Innovation and Employment
PBRF  Performance Based Research Fund
PReSS Postgraduate Student Research Support Scheme
RIMS  Research Information Management Systems
SRIF  Strategic Research Initiatives Fund
TEC   Tertiary Education Commission
UABSC University of Auckland Biological Safety Committee
UAHPEC University of Auckland Human Participants Ethics Committee
UARC  University of Auckland Research Committee
UoAF  University of Auckland Foundation
7.2 Forms
To obtain copies of forms and cover sheets mentioned in this research guide, please visit the online Staff forms register.

7.3 Links
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### 2.5 Research Office

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<td>Animal ethics application workshops</td>
<td><a href="https://www.staff.auckland.ac.nz/uaa/home/staff-intranet/research-36/research-integrity-ethics-and-biosafety/animal-ethics1/training-for-researchers-using-animals">https://www.staff.auckland.ac.nz/uaa/home/staff-intranet/research-36/research-integrity-ethics-and-biosafety/animal-ethics1/training-for-researchers-using-animals</a></td>
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4.4 Research involving production or import of biological organisms

<table>
<thead>
<tr>
<th>Topic</th>
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</thead>
<tbody>
<tr>
<td>UABSC</td>
<td><a href="mailto:uabsc@auckland.ac.nz">uabsc@auckland.ac.nz</a></td>
</tr>
<tr>
<td>Biological Safety Officer</td>
<td><a href="mailto:bso@auckland.ac.nz">bso@auckland.ac.nz</a></td>
</tr>
<tr>
<td>University Policy Register</td>
<td><a href="https://policies.auckland.ac.nz/policies/Policies/staff-research.aspx">https://policies.auckland.ac.nz/policies/Policies/staff-research.aspx</a></td>
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<tr>
<td>EPA website</td>
<td><a href="http://www.epa.govt.nz/new-organisms/Pages/default.aspx">http://www.epa.govt.nz/new-organisms/Pages/default.aspx</a></td>
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5.1 Guidelines for the conduct of research

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<td>University Policy Register (Research section)</td>
<td><a href="https://policies.auckland.ac.nz/staff-research.aspx">https://policies.auckland.ac.nz/staff-research.aspx</a></td>
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<tr>
<td>Staff research misconduct policy</td>
<td><a href="https://policies.auckland.ac.nz/policy-display-register/staff-research-misconduct-policy.pdf">https://policies.auckland.ac.nz/policy-display-register/staff-research-misconduct-policy.pdf</a></td>
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5.2 Authorship guidelines

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<td>University Policy Register (Research section)</td>
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5.3 Research and Study Leave

<table>
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<tbody>
<tr>
<td>Research and Study Leave Application Form</td>
<td><a href="https://colab.auckland.ac.nz/registers/forms/default.aspx">https://colab.auckland.ac.nz/registers/forms/default.aspx</a></td>
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<tr>
<td><strong>5.4 Protecting your intellectual property</strong></td>
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<tr>
<td>Policy on Outside Activities Undertaken by Academic Staff</td>
<td><a href="https://policies.auckland.ac.nz/policies/Policies/policy-display-register/outside-activities-undertaken-by-academic-staff.pdf">https://policies.auckland.ac.nz/policies/Policies/policy-display-register/outside-activities-undertaken-by-academic-staff.pdf</a></td>
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<tr>
<td><strong>5.5 Employment of staff</strong></td>
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<tr>
<td>Policies related to the employment of staff</td>
<td><a href="https://policies.auckland.ac.nz/staff-hr.aspx">https://policies.auckland.ac.nz/staff-hr.aspx</a></td>
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<td>Human resources pages</td>
<td><a href="https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/human-resources">https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/human-resources</a></td>
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<tr>
<td>Contact details for HR Advisors/Recruitment and Solutions Consultants</td>
<td><a href="https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/human-resources/managers-toolkit/who-to-go-to-in-hr-1">https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/human-resources/managers-toolkit/who-to-go-to-in-hr-1</a></td>
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<tr>
<td><strong>5.6 Accessing University facilities</strong></td>
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<tr>
<td>Staff services on campus page</td>
<td><a href="https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/central-services/staff-services-on-campus">https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/central-services/staff-services-on-campus</a></td>
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<td>University policy register</td>
<td><a href="https://policies.auckland.ac.nz/">https://policies.auckland.ac.nz/</a></td>
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<td><strong>5.7 Transferring material between institutions</strong></td>
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<td>Material transfer page</td>
<td><a href="https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/research-36/research-integrity-ethics-and-biosafety/material-transfer-agreement-mta">https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/research-36/research-integrity-ethics-and-biosafety/material-transfer-agreement-mta</a></td>
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<tr>
<td><strong>5.8 Monitoring research expenditure</strong></td>
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<td>Manage your research funding page</td>
<td><a href="https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/research-36/manage-your-research-funding">https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/research-36/manage-your-research-funding</a></td>
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<tr>
<td>Contact the Research Office Helpdesk</td>
<td><a href="mailto:researchoffice@aubk.ac.nz">researchoffice@aubk.ac.nz</a></td>
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<tr>
<td><strong>5.9 Alterations to the research plan, timetable and budget</strong></td>
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<td>Reporting to funders (incl cover sheet)</td>
<td><a href="https://www.staff.auckland.ac.nz/en/research-36/manage-your-research-funding/reporting-to-funders.html">https://www.staff.auckland.ac.nz/en/research-36/manage-your-research-funding/reporting-to-funders.html</a></td>
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<tr>
<td>6.1 Reporting requirements</td>
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<td>University Policy Register</td>
<td><a href="https://policies.auckland.ac.nz/default.aspx">https://policies.auckland.ac.nz/default.aspx</a></td>
</tr>
<tr>
<td>Reporting to funders (including cover sheet for external research reports)</td>
<td><a href="https://www.staff.auckland.ac.nz/en/research-36/manage-your-research-funding/reporting-to-funders.html">https://www.staff.auckland.ac.nz/en/research-36/manage-your-research-funding/reporting-to-funders.html</a></td>
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<tr>
<td>6.2 Research Publication and Creative Work Categories</td>
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<td>6.3 Reporting Your Publications and Creative Works</td>
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<td>Research Outputs page</td>
<td><a href="https://www.staff.auckland.ac.nz/en/academic-profile/research-outputs.html">https://www.staff.auckland.ac.nz/en/academic-profile/research-outputs.html</a></td>
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<td>6.4 PBRF</td>
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<td>PBRF pages</td>
<td><a href="https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/research-36/pbrf-and-research-outputs">https://www.staff.auckland.ac.nz/uoa/home/staff-intranet/research-36/pbrf-and-research-outputs</a></td>
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<tr>
<td>Tertiary Education Commission website</td>
<td><a href="http://www.tec.govt.nz/Funding/Fund-finder/Performance-Based-Research-Fund-PBRF/">http://www.tec.govt.nz/Funding/Fund-finder/Performance-Based-Research-Fund-PBRF/</a></td>
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<tr>
<td>6.5 Recognition for Research Excellence</td>
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<tr>
<td>7.2 Forms</td>
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