June 2008

SPEaR Good Practice Guidelines 2008

Please send feedback to:

info@spear.govt.nz

This is a text based version of the Guidelines.

The Guidelines are designed to be web based.

This text version has live links to other documents.

There may be slight formatting differences between the .word and .PDF versions and .html versions.

Acknowledgements

These Guidelines have been developed over several years and have involved some 200+ people. There have been two major consultative workshops (2004, 2005), presentations and discussions at many conference sessions, workshops, hui and fono, and contracted particular interest working group sessions (2006, 2007) as well as individual feedback throughout. Some 3-4,000 people have had some involvement. It is simply not possible to list all the names.

The consultations have involved people with a range of expertise and experience: government agency researchers, evaluators and policy advisors, academic researchers, private sector researchers, non-government social service agency workers, professional association representatives, specialists in particular areas such as ethics, law, contracting, particular population group perspectives, etc. Both researchers and the regularly researched have had input, as have those who commission and utilise research. People have shared examples of what has worked well and what has worked less well – in a way which respects individual and agency identity.

The guideline material was developed by the SPEaR Working Party (David Archer, then Denise Brown (SNZ), Raewyn Good (SPEaR Secretariat), Louise Hoather, then Patricia Laing (HNZC), Paul Honeybone (SPEaR Secretariat), Juan Tauri (MSD now TPK), and Sue Walker (Convenor) (DIA, now HSC). Dr Martin Tolich, Dr Carl Davidson, Esther Tumama Cowley-Malcolm and Rahera Ohia convened particular interest focus workshops as the draft material evolved. This led to a contracted fono in 2006 and a contracted hui in 2007. Dr Samson Tse ensured migrant voices were included throughout. Background papers for the 2004 and 2005 consultations were available at http://www.spear.govt.nz/good-practice/index.html This helped generate interest, encouraged trial usage and aided further input. SPEaR staff presented at a number of other workshops, fono, hui, conferences and seminars to stimulate interest and generate feedback.

During 2006 and 2007, in addition to continued presentation and feedback, specific development work occurred involving a range of specialists. SPEaR contracted a fono involving Pasifika Researchers in New Zealand, Dr Martin Tolich undertook a review of the Ethics section in particular and the Guidelines in general and SPEaR contracted with ANZEA for a specific hui to undertake development of illustrative vignettes around Māori research aspects. A revised draft (21/11/ 2007) was widely distributed for comment. Tafaoimalo Loudeen Parsons reviewed the Pacific Peoples section. Feedback was incorporated and the revised document sent to Crown Law for review. A penultimate draft was submitted to the SPEaR Working Party in mid February 2008. Crown Law cleared the draft in early March 2008. The formal SPEaR approval process was undertaken in March/April followed by publication preparation and release June 2008

The guidelines involve a weaving of much experience and many viewpoints - with each ‘guidance point’ grounded in shared learning and distilled upwards into principles.

The principles approach and the flexibility of web software enables a ‘living document’ approach. This means that further applied examples and illustration material will be able to be added at periodic intervals.

Contents

The SPEaR Good Practice Guidelines

Hūtia te rito o te harakeke. Kei hea te kōmako e kō? Kī mai nei ki ahau.
He aha te mea nui ki tēnei ao? Māku e kī atu. He tangata, he tangata, he tangata.

If you were to pluck out the centre of the flax bush, where would the bellbird sing?
If you were to ask me "What is the most important thing in the world?" I would reply, "That it is people, people, people."

"… I heard my koroua say, "If you can't do the job properly, then don't do it at all".
"Mena kaore te mahi e mahia, kaua e mahi…"

What he meant was that the whānau had a certain set of standards when it came to doing certain things, and this relates to the concept of mana. If you're not competent, then your failure reflects and has implications on the mana of your whānau. And your whānau belong to hapū, who belong to iwi, so there is that triple effect in terms of the implications of incompetency. *Competency goes beyond personal and professional credibility. It's about mana; the maintenance of whānau, hapū and iwi mana."* (ANZEA Hui August 2007)

1 Overview

Social research and evaluation does not exist without people. People commission research. People undertake research. People are researched. People react to research in various ways. People are connected through relationships – explicit and implicit. People and their relationships are the heart of social research and evaluation.

2 Background

The Social Policy Evaluation and Research Committee (SPEaR) was established by Government in 2001. The SPEaR Terms of Reference included a specific function to *promote the utilisation of "best practice" approaches, tools and techniques through development (where necessary) and/or dissemination.*[1]

SPEaR agreed that guidelines were desirable as there were particular areas of practice where improvement was needed. It was decided to concentrate on four initial areas: Contracting, Ethics, Māori and Pacific Peoples, to be followed with Newer Settlers and Sensitive Topics.

The first phase of work involved searching for and assessing existing guidance material – produced in this country and overseas. The available 'literature' was almost exclusively around research ethics – mostly research ethics in a university context. 'Codes of Ethics' were almost exclusively limited to one particular academic discipline with the 'practice' focus on fieldwork (interviews etc) or on the use of human tissue. Research contracting material was extremely limited and covered a very small part of the contracting cycle. There was some material covering aspects of research involving Māori and some on Kaupapa Māori Methodology. Very little

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1 http://www.spear.govt.nz/about-us/index.html

material was available on research involving Pacific peoples. The conclusion – that much of the Guideline content would need to be developed and consultation would be essential.

The Guidelines have directly involved some 200+ people over several years. There have been two major workshop consultations (2004, 2005), presentations and discussions at conference sessions and seminars, contracted working group sessions (Māori, Pacific Peoples), individual feedback, group feedback and peer review.

These Guidelines are *primarily designed for government agency officials* who design, commission and/or manage social research or evaluation contracts or undertake such projects as part of their employment. They will also have relevance for the many stakeholders in social policy research and evaluation - public servants, academics, students, private sector or third sector/NGO researchers and evaluators, research participants or communities of interest.

The Guidelines are 'a living document' and will be updated from time to time.

Statement of Purpose

The purpose of the SPEaR good practice guidelines is to enhance the standard of research and evaluation practice across the social sector as a whole. The guidelines are designed to provide practice-based advice aimed at improving social sector research and evaluation systems and processes, enhancing the professional conduct of government officials and external research contractors, improve the generation of information that informs policy development and service delivery, support the saving and sharing of research data and encourage the development of respectful and ethical working relationships between all participants in social sector research and evaluation.

3 Context

The New Zealand social policy research and evaluation environment provides a unique context for setting standards to provide a framework for quality practice. While researchers and evaluators often have disciplinary Codes of Ethics, and public servants have Codes of Conduct, there is no specific guidance available to help achieve consistent quality research and evaluation practice given institutional arrangements, legislation, cultural practices and social conditions.

The institutional setting includes constitutional factors such as recognising the Treaty of Waitangi as a founding document of Aotearoa/New Zealand and as such lays an important foundation for the relationship between the Crown and Māori**.** The legal setting includes recognising the provisions of legislation such as the Official Information Act 1982, the Public Finance Act 1989, the Human Rights Act 1993, the Privacy Act 1993, the Health and Safety in Employment Act 1992, the Copyright Act 1994 and the Employment Relations Act 2000, along with international conventions and case law.[2]

Institutional arrangements see over $30 million worth of social research and evaluation occurring per annum. Resources primarily flow through the Votes of Health, Education, Social

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2 The statutes can be viewed on the NZ Legislation site at: http://www.legislation.govt.nz/browse_vw.asp?content-set=pal_statutes Also see "Doing ethical research legally: research ethics and the law'' Mike O'Brien, in "Research Ethics in Aotearoa New Zealand" edited by Martin Tolich (Pearson Education New Zealand Limited 2001. ISBN 0 582 54273 1

Development, Labour, Justice, and Research, Science & Technology (via the Health Research Council $2-4m, the Foundation for Research, Science & Technology $12-19m) and to a lesser degree from the full range of departments. A very small amount is available from philanthropic trusts and private donors. The Marsden Fund (administered through the Royal Society of New Zealand) adds about $1-2m per year at the 'blue-skies' end of the social research spectrum. The Families Commission operates competitive research funds for family relevant research. The Tertiary Education Commission's Performance Based Research Fund (via each University internal system) is a source of some funds for tertiary sector scientists.

The population of this country is small by international standards (4.25 million) and is ethnically and culturally diverse. The major population 'groupings' are usually labelled as European/Pakeha, Māori, Pacific Peoples or Asian. These labels disguise considerable diversity in relation to values, attitudes and practices. Country of origin, first language, gender, education, age, socio-economic status, sexual orientation and locale introduce further key variables which researchers navigate. There are research capacity/capability issues and a relatively homogeneous experienced research workforce.

Effective policy and practice often needs to be able to draw on research and evaluation that is grounded in the diverse realities experienced by the full range of the population or the range of realities within a particular set of groupings. This often means that researchers and evaluators are required to commission and/or gather information from groupings with protocols and values somewhat different from their own. With relatively small numbers in particular groupings, and a relatively small overall population, there is a high risk of 'research fatigue' among some sections of the population which can have an adverse impact on the quality of the date through low response rates. This is turn impacts on the quality of the decisions based on the data.

With a relatively small research and evaluation practice community, bad practice and/or 'corner cutting' tend to quickly become known. Capability building and learning from each other is critical for building our capacity to produce credible information that will be used. There are ways in which the pitfalls can be minimised for the unwary, and experience and learning can be shared. These guidelines attempt to gather some of these ways into a readily accessible, practical and relevant resource.

The Social Policy Evaluation and Research Committee (SPEaR) was established in 2001 with functions which include: *promote the utilisation of "best practice" approaches, tools and techniques through development (where necessary) and/or dissemination.*

Consulting, developing and refining the SPEaR Guidelines, along with ensuring the evolving drafts were accessible on the SPEaR website, goes some way towards meeting this function. The principles and protocols developed by Statistics New Zealand and available through the Statisphere website provide guidelines for those considering using official statistics or collecting data through a statistical survey www.statisphere.govt.nz/default.htm

3.1 Understanding the Government Agency Research or Evaluation Project Cycle

The principles and associated practical advice should be applied to all stages of the government agency research and evaluation process undertaken within or with government agencies. For example, when a request for research or evaluation is first considered, someone, usually the Research Manager, but if not, then the Project Manager should ask and attempt to answer:

- What is already known on this topic/question? (own agency e.g. files, other staff, library search; other similar agencies; SPEaR Mapping)

- What are the gaps in knowledge? Can research/evaluation fill those gaps given the time scale and resources?

- Is research or evaluation necessary?

- What are the client requirements? This may involve several clarification meetings and various iterations, and may result in mutual decisions to proceed with other forms of information provision.

Such an approach is ethical in that it utilises existing knowledge, helps avoid unnecessary research, helps avoid over-researching particular populations/locations, improves alignment between expectations and potential delivery, improves the application of scarce resources, helps avoid inappropriate research (methods, time lines) and enhances credibility.

Once a decision to proceed with a particular research or evaluation project is made, the Research Manager or Project Manager needs to consider what people resources are available (in-house and/or external), budget (for in-house and/or external) and timeline. Questions can include: Are the resources adequate? Are increased resources necessary? What is negotiable? Following this stage a Request for Proposal (RFP) or a call for Expressions of Interest (EOI) may be developed and publicised as part of a selection process.

The selection process occurs and some time later a report may appear. Most existing guidelines concentrate on what the researcher does between those two stages. These Guidelines have been developed to cover all the process stages, before the researcher undertakes the actual research and through to report completion, data saving, possible publication and dissemination. The SPEaR approach to good practice is holistic in that the principles and guideline content cover all the stages of the R & E process, unlike much other guidance. For example, most Codes of Ethics relate to the 'undertaking' of research and participant relationships rather than the researcher/commissioner, and few Guidelines exist for commissioners other than contract legalities.

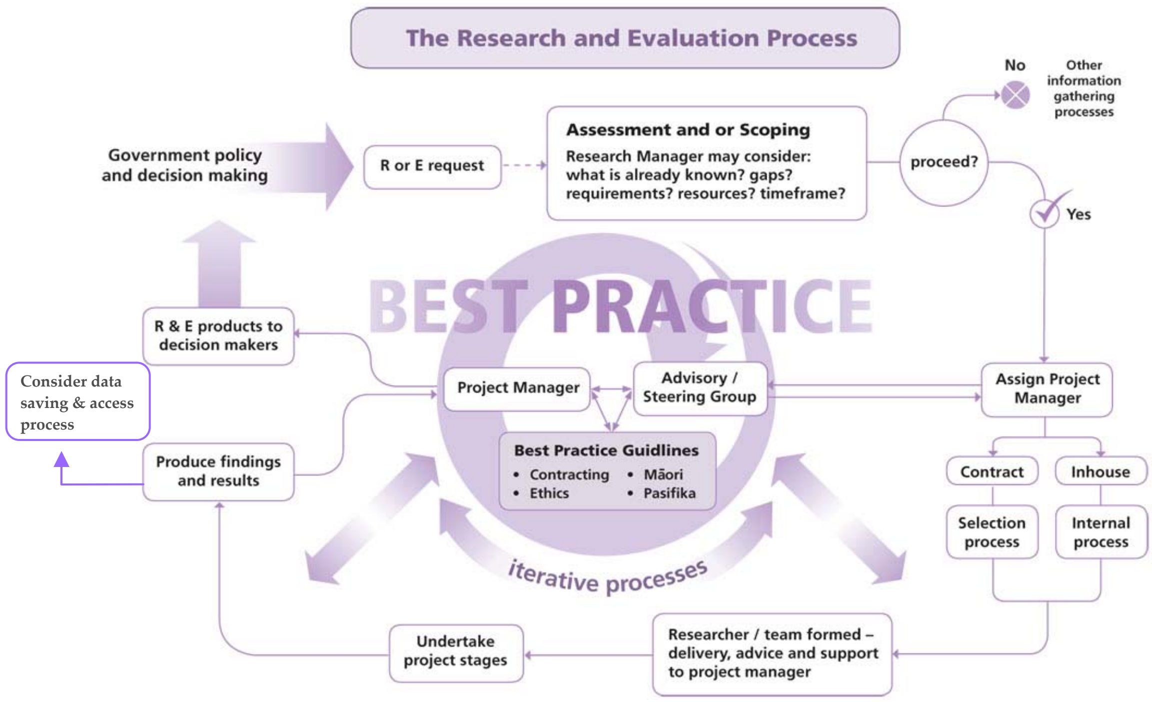
However, the practical realities of R & E in the social policy context can mean that while we should always strive for good practice, there will be situations where time, budget, deadlines and agency prescriptions constrain people and hence their ability to achieve desired utility. The SPEaR Uptake project 2005 identified four key requirements policy people have of research for it to have utility – it must be accessible, relevant, timely and credible

A principles-based approach enables people to ensure they cover basic standards and, where possible, they follow the principles through the layers of advice. Seeking advice from peers with more experience of the choices and trade-offs involved in social policy R & E will assist in the navigation of the ideals and realities involved.

If officials cannot achieve all the aspects of good practice, they need to be very clear why particular decisions are made. There are likely to be other projects where such issues have been faced and people with experience about what was done and why and what the consequences were. It is that sort of experience that we are trying to gather in the good practice programme and to bring it together in an accessible way.

The government agency research process is represented in the following flow diagram and represents the typical steps undertaken in the initiation, developmental, undertaking and communications/dissemination phases of projects. Note that a Flow diagram for researcher initiated research, involving an application to a contestable fund would involve only some of the steps above (i.e. form team, apply for funds, receive funds (stop if do not), undertake project stages, produce findings and results, save data for eventual sharing). Some research would include the University Ethics Committee and/or Health Ethics Committee.

Fig 1: Government Agencies Research and Evaluation Project Cycle



3.2 Conceptual Framework

The following diagram was initially developed as a tool to illustrate different approaches to research and evaluation apparent in the sector. It can be utilised by officials to locate where there project 'fits' in the spectrum of approaches.

The choice of colour is deliberate with the two primary colours of **yellow** (some presence) and **red** (partnership approach) dominating – but separated by parallel lines. The third primary colour – **blue** – is implicit – but like the sky and the ocean – it is present.

Add the colour **blue** to the other two primary colours and the approaches differentiate with the more recognisably 'Positivist' (quantitative) – labelled 'one size "fits" all' to the left, and 'Interpretative' (qualitative) labelled 'own culture governance' to the right. As with all 'approaches' (paradigms), techniques, tools, and methods are borrowed in a pragmatic way. The Conceptual Framework dominates however, whatever mix of tools may appear.

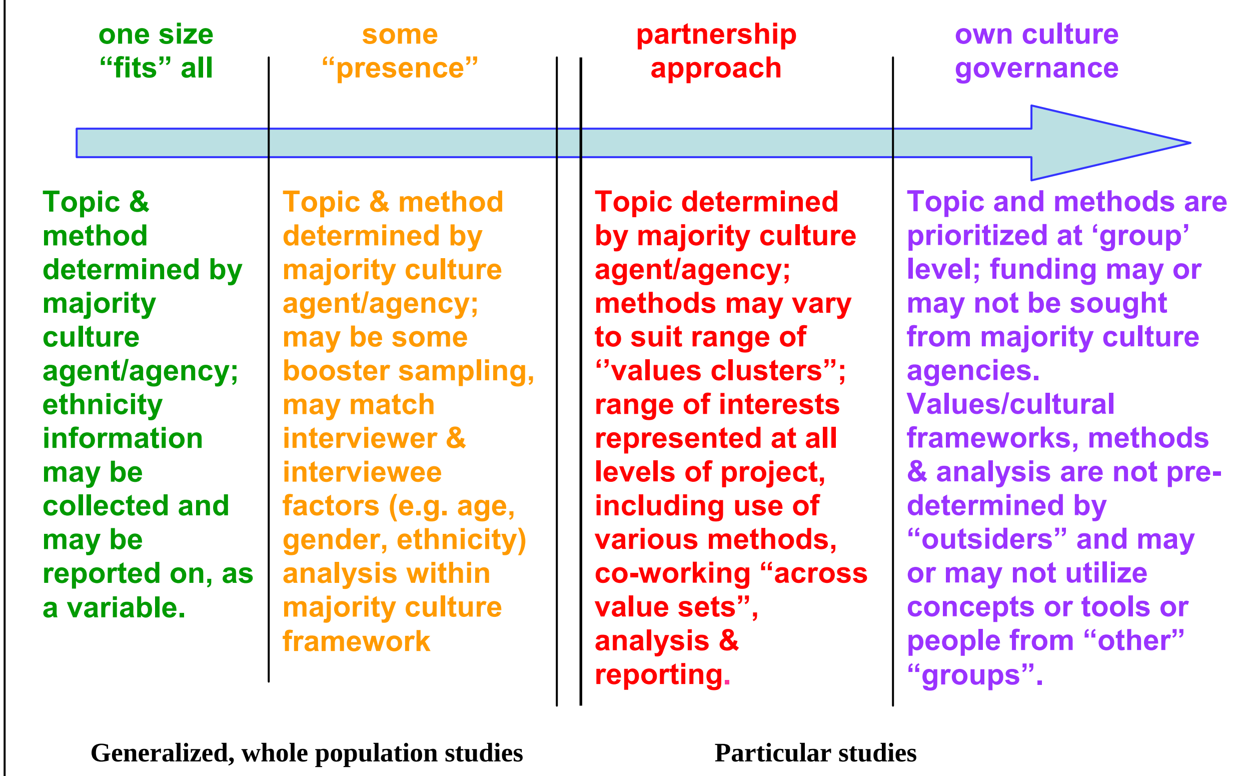
The work of agencies such as Statistics New Zealand and the major government agency surveys included in 'Tier 1 statistics' would be located in 'one size "fits" all' (green – the mix of yellow and blue) and 'some presence' (yellow). The principles and protocols for Tier 1 statistics can be found at www.statisphere.govt.nz/default.htm. Over the last few years, several major projects have begun to include elements of the ‘partnership approach’. Elements of the ‘partnership approach’ (red) are increasingly common. A full ‘partnership’ approach would be challenging in a government agency context – ‘collaboration’ may be a more accurate term. ‘Own culture governance’ (**purple** – a mix of **red** and **blue**) is an approach which would be extremely difficult in a government agency context. The ‘**red**’ chosen here is tinged with **yellow** rather than **blue**, while the **yellow** is tinged with **red** (a bit **orange**) to reflect these realities

The Conceptual Framework can assist officials decision-making around a project ‘involving Māori’ and ‘’involving Pacific Peoples’. Much of the published information around research involving Māori or Pacific Peoples derives from ‘own culture governance’ e.g. Kaupapa Māori Methodology or Fa’a Samoa approach.

These Guideline sections are primarily written as if the projects are located in the **‘partnership approach’** (collaborative), to reflect the reality of government agency contexts and to acknowledge that aspects of this approach are increasingly being utilised in the **‘some presence approach’** and even in **‘one size fits all approach’**, as officials and researchers endeavour to ensure full coverage and that survey participants are representative of the increasingly diverse population.

It should also be noted that terms such as ‘Pacific Peoples’ and ‘Asian’ are grouping terms which disguise unique, distinctive and diverse cultural groups.

Fig 2: Conceptual Framework - SPEaR Good Practice Guidelines



R Good 2002 (draws on Chris Cunningham’s Kaupapa Maori paradigm display & HRC Pacific Governance model display)

4 The Principles

These Guidelines distil Good Practice into five principles:

Respect ***Integrity*** ***Responsiveness*** ***Competency*** ***Reciprocity***

Some Guidelines arrange elements of good practice principles in various ways and some have 'utility' as a principle. As the primary users of these SPEaR Guidelines are officials commissioning or undertaking research or evaluation, 'utility' is very much embedded into all areas of the Guidelines which are a resource to aid officials improve research and evaluation utility'. Utility can therefore be seen as

UTILITY

The achievement of utility is both an overarching objective and the desired outcome of research and evaluation undertaken by officials on behalf of their agencies or contracted by agencies.

The SPEaR Uptake project 2005 identified four key requirements policy people have of research, for it to have utility – it must be accessible, relevant, timely and credible.

An underpinning aspect for all areas of social research is 'data sharing', whereby:

Data sharing

All research and evaluation officials should recognise research as an investment in the generation of social knowledge whose benefit can be compounded by the saving and sharing of this initial data for future unspecified research.

Information about 'data saving and sharing' development can be found on http://www.spear.govt.nz/datasaving-and-sharing/data-saving-and-sharing-resources.html

It is important to check existing information, including existing data before embarking on new data collection. www.statisphere.govt.nz/default.htm holds a growing collection of survey data, inter-Library linkups are extensive and deposit nodes of information via the web are growing.

4.1 THE PRINCIPLE OF RESPECT

RESPECT

Relationships between all stakeholders in social sector research should be based on respect for the inherent value of each contributor (be they researcher, contractor, policy manager, project manager or participant) and the skills, experience and knowledge each person brings to the research and evaluation process.

Rationale

Ethical, professional, robust research and evaluation requires the development and maintenance of respectful relationships with contractors, officials and participants. Developing respectful relationships requires government practitioners to recognise that participants (including contractors, government/public sector stakeholders, or community participants) have experience, knowledge and expertise that can inform and enhance their research and evaluation activities.

Respectful research and evaluation activity requires officials to make genuine attempts to understand and honour the cultural beliefs and practices of participants and the knowledge they impart during the research process. Respectful R & E includes checking existing information and data before deciding to collect new data and it means only collecting information that is relevant to the research objectives, so as not to increase respondent burden or 'research fatigue'.

Anticipated benefits from operating with respect include:

- increased likelihood of input by experienced, knowledgeable stakeholders into the design, delivery and dissemination of R & E
- enhanced technical development of R & E methodologies
- enhanced contractor commitment to R & E projects
- enhanced participant commitment to R & E activities
- enhanced quality of R & E design and R & E activity
- enhanced improvement in cultural appropriateness of social sector research and evaluation activity, including analysis and reporting
- increased value of social sector research and evaluation information and activity to decision makers, policy development and service delivery
- increased respect for government processes.

4.2 THE PRINCIPLE OF INTEGRITY

INTEGRITY
The actions and behaviour of social sector officials advancing research and evaluation should work to establish, maintain and enhance the integrity of all stakeholders, and the professional and ethical integrity of the research and evaluation, policy and service delivery functions.

Rationale
The integrity of the social sector's research and evaluation work depends on the cumulative behaviour of individual researchers and the research units or organisations within which they reside, and the effect that their behaviour has on their own agencies, the social sector, external contractors, and the communities where research and/or evaluation takes place. Researchers and evaluators have a responsibility to safeguard the interests of those involved in or affected by their work, and to report their findings accurately and truthfully. They also have a duty to ensure, as far as possible, that the work programmes or projects they undertake 'add value' to the knowledge base, the development of policy, and the delivery of services. To that end, research findings should also cover the research methodology so that the processes and methods enable the readers to see how the results were arrived at and enable other researchers to replicate the research for another population or at some time in the future.

The processes established to oversee the conduct of all facets of the research process should be based on informed, high quality professional, legal and ethical good practice. These principles and associated guidelines are designed to establish an environment for the personal and professional safety of officials, contractors and participants. The integrity of our processes and behaviour should be such that new forms of knowledge are created that facilitate the development of policies and interventions reflecting the lived experiences of individual participants and their communities.

Anticipated benefits of integrity guidelines include:

- growing public confidence in government's R & E activities
- continued community participation in future social sector R & E activities
- enhanced standards of social sector R & E practice in line with approved ethical, legal and professional good practice protocols
- enhanced development, and maintenance of appropriate support mechanisms, for social sector Research & Evaluation practioners

4.3 THE PRINCIPLE OF RESPONSIVENESS

RESPONSIVENESS *The methods of engagement and the technologies of research of all researchers and evaluators should ensure they acknowledge, understand and respond to differences in institutional, professional and cultural practice, including the appropriate provision of means (e.g. venue and time) for a suitable level of engagement.*

Rationale
To conduct effective inquiries researchers need to be able to collaborate with contractors, stakeholders and participants from a range of disciplinary, professional and cultural backgrounds, and be able to respond to variations in technical and cultural practices, systems and protocols. Research activity that is both ethical and proficient requires engagement that is grounded in an honest exchange of information about the aims of the research, the methodologies and methods, the potential outcomes and the mechanisms for disseminating results. Responsive engagement processes should facilitate the sharing of knowledge and expertise on all aspects of the design and conduct of research and evaluation. Responsive, ethical and appropriate engagement requires researchers to actively protect participants by identifying and observing relevant cultural values and practices whenever possible. Social sector researchers need to be responsive to their policy and service delivery colleagues by actively seeking and responding to their information requirements.

Anticipated benefits of responsiveness guidelines include:

- enhanced input from, and involvement of, social sector policy and service delivery officials
- increased ability of purchasers to assess the capabilities and approaches of possible contractors
- increased likelihood of participation by individuals, organisations and communities
- increased technical, professional and cultural standards of the social sector R & E
- enhanced development of policies and services that reflect the needs of 'at risk' individuals and communities
- enhanced appropriateness of R & E involving the widely different ethnic and cultural communities throughout New Zealand.

4.4 THE PRINCIPLE OF COMPETENCY

> **COMPETENCY**
> *All research and evaluation officials and contractors involved in the development and execution of social research and evaluation should possess the core competencies necessary for performing their duties to a high level.*

Rationale
Social sector researchers and evaluators should possess the knowledge, skills and experience appropriate to carry out the tasks necessary for any project they are involved with. Officials should also possess, or have access to those people who possess, the skills and knowledge to enable them to engage with skilled contractors and the vastly different communities and cultures that sometimes participate in research and evaluation. Officials who work within their competencies or liaise with those who possess the necessary skills and knowledge are less likely to cause harm to participants, and more likely to carry out robust, technically efficient research.

Anticipated benefits of competency guidelines include:

- decrease in technically inefficient and culturally inappropriate R & E
- decrease in poorly designed and managed R & E projects
- enhanced technical and professional standards of social sector R & E
- enhanced ability of the sector to respond to a diverse range of contractors, individual participants, communities and cultures
- enhanced robustness and applicability of social sector R & E data.

4.5 THE PRINCIPLE OF RECIPROCITY

> **RECIPROCITY**
> *Relationships between social sector officials, researchers and participants should enable reciprocal, balanced exchanges of knowledge, resources and time that recognise the value of diverse contributions in a respectful and appropriate manner.*

Rationale
Developing and maintaining effective, respectful working relationships with in-house researchers, contractors and participants requires relationships based on reciprocity. Reciprocity should be demonstrated in practical ways, through a balanced exchange of information about the aims and objectives of the research and the sorts of information required from participants, and how that information will be used. Reciprocity in research and evaluation requires that knowledge and information gained through research will, wherever possible, be used to develop policies and services that serve to enable government to attain its key goals, and aid in the social and economic development of individuals, organisations and communities.

Anticipated benefits of reciprocity guidelines include:

- development of relationships with stakeholders and participants based on respect and integrity
- enhanced likelihood of individual participant, organisation and community involvement in social sector R & E
- increased likelihood of gathering accurate, useful research data and information
- enhanced ability of government to develop policies and services that facilitate individual, community and regional, social and economic development
- development of capability of contractors due to adequate resourcing of projects.

5 Applying the Principles

5.1 Research and Evaluation Contracting

For a comprehensive guide to social research contracting forms see http://www.the-sra.org.uk/commissioning_sr.htm The updated guide is http://www.the-sra.org.uk/documents/pdfs/commissioning.pdf and http://www.the-sra.org.uk/documents/pdfs/commissioning_final_report_0906.pdf is also helpful.

Officials should be aware of the binding procurement directions which must be used by government departments (and are recommended for other public agencies). See www.med.govt.nz "Mandatory Rules for Procurement by Departments" http://www.med.govt.nz/templates/MultipageDocumentTOC____19669.aspx endorsed by Cabinet 18/04/06 which applies to contracts over $100,000 and A Statement of Good Practice (June 2001, Office of the Controller and Auditor-General www.oag.govt.nz/2001/procurement/index.htm) and "Government Procurement in New Zealand: Policy Guide for Purchasers (August 2007, Ministry of Economic Development http://www.med.govt.nz/templates/MultipageDocumentTOC____29467.aspx)

There is a useful checklist on pages 36-38 in Guidelines for Contracting with Non-Governmental Organisations for Services Sought by the Crown Dec 2003 The Treasury http://www.treasury.govt.nz/publications/guidance/finmgmt-reporting/ngo

Officials holding financial delegations need to ensure alignment with the agency purchase agreement, procurement policy, statement of intent, and financial delegations, and that action taken is in accordance with legal requirements including the Public Finance Act 1989 and the Crown Entities Act 2004. Legal advice will usually be incorporated into agency processes and contracting templates. Legal sign off should be acquired on the process and proposed contract prior to undertaking.

As with other parts of the Guidelines, a 'living document' approach means that there is scope for refinement, editing and additions. Illustrative Contract extracts are being collected.

Utilise SPEaR Good Practice guidelines during all phases of the research process, including data saving.[3]

5.1.1 Applying the Principle of Respect

To ensure the research process involving contracting is respectful, officials should:

- Ensure that initial scoping includes officials with research experience and contractor selection experience [4]

- Use the scoping phase to identify clear project aims and desired product, gather any existing relevant material, and identify key stakeholders including future unspecified stakeholders and their likely level of involvement through the stages of the project

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[3] See Fig 1: Government Agencies Research and Evaluation Project Cycle (page 8)

[4] SPEaR member agency contacts http://www.spear.govt.nz/links/index.html or info@spear.govt.nz

The Scoping stage is the phase in the process whereby someone (usually the Research Manager, but if not, then the Project Manager asks and attempts to answer: What is already known on this topic? (own agency e.g. files, other staff, library search), other similar agencies. What are the gaps in knowledge? (analysis, any strategies) Is research or evaluation necessary? What are the client requirements? This may involve several clarification meetings and various iterations, and may result in decisions to proceed with other forms of information provision. What are the people resources available (in-house and/or external) and budget (for in-house and/or external). What is the timeline? Are the resources adequate and are increased resources necessary? What is negotiable?"

- Consult with experienced research colleagues about the feasibility of the proposed work including timing, budget and criteria for selecting the contractor

  A Request for Proposal or Expressions of interest should contain a list of the selection criteria. This enables potential 'providers' to assess whether they will proceed to submit and also assisted with transparency and fairness. Criteria are sometimes weighted.

- Be aware of your agency requirements (and those of other similar agencies) and international guidelines or procedures for determining when open competition must be applied and when preferred provider or closed contracting could be more appropriate. Consult with your agency legal section and refer to the Guidelines cited in the Introduction above (5.1)

  For example, there is usually a $ level which activates increasingly formal processes. These $ levels seem to vary between agencies as do internal procedures. There are particular requirements for contracts over $100,000

  See www.med.govt.nz "Mandatory Rules for Procurement by Departments"
  http://www.med.govt.nz/templates/MultipageDocumentTOC____19669.aspx
  endorsed by Cabinet and originally published 2 May 2006.

- Ensure that the tender notifications (whether EOI/RFI or RFP) contains the necessary information for prospective tenders to respond. This will cover information on the project objective, background, outline of work sought, timelines and contact details for further information with the level of detail appropriate to the process stage. (An RFP would contain more information). The budget can be signalled and the criteria to be used in selection made available. It should also include clear rules about how the agency will deal with late tenders and non-conforming tenders 9i.e. whether these will be received and on what basis). A fair and transparent process should be evident

- Where the co-operation of another agency or group is required for the project (i.e. their service will be evaluated, access to their records may be necessary), this should be signalled in the RFP. The Agency proposing the project should be prepared to assist the researcher/evaluator to obtain needed permissions/access, if that has not already been obtained. (Note Ethics processes are addressed in the Ethics section of these Guidelines and are usually undertaken after contracting formalities)

- University based researchers will need to comply with their agency policy on 'overhead' recovery in submitting a budget as part of their proposal. Research Funds such as those operated by FRST, Marsden, TEC and HRC have funds and formula for full overhead recovery. Contract budgets with other crown agencies seldom include 'full overhead' provision. Some provision for overheads directly associated with the contract whether undertaken by a private sector contractor or a university based contractor is usual

Rather than have a category line in an EOI/RFI or RFP called 'overheads' it is better to list out categories such as 'people costs' 'operational costs, 'equipment usage/rental', 'support staff', 'premises', 'office supplies', 'skills/knowledge maintenance'. Private sector contractors often include such 'overheads' in their 'hourly rate'. Such variation can make for difficulties in comparing budgets from various tender respondents. You can standardise the categories and reasonable expect tender respondents to follow those categories – adding explanatory budget notes where appropriate. While budgets are negotiable, negotiators should bear in mind that lowest cost does not always mean highest value.

Vote: Research, Science & Technology funding agencies (FRST, HRC, RSNZ/Marsden) and the Tertiary Education Commission Research operate a 'full cost funding' model. Government agencies generally do not operate a 'full cost-funding model' and therefore query 'overheads' if presented as a budget line in an RFP response. It is wise to be clear at the EOI and RFP stages about budget categories and how 'overheads' should be addressed, to ensure all responders (whether private sector or tertiary sector based) can respond on an equitable basis.

"Full-cost funding of (university) research is necessary because partial funding could result in:

1. cross subsidies to or from Vote RS&T and Vote Education; and
2. uncertain long-term viability of the research providers." …

Departments are "encouraged to follow these (full cost funding) principles in their own contracting with research providers in the tertiary education sector" (Letter - CE MoRST to CE's of government agencies – 21 Feb 2003)

Central government agencies are a significant contractor of social science research – with researchers and evaluators in the tertiary and in the private sector. Marginal cost funding approaches therefore have long run social science capability implications.

- Be aware of the range of ways in which aspects such as intellectual property rights (sole or shared), access to agency information, data saving and sharing, publication rights (sole or joint) are able to be dealt with in research contracts while meeting legal and policy requirements

Most agencies will have a standard contract template. Matters of copyright, future use and intellectual property should be discussed at the onset of the project and clearly identified in the contract. Not doing so can result in costly and unnecessary disputes. The Crown has copyright in work that it engages or employs a person to do: s26 Copyrights Act 1994. The contract should reiterate a full Crown copyright. The contract should address whether the copyright will be held jointly with another party (which is often sought by university based researchers), whether the author is authorised to have limited use (including under licence) of the work, commercial use of the work and future modifications of the work. The contract should also address other intellectual property created during the process, for example ownership of the raw data (often vested with the researcher) or any novel data collection methods developed in the course of the study (such as a computer programme). The contract should address the author's moral rights (as defined in the Copyright Act). The author's moral right to be identified as the author of the work does not apply to Crown copyright work unless the author is previously identified on published copies of the work: s 97 Copyright Act. A ‘no surprises’ approach to any publications and presentations is sometimes also negotiated in a contract.

- Be aware that until a contract is actually signed, the relationship may appear to be a voluntary one between the parties with no penalties for ‘walk away’. However, legal obligations in the form of a preliminary contract can be created in the absence of a final contract and may arise from the procurement process

- Some agencies include an explicit statement in the RFP “that the RFP does not constitute a contractual arrangement” However, despite clear disclaimers, pre-contract activity can create what is called a process or preliminary contract. It is wise to ensure legal advice at all stages of the contracting process

- Should work be needed prior to the formal contract signing, a short form contract can be used. Legal advice should be sought

- Be aware that when an agreement is formalised in a contract, this becomes a legal document. All parties to a contract have expectations, rights and responsibilities. Contract variations should be developed through negotiation and formalised in accordance with procedures set out in the original contract

- The contract should define the rights and responsibilities of the parties, the service expectations and roles, the reporting and payment stages, process for formalizing any variations, a dispute resolution process and the ability for the procurer to terminate the contract in the event of an appropriation not being made, government policy change or non-performance

- Respect the time and effort of contractors by including an indicative Budget,

    Tenders should include an indicative budget. Research can be ‘as long as a piece of string’, and ‘best practice’ methods are likely to cost more, so it is important to indicate to potential contractors where the budget range/cap sits. Some agencies may have internal procedures which differ from this approach. Such procedures may advantage the ‘best guesser’ rather than research of utility

  allowing a reasonable timeframe for proposal development and including any particular skill sets desired, in the RFP.

    Ensure that a realistic amount of time is available for potential contractors to prepare responses to RFP’s. This means providing additional time if the RFP is issued around major holiday periods such as December/January, Easter and school holidays.

  Once tendered and a preferred contractor is notified of the agency’s intent to contract with it, the project should not be withdrawn without having regard to legal advice. Payment of fair compensation to the notified contractor may be required

5.1.2 Applying the Principle of Integrity

To ensure the integrity of their work with Contractors officials should:

- Consider using a range of EOI/RFP notification methods, including agency formal requirements when using a competitive tender process

  For contracts over $100,000 see www.med.govt.nz "Mandatory Rules for Procurement by Departments" http://www.med.govt.nz/templates/MultipageDocumentTOC____19669.aspx For contracts under $100,000 "Government Procurement in New Zealand: Policy Guide for Purchasers (August 2007, Ministry of Economic Development http://www.med.govt.nz/templates/MultipageDocumentTOC____29467.aspx) and Guidelines for Contracting with Non-Governmental Organisations for Services Sought by the Crown Dec 2003 The Treasury http://www.treasury.govt.nz/publications/guidance/finmgmt-reporting/ngo

- Websites such as NZGETS[5] and SPEaR[6] together with targeted mail to known contractors, both private and tertiary based and niche advertising through appropriate professional associations should be considered.[7]. Be aware that some agencies have procedures whereby if NZGETS is used; other advertising may be restricted to an e-mail that XYZ is on the NZGETS site

- Where the proposed work is very specialized and the potential contracting field is known to be limited, 'collaborative processes' and 'preferred provider' approaches can be appropriate. Fairness and transparency are legal requirements and need to be particularly evident in these situations. Comprehensive documentation should be kept

  http://www.the-sra.org.uk/documents/pdfs/commissioning.pdf contains a useful checklist. Officials also need to be mindful of the relevant requirements of the Official Information Act 1982 and the Privacy Act 1993.

- The process to be followed should be clarified prior to engaging with potential contractors and should include how to deal with any conflicts of interest

  Agencies such as the Health Research Council (www.hrc.govt.nz) and the Foundation for Research, Science and Technology (www.frst.govt.nz) have well developed 'conflict of interest' processes including 'direct conflict' and 'indirect conflict'.

- Be aware that your agency may well have set financial delegation levels and criteria that specify expected processes. There are likely to be specified restrictions around any exemptions and substantial application procedures for obtaining exemptions. applications. Check these and align processes and sign-outs prior to engaging with potential contractors

- Where process alterations are considered appropriate, the imposts on potential contractors should be considered in terms of time and costs. Compensation for such costs (e.g. travel and time to attend a forum/seminar) due to agency actions, should be considered. Alterations to a previously signalled process do carry legal risk. Any proposed changes need to be able to be justified and should be well documented. Obtaining prior legal advice would be wise

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5 http://www.gets.govt.nz/Default.aspx?show=AwardedList&returnTo=home

6 http://www.spear.govt.nz/work/index.html

7 ANZEA, AES, ASSR, and University Research Offices will reach most of the sector. Contact links can be found at http://www.spear.govt.nz/links/index.html

- The EOI/RFP should ask potential contractors to identify their professional Code/s of Ethics in their submission. Officials involved with the project should sight the Code/s to ascertain that its coverage and content is adequate and appropriate to the project

  The Code of Ethics for a professional association should be on their website. Links to most of the NZ sites are available through http://www.spear.govt.nz/links/professional-associations.html

- Prepare for contracting negotiations by assessing your agency standard contract template (where there is one) for clauses where variation could be required and locate appropriate clause variations which have been previously approved [8].

- Ensure the budget for the project is adequate for undertaking the contract

  The Budget for a research or evaluation project will almost never be sufficient to cover all stages and tasks to an 'ideal' level and 'trade-offs' are usual when scooping a project. Part of the 'skill' applied by experienced researchers and evaluators lies in making 'trade-offs' that do not compromise the project to the point where utility is seriously undermined. Seek advice at the scooping stage particularly and at any other stages where such 'trade-off's' are involved. An experienced 'potential contractor' will also have viewpoints on 'trade-offs'.

- Ensure that project milestones and reporting requirements are aligned with progress payments

- Ensure that contracting documentation is sufficiently robust to endure for the term of the contract and through personnel changes among officials. Where additional work is sought or circumstances change significantly, contract variations should be negotiated, agreed and adequately resourced

  A major reason warranting a formal contract variation might be something like a major policy change affecting the population group/services involved in a Process or Formative evaluation where significant fieldwork additions are needed and costs covered. A major natural disaster in an area could impact on fieldwork timing in that area to the point where a contract extension, or a contract variation to begin again in another area, or a contract termination, is required.

5.1.3 Applying the Principle of Responsiveness

To ensure the responsiveness of their processes, officials should:

- Ensure that people with appropriate research experience are appropriately involved in all phases of the project – including the planning, advisory group formation, contractor selection, contract negotiations, project management liaison, milestone reporting signoff, draft and final reporting and dissemination

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8 Contact info@spear.govt.nz for examples as we are building an example base.

Advisory Groups and/or Steering groups should include key agency stakeholders (or their representatives), at least 1 person with experience in each of the research or evaluation methodologies likely for the contracted work, at least 1 person with project management/contract supervision experience, at least 1 person with contractor selection experience, several people familiar with the subject matter, and the internal Project Manager. Where more than 1 agency is involved, each agency should have a representative.

- Establish clear communication lines with Contractors so that any issues are able to be addressed and remedied as soon as possible and at the appropriate level

  Ensure phone and e-mail details are known between the principals (and emergency backups) for each of the parties and ensure face-to-face contact provision is in the Budget around key milestone reporting, Advisory/Steering group meetings and final reporting.

- Be aware that researcher reputation is part of their human capital and has a market value. Timeliness and credibility are important aspects of 'track record'. You can ask for track record information in EOIs, RFIs and RFPs. Treat such information with care however, as it can be commercially sensitive

- Be aware that agency reputation in research contracting and management can influence the responses to EOIs, RFIs and RFP'. Responsiveness, fairness and timeliness are important aspects of agency credibility and a fair and transparent process should be evident

5.1.4 Applying the Principle of Competency

To ensure the competency of the work they do with Contractors officials should:

- Support the Project Manager by ensuring access to officials and/or external advisors with an appropriate level of experience and knowledge of the range of issues, methodologies and methods, applicable to the project.

  This is particularly important where the project involves a range of diverse stakeholders such as: ethnicity, culture, language, projects where ethical practice is critical (e.g. where safety is involved or where illegal activity could be disclosed to the researchers) or where there is high potential for misinterpretation of the research data or reporting.

  This support is in addition to the Advisory/Steering Group for the project. Ensure there is a budget line for appropriate payment for the time of non-public servants

- Ensure that those undertaking the contract have the training and skills to undertake the project, and that sub-contracting and collaboration can ensure that any mutually identified gaps are remedied
- Ensure that the time (in Full Time Equivalents of % - F.T.E's) of all members of the proposed research team are specified and that short CV's are sought and supplied.

Check references and previous examples of work when these have been sought and supplied. Treat such information with care and have regard to the Information Privacy Principles. This includes secure storage, only using the information for the particular purpose it is supplied and destroying it when the process is completed

5.1.5 Applying the Principle of Reciprocity

To ensure their relationships with Contractors are reciprocal, officials should:

- Be willing to engage in a manner that can produce sustainable relationships
- Be aware that contractors are working in a market where demand and supply may not match, where contractor availability may not coincide with agency timelines and where capacity and capability may differ from agency expectations
- Where a competitive tender process is being undertaken, ensure that the information provided to potential tenders is transparent and equitable and includes all relevant information. Where questions of clarity are asked, answer in a timely manner and make the information you provide to one party available to all potential parties (party- identifying details should not be disclosed however). Questions can be anticipated so consider using a Frequently Asked Questions (FAQ) approach. A fair and transparent process should be evident
- The Official Information Act 1982 may be utilised by an unsuccessful tenderer to seek information about the process or another tenderer. There are provisions in the Act for information to be withheld (on grounds of commercial sensitivity, privacy etc). Legal advice should be sought in such instances
- As part of the initial contracting process with the successful contractor/s, identify via negotiation, the appropriate processes and formats in regard to intellectual property rights and the dissemination of research and evaluation results
- Release research findings (and in appropriate formats) as agreed in the contract and with regard to the consent given by (and any additional guarantees given to) research participants

5 Applying the Principles

5.2 Research and Evaluation Ethics[9]

For those wishing to access further material the American Evaluation Association has a "Guiding Principles Training package – see www.eval.org/GPTrainingOverview.asp "Research Ethics in Aotearoa New Zealand" edited by Martin Tolich (Pearson Education New Zealand Limited) 2001 ISBN 0 582 54273 1 contains a range of relevant essays.

As with other parts of the Guidelines, a 'living document' approach means that there is scope for refinement, editing and additions. Illustrative examples are being collected.

Utilise SPEaR Good Practice guidelines during all phases of the research process, including data saving[10]

5.2.1 Applying the Principle of Respect

To ensure their work is ethical respectful, Officials should:

- Seek informed consent (which may be informed consent to use of the data in a further study) from all potential participants

  > **"**Encouraged by ethics review committees, New Zealand researchers routinely store data for between five to 17 years. However, the sharing of this data is prohibited, as usually no informed consent was gained at the time of data collection for its reuse. To gain a re-consent for this data would be a cumbersome process that few would attempt. Internationally and nationally there has been a sea change in the informed consent process. For example, two separate sets of Ministry of Health guidelines are outlined in Section 8 below. The new Observational Studies Guidelines balance the traditionally sacrosanct mandating of individual consent against the interests of the public good. The Ministry of Health's draft guidelines on Tissue Banking go beyond the traditional one-off direct consent process providing for a broad consent allowing research participants to consent both to a particular research project at the same time as consenting to their data being saved and shared with other researchers conducting unspecified future research in the future. Note: broad consent by definition cannot be enacted retrospectively". (Dr Martin Tolich – "Discussion Document SPEaR data saving and sharing project: Challenges, Risks and Solutions for Administrative Data and Researcher Sourced Data" www.spear.govt.nz or http://www.spear.govt.nz/datasaving-and-sharing/data-saving-and-sharing-resources.html

- Use appropriate processes for gaining informed consent These processes can differ depending on participant characteristics (language/s, age, gender, culture, experiences, cognition) and whether the project involves individuals 'at large' or as part of 'groupings/communities of interest'

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9 For an example of the underpinning Respect Code of Practice for Socio-Economic Research Project in Europe see http://www.the-sra.org.uk/documents/pdfs/respect_code.pdf

10 See Fig 1: Government Agencies Research and Evaluation Project Cycle (page 8)

Tertiary institutions usually require written consent forms. Some government agencies have begun to adopt written consent forms. The researchers need to ensure such forms are kept separate and secure so that confidentiality for participants is not compromised. Oral consent should also be undertaken prior to collecting data even with a written consent form.

- Refrain from using coercion when seeking participants for research and respect participants' absolute right to decline to participate in or withdraw from the research programme and from the use of their data in future unspecified research

  'Coercion' is the opposite to 'informed consent' – people should be 'free to choose' to participate in research or not, and to have the information they need to make that choice. They should be able to withdraw their consent and have their information removed from the research data. If this is not possible, they should be notified as part of the initial consent seeking. Where there are population vulnerabilities – e.g. prisoners, agency clients, particular care needs to occur to avoid coercion.

- Refrain from offering inducements to potential participants

  An 'inducement' is where a 'benefit' is notified before the actual data collection begins or is completed. It may involve a promise of money or goods or vouchers other than the reimbursement of expenses such as travel for the interview, or childcare. Light refreshments at an interview venue (tea/coffee and biscuit/fruit) would not be considered an inducement. Officials should not be involved with research where inducements are utilised.

- Offer appropriate compensation (petrol vouchers, small gift, food, etc), to participants as a 'thank you' for their time, and to venue organisers/arrangers for their assistance

  A 'thank you' may be offered after data gathering has occurred. This may be in the form of a petrol or book voucher, a small craft item or even a $20. Agency rules will vary and the researcher should clarify practice prior to field engagement. Where receipts are required, which could conflict with participant confidentiality, the person who arranged the interview venue/made contact with the participant ma be acceptable as the signatory 'on behalf of' the interviewee.

- Treat any data or other information produced in the course of the research as confidential except as agreed in advance with the research participants

  Sometime a community or group may wish to be identified – this should never be assumed and any consent should be very clearly fully informed and explicit. Oral history projects identify individuals. It is possible to 'time protect' identifying information (Census records 100 years+ etc). SNZ have protocols to protect unit record data.

- Recognise that what is 'ethical' or not can vary significantly across cultures

5.2.2 Applying the Principle of Integrity

To ensure the ethical integrity of their work officials should:

- Adequately inform people of the aims, methods, anticipated benefits and potential hazards of participating in a project

  Projects such as ‘The Unfortunate Experiment at National Women’s’ (1966 Study in Cervical Carcinoma In Situ) which led to the Cartwright Enquiry 1988 or the Tuskegee Syphilis project http://www.tuskegee.edu/Global/Story.asp?s=1207598) may seem extreme but they did occur. Codes of Ethics and ethical guidelines seek to minimise repeats.

- Ensure that the consent process includes the following information:

  - the names of the researchers/organisation conducting the research
  - information on the purpose of the research and intended uses of any information derived from the process
  - full details of participants’ involvement and responsibilities, including the type of information required from them and the nature of any task they will be required to perform
  - any risks associated with their involvement
  - any benefits that will result from their participation
  - a statement ensuring the confidentiality of the information they provide, and information about the mechanisms that will be used to ensure confidentiality
  - the choice of whether to remain anonymous (or not), and information on the strategies and processes that will be used to ensure anonymity
  - access to information they provide, including whether they will have an opportunity to alter or withdraw the information
  - information about access to the results of the research, including the final report
  - information on their right to refuse to take part or withdraw from the research any stage of the project including future unspecified research

- Conduct the research according to the agreed protocols (i.e., of the research ethics committee if applicable, the project management committee/Advisory Group) and in accordance with legal requirements and professional guidance (e.g. the code of practice of the professional body they are members of, the procedures of the agency they are employed by)

- Seek peer advice – internally, or/and through the SPEaR member agency network if internal resources are limited)

  Encouraging a Peer Review Network (informal and more formally if necessary) has been identified through the consultation process as something the sector wants. Several agencies utilise personal contacts built up via SPEaR to approach other agencies directly. Some requests come via the Secretariat. Peer Networking includes Advisory committee membership, formalised collaborative project specific partnerships, formal peer review, Assessing Panel membership, second opinion advice etc.

- Report research findings accurately, completely and without distortion and note any variables and conditions that may have affected the outcomes or interpretations of the data

5.2.3 Applying the Principle of Responsiveness

To enhance the ethical responsiveness of their work, officials should:

- Develop engagement and research processes respectful to the customs and beliefs of the communities, groups and individuals who participate in their research

  Refer to the sections on Research and Evaluation involving Maori, Research and Evaluation involving Pacific Peoples, for guidance. Be aware that age, gender, language, religion, life experiences, values, beliefs, attitudes, situation and location will also produce variables which the researcher should be alert to. OBTAIN ADVICE.

- Be open to making changes to their practices, in line with the customs, beliefs and practices of the communities, individuals and groups taking part in their research

  Researchers should be explicit about the particular Code/s of Ethics they adhere to and which professional associations they are members of. These Guidelines provide further guidance.

5.2.4 Applying the Principle of Competency

To ensure the ethical competency of their work, officials should:

- Ensure they, and any external researchers contracted in, are technically and ethically competent to carry out the research to the highest standards

- Ensure the organisation has the appropriate quality assurance and peer review processes in place to support researchers and research participants

  Experienced researchers will be familiar with peer review processes and quality assurance (QA) processes. Peer review procedures should be part of agency processes whether the work is done by contractors or staff. Most agencies will have procedures additional to management review, risk assessment and publication processes.

5.2.5 Applying the Principle of Reciprocity

To ensure the ethical reciprocity of their work, researchers should:

- Honour guarantees of confidentiality and anonymity given to research participants, unless there are clear and overriding reasons to do otherwise

  It is wise to be honest with potential participants in advance. Firstly it is ethical and is part of the informed consent processes that should be followed. It is OK to tell people that there is no guarantee that a report will be published or that written feedback may not be possible. Sometimes people prefer that their information might help to make a difference to an agency modus operandi and see this as more important than receiving a published report. What is NOT OKAY is giving undertakings and making promises where the decision is not yours to make and where you do not control the process. While feedback is the ideal, and may be your intent, the agency context can alter and decisions can be changed. Care should be taken not to over promise or to raise expectations that may not be able to be met. If caught in such a situation, the researcher should seek advice from Managers and try and provide some explanation to the research participants.

- Honour agreements to disseminate information for review and alteration

- Honour obligations to disseminate final reports and/or research findings

- Honour obligations to save data to realise the full potential of the initial investment

- Remember to thank people for their time, effort and input

- Obligations entered into by researchers may have legal effect. Further, a contracting agency may owe (or be alleged to owe) vicarious liability for their agents failings.

5 Applying the Principles
5.3 Research and Evaluation involving Pacific Peoples

Section 3.4 and Fig 2: Conceptual Framework provides contextual information of relevance to this section. Officials contemplating research or evaluation – whether in-house or through contracting should consider carefully where the proposed work locates in the Framework. The more aligned the proposed work is with the 'partnership approach' the greater the need for attention to guidance in this section. More generalised survey work will also benefit from the guidance in this section.

While the term 'Pacific Peoples' is used in these SPEaR Guidelines, the term 'Pacific Peoples' is a collective 'grouping term'. The collective is composed of unique, distinctive and diverse cultural groups of indigenous peoples including New Zealanders by birth (Tokelau, Niue, Cook Islands). There is a fast growing population of Pacific children growing up in New Zealand (14% increase since 2002)

The Health Research Council of New Zealand has published "Guidelines on Pacific Health Research in May 2005. Several people involved with the development of those Guidelines have also been involved in the consultations and development of the SPEaR Guidelines. The HRC document should be consulted along with the shorter SPEaR guidelines. The HRC document can be accessed at:
http://www.hrc.govt.nz/assets/pdfs/publications/May%202005%20Pac%20Guidelines.pdf

The HRC Guidelines are for Pacific Research – with a vision of "Pacific Research by Pacific for Pacific". The SPEaR Guidelines are for 'Research and Evaluation involving Pacific Peoples' - which government agencies are doing now – either in-house or through contractors – providing guidance to encourage officials to more their practice more closely towards Partnership (as in Fig 2) and 'Pacific Research' as outlined in the HRC Guidelines.

UNESCO issued a draft statement on Bioethics in 2005 has sponsored a series of country/regional meetings since then. At the NZ meeting in Dunedin, Feb 2006, UNESCO were asked to hold a Pacific Regional meeting to enable exploration of what appeared to be major paradigm differences. The Regional Pacific Ethics Of Knowledge Production Workshop November 2007 fono provides a further source of information of relevance. See http://www.unesco.org.nz/unesco_current_initiatives.htm?article=

As with other parts of the Guidelines, a 'living document' approach means that there is scope for further refinement, editing, illustrations and extension with additional work on this '…involving Pacific Peoples' section being a priority.

Utilise SPEaR Good Practice guidelines during all phases of the research process, including data saving.[11]

5.3.1 Applying the Principle of Respect

To ensure the research process and relationships involving Pacific Peoples is respectful, officials should:

[11] See Fig 1: Government Agencies Research and Evaluation Project Cycle (page 8)

- Recognise the need to involve a ‘whole process of engagement’ to ensure the research process and research relationships with Pacific Peoples are respectful

  The HRC Guidelines on Pacific Health Research state (pg 16, see ref above) “Respect and humility are attitudes that need to be brought by researchers to any interaction with Pacific peoples, and indeed any interaction between a person/group with more resources than another. It is important to understand that expression of respect is dependent on the specific context of the interaction, and the stage of the relationship itself. The more distant the relationship, the more formally respectful the interaction needs to be…”

- Ensure appropriate preparations for encounter are carried out by research leaders including consideration of appropriate languages, protocols, reciprocating exchanges of knowledge, participation and hospitality. Seek specialist advice as part of the preparations

- Consider establishing a Pacific Peoples Advisory Group or a Pacific Research Reference Group for the duration of the research project (which includes publication and dissemination)

  Larger government agencies may have specialist Pacific Advisors who will have networks they can tap to assist. The Ministry of Pacific Island Affairs staff can also advise. The HRC Pacific Health Research Guidelines (pg 24-25) provides an excellent summary of the roles and functions for a Pacific Peoples Advisory Group: “Advisory Group members should: have a deep understanding of the research; be familiar with the subject matter; have credibility within the community; have a consumer understanding; and be targeted carefully recognising the need for: - ethnic specific balance/representation; - awareness of cultural/political factors that may influence group dynamics, and- regional representation/balance across NZ”

- At the planning and design stages of the research project, involve Pacific Peoples as advisors. These advisors can be drawn from community elders, community providers, participant community representatives, or community nominees. The advisors contribute context specific experience and knowledge, cultural competence and may have experience in conducting research or evaluation with Pacific peoples

- Use the consultation and planning phases to identify what actions are required to address intellectual and cultural property issues or concerns. The actions required should be developed in consultation with the Pacific Peoples advisors and participants involved in the project

  General population surveys are less likely to require discussion and resolution than projects where there is a particular community or grouping focus.

- Engaging Pacific Peoples in the project as partners from the planning and design stages through to publication and dissemination of the findings is more likely to increase safety for the participants as individuals and communities

  ‘Safety’ in this context is primarily ‘cultural safety’ which includes safety dimensions such as physical, mental, spiritual etc. Relationships and community accountability for some will extend long after the research project is completed. ‘Cultural safety’ is also termed ‘cultural competency’… The HRC Pacific Health Research Guidelines (pg 19) state “Conducting Research with an attitude of respect is essential to culturally competent practice. Even when a person has limited cultural knowledge, if they work with an attitude of respect, they are often able to operate in a culturally safe manner. Research environments – teams, organisations, departments, institutions – should facilitate and encourage culturally competent practice and behaviour. Researchers should endeavour to create spaces and environments that are culturally safe"

5.3.2 Applying the Principle of Integrity

To ensure the integrity of their research work and relationships with Pacific Peoples, officials should:

- Recognise that achieving integrity includes accountability and transparency of information and communication and discussion of the research project purposes, aims, intended, potential benefits for Pacific Peoples, and disclosure of possible risks or harm to Pacific Peoples

- Consider the need for engagement with Pacific Peoples advisors and participants as early as possible in the project scoping phase

  Early involvement will help to ensure alignment of processes, resourcing and timing aspects.

- Integrity of preparations for engagement with Pacific Peoples ideally includes gaining knowledge around their socio-economic, socio-cultural and historical contexts within which to understand more fully the positions of Pacific Peoples in New Zealand

- Develop, as part of the research budget, provision for consultation meetings with individuals, organisations or community representatives or ideally a Pacific Research Reference Group. Include transport costs, fees for participation, appropriate and accessible venues and the provision of hospitality

- Include regular consultations in the overall research plan and/or regular meetings with the Pacific Research Reference Group for the research project

- Ensure the budget for the project includes the need for Pacific Peoples to speak in their own languages and a budget for translation including conceptual translations where possible with verification through back-translation and piloting

- To increase integrity it is important to recruit and train culturally appropriate information collectors, analysis and write-up in the language/s of data collection, and cost reimbursement for those providing Pacific Peoples expertise and contributions to these research project activities

- Applying and referring to the SPEaR Ethics guidelines sections during all research and evaluation activities involving Pacific Peoples is recommended

5.3.3 Applying the Principle of Responsiveness

To ensure their research work and relationships with Pacific Peoples are responsive, officials should:

- Consider that Pacific Peoples are stakeholders on issues related to project design, and report back to all stakeholders on any subsequent design changes

- Involve Pacific Peoples as stakeholders through their inclusion in all decision making that impacts on their participation, partnership and possible benefit or harm that arises from the research project

- Engage Pacific Peoples at the earliest opportunity in the development of appropriate methodology/ies, the development of the research question/s, data gathering tool/s, the analytical task/s and framework/s, analysis, the validation/authentication of analysis, dissemination mechanisms, the determination of report content and subsequent dissemination

- Ensure that interim project reports and other reporting documents include a summary of consultations, negotiations and decisions that included Pacific Peoples. Reasons for exclusion should also be made explicit

- Ensure that Pacific Peoples participants are given the opportunity to comment on draft analysis/findings, incorporate their comments in the final draft and whether (and if so how) they wish their input to be acknowledged in any publication activity

5.3.4 Applying the Principle of Competency

To ensure the research work they do with Pacific Peoples is competent, officials should:

- Include as partners and/or participants in the research project team, pacific Peoples of the same cultural groups and languages so they can advise on the most suitable and inappropriate approaches in relation to the Pacific Peoples involved in the research project

- Recognise the shortage of Pacific researchers and the responsibility to create respectful, responsive, competent, reciprocal partnerships of integrity between Pacific and non-Pacific Researchers as a specific and valuable contribution to building Pacific Peoples capacity in research to redress this shortage

- Include in the project team, people with experience and knowledge of methodologies and methods applicable to Pacific Peoples research contexts

- Establish an advisory group to work with the project team and assist in ensuring the researchers and the research is credible – to the range of stakeholders (funding/contracting agency and communities/participants involved)

5.3.5 Applying the Principle of Reciprocity

To ensure their relationships with Pacific Peoples as research partners and participants are reciprocal, officials should:

- Ensure research has benefits for participants, communities, other stakeholders, and researchers

- Be aware that there are many demands on the time of those Pacific People with research expertise and that their numbers are growing slowly Consider ways in which those with more experience can 'mentor' emerging Pacific researchers'

- Be aware that many Pacific communities in this country have experience with historical research and that these experiences may not have been positive. Pacific Peoples as prospective participants, organisations or communities can say NO at any stage of the research process and this must be respected

- Ensure that the information provided to potential Pacific Peoples participants during all phases of the project includes all relevant information, including information expressly sought by participants, and that the language/s and tone of the communication is appropriate and relevant

- Be willing to engage with potential Pacific Peoples participants at times and in forums of their choosing

- Use the consultation process to identify any information and research requirements of participating Pacific Peoples organisations, and (where possible) incorporate these requirements into the research design

- Identify via negotiation with Pacific Peoples participants, the appropriate processes and formats for the dissemination of research and evaluation results and actually do this

  Appropriate and meaningful dissemination processes for participants, communities and key stakeholders can include community presentations, media outlets such as Pacific Radio and Television programmes, newspapers and newsletters, Pacific Journals, seminars, conferences, and e-mails to key networks.

5 Applying the Principles
5.4 Research and Evaluation Involving Māori

Section 3.4 and Fig 2: Conceptual Framework provides contextual information of relevance to this section. Officials contemplating research or evaluation – either in-house or contracted -which locates in the 'partnership approach' should pay particular attention to the guidance in this section. More generalised survey work will benefit from the guidance in this section.

SPEaR contracted with ANZEA (Aotearoa/New Zealand Evaluation Association) to develop vignettes which provide illustrative examples to assist the application of these principles with research and evaluation contexts involving Māori. The full ANZEA 2007 document, including more illustrative examples, is available at http://www.spear.govt.nz/good-practice/index.html While the ANZEA vignettes have been brought into the Guideline format, the two documents do not exactly align – rather the intent is to alert users of these Guidelines to differing world views which researchers and evaluators need to navigate.

As with other parts of the Guidelines, a 'living document' approach means that there is scope for refinement, editing and additions.

Officials should note the Crown - Māori Relationship Instruments: Guidelines and Advice for Government and State Sector Agencies (TPK/MOJ Sept 2006). These CMRI would apply where an Agency (Crown) intends to carry out an iwi-specific or focused research or evaluation project. Such a project would require informed consent between the agency and iwi in regard to iwi participation in the project. Such a project would technically constitute a formal relationship as defined in the CMRI. The full CMRI document is available at http://www.tpk.govt.nz/en/in-print/our-publications/publications/crown-maori-relationship-instruments/ or contact Te Puni Kokiri or the Ministry of Justice for advice.

Utilise SPEaR Good Practice guidelines during all phases of the research process, including data saving.[12]

5.4.1 Applying the Principle of Respect

To ensure the research process involving Māori is respectful, officials should:

- Recognise that respect is a process often based on knowledge and understanding of relationships

> "… I saw these two brothers speak on a marae, and I watched how they did it. It was done with the utmost respect for one another, their whānau and the people at the marae (they were on the manuhiri side). One was the tuakana; the other was the teina, but the process they went through was just as important as the actual act. Within the process was mana, wairua, whakapapa, aroha and tikanga. Respect is the process that you go through, rather than the actual act of what you do, and it's the understanding of that process. *What you do is important – understanding why you do it is even more so"* (ANZEA Hui August 2007)

- Understand that respect means not trampling on people's pride, feelings or ideas and ensuring different perspectives are considered

12 See Fig 1: Government Agencies Research and Evaluation Project Cycle (page 8)

"… I was working with a senior researcher, (well-known in some circles, but known at times as a tyrant in other circles). We were running late, trying to compile a draft report and send information out for an advisory group meeting the following week. The senior researcher told us we had no mana for being behind time. Our dilemma was that we did not agree to her approach to the research design, as we were dealing with our people, our reo and our tikanga. That day it was her mana (respect) that was diminished. In the end our advisory group played a huge role in designing the research project. Respect within a research process can be comprised when driven by single, non-inclusive, agenda. Disrespectful behaviour can impact on everyone involved in the research, both researchers and participants "(ANZEA Hui August 2007)

- Use the project-planning phase[13] to identify the appropriate protocols that need to be observed during engagement with Māori participants and stakeholders now and in the future

  With whole population surveys, it may be sufficient to consult agencies such as Te Puni Kokiri and include competent experienced people on the project advisory group. For a project involving Maori within a particular geographical area as participants, the researcher should always contact local Maori representative organisations. The Health Research Council has developed Guidelines which may be useful "Guidelines for Conducting Research with Maori (pdf) (last item on list) http://www.hrc.govt.nz/root/Maori%20Health%20Research/About_Maori_Health_Research.html

- Ensure that the budget for the project is adequate and includes sufficient resources for consultation, reciprocity, compensation for contribution/participation and feedback

- Involve Māori participants (whanau, hapu, iwi and community organisations) as early as possible in the designing of research that will impact on them and their communities

- Allow sufficient time to consult with whanau, hapu, iwi and community organisations and be aware of the competing demands and priorities of stakeholders and participants

- Recognise that respect in theory can differ from respect in practice and can be compromised by the things we do or say

  "… If only we could turn back the clock and not engage that researcher! On paper the credentials and experience looked fine; a good match with the provider seemed guaranteed. However, little did we know that the researcher had another agenda and was mainly interested in getting across their own personal views and bug bears they had with the particular provider and our evaluation process. So in a respectful way we met to discuss the concerns the researcher had. We listened and talked about how we could move forward and went away from that meeting with what we thought was a shared pathway forward. However, it turned out that the issue was not settled for the researcher and within a few days the email traffic ran hot and things had escalated. There was potential impact on the provider as well as the risks to the reputation of our organisation. *You can deal with someone in a respectful manner, but that doesn't mean they will act respectfully in return"* (ANZEA Hui August 2007)

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13 See section 3.1 Understanding the Government Agency Research or Evaluation Project Cycle and section 5.1 Research and Evaluation Contracting

> "… I attended the opening of [name] Marae. A well-known Māori dignitary, when entering the whare, didn't take his shoes off at the door. He told my Dad later that the Queen [of England] doesn't take her shoes off for anyone, and because he was a representative of the Queen, he wasn't going to either." Everybody else did, but he didn't. He lost the respect of everyone attached to the marae. Everybody noticed, everybody pointed; nobody gave two hoots that he was a well-known dignitary. There are two points of note around that; one was that he took off his korowai Māori and two, he thought having the Queen's korowai was going to give him more respect, but it had the opposite effect. *Respect is about following local etiquette, no matter what position you hold"* (ANZEA Hui August 2007)

5.4.2 Applying the Principle of Integrity

To ensure the integrity of their work with Māori, officials should:

- Ensure development of a consultation plan that identifies likely participants and consult with agencies such as Te Puni Kokiri and specialist advisors (some agencies have these people), to ensure that the right people to talk with are identified

- Researchers have control over the research process and research participants are reliant on the researcher to act with integrity. It is the personal and professional integrity and mana of the researcher that is at stake in any research project

- Be ethical[14] and honest during all research and evaluation activities

  > "Being honest and upfront about the purpose of the research and the benefits, be they positive or negative. Integrity is the need to tell the truth about what we are looking for. Often surreptitiously or through ignorance there can be a bit of dishonesty; promising to change the world, but knowing we can't deliver. Integrity means:
  >
  > - Telling people the whole story.
  > - Telling them what the limitations are.
  > - Telling them what you can and cannot do.
  > - Telling them that release of the research or evaluation report is at the discretion of the commissioning agency.
  > - Telling them that a change in government policy or the operating environment may result in a lukewarm or muted response on the part of the government agencies involved, even if the findings are positive." (ANZEA Hui August 2007)

- Develop a consultation plan for engaging with Māori, Māori organisations, hapu and iwi that have been identified as likely participants in the project

- Use the planning and consultation phases to identify whether there are likely to be actions required for addressing intellectual and cultural property issues or concerns now and in the future. Ensure future consultation is enacted when the data is reused

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[14] Refer section 5.2 Research and Evaluation Ethics

It is important to be aware that the cultural and intellectual property rights are the subject of several claims under the Treaty of Waitangi. Law in this area may be different to Lore. See page 17 for an outline of Crown Copyright. Working these aspects out in advance is preferable to facing later disputes.

- Check the validity of the analysis and/or reporting of data with Māori participants

It is good practice to check your interpretation of information. It is particularly important when different cultural perspectives and contexts are involved.

- Be mindful of wider impacts and consequences that could arise from the project and be include these in your consent process

"… I was thinking about doing research on the effect of dialysis on whānau and hapū. One of my uncles had been on dialysis for a number of years and I had observed a range of responses from the whānau, to uncle's condition. I went to talk to my aunt and she was so open to sharing uncle's story, her story, and their experiences. However I felt I needed to talk to my cousins about whether they were happy with me doing the research in which their father featured so prominently. Despite my aunt being one hundred percent okay and consenting to the research, there were implications for my cousins, and I felt whānau consent was needed. So for me, acting with integrity means thinking about the wider implications, not only for those you are dealing with directly, but also their whānau, hapū and iwi. *Integrity means thinking through possible implications and ramifications, for all concerned, before you get started"* (ANZEA Hui August 2007)

- Be aware that acting with integrity is a test of your character

"… I interviewed a koro, who said to me, "A lie will travel halfway around the world before truth puts on its shoes." I think it might have been a quote of Mark Twain's. What he meant within the context of our korero was that if you compromise your integrity, your name, you are nothing. "Integrity is your character litmus test." he said. "Bugger it up and you bugger up everything." You can't teach integrity; there are no university courses called 'The Principles of Integrity Encounters'. It's not like learning skills in research and intervention. Integrity is life-long and is never consistent or static. Tied to integrity is self-confidence. I don't mean whakahihi; I mean whakaiti. Don't compromise your principles, but you might have to compromise your priorities. If only… *Integrity follows you for life. You can't teach it. In order for you to know you have integrity, it has to be tested"* (ANZEA Hui August 2007)

5.4.3 Applying the Principle of Responsiveness

To ensure the responsiveness of their processes, officials should:

- Talk with participants about how they want to be researched rather than assuming knowledge of what is best for participants. Get feedback about how they want to participate in the research and be responsive to their suggestions

- Involve Māori participants in the design of the project – including the design the research question(s), the methodology, the methods, analytical framework and mechanisms for disseminating results

- Develop processes that enable Māori participants to maintain contact with the project team throughout the life of the initial research project, or future unspecified projects, and which enables the project team to keep participants informed of the progress of the project(s)

- Ensure that interim project reports and other reporting documents include a summary of negotiations with Māori participants and stakeholders on issues related to project design, and report back on any subsequent design changes

- Be open to using different approaches, for example a Kaupapa Māori research paradigm, adherence and inclusion of tikanga, practices of manaakitanga, etc. One example cited was the identification of key community personnel to be research coordinators in each of the communities where research was being carried out. The payback for taking a different approach (being responsive) was greater engagement by the various communities and an increased sense of community ownership of the research because it came from the people themselves

- Make no assumptions about what it means to be Māori. An example was the use of te reo Māori in a research project involving rangatahi Māori in gangs. During the interviews the rangatahi were very quiet and did not say much at all. On checking with one participant, we found out that they felt whakamā because they did not speak Māori. Ask participants if they prefer English or Māori, and whether they prefer individual or group interviews

- Recognise that research should value and utilise current and historical relationships. For example, Māori organisations have typically been the subject of more than one research or evaluation project and have often told their stories many times over. Contracting with the same group of researchers or evaluators, where trust and confidence exists, facilitates engagement because of the established relationships and saves time because organisational history and profile information is already known and documented

- Recognise that responsiveness means putting aside your own ego and starting from a place of others knowing

> "… five kuia and kaumatua shared their stories about an important historic happening with a researcher; me. I loved the fabulous stories, the rich data, and how wonderfully well their variations of the story fitted with my theories around presenting multiple voices and allowing Māori to speak for themselves. I presented their rich diversity with their multiple stories in book form. They hated it. They wanted me to re-write it as a single narrative. To me, responsiveness was about re-writing their stories as a single narrative. This is a work in progress. I had to put aside my ego. *Despite ones best intentions, it's the recipient who ultimately decides what constitutes responsiveness"* (ANZEA Hui August 2007)

> "… I was asked to develop a pakeke health plan. I undertook to have conversations with forty pakeke in [Primary Health Organisation]. The conversations touched on their childhood stories around health, their use of Rongoa and tohunga, their physical activities as young people, adolescents, and adults, and their prospective needs and use of rest homes in their aging years. The tape recordings were returned to the pakeke, who have since shared their stories with their children and moko. *It is often easier for participants, to tell their story, when interviews start with their experiences and their knowledge of the situation or context"* (ANZEA Hui August 2007)

- Responsiveness is not about paying ‘lip service’

  “… a government department I worked for had the task of assessing how responsive other government departments were to the needs of Māori. As a new analyst I was listening to a senior analyst explain the framework and process our department used for this. I asked a question, “Who determines the criteria for responsiveness, and what involvement did Māori affected by those agencies being assessed have in the assessment process? The response was, “Not much really.” I am pleased to say that some things have changed now. *Māori views, perspectives and values should be the basis for determining the success of programmes that touch the life of Māori”.* (ANZEA Hui August 2007)

- Ensure that discussion starts at a place that is relevant to the person or people involved

  “…I travelled six hours by car to interview someone in his environment. This was responsive, but I wished I had flown. I took an empty bag with the intention of filling it with knowledge. After talking to a gentleman for two hours, it was clear he either had not seen anyone in quite some time, or he was simply passionate. I left, taking my bag, which was barely quarter full of knowledge. I did notice on my way out however, that he had a bag full of satisfaction, having been listened to far more intently than he had been accustomed. Being responsive may not always yield what we want, but it sure can make people feel really good. *Being responsive may be more beneficial to the respondent.”* (ANZEA Hui August 2007)

- Responsiveness means responding when you’re asked, and being prepared to go beyond expectations

  “Responsiveness means responding when asked and when you’re not asked. It means going beyond what’s stated in your contract as to what will happen and how things will happen. People have shared their stories with me, let me into their whare, which has had flow-on effects. Although some aspects weren’t part of what I was contracted to do, I needed to do those things for them and for me. When you’re asking people to share part of who they are and what they’ve experienced, they need to be able to determine the responsiveness and you need to be able to respond. *Being responsive means you may need to be reactive in some situations and proactive in others.”* (ANZEA Hui August 2007)

- Responsiveness means recognising and valuing past relationships

  “… A General Manager of a Māori Health organisation said of evaluators, “Well it’s like they’re going to live in your whare for the next three years, sit at the table and eat of your kai. You wouldn’t want just anyone to live with you over the next three years!” I realised then that organisations should have a say in who evaluates them; they should be able to select evaluators whom they’ve worked with in the past, and they should be able to do all of this - have a say at the table - at the time the evaluation is being contracted. *Being responsive means looking to build on past research relationships and not assuming that an ‘independent’ tender process is the best way to select researchers.”* (ANZEA Hui August 2007)

5.4.4 Applying the Principle of Competency

To ensure the competency of the work they do with Māori, officials should:

- Include in the project team, officials or external advisors with an appropriate level of experience and knowledge of the tikanga (protocols) applicable to the Māori entities involved in the project, with experience in research involving hapu, iwi and or other Māori organisations, and with experience and knowledge of methodologies and methods applicable to Māori research contexts

  If your agency does not include people with such experience, consider including a paid advisor in the project team. Larger agencies and Te Puni Kokiri can advise you. "In an agency context, if you're not given the right tools to do the job and/or if you don't find the right people, then you're setting yourself up for failure and being incompetent. Sometimes it's not the fault of an individual, but it is about the structures and processes of the organisation and the lack of support or resources provided to the research project by an agency. *Organisations have a responsibility to ensure they employ or contract competent people and provide the necessary support to enable the research to be carried out."* (ANZEA Hui August 2007)

- Not assume being Māori equates to linguistic or cultural competence and confidence. Not all Māori speak te reo, have knowledge of tikanga or feel competent to lead engagement processes with whānau, hapū, iwi and Māori organisations. Talk to and confirm with Māori the areas that they feel confident to lead and participate in

- Not elevate Māori to positions outside of their skill, experience or knowledge base without providing quality support and guidance. Sometimes Māori get tagged to do jobs because they are Māori. However, they may lack certain skills and not be an appropriate choice

  "For example, a Māori male was asked to lead a research project that sought to capture the views and experiences of Māori women in relation to a key health concern. He declined to work on the project as he had limited research expertise. Being a study, which sought the views of women, he felt that it would be more appropriate for a woman to work on the project. He was, however, able to recommend a suitable researcher, who had knowledge and previous research experience in the area. Government agencies need to take responsibility for enhancing their organisational capacity to work appropriately with Māori. An agency can become dependent on a small number of staff to manage their relationships/research with Māori. This can result in burn out of the staff involved and diminish the organisational capacity to engage appropriately with Māori" (ANZEA Hui August 2007)

- Be aware that competency is about the maintenance of mana

  "… I heard my koroua say, "If you can't do the job properly, then don't do it at all". Mena kaore te mahi e mahia, kaua e mahi… What he meant was that the whānau had a certain set of standards when it came to doing certain things, and this relates to the concept of mana. If you're not competent, then your failure reflects and has implications on the mana of your whānau. And your whānau belong to hapū, who belong to iwi, so there is that triple effect in terms of the implications of incompetency. *Competency goes beyond personal and professional credibility. It's about mana; the maintenance of whānau, hapū and iwi mana."* (ANZEA Hui August 2007)

- Be aware that competency in a Māori context is not necessarily understood by all, and depends on perspectives and experiences and values

  "… there was a competent Māori provider who had a competent program. The provider was introduced to a government department employee who, not being competent in their kaupapa, made them tick the boxes and dot the 'i's. This made no sense to the provider, nor did they see how it fitted with their kaupapa. Then a competent evaluation team came along, who worked well with the provider and understood them, but they didn't understand the funding client (the government department). The competent evaluator had to work hard to stay looking competent against a system that didn't really protect or promote competence when working with Māori. *Whose capacity/competency are we building? Everyone has to know their own kaupapa and that of others*." (ANZEA Hui August 2007)

  "… there was a teacher who told her tamariki to write a story every day. She believed they were competent enough to do this and that it was good practise for them. When the tables were turned and the teacher was told to write many stories, she realised what a big ask she wanted from her students, and how incompetent she suddenly felt. *Who defines competence or incompetence – funders, providers, evaluators?"* (ANZEA Hui August 2007)

- Competency can be about having a shared understanding and is about listening to the sage advice and wisdom of elders

  "… a mother went shopping for food for a birthday. She told the older kids to get the jelly ready, and when she returned home, she saw the jelly outside in the sun. She asked what the jelly was doing in the sun and was told, "Mum, it's Sunshine Jelly!" *Pick the right team, the right workers; keep in mind the different makeup of the people doing the research, the different levels of understanding and different paradigms people come from. Make sure you take all those things into consideration before sending in kids to do an adult's job."* (ANZEA Hui August 2007)

  "…mehemea i whakarongo au ki ooku kuia/ koroua, kua tu rangatira pakari au ki roto i nga tikanga, kawa, me oona aahuatanga katoa. *Ko raatou hoki i maarama, i matatau ki te aaronga o taatou te iwi Maaori, aa, kia noho puumau tonu ki roto i eenei raarangi koorero.*

  Ko raatou hoki i maarama i matatau, ki te aaronga o taatou te iwi Maaori, aa, ka noho puumau tonu ki roto i eenei raarangi koorero." (ANZEA Hui August 2007)

5.4.5 Applying the Principle of Reciprocity

To ensure their relationships with Māori participants are reciprocal, officials should:

- Assess the value of reciprocity through the eyes of the recipient and what makes a positive difference for participants, both individual and communities, over and above the provision of research/evaluation reports, and may include:
  - Community capacity building (e.g. training of participants, development and gifting of tools or resources),
  - Facilitating/brokering access to resources (people, knowledge, networks),
  - Assistance with social and economic development

- Be aware that sometimes government programmes (including research and evaluation) result in financial benefits for those implementing the programme and/or undertaking the research. When financial benefits accrue from government projects (including research and evaluation) it is important that these be shared equitably with whānau, hapü, iwi and/or Māori stakeholders

- Ensure that whānau, hapū, iwi and Māori organisations are given the opportunity to:

  - understand the implications, immediate and future, personal and community, of participating in a project, and
  - change their minds about participating

- Reciprocity is about the mutual sharing of knowledge and expertise

  "As a formative evaluator working primarily with community action projects, I experience reciprocity in what I think is a unique way. While I am not 'invited', but rather 'assigned', it is my responsibility to establish the relationships required for me to work effectively with project staff. It is my privilege to work with people who are endeavouring to support and lift their communities. I am in a position to make a contribution to the processes, as they are being developed and implemented. The reciprocity is in the project staff accepting me and the skills I am offering; and the process whereby I am providing services, knowledge and expertise in a way that is meaningful and valuable. We are learning, therefore we are building our capacity simultaneously. The value of this process is in the sustainability of the initiatives that are developed. Reciprocity in research can be about the mutual exchange of knowledge and expertise." (ANZEA Hui August 2007)

- Understand that reciprocity can evolve into a process of giving

  "… I was contracted to do an evaluation of a youth programme that was looking at sustainable youth development. Over the term of the contract I developed a good working relationship with the community coordinator, and he became a mate, a friend. As the evaluator, I was grateful for the coordinator's openness in support of my work; and the coordinator told me he was grateful for the insights and guidance I was able to provide through my evaluation work. It was a sad day when my contract ended with his organisation, or so I thought. Three months after the contract had finished I got a ring from the coordinator, "Bro, could you look at a proposal I put together for some funding?" "Sure" I told him. Unfortunately I didn't realise he had no experience writing proposals and I eventually had to re-write the whole thing. But I thought, "Kei te pai, this is reciprocity." About a year later I got another call from my mate the coordinator. "Bro, could you do a keynote speech for a youth course I'm running?" "Sure bro, when is it?" "Tomorrow!" he said. I was pretty busy with reports at the time, but I thought, "Sweet – reciprocity!" Then about 18 months later I get another call from my mate the coordinator. "Bro, could you come and talk to a group of young people about photovoice?" I said, "Sweet bro, when?" "I can come and pick you up in an hour!" and I thought, "Sweet, reciprocity!" *Just because the contract ends, the giving doesn't."* (ANZEA Hui August

- Be aware that reciprocity can be about the exchange of wisdom and youthful thought

  "… a little boy passed by an old man who had a big, beautiful veggie garden. In it he was growing tomatoes. The little boy asked the old man if he could have one; it was the biggest, juiciest, reddest tomato in the garden. The old man said if the little boy had a dollar, he could have that tomato. The little boy said, "I only have ten cents." The old man replied, "I'm sorry boy, you don't have enough." The little boy asked if he could pick one for ten cents. The old man said, "Well, which one do you think is worth ten cents?" The little boy said, "How about that one over there?" He pointed to a green one, which was the biggest on the vine, even bigger than the ripe tomato. The old man looked and smiled, and said, "Okay boy, you can have that tomato. It's yours for ten cents." The boy politely gave him the ten cents and calmly told the old man, "I'll come over and pick it up next week." *Reciprocity comes back with intrinsic value intact"* (ANZEA Hui August 2007)

- Understand that koha is a form of reciprocity and involves giving and receiving

"… while working on a project the issue of koha came up. The question by one of our colleagues was, "What is 'koha'"? (She was non-Māori). I wanted to say "Ko te ha manawa o te tangata." Yeah right, it was easier to say, "Reciprocity." But I knew koha meant much more than that:

It's our way of saying "thank you."
It's our way of giving recognition
It's our way of giving acknowledgement
It's our way of sharing the love

Iti te kupu, nui ake te korero (Possible meanings include 'a few words generates a rich discussion' or 'one word contains a depth of meaning')

It's the value we give to what we receive – we give mana to that which is meaningful" (ANZEA Hui August 2007)

"… Koha was included in the budget of a major national research project I worked on. I wasn't comfortable giving a monetary incentive like vouchers, and the ladies I interviewed weren't comfortable with an actual koha. As the interviews progressed I realised that the ladies valued the opportunity to share their stories. They appreciated that there was someone who was willing to listen for as long as it took to tell their stories, and that person was respectful and caring. Our koha to them was the consideration accorded to them as part of the research process and the handing back of their story as documented by the research. Their koha was the sharing of their stories and the contribution they made to the research. There is potential for the research process itself to be an act of reciprocity." (ANZEA Hui August 2007)

- Be aware that reciprocity is about giving something back that is meaningful to the recipient

"… officials did a research project with youth gang members in an urban centre. This project involved an evaluation of a mediation project with gangs to help stop tensions and violence; and research on the drivers of gang membership, their wants and needs. In return officials helped match the young people to social services that met their needs, such as driver's licence courses, trade training and education courses. This practice had a number of positive outcomes. It ensured we put into practice the principle of reciprocity by giving something meaningful back to the young people who helped us with our work, not just by way of reports, but by assisting with their social and economic development. *Considered reciprocity can make a difference in people's lives."* (ANZEA Hui August 2007)

- Understand that reciprocity requires consideration about the value of what is given and what is received

> "… I had a conversation with a colleague of mine who was getting a Ta Moko done as part of an exhibition. This Ta Moko, which was going across her back, had been designed specifically for her by the Kaita. It included her whakapapa and all sorts of things that she had wanted. I asked her how much it cost to have the Ta Moko done. She said she didn't know. The Kaita had said payment was by way of koha, and she had thought about eighty bucks would do it. So I said, "So you've thought about what it is you're getting and what it means to you, and obviously you've decided eighty dollars is okay for what you're going to get?" She thought some more and then said, "Nah, I guess it's not enough aye?" Ensure that what you give matches what you receive" (ANZEA Hui August 2007)

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- and can involve creative ways of sharing

> "Most respondents of research seem to receive koha in the form of cash or vouchers, and/ or are ensured that their korero will be used to improve programmes that will benefit them individually and/ or future programme participants. They might also be 'promised' a copy of key findings of the research. How can respondents receive other benefits? How can the principles of reciprocity be enacted for them, and what will this look like? Not enough time is spent thinking about how respondents/ communities can be compensated for their involvement in research and evaluation. Think about the possibilities of how reciprocity can be enacted." (ANZEA Hui August 2007)

Appendix 1 Further Information

Areas Identified for Development

Two further areas have emerged where good practice guides are indicated. The areas pose particular challenges in gathering reliable information. These areas are:

- Research & Evaluation involving recent Migrants and Refugees
- Research & Evaluation involving sensitive subject matter (e.g. R & E involving mental health service consumers, trauma survivors, etc.)

Particular challenges include aspects such as language/s, gender, beliefs and constraints on discussing sensitive matters with 'outsiders', perceptions of researchers/evaluators and government, trauma survival issues, credible access and analytical integrity, participant and information gatherer safety, etc. Understanding of NZ legislation and information on rights, credible interpreters and translators, and research analytical capacity (contextual analysis and report write up as well as information gathering), all present significant challenges for researchers and these 'communities of interest' to navigate.

These aspects are current and as policy and programme interest continues to grow, so will the demand for 'evidence'. There are people with relevant knowledge and experience who are involved in the development of guidelines in these areas.

As these Guidelines are a 'living document', there will be updates from time to time. Case examples will continue to be gathered.