



RESEARCH AND CONSULTANCY ACTIVITIES POLICY

Section	Research
Contact	Office of the Provost
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Purpose:

Research is a central characteristic of what defines a university. It is a core part of Massey University's mission and purpose, as expressed in the University Strategy. Research informs our teaching, creates new knowledge, solves critical problems, and builds future research capacity and capability. The University encourages academic staff to engage in Research and Consultancy activities, as aligned with their employment duties and expectations.

The purpose of this policy is to provide guidance for staff engaged in funded Research and Consultancy activities (including funded professional and/or academic consultancy) at Massey University. It sets out good practice for the management of funded Research and Consultancy activities to ensure that:

- Staff are encouraged and enabled to undertake funded Research and Consultancy activities, while protecting the University and providing measured discretion to their managers.
- Funded Research and Consultancy activities maintain and/or enhance the reputation of the University.
- There is transparency and accountability in relation to funded research, consultancy and commercial contracting where Massey University is the supplier of these services.
- Procedures for the management of funding and costs support sustainable and successful Research and Consultancy activities.
- Staff undertaking Research or Consultancy activities receive appropriate workload relief from normal duties and/or recognition for additional duties.
- There is a responsibility on staff who intend to undertake Private Research or Consultancy activities to disclose their proposed research with their Head of Unit prior to commencing the research so as to ensure transparency and trust, and to protect the interests of the University.
- Funds from Research and Consultancy activities are used appropriately and in a way that does not expose the University, the funder or staff members to undue risk or liability.
- There is accurate reporting of financial and project data on Research and Consultancy activities; and
- Funded Research and Consultancy activities contribute to the academic and/or professional development of Massey staff, to the advancement of knowledge and mātauranga Māori, and do not compromise academic freedom or critic-and-conscience responsibilities of staff or students.

The policy is supported and supplemented by the separate *Research and Consultancy Activities Procedures* (the *Procedures*).

Policy:

Guiding principles for the management of Research and Consultancy activities

- (i) Staff are encouraged to undertake funded Research and Consultancy activities in accordance with the principles and processes outlined in this Policy, and the University endeavours to create a supportive and enabling environment for such activities.



- (ii) All Research and Consultancy activities carried out by staff at Massey University, including research and consulting contracts with third parties, should maintain or enhance the reputation of the University, and should not compromise either the University, the staff members who undertake this work, or the units within which they work. Such activities should have relevance to the particular staff member's teaching, research, service, or professional duties.
- (iii) It is important therefore that all funded Research and Consultancy activities are negotiated, managed and delivered in accordance with this *Policy* and the *Procedures*.
- (iv) The University is accountable for Research and Consultancy activities by staff and is expected to make fair and accurate representations of its research capacity and the ability of its employees to undertake lawful research investigations and/or consultancy activities.
- (v) Funders reasonably expect value for money and optimal benefits to end users from funded Research and Consultancy activities. It is critical that all parties to funding arrangements ensure that they understand and respect their respective obligations.
- (vi) To protect the interests of the University, staff member(s) and funder(s), and to reduce exposure to risk, staff involved in Research and Consultancy activities are required to manage all funds associated with Research and Consultancy activities with care, integrity and honesty, in accordance with University policies and procedures, and in a way that reflects the University's commitment to Te Tiriti o Waitangi and without exposing the University or the funder to undue risk.
- (vii) Staff undertaking externally funded Research or Consulting activities that cannot reasonably be completed within their normal full workload, and at the discretion of the Head of Unit, may receive appropriate workload relief from normal duties and/or recognition for additional duties.
- (viii) Externally funded Research and externally funded Consultancy activities should provide for the full costs (including indirect costs) necessary to support such activities, to contribute to the ongoing provision of services to support research and researchers at the University.
- (ix) The University is obliged to maintain accurate financial and project data on funded Research and Consultancy activities to provide reasonable assurance as to the integrity and reliability of internal and external reporting.

1.0 Applications, approvals, and advisement of Research and Consultancy funding

- 1.1 Researchers are encouraged to apply for Research and Consultancy funding, and to undertake funded Research and Consultancy activities.
- 1.2 Approval is required from the relevant Head of Unit (or nominee) before Research and Consultancy activities commence.
- 1.3 Processes and responsibilities for the application, approval and advisement of funded Research and Consultancy activities are set out in the *Procedures*.
- 1.4 The University is required to maintain complete and auditable records with respect to applications, approvals, advisements, and transactions relating to Research and Consultancy activities and funding. Responsibility for maintaining records is set out in the *Procedures*.

2.0 Costing and indirect cost recovery for funded Research and Consultancy projects

- 2.1 Research and Consultancy proposals should be costed as accurately and comprehensively as possible, and all reasonable steps should be taken to recover the full direct and indirect costs of Research and



Consultancy activities within the agreed price, in accordance with the process set out in the *Procedures*.

- 2.2 In accordance with the University's budget allocation framework, Research and Consultancy income is recognised within the College and Budget Centre where it is generated, including the indirect cost recoveries for externally funded research.
- 2.3 Research and Consultancy activities where the full direct and indirect costs are not recovered may still be supported by the University, as outlined in the *Procedures*.

3.0 Contracting of Research and Consultancy activities

- 3.1 It is important that funded Research and Consultancy activities are supported by a duly authorised written Agreement, negotiated, managed and concluded in accordance with this Policy and the *Procedures*.
- 3.2 Complete and auditable records need to be retained in respect of all Research and Consultancy activities contracts, variation of such contracts, and any information pertinent to the conclusion or fulfilment of those contracts. Responsibility for maintaining records is set out in the *Procedures*.

4.0 Opening Research and Consultancy project accounts

- 4.1 It is required that all externally and internally funded Research and Consultancy activities be recorded and managed in a Research or Consultancy project account in the Massey University research management system, in accordance with the process outlined in the *Procedures*.

5.0 Administering Research and Consultancy project accounts

- 5.1 It is expected that Research or Consultancy activities are undertaken in accordance with applicable ethical and regulatory requirements, Massey University policies and procedures, and the financial and contractual obligations of any Agreements that relate to such Research or Consultancy activities.
- 5.2 Staff involved in Research and Consultancy activities are responsible for communicating any variations to the terms of Research or Consultancy Agreements to the Research Office in writing. The Research Office is responsible for ensuring such variations are recorded in the Massey University research management system.
- 5.3 All staff involved in Research and Consultancy activities are obliged to manage the revenue, expenses, obligations and reporting relating to those activities in accordance with the *Procedures*.

6.0 Project reporting obligations

- 6.1 Any reporting requirements to funders need to be undertaken by the dates and person(s) or entities specified in the Agreement and administered in accordance with the *Procedures*.

7.0 Appropriate expenditure of Research and Consultancy income

- 7.1 Research and Consultancy funding shall be spent in accordance with the relevant Agreement (including any approved Variations) and any associated budget.
- 7.2 It is expected that all expenditure in relation to Research and Consultancy activities is authorised in accordance with the relevant financial delegations and managed as set out in the *Procedures*.



8.0 Closing Research and Consultancy project accounts

- 8.1 Responsibilities and processes for closing project accounts are set out in the *Procedures*.
- 8.2 As far as reasonably practicable, all transactions and commitments relating to Research or Consultancy projects will be finalised by the agreed project end date. Where this is not possible, the *Procedures* set out the relevant requirements, responsibilities, and actions.

9.0 Reimbursements for extra duties ('overload compensation')

- 9.1 Reimbursement for extra duties ('overload compensation') provides for the appropriate remuneration of staff carrying out externally funded Research or Consultancy activities that cannot reasonably be completed within the normal full workload. Subject to the approval of their Head of Unit, staff members may apply for reimbursement for extra duties. The process for requesting and criteria for approving applications for reimbursement for extra duties are set out in the *Procedures*.

10.0 Private research and consultancy

- 10.1 It is a requirement of the University that funded Research and Consultancy activities by staff are provided through the University and managed in accordance with this *Policy* and the *Procedures*, with the exception of Private Research and Consultancy activities.
- 10.2 It is understood and accepted that staff undertake private activities (including personal consultancies and entrepreneurial activities) which rely on the special knowledge and expertise of the staff member, and which enhance the academic status of the individual concerned and the reputation of the University. Subject to the approval of their Head of Unit, staff members may undertake funded Research and Consultancy work outside the University. The process for requesting and criteria for approving applications for Private Research and Consultancy activities are set out in the *Procedures*.
- 10.3 Staff members engaging in Private Research or Consultancy activities assume personal responsibility for the legal management of their activities (including indemnity insurance) as outlined in the *Procedures*.

11.0 Dispute resolution

- 11.1 Any conflict or dispute in relation to a funded Research or Consultancy activity arising between an individual staff member and the Head of Unit, or between partners to the Agreement, will be managed as set out in the *Procedures*.

Definitions:

The following terms are used commonly throughout this *Policy* and the *Research and Consultancy Activities Procedures*, and, unless indicated otherwise, have the meanings ascribed to them below.

Agreement: a written contractual document that is negotiated and usually signed between the University and other relevant parties including external funders. This may be a Research or Consultancy Contract, an indicative agreement, an email/letter offering/confirming a funding award, or an email/letter offering funds for a non-exchange transaction.

Conflict of Commitment: as defined in the Massey University *Conflict of Commitment and Interest Policy*: a situation in which the activities of a staff member interfere with that staff member's fulfilment of obligations to students, colleagues, or the University.



Conflict of Interest: as defined in the Massey University *Conflict of Commitment and Interest Policy*: a situation in which the activities of a staff member outside their employment obligations to the University lead to material personal benefit to the staff member concerned, either directly or indirectly (e.g. through a family member, associated entity or external agency), to the detriment of the University.

Consultancy Contract: means the provision by Massey staff, other than as private individuals (when all provision is offered independently of any connection to, or with Massey), of consultancy services to a third party, where those services do not meet the definition of research.

Direct costs: costs that can clearly and solely be attributed to the project.

Exchange Transactions: transactions funded or supported by a party external to Massey University in exchange for outputs and reporting obligations (including goods, services, and use of assets) that are defined in an Agreement between the parties.

Funded Research and Consultancy activity: means the provision by Massey University staff of expert or professional advice, information and/or service to individuals or organisations (whether internal or external), or research as agreed by contract and resulting in the receipt of a negotiated fee or payment.

Full costs: the total direct and indirect costs of providing the services incurred by the University.

Head of Unit: this term refers to the appointed manager of a division of the University including a unit, school or research or specialist centre, and should be taken to mean line manager where the Head of Unit is the Project Lead or otherwise a Massey staff member undertaking or planning to undertake funded Research and Consultancy activity.

Indirect costs: costs necessary to support the research activities for which external funding has been supplied that cannot be readily attributed to the project. These include central administrative costs (e.g. financial services, HR services) and central facilities like libraries, rooms, and laboratories.

Non-exchange Transactions: transactions funded or supported by a party external to Massey University where an Agreement does not define expected outputs that must be produced in exchange for the funding provided (for example gifts and donations).

Price: consideration agreed with the client. This may be above (surplus) or below (loss) the full cost of the service.

Private Research and Consultancy means any work undertaken by Massey University staff (as private individuals) for any person or body other than the University that does not materially or legally involve the University.

Procedures: the *Research and Consultancy Activities Procedures*.

Project Leader: the person nominated to lead a research or consultancy project (such as a principal investigator or consultancy holder), and who is entered as such in the University's research management system.

Research: The definition of research is as defined by the Tertiary Education Commission, namely: investigation or inquiry leading to new, recovered, or reinterpreted knowledge or understanding which is effectively shared and capable of rigorous assessment by the appropriate experts.

Research and Consultancy activities/services/work means the provision by Massey University staff of expert or professional advice, information and/or service to individuals or organisations (whether internal or external), or research as agreed by contract and resulting in the receipt of a negotiated fee or payment.

Research and Consultancy account: refers to a specific account for each research or consultancy contract, which is opened and operated for the purpose of managing all receipts of funds and payments in relation to that research or consultancy contract.



Research Project Request e-form or equivalent: refers to an electronic form completed prior to the submission of all applications for externally funded Research and Consultancy activity, to ensure the necessary information is provided for approval, support and reporting purposes.

Research Office: a generic term to describe the main department or unit tasked with the management of research at a university and which at Massey University is known as Research Operations.

Research Contract means a legally binding agreement that governs the provision by Massey staff of research-based and related academic services to a third party.

Variation: A change to the nature, quantity or quality of work to be undertaken, made after execution of the Agreement and after the price is agreed, and which may result in additional time being allowed and/or an increase in the agreed cost.

Audience:

- Massey University staff and students engaged in funded Research and/or Consultancy activities
- Research Office staff, College Business Managers and other professional staff engaged in the support of funded Research and/or Consultancy
- Non-Massey University staff, students and contractors engaged in Research and/or Consultancy activities hosted by Massey University, or in terms of a Research or Consultancy Contract

Relevant Legislation:

Legal Compliance:

Related Policies and Procedures:

- Academic Freedom Policy
- "Massey University Staff Collective Employment Contract" and any other conditions of employment staff might have with Massey University
- Code of Responsible Research Conduct
- Delegations of Authority Policy
- Intellectual Property Policy
- Research and Consultancy Activities Procedures
- Financial Monitoring and Control Policy
- Policy on Staff Conduct
- University Workloads Policy
- Conflict of Commitment and Interest Policy
- Fraud and Corruption Policy
- The Code of Conduct for Research or Teaching involving the Importation or Development of New Organisms Using Recombinant DNA.
- The Code of Ethical Conduct for the Use of Live Animals for Teaching and Research
- The Code of Ethical Conduct for Research, Teaching and Evaluations Involving Human Participants Creations of Contracts Policy
- Any relevant Service Level Agreements



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