

Open Research Position Statement Principles



THE UNIVERSITY OF
WAIKATO
Te Whare Wānanga o Waikato

CONTEXT

In 2023 the University of Waikato Research Committee approved Aotearoa's first [Open Research Position Statement](#). The Open Research position statement is the foundational building block to develop the University's articulation of its approach to open and in turn, the research culture it wants to foster and develop. Research culture encompasses the behaviours, values, expectations, attitudes, and norms of our research communities. It influences researchers' career paths and determines the way that research is conducted and communicated.

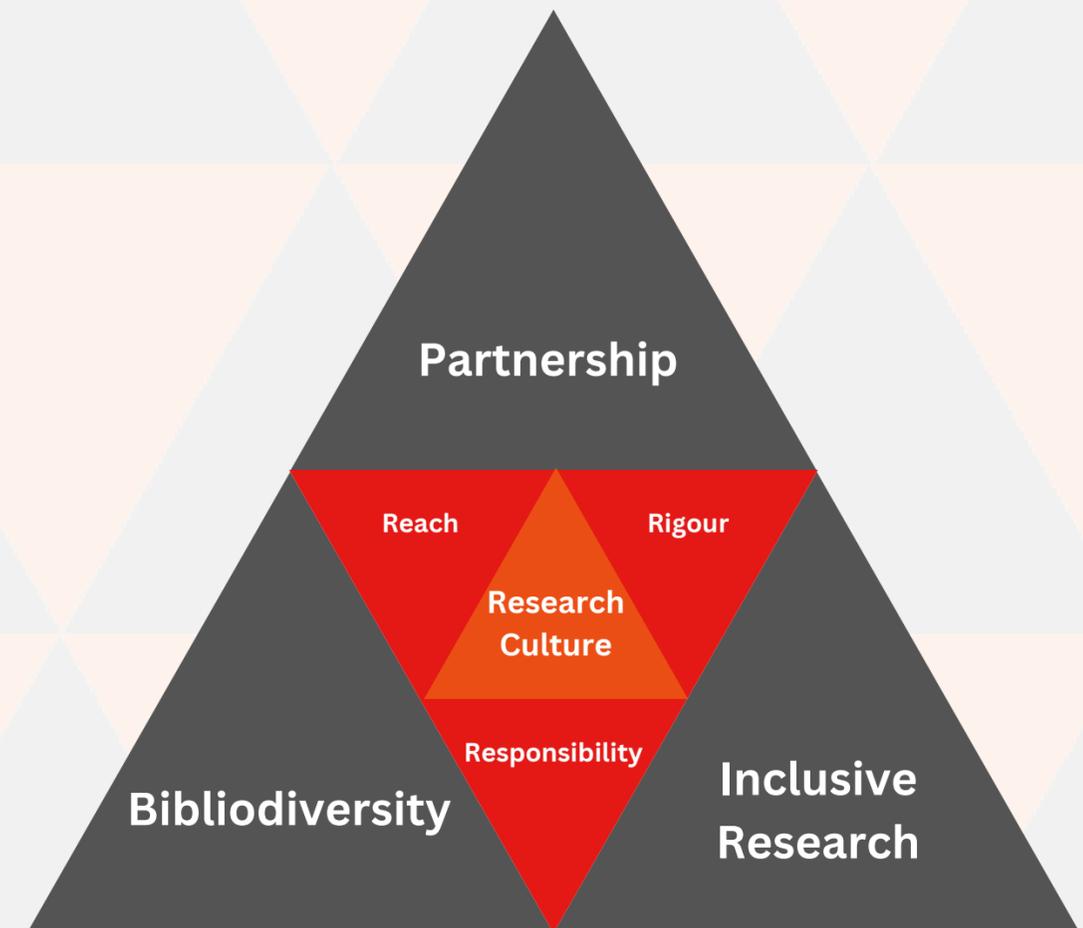
This document [describes the six principles that accompany the statement](#). The purpose of the principles is to breathe life into the statement, and provide a framework which researchers can use to guide their decision-making across the research lifecycle.

OPEN RESEARCH POSITION STATEMENT

Open Research describes a range of processes and practices that aim to improve the reach, reproducibility, and rigour of research. These processes and practices differ according to discipline and can fall under the broad areas of Open Access, Open Educational Resources, Research Data Management and Open Data, among others. The University supports and promotes Open Research to enhance collaboration, resulting in a more vibrant, diverse and inclusive research culture that can expand beyond the academy and ultimately translate into societal impact.

As an institution committed to the principles of [Te Tiriti o Waitangi](#), the University recognises that Māori have rangatiratanga, or right of governance and control over knowledge produced by, for and about them and their environments. In the context of Open Research, this is demonstrated in the University's commitment to upholding the tenets of Māori data sovereignty (in alignment with the [CARE](#) & [FAIR](#) principles and [Te Mana Raraunga's charter](#)).

This statement does not assume that everything can or should be made open—cultural, ethical, and security considerations as well as commercial restrictions will in many cases preclude the application of some Open Research practices. Open Research aims to make things as open as possible and closed as necessary and researchers are encouraged to embrace this responsibility and make decisions accordingly across the research lifecycle.



[Go to: Partnership](#)

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Open Research Position Statement Partnership



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DESCRIPTION

This principle acknowledges our unique context here in Aotearoa New Zealand and the **commitment** the University has made in upholding the principles of Te Tiriti o Waitangi. It speaks to the idea of accountability and the responsibility of researchers in ensuring their work is not simply culturally sound but that it takes into consideration the impact on and stakes for tangata whenua/Indigenous communities. Unlike mere collaboration, partnership is based on enduring relationships. It is important that both the University and its individual researchers take seriously their obligations in helping to uphold the rangatiratanga of Māori over "Māori schools and centres, tikanga Māori, te reo Māori and other taonga Māori within the domain of the university" (University of Waikato Treaty Statement, p. 7). One way this can be embodied is by aligning research data management practices with the **Māori Data Governance Model** (Te Kāhui Raraunga) which recognises Māori data as a 'taonga' (Article 2, Te Tiriti). The model provides in-depth guidance for the governance of Māori data and is designed to facilitate "data governance in a way that is values-led, centred on Māori needs and priorities, and informed by research". Further guidance can also be found in the **Māori data sovereignty principles** (Te Mana Raraunga) and **CARE principles**. While the examples mentioned above refer to partnership with iwi Māori, this same principle of partnership may be applied when working alongside other Pacific communities.

WHAT MIGHT THIS LOOK LIKE IN PRACTICE?

In an open research context, one way this principle can be implemented is through research data management practices and upholding Māori data sovereignty. This means that all efforts should be made to ensure that authority over Māori data remains with Māori.

'Open data' initiatives or expectations to publish data should only be considered in circumstances where Indigenous communities can maintain authority over how data by, for or about them can be used or accessed. Data can be utilised in many ways as a powerful tool for Māori self-determination, and it is essential that knowledge and benefits derived from Māori data flow directly back to communities from which the data came.

For more practical guidance regarding Māori data sovereignty, including advice about data sharing and data storage, see the the Library's **Research Data Management LibGuide**.

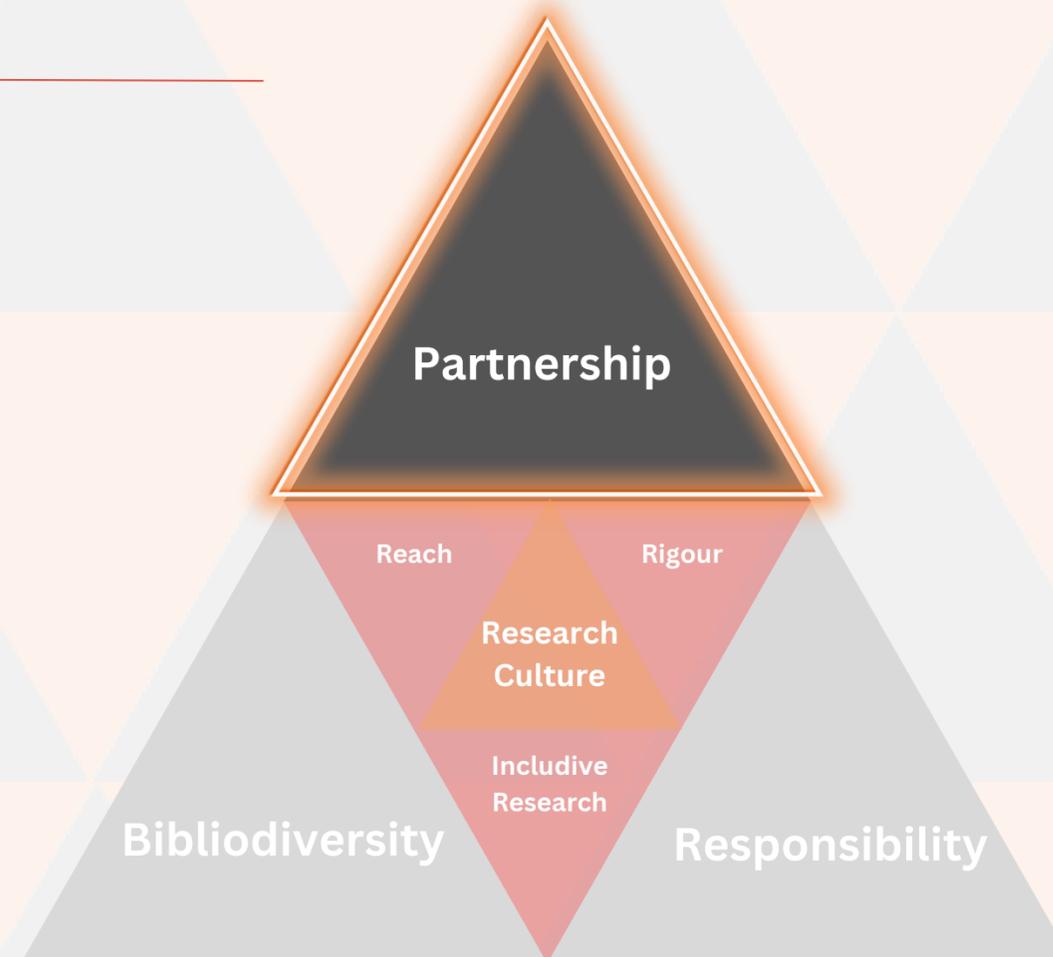
QUESTIONS TO ASK YOURSELF

- What communities does my research impact and do they have a voice in how information about them is used?

Tip: Contact the [Pouwhanake Rangahau, Tūhononga Māori \(Research Developer, Māori Engagement\)](#) at Research & Enterprise for further guidance regarding engagement with Māori communities and kaupapa

- Could any of my research data be defined as Māori data? (See definition in the MDGov Model). If yes, what considerations do I need to take into account?

Tip: Log a kuhukuhu request for help with your data storage requirements



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Open Research Position Statement Responsibility



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DESCRIPTION

The notion of responsibility is central to our [Open Research Position Statement](#).

It acknowledges the researcher as the one with the power to make decisions which will directly affect how impactful the research is.

- Responsibility will manifest differently for each piece of research and **will not always result in more openness**. In some cases, responsibility will mean making research less open in order to protect participants or observe cultural protocol.
- For responsible data management, we encourage researchers to be guided by the [FAIR](#) principles and the [Māori Data Governance Model](#) (Te Kāhui Raraunga).

RESEARCHER RESPONSIBILITIES

The researcher knows their work best, therefore they are in the best position to:

- Ensure compliance with [funder or other mandates](#)
- Protect the interests of their participants and community
- Consider opportunities for openness and plan accordingly

UNIVERSITY RESPONSIBILITIES

The university has a responsibility to support researchers and facilitate pathways to open including:

- Providing support and resources to assist in decision making
- Provide infrastructure so that making outputs open is possible (such as [Research Commons](#))

WHAT MIGHT THIS LOOK LIKE IN PRACTICE?

- Budgeting research funding for APCs, particularly for funders that mandate openness, such as [MBIE](#)
- Consider any security, commercial, legal, ethical or cultural issues that could arise from making your research or data open
- Consider the type of data you are working with and managing it appropriately, including storage requirements arising from [Indigenous Data Sovereignty](#)

Responsibility

Reach

Rigour

Research
Culture

Partnership

Bibliodiversity

Inclusive
Research

QUESTIONS TO ASK YOURSELF

- If I need to make my data open for compliance purposes, what might the implications be for ethics?
- What might stop me being able to make this open in the future?
- Are there any special requirements for handling my data?
- What, if any, risks are associated with making my data open?
- What requirements are there for this research from my funder, journal, publisher or community regarding openness?
- What benefits might be derived from making my outputs open and to whom?
- Do I have an Intellectual Property Management Plan in place? If so, is my decision-making in line with this plan?

Go to: [Reach](#)

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Open Research Position Statement

Reach



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DESCRIPTION

Research is most impactful when it reaches the right people, whether that means other scholars, practitioners, businesses, communities who supported the research, or communities who stand to benefit from the findings. Reach refers to more than just dissemination - it also speaks to the need for research to touch communities and be collaborative in nature. It represents the desire and potential of the university to change the world beyond Aotearoa and beyond academia. It speaks to the University's motto - "Ko te tangata" - For the people. A key way to increase reach is to **publish Open Access**, but it is also about publishing choices and knowledge mobilisation.

KEY USERS OF RESEARCH OUTSIDE ACADEMIA

- The public
- Practitioners
- Policymakers
- Journalists
- School students
- Business leaders
- Politicians

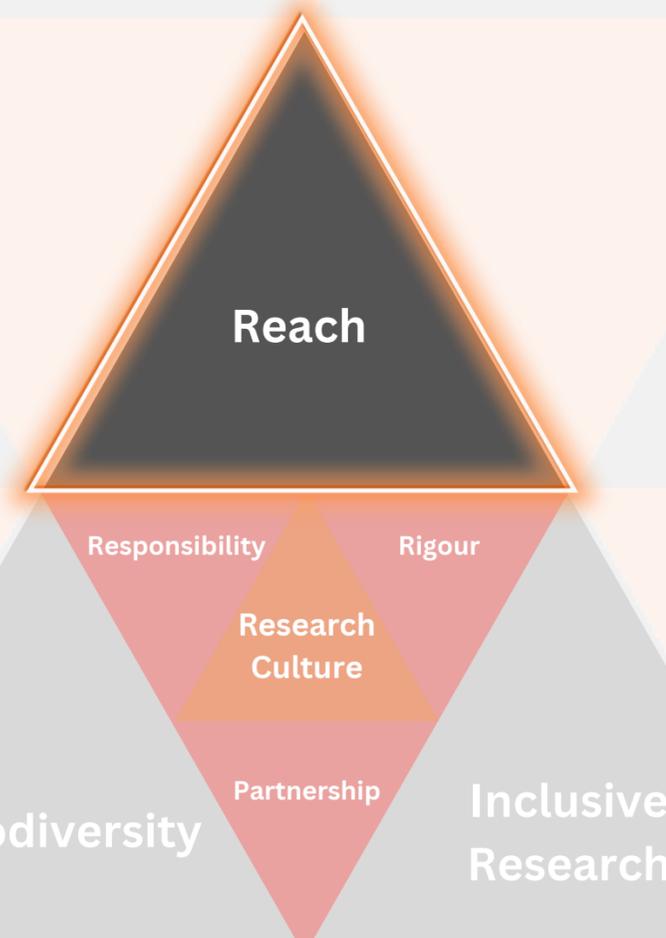
OPEN ACCESS ARTICLES
RECEIVE

10X

MORE CITATIONS THAN CLOSED
ARTICLES

WHAT MIGHT THIS LOOK LIKE IN PRACTICE?

- Making publications **Open Access** so they can be accessed by those without the means to pay for them
- Ensuring you're publishing in places that are well indexed
- Collaborating as appropriate (locally, internationally, across disciplines, with communities and industry)
- Choosing an outlet with an appropriate audience, which could be international, local or vocational
- Using **Overton** to find where your work might feed into policy



QUESTIONS TO ASK YOURSELF

- Who stands to benefit from my research and how can I ensure they know about it?
- Who is the main audience for my research?
- What decisions can I make to unlock the impact of this research?

Tip: Te Iho o te Manawataki has developed [guides](#) on generating and demonstrating the impact of non-traditional research outputs (NTROs)

- How can I reduce the barriers that might exist for those who need to read or make use of the research?
- How can I make the research more discoverable?
- Who can I collaborate with to make this research more impactful?
- Is the key message of the research laid out in a format that will be easily understood by those who I hope will enact it?

Tip: contact the University Communications Team on communications@waikato.ac.nz before publication for help to share your research

Go to: Bibliodiversity

Questions? library@waikato.ac.nz



Open Research Position Statement

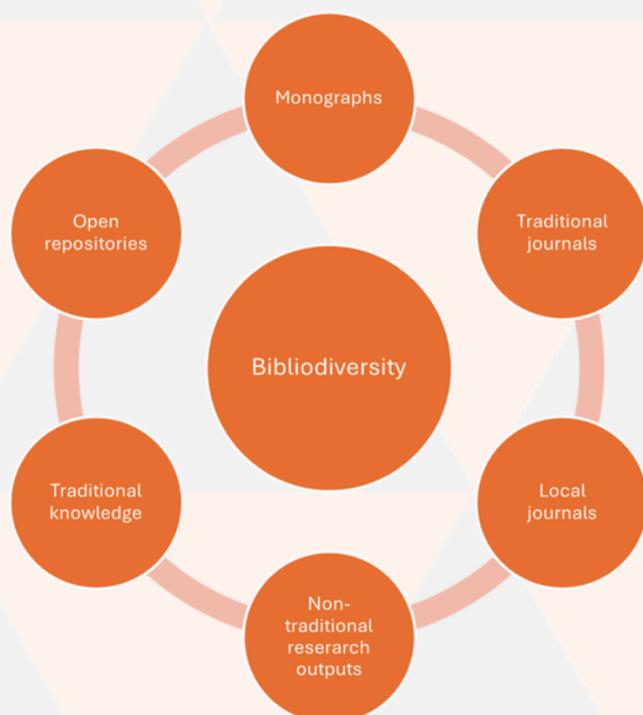
Bibliodiversity



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DESCRIPTION

Bibliodiversity might be thought of as the equivalent of biodiversity for the scholarly ecosystem. It advocates for an equitable and diverse landscape which provides researchers with a range of options for disseminating their work and multiple routes to open. Embracing bibliodiversity means supporting local and sustainable publishing and avoiding supporting models and practices that undermine mātauranga Māori and other Indigenous knowledge systems. Without bibliodiversity there is a risk that inequities in the current scholarly ecosystem will become more embedded over time.

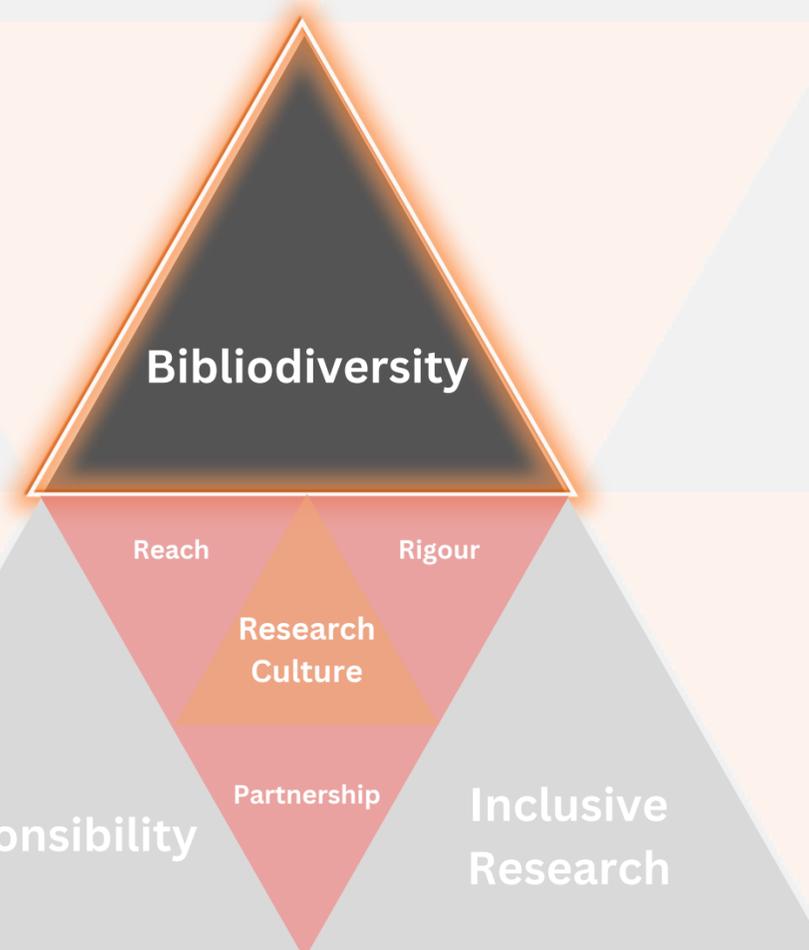


DEFINITION

"Bibliodiversity is a complex, self-sustaining system of storytelling, writing, publishing and other kinds of production of oral and written literature. The writers and producers are comparable to the inhabitants of an ecosystem. Bibliodiversity contributes to a thriving life of culture and a healthy eco-social system" (International Declaration of Independent Publishers, 2014).

WHAT MIGHT THIS LOOK LIKE IN PRACTICE?

- Supporting local and low cost publishers through authorship, editorship or review mahi
- Using editorial power to uphold academic principles that are equitable
- Acknowledging, producing or citing **non-traditional research outputs**
- Supporting initiatives and infrastructure that facilitate equitable openness, such as **Research Commons**, our Open Access repository



QUESTIONS TO ASK YOURSELF

- What systems am I endorsing (tacitly or explicitly, knowingly or inadvertently) by making this decision?
- What publishing venues/channels/types are open to me? What makes sense for the research?
- What groups, communities or audiences might be disadvantaged if I make this publishing decision?
- How does this decision align with my personal, academic and professional values?
- In what form should this knowledge exist, in order that it should do the most good/reach the right audience?

Go to: Rigour

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Open Research Position Statement

Rigour



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DESCRIPTION

How research is done is just as important as what research is done. In order for research to make a positive impact, it must be deemed trustworthy by the communities that engage with it. Open Research principles have the potential to enhance the reproducibility, reliability, integrity and accountability of research and the research domain. Sharing aspects of research, where this won't undermine legal, commercial, security, ethical or cultural considerations, can result in greater positive impact and more return on investment. In some cases, this will allow for research to be built upon in more efficient ways, for example through the re-use of data. Doing this where possible ensures that resource invested in research goes as far as possible.

DEFINITION

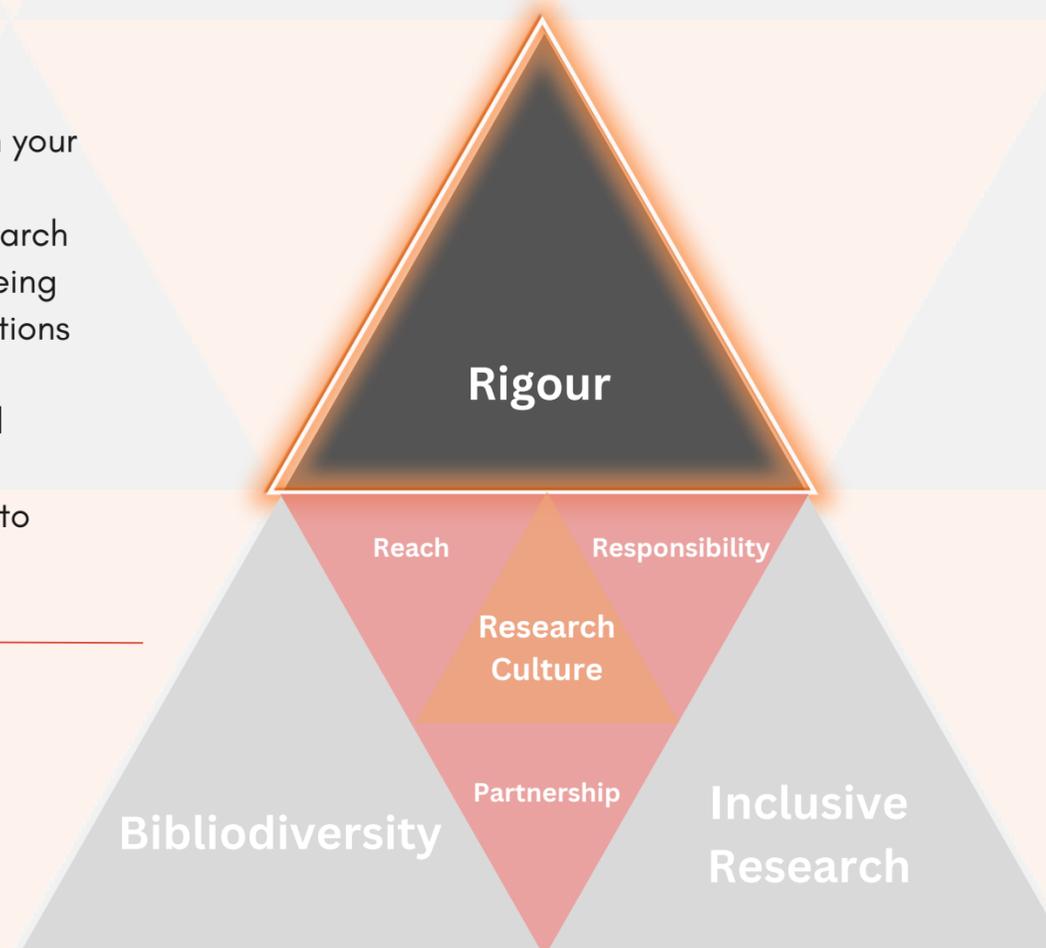
Rigour will look different between disciplines, but overall it refers to research being thorough, transparent and critical in order to ensure the integrity and value of the research. In some disciplines, rigour refers to the strict adherence to protocols, but there are many ways to make research more rigorous more generally.

BENEFITS

- Allows others to verify or build on your results
- Reduces the need to repeat research
- Reduces the chances of errors being perpetuated through future iterations of your research
- Helps to fight misinformation and disinformation
- Encourages reflexivity and helps to avoid bias

WHAT MIGHT THIS LOOK LIKE IN PRACTICE?

- Sharing **data**
- Sharing **code**
- Publishing pre-prints
- Opting for open peer-review
- Applying **FAIR** and **CARE** principles
- Pre-registering your research
- Knowing and applying best practice in your field



QUESTIONS TO ASK YOURSELF

- Who might be able to take this research forward? What might they need to do that?
- How can I ensure this research stands up to critique?
- How can I ensure accountability, both for myself and others e.g. reviewers
- What other purposes could this data have? What other problems could it solve?
- How might this output (e.g. data, code) live on after I'm gone?
- Who needs to know that this research is being done?
- What risks are inherent in this research? How can I mitigate them?
- How can I determine the quality of the work I'm building on?

Go to: Inclusive

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Open Research Position Statement Inclusive



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DESCRIPTION

Having an inclusive approach to building your research team and capacity is essential for ensuring quality in your research practice. Maintaining a diverse and inclusive research environment means all roles within a research community should be accessible to all people, regardless of their ethnicity, culture, sex, gender, disability, sexuality, faith, class, and/or any other possible factors. This principle recognises the importance of positionality within a research context and highlights the need for the inclusion of varied perspectives, experiences, and worldviews.

In addition to encouraging an inclusive range of human perspectives, this principle also acknowledges and supports the need for inclusion and diversity in research practice, particularly in regard to research approaches (methods, methodologies, tools) as well as research outputs (types of dissemination) across disciplines and recognises this can also enhance accessibility to knowledge and other forms of information produced by researchers at our institution.

UNIVERSITY RESOURCES

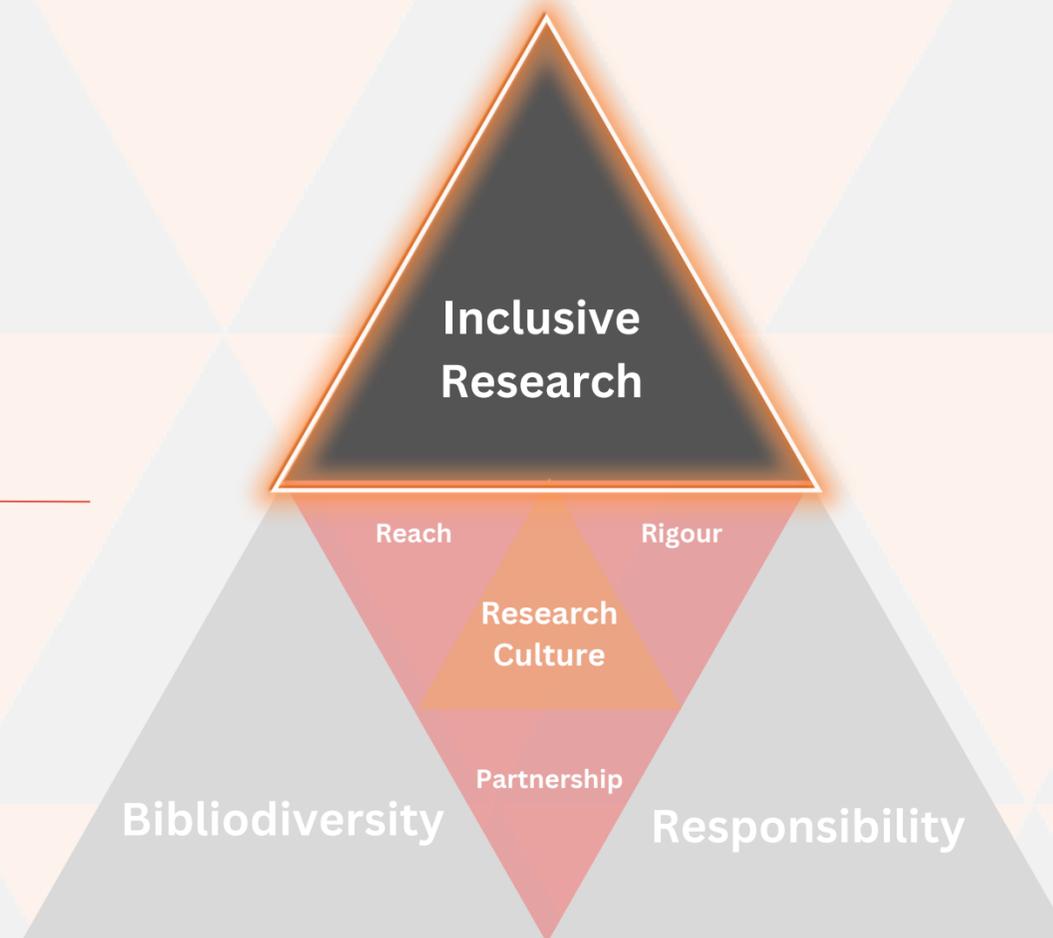
- [Disability Action Plan](#)
- [Gender Equality Plan](#)
- [Māori Advancement Plan](#)
- [Pacific Strategic Plan](#)
- [Bullying, Harassment and Discrimination Policy](#)

BENEFITS

- Larger talent pool
- Increased staff/participant trust and engagement
- Diverse perspectives and innovation
- Greater potential reach into different communities

WHAT MIGHT THIS LOOK LIKE IN PRACTICE?

- Respecting difference
- Commitment to addressing bullying, discrimination, and harassment
- Balancing the rights and responsibilities of academic freedom, human rights, and safety and wellbeing
- Proper professional development/training to support staff cultural competency, sensitivity awareness etc.
- Fostering an open work culture where ideas can be shared



QUESTIONS TO ASK YOURSELF

- How do I ensure my work environment is safe? (Culturally, in regard to disability & sexuality/gender etc.)
- What knowledge systems am I privileging in my research?
- How do I bring diversity into an already established team (that lacks diversity)?
- How might a lack of diverse perspectives in my team affect the quality of our research?
- Where are our knowledge and experience gaps?
- How can I honour and respect the communities that have contributed to my research?

Go to: Partnership

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