Nga Ara Tohutohu Rangahau Māori

Guidelines for Research and Evaluation with Māori

Centre for Social Research and Evaluation
Te Pokapū Rangahau Arotake Hapori

2004

MINISTRY OF SOCIAL DEVELOPMENT
Te Manatū Whakahiato Ora

Contents

Introduction

The guidelines outlined in this document are designed to assist staff from the Centre for Social Research and Evaluation (CSRE) and researchers contracted by the Ministry of Social Development (MSD) who undertake projects that require input from Māori. The key objective of the Guidelines is to provide a tool that enhances our ability to carry out effective and appropriate research with Māori. The Guidelines should not be viewed as the last word on best practice for research with Māori, but instead as a set of principles and practices informed by past, current and future research and evaluation projects involving Māori, Māori communities, organisations, hapū and iwi.

The Guidelines comprise a set of practice-based principles and related actions that are designed to:

- ensure that Māori participants, stakeholders and communities are involved in research that is of specific interest to them or, due to the area of research, requires a significant amount of engagement with Māori to complete
- enable CSRE to develop effective research partnerships with Iwi Māori and Māori stakeholders
- enable CSRE staff (and researchers contracted to work on behalf of CSRE) to gather robust data about the Māori social, economic and cultural situation, which in turn informs the policy and programme development process.

It may not always be appropriate or possible for officials to follow the advice provided in the various sections of the Guidelines. How we use the Guidelines, or decide on which sections are relevant to our research, will be influenced by any one or a combination of the following issues:

- the research topic and key research questions that form the basis of our project
- the location(s) where the research is scheduled to take place (one-on-one interviews in respondents' homes, focus group settings on marae, etc)
- the methodology(ies) and methods deemed necessary for gathering accurate and appropriate data and information
- the degree to which Māori need to be involved in the project (eg as part of a general study or during an evaluation of a specific Māori programme or suite of programmes).

Rationale for developing research guidelines for Māori

A number of factors influenced the decision to develop a set of guidelines for CSRE, including:

- Government's strategic goals for furthering Māori social and economic development
- Te Puni Kōkiri's (1999) recommendation that MSD (then the Ministry of Social Policy and WINZ) develop guidelines to enhance its evaluation processes involving Māori
- prepatory work on an inter-agency set of guidelines, titled Improving Evaluation with Māori, as part of the Employment Evaluation Strategy (2001) (overseen by officials from WINZ, the Ministry of Social Policy and the Department of Labour)
- Māori overrepresentation in indicators related to poor social and economic outcomes
- response to difficulties with recent MSD-sponsored research projects involving Māori communities and organisations
- Māori criticisms of government and academic research and evaluation activities
- MSD's position as a lead agency in social sector research and evaluation.

What type of research can the Guidelines be used for?

The Centre is involved in a wide range of research-related activity, including conventional research and evaluation activities and forecasting, modelling, data development and management. In the context of CSRE, the term "research" is used in a broad sense to cover data collection, analysis, synthesis and publicaion, and includes the more specialised activities of forecasting, modelling, data collection and evaluation (CSRE 2004).

The Guidelines are designed to facilitate ethical and culturally appropriate practices for research carried out by CSRE where:

- Māori are a significant subgroup of the research sample for a "general" study [1]
- Māori are one of the specifically targeted subject groups for a particular study [2]
- Māori communities, organisations and/or programmes are the specific focus of a project [3]
- consultation with Māori, Māori organisations, hapū and iwi is required as part of the design of methodologies and methods for a research or evaluation-related project.

Structure of the Guidelines

The Guidelines document is made up of four sections.

1 Purpose and key objective of the Guidelines

Sets out the purpose and key objective of the Guidelines.

2 Guidelines for research and evaluation with Māori

Sets out the advice and information that enables researchers to operationalise each of the practice-based principles. The text for each practice-based principle is broken down into the following components:

- the principles that underpin ethical and culturally appropriate research with Māori
- the rationale underlying the principle
- the guidelines and supporting advice that enables CSRE staff to operationalise the practice principles and the commentary that provides some background discussion on the advice and information provided on each of the principles.

3 The Guidelines and external contractors

Contains information on the use of the guidelines by external researchers and research organisations that are contracted to carry out research and evaluation projects on behalf of CSRE.

4 Processes for tracking CSRE use of the Guidelines

Outlines the processes that will be used to track use of the Guidelines. The information gathered via these processes will be used to improve and update the contents of the Guidelines.

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[1] For example, the *Mental Health and Housing* research.

[2] For example, the research carried out on *Living Standards for Older New Zealanders*.

[3] For example, the *Whānau Development Project*.

1 Purpose and key objective of the Guidelines

Purpose

Ensuring that CSRE carries out effective and culturally appropriate research and evaluation activities with Māori requires processes and frameworks that enable officials to undertake meaningful and honest engagement with Māori participants and stakeholders in our research activities. If CSRE's research and evaluation activities are to benefit both Government and Māori, these processes and frameworks must encourage reciprocity between CSRE and the Māori, Māori organisations, hapū and iwi who are involved in our work. It is essential that our research activities provide information that:

- enables Government to meet its stated objectives for furthering Māori social and economic development
- enables MSD to develop evidence-based policy and interventions that enhance Māori social and economic wellbeing and reduce inequalities
- enables Māori to advance their own social and economic development programmes and agendas.

Key objective

To enhance the capability of CSRE officials to carry out research that contributes to the strategic goals of MSD and Government for advancing Māori social and economic development, and that assists Māori with meeting their own goals and aspirations for development.

The information contained in the Guidelines is designed to:

- enhance the quality and ethical standards of CSRE research and evaluation practice with Māori in particular and the wider population in general
- enable Māori to participate fully in research and evaluation projects that directly affect them and their communities
- enable CSRE staff to gather and disseminate accurate, quality information from research and evaluation with Māori
- ensure that Māori values, beliefs and cultural practices (tikanga and kawa) are observed appropriately and where applicable during research and evaluation projects carried out by CSRE staff, or external researchers contracted to carry out projects on behalf of CSRE.

2 Guidelines for research and evaluation with Māori

Practice Principle 1: Planning for Māori involvement

Principle

CSRE recognises that ensuring effective research practice and the gathering of robust information requires the involvement of Māori, Māori communities, organisations, hapū and iwi in research and evaluation projects that require their involvement as participants or key stakeholders.

Rationale

Early consideration of Māori interest, and the level and nature of Māori involvement in potential research projects, is important for ensuring (a) workable project plans, (b) accurate costing estimates, (c) Māori support for, and participation in, projects that require significant input from Māori, and (d) that officials gather robust information.

Guidelines

Table 1

- Use the initial project scoping process to identify (a) whether the research will be of significant interest to Māori, and (b) if consultation/engagement or involvement will be required from Māori, Māori organisations, hapū or iwi.
- Estimate the level of Māori involvement (as participants/stakeholders) that will be required to complete the project.
- Develop a consultation plan for engaging with Māori, Māori organisations, hapū and iwi that have been identified as likely participants in the project.
- Develop a budget that (a) enables the consultation plan to be carried out, and (b) ensures that the costs to Māori (individuals, organisation, hapū/iwi) of involvement can be adequately covered.

The guidelines for Practice Principle 1 will be reported on through the following processes:
- Project Start-up template
- Project Proposal report or memo.

Supporting advice and commentary

- Utilise internal (MSD) and external (government agency) sources for assistance in determining if the research topic/issue is of interest to Māori and, therefore, if Māori input is required.
- Consider using internal (MSD) and external (government agency) sources to help identify and contact key members of Māori communities, organisations, hapū and iwi to assist the project planning and initial engagement process (where applicable).
- Recognise that the heterogeneous nature of Māori identity and social organisation means that there is more than one way of engaging with Māori, and that you may need to undertake different forms of consultation and develop different methodologies for the same project or for researching the same topic with different sections of the Māori population.

- Carry out thorough desk research: engagement with Māori should not be a substitute for using available resource material and information/data that have resulted from previous research activities (TPK 1999).

The importance of considering Māori involvement in research

In the report *Public Consultation and Decision-making in Local Government* (1998), the Auditor-General states that consultation (with Māori and other key interest groups) needs to be seen as an investment – not as an expense. Similarly, with research and evaluation, CSRE staff should view engagement with Māori participants as an essential and beneficial component of the research process, particularly for those projects that require significant imput from Māori, Māori organisations and communities to ensure successful completion.

According to Te Puni Kōkiri (TPK) (1999), one of the key weaknesses of mainstream evaluation activity has been the lack of consideration given during initial project planning on whether potential projects are of interest to Māori. This situation is exacerbated by a lack of Māori input into the formative and planning stages of projects that, downstream, require significant input from them, either as a significant percentage of the project sample or as key stakeholders and users of information generated during the research process.

One of the first and most important steps to improving the quality of our research is to consider whether the issue is of importance to Māori and, if so, whether the efficacy of the project requires a level of (as yet undetermined) engagement with Māori stakeholders. The Office for the Community and Voluntary Sector (2003) states that, as a rule of thumb, officials should plan for and seek Māori involvement as early as possible, particularly if the issue/research topic has been identified as significant to Māori. Early engagement with Māori, particularly for projects requiring significant Māori involvement as participants, will help identify any significant methodological issues or questions that may assist or impede the research process. It is important, therefore, that time is set aside during the project scoping process to consider the level of Māori input and engagement that will ensure Māori support and involvement in order to successfully complete the project.

Therefore, it is advisable to consider the following issues during the initial project planning phase:

- whether the project is likely to require engagement with Māori
- the level of participation by Māori
- the implications (resource and otherwise) that engagement with Māori will have on the project.

Māori participation should not be an afterthought. Given the sometimes intense nature of research (in terms of depth and nature of contact), getting it wrong can have downstream effects on continued relationships between Māori and government agencies.

The use of internal and external sources of knowledge and experience of engaging with Māori is important during the early stages of the design process. Identify people who are familiar with the issues for Māori regarding the programme, policy, service or sector that are the focus of your area of research. These sources may also be useful in advising on key contacts and Māori stakeholders in the regions where the research is set to take place.[4]

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[4] For example, people within the agency, both at a local level (eg MSD's Regional Commissioners) and in National Office, may be able to provide guidance on issues that exist for Māori in the proposed area of research and the potential implications the issues might hold for your project.

Consulting with other MSD branches, as well as other social sector agencies, may provide information on previous work of a similar nature in the region. This may provide you with information on specific issues for Māori in this region that can impact on your research, as well as being another potential source of information on local contacts and key stakeholders.[5] The *Resources* section provides the names and contact details of key MSD informants, as well as some useful documents related to key sections of the Guidelines.

To underline the benefits of early planning for Māori involvement, officials might think about the key decision/planning points in the research and evaluation development and practice process and ask how Māori input could assist with:

- defining the research problem, issue and questions
- setting key research objectives and milestones
- developing the methodology
- choosing appropriate methods and analytical frameworks
- analysing data/information
- presenting findings.[6]

The initial advice a researcher receives from Māori stakeholders may point to general methodological issues from the intended research topic. Subsequent local consultation and collaboration may provide valuable insights into which strategies will best ensure Māori participation, what the key research questions should be, what language they should be couched in, and what methods are best suited for particular Māori audiences.

One of the main purposes of engagement is to help identify and resolve possibly contentious or difficult issues before the research project starts. Initial and ongoing engagement can prevent problems from arising in the research process that can be unforeseen by researchers working alone. It will enable us to develop processes for dealing as quickly as possible with any problems that may arise during the research, and will cut back on potential time delays as the result of conflict.

It is imperative that researchers recognise that external stakeholder involvement is crucial to the success of any research project. It is important, therefore, to identify and involve at an early stage Māori stakeholders who have an interest in the research topic. Stakeholders are an excellent source of information for research and evaluation, and their involvement allows for greater potential for gathering accurate information and use of the research results. Organisations that represent Māori at a local, sector or national level, hapū and iwi, Māori service providers, Māori experts in the subject area and Māori consumers may be important stakeholders to talk to in the planning stage. Remember, who you need to engage with will depend on the research topic or policy or programme that you are researching (TPK 1999).

The following questions might assist in identifying key stakeholders and potential research participants.

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[5] Other agencies operating in the sector of interest may have worked on issues relating to Māori (TPK 1999). For example, the Department of Labour, the Department of Internal Affairs, TPK, the Ministries of Health and Education, the Department of Child, Youth and Family Services and the Ministry of Justice are potentially useful sources of information and advice on engaging with Māori on specific issues or in particular regions.

[6] Research methods and tools that suit non-Māori are not always useful for particular groups of Māori or Māori communities and organisations. Therefore, different approaches may need to be developed to obtain answers to similar questions. There may also be significant differences of approach required within a Māori research sample due to iwi affiliation, ability with te reo Māori, geographic location, literacy and numeracy.

- *People affected*: who might be affected by the research topic now or in the future?
- *Particular sectors*: does the issue / research topic / questions have implications for a particular sector(s) of activity? If so, what organisations, service providers and advocates are interested or involved in this sector?
- *Specific geographical area*: does the research topic / questions have implications for a specific geographical area? If so, who are the iwi or Māori groups (including urban authorities) in the area that will need to be consulted with?
- *Pan-Māori organisations and urban authorities*: will the issue be significant for pan-Māori organisations and urban authorities such as the Māori Council or Waipareira Trust?

Budgeting for Māori involvement

The Office for the Community and Voluntary Sector (2003) advises planning and budgeting for Māori input and involvement. Māori experts and leaders should be considered consultants and advisors in their own right and must be accorded the same fiscal recognition as other advisors (eg technical advisors or experts in methodology). Include in the planning process the actual costs of accessing and engaging with Māori respondents. Not doing so may result in there being insufficient resources and time to cover costs for engaging with Māori.

When a community and/or organisation takes part in Government research activities, the group can pay a very high cost in donated time and unplanned resource allocation. We should not expect the local Māori community, marae or organisations to absorb the costs of hosting research-related hui – this is the responsibility of the researcher or agency involved. It is essential, therefore, that adequate resourcing is provided where community, voluntary, iwi and Māori organisations are required to be involved in research and evaluation activities.

The importance of thorough desk research

A common complaint from Māori about research is that Government agencies over-research Māori, or at least paritcular groups of Māori, causing participant fatigue. While robust information on the Māori social and economic situation is essential to the policy-making process, all effort should be made to minimise the collection of information already gathered through previous work and to stop over-researching in specific geographical locations (eg Porirua, the East Coast, South Auckland and Northland are areas often selected for disparities-related research) (TPK 1999). Strategies for avoiding this problem include:

- carrying out thorough desk research and checking existing research and information in the same subject area
- avoiding regions or communities that have recently been the site of similar research.

Practice Principle 2: Engaging with Māori participants and stakeholders

Principle

CSRE research involving Māori will adhere to culturally appropriate protocols for engaging with Māori, Māori communities, organisations, hapū and iwi. It will follow approved ethics frameworks developed to ensure best practice for research with participants.

Rationale

The gathering of robust, accurate data from research involving Māori relies on CSRE staff applying ethical and respectful engagement processes with Māori participants and stakeholders. Ensuring Māori involvement in the research process requires meaningful consultation that is grounded in an honest exchange of information about the aims of our research, the methods to be used, the potential outcomes and the mechanisms for disseminating results. Ethical conduct also requires that Māori values and cultural practices are observed as and where appropriate during research and evaluation activities involving them and their communties.

Guidelines

Table 2

- Apply CSRE's ethics guidelines (forthcoming) during all research and evaluation activities involving Māori.
- Use the project planning phase to identify the protocols that need to be followed and observed during engagement with Māori participants and stakeholders, during both the initial project planning stage and the research phase.
- If there is no official on the project team with experience of tikanga or appropriate protocols, arrange for assistance (see the *Resources* section).
- Where applicable (eg for projects centred on Māori communities or organisations), organise hui/meetings as early as possible to allow participants to take part in the design of the research project.
- Report on progress on specific requirements of Māori participants that are agreed to during the project planning and research phases. This should be reported against in appropriate documentation.

The guidelines for Practice Principle 2 will be reported on through the following processes:

- applying the CSRE ethics guidelines: reported on through the project management process (under construction)
- identifying and planning for Māori protocols: reported on through the project plan and any interim reporting documents and memos
- reporting specific requirements of Māori participants, identified during consultation meetings and hui.

Supporting advice and commentary

- Provide sufficient time for consultation with Māori during the project development phase (where applicable).

- Utilise internal and external sources of expertise to identify the appropriate protocols and cultural practices for engaging with particular Māori communities, organisations, hapū and iwi.

- Provide information packages for consultation that set out the aim(s), key questions and proposed methods / data gathering instruments for the research project.

- Be prepared to alter the research design as a result of initial or subsequent consultations with Māori stakeholders.

- Facilitate the formal involvement of key Māori stakeholders via membership of project advisory groups or reference panels.

The benefit of ethical engagement processes

Māori have often criticised Government agencies for not consulting with them during the development of policy and research projects. Māori participants in Government research activities have also highlighted issues with the way in which consultation is carried out when it does occur. For example, Māori have expressed concerns for the way officials turn up to consult with Māori communities and organisations with no knowledge of tikanga or marae protocol. Another concern relates to the tactic of engaging in the consultation process after the project scoping and planning has been completed – project plans are presented as a fait accompli, thereby rendering the "consultation process" redundant (see Jackson 1998; Smith 1999; TPK 2002).

The practices described above have strained relationships between Government agencies and the Māori communities where the policy development and research processes have taken place. Some Māori, Māori communities and organisations are consequently reluctant to take further part in such processes. It has also, from time to time, resulted in policy and research projects being stalled or abandoned when Māori participants have withdrawn their support.

The Ministry of Health (1997) advises that the engagement process must provide (potential) Māori participants with the opportunity for *effective* input into decision-making processes related to research and evaluation projects. If Māori stakeholders and potential research participants are presented with a policy proposal or research plan that has been finalised without their input, then the proposal is likely to meet resistance. There may be a suspicion amongst Māori about the aims and objectives of researchers due to their past experiences. This suspicion will be exacerbated by the fait accompli approach, which may contribute to a low level of response to, or willingness to take part in, a research project.

The key to overcoming or avoiding the type of problems underlined here is to build into the project sufficient time and resources to develop effective working relationships with key Māori stakeholders. One sure way of ensuring our relationships are effective is to base all our activities on the key principles and practices of ethical research conduct.

It is important to clarify for participants the objectives of the evaluation, who will have access to research results, ownership issues, and how results will benefit Māori. It would also be worthwhile informing participants of Government's plans for the information that will be gathered from the research. This will assist in countering suspicion about the research and will quite possibly increase the response rate. It is also likely to increase participants' and stakeholders' sense of engagement in, and ownership of, the research.

What should be discussed with Māori during ethical engagement

Engagement with Māori participants and key stakeholders should involve discussion of all facets of the proposed research, including:

- research topic
- key research questions
- aims of the research
- level of Māori/community involvement in the project
- resources required to support Māori involvement in the project
- methodology and methods
- analysis of data and information
- dissemination of findings (including formal publication of results)
- processes for protecting information and informants
- ownership of raw data/information (including storage and destruction of information)
- conflict resolution process(es).

For this purpose, it would be advisable for officials responsible for organising consultation to develop an information package that provides as much information on the above areas as possible.

The importance of knowledge of tikanga and Māori protocols

Engaging with certain Māori communities and organisations in ways that are both ethical and culturally appropriate will require researchers to take part in hui (on marae, an organisation's offices or a community hall), where they will encounter the protocols and tikanga associated with these arenas of cultural practice. When this occurs, it will be necessary for the research team to have someone on board who has the appropriate cultural knowledge and mana. This person could be a member of the research team or a kaumātua/official brought into the team to sponsor their activities. Researchers and/or research teams carrying out projects that will involve marae visits, participation in formal hui or engagement with Māori participants who prefer te reo as their first language, or where the research focuses on Māori cultural practice, would best be served by team members with the following attributes (Harmsworth 2001):

- an empathy towards Māori culture and a strong desire to work with Māori
- experience and the ability to communicate and work effectively with hapū, iwi and Māori organisations
- some understanding of te reo and tikanga, or the assistance of someone who does (if and when necessary)
- an ability to understand Māori concepts
- an ability to understand Māori issues, and to be able to communicate them
- an ability to formulate research questions from a mainstream, a scientific and a Māori perspective.

Practice Principle 3: Developing effective and appropriate methodologies

Principle

CSRE recognises that research and evaluation with, or involving, Māori will be based on methodologies and methods that have been developed in consultation with key Māori stakeholders where and when applicable.

Rationale

The methodologies and methods used for research with Māori should be appropriate for the research topic or focus of evaluation, the cultural setting (such as marae) and the Māori community where research takes place. In the case of research projects with a significant focus on Māori, methodologies should be developed in consultation with Māori participants and stakeholders. This will ensure that the processes CSRE officials and contractors use are culturally appropriate and enable the gathering of robust data that will inform the development of Government policy.

Guidelines

Table 3

- The project plan should outline the consultation process that will be used to ensure Māori participants and key stakeholders contribute to the design of the methodology and methods.
- The information package developed for consultation with Māori stakeholders/participants should include information on the proposed methodology and methods.
- Agendas developed for consultation hui/meetings should include space for discussion of methodology and methods.
- Consultation reports/minutes/notes should include commentary and decisions related to the proposed methodology and methods.
- Interim project reports and other reporting documents should include a summary of negotiations with Māori participants and stakeholders on issues related to methodology and methods, and report back on any subsequent design changes.

The guidelines for Practice Principle 3 will be reported on through the following processes:

- the initial project plan (provides details of the consultation process and highlights space for discussion of methodology and methods)
- the information package developed for consultation/engagement with Māori stakeholders
- the final project plan as reported during the project start-up process/project management process
- interim project reports, memos to CSRE management or MSD senior management and milestone reporting.

Supporting advice and commentary

- Officials should be prepared to modify the scope, aims and methods of the proposed research, based on the results of consultation.

- Officials should engage with literature on Kaupapa Māori and other Māori research paradigms, in order to familiarise themselves with methodologies and methods designed by Māori for use with particular Māori communities, organisations and social groupings.

- Officials should note that Māori may use numerous strategies to impart knowledge, depending on the group, organisation and community, and their world view. It may be necessary, therefore, to modify the methodology and methods appropriately.

The added value of Māori input into the design of methodology

TPK (1999:24) reports that one of the key faults in evaluation design amongst Government agencies is that:

> evaluators focus on process, that is making their evaluation well-structured and of high-quality, and forget to consider and include design issues specific to Māori. Agencies and their evaluators strive for technically excellent, sometimes elaborate evaluation design yet sometimes overlook the reality of working with Māori as individuals, hapū, iwi and communities.

The crux of the TPK comment is that a key fault of evaluation (research) design is the lack of attention paid to ensuring the appropriateness of the research design (including methodology and methods) for the key stakeholders who will be involved in the project.

Appropriate and effective methods will vary according to the topic/research question(s) and the community and individuals taking part in the project. In some situations, face-to-face interviewing of individuals or groups will be preferred.[7] On the other hand, CSRE staff should not discount using quantitative methods and tools of data collection for projects involving Māori, even where the project requires significant engagement with Māori as participants and stakeholders. Projects that require the use of quantitative tools, if properly planned and administered, may work just as well for Māori as non-Māori. However, issues that may impact on the use of survey methods include the following:

- some Māori may be less likely to own a telephone than non-Māori – therefore, a telephone survey may discount these groups, underrepresenting them in the sample

- some Māori may be less likely to complete a self-administered mail-out survey (reading/writing difficulties, cultural preference for intimate research methods of engagement)

- some Māori may have a higher rate of mobility that makes them more difficult to contact in follow-up surveys.

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[7] The issue of Māori identity is a complex one. Although being identified by iwi or hapū is fundamental for some Māori, it may be inaccessible for others. In the 1996 Census, one in five people of Māori descent (19%) said they were unable to name an iwi. Of these, 7% could hold a conversation about everyday things in te reo Māori. Living in a rural or urban setting made little difference to this proportion, but Māori living in the South Island tended to be less likely to know their iwi than those in the North Island (Statistics New Zealand 1998). On the other hand, some respondents with Māori ancestry may acknowledge their iwi but not identify as Māori. Others may have knowledge of their iwi but not view it as central to their identity (Durie 2001) or decide not to give the information to the Crown (Walker 1996). These various opinions and statistics highlight an identity spectrum where some Māori express the range of individual and collective identities in various contexts. For others, identification will depend on the situation and may develop or change over time. All these positions are valid and are an integral expression of Māori right to be able to name and claim these individual and collective identities (Statistics New Zealand 2001).

Practice Principle 4: Protecting knowledge

Principle

CSRE recognises that Māori have the right to protect their cultural knowledge and intellectual property, and that our observance of Māori strategies and processes for protecting cultural knowledge is paramount for conducting ethical and culturally appropriate research with Māori.

Rationale

An important part of Māori cultural processes are the techniques employed to ensure the protection of cultural practices and knowledge during the dissemination process. It is a fundamental principle of ethical and culturally appropriate practice to acknowledge, and respond to, Māori strategies and processes for protecting specific forms of knowledge.

Guidelines

Table 4

- Utilise internal and external sources to ascertain whether there are likely to be actions required to protect Māori/hapū/iwi intellectual and cultural property rights in relation to the proposed research (see the Resources section).
- Through the consultation phase and use of internal/external advisors, identify and utilise appropriate processes for ensuring the protection of knowledge and cultural property that may be imparted during a research or evaluation project.
- Identify appropriate representatives/experts from communities, organisations, hapū and iwi who can assist with identifying any key issues associated with the dissemination, reporting and retention of the knowledge/data gathered during the research process (see the Resources section).
- Discuss strategies for protecting cultural knowledge with participants during consultation and identify those strategies in relevant planning and reporting documents.

The guidelines for Practice Principle 4 will be reported on through the following processes:
- project planning/design documents
- minutes from consultation/research design meetings and hui
- interim and final reporting documents.

Supporting advice and commentary

- Seek agreement about identification or otherwise of individuals or groups involved in the research, or in reports or documents resulting from the research exercise.
- Ensure that the processes for protecting and disseminating knowledge (including agreed methods of storage and destruction) are followed, as agreed by all parties.
- Utilise the CSRE guidelines on intellectual property (forthcoming).

Protecting knowledge and cultural property

For some years now, Māori have expressed their concerns at the way Government agencies process and utilise their intellectual and cultural property, especially information generated via the research and evaluation process (Smith 1999). In particular, Māori have expressed their concerns that New Zealand's intellectual property laws, and Government agencies' consultation and research processes, do not adequately recognise or protect Māori interests relating to intellectual and cultural property (Williams 2001a and 2001b). Māori commentators on the research and evaluation fields have highlighted the need for agencies to understand Māori knowledge processes (especially the protocols and prohibitions related to knowledge dissemination) and – through a process of negotiation – build research and evaluation frameworks that ensure their practices meet with Māori requirements (Jackson 1998).

Some Māori, such as the late Hirini Melbourne, argue that part of the iwi right to self-determination (as stipulated in Article Two of the Māori version of the Treaty of Waitangi) is the recognition of the fact that Iwi Māori are the exclusive owners of their cultural and intellectual property. In developing a set of protocols for cultural and intellectual property rights of iwi, Dr Melbourne (2000:1) stated that one of the fundamental principles of any set of protocols developed by Government agencies to "guide" their information/research activities with Māori is:

> [to] recognise that indigenous peoples are capable of managing their traditional knowledge themselves, but are willing to offer it to all humanity provided their fundamental rights to define and control this knowledge are protected by the international community.

While good practice dictates that we seek to privilege Māori voices and experiences where and when our focus is on their cultural practices, world views and/or lived experiences, we must also take whatever steps Māori require of us to protect the knowledge and information we gather during research (Solomon 2000). Gathering Māori knowledge (especially traditional/cultural knowledge) raises issues about ownership, storage, publication and dissemination of the information gathered, analysed and used by Government agencies. Ethical and culturally appropriate practice necessitates that, at the very least, we negotiate with Māori participants on the issue of the protection of knowledge, and then build into our research design processes that enable Māori to feel comfortable in imparting the forms of knowledge they define and understand as requiring protection.

Practice Principle 5: Encouraging reciprocity

Principle

CSRE acknowledges the right for all research participants, including Māori, to access and use the information gathered during research and evaluation projects they have been involved with.

Rationale

The requirements of ethical practice/conduct dictates that research and evaluation results and/or information should be made available to Māori participants and stakeholders. Furthermore, the information should be disseminated in formats that enable it to be used by Iwi Māori to inform their social and economic development work programmes.

Guidelines

Table 5

- Negotiation and/or consultation with Māori participants should involve discussion of the appropriate processes and formats for the dissemination of research and evaluation results and findings for projects they have been involved in.
- Include in the project plan information on strategies or processes agreed with Māori participants/organisations for disseminating research and evaluation findings in ways that enable the information to be used by participants.
- Check the validity of the reporting of data/information with Māori participants/key stakeholders.

The guidelines for Practice Principle 5 will be reported on through the following processes:

- notes/reports generated after consultation with Māori participants
- the project plan/brief
- documented evidence of mail-outs of research reports (including emails)
- follow-up surveys of Māori participants in research and evaluation projects.

Supporting advice and commentary

- Ensure accurate lists are kept of contact addresses (including email) of Māori participants, organisations and iwi bodies.

One of the most common criticisms that Māori research participants level at Government (agency) practice is the failure to honour research partnerships by either:

– not releasing findings or data despite an expressed agreement to do so via the consultation process or as stipulated in signed Informed Consent forms

– not providing data/findings in formats or packages that can readily be used by stakeholders.

Consultation and engagement should determine the appropriate dissemination strategies for the results of a particular project, making research-based information available in a suitable format and timely manner to those who could use it.

By making research information accessible, researchers maximise the project's potential to contribute to social gain and the reduction of disparities.

Dissemination is particularly important when Māori have been participants in the research project. Māori have often found it difficult to gain access to, and therefore benefit from, social research findings. Dissemination of research information should be organised to include presentation of results, in a form that is understood, back to the community or group that supplied the information, before publication of the study (Ministry of Health 1997).

Some instances where Māori have been powerless to stop the inappropriate dissemination of information have generated unease within Māori communities. Researchers should take care to ensure that Māori participants understand and agree on which information is to be published and in what formats.

Practice Principle 6: Supporting Māori development

Principle

CSRE acknowledges that the key strategic goals of Government and the Ministry of Social Development require that our research and evaluation activities assist Māori with their social and economic development aspirations.

Rationale

Processes that support ethical and culturally appropriate research and evaluation activities will better enable CSRE staff to gather robust information that will inform the policy and programme development process, and provide the sound evidential basis to support Government and Māori social and economic development programmes.

Guidelines

Table 6

- Use consultation processes to identify any information/research requirements that participating Māori organisations might have, so that they can be readily incorporated into the research design.
- Include Māori/iwi information and data requirements in the methodological design.
- Ensure Māori data and information requirements are included in final reports and disseminated to relevant parties.

The guidelines for Practice Principle 6 will be reported on through the following processes:

- the project plan
- any interim reporting documents, memos
- the final report.

Supporting advice and commentary

- Develop the research design so that the information requirements specified by Māori participants can be clearly identified.
- Ensure the information/results required are clearly articulated in any documents that report back on research or evaluation findings.

In order to ensure that our research and evaluation activities are supported by Māori, they should be carried out with an intent to benefit Māori, not just Government. The benefits of reserch and evaluation need to be negotiated with the participants and clearly defined in the research agenda (Scougall and Osborne 1998). Iwi, hapū and other Māori organisations require good-quality, comprehensive data to support planning and develpment to foster social and economic development. Many of these entities do not currently have the resources to carry out their own research and collect their own statistics, and the research, evaluation and statistics work of Government agencies have significant potential for supporting Māori organisation, hapū and iwi planning (Statistics New Zealand 2001).

Research and evaluation has all too often started off from the premise of a "Māori problem". The focus of such research becomes "Māori peoples need to change" without looking at social and structural issues that may impede better social outcomes for Māori. This type of research is often of no benefit to Māori and has caused much distrust of researchers within Māori communities (Smith 1999:90).

For many advocates of indigenous research, the ideal is that indigenous research should be by indigenous peoples (Rigney 1997; Smith 1999; Williams and Stuart 1992). However, writers such as Smith state that, in the many cases where non-indigenous people undertake research with indigenous people, they have a responsibility to employ participants to assist in the research. This aids in bringing economic resources into the community as well as research skills to the participants and enhancing the indigenous research capacity (AHURI 2002:26).

Many indigenous researchers also advocate that research should support indigenous self-determination (Arbon 1992; Brady 1992; Rigney 1997; Smith 1999; Williams and Stuart 1992). It therefore becomes imperative that research with indigenous communities or organisations contributes in some way to building the capacity of that community/organisation for autonomous decision making and other aspects of self-goverance that may be relevant to and extend beyond the research.

It is suggested that notions regarding strengthening indigenous communities are closely related to the goals of cultural democracy. They are also linked to principles of research regarding strengthening indigenous research capacity and ensuring that the outcomes of research and evaluation benefits and strengthens the community (AHURI 2002).

Furthermore, research needs to emphasise and acknowledge the positives of indigenous cultural/political frameworks to show how they contribute to the wellbeing of the community. The uniqueness and diversity of communities also need to be recognised along with the acknowledgement that the processes belong to a specific community.

Research and evaluations that are attempting to assess the extent to which programmes, policies and practices contribute to strengthening communities (in both indigenous and broader societal contexts) need to take into account the extent to which indigenous goals, terms of reference, equitable processes and outcomes are achieved. Research and evaluation of such scope requires particular process-oriented research approaches, including models based around participatory action research or community education.

Māori and other indigenes have argued that they must have an element of control and ownership over research and evaluation activities and outcomes. They also want research to lead to positive outcomes that support self-determination and self-management and therefore provide greater control over their own lives. Other goals such as meaningful partnerships between researchers and participants, and between government funding bodies and indigenous agencies, are also essential for community empowerment.

It is important, therefore, that research results contribute to Māori development. This pragmatic approach requires that researchers consider how the results of the intended research will be disseminated and utilised.

3 The Guidelines and external contractors

All external researchers contracted to carry out work on behalf of CSRE (and, therefore, MSD) are required to adhere to the principles, practices and reporting requirements reported in the Guidelines.

To ensure that researchers contracted to work on behalf of MSD have the necessary skills and experience to research with Māori, they will need to demonstrate the following **core competencies**.

- For projects that will entail a significant level of Māori involvement, contractors will be required to demonstrate support from Māori participants, be they individuals, whānau, communities, organisations, hapū and iwi.

- For projects that entail a significant level of engagement with Māori, contractors (or team members) will need to demonstrate experience of and the ability to understand and translate appropriately the use of tikanga, kawa, Māori world views and issues identified as important for Māori, within the research and evaluation process.

- Contractors will be required to demonstrate knowledge of, and the ability to participate in, Māori protocol within the research process as and when necessary.

- Contractors will be required to demonstrate that they have successfully carried out research and evaluation with Iwi Māori and Māori communities.

Contractor conduct during research

It is a condition of MSD/CSRE approval that potential research contractors agree with and adhere to the following conditions when carrying out research that requires significant engagement with Māori participants/stakeholders.

- Contract researchers have a responsibilty to ensure that the community or participants are not misused as a research resource and they must take care not to exploit groups or place upon them repetitive and burdensome demands.

- Contract researchers must acknowledge the participation of Māori in the research.

- Contract researchers must establish and maintain processes and structures for ongoing communication, negotiation and review of the research, recognising that changes to the research may require further negotiations and consent.

- Contract researchers must establish parameters of anonymity and confidentiality with participants.

- Contract researchers must adhere to the cultural and customary rules practised in the Māori communities and/or organisations where research takes place.

It is a further condition of MSD/CSRE approval that contractor(s) demonstrate that they are willing to seek clarification from Māori participants on the following research-related activities:

- the right of the researcher to publish research and information independently from the client, or to use the research results commercially or otherwise

- the nature of the responsibility and liability of the researcher regarding the use made of the research results once the research is completed must be clarified

- the ownership of raw data, intellectual property rights or the right to publish research findings and embargos

- actions to be taken with research data once the project is completed (return, storage or destruction of data or information)
- agreement on the ways to ensure proper acknowledgement is given to individuals and communities taking part in the research.

Contractors must also be willing to report back to CSRE officials once the issues have been discussed with Māori participants.

Reporting

It is a further condition of MSD/CSRE approval that the researcher ensures the following.

- Reseacher/s will maintain full confidentiality and anonymity of participants, subject to any desire on the part of the participants to have themselves identified.
- Before any publication or presentation of completed data occurs, a summary of findings should be presented to Māori participants (if possible, but more likely to be possible for projects involving Māori organisations, communities and/or hapū and iwi).
- Researchers should ensure that information about, and of interest to, individuals, groups and organisations is made available in a timely manner and in accessible formats.

4 Processes for tracking CSRE use of the Guidelines

Reporting on the use of the Guidelines will be tracked using a number of processes, so as to (a) ensure that the Guidelines continue to be relevant to CSRE practice, (b) ensure that our practice continues to be responsive to the needs of key Māori stakeholders, and (c) enable us to determine the "added-value" of the Guidelines to the research and evaluation practices of CSRE staff. The processes are:

- sign-off of the Guidelines Project Start-up template, as part of the Project Management process (in development) and related comments
- formal and informal feedback from internal and external Māori stakeholders, as identified during the Project Management process
- evaluation of CSRE practice by members of Māori communities, organisations, hapū and iwi involved in research and evaluation projects
- completion of projects requiring significant engagement with Māori, Māori organisations, hapū and iwi.

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Scougall, J and Osborne, R (1998) *Dogs, Kids and Homewest: The Story of the Tkalka Boorda Aboriginal Community*. Curtin Indigenous Research Centre, Perth.

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Williams, S and Stuart, I (1992) *Community Control and Self Determination in Aboriginal Education Research: The Changed Roles, Relationships and Responsibilities of Aboriginal and Non-Aboriginal Researchers and Aboriginal Communities*. University of Queensland, Queensland.

Resources

Section 1: Further reading

Planning for Māori/indigenous involvement

- Australian Housing and Urban Research Institute (2002) *Ethical Principles and Guidelines for Indigenous Research*. ACUNS, Canberra. AHURI@unsw.edu.au

- Faculty of Human and Social Development (2003) *Protocols and Principles for Conducting Research in the Indigenous Context*. University of Victoria, Vancouver. www.uvic.ca/igov/programes/masters/igov_598/protocol.pdf

- Thomas, D (2002) *Bicultural Research Strategies*. University of Auckland, Auckland.

- Te Puni Kōkiri (1999) *Evaluation for Māori: Guidelines for Government Agencies*. Te Puni Kōkiri, Wellington.

Engaging Māori stakeholders

- Health Research Council (1998) *Guidelines for Researchers on Health Research with Māori*. HRC, Auckland. www.hrc.govt.nz/Maoguide.html

- Office for the Community and Voluntary Sector (2003) *Good Practice Participate*. OCVS, Wellington. www.goodpracticeparticipate.govt.nz/engaging-Māori/index.html

- Thomas, D (2002) *Bicultural Research Strategies*. University of Auckland, Auckland.

Constructing methodologies and methods

- Bishop, R (1998) *Whakawhanaungatanga as a Research Process*, paper presented at the Te Oru Rangahau Māori Research and Development Conference, School of Māori Studies, Massey University. www.massey.ac.nz/publications/TOR.html

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Protecting knowledge and intellectual property

- Solomon, M (2000) *Intellectual Property Rights and Indigenous Peoples Rights and Obligations*, paper presented to the Global Diversity Forum 15, UNEP Headquarters, Nairobi, Kenya, 12–14 May. www.inmotionmagazine.com/ra01/ms2.html

Disseminating results and information

- No Doubt Research (2003) *Researching with Māori*. No Doubt Research, Auckland. www.nodoubt.co.nz/kmworkerfull.html

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Supporting Māori development

- CSRE (2004) *A Rationale for Developing Guidelines for Research and Evaluation with Māori*. MSD, Wellington.

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Section 2: Research and evaluation guidelines

- Health Research Council (1998) *Guidelines for Researchers on Health Research Involving Māori*. HRC, Auckland. www.hrc.govt.nz/Maoguide.htm

- Health Research Council (2000) *Research Proposal (GA06) Application Form and Guidelines*. HRC, Auckland. www.hrc.govt.nz

- Te Puni Kōkiri (1999) *Evaluation for Māori: Guidelines for Government Agencies*. Te Puni Kōkiri, Wellington.

Section 3: Consultation guidelines

- Department of Conservation (2000) *Te Kete Taonga Whakakotahi: A Conservation Partnerships Toolbox*. DOC, Wellington. www.doc.govt.nz/Community/005

- Ministry of Education (1999) *Consultation and Engagement with Māori: Guidelines for the Ministry of Education*. MoE, Wellington. www.minedu.govt.nz/index.cfm

- Ministry of Health (1997) *Kawe Korero: Guidelines for Communicating with Māori*. MoH, Wellington. www.moh.govt.nz/moh.nsf

- Office for the Community and Voluntary Sector (2003) *Good Practice Participate*. OCVS, Wellington. www.goodpracticeparticipate.govt.nz/resources/literature/engaging-with-Māori-html

- Office of the Parliamentary Commissioner for the Environment (1998) *Kaitiakitanga and Local Government: Tangata Whenua Participation in Environmental Management*. OPCM, Wellington. www.pre.govt.nz/reports/allreports

- Department of Internal Affairs (2003) *Guidelines to Consult with Māori 2003–2006*. DIA, Wellington.

Section 4: Māori custom, culture, kawa and tikanga

- Barlow, C (1994) *Tikanga Whakaaro: Key Concepts in Māori Culture*. Oxford University Press, Auckland.

- Patterson, J (1992) *Exploring Māori Values*. Dunmore Press, Palmerston North.

- Tauroa, H and Tauroa, P (1986) *Te Marae: A Guide to Customs and Protocol*. Reed Methuen, Auckland.

Section 5: Government contacts

Ministry of Social Development

Contacting/identifying Māori organisations, runanga, etc

- MSD Regional Commissioners
  Refer to MSD documents for relevant contact details.

- Richard Brooking (Strategic Advisor Māori)
  Service Delivery
  Ext: 68573
  Email: richard.brooking001@msd.govt.nz

- Ann Dysart (Manager)
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- James Swindells (Team Leader)
  See above for contact details.

External agencies

Government agencies that can provide information on contacting Māori organisations in particular rohe, or provide advice on research and evaluation ethics, methodologies and methods, include:

- Department of Corrections
  Ph: (04) 499 5620

- Department of Internal Affairs
  Ph: (04) 495 7200

- Department of Labour
  Ph: (04) 915 4000

- Ministry of Education
  Ph: (04) 463 8000

- Ministry of Health
  Ph (04): 496 2000

- Ministry of Justice
  Ph: (04) 918 8800

- Te Puni Kōkiri
  Ph: (04) 922 6000