

Centres of Research Excellence (CoREs)

Guidelines for Referees

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General information for Referees

This document contains general information about the Centres of Research Excellence (CoREs) Fund, what the expectations are for the conduct of referees, and details of the decision making process. These guidelines are retained as a permanent record, as required by the Auditor-General, and are publicly available. There are separate guidelines for the Advisory Committee and Expert Selection Panels who also participate in the selection process.

Background to the Centres of Research Excellence (CoREs) Fund

The concept of the CoREs fund was developed following a 2001 review of the tertiary education system by the Tertiary Education Advisory Commission (TEAC). The Commission believed that:

...there was a need for greater concentration of research effort, as well as improved linkages between tertiary providers, industry, other research users and the wider community.

(TEAC 2001, p.103)

The Commission drew on international evidence that research is more likely to be successful (in terms of quality, relevance and impact) if there is a critical mass of researchers who work together to share skills, knowledge and resources.

With the CoREs fund, the Government seeks to address fragmentation across the tertiary education, research, and science and innovation systems to create inter-institutional networks of high-performing researchers.

The CoREs fund is designed to provide incentives for tertiary education research to be undertaken that is outcomes focussed and excellent, and for significant knowledge transfer activities to occur. This combination (outcomes focus, excellence, and knowledge transfer) is also intended to provide incentives for new opportunities for tertiary education research.

Each CoRE is hosted by a tertiary education institution and comprises a number of partner organisations which can include universities, Crown Research Institutes, private research organisations, institutes of technology and polytechnics, and Wānanga. Most CoREs traditionally have close working connections within their wider community of interest.

2019/20 CoREs fund selection process

The 2019/20 Centres of Research Excellence Fund selection round will be a fully contestable round. This means the round will be open to prospective Centres of Research Excellence; with existing Centres of Research Excellence needing to re-apply and compete for this funding. Proposals will be considered from all fields of research and Centres of Research Excellence determine their own strategic research direction.

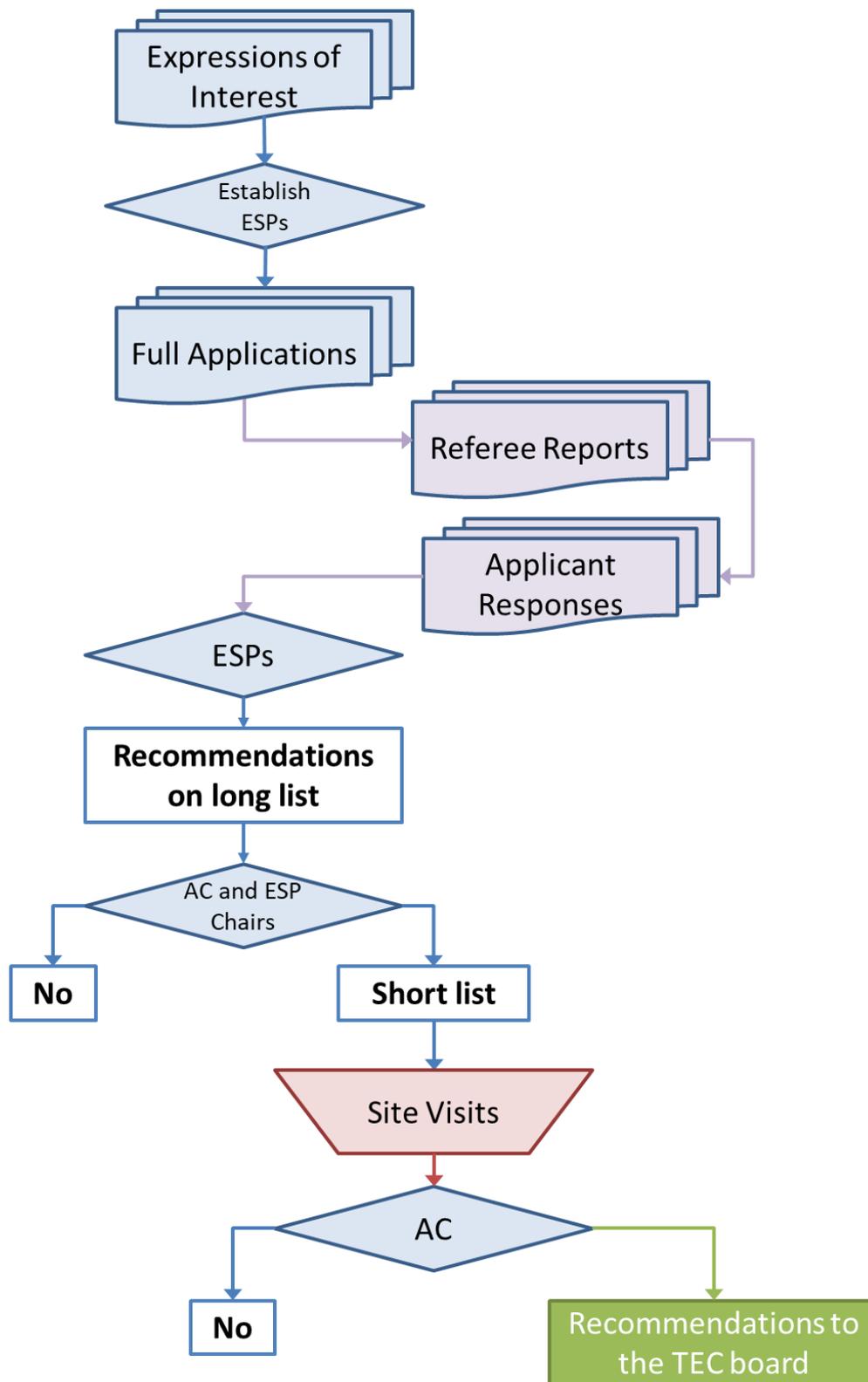


Figure 1. A flow chart outlining the process and decision points in the CoREs fund selection round 2019/20. “ESP” refers to the Expert Selection Panels and “AC” refers to the Advisory Committee.

There are three phases to the assessment of a Full Application as outlined in Figure 1.

Firstly, applications are sent to referees who comment on the quality of the proposed research programme, and whether it is of a world-class standard.

Secondly, each application is scored and discussed by an Expert Selection Panel on the basis of research excellence and the contribution of the proposed CoRE within the tertiary education system.

Finally, the Advisory Committee evaluates the proposed CoRE's contribution to New Zealand's future development, and the proposed governance and management structures for the CoRE. The Advisory Committee, following consultation with the Chairs of the Expert Selection Panels, will decide which applicants will receive a visit to the host site or an interview with the Advisory Committee. The Advisory Committee will then include the findings of the site visit or interview in their final recommendation to the TEC Board regarding which ten CoREs best meet the selection criteria.

Role of Referees

Your role is an integral part of the appraisal process. **Your detailed comments will make a significant contribution to the assessment of the proposal, and provide valuable feedback to the applicants.** Your comments to support your scores are critical for this part of the assessment process. An opportunity for referees to add additional overall comments and suggestions for improvement that may assist the Panels and the Committee in their decision processes is also provided for.

Applicants will be given the opportunity to respond to the referees' comments for the benefit of the CoRE Fund Panels and Committee, with two pages allocated to each response to a particular referee. The referees' reports and the applicants' rebuttals will form a part of the Expert Selection Panels' and Advisory Committee's assessment of the applications.

General points about being a referee include the following:

- Referees names are not disclosed to the applicants.
- If you consider you are not qualified to comment on the requested sections of the proposal or do not wish to act as a referee, please advise the CoRE Fund Administration Officer as soon as possible so another referee can be contacted.
- Submission of Referees' Reports is via a Web-based portal. If you are available to act as a referee, you will receive a URL which will link to the proposal (available after 28 November 2019) and instructions on how to complete the Referee Report on-line.
- Section 1 of the Referee Report goes back to the applicant for comments. Section 2, including grades and the referee's identity, remains confidential to The CoREs Secretariat (the Royal Society Te Apārangi) and the CoRE Fund Expert Selection Panels and Advisory Committee.
- If you consider you have a minor conflict of interest, describe its nature in the appropriate section of the portal, after appraising the application.
- If the conflict of interest is serious, please return the proposal without appraising it.
- The contents and ideas contained in the proposal are confidential in every respect. This includes intellectual property, financial and all other information. *For this reason the proposal is not to be used and should be destroyed once your review is complete.*
- Referees will be advised which Centres are awarded funding.

Assessment Criteria

The full selection criteria for the 2019/20 CoREs funding round are given in Appendix 2. As a referee you will be asked to **comment** on and **grade** two of the criteria, with your assessment of the excellence of the

research and the contribution within the tertiary education system. When responding, if possible, please give consideration to the following:

Research, including assessment of:

- academic strength of the proposed research programme;
- academic strength of the proposed research team;
- commitment to ensuring research is innovative, outcomes-focussed and had impact;
- strength of proposed collaboration and the degree to which partners have contributed to the proposal;
- potential of the CoRE to have national and international influence; and
- commitment to equity and wellbeing outcomes, including encouraging and enabling diversity and inclusion for Māori, Pacific peoples, and other under-represented groups in the proposed research programme and/or in the proposed research team.

Education, including assessment of:

- contribution to the priorities of the [Tertiary Education Strategy](#);
- contribution to graduate, and postgraduate and new researcher education;
- expected impact on the development of New Zealand's future workforce;
- contribution to the development of a culture of innovation and wealth creation in New Zealand; and
- commitment to prioritising equity and wellbeing outcomes, including encouraging and enabling diversity and inclusion for Māori, Pacific peoples, and other under-represented groups in teaching activities.

More detailed assessment indicators are also given in Appendix III. Please note that referees will use a simpler scoring system than that outlined in Appendix III for the Panels and Assessment Committee. See below for a description of the referee grading system

The Selection Panel will use your expert advice to guide them in assessing the first two criteria. Your comments are an essential tool in their assessment process.

Referees' Comments (Section 1)

In Section 1, please comment on the research elements of the proposed CoRE (relating to Grade A given in Section 2, see below) and on its educational contribution (relating to Grade B given in Section 2, see below). Grades should be consistent with the comments given (although please do not refer to the grades given in your comments, as they are not revealed to the applicants).

Please also include a paragraph on **how the proposal could be improved**. Your comments in this section can provide valuable feedback to applicants.

The Selection Panel consists of researchers from a broad range of disciplines, so your comments as a specialist referee are essential in making final judgments on the applications. Please note also that your *comments* as a referee are the most important aspect of your review. Gradings without comments may be discounted by the CoREs Secretariat.

This section is a downloadable template. Please fill this template in and upload it to the portal. We suggest that Section 1 be **2-3 pages** in length.

Grading System (Section 2; confidential)

In Section 2 of the report, please provide two grades. This section consists of radio buttons on the online portal. Note that the grades will **not** be made available to applicants, which is why this scale is included in “confidential” information in Section 2.

Grade A is an overall grade for the proposed research of the CoRE (the first criterion given above).

Please use the following scale:

Grade 1: Outstanding (almost certain to be funded by any international agency)

Grade 2: Excellent (very likely to be funded by any international agency)

Grade 3: Well above average (worthy of funding)

Grade 4: Average (to be funded only if money permits as contains minor flaws)

Grade 5: Below average (unlikely to be funded as contains moderate flaws)

Grade 6: Well below average (would not be funded as contains serious flaws)

Grade B is a grade for the educational elements of the proposed CoRE (the second criterion given above).

Please use the following scale and relate your assessment to the relevant indicators provided in Appendix III:

Grade 1: Outstanding (almost certain to meet the criteria)

Grade 2: Excellent (very likely to meet the criteria)

Grade 3: Well above average

Grade 4: Average

Grade 5: Below average (unlikely to meet the criteria)

Grade 6: Well below average (highly unlikely to meet the criteria)

Conflicts of Interest (Section 2; confidential)

In Section 2 of the Referee Report, as well as your grades, please indicate any conflicts of interest. This section is not seen by the applicant, and is a web-entry box on the online portal.

Additional Information

Additional information on the CoREs Fund is available on the following website:

<https://royalsociety.org.nz/what-we-do/funds-and-opportunities/cores/>

Checklist Before Submitting Your Report

Before submitting your Referee Report, please ensure that the **intended grades** and all comments have been entered.

CoREs Secretariat Contact Details (for reference)

Address: CoREs Secretariat
c/- The Royal Society Te Apārangi
PO Box 598
Wellington 6140
NEW ZEALAND

Telephone: +64-4-470 5778

Email: cores@royalsociety.org.nz

Appendix I – CoREs Mission Statement

Government's investment intention

It is the intention of the Government that investing in Centres of Research Excellence (CoREs) will support growth in research excellence and the development of world class researchers in areas of existing excellence that are important to New Zealand's future development.

Mission statement for CoREs

This mission statement sets out high level expectations of CoREs in terms of role, performance and achievements, as well as the shared responsibilities of host and partners.

The mission statement forms the basis of selection criteria and ongoing performance monitoring of the CoREs.

Research carried out by CoREs

CoRE research must be leading edge research of world-class quality in an area of importance to New Zealand. CoRE research demonstrates academic strength as well as planned and effective progress towards defined impacts with public good and/or economic benefits.

- CoRE research may be basic and/or applied. It is always pioneering, commonly multi-dimensional and/or multi-disciplinary, and likely to involve collaborative and inter-institutional participation and exchange.
- A CoRE will define its area of strategic impact, the need for this focus and the potential benefit for New Zealand. It will regularly revisit and refresh research planning to ensure its research is innovative and solution-focussed.
- A CoRE is innovative and responds quickly to opportunity. It allocates funding for excellent research that has next-stage potential impact and is aligned with its strategic direction.
- It is anticipated that, over time, the research and personnel profile of a CoRE will evolve within its area of strategic impact, reflecting the innovative and cutting edge nature of a CoRE's research activities.
- A CoRE commits to equity and wellbeing outcomes, including encouraging and enabling diversity and inclusion in its research activities and/or its research team(s).
- CoRE expertise can be directed to government science priorities, as appropriate.

CoREs as an element in the tertiary education system

A CoRE builds research capability in areas of existing excellence. It translates new knowledge into teaching and the training of future researchers and offers specific and novel opportunities for graduate students, emerging and established investigators, across its partner institutions.

- A CoRE plans its contribution to the teaching and learning environment of its partner institutions. It is able to demonstrate its educational outcomes and its contribution to employment outcomes for graduates.
- A CoRE commits to equity and wellbeing outcomes, including encouraging and enabling diversity and inclusion in its teaching activities.
- A CoRE ensures key investigators have the opportunity to influence the experience of graduate students and postdoctoral fellows working with the CoRE.

CoRE collaboration and collaborative practices within CoREs

The CoRE model is a collaborative research partnership hosted by a TEI. It has appropriate governance and processes to ensure all partners contribute to delivery of agreed strategic outcomes.

- The host and partners share responsibility for the development and regular review of institutional partner agreements.
- Agreements recognise a combined responsibility for resourcing the CoRE as well as ensuring that research is of excellent quality and adds strategic benefit.
- Agreements set out host university and partner contributions, which include financial and/or in-kind contributions.
- The CoRE host and partners together agree and implement collaborative policies and practices.

Engagement by CoREs with end-users and stakeholders

CoREs are characterised by active and outward-facing engagement with next-stage and potential end-users to ensure the CoRE delivers the strategic benefits it seeks for New Zealand.

- A CoRE will invite potential end-users to contribute to planning of current and future research options, including consideration of potential for impact.
- A CoRE engages in research translation to support and encourage research uptake.
- CoRE outreach can take many forms and have many audiences. A CoRE will identify its outreach partners and explore with them the best ways to engage.
- A CoRE develops an engagement plan to bring focus to its dialogue with stakeholders, and its knowledge exchange activities and connections.

The role of the CoRE at a national and international level

A CoRE demonstrates authority in its research area, both in New Zealand and overseas.

- A CoRE builds wide networks within national and international research communities and uses this connectivity to strengthen its research, people, engagement and influence.
- A CoRE deploys its leadership to facilitate wide stakeholder debate on issues of significance.
- A CoRE operates as a showcase for New Zealand.

Appendix II – Selection Criteria

Prospective CoREs will be assessed on the basis of four selection criteria. The assessment criteria are drawn from the Minister of Education’s letter of determination issued to the TEC under 159L of the Education Act issued in May 2019. The selection criteria must be read in conjunction with the CoREs Mission Statement in Appendix I.

Excellence: excellent research, including assessment of:

- academic strength of the proposed research programme;
- academic strength of the proposed research team;
- commitment to ensuring research is innovative, outcomes-focussed and has impact;
- strength of proposed collaboration and the degree to which partners have contributed to the proposal;
- potential of the CoRE to have national and international influence; and
- commitment to equity and wellbeing outcomes, including encouraging and enabling diversity and inclusion for Māori, Pacific peoples, and other under-represented groups in the proposed research programme and/or in the proposed research team.

Contribution within the tertiary education system, including assessment of:

- contribution to the priorities of the [Tertiary Education Strategy](#);
- contribution to graduate, and postgraduate and new researcher education;
- expected impact on the development of New Zealand’s future workforce;
- contribution to the development of a culture of innovation and wealth creation in New Zealand; and
- commitment to prioritising equity and wellbeing outcomes, including encouraging and enabling diversity and inclusion for Māori, Pacific peoples, and other under-represented groups in teaching activities

Contribution to New Zealand’s future development, including assessment of:

- potential for the research to have public good and/or economic impact in New Zealand;
- commitment to engagement and exchange with potential stakeholders/end-users; and
- strength of the intention to drive the connections that lead to research translation.

Governance and management, including assessment of:

- strength of planned governance and management;
- clarity and benefits of proposed host and partner contributions; and
- commitment of parties to proposed collaborative practices.

In addition, the selection process will consider how the CoREs will support the goals set out in:

- [Ka Hikitia](#): the Māori Education Strategy;
- [The Pacific Education Action Plan](#); and
- [Vision Mātauranga](#).

When selecting CoREs to be funded, CoREs that best meet the assessment criteria will be selected.

At least one CoRE focussed on Māori research will be funded through a competitive process in accordance with the assessment criteria. If no proposals meet the selection criteria, the Advisory Committee may

recommend the proposal that best meets the criteria and the TEC will work with the applicant to ensure that the proposal is further developed and the resulting CoRE is of a comparable standard to other CoREs.

Appendix III – Assessment indicators and scoring framework

Assessment indicators

The applications will be assessed and scored against the four selection criteria.

Research excellence:

The excellence of the research programme and the commitment to ensuring research is leading edge and outcomes focussed will be determined by assessing: whether the research proposal is well constructed and represents a creative and pioneering approach to the subject matter; it is likely that significant new findings will be produced; it will substantially advance knowledge in the field; the proposed collaborations are likely to spark new directions in the research; the programme intends to develop new techniques or technologies that can be applied to relevant problems; and the Centre has the ability to respond quickly to opportunity.

The academic strength of the research team together with the breadth and depth of their knowledge and experience will be assessed by reviewing: the previous research productivity of the Principal and Associate Investigators including their publication record; key presentations; the structure of the research group for future development (incorporating senior and less experienced researchers, postdoctoral fellows, postgraduate students and appropriate other assistance); national/international awards to the research leaders for achievements relating to their research; the ability to attract new researchers to the field; and the credentials of the Centre's Director, such as academic and professional standing, and their capacity for research leadership.

The collaborative depth of the proposed partnership will be evaluated by reviewing: the significance of the additional skills and resources; the inclusion of new researchers; the level of exchange of visitors and research personnel; and the extent of participation in international events.

The proposed national and international influence of the CoRE will be determined by: the international standing of the research team; the likely impact of the proposed research within the wider field; the likely impact of the research on questions and goals specific to New Zealand; and the ability of the CoRE to facilitate wide stakeholder debate on issues of significance.

Applicants should consider the following questions:

- Is the academic strength of the proposed research programme demonstrated?
- Is the academic strength of the proposed research team demonstrated?
- Is there a commitment to ensuring research is innovative, outcomes-focussed and has impact?
- Does the proposed collaboration and the degree to which partners have contributed to the proposal indicate that there is meaningful collaboration and investment in the proposal?
- Is the CoRE likely to have both national and international influence?
- Is there a commitment to equity and wellbeing outcomes, including encouraging and enabling diversity and inclusion in the proposed research programme and/or in the proposed research team?

Contribution within the tertiary education system:

The Tertiary Education Strategy (TES) 2014-19 highlights the need to build international relationships that contribute to improved competitiveness, to support business and innovation through development of relevant skills and research, and to improve outcomes for all. The TES has a strong focus on improving economic outcomes from tertiary education and research and to improving environmental and social outcomes.

The ability of the Centre to contribute to the tertiary education system will be assessed on their strategies to build human capability and the workforce required to participate in a global economy.

The contribution the Centre will make to educating and training New Zealand's future workforce will be evaluated by the extent to which the programme contributes to the successful completion of degree and postgraduate qualifications, including increased achievement of Māori and Pasifika; teaching and learning environment of its partner institutions; and encourages the development of research skills, with the key

investigators able to influence the experience of graduate and postgraduate students and new researchers working with the CoRE. The Centre is expected to have research leaders with strong research supervision records; and a programme that is linked to the skill needs of the relevant end-user community.

It is expected that a successful Centre will contribute to a culture of innovation and wealth creation in New Zealand, and that it will develop strategies and monitoring systems to measure its progress in contributing to innovative activity.

Applicants should consider the following questions:

- Does the proposal make a significant contribution to the priorities of the Tertiary Education Strategy 2014-2019?
- What is the CoRE's contribution to graduate, postgraduate and new researcher education? Is the proposal likely to have a strong impact on the development of New Zealand's future workforce?
- Does the proposal demonstrate contribution to the development of a culture of innovation and wealth creation in New Zealand?
- Is there a commitment to prioritising equity and wellbeing outcomes, including encouraging and enabling diversity and inclusion in teaching activities?
- Is there a connection to undergraduate and compulsory-sector initiatives to broaden participation in post-graduate research?

Contribution to New Zealand's future development:

The ability of the applicants to enhance New Zealand's future development will be assessed by: the potential for the research to provide for public good and/or economic impact in New Zealand; the extent to which addressing these goals is a focus of the Centre; the extent to which the proposed Centre duplicates or expands existing capabilities within New Zealand's research system; and the extent to which new Centres describe their potential to generate, and existing Centres plan to maintain, their value through capability and network development.

The commitment to engagement and exchange with potential stakeholders/end-users will be evaluated by: the understanding shown of the research needs of New Zealand communities and industries; plans for effective translation of research and knowledge into application for new and existing commercial success and/or social or environmental benefits; involvement of relevant sectors in determining the Centre's research programme; and the demonstration of innovative value from the new or expanded activity in service or policy development, or in enhancing productivity, developing new products and helping New Zealand firms compete in high-value products and services.

The strength of intention to drive the connections that lead to research translation will be assessed by: the relationship to other groups in the particular field of research; the involvement of end-users and the wider community in the planning, implementation and uptake of the research programme; the plans for promoting the Centre's activities to the wider community, including where appropriate, for commercial gain; the strength of institutional connections with stakeholders in industry, community, and iwi; and the impact on Māori and Pasifika from the research.

In addition to explaining why the research is important to New Zealand, applicants should consider the following questions:

- Is there potential for the research to have public good and/or economic impact in New Zealand?
- Is there a commitment to engagement and exchange with potential stakeholders/ end-users?
- Is there a strong intention to drive the connections that lead to research translation?

Governance and management:

The strength of the governance, management and operational arrangements will be evaluated by: considering the Centre's Charter or Business Plan and proposed performance measures to determine the clarity of the principles of operation and the extent to which the governance and management structures will ensure these are met; the credentials of the Centre's Director such as capacity for strategic leadership, management skills and

successful experience; a robust Centre establishment plan; the adequacy of the proposed reporting arrangements; the ability for the Centre to meet its primary purpose; the ability to fulfil Treaty of Waitangi obligations; host institution support, such as Centre establishment, funding or other financial policies, provision of space and other resources; and the financial soundness of the proposed Centre.

The clarity and benefits of proposed host and partner contributions will be evaluated by considering any Memoranda of Understanding or other agreements that those organisations have put in place, including: agreements regarding combined responsibilities for resourcing the CoRE; and agreements setting out host and partner contributions including financial and/or in-kind contributions (e.g. agreements for personnel sharing, cost sharing, and intellectual property sharing).

The appropriateness of the Centre’s facilities will be assessed by: the ability for the centre to develop a separate identity from its host; the standard of the accommodation; the extent to which the equipment and other research tools are considered state of the art; and the standard and ease of access to support services, including financial systems provided by the host.

The commitment of parties to proposed collaborative practices will be determined by agreements recognising the combined responsibility of host and partners for ensuring that research is of excellent quality and adds strategic benefit.

Applicants should consider the following questions:

- Does the planned governance and management show strength and an ability to deliver on the CoRE’s impacts?
- Is there clarity around proposed host and partner contributions, and are the benefits clear?
- Have the partners committed to strong collaborative practices?

Scoring framework

Scoring indicators

Indicators and the types of evidence that could aid in assessment of indicators

Criterion	Indicators	Types of evidence that could be presented
Excellent research (weighting 40 points)		
Academic strength of the proposed research team	<ul style="list-style-type: none"> ▪ Credentials of the Centre’s Director, such as academic and professional standing, and their capacity for research leadership ▪ Research quality and productivity of the Principal and Associate Investigators ▪ The structure of the research group supports succession and sustainability of resources for future development (incorporating senior and less experienced researchers, postdoctoral fellows, postgraduate students and appropriate other assistance) ▪ The ability to attract new researchers to the field 	<ul style="list-style-type: none"> ▪ CVs ▪ Local, national and international awards ▪ Investigator publication records and key presentations ▪ Information on the composition of the team/organisation charts ▪ Information on recruitment performance, e.g. from annual reports

Criterion	Indicators	Types of evidence that could be presented
Academic strength of the proposed research programme	<p>Whether the research proposal is well constructed and represents a creative and pioneering approach to the subject matter, and the Centre:</p> <ul style="list-style-type: none"> ▪ is likely to produce significant new findings ▪ is likely to substantially advance knowledge in the field ▪ the proposed collaborations are likely to spark new directions in the research ▪ the programme intends to develop new techniques or technologies that can be applied to relevant problems ▪ the Centre has the ability to respond quickly to opportunity. 	<ul style="list-style-type: none"> ▪ The research proposal ▪ Evidence that the CoRE or participants have produced significant findings, advanced knowledge, sparked new directions, developed new technologies, and responded quickly to opportunities in the past
Commitment to ensuring research is innovative, outcomes-focused and has impact	<ul style="list-style-type: none"> ▪ Clear statement in the proposal of commitment to ensuring research is innovative, outcomes-focused and has impact ▪ Statement is consistent with and likely to be borne out by the CoRE if operated consistent with the proposal 	<ul style="list-style-type: none"> ▪ The proposal
Strength of proposed collaboration and the degree to which partners have contributed to the proposal	<ul style="list-style-type: none"> ▪ The collaborative depth of the proposed partnership will be evaluated by reviewing the significance of the additional skills and resources brought to the research programme. ▪ the inclusion of researchers from partner organisations ▪ the level of exchange of visitors and research personnel among partners and or collaborators 	<ul style="list-style-type: none"> ▪ The existence of formal established collaborations and proposed future collaborators and what the nature of the interaction will be.
Potential of the CoRE to have national and international influence	<ul style="list-style-type: none"> ▪ participation of leaders and staff in international events ▪ the international standing of the research team ▪ the likely impact of the proposed research within the wider field ▪ the likely impact of the research on questions and goals specific to New Zealand ▪ the ability of the CoRE to engender discussion among stakeholders on issues of significance. 	<ul style="list-style-type: none"> ▪ Invitations to participate in international conferences ▪ CVs of leaders and staff ▪ Agreements, contracts for international exchanges ▪ Scope and thrust of the proposal
Commitment to equity and wellbeing outcomes, including encouraging and enabling diversity and inclusion for Māori, Pacific peoples, and other under-represented groups in the proposed research programme and/or in the proposed research team	<ul style="list-style-type: none"> ▪ Clear statement in the proposal of commitment to well-being outcomes ▪ Statement is consistent with and likely to be borne out by the CoRE if operated consistent with the proposal 	<ul style="list-style-type: none"> ▪ Team composition/ demographic information ▪ CVs ▪ Team development plans ▪ Scope and thrust of application

Criterion	Indicators	Types of evidence that could be presented
Contribution within the tertiary education system (weighting 20 points)		
<p>Contribution to the priorities of the Tertiary Education Strategy</p> <ul style="list-style-type: none"> ▪ Priority 1 – Delivering skills for industry ▪ Priority 3 – Boosting achievement for Māori and Pasifika ▪ Priority 5 – Strengthening research-based institutions ▪ Priority 6 – Growing international linkages 	<ul style="list-style-type: none"> ▪ Consistency with any evidence provided regarding other criteria, including the strength of the team and the proposal, diversity and inclusion, and national and international influence. ▪ The proposal includes factors that encourage development of research skills and specifically respond to the relevant elements of the Tertiary Education Strategy 	<ul style="list-style-type: none"> ▪ Specific strategies for developing staff and students, and teaching and learning environments ▪ Evidence provided regarding Māori and Pasifika, international, strength of team and proposal ▪ Research supervision records ▪ Engagement with and plans to deliver on the needs of the end-user community
<p>Contribution to graduate, and postgraduate and new researcher education</p>	<ul style="list-style-type: none"> ▪ Consistency with evidence provided regarding other indicators under this criterion 	<ul style="list-style-type: none"> ▪ Articulation of contribution in proposal ▪ Team design and resource planning ▪ Records of communication of opportunities and placements ▪ Strategies to ensure a meaningful contribution to graduate, and postgraduate and new researcher education
<p>Expected impact on the development of New Zealand’s future workforce</p>	<ul style="list-style-type: none"> ▪ Consistency with evidence provided regarding other criteria including contribution to New Zealand’s future development, commitment to equity 	<ul style="list-style-type: none"> ▪ Clear explanation in proposal about the expected impact
<p>Contribution to the development of a culture of innovation and wealth creation in New Zealand</p>	<ul style="list-style-type: none"> ▪ Consistency with evidence provided regarding criteria related to contribution to New Zealand’s future development 	<ul style="list-style-type: none"> ▪ Clear explanation in proposal about how the Centre will contribute
<p>Commitment to prioritising equity and wellbeing outcomes, including encouraging and enabling diversity and inclusion for Māori, Pacific peoples, and other under-represented groups in teaching activities</p>	<ul style="list-style-type: none"> ▪ Consistency with evidence provided regarding other relevant criteria, including diversity and inclusion 	<ul style="list-style-type: none"> ▪ Clear statement in the proposal about this commitment ▪ Organisation charts ▪ Staff turnover information

Criterion	Indicators	Types of evidence that could be presented
Contribution to New Zealand's future development (weighting 20 points)		
Potential for the research to have public good and/or economic impact in New Zealand	<ul style="list-style-type: none"> ▪ The focus of the proposal on delivering public good and economic impacts ▪ The extent to which the Centre duplicates or expands existing capabilities within New Zealand's research system ▪ The extent to which new Centres describe their potential to generate, and existing Centres plan to maintain, their value through capability and network development 	<ul style="list-style-type: none"> ▪ Clear statement in proposal about the potential impacts
Commitment to engagement and exchange with potential stakeholders/end-users	<ul style="list-style-type: none"> ▪ the understanding shown of the research needs of New Zealand communities and industries ▪ Plans for effective translation of research and knowledge into application for new and existing commercial success, and/or social or environmental benefits ▪ Involvement of relevant sector in determining the Centre's research programme ▪ Demonstration of innovative value from the new or expanded activity in service or policy development, or in enhancing productivity, developing new products and helping New Zealand firms compete in high-value products and services 	<ul style="list-style-type: none"> ▪ The proposal ▪ Centre strategy and business plan, and specific plans for translation of research, commercialisation ▪ Engagement schedules and records of meetings ▪ Communications plans and strategies ▪ Records of sales or other arrangements that resulted in value being derived
Strength of the intention to drive the connections that lead to research translation	<ul style="list-style-type: none"> ▪ Relationships with other groups in the particular field of research ▪ The involvement of end-users and the wider community in the planning, implementation and uptake of the research programme ▪ Plans for promoting the Centre's activities to the wider community, including where appropriate, for commercial gain ▪ The strength of institutional connections with stakeholders in industry, community, and iwi; and the impact on Māori and Pasifika from the research ▪ Consistency with evidence provided regarding other criteria, particularly in relation to the impacts of research 	<ul style="list-style-type: none"> ▪ Clear statement of expectations of impacts in proposal ▪ Agreements and plans to work with other groups and engage with end-users and the community

Criterion	Indicators	Types of evidence that could be presented
Governance and management (weighting 20 points)		
Strength of planned governance and management (ability to deliver on the Centre's purpose, Treaty of Waitangi obligations)	<ul style="list-style-type: none"> ▪ Well-designed governance structure and operational processes ▪ Experienced and stable leadership at both levels ▪ Policies and procedures framework ▪ Board performance expectations ▪ Robust resourcing plans, including financial ▪ Host institution capacity for space and other resources 	<ul style="list-style-type: none"> ▪ Organisational charts ▪ Chair and CE credentials ▪ Board and senior leadership turnover ▪ Charters and board policies ▪ Board cycles, calendars, agendas ▪ Board self- and independent review ▪ CE review ▪ Strategies and business plans, budgets, performance measures, and reports ▪ Establishment plans for new Centres
Clarity and benefits of proposed host and partner contributions	<ul style="list-style-type: none"> ▪ Ability to establish a separate identity for the centre ▪ Quality and fitness for purpose of facilities and equipment ▪ Standards and access to support services, including financial systems provided by the host 	<ul style="list-style-type: none"> ▪ Memoranda of understanding, contracts and other arrangements with partner agencies for sharing resources, including, space, funding, personnel, in-kind contributions, intellectual property
Commitment of parties to proposed collaborative practices	<ul style="list-style-type: none"> ▪ Agreements recognise the combined responsibility of host and partners for ensuring that research is of excellent quality and adds strategic benefit 	<ul style="list-style-type: none"> ▪ Clear statement of commitment in proposal ▪ Agreements between host and partner organisations

Appendix IV – Glossary of commonly used Māori concepts, words and phrases

Definitions taken from maoridictionary.co.nz

With thanks to Professor Angus Macfarlane, University of Canterbury, for his input.

Aotearoa	the Māori name for New Zealand
Aroha	affection, sympathy, charity, compassion, love, empathy
Atua	ancestor with continuing influence, god, demon, supernatural being, deity, ghost, object of superstitious regard, strange being - although often translated as 'god' and now also used for the Christian God
Hapū	kinship group, clan, tribe, subtribe - section of a large kinship group and the primary political unit in traditional Māori society. It consisted of a number of whānau sharing descent from a common ancestor, usually being named after the ancestor, but sometimes from an important event

	in the group's history. A number of related hapū usually shared adjacent territories forming a looser tribal federation (iwi)
Hau kāinga	home, true home, local people of a marae, home people
Hauora	Health, wellbeing
Hui	gathering, meeting, assembly
Iwi	extended kinship group, tribe, nation, people, nationality, race - often refers to a large group of people descended from a common ancestor and associated with a distinct territory
Kāinga	home, address, residence, village, settlement, habitation, habitat, dwelling
Kaitiaki	trustee, minder, guard, custodian, guardian, caregiver, keeper, steward
Kaitiakitanga	guardianship, stewardship, trusteeship
Kaumātua	adult, elder, elderly man, elderly woman, senior person - a person of status within the whānau or iwi
Kaupapa	Philosophy, topic, policy, matter for discussion, plan, purpose, scheme, proposal, agenda, subject, programme, theme, issue, initiative
Kaupapa Māori	Māori approach, Māori topic, Māori customary practice, Māori institution, Māori agenda, Māori principles, Māori ideology - a philosophical doctrine, incorporating the knowledge, skills, attitudes and values of Māori society
Koha	gift, present, offering, donation, contribution - especially one maintaining social relationships and has connotations of reciprocity
Kōiwi tangata	Human bones or remains
Kōrero	to tell, say, speak, read, talk, address; speech, narrative, story, news, account, discussion, conversation, discourse, statement, information
Mamae	be painful, sore, hurt
Mana	prestige, authority, control, power, influence, status, spiritual power, charisma - mana is a supernatural force in a person, place or object. Mana goes hand in hand with tapu, one affecting the other. The more prestigious the event, person or object, the more it is surrounded by tapu and mana. Mana is the enduring, indestructible power of the atua and is inherited at birth, the more senior the descent, the greater the mana. The authority of mana and tapu is inherited and delegated through the senior line from the atua as their human agent to act on revealed will. Since authority is a spiritual gift delegated by the atua,

	man remains the agent, never the source of mana. This divine choice is confirmed by the elders, initiated by the tohunga under traditional consecratory rites (tohi). Mana gives a person the authority to lead, organise and regulate communal expeditions and activities, to make decisions regarding social and political matters. A person or tribe's mana can increase from successful ventures or decrease through the lack of success.
Manaakitanga	hospitality, kindness, generosity, support - the process of showing respect, generosity and care for others
Māori	Māori, Indigenous New Zealander, Indigenous person of Aotearoa/New Zealand - a new use of the word resulting from Pākehā contact in order to distinguish between people of Māori descent and the colonisers
Marae	courtyard - the open area in front of the wharenuī (meeting house), where formal greetings and discussions take place. Often also used to include the complex of buildings around the marae
Mātauranga	knowledge, wisdom, understanding, skill - sometimes used in the plural; education - an extension of the original meaning and commonly used in modern Māori with this meaning
Mauri	life principle, life force, vital essence, special nature, a material symbol of a life principle, source of emotions - the essential quality and vitality of a being or entity. Also used for a physical object, individual, ecosystem or social group in which this essence is located
Moana	sea, ocean, large lake
Te Moana-nui-a-Kiwa	the Pacific Ocean
Pākehā	English, foreign, European, exotic - introduced from or originating in a foreign country; New Zealander of European descent - probably originally applied to English-speaking Europeans living in Aotearoa/New Zealand
Pepeha	tribal saying, tribal motto, proverb (especially about a tribe), set form of words, formulaic expression, saying of the ancestors, figure of speech, motto, slogan - set sayings known for their economy of words and metaphor and encapsulating many Māori values and human characteristics
Pūrākau	myth, ancient legend, story
Rangatahi	younger generation, youth
Rangatira	chief (male or female), chieftain, chieftainess, master, mistress, boss, supervisor, employer, landlord, owner, proprietor - qualities of a leader

	is a concern for the integrity and prosperity of the people, the land, the language and other cultural treasures (e.g. oratory and song poetry), and an aggressive and sustained response to outside forces that may threaten these
Rangatiratanga	chieftainship, right to exercise authority, chiefly autonomy, chiefly authority, ownership, leadership of a social group, domain of the rangatira, noble birth, attributes of a chief
Rohe	boundary, district, region, territory, area, border (of land)
Rūnanga	council, tribal council, assembly, board, boardroom, iwi authority - assemblies called to discuss issues of concern to iwi or the community
Tamariki	children - normally used only in the plural
Tāne	husband, male, man
Tangata whenua	local people, hosts, indigenous people - people born of the whenua, i.e. of the placenta and of the land where the people's ancestors have lived and where their placenta are buried
Taonga	treasure, anything prized - applied to anything considered to be of value including socially or culturally valuable objects, resources, phenomenon, ideas and techniques
Tapu	be sacred, prohibited, restricted, set apart, forbidden, under atua protection; restriction, prohibition - a supernatural condition. A person, place or thing is dedicated to an atua and is thus removed from the sphere of the profane and put into the sphere of the sacred. It is untouchable, no longer to be put to common use
Te reo Māori	Māori language
Te Tiriti o Waitangi	The Treaty of Waitangi
Tikanga	correct procedure, custom, habit, lore, method, manner, rule, way, code, meaning, plan, practice, convention, protocol - the customary system of values and practices that have developed over time and are deeply embedded in the social context
Tino rangatiratanga	self-determination, sovereignty, autonomy, self-government, domination, rule, control, power
Tipuna	ancestor, grandparent, grandfather, grandmother - singular form of tīpuna and the eastern dialect variation of tupuna

Tohunga	skilled person, chosen expert, priest, healer - a person chosen by the agent of an atua and the tribe as a leader in a particular field because of signs indicating talent for a particular vocation
Tupuna	ancestor, grandparent – singular form of tūpuna and the western dialect variation of tipuna
Tūrangawaewae	domicile, standing, place where one has the right to stand - place where one has rights of residence and belonging through kinship and whakapapa
Wairua	spirit, soul - spirit of a person which exists beyond death. It is the non-physical spirit, distinct from the body and the mauri
Wahine/wāhine	wahine - woman, female, lady, wife; wāhine - women, females, ladies, wives – plural form of wahine; female, women, feminine
Wairuatanga	spirituality
Wānanga	seminar, conference, forum, educational seminar; tribal knowledge, lore, learning - important traditional cultural, religious, historical, genealogical and philosophical knowledge; tertiary institution that caters for Māori learning needs - established under the Education Act 1990
Whaikōrero	oratory, oration, formal speech-making, address, speech - formal speeches usually made by men during a pohiri and other gatherings
Whakapapa	genealogy, genealogical table, lineage, descent - reciting whakapapa was, and is, an important skill and reflected the importance of genealogies in Māori society in terms of leadership, land and fishing rights, kinship and status. It is central to all Māori institutions. There are different terms for the types of whakapapa and the different ways of reciting them including: tāhū (recite a direct line of ancestry through only the senior line); whakamoe (recite a genealogy including males and their spouses); taotahi (recite genealogy in a single line of descent); hikohiko (recite genealogy in a selective way by not following a single line of descent); ure tārewa (male line of descent through the first-born male in each generation)
Whakataukī	proverb, significant saying, formulaic saying, cryptic saying, aphorism. Like whakatauākī and pepeha they are essential ingredients in whaikōrero
Whānau	extended family, family group, a familiar term of address to a number of people - the primary economic unit of traditional Māori society. In the modern context the term is sometimes used to include friends who may not have any kinship ties to other members

Whānaungatanga	relationship, kinship, sense of family connection - a relationship through shared experiences and working together which provides people with a sense of belonging. It develops as a result of kinship rights and obligations, which also serve to strengthen each member of the kin group. It also extends to others to whom one develops a close familial, friendship or reciprocal relationship
Whenua	land - often used in the plural; territory, domain; country, land, nation, state