Roadmap

Addressing TR-PSR will take time and involve universities working collectively, individually and with others in the research system.

This Roadmap indicates whether actions and responsibilities fall under the domain of Universities New Zealand – Te Pōkai Tara or universities. In the interest of participatory and transparent decision making, a two-way exchange is encouraged to ensure consultative and mutual dialogue. In recognition of the complex and evolving nature of TR-PSR, the various actions and responsibilities are broadly categorised according to their status and priority.

Te Pōkai Tara
Universities
New Zealand

Task		In progress	Short- to medium-term priority	Longer-term/ongoing initiatives

Universities New Zealand = (blue)   Universities = (pink)

1 — GOVERNANCE

In progress:
Provide guidance on governance structures and internal processes – Includes:
• Areas within the university that will be impacted.
• Roles and responsibilities of typical university committees, council, senate, senior leadership team and management in relation to TR-PSR.
• Advice on need for new governance committees or groups to oversee and coordinate university-wide approaches to TR-PSR.
• Advice on consulting external stakeholders[1] to ensure broad representation of ideas around risk and mitigation.

Short- to medium-term priority:
• Universities to review internal governance structures and processes in relation to TR-PSR.
• Includes considering whether new structures, roles, committees, reporting lines, etc. are needed or if existing structures be adapted to ensure strong leadership and oversight over the longer term.

Consultation: Senior university leaders (VC, PVC, DVC equivalent), research and commercialisation office, risk and compliance office, ITS.

2 — POLICY, PLANNING AND RISK ASSESSMENT

In progress:
Policy guidance for universities
• Advise on reviewing relevant policies, procedures and risk assessment frameworks.
• Scope to augment existing policies, procedures and frameworks.
• Mechanisms to ensure ongoing review.

Short- to medium-term priority:
Review internal policy, planning and risk assessment
• Ensure response recognises the principles of Te Tiriti o Waitangi and the relationship between tangata whenua and tangata Tiriti.
• Identify research-related areas within the university that will be most impacted by TR-PSR.
• Identify 'people risks' with sensitive research[2] and mitigation strategies.
• Consider implications of TR-PSR and export controls on research data management policies, including Māori data sovereignty and practices, and protection of personal information.
• Consider implications of TR-PSR and export controls on mātauranga Māori policies.
• Consider implications of TR-PSR and export controls on intellectual property policies.
• Review cybersecurity risk management and infrastructure needs for sensitive research.
• Consider how to restrict and manage levels of access (to physical spaces and systems/data) to meet TR-PSR needs.
• Consider risks and mitigation strategies around ineffective university policies and processes for identifying and managing conflict of interest and disclosure of outside interests, affiliations, work and/or funding.

In progress:
Common resources and sharing good practice
• Facilitate ways of sharing good practice across the Aotearoa New Zealand research sector, building a knowledge base and tapping into government knowledge formally and informally.
• Develop a mechanism for sharing common resources for universities – e.g., policy documents, risk office material and audit and risk committee material.

Consultation: Research and commercialisation office, risk office, HR, Māori and Pacific university staff and students, international office, graduate school.

3 — LEGAL

In progress:
Raise awareness among universities on:
• Aotearoa New Zealand export control changes and their impact on researchers.
• International legal frameworks.
• Other relevant compliance matters.

Short- to medium-term priority:
• Ensure legal and regulatory compliance accords with obligations arising from Te Tiriti o Waitangi.
• Develop export control management model.
• Audit existing research activities and contracts that may fall under export controls.
• Consult Ministry of Foreign Affairs and Trade on catch-all controls implementation and communication channels.
• Develop understanding and resources for international legal frameworks affecting research collaboration and ensure university processes and oversight take these into account.

• Develop and deliver relevant education and training material on export controls and other relevant compliance matters (e.g., data protection, intellectual property, mātauranga Māori, etc.).

Consultation: Legal counsel, research and commercialisation office, Ministry of Foreign Affairs and Trade.

4 — COMMUNICATION AND EDUCATION

In progress:
• Provide guidance to universities on how to ensure appropriate communication, education and training to raise awareness of TR-PSR risks and mitigation strategies.

Short- to medium-term priority:
Develop scenario materials for educational purposes
• Develop scenario materials outlining specific areas where known risk is involved (e.g., those already provided by PSR officials). These scenarios should be not only for researcher education but also to share the practicalities of implementing policies. They will be a mechanism to highlight key areas and risk mitigation options to relevant university staff.

• Staff and student briefing and training in relevant TR-PSR and export controls and international legal and regulatory frameworks.
• Staff and student education and training on mitigating risks related to Indigenous research and ensuring approach is guided by Te Tiriti o Waitangi and Te Ao Māori, as well as Pacific culture and values.
• Ensure staff and students can access advice on mitigating risks involved with international travel and security of any sensitive information or data they take with them.
• Develop resources and training (including as part of induction programmes) for researchers, including students, and the professional staff who support them in navigating research-related risk assessments.

Consultation: Research and commercialisation office, Māori and Pacific university staff and students, international office, HR, graduate school, legal counsel.

5 — GOVERNMENT ENGAGEMENT

In progress:
Develop advice on government engagement and the need for a common escalation pathway
• Raise awareness about the importance of developing consistent internal and external reporting mechanisms to enable sharing security reporting with relevant government agencies.
• Consider how universities can make use of security information and advice provided by government while maintaining their independence and upholding principles of academic freedom.

Short- to medium-term priority:
• Universities to develop consistent internal and external reporting mechanisms and establish clear channels for reporting and addressing new risks or concerns in consultation with relevant government agencies.

Consultation: Ministry of Foreign Affairs and Trade (Export Controls Office), Ministry of Business, Innovation and Employment, ITS, risk office.

---

[1] Includes Māori and Pacific partners, relevant communities and industry.
[2] Includes risks related to international research collaboration and international staff, students and visitors, guidance for researchers travelling internationally, etc, Please refer to the TR-PSR Risk Matrix for a more comprehensive list.