Improving the performance of the Centres of Research Excellence (CoREs) fund

Proposal

1. I am seeking Cabinet’s agreement to further improve the performance of the Centres of Research Excellence (CoREs) fund through confirmation of policy objectives and:
   - a new policy statement for CoREs that includes the purpose and characteristics of CoREs
   - a new performance framework that includes reporting requirements.

2. I am also seeking Cabinet’s agreement to increase the size of the CoREs fund, by drawing down funds from the ‘Centres of Research Excellence’ tagged operating contingency established as part of Budget 2013 [CAB Min (13) 12/6(25) refers].

Executive summary

3. CoREs are semi-autonomous, inter-institutional research networks, with researchers from tertiary education institutions and Crown research institutes working together to deliver a commonly agreed research plan. There are currently seven CoREs and government funding for CoREs is $34 million in operating funding per annum.

4. The CoREs policy was designed to address fragmentation across the tertiary education, research, and science and innovation systems, which is a barrier to concentrated research effort in academic disciplines.

5. Performance analysis of the CoREs has found that their work has had wide-ranging impacts on New Zealand’s society and economy, with increased quantity and quality of research, greater collaboration and increased public outreach and impacts for industry, public services and the environment.

6. However, the original CoREs policy has not been reviewed since its establishment in 2001. Since this time, government priorities for tertiary education, research, and science and innovation have shifted to a stronger focus on the contribution of these areas to economic growth.

7. In 2012, I initiated a review of the CoREs policy to assess the effectiveness of the policy to date and to identify opportunities to increase the responsiveness of the policy in meeting current government priorities.
8. The main findings of the review were:

- CoREs play an important and unique role in supporting high-quality research in a tertiary context, with positive social and economic benefits to New Zealand.
- The CoREs model supports the Government’s broader policy objectives for innovation and economic growth through the creation of new knowledge, human capital development, and knowledge transfer (the nature of impact varies, depending on the type of research conducted in each CoRE).
- The wide distribution of research expertise across New Zealand’s tertiary education institutions and Crown research institutes (the original problem that the CoREs policy aimed to address) remains a barrier to concentrated research effort.
- There is a need for greater clarity of expectations in terms of the purpose (the ‘mission’) of CoREs.
- There is a need to develop a more consistent approach to performance measurement to assist the CoREs to demonstrate, and Government to assess, the contribution that CoREs are making.

9. I am therefore seeking your agreement to retain the objectives of the CoREs policy. I intend to provide more clarity around the purpose and expectations of CoREs through a new mission statement, which will provide guidance to current or prospective CoREs when preparing selection bids and support more transparent operating practices.

10. I also propose to develop a new performance monitoring framework for the CoREs policy to ensure a more consistent approach to performance measurement and to assist the CoREs to demonstrate, and Government to assess, the contribution that CoREs are making.

11. I am also seeking Cabinet’s agreement to increase the size of the CoREs fund, by drawing down funds from the ‘Centres of Research Excellence’ tagged operating contingency established as part of Budget 2013 [CAB Min (13) 12/6(25) refers]. This contingency (representing a 10% increase) was established to fund increased activity, such as an additional CoRE and/or to reflect increasing costs and research activity.

Background

12. The CoREs fund was established in 2001 to support high-performing researchers in the tertiary education sector to concentrate resources and collaborate to produce research that is:

- strategically focused and linked to New Zealand’s future economic and societal needs
- of excellent quality, supporting high-quality, innovative research and research training environments
- transferable, so that new knowledge is incorporated and applied in teaching programmes, and through outreach activities and engagement with end-users.
13. The CoREs policy was designed to address fragmentation across the tertiary education, research, and science and innovation systems. Research expertise is widely distributed across New Zealand's tertiary education institutions and Crown research institutes. In a small country like New Zealand, a widely distributed system is a barrier to concentrated research effort in academic disciplines.

14. Unlike other government funding models to support research and development, CoREs (in addition to the Performance-Based Research Fund) have a significant focus on tertiary education outcomes through training graduate students and supporting research links to teaching. CoREs are formed from a highly contestable, bottom-up process that allows them to self-identify how their research fits into national priorities.

15. The seven CoREs that currently receive government funding cover research in areas such as public health, Māori development, bio-security, food science, ecology, biomedical science and nanotechnology.

16. For the current CoRE contracts (covering July 2008 to July 2014), Cabinet agreed to operating funding of around $34 million (ex GST) per annum, with a one-off capital allocation of $20 million across all CoREs.

17. Appendix 1 details the current CoREs.

**CoREs policy review**

18. In 2012, I initiated a review of the CoREs policy to assess the effectiveness of the policy to date and to identify opportunities to increase the responsiveness of the policy in meeting current government priorities.

19. The original CoREs policy has not been reviewed since its establishment in 2001. A number of the CoREs have changed their focus and activities over this time. In addition, government priorities for tertiary education, research, science and innovation have shifted to a stronger focus on the contribution of these areas to economic growth.

20. The Government's Business Growth Agenda sets out a programme of change to the New Zealand research and development landscape. The Growth Agenda sets the Government's plans to increase the prosperity and wellbeing of New Zealanders through a more competitive and productive economy. I am also developing the National Science Challenges to create a more strategic approach to science investment in New Zealand.

21. The review aimed to assess the role and contribution of the CoREs in supporting innovation through knowledge and technology transfer and commercialisation of research ideas, and their contribution to economic development through support for business research development.

22. The review also looked at ways to strengthen the monitoring and assessment of the CoREs policy to monitor future alignment with government priorities and value of any future investment.
Performance of the CoREs

23. TEC’s operational mid-term reviews of CoREs and more recent performance analysis show that CoREs deliver research that is of the highest quality in New Zealand and, in many instances, internationally.¹

24. The CoREs also make significant contributions to human capital through skills development. They provide collaborative, multi-disciplinary research environments for training and developing new and emerging researchers and broker collaborations between mid-career researchers, and with end-users. The public outreach activities of the CoREs support public understanding of research, fostering interest in scientific fields of study, and raising awareness of science-related educational pathways and employment opportunities.

25. The CoREs policy was not initially designed with a direct focus on the application of research findings to promote innovation. However, the research, training and outreach activities undertaken by the CoREs do support the creation of new knowledge, human capital development, and knowledge transfer — all of which can be underlying determinants of innovation. CoREs managers report that the CoREs fund enables them to undertake significant new investigations that would not otherwise occur. There is significant variation in focus across the CoREs in terms of the emphasis placed on different knowledge transfer objectives.

26. The way in which the CoREs engage with potential end-users, including the strength of connections to industry, is highly dependent on the area of research focus, and the type of research conducted. This variation reflects the autonomy CoREs have to define and adapt their research agendas, and to determine how their research and activities will contribute to New Zealand’s future development.

27. There is evidence that the research conducted by the CoREs has provided positive social and economic benefits to New Zealand. The nature of impact varies between the CoREs, and ranges from research commercialisation, public health initiatives, improved biosecurity, better management of New Zealand’s natural environment, and social change. However, there is a high level of variation across the CoREs in terms of how they define, measure and report on their performance. This reflects differences in the nature of activity undertaken in the CoREs and in the reporting requirements agreed in the contracts between TEC and the CoREs host institutions.

Findings of the review

28. The main findings of the CoREs review were:

- CoREs play an important and unique role in supporting high-quality research in a tertiary context, with positive social and economic benefits to New Zealand.

- The CoREs model supports the Government’s broader policy objectives for innovation and economic growth through the creation of new knowledge,

human capital development, and knowledge transfer (the nature of impact varies, depending on the type of research conducted in each CoRE).

- The wide distribution of research expertise across New Zealand’s tertiary education institutions and Crown research institutes (the original problem that the CoREs policy aimed to address) remains a barrier to concentrated research effort.

- There is a need for greater clarity of expectations in terms of the purpose (the ‘mission’) of CoREs.

- There is a need to develop a more consistent approach to performance measurement to assist the CoREs to demonstrate, and Government to assess, the contribution that CoREs are making.

Sector consultation

29. Consultation for the CoREs review was conducted through a discussion document and individual meetings with stakeholders. The discussion document was published on the Ministry of Education’s website on 25 March 2013 and emailed to key stakeholders. 15 written responses were received by early May from all CoREs, all but two universities, Universities New Zealand, Science New Zealand and the Tertiary Education Union.

30. Officials met to discuss the discussion document with the following stakeholders:

- individual CoREs
- the Association of CoREs
- Universities New Zealand and a number of individual universities
- Science New Zealand
- Business New Zealand
- The Royal Society
- the Prime Minister’s Chief Science Advisor.

Expert advisory panel and mātauranga Māori panel

31. In addition, meetings were held with an expert advisory panel and a mātauranga Māori panel to discuss the review and the discussion document. The Mātauranga Māori Panel was made up of experts in mātauranga Māori, representatives of iwi, and experts with tertiary education research expertise. The expert advisory panel was made up of experts in a mixture of the following areas: the New Zealand innovation system, the tertiary education sector, performance-based funding, research evaluative exercises, national and international practice in funding research.

32. The consultation showed a significant level of support for the current policy objectives. Stakeholders identified opportunities to clarify expectations around
the overall mission and purpose of CoREs and to improve consistent performance reporting.

Proposed changes

33. I consider the objectives of the CoREs policy to be broadly right. The changes I am proposing as a result of this review focus on optimising the performance of CoREs, through further clarity of expectations and more transparent performance management.

Further clarity of expectations in terms of the purpose (the ‘mission’) of CoREs

34. I have developed a new mission statement for the CoREs policy. The new mission statement is intended to provide guidance to current or prospective CoREs when preparing selection bids and to support more transparent operating practices.

35. The new mission statement specifies the characteristics of CoREs and sets out high level expectations of CoREs, including roles of the tertiary education institution hosts and partners, and the role, performance and achievements of CoREs. Specifically, it will clarify roles and provide expectations in the following areas:
   - the type of research carried out by CoREs
   - collaboration and collaborative practices within CoREs
   - engagement by CoREs with end-users and stakeholders
   - the role of CoREs in the tertiary system
   - the role of the CoRE at a national and international level.

36. A copy of the new mission statement is attached as Appendix 2.

A more consistent approach to performance monitoring

37. I propose to develop a new performance monitoring framework for the CoREs policy. Developing a more consistent approach to performance measurement is important to assist the CoREs to demonstrate, and Government to assess, the contribution that CoREs are making.

38. The new framework will provide a set of common measures to assess the policy impact of the CoREs, and will align with the TEC’s monitoring of each CoRE’s contractual commitments. The funding determination will set out the monitoring responsibilities of the Ministry of Education and TEC and make clear the responsibility of CoREs to report on their performance.

39. The framework will include metric-based reporting and qualitative assessment and will focus on the following areas:
   - CoREs research outputs, including publications and reports by CoREs researchers
   - results for graduates who train in CoREs, such as completion of qualifications and longer term outcomes for post-graduates, such as
measures of earnings and employment (when outcomes data is available).
  • development of research capability, including post-doctoral employment
  • demand for CoREs research, including external research income attracted to the CoREs and income generated by CoREs research, development and innovation
  • the extent of collaboration by CoREs researchers in investigations, contracts and projects
  • the unique strategic contribution of each individual CoRE
  • knowledge transfer and outreach activities.

Principles for developing the performance framework

40. The framework will be developed with the following principles in mind:
  • common definitions and measures to enable consistent measurement
  • allow measurement of the value of public investment in the CoREs as a group and as individual CoREs
  • closely linked to impact measures for individual CoREs
  • consistency in frequency of measurement
  • maintain flexibility and recognise the range of CoREs activity.

41. The details of the reporting requirements will be developed by the Ministry of Education by early 2014, to be applied in CoREs contracts under the new selection round.

Potential for CoREs to contribute to the National Science Challenges

42. The review considered how to improve the fit between the objectives of the CoRE policy and current government priorities for research and development, such as the National Science Challenges.

43. The National Science Challenges will involve a strategic approach to science investment that will result in greater alignment and coordination of government science investment, with the aim of generating more relevant research that has measurable impact in addressing key New Zealand priorities.

44. The objectives and selection criteria for CoREs emphasise the importance of conducting research with a strategic focus that contributes to New Zealand's future development. However, rather than following a 'top down' approach that defines specific challenges for the CoREs to address, the CoRE policy uses a 'bottom up' approach that allows CoREs to identify for themselves how their research fits into national priorities. The CoRE policy also has a particular focus on incentivising collaborative research activity and supporting human capital development.

45. There is an overlap between a number of Challenge and CoREs research areas. The sector consultation found that there is significant CoREs interest in
the National Science Challenges and a number of CoREs are considering how a CoRE could best participate in a Challenge.

46. Research within a CORE may align in part with one or more National Science Challenges. CoREs may consider participating in part or in whole within a Challenge and could, in some cases, act as an organisational structure to lead a Challenge.

Additional funding for CoREs

47. Budget 2013 set aside an additional $3.69 million per annum in contingency (representing a 10% increase) to fund increased activity, such as an additional CoRE and/or to reflect increasing costs and research activity.

48. The selection round process will determine whether this additional funding is used to support a new CoRE, or to support additional activity or increased costs in existing CoREs, or both. As the CoREs selection round is a bottom-up, competitive process, the distribution of funding will be driven by the type and quality of applications received.

49. The Royal Society has been contracted by the TEC to manage the next CoREs selection round. CoREs will be selected under a competitive process determined by the TEC, in line with Cabinet and Ministerial decisions.

Risks

50. The key risk associated with the proposed changes is that the announcement of an increase to the CoREs fund may prompt queries about capital funding. I propose to address this risk through clear expectations that host and partner universities are responsible for capital support. Post-review communications and TEC investment managers (in their ongoing role with providers) will need to be clear about this expectation.

Implementation

51. The new mission statement will be reflected in the updated funding determination, which is required to be released before the TEC can initiate the first part of the selection round for CoREs in August 2013.

52. I will take decisions on the operational detail of the performance framework throughout 2013.

Selection criteria and funding

53. I propose that the existing selection criteria are retained and given more focus and clarity through the use of the new mission statement. Current selection criteria cover: excellence (excellent research), relevance (contribution to New Zealand's future development), access or human capital development, and governance and management.

54. In terms of the contract period, I am proposing that selected CoREs will continue to be funded for a period of six years, although funding may be subject to a review at any stage, as determined by the Tertiary Education Commission.
55. The process for the next selection round will be outlined to the sector at the start of August 2013. Expressions of interest will be due by the end of September 2013 (allowing the Royal Society to form appropriate assessment panels), followed by full proposals from CoREs applicants by the end of November 2013.

Consultation

56. The Tertiary Education Commission, the Ministry of Business, Innovation and Employment and [the Treasury still to provide comment] were consulted in the development of this paper.

Financial implications

57. The proposed changes to the CoREs performance framework and mission statement are fiscally neutral. Budget 2013 set aside operating contingency funding for CoREs of $3.169 million per annum from 2014/15 [CAB Min (13) 12/6(25) refers]. The purpose of this contingency is to fund increased activity (such as additional CoREs) and/or reflect increasing costs and complexity of research activity.

58. As noted in paragraph 46 above, the selection round process will determine whether the additional funding will be used to fund a new CoRE, or to support additional activity or both. The distribution of funding will depend on the type and quality of applications received.

59. I am seeking your agreement to draw down this additional CoREs funding from the ‘Centres of Research Excellence’ tagged operating contingency. The existing baseline is $31.690 million per annum, which sits in the Centres of Research Excellence appropriation.

Legislative implications

60. This paper has no legislative implications. I will issue a Funding Determination under section 159L Education Act 1989 that incorporates the new mission statement to guide the TEC’s selection and contract management of CoREs.

Regulatory Impact Analysis

61. The Regulatory Impact Analysis requirements do not apply to the proposals in this paper.

Human rights implications

62. None of the proposals contained in this paper are in any way inconsistent with the New Zealand Bill of Rights Act 1990 or the Human Rights Act 1993.

Gender implications

63. This paper has no gender implications.
Publicity

64. I intend to produce a Ministerial release announcing the changes to improve the performance of the CoREs policy and the funding increase. Officials will develop a communications plan to support the new selection round.

Recommendations

65. The Minister for Tertiary Education, Skills and Employment recommends that the Committee:

1. note that I initiated a review of the Centres of Research Excellence (CoREs) policy in 2012 to assess the effectiveness of the policy to date and identify opportunities to increase the responsiveness of the policy in meeting current government priorities

2. note that the main findings of the review were:

   2.1. the CoREs policy plays an important and unique role in supporting high-quality research in a tertiary context, with positive social and economic benefits to New Zealand

   2.2. the CoREs model supports the Government's broader policy objectives for innovation and economic growth through the creation of new knowledge, human capital development, and knowledge transfer (the nature of impact varies, depending on the type of research conducted in each CoRE)

   2.3. the wide distribution of research expertise across New Zealand's tertiary education institutions and Crown research institutes (the original problem that the CoREs policy aimed to address) remains a barrier to concentrated research effort

   2.4. there is a need for greater clarity of expectations in terms of the purpose (the 'mission') of CoREs

   2.5. there is a need to develop a more consistent approach to performance measurement to assist the CoREs to demonstrate, and Government to assess, the contribution that CoREs are making

Sector consultation

3. note that consultation for the CoREs review was conducted through a discussion document, and meetings with individual stakeholders, an expert advisory panel, and a mātauranga Māori panel

4. note that the consultation showed a significant level of support for the current policy objectives, but stakeholders identified opportunities to:

   4.1. clarify expectations around the overall mission and purpose of CoREs

   4.2. improve consistent performance reporting

5. agree that the objectives of the CoREs policy are retained, so that the policy continues to support high-performing researchers in the tertiary education sector to concentrate resources and collaborate to produce research that is:
5.1. strategically focused and linked to New Zealand’s future economic and societal needs

5.2. of excellent quality, supporting high-quality, innovative research and research training environments

5.3. transferable, so that new knowledge is incorporated and applied in teaching programmes, and through outreach activities and engagement with end-users

*Further clarity of expectations in terms of the purpose (the 'mission') of CoREs*

6. **note** that I have developed a new mission statement for the CoREs policy, to provide guidance to current or prospective CoREs when preparing selection bids and to support more transparent operating practices

7. **note** that the new mission statement specifies the characteristics of CoREs and sets out high level expectations of CoREs, including roles of the tertiary education institution hosts and partners, and the role, performance and achievements of CoREs

*A more consistent approach to performance monitoring*

8. **note** that I propose to develop a new performance monitoring framework for the CoREs policy to:

8.1. ensure a more consistent approach to performance measurement

8.2. assist the CoREs to demonstrate, and Government to assess, the contribution that CoREs are making

9. **note** that the performance framework will focus on research outputs, results for graduates, demand for CoREs research, the extent of collaboration by CoREs researchers, contracts and projects, the strategic contribution of each CoRE, and knowledge transfer and outreach activities

*Financial implications*

10. **note** that the changes to the CoREs performance framework and mission statement proposed in this paper are fiscally neutral

11. **note** that Budget 2013 established a tagged operating contingency for CoREs [CAB Min (13) 12/6(25) refers] to support increased activity (such as additional CoREs) and/or reflect increasing costs and complexity of research activity as follows:

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<tr>
<td>Centres of Research Excellence</td>
<td>-</td>
<td>3.169</td>
<td>3.169</td>
<td>3.169</td>
<td>3.169</td>
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12. approve the following changes to appropriations to increase the CoREs fund with a corresponding impact on the operating balance:

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<tr>
<td>Minister for Tertiary Education, Skills and Employment</td>
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<tr>
<td>Non-Departmental Output Expense:</td>
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<tr>
<td>Centres of Research Excellence</td>
<td>-</td>
<td>3.169</td>
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<td>3.169</td>
</tr>
<tr>
<td>Total Operating</td>
<td>-</td>
<td>3.169</td>
<td>3.169</td>
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13. agree that the changes to appropriations above be a charge against the ‘Centres of Research Excellence’ tagged operating contingency established as part of Budget 2013 [CAB Min (13)12/6(25) refers]

14. agree that the proposed change to appropriations for 2013/14 above be included in the 2013/14 Supplementary Estimates and that, in the interim, the increase be met from Imprest Supply

Implementation

15. note that the new mission statement will be reflected in the updated funding determination, which is required to be released before the Tertiary Education Commission can initiate the first part of the selection round for CoREs in August 2013

16. note that the details of the performance reporting requirements will be developed by the Ministry of Education by early 2014, to be applied in CoREs contracts under the new selection round

17. note that I will take final decisions about the operational details of the new performance framework in 2014.

Hon Steven Joyce
Minister for Tertiary Education, Skills and Employment

[Signature]

12
## Appendix 1: Current CoREs

<table>
<thead>
<tr>
<th>CoRE</th>
<th>Area of focus</th>
<th>2011/12 funding ($000)</th>
<th>Host university</th>
<th>Partner organisations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Allan Wilson Centre for Molecular Ecology and Evolution</td>
<td>Use forefront methodologies in genomics and biostatistics to create knowledge and develop new analytic and predictive models for molecular ecology and evolution.</td>
<td>3,049</td>
<td>Massey</td>
<td>Universities: Auckland, Canterbury, Otago, Victoria. &lt;br&gt;CRIs: Plant and Food Ltd.</td>
</tr>
<tr>
<td>Bio-Protection Research Centre</td>
<td>New, non-pesticide and sustainable solutions to protect New Zealand's plant-based, productive ecosystems from plant pests, pathogens and weeds.</td>
<td>3,723</td>
<td>Lincoln</td>
<td>Massey University. CRIs: AgResearch, Plant and Food Ltd.</td>
</tr>
<tr>
<td>MacDiarmid Institute for Advanced Materials and Nanotechnology</td>
<td>High-quality research in materials science and nanotechnology.</td>
<td>6,581</td>
<td>Victoria</td>
<td>Universities: Canterbury, Massey, Otago. CRIs: Institute of Geological and Nuclear Sciences (GNS). Other: Callaghan Innovation Research Ltd.</td>
</tr>
<tr>
<td>Maurice Wilkins Centre for Molecular Biodiscovery</td>
<td>The Centre targets serious disease. It includes researchers with world-class reputations for inventing new drugs and vaccines targeting cancer, diabetes and infectious disease, as well as new tools to help basic research and clinical medicine.</td>
<td>3,973</td>
<td>Auckland</td>
<td>Universities: Canterbury, Otago, Victoria, Massey, Waikato. CRIs: AgResearch, Plant and Food Ltd. Other: Malaghan Institute, Callaghan Innovation Research Ltd.</td>
</tr>
<tr>
<td>Gravida: National Centre for Growth and Development</td>
<td>Research into the biology of mammalian development, which seeks to reveal how events during pregnancy and childhood influence the health of the individual from conception throughout life. Similar work is done to study animal productivity</td>
<td>6,657</td>
<td>Auckland</td>
<td>Universities: Canterbury, Massey, Otago, Liggins Institute (University of Auckland). CRIs: AgResearch Ltd. Other: Landcorp Farming Ltd.</td>
</tr>
<tr>
<td>Ngā Pae o te Māramatanga</td>
<td>Economic development, environmental sustainability, health and social wellbeing, and educational achievement within Māori communities. It also a particular focus on training Māori researchers in multiple disciplines</td>
<td>5,331</td>
<td>Auckland</td>
<td>All NZ universities and whānau, Te Tapuene o Rehua, Waikato Tainui College. CRIs: Landcare Research. Other: Auckland Museum, Te Papa Tongarewa.</td>
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\[1\textsuperscript{st} \textsuperscript{2} \textsuperscript{nd} \textsuperscript{3} \textsuperscript{rd} \quad \text{Formerly a CRI, Industrial Research Limited (IRL.)}\]
<table>
<thead>
<tr>
<th>CoRE</th>
<th>Area of focus</th>
<th>2011/12 funding ($000)</th>
<th>Host university</th>
<th>Partner organisations</th>
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<tbody>
<tr>
<td>The Riddet Institute</td>
<td>Discovery-based scientific research into the structure and behaviour of complex food systems and how these interact with the consumer to influence quality of life.</td>
<td>3,396</td>
<td>Massey</td>
<td>Universities: Auckland, Otago.</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>CRIs: AgResearch Ltd, Plant and Food.</td>
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Appendix 2: Draft Mission Statement for the Centres of Research Excellence

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 shared responsibilities of host and partners.

The mission statement will form 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-focused.

- 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.

- CoRE expertise can be directed to government science priorities, as appropriate.

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.

**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 ensures key investigators have the opportunity to influence the experience of graduate students and post doctoral fellows working with the CoRE.

**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.