



LINCOLN
UNIVERSITY

TE WHARE WĀNAKA O AORAKI

LINCOLN UNIVERSITY COUNCIL

SUPPLEMENTARY AGENDA

At 9am on Tuesday, 26 March 2024 a meeting of Lincoln University will be held in Whare Auaha Meeting Room, Ground floor, Waimarie, Lincoln Campus

Click on this link to join the meeting: [Click here to join the meeting](#)

Council Meeting - 26 March 2024 Supplementary Agenda



26 March 2024 09:00 AM - 05:00 PM

Agenda Topic	Page
1. Supplementary Agenda	1
2. Resolution to Include Supplementary Report	3
3. Human Ethics Committee Annual Report	4
3.1 Appendix A: LU Human Ethics Committee Annual Report 2023	6



Vice-Chancellor's Office

Version: 1

Resolution to Include Supplementary Report

Author/s: Nathaniel Heslop

Date: 21/03/2024

1. Purpose

Approval is sought to submit the following report to the Council meeting on 26 March 2024:

13. Lincoln University Human Ethics Committee Annual Report 2023

The reason, in terms of section 46A(7) of the Local Government Official Information and Meetings Act 1987, why the report was not included on the main agenda is that it was not available at the time the agenda was prepared.

It is necessary for the Council to receive the report at the current meeting as the Lincoln University Human Ethics Committee Annual Report needs to be submitted to the Health Research Council on or before 2 April 2024.

2. Recommendations

Resolution

That Council:

1. **RECEIVE** the information in this report.
2. **APPROVE** the Human Ethics Committee Annual Report 2023 be considered at the Council meeting on 26 March 2024.



Vice-Chancellor's Office

Version: 1

Lincoln University Human Ethics Committee Annual Report

Author/s: Nathaniel Heslop

Date: 21/03/2024

1. Purpose

This report seeks one decision from Council to approve the Lincoln University Human Ethics Committee Annual Report for the 2023 calendar year.

2. Contents

3. Recommendation
4. Executive Summary
5. Resource Implications
6. Strategic and Policy Framework Implications
7. Next Steps
8. **Appendix A:** Lincoln University Human Ethics Committee 2023 Annual Report

3. Recommendations

Resolution

That Council:

1. **RECEIVE** the information in this report.
2. **APPROVE** the Human Ethics Committee 2023 Annual Report and delegate authority to the Vice Chancellor to sign the Annual Report on behalf of Lincoln University.

4. Executive Summary

The Lincoln University Human Ethics Committee (LUHEC) is an accredited committee of the Health Research Council (HRC) and conducts independent ethics assessments of research proposed by staff and students at Lincoln University.

LUHEC is required to present an Annual Report to the HRC to maintain its accreditation and comply with legislative requirements.

The Health Research Council (HRC) extended the accreditation of LUHEC in 2023 for a three-year term until 2026.

LUHEC Membership

LUHEC currently has eleven members. The Chair is appointed by Council on recommendation of the Vice Chancellor at least one other member is also appointed by Council. In 2022 Council accepted the Vice Chancellors recommendation to reappoint Grant Tavinor as Chair and

appointed Professor Derrick Moot to LUHEC, both for a term of three years. The remaining members are appointed by the Vice Chancellor, at their discretion.

Workload

In 2023 the LUHEC met five times to consider 72 full applications and 5 pilot study applications.

HRC Feedback

The HRC expressed some concerns with the operation of the LUHEC, particularly with the difficulty the committee has encountered with maintaining Māori representation on the committee, and the ability of LUHEC to effectively seek consultation on Māori research issues within the University.

LUHEC shares this concern and will be engaging in conversation with the Vice Chancellor and DVC Māori and Pasifika to remedy this. Lincoln University has recently increased the number of academics who identify as Māori and the Chair [comfortable solutions will be found].

5. Resource Implications

There are no resource implications for Council.

6. Strategic and Policy Framework Implications

<i>Strategic alignment with priority objective areas in Lincoln University Strategy 2019-2028</i>	Goal 1	A distinctive Aotearoa New Zealand end-to-end student experience	<input type="checkbox"/>
	Goal 2	Improved assets and sustainable operating models	<input checked="" type="checkbox"/>
	Goal 3	A culture which stimulates and inspires staff and students	<input type="checkbox"/>
	Goal 4	A world-class research and teaching precinct	<input checked="" type="checkbox"/>
	Goal 5	An organisation focused on meaningful partnerships	<input type="checkbox"/>
	Goal 6	Facilitating Growth	<input type="checkbox"/>

Strategic Alignment

This report supports the Lincoln University Strategy 2019-2028 by ensuring appropriate governing arrangements are in place to provide appropriate oversight and monitoring of health research at Lincoln University.

Policy Consistency

This decision is consistent with the University’s Plans and Policies.

7. Next Steps

If Council resolves to approve the resolution and delegate authority to the Vice Chancellor, the LUHEC Annual Report will be signed before it is submitted to the Health Research Council.

The updated Policy will be uploaded to the intranet.

ANNUAL REPORT FROM AN ETHICS COMMITTEE

The HRC Ethics Committee (HRCEC) is established under the Health Research Council Act (1990) as a committee of the Health Research Council. Section 25 covers the Committee's functions. Set out below are the functions relevant to the approval of ethics committees:

- To ensure that, in respect of each application submitted to the Council for a grant for the purposes of health research, an independent ethical assessment of the proposed research is made either by the Ethics Committee itself or by a committee approved by the Ethics Committee (section 25(1)(c)).
- To give, in relation to ethics committees established by other bodies, advice on –
 - i. the membership of those committees; and
 - ii. the procedures to be adopted and the standards to be observed, by those committees (section 25(1)(f)).

Approved ethics committees are able to undertake independent assessment on behalf of the HRCEC.

Health and Disability Ethics Committees (HDECs) are established as Ministerial committees under section 87 of the Pae Ora (Healthy Futures) Act. The function of an HDEC is to secure the benefits of health and disability research by checking that it meets or exceeds established ethical standards. The HDECs act in accordance with procedural rules contained in *The Standard Operating Procedures for Health and Disability Ethics Committees (the SOPs)*.

Institutional Ethics Committees (IECs) are established by organisations, such as universities or private companies and review research applications directly related to the organisation or their agent. Often the research that they review is not health related and they have policies and procedures that reflect the nature of the research that they review.

NOTE:

In compiling the report, ethics committees should take care to not provide information which would involve a breach of the Privacy Act 2020 and/or the Health Information Privacy Code 2020.

SUBMISSION

Please complete the annual report electronically and send to the Secretary of the HRCEC by e-mail: llon@hrc.govt.nz

Relevant declaration page with signatures may also be submitted electronically via email.

INQUIRIES

If you have any queries, please contact the Secretary of the HRCEC at the above e-mail address or by telephone on (09) 303 5221.

CONTENTS

Section 1	General information
Section 2	Chairperson's report
Section 3	Policies and procedures
Section 4	Composition of committee
Section 5	Membership
Section 6	Training for committee
Section 7	Operations of committee
Section 8	Specific research contexts
Section 9	Details of protocols
Section 10	Declaration

**SECTION 1:
GENERAL INFORMATION**

1.1 Name of Ethics Committee (EC)

[Lincoln University Human Ethics Committee \(LUHEC\)](#)

1.2 Dates of current HRC EC approval

[Jan 2024 – Dec 2026](#)

1.3 Reporting period

[Jan 2023 – Dec 2023](#)

1.4 Administrator

Name	<u>Ms</u>		
	<u>Fiona</u>	<u>Rayner</u>	
	Title	First Name	Last Name

Phone (03) 4230308

E-mail fiona.rayner@lincoln.ac.nz

1.5 Chairperson

Name	<u>Dr</u>		
	<u>Grant</u>	<u>Tavinor</u>	
	Title	First Name	Last Name

Phone (03) 4230501

E-mail grant.tavinor@lincoln.ac.nz

SECTION 2: CHAIRPERSON'S REPORT

NOTE:

1. Please summarise the main progress, changes, and any issues for the committee from the last reporting year.
2. Topics often mentioned are:
 - workload
 - resources
 - changes to committee policies
 - changes to structure of review (e.g. introduction of low risk expedited review)
 - institutional climate (e.g. undergoing restructure)
 - scenarios of difficult review, areas of review that caused difficulty for the EC in making a decision on any particular protocol(s)
 - requests for advice on how to review particular topics, any other substantive changes which the committee or its Chair feels should be noted
 - any questions on policy or other matters which the EC wish to put to the HRC EC for comment or guidance

a) Workload

The number of full applications in 2023 reporting period was 74 with 3 pilot study notifications also received. This number is a little higher than most previous years (62 received in 2022; 65 in 2020; 95 in 2019, 51 in 2018).

The additional business of the committee (answering inquiries, advising students and staff on ethics matters, etc.) saw a significant increase in 2023, as indicated by the increased correspondence.

b) Constitution of the committee

2023 saw several changes in the constitution of the committee.

Damir Torrico left the committee in August after serving since 2022 after leaving employment at Lincoln University.

Trudi Cameron resigned her position on the committee in June, after leaving the university.

Annu Mehta and Hanley Chen were appointed as the new student representatives in July. Annu is pursuing a PhD in sensory science and has expertise in food science research. Hanley is pursuing a PhD in landscape architecture. We chose to appoint two student representatives first because of the quality and diverse experience offered by Annu and Hanley and for the committee to retain a constant student presence and succession on the committee.

Though not appointed to the committee, Dorothy Tavinor, a trained nurse, and health data manager at Ryman Health, acted as health consultant for several applications.

At end of the 2023 reporting period, the committee had 11 members, (2024 has and will see further appointments to cover the current gaps in expertise).

c) Policy and operational developments

There were no policy developments in 2023. The current human ethics administrator, Fiona Rayner, has continued to improve the operation and documentation of the committee's business and was successful in increasing the hours allocated to her role by the Research Office.

d) Policy review and HRC accreditation

2023 saw the LUHEC retain the accreditation of the Health Research Council. The accreditation was contingent on the committee taking several steps to solidify the constitution and operations of the committee: 1) recruit at least one Māori member; 2) develop a plan to support sustained Māori and lay membership; 3) plan to adopt a risk-based review structure; 4) plan to support the revision of the Ethics Guidelines. This work is already underway and will be progressed in 2024, including as a part of regular revision of the LUHEC policy.

SECTION 3: POLICIES AND PROCEDURES

A. CHANGES IN POLICIES AND PROCEDURES

3.1 Please provide details of any changes in policies and procedures over the last reporting period.

There were no changes to policy and procedures during 2023.

SECTION 4: COMPOSITION OF COMMITTEE

NOTE:

1. Abbreviations:
L = lay person
NL = non-lay person
2. A "lay person" is a person who:
 - has no affiliation to the institution that sponsors, funds, or conducts research reviewed by that committee; and
 - is not a registered health practitioner, and has not been a registered health practitioner at any time during the five years preceding the date of their appointment; and
 - is not involved in conducting health or disability research, or employed by an organisation whose primary purpose relates to health and disability research; and
 - may not otherwise be construed by virtue of employment, profession, and relationship or otherwise to have a potential conflict of bias with the work of the committee.

4.1 Summary of experience and expertise of members.

	Yes	No
Person with a recognised awareness of mātauranga Māori tikanga Māori, and te reo Māori	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Person with experience and expertise in ethical and moral reasoning	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Person from Pacific community	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Lawyer	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Person from the wider community Annu Mehta and Hanley Chen have experience as ethnic minorities.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Person with experience and expertise in the design and conduct of intervention studies	<input type="checkbox"/>	<input type="checkbox"/>
Person with experience and expertise in the design and conduct of observational studies	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Person with experience and expertise in the provision of health and disability services	<input type="checkbox"/>	<input type="checkbox"/>
Person with experience and expertise to review either qualitative or quantitative research	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Person from student community	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other experience and expertise		

4.2 Describe the role that lay persons play in the leadership of the committee.

None.

4.3 How do you ensure that voices outside the institution play a meaningful part in the decisions and workings of the committee?

The Chair and members of the committee are open to contact from stakeholders, and the committee periodically conducts outreach to concerned parties, internal and external to the university, when necessary. The committee also has a representative from the community.

4.4 No. of members in the following core membership categories.

	<i>Māori</i>	<i>L</i>	<i>NL</i>	Total
Male		1	5	6
Female			5	5
Gender neutral				
Total		1	10	11

4.5 For an EC that reviews health research, identify the members who are appropriately qualified health professionals and note their affiliations.

	Name of qualified health professional	Affiliation

<i>Clinically trained</i>	Dorothy Tavinor, MA in Nursing	Ryman Healthcare
<i>In active practice</i>		

4.6 If there was only one qualified health professional, explain how the EC ensured that the review of health research was carried out appropriately.

The committee infrequently reviews even low risk health research. We are currently in conversation with Lincoln University Student Health to arrange a permanent committee member for LU HEC.

**SECTION 5:
MEMBERSHIP**

5.1 List of EC members throughout the reporting period.

NOTE:

1. As long as a member attended at least one meeting they need to be included in this list. This includes both new and retired members.
2. An '*' after a name indicates Māori member.

#	Name of member	Membership Category (L/NL)	Expertise and experience	How Appointed	Start - finish date
1	Dr Grant Tavinor	NL	Philosophy of technology, the arts, media ethics	By Lincoln University Council on recommendation of the Vice Chancellor	23/08/2010 -
2	Caitriona Cameron	NL	Academic writing, English Language and communication skills	By Lincoln University Council on recommendation of the Vice Chancellor	14/01/10 -
3	Paula Morrison	NL	Academic Quality and Policy Manager	By Lincoln University Council on recommendation of the Vice Chancellor	14/06/19 -
4	Ben Sutton	L	Lawyers' ethics	By Lincoln University Council on recommendation of the Vice Chancellor	24/07/18 -
5	Peter Tait	NL	Senior Research Officer Agribusiness and Economics Research Unit	By Lincoln University Council on recommendation of the Vice Chancellor	20/10/17 -
6	Damir Torrico	NL	Food and Sensory Science	By Lincoln University Council on recommendation of the Vice Chancellor	13/05/22 – 22/08/23
7	Trudi Cameron	NL	Social Science, Well-being and Environmental Management	By Lincoln University Council on recommendation of the Vice Chancellor	11/05/22 – 02/05/23
8	Derrick Moot	NL	Council Representative	By Lincoln University Council on recommendation of the Vice Chancellor	13/05/22 -
9	Paula Arbouw	NL	Marketing	By Lincoln University Council on recommendation of the Vice Chancellor	24/08/22 -

10	Annu Mehta	NL	Student representative (Food and Sensory Science)	By Lincoln University Council on recommendation of the Vice Chancellor	10/07/23
11	Hanley Chen	NL	Student representative (Landscape Architecture)	By Lincoln University Council on recommendation of the Vice Chancellor	10/07/23

5.2 Please provide a brief comment on what perspectives your ethics committee has included to ensure diversity of representation of community you serve, taking into account considerations such as, disability, gender, ethnicity, cultural affiliations, etc.

The committee retains a balance of men and women. Two members of the committee are from ethnic minorities in New Zealand (Indian and Chinese).

5.3 Provide a short biography for each member on the list.

#	Name of member	<u>Short</u> biography
1	Dr Grant Tavinor	Grant Tavinor is a senior lecturer in philosophy. He received his PhD from the University of Auckland.
2	Caitriona Cameron	Caitriona Cameron is a learning advisor in the Lincoln University's Library, Teaching and Learning. Her focus is on advising research students.
3	Paula Morrison	Paula Morrison is Academic Quality and Policy Manager at Lincoln University.
4	Ben Sutton	Ben Sutton is a practicing solicitor with 15 years legal experience, much of that in the medico-legal field. He has a master's degree in Bioethics & Health Law from Otago University in 2012.
5	Damir Torrico	Damir is a Senior Lecturer in Sensory Science. He received his PhD in Food Sciences from Louisiana State University in 2015.
6	Trudi Cameron	Trudi has a Doctor of Philosophy - PhD (2020) in Social Sciences from Lincoln University, NZ, specialising in creativity, particularly post-disaster or shock creativity (people and place). Current research collaborations focus on the Wellbeing Economy and Environmental Management.
7	Peter Tait	Peter Tait is a Senior Researcher, Agribusiness & Economics Research Unit.
8	Derrick Moot	Derrick is a Professor in the Department of Agricultural Sciences. He leads the Dryland Pastures Research Programme and received his PhD from Lincoln University. Derrick took over from Jaime Shone as the Council representative.
9	Paula Arbouw	Paula is a Senior Lecturer in the Department of Agribusiness and Markets. She is specifically interested in sustainable and ethical issues affecting marketing. Paula received her PhD from the University of Canterbury.

10	Annu Mehta	Annu completed her Master of Science in Food Innovation at Lincoln University in 2020 and is currently pursuing her PhD in Sensory Science.
11	Hanley Chen	Hanley completed a master's in landscape architecture in 2021 from Lincoln University and is currently pursuing his PhD.

5.4 Include any additional comments specific to the list of membership.

The committee has consulted with Dorothy Tavinor (MA Nursing, Otago) several times on health matters (e.g., HEC2023-12, HEC2023-26).

5.5 Indicate all retirements / resignations of members within the reporting period.

<i>Name of Member</i>	<i>Retirement / Resignation date</i>
Trudi Cameron	02/05/23
Damir Torrico	22/08/23

5.6 Indicate all new appointments within the reporting period.

<i>Name of member</i>	<i>Membership category</i>	<i>Expertise and experience</i>	<i>Gender</i>	<i>Dates of Appointment</i>
Hanley Chen	NL	Landscape Architecture	M	10/07/23
Annu Mehta	NL	Food & Sensory Science	F	10/07/23

5.7 Complete the attendance grid.

LEGEND:

- * After name indicates Māori member
- Y = Present
- A = Apology
- X = Meeting cancelled / No meeting scheduled
- / = Not a member of committee during this time

Members	Membership category	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
Dr Grant Tavinor	NL	X	Y	X	Y	X	A	X	X	Y	X	X	Y	4/5
Caitriona Cameron	NL	X	Y	X	Y	X	Y	X	X	Y	X	X	Y	5/5
Paula Morrison	NL	X	A	X	Y	X	Y	X	X	Y	X	X	Y	3/5
Ben Sutton	L	X	Y	X	A	X	A	X	X	A	X	X	A	1/5
Peter Tait	NL	X	A	X	A	X	Y	X	X	A	X	X	Y	2/5

IEC Annual report form 2024

Damir Torrico	NL	X	Y	X	Y	X	Y	X	X	/	X	X	/	3/5
Trudi Cameron	NL	X	Y	X	Y	X	/	X	X	/	X	X	/	2/5
Derrick Moot	NL	X	Y	X	Y	X	Y	X	X	Y	X	X	A	3/5
Paula Arbouw	NL	X	A	X	Y	X	A	X	X	Y	X	X	Y	3/5
Annu Mehta	NL	X	/	X	/	X	/	X	X	Y	X	X	Y	2/5
Hanley Chen	NL	X	/	X	/	X	/	X	X	Y	X	X	Y	1/5
Total no. of members present			6		7		5			7			7	
No. of applications considered			7		16		10			11			18	62

5.8 Include any additional comments specific to the membership attendance grid.

Meeting scheduled for 25th August 2023 was postponed until September 8th due to illness and the Chair being unavailable. October Meeting was cancelled due to not being able to meet quorum (business was carried over to December meeting.)

**SECTION 6:
TRAINING FOR COMMITTEE**

6.1 Specify the training undergone by new members.

Date	Details of training for new members	No. of attendees
10/07/2023	Grant Tavinor provided an induction session for Annu Mehta	1
10/07/2023	Grant Tavinor provided an induction session for Hanley Chen	1

6.2 Specify the on-going training for EC members.

Date	Details of on-going training for EC members	No. of attendees
	None.	

6.3 If no training was undertaken, provide reasons below.

Training in 2023 was postponed until 2024.

**SECTION 7:
OPERATIONS OF COMMITTEE**

A. ASSESSMENT TIME

7.1 Indicate the assessment time for ethics approvals.

Average four weeks.

B. CHAIRPERSON’S DELEGATION

7.2 Indicate the scope of the Chairperson’s delegation.

The Chairperson has delegated authority in relation to pilot study/focus group applications and summer student scholarships (which typically are short term and low risk studies carried out when the committee is on summer leave. Full applications require approval of the Committee.

7.3 Indicate the number of decisions made by the Chairperson under delegated authority.

4 (3 pilot studies and HEC2023-71). 2 Pilot studies were approved by the Deputy Chair

C. CONSULTATION OUTSIDE THE COMMITTEE

7.4 List and provide details of any occasions in which the committee has consulted with experts or groups outside the committee during the reporting period.

None.

D. COMPLAINTS

7.5 List and provide details of any complaints received during the reporting period. Describe how the complaints were dealt with.

None.

E. ETHICAL/GOVERNANCE ISSUES

7.6 Have any ethical or governance issues been reported to the Committee? (Examples include, researchers acting outside of the scope of an ethics approval; human participants research being conducted without ethics approval; unanticipated ethical issues arising during the course of research such as those concerning the emergence of incidental findings). Please describe any such issues and how they were resolved).

In August a visiting researcher approached Student Health and requested to use their lab space to centrifuge blood samples in a future study. The director of Student Health approached the Chair of LUHEC, who then informed the researcher that the proposed lab use was not permitted under the Health and Safety policy for lab use at Lincoln University.

In August, a research officer at Lincoln University reported worries with the conduct of research in a Lincoln University laboratory. Specifically, the researcher was not adhering to established protocols for the obtaining of human tissues. The Chair asked to an immediate cessation to the research pending proof from the researcher that the protocols would be followed. After a very extensive communication with the research and research officer, the research was eventually allowed to proceed. Furthermore, the Chair has consulted with the Health and Safety Officer and changes are being made to the LUHEC policy to avoid future such cases.

F. REVIEW OF APPLICATIONS

7.7 Summary of applications received by full EC.

No. of applications approved at first review	6
No. of applications approved subject to conditions / pending at first review	0
No. of applications deferred at first review and subsequently approved	68
No. of applications deferred as at time of report	2
No. of applications that were declined because of no/insufficient consultation with appropriate Māori/whānau/iwi/hāpu	0
No. of applications that were declined because of no/insufficient consultation with appropriate cultural group	0
No. of applications declined (This <u>excludes</u> those with no/insufficient consultation with appropriate Māori/whānau/iwi/hāpu/cultural group.)	0
No. of applications which do not require ethics committee approval	1
No. of studies withdrawn by researcher	2
No. of studies terminated by sponsor	0
No. of studies transferred to another EC	0
Total number of applications received by full EC	79

7.8 Summary of applications received under expedited / low risk review.

No. of applications approved	0
No. of applications approved subject to conditions / pending	0
No. of applications which do not require ethics committee approval	0
No. of applications referred for full committee review	0
Total number of applications received under expedited / low risk review	

7.9 Total number of applications received (combine the total number of applications in 7.7 and 7.8).

79

7.10 If any research proposals were declined (other than no/insufficient consultation with appropriate Māori/whānau/iwi/hāpu/cultural group), briefly outline the general reasons for declining approval for these research proposals.

None.

7.11 If any research proposals were transferred to another EC, briefly outline the reason for the transfer.

None.

7.12 If a particular core membership category had no member present at a meeting, explain the process that ensured that the Chair was satisfied, prior to a decision being reached, that the absent core member(s) were informed, had an opportunity to contribute their views, and these views were recorded and considered.

Because applications are distributed and processed electronically, the lack of presence of a member at a specific meeting does not prevent that member from being informed or contributing their views. The normal process is for members to contribute their comments electronically, and for consensus to be drawn from the combined comments.

G. RESPONSE TO CULTURAL ISSUES

7.13 Briefly outline any issues the EC has with regards to researchers' consultation with Māori/whānau/iwi/hāpu.

None.

H. REPORTING

7.14 Describe the requirements for researchers to report upon the status or outcomes of their research and how those reports are reviewed.

Researchers routinely report changes in methodology to the chair. Small changes are approved by the chair, while more significant alterations will be distributed to the committee for further review.

I. AUDIT

7.15 Describe any auditing of research undertaken by, or for, the EC.

The committee yearly conducts a random audit of completed research projects.

**SECTION 8:
SPECIFIC RESEARCH CONTEXTS**

8.1 Describe in broad terms the issues associated with research involving vulnerable persons in your institution and how the EC has managed them. Comment in particular upon research involving the following:

- adults unable to give informed consent
- children and young people aged under 16 years
- people vulnerable as a result of a situation involving conflict of interest
- people in a dependent situation (for example: people with a disability who require care or support; residents of a hospital, nursing home or prison; patients highly dependent on medical care)

- people vulnerable for other reasons (for example: elderly, persons who have suffered abuse, persons who are not competent in English, new immigrants)

HEC2023-53 involved a proposed study on the influence of parents on their children's diet. The initial review of the application found that numerous aspects of the study, particularly the method for obtaining consent from the child participants, and the potential for coercion given the parent/child relationship, were severely flawed. The applicant was asked to reconsider and resubmit the application, and to meet with the chair to discuss the issues of concern. The research was eventually submitted and is currently under consideration. The researcher is new to Lincoln and New Zealand and has not previously undergone ethics training.

8.2 Comment on ethical issues that the EC has considered in relation to research involving data pertaining to humans and how the EC has responded to them.

None.

8.3 Comment upon intervention studies not related to health and disability research which have been reviewed by your EC and any special issues they may have raised.

None.

8.4 Describe trends in applications related to research conducted overseas, the challenges they pose for the EC and how the EC responds to those challenges.

LUHEC continually receives applications for research to be conducted outside of New Zealand. No trends have been evident.

SECTION 9: DETAILS OF PROTOCOLS

NOTE:

1. Please provide details of all protocols considered by the EC in the reporting period.
2. In the “outcome of first review” and “status at time of report” columns, please use the categories (as indicated in 7.6 and 7.7) “Approved/ Approved subsequent to conditions/ Declined/ Deferred/ Transferred”.
3. In the “locality column”, specify the location where the research will be undertaken. For example, in the hospital, at school.

Reference no.	Protocol title	Name of principal investigator	Date received	Date of first review	Outcome of first review	Status at time of report	Date of final outcome	Locality	Funder	Consultation undertaken
HEC2023-01	Managing Tourist Reactions towards Culinary Tourism in Indonesia: An Examination of Food-Human-Place (FHP) Experiences within a Value Chain System	Risca Fitri Ayuni	30-Nov-22	30-Jan-23	Deferred	Approved		Indonesia		
HEC2023-02	Religious Tourism to Israel among Indonesia Christians	Ani Kartikasari, Meike Rombach	06-Dec-22	30-Jan-23	Deferred	Approved		Indonesia		
HEC2023-03	How can wineries or the design of wineries support wellbeing.	Jiang (Jeremy) Goh	20-Dec-22	30-Jan-23	Deferred	Withdrawn by researcher				
HEC2023-04	Development of tannins and methoxypyrazines in Pinot noir grapes and management of their extraction into wine.	Pradeep Wimalasiri	18-Jan-23	01-Feb-23	Deferred	Approved	25/05/23	NZ		
HEC2023-05	Regenerating Vineyard Soils	Amanda Black	26-Jan-23 (incomplete)	23-Feb-23	Deferred	Approved	24/01/24	NZ	This project will be part of future applications for Government co-funding.	

Reference no.	Protocol title	Name of principal investigator	Date received	Date of first review	Outcome of first review	Status at time of report	Date of final outcome	Locality	Funder	Consultation undertaken
HEC2023-06	Exploring marketer practitioners' perspectives on contemporary issues in marketing.	Paula Arbouw	30-Jan-23	13-Feb-23	Deferred	Approved		NZ		
HEC2023-07	Effect of different antioxidants on the varietal characteristics of Sauvignon Blanc wine	Pei-Chin Tsai (Peggy)	31-Jan-23	14-Feb-23	Deferred	Approved		NZ		
HEC2023-08	FOOD301 Food Product Innovation and Quality	Luca Serventi	24-Jan-23	07-Feb-23	Deferred	Approved		Lincoln Uni Course		
HEC2023-09	Domestic tourist resilience to natural hazards in conservations areas of New Zealand	Lydia Michela	02-Feb-23	16-Feb-23	Deferred	Approved	01-Nov-23	NZ		
HEC2023-10	FERM201 - Principles of Brewing and Fermentation	Luca Serventi	02-Feb-23	16-Feb-23	Deferred	Approved		Lincoln Uni Course		
HEC2023-11	REC343	Catherine Elliot	03-Feb-23	17-Feb-23	Deferred	Approved		Lincoln Uni Course		
HEC2023-12	Effect of systemic or local hypoxia on subsequent drop jump performance	Mike Hamlin	07-Feb-23	21-Feb-23	Deferred	Approved		NZ		
HEC2023-13	Sensory analysis of sponge cake incorporated with faba bean blanching water.	Ziqian (Tyrande) Feng	16-Feb-23	02-Mar-23	Deferred	Approved	29-Jan-24	NZ		
HEC2023-14	Hotel Technology and the guest experience	Anthony Brien	23-Feb-23	08-Mar-23	Deferred	Approved	26-Jan-24	NZ, UK, Dubai & Doha		
HEC2023-15	Development of pasta with pea cooking wastewater as ingredients and the effect on human glycemia.	Yanyu Zhang	17-Apr-23	01-May-23	Deferred	Approved	24-Jan-24	NZ		
HEC2023-16	Last chance tourism – beyond environmental last chances	David Fisher	28-Feb-23	14-Mar-23	Deferred	Approved		NZ		
HEC2023-17	COBRAS Professional Stakeholder Survey of Biosecurity Priorities	Philip Hulme, Jonathan Bray & Cassandra Edmunds	02-Mar-23	16-Mar-23	Deferred	Approved	26-Jan-24	NZ		

Reference no.	Protocol title	Name of principal investigator	Date received	Date of first review	Outcome of first review	Status at time of report	Date of final outcome	Locality	Funder	Consultation undertaken
HEC2023-18	Priority questions for sustainable agroforestry management in temperate climates.	Jorie Knook	20-Mar-23	03-Apr-23	Deferred	Approved		NZ		
HEC2023-19	Exploring challenges and opportunities for New Zealand wine export to China: A comprehensive study on barriers and strategies	Hao Yu	21-Mar-23	04-Apr-23	Deferred	Approved		NZ		
HEC2023-20	Understanding the contribution of Urban Gardening Projects to environmental sustainability strategies in Christchurch, New Zealand	Julia Kasproski	04-Apr-23	18-Apr-23	Deferred	Approved		NZ		
HEC2023-21	Understanding the Impact of Land-based Social Enterprises in Aotearoa	Campbell Kerr, Dr. Ani Katikasari; Dr Meike Rombach, Dr. Hafsa.Ahmed;	19-Apr-23	03-May-23	Deferred	Approved		NZ		
HEC2023-22	The social enterprise balanced scorecard revisited for impact assessment	Dr Paula Arbouw & Dr Hafsa Ahmed	21-Apr-23	05-May-23	Deferred	Approved		NZ		
HEC2023-23	Solastalgia and experiences of surf break loss.	Oakley Campbell	28-Apr-23	12-May-23	Deferred	Approved		NZ		
HEC2023-24	Understanding factors determining consumer's preferences and willingness to pay for sea vegetables.	Meike Rombach & David Dean	02-May-23	16-May-23	Deferred	Approved		USA		
HEC2023-25	Social and environmental practices of Te Ao Māori and New Zealand social enterprises: A comparative analysis of their benefits and how knowledge of these practices can be cross-culturally applied.	Ani Kartikasari	05-May-23	19-May-23	Deferred	Approved		NZ		
HEC2023-26	Effects of different hypoxic levels on plyometric training and performance	Mike Hamlin	08-May-23	22-May-23	Deferred	Approved		NZ		

Reference no.	Protocol title	Name of principal investigator	Date received	Date of first review	Outcome of first review	Status at time of report	Date of final outcome	Locality	Funder	Consultation undertaken
HEC2023-27	Tourists' and residents' perceptions of Beijing heritage food	Yue (Peggy) Tsu	16-May-23	30-May-23	Deferred	Approved		China		
HEC2023-28	The Role of Landscape Architecture at Open-Air Rock Art Sites – case studies in Canterbury, Aotearoa New Zealand	Gwen Smart	17_may-23	31-May23	Deferred	Approved	29-Feb-24	NZ		
HEC2023-29	Lamb for human health: Differences in postprandial inflammatory and cardiovascular responses among consumers consuming seaweed bio-stimulants treated Traditional Grass-Fed, Diverse Forage-Fed, and Functionally Diverse Forage-Fed lamb.	Dr Sagara Kumara, Professor Pablo Gregorini, Professor Mike Hamlin, Dr Anita Fleming, Dr Catherine Elliot, Dr Damir Torrico	19-May-23	02-Jun-23	Deferred	Approved	19-Feb-24	NZ	The project will be funded from external and internal sources. Funding sources include; 1. AgriSea: Biological Nutrition Solutions, New Zealand & 2. Lincoln University Centre of Excellence	
HEC2023-30	Framing the problem of dairy farming in New Zealand.	Elizabeth Elliot-Noe	01-Jun-23	15-Jun-23	Deferred	Approved		NZ		
HEC2023-31	Carbon Neutrality in the agricultural sector: how many trees do we need on an individual farm level.	Dr Jorie Knook, Dr David Scobie, Dr Craig Trotter	07-Jun-23	21-Jun-23	Deferred	Approved		NZ		
HEC2023-32	Barriers and Motivators for Sport, Recreation and Physical Activity Participation in Students at New Zealand's Vocational Education Providers.	Mike Hamlin, Catherine Elliot, Tom Kavanagh	21-Jun-23	05-Jul-23	Deferred	Approved		NZ		
HEC2023-33	Public perceptions and experience of domestic plant pathogens and biosecurity in New Zealand	Meike Gunther	22-Jun-23	06-Jul-23	Deferred	Approved	02-Feb-24	NZ		
HEC2023-34	Listening in interaction in English as a second language	Leslie Forest	23-Jun-23	07-Jul-23	Deferred	Approved		NZ		
HEC2023-35	The implications of climate change for Māori-led tourism businesses in Aotearoa New Zealand: A case study of Westland Tai Poutini National Park, and proximate destination townships	Abby Hamilton	26-Jun-23	11-Jul-23	Deferred	Approved		NZ		

Reference no.	Protocol title	Name of principal investigator	Date received	Date of first review	Outcome of first review	Status at time of report	Date of final outcome	Locality	Funder	Consultation undertaken
HEC2023-36	The Matrix of Drivers – the drivers of land use change in New Zealand	Timothy Driver	29-Jun-23	13-Jul-23	Withdrawn by researcher					
HEC2023-37	Developing restorative farming practices to enhance the mauri of Kaitōrete spit/Kā Poupou a Te Rākihōuia, Canterbury	Caterina Campese	04-Jul-23	26-Jul-23	Deferred	Withdrawn by researcher				
HEC2023-38	Rethinking social infrastructure in spatial planning: Exploring the role of farmer’s markets as social infrastructure for community wellbeing	Jess Farrar	10-Jul-23	26-Jul-23	Deferred	Approved	14-Feb-24	NZ		
HEC2023-39	The Chinese tourist gaze on New Zealand food experiences	Chen (Mike) GONG	13-Jul-23	27-Jul-23	Deferred	Approved	21-Feb-24	China		
HEC2023-40	Why is single-use plastic still in the conservation tool-box?	Katie Pitt	31-Jul-23	13-Aug-23	Deferred	Approved	16-Feb-24	NZ		
HEC2023-41	Strategic Spatial Planning for Te Whakatōhea multi-generational kai sovereignty and security.	Shannon Davis, Pablo Gregorini, Richard Morris, Isobel Happy, Charles Merfield	02-Aug-23	16-Aug-23	Deferred	Approved		NZ	Yes - This research is a Te Pūnaha Hihiki: Vision Mātauranga Capability Fund project - \$250,000, over two years.	
HEC2023-42	Reincorporating kai into the kāinga.	Isobel Happy, Shannon Davis, Jacky Bowring, Te Kahautu Maxwell	04-Aug-23	17-Aug-23	Deferred	Approved		NZ		
HEC2023-43	Enhancing the Online Learning Experience: Addressing Challenges in Blended and Online Learning Model at Whitecliffe College	Vivian (Ziwei) Wang	07-Aug-23	21-Aug-23	Deferred	Approved		NZ		
HEC2023-44	Are Canterbury farmers fire ready?	Georgina Woods	14-Aug-23	30-Aug-23	Deferred	Approved	15-Feb-24	NZ		
HEC2023-45	Economic impacts of rice production and marketing in rural China	Huanyu (Eric) Zhu	16-Aug-23	30-Aug-23	Deferred	Approved	20-Jan-24	China		
HEC2023-46	MKTG681	Paula Arbouw	07-Aug-23	21-Aug-23	Deferred	Approved		Lincoln Uni course		

Reference no.	Protocol title	Name of principal investigator	Date received	Date of first review	Outcome of first review	Status at time of report	Date of final outcome	Locality	Funder	Consultation undertaken
HEC2023-47	Leveraging AI Thinking Space for Enhancing Creativity and Cognitive Power: An Exploratory Study Among Entrepreneurs.	Faith Jeremiah	22-Aug-23	05-Sep-23	Deferred	Approved		NZ		
HEC2023-48	Evaluation of primary sector adaptation case studies	Meike Gunther	24-Aug-23	07-Sep-23	Deferred	Approved		NZ	Yes - MPI SLMACC Fund	
HEC2023-49	Local Food Security and Local Food Initiatives (Stage 1)	Heidi McLeod	31-Aug-23	14-Sep-23	Deferred	Approved		NZ	Yes - A stipend scholarship from MPI has been awarded for three years based on my place in the Joint Postgraduate School: Food Transitions 2050.	
HEC2023-50	Motivations behind planting trees on farm: a comparison between the Netherlands and New Zealand.	Jorie Knook	01-Sep-23	15-Sep-23	Deferred	Approved		Netherlands		
HEC2023-51	Akaroa French Fest visitor survey	Joanna Fountain	08-Sep-23	22-Sep-23	Deferred	Approved		NZ	A small research contract has been signed with the FrenchFest organising committee.	
HEC2023-52	Understanding Barriers and Enablers of Climate Change Adaptation Research uptake for policy and decision making in Aotearoa, New Zealand.	Angela Halliday	13-Sep-23	27-Sep-23	Deferred	Approved		NZ		
HEC2023-53	"How do parents influence their children's diet?"	Xiaoli (Lilly) Zhao	20-Sep-23	04-Oct-23	Deferred	Not Approved		NZ		
HEC2023-54	Impact of Climate-smart Agriculture Adoption on Food and Nutrition Security	Bowen Shen	27-Sep-23	11-Oct-23	Deferred	Approved with conditions	20-Jan-24	China	Yes, this project is funded by the Kunming Academy of Agricultural Sciences, Yunnan Province, China.	

Reference no.	Protocol title	Name of principal investigator	Date received	Date of first review	Outcome of first review	Status at time of report	Date of final outcome	Locality	Funder	Consultation undertaken
HEC2023-55	Promoting sustainable agrifood production in changing climate	Wenguang Zhang	02-Oct-23	16-Oct-23	Deferred	Approved with conditions	21-Jan-24	China	Yes, this project is funded by the Kunming Academy of Agricultural Sciences, Yunnan Province, China.	
HEC2023-56	Economic impacts of wheat production and marketing in rural China	Ziqi Wang	02-Oct-23	16-Oct-23	Deferred	Approved with conditions	16-Feb-24	China		
HEC2023-57	Enablers, barriers and strategies for converting to organic vineyard management in Otago.	Wendy McWilliam	03-Oct-23	17-Oct-23	Deferred	Approved		NZ	Central Otago Growers Association is providing funding T2=22811	
HEC2023-58	Public preferences for braided river management.	John Saunders	12-Oct-23	26-Oct-23	Deferred	Approved		NZ		
HEC2023-59	Careers: Skilled migrant women in Aotearoa New Zealand.	Mohini Vidwans & Hafsa Ahmed	25-Oct-23	08-Nov-23	Deferred	Approved		NZ		
HEC2023-60	Leading for the Future: Vision(s) of Business and management education.	Hafsa Ahmed	31-Oct-23	15-Nov-23	Deferred	Approved		NZ		
HEC2023-61	Technical and Environmental Efficiency of Potato Production under Climate Change	Han Sun	02-Nov-23	16-Nov-23	Deferred	Approved with condition		China	Yes, Yunnan Agricultural University will provide the funds for this project.	
HEC2023-62	RECN 604 Sport, Physical Activity and Fitness	Mike Hamlin	03-Nov-23	17-Nov-23	Approved	Approved		Lincoln Uni Course		
HEC2023-63	Plant interactions in diverse pastures and farmers' perception of these pastures.	Simone Klumpen	04-Nov-23	20-Nov-23	Deferred	Approved	01-Mar-24	NZ		
HEC2023-64	Can welfare and environmental footprint traits be successfully incorporated in New Zealand's cattle selection indices?	Titus Zindove & Jacob Kambuta	06-Nov-23	20-Nov-23	Deferred	Approved		NZ		
HEC2023-65	Are triggers for adaptation to sea level rise on coastal lowland agricultural land aligned between local and regional councils, and farmers?	Katherine Manning	08-Nov-23	22-Nov-23	Deferred	Approved		NZ	This project is part of the NIWA Future Coasts project. Funding has already been allocated.	
HEC2023-66	Understanding social acceptance of solar photovoltaics and wind turbine energy in New Zealand	Tiffany McIntyre & Meike Rombach	15-Nov-23	29-Nov-23	Deferred	Approved		NZ		

Reference no.	Protocol title	Name of principal investigator	Date received	Date of first review	Outcome of first review	Status at time of report	Date of final outcome	Locality	Funder	Consultation undertaken
HEC2023-67	Person-Environment fit evaluation in relation to performance through a cultural context: A comparative analysis of Jordanian and New Zealand secondary public-school teachers	Majdi Mubarak	23-Nov-23	07-Dec-23	Deferred	Approved		NZ & Jordan		
HEC2023-68	Assessing the New Zealand Organic Winegrowing Model, Masters Thesis	James Bowskill	24-Nov-23	08-Dec-23	Deferred	Approved		NZ	Yes. OWNZ are sponsoring this project. OWNZ understand that they will have no influence on the data collection, analyses, and results of the project.	
HEC2023-69	PhD Research in: Cultivating Urban Vitality in Historic City Centre	Nikoo Tavakolinia	25-Nov-23	11-Dec-23	Deferred	Approved		NZ		
HEC2023-70	Enhancing resilience for red meat producers by understanding the opportunities, barriers and enablers in selling direct to the New Zealand consumer.	Angela Sullivan	25-Nov-23	11-Dec-23	Deferred	Approved		NZ		
HEC2023-71	Managing visitors to privately owned sites in Waitaki Whitestone Geopark	Joanna Fountain	26-Nov-23	11-Dec-23	Deferred	Approved		NZ	A small research contract has been signed with the Waitaki Whitestone Geopark Trust and Destination Waitaki – this fact will be presented in the RIS document, and the independence of the researchers assured.	
HEC2023-72	An examination of the relationship between the concept of entrepreneurial intention, social capital and self-efficacy among nascent entrepreneurs in New Zealand following to the COVID-19 pandemic.	Suneth Sudasinghe	27-Dec-23	11-Dec-23	Deferred	Not Approved		NZ		
HEC2023-73	Food399	Luca Serventi	13-Nov-23 (incomplete)	16-Jan-24	Deferred	Approved		Lincoln Uni Course		
HEC2023-74	Food 660	Luca Serventi	13-Nov-23 (incomplete)	16-Jan-24	Deferred	Approved		Lincoln Uni Course		

Pilot study reference	Protocol title	Name of principal investigator	Date received	Date Planned for Pilot/Focus Group Study	Date Approved	Full application that followed				
PS2023-01	Career Crafting and Career Success	Saurabh Gupta	04-Apr-23	10-Apr-23	06-Apr-23	No full HEC application received				
PS2023-02	Perceptions and experiences of plant pathogen biosecurity in New Zealand	Peter Tait	27-Apr-23	May-23	27-Apr-23	HEC2023-33				
PS2023-03	Leveraging AI Thinking Space for Enhancing Creativity and Cognitive Power: Exploratory Study Among Entrepreneurs	Faith Jeremiah & Hafsa Ahmed	30-Aug-23	10-Sept-23	10-Sept-23	HEC2023-47				
PS2023-04	Technical and Environmental Efficiency of Potato Production under Climate Change	Han Sun	10-Oct-23	23-Oct-23	20-Oct-23	HEC2023-61				
PS2023-05:	Careers: Skilled migrant women in Aotearoa New Zealand	Mohini Vidwans	18-Oct-23	20-Oct-23	19-Oct-23	HEC2023-59				

**SECTION 10:
DECLARATION**

Declaration by EC Chairperson

Name of EC: Lincoln University Human Ethics Committee

I declare for the above-named EC:

- that the information supplied on this form and any attachment(s) is true and correct; and
- that, for the period to which this form relates, the EC has operated in accordance with relevant Guidelines and Legislation.

Name: Grant Tavinor



Signature:

Date: 9/03/24

Declaration by Head of Organisation with Primary Responsibility for the EC

Name of EC: Lincoln University Human Ethics Committee

Name of Organisation: Lincoln University

On behalf of the above-named organisation, and in relation to the above-named EC, I declare that:

- I am duly authorised to sign this declaration;
- the information supplied on this form and any attachment(s) is true and correct;
- the EC is adequately resourced and maintained;
- for the period to which this form relates, the organisation ensured that the EC's Terms of Reference included information on the:
 - scope of its responsibilities,
 - relationship to non-affiliated researchers,
 - accountability,
 - mechanisms of reporting, and
 - remuneration (if any) for members;
- the organisation accepts legal responsibility for decisions and advice received from the EC; and
- EC members are indemnified.

Name:

	Title	First Name	Last Name
--	-------	------------	-----------

Position : _____

E-mail : _____

Signature:

Date:

Thanks for completing the annual report.