



# Ngā Tikanga Paihere

**Ngā Tikanga Paihere:  
a framework guiding ethical and  
culturally appropriate data use.**

**Guidelines**  
*2020*

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# Introducing Ngā Tikanga Paihere

## *Mā ngā tikanga e arahina - Be guided by good principles<sup>1</sup>*

Ngā Tikanga Paihere is a framework and tool that:

- *guides safe, responsible, and culturally appropriate use of data*
- *ensures data use is carefully considered*
- *ensures data practices occur in good faith.*

The framework draws on 10 tikanga (Te Ao Māori/Māori world concepts) and aligns with the current model of the 5 Safes Framework which is used to manage safe access to integrated data at Stats NZ.

Ngā Tikanga Paihere was originally designed to build and maintain public trust and confidence in the way Stats NZ manages access to microdata<sup>2</sup> in the Integrated Data Infrastructure (IDI)<sup>2</sup>.

## Development of Ngā Tikanga Paihere

Ngā Tikanga Paihere was developed in 2018 by Stats NZ and Māui Hudson, Associate Professor at Te Pua Wānanga ki te Ao, Faculty of Māori and Indigenous Studies, University of Waikato.

The framework was designed to guide the appropriate use of microdata in the IDI, with a focus on how data about Māori and other under-represented sub-groups is used for research purposes.

Ngā Tikanga Paihere also guides data users and researchers on how they could bring better insights to the data, by building relationships with communities from whom the data originates.

In publishing the framework Stats NZ encourages others to apply Ngā Tikanga Paihere in other data use contexts.

## What are tikanga?

Tikanga are appropriate customary practices or 'layers of the culture' developed by Māori communities and individuals and informed by common cultural values and concepts<sup>3</sup>. Tikanga are more than just 'rules'. They are best described as a form of social control and can guide the way relationships are formed, provide ways for groups to interact, and even guide the way people identify themselves<sup>4</sup>. Tikanga informs frameworks that address ethical issues and guide good behaviour and practice when engaging with Māori and the things that matter to them.

<sup>1</sup> Translation provided by E.T. Paranihi (Ngāti Tūwharetoa, Ngāti Raukawa, Ngāti Porou), 2020.

<sup>2</sup> Microdata in the IDI is mainly administrative data provided by government agencies, including census and population data. There are two major outputs: IDI, mainly for individuals or persons, and LBD or longitudinal business data. Refer <https://www.stats.govt.nz/integrated-data/integrated-data-infrastructure/>

<sup>3</sup> Duncan, S. & Rewi, P. (2018). Tikanga: how not to get told off. In Reilly, M., Duncan S., Leoni, G., Paterson, L., Carter, L., Ratima, M. and Rewi, P (Eds), Te Kōparapara: An introduction to the Māori World. Auckland Uni Press. p.31.

<sup>4</sup> Mead, H.M. (2016). Tikanga Māori: Living by Māori values (Revised edition). Huia Publishers and Te Wānanga o Awanuiārangi.

# Practical applications of tikanga

In Aotearoa New Zealand, tikanga are already present in many domains and have become widely known and accepted for some time. They exist in many corners of our society, heard on television and radio, and seen in almost all daily interactions from social media and classrooms, to the sports fields. References to tikanga and their definitions appear in some of our legislation, education policies, government services, court processes, and political systems. Tikanga principles reflected in areas beyond the marae context is not new, neither is it unheard of in Aotearoa New Zealand.

## Te Tiriti o Waitangi principles in action

Many research projects today reflect tikanga principles particularly when research focuses on whānau (family), hapū (clan, localised tribe), iwi (wider tribal entity), communities, and individuals, and their ways of life. For a long time, Māori were rarely involved in research about themselves and their culture. It was left to non-Māori who lived in these communities, completed their research and were then sent on their way. But Mead says these days are over<sup>5</sup>. Researchers must now go through institutional processes where committees assess proposals for research ethics and Māori consultation requirements<sup>6</sup>.

The need to work safely and respectfully with Māori communities for future impact has increased, particularly in the social, educational, health, and justice sectors. In the health sector, the primary health care system needs an urgent reform of its legislative and policy framework to address Māori health inequities<sup>7</sup>. Research into Māori health requires a strong level of Māori participation to ensure that research contributes towards improved health and wellbeing outcomes<sup>8</sup>.

The tikanga principles work particularly well to safeguard and protect the relationships researchers form with participants and their communities<sup>9</sup>. This approach to research is not only guided by tikanga, but by kaupapa Māori (Māori values and social practices) and Te Tiriti o Waitangi/Treaty of Waitangi principles.

In the justice sector, leading experts say a Te Tiriti-based approach, including making tikanga and Te Ao Māori values a core part of the operation of the justice system, would help address a range of failures disproportionately affecting Māori<sup>10</sup>. These are not new ideas – many forms of research reflect tikanga and Te Tiriti/Treaty based principles, and more forms are likely to emerge in the future.

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<sup>5</sup> Mead, 2016, p.349.

<sup>6</sup> For example, the University of Otago has a policy called Research Consultation with Māori which provides the framework for an appropriate and mandated consultation process with Māori for research. It ensures an effective and efficient mechanism for managing the consultation process while acknowledging the needs and aspirations of Ngāi Tahu for Māori development and benefit in Ngāi Tahu Vision 2025. <https://www.otago.ac.nz/research/maoriconsultation/index.html>

<sup>7</sup> Waitangi Tribunal. (2019). Hauora: Pre-publication Report on Stage One of the Health Services and Outcomes Kaupapa Inquiry (Wai 2575). Waitangi Tribunal. p.161.

<sup>8</sup> Simmonds, Shirley. (2015). A Framework for Māori Review of Research in District Health Boards: A joint research project between Auckland, Waitematā, and Capital and Coast District Health Boards. <https://www.ccdhb.org.nz/working-with-us/carrying-out-research-at-ccdhb/research-advisory-group-maori/framework-for-maori-review-of-research-final-9nov15.pdf> p.6

<sup>9</sup> Hudson M, Milne M, Reynolds P, et al (2010). Te Ara Tika: Guidelines for Māori Research Ethics: A framework for researchers and ethics committee members. Akl: Health Research Council on behalf of the Pūtaiora Writing Group. pp.1-2.

<sup>10</sup> Te Uepū Hapai I te Ora/Safe and Effective Justice Advisory Group. (2019). Turuki! Turuki! Move Together! Paneke! Paneke! First principles, first steps: Transforming our criminal justice system. (Second report of Te Uepū Hapai I te Ora Safe and Effective Justice Advisory Group). p.25

# Human rights considerations

The Human Rights Commission is responsible for maintaining the Human Rights Act 1993 which ensures the human rights of all people of Aotearoa New Zealand are protected. Human rights considerations are included in Ngā Tikanga Paihere and are viewed alongside the tikanga principles. The 5 Safes and Ngā Tikanga Paihere frameworks ensure personal information is kept safe and outputs remain confidential which is consistent with individual privacy and protection of personal information<sup>11</sup>. Under Section 5(2)(d) of the Act, the Commission recognises and actively promotes a better understanding of the human rights dimensions of Te Tiriti o Waitangi/Treaty of Waitangi and its relationship with domestic and international human rights law.

The Act protects an individual's right to freedom from discrimination and they can complain if they feel these rights have been breached. In the context of collecting big data and applying algorithms to that data to generate risk outcomes that then informs social policy, there is a risk that individuals may be discriminated against<sup>12</sup>. Further, the Commission maintain that there are implications on individual privacy and human rights due to the inherent nature of the algorithmic approach – such as predictive risk modelling, data mining, etc<sup>13</sup>. The government is proposing operational and procedural safeguards in social sector agencies to safeguard the risk of human rights breaches occurring. Two of these protection measures are the Privacy, Human Rights and Ethics Framework (from then Ministry of Social Development) and the Data Protection and Use Policy (from the Social Investment Agency)<sup>14</sup>.

From a data stewardship perspective, researchers must consider the effect of their research on the people whose data and personal information they are using. Specifically, they must consider whether their research carries the potential to discriminate people on the grounds of race, ethnicity, age, gender, persuasion, ability, and religion and develop appropriate mitigations to ensure that no discrimination will occur. There are appropriate complaint mechanisms when people feel discriminated against which are facilitated by the Human Rights Review Tribunal.

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<sup>11</sup> Human Rights Commission. (2018). Privacy, Data and Technology: Human Rights Challenges in the Digital Age. A paper issued by the New Zealand Human Rights Commission.

<sup>12</sup> Human Rights Commission, 2018, p.36-37.

<sup>13</sup> Human Rights Commission, 2018, p.43.

<sup>14</sup> The Privacy, Human Rights and Ethics Framework (PHRaE) is a set of capability and tools with which users of information interact to ensure people's Privacy, Human Rights and Ethics are considered from the design stage of a new initiative. The Data Protection and Use Policy (DPUP) is a policy that supports the respectful, trusted and transparent use of people's data and information.

# Data and tikanga considerations

*“Tikanga Māori accompanies Māori wherever they go and whatever they do. Tikanga Māori is adaptable, flexible, transferable, and capable of being applied to entirely new situations<sup>15</sup>.”*

The tikanga considerations that appear in Ngā Tikanga Paihere were first seen in earlier Māori data advocacy work<sup>16</sup>, and later developed with Maui Hudson from the University of Waikato.

The tikanga considerations of this framework align with the Data Stewardship Framework<sup>17</sup> which aims to establish goals, boundaries, and principles to guide and inform good data practice. Data stewardship is the careful and responsible creation, collection, management, and use of data. The government stewards and uses data on behalf of its people; it has a duty to ensure data is managed as a valuable asset and is used ethically. Public trust and confidence in managing and providing access to Aotearoa New Zealand’s data underpins data stewardship. Ngā Tikanga Paihere takes a deliberately mindful approach to the way we use and care for Aotearoa New Zealand’s data.

## Tikanga considerations in microdata access

The vision of Ngā Tikanga Paihere is to ensure data use is consistent with the tikanga that appear in the framework. In Stats NZ, the Integrated Data Unit uses the 5 Safes and Ngā Tikanga Paihere frameworks to examine microdata access applications. The Unit uses a set of considerations that may surface gaps in the applications that are then the target of recommendations we provide. Data access for research of a sensitive nature is not necessarily restricted – we aim for balance between good research objectives, appropriate conduct, and respecting and maintaining the integrity of all those involved.

## Responsiveness to Māori

Any research project that is planning to look at Māori and their cultural elements needs to consider Māori methodologies in its philosophical foundation. Linda Tuhiwai Smith’s earlier work in decolonising methodologies is one of the well-known peer-esteemed publications<sup>18</sup>. Smith provides a list of critical points for consideration for all researchers studying in indigenous subject areas:

- (i) What research do we want to carry out?**
- (ii) Who is that research for?**
- (iii) What difference will it make?**
- (iv) Who will carry out this research?**
- (v) How do we want the research to be done?**
- (vi) How will we know it is a worthwhile piece of research?**
- (vii) Who will own the research?**
- (viii) Who will benefit?**

These critical points are high-level criteria of researcher’s responsiveness projects would naturally concentrate their focus on smaller groups of Māori, which requires further considerations, rather than taking a blanket approach for all Māori. to Māori as a large group. Some research projects would naturally concentrate their focus on smaller groups of Māori, which requires further considerations, rather than taking a blanket approach for all Māori.

<sup>15</sup> Mead, 2016, p.355.

<sup>16</sup> Presentation on Māori Data Sovereignty to government officials by Tahu Kukutai, Maui Hudson and Donna Cormack on 26/7/2017 at Te Puni Kōkiri, Wellington. The tikanga model was first developed by Maui Hudson and Dr Polly Atatoa Carr of the University of Waikato.

<sup>17</sup> Stats NZ. (2018). A draft data stewardship framework for NZ. Stats NZ.

<sup>18</sup> Smith, L. T. (2015). Kaupapa Māori Research - Some Kaupapa Māori Principles, <https://researchcommons.waikato.ac.nz/bitstream/handle/10289/12026/Kaupapa%20Māori%20Research.pdf?sequence=21>

# Whānau, hapū, iwi, and Māori groups

**Ngā Tikanga Paihere** applies in full to microdata research applications with a direct focus on whānau, hapū, iwi, and Māori groups, their associated customs such as te reo Māori (Māori language), activities relating to their whenua (tribal lands), or other interests such as Treaty claims and settlements. Specifically, Ngā Tikanga Paihere applies to research applications that touch on some of the Māori development topics referred to in He Arotahi Tatauranga, the Māori Statistical Framework<sup>19</sup> in table 1. **Ngā Tikanga Paihere** can still be used when research topics are not explicitly focused on Māori people but still might be of interest to Māori.

**Table 1 Māori development topics of significant interest to Māori**

1. Māori language	10. Modern knowledge, skills, and attachments
2. Māori knowledge	11 Health
3. Marae	12. Housing
4. Wāhi taonga	13. Income and expenditure
5. Wāhi tapu	14. Work
6. Māori land	15 Social issues
7. Population	16. Māori business development
8. Families and households	17. Participation in political decision-making
9. Social connections and attachments	18. Rights

## Groups other than Māori are included too

Microdata research applications that focus on our most marginalised sections of society, including under-represented ethnicities and subgroups at risk of negative harm through data use, are also assessed using Ngā Tikanga Paihere. Research applications that do not identify ethnicities or where topics are very general in nature will still be reviewed alongside other aspects of the application as part of the usual microdata access review process. But overall, support for applications will be given where the data use can provide rich insights about our communities to inform decision-making, improve services, drive innovation, and contribute towards filling significant data gaps. Recommendations for approval are made to the Government Statistician Te Manatatau Kāwanatanga when applicants provide relevant information as outlined in **Ngā Tikanga Paihere**.

<sup>19</sup> Stats NZ. (2014). Guide to using He Arotahi Tatauranga. Stats NZ. p.14.

# Tikanga Explanations

(sourced from Barlow, Mead, Moorfield, Royal and Te Taura Whiri i Te Reo Māori)

## Pūkenga | Skills and expertise

*Kua whai mātauranga (te tangata) me ērā atu āhuatanga e taea ana te ako, e tutuki pai ai i a ia tētahi mahi.*

A positive trait of a person who is skilled, very knowledgeable, and can be considered a learned person.

## Whakapapa | Genealogy

*Ngā kāwai o te tangata, o te whānau, o te hapū, o te iwi, ka tīmata ake i tētahi atua, i tētahi tupuna rānei, ka heke iho.*

Whakapapa is the genealogical descent of all living things from the gods to the present time. The meaning of whakapapa is 'to lay one thing upon another' as, for example, to lay one generation upon another.

## Pono | True to the principles of culture

*Kua whakatinanatia, kua kitea ōna hua, aa, kua tutuki tētahi kaupapa.*

The concept that something is true and valid to the principles of Māori culture and is usually considered alongside tika, the concept of doing what is right and correct.

## Tika | Right or correct

*E whai take ana, i takea mai i ngā pūtake e mōhiotia ana he pono, e whakaarotia ana rānei he pono, he tōtika. E ū ana ki te pono, e ū ana rānei ki ngā pūtake e mōhiotia ana, e whakaarotia ana rānei he pono.*

The concept of correctness or being right is a base principle that applies to all tikanga. Practice of a particular tikanga needs to be correct and right, and should be considered alongside what is true and valid to Māori culture.

## Wānanga | Places of learning

*Ko ngā mātauranga, ngā mōhiotanga ki ngā karakia, ki ngā kōrero whai tikanga, whai mana o te iwi. Tuarua, he whare, he wāhi rānei e whāngaia ai ngā tauira ki ngā āhuatanga o te kauwae raro. Tuatoru, he tāngata pūkenga, he matau, he mōhio ki te mahi tika. I ēnei waa, he whare tuku mātauranga, mahi rangahau rānei. Kei a ia te mana ki te whakahaere i ā rātou ake mahi.*

Wānanga can mean many things. Firstly it is the action of discussing, deliberating, and considering particular matters or issues. It also means traditional knowledge, but it can also mean an instructor, teacher, and wise guru or even a seminar or conference. In former times, Whare Wānanga were places of higher learning where tohunga (priests) taught lore and traditions to the sons of rangatira (leaders). The modern meaning of wānanga is tertiary institutions that cater for Māori learning needs.

## Kaitiaki | Guardians

*Ko te kaitiaki he tangata he rōpū rānei ka noho ki te manaaki, ki te atawhai, ki te ārai, ki te tiaki i ngā taonga katoa o te ao Māori.*

Based on the word 'tiaki' meaning 'to guard or protect', kaitiaki are people who practise kaitiakitanga, which is the act of exercising custodianship and guardianship in accordance with tikanga Māori over taonga such as the environment, its natural resources and wildlife, and customs or knowledge that ensures the safety and wellbeing of people.

There are many different kinds of kaitiaki – a kaitiaki can be a person, group, or entity that acts as a carer, guardian protector, and conserver. The gods are considered to be the original kaitiaki – such as Tāne Māhuta, god of the forest who was the kaitiaki of the forest – and all other kaitiaki try to undertake the role in a similar way.



## Wairua | Spirit or soul of a person

*Te taha kiko kore o te tangata e mau ana ngā kare ā-roto, te taha e kore e mate ahakoa mate atu te tinana. He āhua kāore e tino mārama ki te titiro atu.*

Wairua is the emotional and spiritual side of a person that remains even when the body no longer exists. This includes the spiritual essence of all beings and creatures of the natural world, including animals, birds, fish and human beings. Every living thing has a wairua which is connected to the power of the gods. Wairua is also described as a soul or spirit which can be energised or subjected to damage by external factors that can greatly affect a person.

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## Mauri | life principle or force

*Ko te mana atua ka whakanohoia mai ki te kōhatu, ki te rākau, ki te aha atu, ko taua mana atua te kaitiaki o te tangata, o te whenua, o te aha atu, he tapu.*

Mauri is a special power or authority of the gods that allows everything in the natural world to exist. Every living being, creature, or landmark (including people, fish, animals, birds, forests, land, seas, and rivers) has a mauri. The mauri is the power that allows these living things to exist within their domain. It is also known as a spark of life, the active component that gives life. It can be described as a 'life force' that activates different parts of a system to work together, for example, the human body or a natural ecosystem such as waterways or forests. When a system begins to shut down, the mauri slowly ceases until it is finally extinguished forever.

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## Tapu | Sacred, prohibited, restricted, to be set apart

*Kei raro i te mana o ngā atua, o te wāhi ngaro, kei raro rānei i ngā here o te whakapono, e rāhuitia ana, kāore e tika ana kia takahia, kia raweketia. Kei tua atu i te kaha o tētahi, kāore e taea. E tika ana kia noho (te kōrero) ki waenga i ngā tāngata anake kua whakaritea kia mōhio.*

The concept of tapu is an important element in all tikanga, and there are many meanings and conditions associated with tapu such as being sacred, prohibited, restricted, set apart, or forbidden. Tapu comes from the gods and embraces all the powers and influences associated with them. Everything (including land, oceans, rivers, forests, and people) has inherent tapu and the level of tapu can change depending on the context. Tapu can even be applied when details are kept private between individuals who should know about such matters.

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## Noa | Ordinary, unrestricted, normality

*Ka noho wātea i ngā here o te taha wairua, ka noho tapu kore. Rere māori, kāore he here o runga, ehara rānei i te mea i āta mahia he mahi kia pērā ai te āhua. Kāore he utu, hei aha te utu.*

The standard definition of noa is when something is free from spiritual restrictions and is not sacred. It can also be described as something that is free-flowing and not restricted in any way nor is it designed to work in such a way. Another explanation for noa is when something is free of charge and comes at no cost. Noa can also be described as having much to do with normality and with reaching a state whereby a new idea is accepted, incorporated into the thinking of people, and is no longer a cause for controversy.

# Ngā Tikanga Paihere - an overview



Mā ngā tikanga e arahina - Be guided by good principles

# Principle 1: Have appropriate expertise, skills, and relationships with communities



## Pūkenga (Knowledge and expertise)

*Expectation: Researchers demonstrate an awareness of and intention to work with data in culturally appropriate ways.*

This tikanga consideration examines the skills and knowledge that will guide researchers to act ethically and responsibly with data. This includes researchers:

- demonstrating an awareness of and intention to work with data in culturally appropriate ways by following the tikanga considerations of this framework
- acknowledging that they can provide a balanced and informed perspective in their analysis to eliminate bias as much as possible.

### *Things to consider*

- Awareness and respect for cultural values of communities who are highlighted in the research.
- Previous experience delivering research about communities.
- Acknowledgement of the current realities of communities and demonstrating an intent to work with them when possible.
- Previous data analysis experience including experience working in the data lab.
- The level of understanding of public interest in the topic.



## Whakapapa (Community relationships)

*Expectation: Researchers establish suitable relationships with communities before undertaking substantive research.*

This tikanga consideration examines the nature of researchers' existing relationships with the communities who will be most highlighted in their research. This might include partnership-relationships that researchers have established with whānau, hapū, iwi, Māori advisory groups, special councils, community members, expert advisors, or interested groups who are assisting the research. Researchers should comment on how these relationships will be leveraged in a meaningful way to add value to the research. Some institutions have existing external relationships with key partners and stakeholders and the researchers may leverage these relationships.

### *Things to consider*

- The quality and health of relationships between researchers and communities of interest.
- How these relationships will be leveraged to ensure insights and community perspectives contribute and add value to the research.
- Stakeholder engagement, including processes that allow communities to engage with researchers throughout the research lifecycle.

## Principle 2: Maintain public confidence and trust to use data



### Pono (Accountability and transparency)

*Expectation: The level of accountability to communities of interest is explained and there is community support for the research.*

This tikanga consideration examines the evidence researchers can provide to demonstrate they have made themselves accountable to communities in the use of data about them, or who may be impacted by its use. This may include letters of support and other forms of evidence showing there is support for the research. Researchers can also comment about the level of understanding and support that the communities of interest have in the research.

#### Things to consider

- Evidence that communities, especially those the data is about or who are impacted by its use, understand the purpose of the research.
- Evidence demonstrating community support for the research, such as letters of support from key community leaders or advocates.
- Responsibility to seek advice from communities as a part of the research process and for the advice to be treated with respect.
- Accountability measures in place.
- An acknowledgement that there may be different levels of support, and even some opposition. Good practice requires that all groups are engaged throughout the research process, including those whose support is tenuous or opposed.



### Tika (Value for all)

*Expectation: Research should be part of a body of work that contributes towards better outcomes for Māori and New Zealanders.*

This tikanga consideration examines what the researchers are attempting to do and how their research will contribute towards the aspirations of the communities of interest and, more broadly, the long-term wellbeing of all New Zealanders.

Researchers should:

- describe the purpose of accessing the data, and how its use is important to the research
- explain clearly the benefits the research will bring to communities, and particularly those who will be impacted on by the data.

For research about iwi and Māori, researchers should demonstrate how responsive the research is towards Te Tiriti o Waitangi/Treaty of Waitangi, which could include enhancing the Māori-Crown relationship or contributions towards Māori development. For research that impacts on other sections of society, researchers should demonstrate how the research will support overall development and wellbeing, especially for those most marginalised communities.

#### Things to consider

- The anticipated positive effects on people.
- Whether the wider public knows data about them is being used in this way.
- Whether the research contributes towards:
  - o the goals of the communities of interest (including iwi and Māori)
  - o long-term wellbeing and development for all New Zealanders
  - o stronger Māori-Crown relationships that might enhance iwi, hapū, and whānau development
  - o government priorities
  - o government inquiries into matters of public interest
  - o any community-led wellbeing initiatives that others could support and learn from
  - o data initiatives that maintain a sustainable data system.

## Principle 3: Use good data standards and practices



### Wānanga (Organisations)

*Expectation: Organisations have established systems, policies, and procedures to support ethical, responsible, and culturally appropriate practices when working with data.*

This tikanga consideration focuses on the organisations involved with undertaking the research and delivering the results, and their supporting role to the researchers and stakeholders. Researchers should explain the type of support and assistance they will receive from their organisation and other partners with a stake in the research. This support and assistance may include:

- data strategies, protocols, policies, or management plans that guide good data stewardship and practices, such as internal ethical review processes
- clearly identified roles, responsibilities, and accountabilities in the research, including governance structures, role definitions, and expectations
- influence and advocacy – effective relationships and networks supporting the research
- monitoring and assurance – assessing environmental trends and developments, measuring stewardship performance, and adapting to respond to changing circumstances or new information.

#### *Things to consider*

- Existing data and information management policies that support ethical and culturally appropriate uses of data.
- Need for and availability of subject matter expertise.
- Resourcing or support for community members to govern parts of the research.
- Governance or advisory groups that are helping guide the research.
- Support from colleagues and external partners who work with researchers.
- Existing programmes of work or policies that support or contribute to positive community objectives (including iwi and Māori and other subgroups).
- Organisation strategic objectives that support the aspirations of iwi and Māori, and others likely to be highlighted in the data.
- Ethics review processes the research proposal has previously gone through.
- Active data management plans that address stewardship and/or ethics.



## Kaitiaki (Data stewardship and governance)

*Expectation: Communities of interest are identified and involved in research decisions as early as possible.*

Kaitiaki in this context is described as the practice of applying careful, responsible and ethical practices when using data. It also means data users, as kaitiaki/stewards of data, are considerate of the potential cultural impact on wider communities when data about them is used.

This tikanga consideration examines:

- how data about communities will be cared for and managed, as humanly as possible, to ensure it is kept safe and used appropriately for intended research purposes
- processes that allow researchers to communicate widely what information is being collected and used, and for what purpose
- ways people could be involved in providing guidance from their own real-life situations.

### *Things to consider*

- Data management plans that have been developed with appropriate people.
- Governance structures or groups that ensure the data use is robust and safe, and ethical or culturally appropriate uses of data are monitored for the duration of the research.
- Whether appropriate people are included in the research design or data use plan as early as possible, if feasible.
- Decision-making processes, and whether communities can participate or influence research decisions in some way or form.
- Processes that monitor and discuss issues related to data ethics, including application of existing ethical frameworks.
- Mitigation strategies to protect people's data if there are any issues or risks.
- Consideration of how Māori priorities, values, and world views might be applied in the research.

## Principle 4: Have clear purpose and action



## Wairua (Community good)

*Expectation: Community objectives align with research objectives and any potential harm is considered.*

This tikanga consideration encourages good practice with the communities that feature prominently in the research. It also acknowledges community objectives, and how these views are relevant to the research, and examines mitigations to minimise potential harm, should any arise.

### *Things to consider*

- How research objectives align with community interests and aspirations.
- Ways that the voices of the communities of interest will be elevated in the research.
- Whether researchers have considered any potential harm, disadvantages, or risks to the communities of interest, particularly those made most vulnerable.
- Mitigations to address potential risks or negative impacts.



## Mauri (Provenance and transformation)

*Expectation: An understanding of how data transforms from its original collection purpose to support research objectives.*

This tikanga consideration examines how data will be used and the extent to which it will transform from its original collection purpose. This is done by examining the research question, the datasets that will be used, why the datasets are important to the research, and whether the research enhances or aligns with the original data collection purpose.

Of interest are data variables to be used to support research objectives, especially variable types such as ethnicity, age ranges (especially elderly, children, and young people), patients and more. Māori, by ethnicity and iwi, and iwi-related affiliation data are also very important.

Mauri also seeks to understand or make clear why data collected for a particular purpose is being used for other purposes. It is important for data users to consider what kinds of data uses are appropriate and under what conditions might it be acceptable.

This consideration also provides an opportunity to understand how data is being used and transformed through the data system, and to monitor and improve data collection.

### *Things to consider*

- How data will be transformed from its original collection purpose.
  - o Consistency of the data with its original collection purposes.
  - o Uniqueness of the data integration – has this been done before by others?
- How ethnicity data enhances the research.
- Whether there are clear reasons for accessing restricted datasets.

# Principle 5: Balance benefits and risks



## Noa (Benefit and opportunity)

*Expectation: Data is readily accessible and there is demonstrated awareness of the impact on communities of interest.*

This tikanga consideration examines the potential benefits and opportunities of integrating and sharing data. Once the risks and potential harms have been identified, the benefits to communities of opening and unlocking new streams of information are examined. These benefits are balanced with the risks and sensitivities that are identified in Mauri and Tapu.

### Things to consider

- Has the researcher demonstrated that potential risks have been balanced with benefits?
- The value of the new information being revealed.
- The extent to which the data could be made available to communities of interest.
- Ways in which research findings may be shared widely by researchers or the organisations they work with, including plans to disseminate results through social media, blogs, vlogs, workshops, or presentations to large audiences.
- Potential development opportunities with communities in the areas of data literacy, capability, and resource sharing.



## Tapu (Sensitivity and risk)

*Expectation: Sensitivities in the use of data are identified, including privacy issues for whānau and identifiable groups.*

Research that examines the current state of people can have an element of sensitivity when integrating social, justice, economic, and health data about them. There is an obligation to keep data safe, protect privacy and confidentiality, and ensure appropriate use.

This tikanga consideration examines how well risks and issues have been identified and whether these have been considered prior to undertaking the research. Researchers should be able to explain the nature and extent of associated risks (such as integrity of the original source data, risks to the data providers) and potential harms to individuals, collectives, businesses, or organisations, even when they are not easily identifiable<sup>20</sup>. These risks should be noted early and mitigations implemented if issues arise in later stages of the research.

### Things to consider

- Does the researcher intend to use restricted data, or data of a sensitive nature?
- The consideration the researcher has given to how the data will be managed.
- Any privacy concerns for individuals, whānau, and sections of communities.
- Limitations in the data or in its use, and what could be done to address these.
- Prior ethics approvals and permission sought for restricted data (eg DHB data).
- Risks, issues, and mitigations identified in a data management plan.

<sup>20</sup> Data will not be integrated if the risk of identification is too high (for example, shared data from the Rugby Player Register is limited due to the likelihood of recognising a well-known rugby player) or when data is particularly sensitive (for example, residential detox data from Auckland City Mission is not shared due to sensitivity and small numbers of individuals represented).



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*Key sources that guided the development of Ngā Tikanga Paihere.*

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