

Research Output Records Policy

Version number	1
Approved by	Academic Board
Date of approval	13 January 2019

Purpose

Sydney Institute of Higher Education (SI) is committed to fostering an intellectual climate in which academic staff are active in scholarship and students have access to current, research-informed teaching. In order to report research metrics accurately and gather evidence of SI's developing overall research profile, SI has implemented a system of recording the research output of its academic staff. This policy describes the process that is to be used by academic staff in reporting their research outcomes, and how SI uses and reports this information at a central level to inform future academic planning and quality assurance decisions.

Scope

This policy applies to all academic staff who conduct research that leads to publishable outcomes, and administrative staff responsible for collating data and reports about SI's research performance. This captures scholarship outputs as well as our research outputs.

Principles

Research conducted that leads to publishable outcomes is a major performance indicator both for individual academic staff, and for SI as a higher education organisation overall. As an indicator, it must be reliably tracked and reported internally.

It is vitally important that data about the research output of SI is reported accurately and promptly.

All research outcomes that are published by academic staff with an affiliation to SI must submit a report of the research output. This includes academic staff even where they have only an honorary or fractional appointment with SI but a substantial position elsewhere.

The *Quality and Compliance Coordinator* will maintain the Research Output Recording System (RORS) for SI. Contained within the data is to be all published intellectual property that has eventuated from research undertaken at SI.

The RORS has been designed to appropriately acknowledge authorship of SI staff and protect copyright interests of intellectual property creators that have produced research outcomes.

The data contained in the RORS will be used to assist in the evaluation of individual staff during the

annual performance review process. It will also be analysed and synthesised into reports that are submitted annually to the *Academic Board* and *Corporate Governance Boards* to allow each to monitor the overall performance of SI as an academic organisation.

Annual reporting on research performance of SI will be used to inform future planning decisions and future academic objectives.

Procedures

Submission

All academic staff appointed to SI with research outcomes expected within their position description must familiarise themselves with the RORS and ask their supervisor if they require assistance.

Staff can complete the reporting process at any time after they receive confirmation of publication of the research output. The notification of acceptance of publication should be included as evidence with the submission of the report. Alternatively, the staff member can wait until after the research output is in print or otherwise made available.

In addition to scholarship outcomes, SI records research outcomes of its academic staff for the following categories of research output:

- Books
- Chapters or essays within books
- Journal articles
- Conference proceedings
- Creative works

Staff who have notification from a publisher (or equivalent) that their research output is accepted for publication must complete the relevant administrative form that is submitted to the Dean. Forms can be requested from the Quality and Compliance Coordinator or accessed via the staff intranet.

When forms are completed, they are to be submitted with relevant evidence attached, including evidence of acceptance of publication, evidence of peer review, co-contributors' acknowledgement of SI staff contribution to the research output, and where relevant a copy of the research output itself.

Staff who publish research are encouraged to discuss their output with the Dean to identify which category of research they have produced and thus which template administrative form they should complete if they are unsure. Certain types of research may not fit the above categories and may necessitate the development of a new template. Instances of this must be included with the annual report to the *Academic Board*.

Recording Research Output

Records of research output submitted internally must include a range of common information across the different types of research output. These include:

- Biographical details, including

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- SI staff member name
 - Contact number
 - Email address
 - Position within SI
 - Title of book, journal, or book in which book chapter appears
 - Title of article, book chapter, conference paper, or creative work
 - Names of all other contributors to the work, if relevant
 - Broad field, using ASCED indicators
 - Whether the work has been peer reviewed
 - Publication year
 - ISBN where relevant (and if known)
 - Digital Object Identifier where relevant (and if known)
 - Field of Research (FoR) code
 - Socio-Economic Objective (SEO) code.

Where a work has multiple relevant FoR codes or multiple SEO codes, the submission should indicate a percentage of relevance to the work for each FoR or SEO code.

All forms of research recorded internally must additionally be classified into one of three categories on the associated administrative form:

- New or emerging knowledge
- New applications of existing knowledge
- Scholarship of teaching and learning to be applied at SI

It is understood that some of these classifications may overlap depending on the specific research outcome captured.

The review, storage, and recording of all data concerning research output must be in accordance with the *Data and Records Integrity Policy*.

Review and reporting

The *Quality and Compliance Coordinator* accepts submissions from SI academic staff and maintains the RORS. The *Quality and Compliance Coordinator* upon receipt of a submission of research output using one of the approved administrative forms will notify the academic staff member of receipt.

The *Quality and Compliance Coordinator* will review and verify the evidence submitted, making a recommendation to the Dean within 5 working days that the output submitted is to be recorded on the RORS. The *Quality and Compliance Coordinator* will seek the assistance of the *Dean* and/or *Program Monitoring Committee* for assistance in verifying evidence or accurately classifying and recording the submission if necessary.

Dean will have access to the RORS at all times. At the end of the academic year, the *Dean* will submit a report to the *Program Monitoring Committee* concerning research output and research performance of SI at the end of the year.

The report will include an overall summary of research performance. The report will also review specific metrics such as:

- Changes to rates of research output in types of research published (for example, greater percentages of journal articles to conference proceedings compared to the previous reporting period.)
- Changes to rates of research collaboration with other SI internal staff or external academic partners
- Increase or decrease in research output across varying FoR and SEO codes.
- Increase or decrease in research that is based on new or developing fields of knowledge and/or the scholarship of teaching and learning.

The report will be submitted to the *Program Monitoring Committee* and the *Academic Board*. The *Academic Board* will use the findings of the review to assess SI overall academic performance against relevant indicators contained in the *Strategic Plan* and/or *Learning and Teaching Plan*, advising the *Corporate Governance Board* accordingly if the *Academic Board* identifies areas of underperformance.

The *Learning and Teaching Committee* will access each annual report of research output and review the metrics and conclusions contained within each. The findings will be included along with other evidence in the process of developing a new *Learning and Teaching Plan* in which SI's institutional academic objectives for the forthcoming five years will be proposed for the approval of the *Academic Board*.

Individual academic staff are encouraged to access the RORS through the Dean to gather evidence in preparation for an annual performance review meeting. Supervisors of academic staff will be able to access the RORS for the same purpose.

Policy Implementation and Monitoring

The *Academic Board* delegates responsibility for the day-to-day implementation of this policy to the Dean and Quality and Compliance Coordinator and other supervisory staff where appropriate.

The *Academic Board* will review all periodic reports from relevant staff members, in accordance with the *Compliance Calendar*.

Additionally, the *Academic Board* will review all relevant student complaints, concerns raised by staff members, and instances of student or staff misconduct in accordance with the *Compliance Calendar*.

Based on these monitoring activities, the *Academic Board*, in accordance with the *Compliance Calendar* must provide a report to the *Corporate Governance Board* and ensure that findings are taken into account in planning, quality assurance and policy improvement processes.

Definitions

Academic staff: staff employed at SI in a learning and teaching or research capacity.

Australian Qualifications Framework (AQF): The Commonwealth system for classifying accredited qualifications in the Australian education system.

ASCED: Australian Standard Classification of Education is the system of educational classification by discipline for the collection of data about the education sector used by the Australian Bureau of

Statistics.

FoR code: The Field of Research code allows research to be categorised according to a national framework maintained by the Australian Research Council.

Dean: the most senior member of academic staff at SI who is the principle point of contact between the *Corporate Governance Board*, the *Academic Board*, and academic staff.

ISBN: International Standard Book Number

Research: The evidence-based investigation of new knowledge, or new applications of existing knowledge.

Scholarship: Scholarship includes research activities and builds new specialist understanding in a specific field. Scholarship also includes the evidence-based assessment of learning, teaching, and continually improving pedagogy.

SEO code: The Socio-Economic Objective code allows the Commonwealth Government to classify research according to its intended purpose or outcome.

Review Schedule

This policy will be reviewed by the *Academic Board* every three years.

Version History				
Version number:	Approved by:	Approval date:	Revision notes:	Next review date:
1	Academic Board	13/01/2019		13/01/2022

End of document: "Research Output Records Policy"

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Related Documents

		Academic Staff Supervision and Performance Review Policy
		Data and Records Integrity Policy
		Workforce Policy
		Intellectual Property Policy
		Learning and Teaching Policy
		Learning and Teaching Plan
		Strategic Plan
		Learning and Teaching Committee - Terms of Reference
		Program Monitoring Committee - Terms of Reference