13b Documenting Research Outputs

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Policy Owner:	Research Office and Postgraduate Centre
Policy Manager:	Dean, Research
Approval body:	Academic Board

1.0   Policy

Unitec is responsible for ensuring accuracy in reporting research activity. The intention of this policy is to make sure all research and academic outputs of Unitec staff and Unitec students (when they have Unitec as the address) are centrally and accurately catalogued.

2.0   Implementation

This policy will be implemented in a way that honours the Unitec values:

- Integrity, honesty and accountability
- Creativity, innovation and courage
- Relevance and responsiveness
- Care, tolerance and respect
- Fairness and justice

To achieve this policy:

- Research and academic outputs are categorised according to the categories set out in the guidelines supporting this policy (Guidelines for Documenting Research Outputs).
- The list of categories is inclusive, reflecting the diversity of possible outputs.
- There will be a centralised database of Unitec staff and student research outputs maintained by the Research Office
- The library will hold hard and electronic copies of all published outputs from Unitec staff and students, as permitted by copyright.
- The annual publication of research and academic outputs is taken solely from this central bibliographic source.
- In cases of ambiguous classification, dispute or where some discretion is required, the Dean, Research will make final decisions as to inclusion or categorisation.
- The style of the American Psychological Association is to be used in all bibliographies produced by Unitec.

2.1   Definitions

Research

For the purposes of this policy research is a process creating new knowledge or product (tangible or otherwise), through original investigation and/or re-synthesis of ideas. The process and/or the product must be original. It is as much concerned with the extension or use of that gained knowledge as the process of gaining it; technology development and transfer through to protection of the intellectual property (e.g. patents, copyright) are thus

included. Consultancy (research-based), innovation and design are included, yet direct teaching, training and education are not. The NZQA and OECD definitions can also be used to determine inclusion of any particular item.

Quality Assurance

A quality-assured research output is defined as any research output that, prior to its publication (public dissemination, presentation, performance or exhibition), has successfully completed a formal quality-assurance process. Successful completion of a formal quality-assurance process means the output must have been subject to formal, independent scrutiny by those with the necessary expertise and/or skills to assess its quality (including, where relevant, its rigour, logic, clarity, originality, intellectual significance, impact, applications, artistic merit, etc).

Formal quality assurance processes vary between different disciplinary areas. They include but are not limited to:

- Blind peer-review or refereeing processes undertaken by journals and book publishers.

- Other review processes employed by editors, editorial committees or publishers.

- The refereeing of conference papers.

- Review processes undertaken by major galleries, museums and broadcasters.

- Review processes employed by users of commissioned or funded research.

Review of the research in the public area after its publication or public dissemination does not meet the definition of a quality-assured research output. Quality assurance is normally done by academics external to Unitec. Application of the term 'quality assured' applies only when the full manuscript or output is reviewed. The process of quality assurance assumes that the author takes heed of referee's comments exclusive of sound and accepted reasoning to the contrary. Subsequent to alteration and acceptance by the publisher, the output maybe considered 'in press' for eventual publication, although items are only registered once published.

Editing differs to quality assurance in this context by considering instead grammar, style, format or spelling. Little if any attention is paid to the academic content of the article.

Proof of quality assurance

Any one of several types of evidence is acceptable as proof of quality assurance:
- Periodicals, where refereeing is the standard practice, and where this is stated in each volume of the journal e.g. in 'instructions to authors'. Lists of such journals can be found via the web (http://www.isinet.com/journals/journals.html), and via the library (Ulrich's International Periodicals Directory).
- Correspondence from editorial board or editor which indicates that refereeing involves external assessment or assessment by members of an expert advisory board, panel or committee with broad national or international representation. Correspondence must demonstrate connection with the publication.
- Correspondence demonstrating referees responses to the submitted article, and/or a copy of the referee's assessment.
- A copy of the publication with evidence of refereeing.

The existence of an editorial board does not necessarily mean that its members review articles.

Publication Dates
The year in which an output has formally been published, performed or available for distribution, as stated in the document. Dates of submission or acceptance for publication are not considered.

Editor
Editors have a significant role in refereeing other contributions to the publication, compile and may format the entire document. The editor may or may not author sections or chapters in the edited publication. The editing role, in the context of research and academic outputs, is scholastic editing for content, rather than administrative, grammatical or format editing for production of the document.

Published/Publication
Published means for public sale and distribution. Such an output will normally have an ISBN/ISSN number, journal title, report number, copyright or patent number as appropriate.

Education
Education implies a staff-student relationship and includes teaching and training. No matter what the forum for this interaction is (orally in a 'classroom' setting, via CD-ROM or website, class/course notes), such events are generally not research outputs. Included though are texts (printed or on CD-ROM/websites) that are officially published and widely distributed (nationally or internationally) that could be used as educational texts.

2.2   Research and Academic Output Categories

The Research Office and Postgraduate Centre will determine the categories for research and academic outputs and these are described in the Guidelines for Documenting Research Outputs. The Dean, Research, may approve variations to these categories in individual cases and in general.

2.3   Mechanisms for Documenting Outputs

The Research Office and Postgraduate Centre will determine the mechanism for documenting outputs and this is described in the Guidelines for Documenting Research Outputs. The Dean, Research, may approve variations to this process in individual cases and in general.

3.0   Other Documentation

Additional documents supporting this policy are identified below.

1. Guidelines for Documenting Research Outputs
2. Academic Outputs Cover Sheet