

1. PURPOSE

The objective of the Research Incentive Scheme (RIS) is to support the development of a strong research culture within the UNE Business School which not only achieves successful outcomes in terms of both quality research publications and nationally competitive grants under the ERA exercise, but also improves the research performance of staff at the individual level. The RIS employs incentives to achieve these ends and thereby enhances UNE's national and international research profile:

- (1) **Publications** in high quality academic outlets
- (2) **Research income** arising from category 1 grants

Funding awarded to staff under RIS must be spent on activities to further their research.

2. BACKGROUND

2.1 *The new research incentive scheme*

- a. A Research Incentive Scheme (RIS) replaced an earlier Conference Funding Scheme since the latter did not adequately incentivise quality outputs in terms of publications and grants.
- b. The RIS was revised in October 2013 in the light of the urgent need to improve UNE Business School performance in most of its disciplinary areas in the previous ERA exercise and it has been revised again in October 2014 to stimulate research activity by staff members who have yet to improve their research performance.
- c. The revised RIS also brings into line HDR PhD students and academics regarding conference funding.

2.2 *Guiding principles of the RIS*

- a. There should be strong incentives to encourage a vibrant research culture within the UNE Business School.

- b. Early career, new academic staff and more established academics have differing workload and research performance expectations, and thus should be assessed and rewarded differently.
- c. Early career and new academics should be encouraged to develop/establish their research skills.
- d. All researchers should be rewarded for high achievement in terms of ERA publication rankings and nationally competitive grants.

3. GENERAL ELIGIBILITY

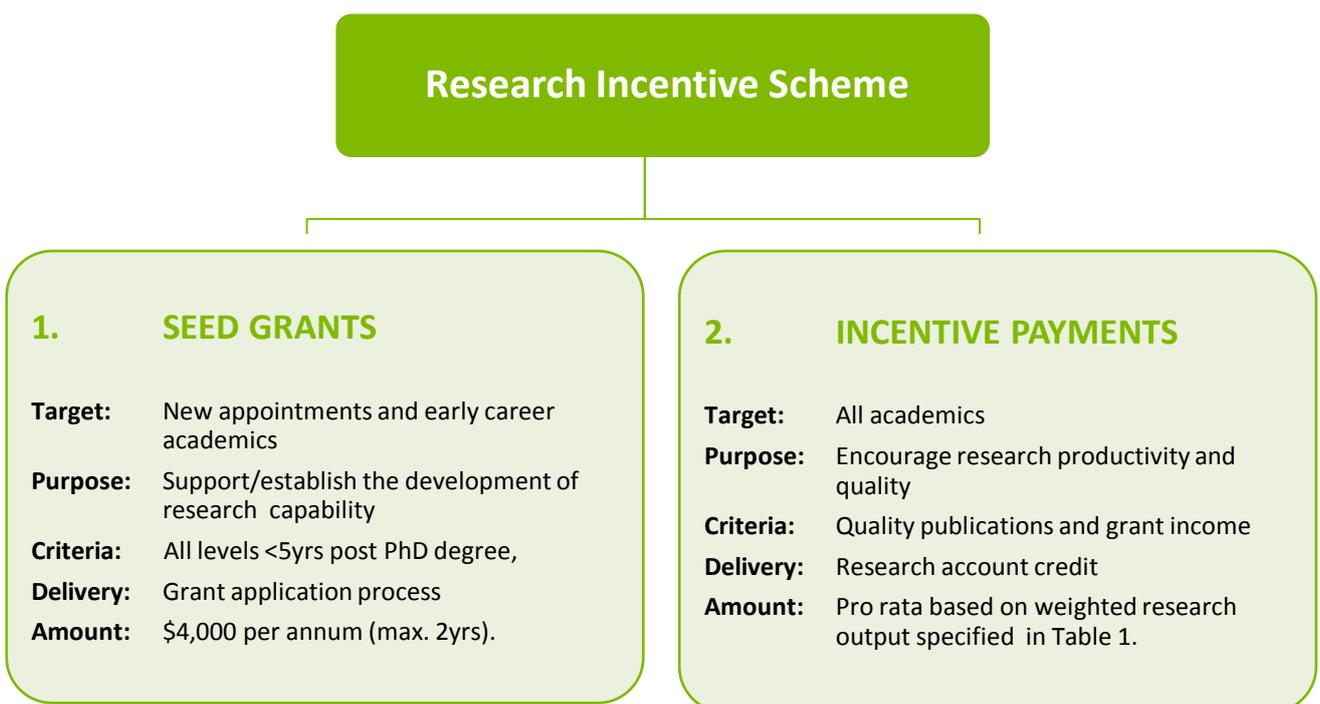
RIS funding is available only to academics on a continuous contract or Post Doc.

4. SCHEME DETAILS

4.1 Structure

There are two kinds of incentive available under the proposed RIS model: *Seed Grants* for both early career researchers (ECR's) and new appointments, and performance based *Reward Payments* for all academics.

Figure 1: RIS Structure



4.1 Seed Grants

4.1.1 What are these grants?

Seed grants are available to **newly appointed academics** and **early career researchers (ECRs)**. Successful grant recipients will have a research ledger balance set up in their name and credited with an **annual research development allocation of \$4,000**.

Approved grant recipients will be eligible to receive the grant for a **maximum of two years**.

Funding for second year is not automatic, the PPR process will determine eligibility for funding on satisfying workload definition of research active, receiving a ranking of average or higher.

4.1.2 Who is an early career researcher?

Academics at all levels who (from the first date of PhD enrolment):

- a) are less than five years post PhD degree, OR
- b) if completing PhD, are (in the assessment of their principal supervisor) meeting the standard PhD completion criteria (i.e on track to complete in 3 years full time or 6 years part time)

Recipients are eligible to receive incentive payments.

4.1.3 Application process

The intention of this grant is to support new academic staff and those ECRs who are prepared to make a commitment to develop their research capability and capacity. As such, both groups interested in accessing this grant will be required to submit an application that will specifically address the following criteria:

- (1) **A single-page research development strategy** outlining research goals during the next two years.
- (2) **Nominated research mentor** – grant recipients at levels A and B must have a mentor who is willing to help develop the strategy and action plan, and sign off on their application. Mentors must be at least two levels above mentees.

4.1.4 What can the money be used for?

Anything that supports the staff members' research including conference attendance, RAs, soft/hardware, databases, other research-related travel and meetings, or as approved by HOS. ECRs are eligible to use the seed grant funding for conference attendance and presentation. In order to use the seed grant funds for conference attendance ECRs need to:

- Submit a completed paper to the R&RT sub-committee for approval.
- The paper submitted to the conference must be peer-reviewed.
- A modified version of the conference paper needs to be submitted to an eligible ABDC/ERA ranked journal within a month's time.
- ECRs need to provide a written update to the R&RT Committee on the paper submission every three months.
- ECRs unable to publish a subsequent journal article after conference presentation will deem to be ineligible for using the seed grant funds for conference attendance in the following year.

4.2 Incentive Payments

4.2.1 What are incentive payments?

Incentive payments will provide research active academics with an incentive for increased research productivity and quality outcomes. This is a competitive scheme – payments will be directly allocated based on research output over the period. Ongoing access to the scheme will be subject to availability of funds.

4.2.2 Who is eligible?

Incentive payments on a pro rata basis will be made to academic staff reaching a minimum research activity threshold, which will be dependent on relative output across the UNE Business School. Payments will be a direct function of research productivity and quality, as detailed in 4.2.3 below.

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4.2.4 Payment allocation process

The incentive payment will be allocated from an annual funding pool, determined each year by the HOS through the School budget process. Funding will be allocated on a pro rata basis, after computing each academic's weighted proportion of overall research, as detailed in Table 1. According to Table 1, co-authors will be rewarded *over-proportionately* using the formula: $2 / (\text{number of authors} + 1)$, leading to the following reward proportion:

Table 1: Allocated proportion of funding given the number of authors

Number of authors, etc	Allocated proportion of funding
1	1
2	0.67
3	0.50
4	0.40
5	0.33

Research outputs will be assessed across two key areas: *high quality peer-reviewed publications* and *category 1 grant income*. The proposed rewards for specific outputs under each of these areas are detailed in Table 2.

Table 2: Proposed weighting of specific research outputs

Performance Area	Wgts	Criteria
1. Incentive Payments:		
A*	\$3,000	Points for co-authorship are allocated using the formula $2/(n+1)$ (see Table 1). Maximum of 2 'C' point per annum (ECR's ONLY).
A	\$2,000	
B	\$1,000	
C	\$500	
Book	\$2,500	Research books, to be approved by R&RT Committee
Edited book	\$1000	To be approved by R&RT Committee
Book chapter	\$500	Maximum one per annum
2. Research Income:		
External category 1 grants > \$50,000	1 \$2,000	Regardless of the number of CIs
Note: (a) Journal classifications are based on the 2013 (pre-revised) and 2010 ABDC journal ranking or the 2010 ERA list, whichever ranked higher). (b) All FOR codes count.		

4.3 Other Questions

4.3.1 *Can money be rolled over to the next year?*

In the event of left over funds at the end of 2015 the amount will be considered for an additional retrospective top up to be distributed proportionally amongst all successful applicants according to the incentive amount they were allocated.

4.3.2 *If I'm a productive researcher, how can I ensure that I receive funding?*

Easy – focus on producing outputs that count, and keep your research output data up-to-date! Staff members need to submit their publications and relevant documentations to the R&RT Secretary *on time (within the same year they were generated) for submission to HERD-C database*. The School will only compute incentive allocations based on submitted items. *Any items not submitted or submitted late through the HERD-C process will not be counted.*

4.3.3 *What are the eligibility criteria for books and book chapters?*

- The quality of publisher and publication must be evident for all books and book chapters, and does not include self-publishing companies, such as Lambert, etc. Research must be new work and not previously published e.g. Thesis.
- Books, edited books and book chapters must have an ISBN number. Note that the book must, at minimum, meet the DIISR requirements as a research publication; that is, 'text books' are not eligible for this incentive.
- Any authored chapters in an edited book are considered and are inclusive in the incentive.
- Book chapters should be a minimum of approximately 4,500 words and meet DIISR requirements.
- The onus is on the applicant to provide evidence that the publication meets the above requirements.

4.4 Additional Funding Categories

4.4.1 *Submission and publication fees (** pending final approval)*

- Academic staff are eligible to re-coup the cost of submission fees to journals under the research funding incentive scheme providing the journal is ranked A*, A, B or C (C ranked journals only apply to ECR's) on the ABDC list.
- A*,A or B journal fees will be covered by the UNE Business School and not deducted from eligible incentive funds.
- Only one submission/ publication fee per article is permitted.

4.4.2 *Mentoring*

- An amount of \$1,000 per refereed journal article, edited book, co-authored book or book chapter during 2015 will be paid into a UNE Business School account and will be available for expenditure by the staff member who has developed the publication in a mentoring arrangement with a new or emerging researcher within the School.
- An amount of \$1,000 per published book that meets HERDC guidelines for a research publication will be paid into a UNE Business School account and will be available for expenditure by the staff member who has developed the publication in a mentoring arrangement with a new or emerging researcher.
- \$1,000 will be payable on a pro-rated payment method with a maximum of three mentoring applications per staff member, per year and with a different mentee for each application for A*, A or B ranked journals only.
- Mentoring arrangements exist if, in the development of the publication: a level D or E academic has worked with a Level A, B or C academic(s) within the School; or a Level C academic has worked with a Level A or B academic(s) within the School. Joint authorship is required on the publication.
- The incentive funding is paid to the mentor only.
- HDR students do not qualify as mentees for this funding as the focus is on developing the research skills of staff.
- Incentive payments are contingent on proof of successful submission.
- Adjunct and Emeritus Professors are not eligible for mentoring funds. It is part of their continuing relationship with the School to make research contributions to the School by way of publications and mentoring etc.

4.4.3 *HDR supervision*

- In recognition of each successful PhD/DBA completion, within the stipulated period for fulltime and part-time students respectively, an incentive payment of \$1000 will be paid to the team of supervisors. This incentive payment will be shared within the supervisory team on a pro-rata basis, after computing each supervisor's weighted proportion of overall research supervision.

4.4.4 *Networking*

- Support is available for establishing external research networks, primarily by way of joint applications for external research grants, joint publications and the development of sustainable, collaborative research teams.
- Applications will be decided on a case by case basis until funds are depleted.
- Support funding is limited to one grant per UNE Business School staff member per year.
- Support funding is limited to a maximum of \$1,000 per activity for 2015.
- Incentive payments are contingent on proof of successful submission.
- Networking support extends to CRC travel and research activity expenses.

4.4.5 *Conference funding*

- A total quantum of funding has been set aside for 2015 to support academic staff and PhD HDR conference travel.
- Academic staff conference travel support from the School is limited to an annual maximum of \$3,000 for an international conference, and \$2,000 for a national conference, on a 'one-off' basis. Only one successful conference travel grant will be awarded by the School each year to applicants who meet applicable criteria.
- HDR students must meet the same criteria as academic staff for conference funding. HDR student conference travel support from the School is limited to a maximum of \$1,600 (for domestic and/ or international) for one conference only per candidate per candidature. Applicants must be supported by their supervisor, demonstrating the value to the student. Only post-confirmation HDR students are eligible to apply for conference travel support. Special cases involving full-time pre-confirmation HDR students must be made in writing to the R & R T Committee for determination. HDR students are eligible for conference funding on the basis that they submit a paper that is co-authored with an ERA eligible academic staff member in the School.
- Academic staff members on a contract for one or more years are eligible to apply for conference travel grant funds only if the proposed paper counts towards ERA rankings for UNE.
- The Head of School has indicated that applications for travel to a conference occurring early in 2015, and which requires submission of the paper and registration prior to the end of 2014, will be eligible for funding once the applicant has met all the criteria.
- An R & R T Committee Sub-Committee comprised of Professor Dollery and Associate Professors Hovey, Jabri and Villano will adjudge all applications for conference funding by academic staff and HDR students.
- In order to be awarded conference funding, the applicant must meet all of the following criteria:

- Applicants must prepare and submit a full and completed paper to the Secretary of the R & R T Committee with an eligible ABDC/ERA target journal clearly indicated, together with the ranking of the journal, in the prescribed format of that journal, which is ready for immediate submission to the target journal in terms of layout, prose and all other relevant factors.
- Applicants must provide full details of the conference in question, especially its standing relative to the ERA exercise. Only conferences of high standing will be approved. i.e. longstanding peer reviewed conferences with a reputation as a quality conference within the discipline or high quality peer reviewed conferences associated with a journal or academic association.
- Applicants must submit the paper to the target journal within a month of its delivery and provide evidence of its submission to the R & R T Committee Secretary or an extension sort from the Sub-Committee on the basis of a detailed written explanation, with documentation.
- Applicants must keep the R & R T Committee informed on the progress of papers in writing every three months.
- Applicants who successfully secure conference funding and do not subsequently publish the paper in question will not be eligible for future conference funding until a paper has been published.