

# Research & Research Training Committee

## 2018 Guidelines

### 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. 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 quality publications and nationally competitive grants.

The RIS is reviewed at the end of every year to account for changes in the funding environments and to revise progress made towards strategic plan goals.

### **3. ELIGIBILITY**

RIS funding for publications and grants is available only to academics on a continuous contract, postdoctoral fellows and contract researchers.

Conference travel funding is available to HDR students only.

### **4. JOURNAL AND GRANT INCENTIVE PAYMENTS**

#### ***4.1 What are incentive payments?***

Incentive payments provide research-active academics with support to increase their research productivity and quality outcomes. This is a competitive scheme – payments are directly allocated based on research output over the period. Ongoing access to the scheme will be subject to availability of funds.

Incentive payments are allocated from an annual funding pool, determined each year by the HOS through the School budget process.

#### ***4.2 What is eligible?***

Research outputs are assessed across two key areas: high quality peer-reviewed publications and category 1 grant income. Payments for publications are a direct function of research productivity and quality, as detailed in Table 2 below.

#### ***4.3 What can the funds be used for?***

Anything that supports the academic staff members' research is eligible, including marking assistance, research assistance, soft/hardware, databases, conference attendance, other research-related travel and meetings.

#### ***4.4 Payments for grant applications***

Only full Category 1 applications, for \$50,000 or more, and where UNE is the commissioned organisation qualify. This excludes preliminary expressions of interest submitted to funding agencies. The purpose of this incentive is not only to encourage researchers to apply for more external funds, but also to provide the means to help improve unsuccessful applications for future submission. Payments are fixed at \$2,000. Payments apply upon submission of the application through Research Services, independently of the ultimate outcome of the application.

#### 4.5 Payments for publications

Funding is 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	Allocated proportion of funding
1	1.00
2	0.67
3	0.50
4	0.40
5	0.33

The rewards for specific outputs are detailed in Table 2.

**Table 2:** Weighting of specific research outputs

Performance Area	Payment	Criteria
<b>Publication type:</b>		
A*	\$4,000	Points for co-authorship are allocated using the formula in Table 1.
A	\$2,000	
B	\$1,000	
C	\$500	Applies to ECRs ONLY, to a maximum of two outputs per year.
Book	\$2,500	Research books that meet the ERA guidelines for a research publication.
Edited book	\$1000	To be approved by R&RT Committee.
Book chapter	\$500	Maximum one per annum.
<p><b>Note:</b> (a) Journal classifications are based on the most recent ABDC journal ranking or the current and prior year SNIP threshold ranking, whichever is higher. (b) All FOR codes count but there must be a link to the research broadly undertaken within the school.</p>		

#### 4.6 How are journal ranks determined?

We use two determinants of journal rankings. The first is the **ABDC list**:

<http://www.abdc.edu.au/pages/abdc-journal-quality-list-2013.html>

Researchers should be aware that the ABDC recently reviewed the journal list, removing some journals and adding others. Applications must take into account the most current ABDC ranking.

The second is the **Elsevier SNIP**:

We have determined to use these two lists to assign a quality rank to journals. Of the potentially relevant measures produced by Elsevier we have opted to choose the Source Normalized Impact per Paper (SNIP). This measures citation impact, taking into account the total number of citations in a subject field. This mitigates any disadvantage for staff publishing in fields with lower citation prevalence.

Downloading the full spreadsheet of SNIP values from the Journal Metrics website, and rank ordering from the highest SNIP to the floor with a SNIP > 0 there were 20040 journals listed. Applying the ABDC bins to this distribution (A\*= Top 6.9%, A next 20.8%, B next 28.4%) gives us the following threshold values:

A\* - SNIP 1.8 and Greater

A – SNIP between 1.04 and 1.799 inclusive

B - SNIP between 0.62 and 1.04 inclusive

C – SNIP between 0.01 and 0.62 inclusive

To save staff downloading the full list, staff can quickly search the current SNIP by journal name:

<https://journalmetrics.scopus.com/>

Staff should attach a screenshot of the SNIP to their application if relying on the SNIP ranking. To reduce uncertainty, we will adopt the higher of the two most recent SNIP values available (these are updated around November each year). If the journal is on both the ABDC and the SNIP list, we adopt the higher of the two rankings. If the journal is not listed in the AD BC list, the rank provided by the current SNIP will stand. Journals that are on neither the ABDC nor SNIP will be considered on a case-by-case basis.

Papers published in predatory journals\* are not eligible even if they do have a SNIP value or are listed on the ABDC list (the ABDC recently removed most of these). It is the responsibility of the author to cross check whether their research output has been published in a predatory journal. The Committee reserves the right to reject any research outputs published in predatory journals. In case of disagreement the author will need to make a case to the Committee as to why their publication should be funded.

\*See <https://beallslist.weebly.com/standalone-journals.html>

## **Exceptions:**

Comments, thought pieces and rejoinders in peer reviewed journals will not be paid the full amount of incentive as the work and effort for these outputs do not compare to a full published paper.

### **4.7 Eligibility criteria for books and book chapters**

- The quality of publisher and publication must be evident for all books and book chapters. Research must be new work and not previously published (e.g. thesis).
- Self-publishing companies and predatory publishers are excluded.
- Books, edited books and book chapters must have an ISBN number. Note that the book must, at minimum, meet the ERA requirements as a research publication; 'text books' are not eligible for this incentive.
- Authored chapters in an edited book are considered in the incentive. Book chapters should be a minimum of approximately 4,500 words and meet ERA requirements.
- The onus is on the applicant to provide evidence that the publication meets the above requirements.

## **5. ADDITIONAL FUNDING CATEGORIES**

### **5.1 Submission and publication fees**

- In limited cases academic staff are eligible to re-coup the cost of submission and/or publication fees to journals, at the discretion of the Committee based on the quality of the journal. Only journals ranked A or A\* will be accepted and this will generally be capped at \$500.
- Only one submission/publication fee per article is permitted.
- Other expenses such as colour printing or preparation of visual materials will generally not be covered unless a strong case can be made in advance (not after the fact).

### **5.2 Mentoring**

- An amount of \$1,000 per refereed journal article, edited book, co-authored book or book chapter will be paid to the staff member who develops the publication in a mentoring arrangement with a new or emerging researcher within the School.
- \$1,000 will be payable on a pro-rata payment method with a maximum of three mentoring applications per staff member per year, with a different mentee for each application for A\* or A ranked journals only.

- Mentoring arrangements exist if, in the development of the publication: a level C, D or E academic (UNEBS contract, continuing, adjunct or emeritus) has worked with a Level A or B academic (UNEBS contract, continuing). 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 acceptance.

### **5.3 *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 and generally, for UNEBS staff members travelling away from Armidale, some sharing of the costs will be expected.
- Support funding is limited to one grant per UNE Business School staff member per year.
- Incentive payments are contingent on proof of successful submission.
- Networking support extends to CRC travel and research activity expenses.

### **5.4 *HDR 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. 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.
- A Sub-Committee consisting of three members of the R & R T Committee will adjudge all applications for conference funding by HDR students.
- In order to be awarded conference funding, the applicant must meet all of the following criteria:
  1. Applicants must prepare and submit a full and completed paper to the Secretary of the R & R T Committee with an eligible ABDC/Scopus 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.

2. Applicants must provide full details of the conference in question, especially its standing. 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.
3. 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 sought from the Sub-Committee on the basis of a written explanation, with documentation.
4. Applicants must keep the R & R T Committee informed on the progress of papers in writing every three months.
5. 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.
6. Students will be required to present their paper as a seminar to the School before receiving the funding.

## **6. OTHER QUESTIONS**

### ***6.1 Can money be rolled over to the next year?***

In the event of left over funds at the end of the year, an additional retrospective top up will be considered, to be distributed proportionally among all successful applicants according to the incentive amount they received.

### ***6.2 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 the e-publications database*. The School will only compute incentive allocations based on submitted items. *Any items not submitted, or submitted late, to the e-publication repository will not be counted.*