

## Monash University Procedure

<b>Procedure Title</b>	Research Outputs Data Collection Procedures
<b>Parent Policy</b>	Research Outputs Data Collection Policy
<b>Date Effective</b>	05-June-2013
<b>Review Date</b>	05-June-2016
<b>Procedure Owner</b>	Pro Vice-Chancellor (Academic Performance)
<b>Category</b>	Academic Quality and Standards
<b>Version Number</b>	1.0
<b>Content Enquiries</b>	<a href="#">Policy Bank</a>
<b>Scope</b>	<ul style="list-style-type: none"> <li>• All staff</li> <li>• All students</li> <li>• All campuses</li> </ul> <p>Research outputs, including HERDC-eligible publications, such as journal articles, books, chapters and refereed conference papers; ERA-eligible outputs, including creative works, performances, recorded works, exhibitions and events.</p>
<b>Purpose</b>	This procedure defines the criteria for works to be recognised as research outputs for the purposes of reporting research activity both external to the university (such as for HERDC, ERA, MyRA and university ranking exercises) and internally (such as for performance reviews).
<b>PROCEDURE STATEMENT</b>	

### 1. What is to be collected?

- 1.1 Research outputs that comply with the HERDC, ERA or MyRA guidelines.
- 1.2 Other research outputs that comply with the categories in the university's publications data collection database. These categories are defined in the category table in the business rules.
- 1.3 Patents.

#### **Responsibility**

All researchers who produce research outputs  
 Faculty research offices  
 Campus research offices

### 2. Identifying outputs

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- 2.1 Publications data collection staff within faculties may obtain publications data from researchers, publications indexes and other sources.
- 2.2 Researchers should provide publications data collection staff with all necessary evidence when requested.
- 2.3 On request or on their own initiative, researchers should provide data collection staff with Field of Research codes and identify any grants that funded the research.
- 2.4 The Industry Engagement and Commercialisation office will generate quarterly reports on patents granted and applied for, with all details required for faculties to maintain patents data in the research outputs database.

### **Responsibility**

All researchers who produce research outputs  
Faculty research offices  
Campus research offices  
Industry Engagement and Commercialisation office

## 3. Recording data

- 3.1 When all the necessary evidence for an output has been gathered, publications data collection staff shall create a record in the database.
- 3.2 The style guide should be observed for all records.
- 3.3 All records that are complete (except those in TEMP categories), should be submitted to a verifier along with all evidence.

### **Responsibility**

Faculty research offices  
Campus research offices

## 4. Complying with the definition of research

- 4.1 Research outputs must meet the definition of research given in the HERDC and ERA guidelines.
- 4.2 If publications data collection staff are not sure whether an output meets the definition of research, they should ask a verifier to determine the correct category.
- 4.3 If a verifier is not sure whether an output meets the definition of research, they may seek the opinion of their Associate Dean Research or equivalent. Where there is a difference of opinion between the researcher and the faculty or campus research office, the verifier or ADR may ask the Pro-Vice Chancellor (Academic Performance) to adjudicate.

### **Responsibility**

Faculty research offices  
Campus research offices  
Associate Deans Research  
Pro Vice-Chancellor (Academic Performance)

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### 5. Evidence

- 5.1 For outputs in HERDC/MyRA categories, publications data collection staff should collect evidence that the output meets all of the HERDC/MyRA criteria.
- 5.2 For authored books, publications data collection staff and verifiers need only sight a copy to satisfy themselves that the output exists and their data is accurate. The library will purchase a copy for storage as evidence.
- 5.3 For creative works, publications data collection staff should gather evidence that attests to the nature and quality of the output. This may include photographs, video and audio recordings, programs, catalogues, advertising and reviews.
- 5.4 For all other outputs, a copy of the output is required.
- 5.5 For all outputs, the researcher must provide the relevant Field of Research codes to publications data collection staff.
- 5.6 If a work is produced as part of a researcher's affiliation with Monash University, and the university is not named in the by-line or the researcher's biographical material accompanying the output, the researcher must sign a form declaring the affiliation, and the form should be stored as part of the evidence.
- 5.7 If the gender or affiliation data of co-authors who are not affiliated with Monash University is not evident in the output, researchers should provide this information to publications data collection staff.
- 5.8 All HERDC and MyRA evidence is to be stored digitally. Evidence for non-HERDC outputs that are nominated for peer review in ERA should be submitted in digital form to the repository, except in the case of creative works that cannot be stored digitally. File type, size and naming conventions are specified by the university repository and in the business rules.

#### **Responsibility**

All researchers who produce research outputs  
Publications data collection staff  
Faculty research offices  
Campus research offices

### 6. Authorship

- 6.1 Faculties may forward papers with more than 200 authors to the MRO for data entry.
- 6.2 To record a publication when the by-line includes a team or consortium, refer to the process in the business rules.

#### **Responsibility**

Faculty research offices  
Campus research offices  
Monash Research Office

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### 7. Publication status

- 7.1 An article must not be entered into a HERDC/MyRA category or verified in the system until the final version has been published and a volume number and page numbers are available.
- 7.2 A pre-press article or advance copy may be entered in a holding category, and the record must be converted to a HERDC/MyRA category only when a final version is published.

#### **Responsibility**

Faculty research offices  
Campus research offices  
Monash Research Office

### 8. Verification process

- 8.1 Every record must be checked against the evidence and verified in the system by a person who did not enter the record in the system.
- 8.2 Check that all required evidence is present.
- 8.3 Check that the research output is eligible for collection.
- 8.4 Check that the database record matches the evidence.
- 8.5 Check that the record has been entered in the database in accordance with the style guide.
- 8.6 Check that the category and year of publication are correct.
- 8.7 If any of the above is incorrect, the verifier should ask the relevant publications data collection staff to fix the problem.
- 8.8 If all of the above are correct, the record should be verified in the database.
- 8.9 Records in all categories except TEMP should be verified.
- 8.10 Forward any evidence to the university library repository.

#### **Responsibility**

Faculty research offices  
Campus research offices  
Monash Research office

### 9. New academic staff appointments

- 9.1 The Human Resources Division shall regularly provide the faculty, Gippsland and Malaysia research offices with a list of newly appointed academic staff.

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- 9.2 Directly, or through a faculty/campus induction process, faculty/campus research offices should make new researchers aware of the publications data collection and request a list of their past publications.
- 9.3 Publications data collection staff shall enter the publications of researchers new to Monash in the database for a specified reference period. Researchers should assist by providing all necessary evidence upon request.

### **Responsibility**

Faculty research offices  
Campus research offices  
Human Resources Division

## 10. Reference period

- 10.1 Past research outputs by new academic staff shall be entered into the database, within the current ERA/MyRA reference period. This is normally seven calendar years before the year of an ERA submission, and three calendar years for MyRA submission. During periods when the ERA/MyRA reference period is not known, the Research Quality Team may be asked for an estimate.
- 10.2 There is no requirement to collect data for outputs that were published or produced before the current reference period.

### **Responsibility**

Faculty research offices  
Campus research offices  
Research Quality Team

## 11. Data integrity checks

- 11.1 The MRO has developed automated integrity tests that can be run on the data. Verifiers may run the available test at any time, and must run them in the lead-up to a HERDC/MyRA submission.
- 11.2 The MRO must test all current HERDC/MyRA categories in preparation for a HERDC/MyRA submission. Errors and inconsistencies will be referred back to the faculty/campus verifiers for correction.

### **Responsibility**

Monash Research Office  
Faculty research offices  
Research Quality Team

## 12. Audit

- 12.1 The Data Collection Network will regularly conduct an audit of the collection.
- 12.2 The HERDC/MyRA categories must be audited during the preparation of a HERDC/MyRA submission.
- 12.3 The Data Collection Network may conduct audits of the entire collection, or a sample, at any time at their discretion.

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### Responsibility

Data Collection Network  
Pro Vice-Chancellor (Academic Performance)

## 13. Publication title

- 13.1 The publication title entered into the database must be presented as the title on the publication (such as title page, copyright page, cataloguing-in-publication data, CD, running heads).
- 13.2 Where publication details are in a foreign language, the record must be written in English, and translations included in the stored evidence. Refer to the HERDC and ERA guidelines for specific requirements.
- 13.3 If a publication uses special characters that cannot be reproduced in the system, they may be spelled out or otherwise represented in the record.
- 13.4 Where a publication appears to have more than one title, the faculty may choose the most appropriate one, and must highlight the source in the supplementary evidence.

### Responsibility

Faculty research offices  
Campus research offices

<b>Responsibility for implementation</b>	<p>All researchers who produce research outputs</p> <p>Faculty research offices</p> <p>Campus research offices</p> <p>Industry Engagement and Commercialisation office</p> <p>Associate Deans Research</p> <p>Pro Vice-Chancellor (Academic Performance)</p> <p>Publications data collection staff</p> <p>Monash Research Office</p> <p>Human Resources Division</p> <p>Research Quality Team</p> <p>Data Collection Network</p>
<b>Status</b>	New
<b>Approval Body</b>	<p><b>Academic Quality and Standards policies</b></p> <p><b>Name:</b> Academic Board</p> <p><b>Meeting:</b> 3/13</p> <p><b>Date:</b> 05-June-2013</p> <p><b>Agenda item:</b> 11.1</p>
<b>Definitions</b>	<b>Data Collection Network:</b> A committee comprising the publications data

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	<p>collection manager in each faculty.</p> <p><b>ERA:</b> Excellence in Research for Australia, a research assessment exercise managed by the Australian Research Council.</p> <p><b>Field of Research codes:</b> Research classification codes managed by the Australian Bureau of Statistics.</p> <p><b>HERDC:</b> Higher Education Research Data Collection, an annual count of research outputs (authored books, book chapters in edited books, peer reviewed journal articles and peer review, published conference papers) that forms part of the calculation of the Research Block Grants provided by the Australian Government to universities.</p> <p><b>MRO:</b> Monash Research Office</p> <p><b>MyRA:</b> Malaysian Research Assessment, a research assessment exercise managed by the Ministry of Higher Education, Malaysia</p> <p><b>Research:</b> the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, understandings, and applications. The university applies the definition provided in the HERDC specifications and ERA guidelines.</p> <p><b>Research Quality Team:</b> Part of the office of the Pro Vice-Chancellor (Academic Performance).</p> <p><b>Researchers:</b> all Monash employees, adjuncts and students who produce research outputs in the course of their affiliation with Monash (affiliates and visitors who use a Monash by-line).</p> <p><b>Research output:</b> a publication, report or creative output that meets the definition of research in the HERDC and ERA guidelines.</p> <p><b>Verify:</b> A process in which a person (verifier) who did not create the record checks it against evidence and eligibility criteria to ensure completeness and accuracy.</p>
<b>Legislation Mandating Compliance</b>	
<b>Related Policies</b>	
<b>Related Documents</b>	