

## Research, Creative and Scholarly Outputs Policy

<b>Last Modified</b>	September 2020
<b>Review Date</b>	August 2022
<b>Approval Authority</b>	Deputy Vice-Chancellor – Research
<b>Contact Officer</b>	Research and Innovation Administrator – Research and Innovation

### Introduction

This policy covers the use of University of Canterbury research, creative and scholarly outputs produced by staff, adjunct staff and post-graduate students. It outlines the criteria for entry, entry procedures and guidelines.

### Definitions

**Output** – a particular dissemination, publication, presentation, performance, artwork, communication or pathway that is made available to people other than the author(s). These will primarily be the result of research or other scholarly activity. In this policy, output refers to the actual output as well as the citation used to describe the output.

**Performance-Based Research Fund (PBRF)** – a government research fund designed to encourage and reward research excellence in the tertiary sector, managed by the Tertiary Education Commission (TEC). The PBRF includes three measures: Quality Evaluation (QE), Research Degree Completion (RDC) and External Research Income (ERI). Funding is allocated proportionally based on an organisation's performance in relation to other participating organisations. (Refer to the University's [Performance-Based Research Fund \(PBRF\) – Funding and Allocation Procedures Policy \(PDF, 457KB\)](#).)

**Research** – creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge. (For more detail, refer to the [Frascati Manual 2015: Guidelines for Collecting and Reporting Data on Research and Experimental Development \(OECD website\)](#).)

## Policy Statement

This policy applies to research, creative and scholarly outputs produced by staff, adjunct staff and post-graduate students.

University of Canterbury outputs are collected in the University's research output management system, *Elements*.

Outputs that meet the following criteria can be recorded in *Elements*:

- i. the work is readily accessible in the public domain (preferably in its final form), unless it is a confidential output, in which case it must have been made available to those authorised to have access or the commissioning sponsor;
- ii. it was accepted for publication or production by a person other than the author; and
- iii. it demonstrates a level of scholarship appropriate to a university.

Outputs are categorised using the PBRF definitions. See the [Appendix](#) for types and definitions.

To ensure a high standard of output data, Research & Innovation will endeavour to verify manually entered outputs and undertake a quality control process.

## Entry Procedures and Guidelines

### Entry into Elements

1. For staff, all their outputs are to be recorded in *Elements*.

For adjunct staff and postgraduate students, only outputs (largely) from work undertaken at the University may be recorded in *Elements*.

2. Staff will be required to update their outputs in *Elements* annually.
3. Where possible, the automatic harvesting functionality will be used to enter outputs in *Elements*. However, outputs can be entered manually when automatic harvesting is not available.
4. Researcher identifiers, such as ORCID, should be used to improve the disambiguation of researchers and improve output attribution.
5. For conference contribution outputs, where the output may exist in multiple forms (e.g., as an unpublished oral presentation and a paper published in conference proceedings), only the published version of the output should be entered into *Elements* (the unpublished form may be entered as “*Conference Contribution – Other*” and should be updated to “*Conference Contribution – Published*” to reflect subsequent publication of conference proceedings).

6. Citation information for outputs entered in *Elements* is available to the public via the [UC Research Profile web page \(UC Research Profile website\)](#) and the “Discover our research, creative and scholarly works” reporting tool on the [Research Report web page \(University Research website\)](#). These citations may include hyperlinks to the actual output. Any outputs that should not be available via these websites should be marked as “hidden” in *Elements*.
7. Outputs entered in *Elements* are searchable by other users of “*Elements at UC*”. Any outputs that should not be searchable by others should be marked as “hidden” in *Elements*.

## Use

Outputs entered in *Elements* will be available for use in internal processes and applications, including academic promotions, sabbatical, performance review and development (PD&R) and the PBRF.

## Related Documents and Information

### UC Policy Library

- [Performance-Based Research Fund \(PBRF\) – Funding and Allocation Procedures Policy \(PDF, 457KB\)](#)

### UC Website and Intranet

- [Research Report web page \(University Research website\)](#)
- [UC Research Profile web page \(UC Research Profile website\)](#)

### External

- [Frascati Manual 2015: Guidelines for Collecting and Reporting Data on Research and Experimental Development \(OECD website\)](#)
- [PBRF Guidelines 2018 \(Tertiary Education Commission website, PDF, 2.39MB\)](#)

## Appendix

- [Output Types and Descriptions](#)
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Document History and Version Control Table			
Version	Action	Approval Authority	Action Date
<i>For document history and versioning prior to 2013 contact <a href="mailto:ucpolicy@canterbury.ac.nz">ucpolicy@canterbury.ac.nz</a></i>			
1.00	Policy creation, policy replaces the <b>Research Report Policy</b>	DVC	May 2019
2.00	Schedule review by contact officer, minor changes only.	DVC (R)	Sep 2020

**This policy remains in force until it is updated.**

## Appendix

### Output Types and Descriptions

Outputs are classified using the PBRF output types and descriptions, as specified in the [PBRF Guidelines 2018 \(Tertiary Education Commission website, PDF, 2.39MB\)](#). As these definitions are specific to the requirements of PBRF assessment, exceptions for the broader use of outputs at the University are noted for each output type.

Research Output Type	Description
Authored Book	<p>A major work of research or scholarship. The authors are credited for the entire work, which means authors are not attributed to each chapter and the work would normally be published with an ISBN (in hard copy, bound; CD-ROM, packaged; and/or e-book format on subscription or fee basis). Consists mainly of previously unpublished material and makes a contribution to a defined area of knowledge.</p> <p>Includes</p> <ul style="list-style-type: none"> <li>• Monographs – a book or treatise on a single subject usually written by a specialist in the field. The treatment of the subject is detailed and scholarly.</li> <li>• Loose-leaf publications where the author(s)/contributor(s) create or update the entire volume.</li> </ul> <p>Excludes</p> <ul style="list-style-type: none"> <li>• scholarly editions / literary translations (see below);</li> <li>• textbooks with no research component;</li> <li>• books published by professional bodies that do not report original research findings but report the results of evaluations, or repackage existing information for the benefit of professionals or practitioners;</li> <li>• pamphlets;</li> <li>• reports for external bodies, such as government department reports;</li> <li>• translations of the academic's own work by another person;</li> <li>• edited volumes;</li> <li>• reprints; and</li> <li>• updates to a part of a loose-leaf treatise.</li> </ul> <p>Exceptions for broader use of outputs at UC include</p> <ul style="list-style-type: none"> <li>• textbooks; and</li> </ul>

	<ul style="list-style-type: none"> <li>books published by professional bodies that do not report original research findings but report the results of evaluations, or repackage existing information for the benefit of professionals or practitioners.</li> </ul>
Chapter in a Book	<p>A contribution to an edited book, consisting of substantially new material. The book should be of a scholarly nature and make a substantial contribution to a defined area of knowledge, and would normally have an ISBN and be available for sale. This contribution is complete in itself but is often linked thematically to the other chapters. It is written by a single author or multiple authors who share responsibility for the chapter.</p> <p>Includes</p> <ul style="list-style-type: none"> <li>scholarly introductions of chapter length where the content of the introduction reports research undertaken by the editor and makes a substantial contribution to a defined area of knowledge;</li> <li>critical scholarly texts of chapter length, for example, in music, medieval or classical texts, or critical reviews of current research; and</li> <li>updates to a part of a loose-leaf treatise.</li> </ul> <p>Excludes</p> <ul style="list-style-type: none"> <li>forewords;</li> <li>appendices;</li> <li>brief introductions;</li> <li>editorials;</li> <li>scholarly editions / literary translations (see below);</li> <li>pamphlets;</li> <li>reports for external bodies, such as government departments;</li> <li>translations of an academic's own work by another person;</li> <li>edited volumes;</li> <li>reprints; and</li> <li>conference publications.</li> </ul>
Conference Contribution – Published	<p>A conference paper or abstract published in conference proceedings and available independently of the conference in which it was presented. Proceedings may be published in various formats, for example, a proceedings volume, a book, a special edition of a journal, a normal issue of a journal, USB flash drive or online via the conference website, an organisation's website or a research repository. Although published in a journal or other media, the item is still categorised as a Conference Contribution – Published. Papers or abstracts in proceedings would normally undergo editorial selection</p>

	<p>to be included in the proceedings. An item appearing here cannot also appear in the Conference Contribution – Other category.</p> <p>Includes</p> <ul style="list-style-type: none"> <li>• Submission of an unpublished abstract, presentation of the paper AND associated or subsequent publication of paper (this is considered one complete publication, not three separate ones).</li> <li>• An abstract published in conference proceedings, a book of abstracts or journal (or similar publication venue, such as USB flash drive or website) and available independently of the conference at which it was presented. This form of abstract often is the only published version of the output, appearing as a “minipaper” containing an introduction/objective, methods, results and conclusions. This type of abstract would normally go through a review process and is not the standard type of abstract submitted with a conference presentation. This form of abstract may be more common in certain disciplines, for example, medicine and geology.</li> </ul> <p>Excludes</p> <ul style="list-style-type: none"> <li>• papers that are provided only to conference participants (in whatever format) and not the general public or more widely (for example, available for purchase); and</li> <li>• unpublished conference presentations.</li> </ul>
Conference Contribution – Other	<p>A contribution to a conference that has not been published as a paper or as a published abstract in separate proceedings. An item appearing here cannot also appear in the Conference Contribution – Published category.</p> <p>Includes</p> <ul style="list-style-type: none"> <li>• an oral presentation at a conference (or symposium, meeting, workshop, forum or summit of national or international importance), with or without an accompanying written form;</li> <li>• a poster that appears at a conference as a poster only and that is not published in the proceedings as a paper or abstract; and</li> <li>• keynote or plenary presentations to a conference.</li> </ul> <p>Excludes</p> <ul style="list-style-type: none"> <li>• role as panel or discussion member (or chair) at a conference;</li> <li>• opening or closing addresses that are not keynote or plenary presentations;</li> <li>• facilitation of workshops at conferences; and</li> <li>• presentations at a conference that are summaries of discussions or papers presented at the conference.</li> </ul>

Creative Work	<p>Outputs resulting from creative practice as research, including the following subtypes.</p> <p><i>Artefact, Object, Craftwork</i></p> <p>Artefacts, objects or craftworks, exhibited, commissioned or otherwise presented or offered for distribution or sale in the public domain, for example, visual arts, craft and cultural creations. Specific examples are illustration, sculpture, media installations, ceramics, jewellery, metalwork, whakairo, taonga, raranga, or cultural artefacts such as large permanent public sculptures.</p> <p>A collection of artworks displayed together can be entered as Exhibition / Curatorial Exercise.</p> <p><i>Composition</i></p> <p>A published or publicly available score, first performance or first recording by a record label (on CD or DVD) of a musical composition.</p> <p>Includes (but is not limited to)</p> <ul style="list-style-type: none"> <li>• compositions created while being played, for example, electronic compositions and jazz improvisation;</li> <li>• published or publicly available score;</li> <li>• recordings;</li> <li>• sound component of a film or video, lyrics, multimedia composition or chant;</li> <li>• commissioned works; and</li> <li>• combinations or developments of the above.</li> </ul> <p>Excludes a repeat performance of the same work.</p> <p><i>Design Output</i></p> <p>A creative research or problem-solving output in the form of design drawings, books, models, exhibitions, websites, installations or built works.</p> <p>This can include (but is not limited to)</p> <ul style="list-style-type: none"> <li>• fashion/textile design,</li> <li>• graphic design,</li> <li>• interior design,</li> <li>• other designs,</li> <li>• industrial design,</li> </ul>
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	<ul style="list-style-type: none"> <li>• architectural design, and</li> <li>• multimedia design.</li> </ul> <p><i>Dramatic and Literary Texts</i></p> <p>A work of creative prose, poetry, dramatic text or a literary essay.</p> <p>Includes (but is not limited to)</p> <ul style="list-style-type: none"> <li>• novel / creative non-fiction – a published prose narrative of considerable length;</li> <li>• play – a published or publicly available script, first performance or first distributed recording of a play written (or co-written) by the author;</li> <li>• poetry – a published poem or collection of poems, or a poetry recital where the work is new;</li> <li>• screenplay – a published or publicly available screenplay, first public showing of the related film written (or co-written) by the author;</li> <li>• short fiction / creative non-fiction or essay – a shorter work of short fiction / creative non-fiction, or a published essay; and</li> <li>• a short literary composition on a particular theme or subject, usually in prose and generally analytic, speculative or interpretative.</li> </ul> <p><i>Exhibition / Curatorial Exercise</i></p> <p>A display of a researcher's objects or artworks in a public place (museum, art gallery or other public place) or curatorial work undertaken by an academic to form an exhibition (including catalogues). The objects may have historical, cultural or scientific importance, or alternatively possess aesthetic qualities or extraordinary characteristics.</p> <p>Includes</p> <ul style="list-style-type: none"> <li>• artwork exhibited in regional, national or international galleries, in dealer galleries or other sites of public presentation;</li> <li>• artwork publicly presented in the form of site specific exhibitions, installations, actions, interventions, performances; and</li> <li>• commissioned artworks included in an exhibition as part of a biennale, national or international festival or other recognised art events.</li> </ul>
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	<p><i>Film/Video</i></p> <p>Research, creative or scholarly works in audio-visual form and likely to be first presented in a cinema, on television or online.</p> <p>Includes (but is not limited to)</p> <ul style="list-style-type: none"> <li>• ethnographic films;</li> <li>• audio-visual presentations of dynamic research output (for example, in fluid mechanics, robotics, visual motion, workplace relations, conference presentations and a guide to collected sound recordings);</li> <li>• original work in film, television or multimedia;</li> <li>• documentaries;</li> <li>• screenings online or at festivals, theatres, galleries or other public venues; and</li> <li>• original contributions to cinematography, sound design, art direction, production and postproduction, direction and other areas of specialty.</li> </ul> <p>Excludes appearances in commercial programmes, documentaries or interviews, unless they contain research.</p> <p><i>Performances</i></p> <p>A live or recorded performance (by, for example, an actor, musician, dancer or conductor).</p> <p>Includes (but is not limited to)</p> <ul style="list-style-type: none"> <li>• performance in a play, musical, opera, concert, television or radio production;</li> <li>• theatre productions (e.g., a stage play, mime, circus, puppet show, variety act or comedy show);</li> <li>• concerts and recitals (music or dance);</li> <li>• broadcast performances and other modes of presentation;</li> <li>• production of an audio/visual medium (such as CD or DVD recording);</li> <li>• mōteatea, oriori, haka, whaikōrero orations or waiata-a-ringā;</li> <li>• artistic direction of a staged production; and</li> <li>• advisor roles in a theatre production (for example, design or dramaturgy).</li> </ul>
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	<p>Excludes</p> <ul style="list-style-type: none"> <li>• radio or television interviews, and</li> <li>• appearances in documentaries.</li> </ul>
Discussion / Working Paper	A paper published, circulated or presented for discussion amongst peers (or that seeks public input on ways to address an issue). The paper may be commissioned by an organisation, published for consultation or produced as part of a working paper series to encourage suggested revision before publication.
Edited Volume	<p>An edited volume is a published collection of chapters, conference papers, articles or essays by different authors, which have been compiled and/or edited by a single editor or multiple editors. The volume may include chapters, conference papers, articles, essays, introductions or commentaries by the editor(s). Includes edited conference proceedings and editing of special issues of journals where the issue editor is not the regular editor. An edited volume would normally have an ISBN or ISSN.</p> <p>Excludes regular editorial work as a member of an editorial board, which should be listed as a research contribution.</p>
Intellectual Property (e.g., patent and trademark)	<p>Granted patents, copyrights, plant breeder's rights, trademarks, or registered designs on specific products or processes. Patents can have been granted in New Zealand or another country and must have been granted for the first time during the assessment period. The principles for non-traditional research output types apply.</p> <p>Excludes</p> <ul style="list-style-type: none"> <li>• multiple rights for the same product or process, or applications for which no determination has been made on patent rights; and</li> <li>• pending or provisional patent applications.</li> </ul> <p>Exceptions for broader use of outputs at UC:</p> <ul style="list-style-type: none"> <li>• provisional patents can be included, and</li> <li>• patents do not need to be granted within a specific PBRF assessment period.</li> </ul>
Journal Article	<p>A substantial work of scholarship published in a scholarly journal that has an ISSN and would normally be peer reviewed.</p> <p>Includes</p> <ul style="list-style-type: none"> <li>• original research in a scholarly journal, such as research notes that are refereed, or critical scholarly texts that appear in article format;</li> <li>• review articles in scholarly journals that summarise the current understanding of a field (not book reviews, which are included under Other);</li> </ul>

	<ul style="list-style-type: none"> <li>• invited papers in journals where the journal’s standard practice is to referee contributions;</li> <li>• refereed research articles in journals that are targeted to scholars and professionals; and</li> <li>• articles in a stand-alone series.</li> </ul> <p>Excludes</p> <ul style="list-style-type: none"> <li>• addenda to previous published journal articles;</li> <li>• articles designed to inform practitioners in a professional field, such as a set of guidelines or the state of knowledge in a field unless it clearly contains new research findings;</li> <li>• articles in newspapers and popular magazines;</li> <li>• editorials or letters to the editor;</li> <li>• book reviews;</li> <li>• case histories that are not full journal articles in themselves;</li> <li>• commentaries and brief communications of original research;</li> <li>• conference proceedings published in journals or special editions of journals; and</li> <li>• reviews of art exhibitions, concerts, theatre productions or other media.</li> </ul> <p>Note: Sometimes special editions of journals appear as stand-alone books. Contributions to special editions of journals may be counted as either book chapters or journal articles but not both. An item with a parent document that has an ISSN should be categorised as a journal article.</p> <p>Exceptions for broader use of outputs at UC include</p> <ul style="list-style-type: none"> <li>• articles designed to inform practitioners in a professional field, such as a set of guidelines or the state of knowledge in a field unless it clearly contains new research findings; and</li> <li>• publication of articles derived from conference papers but independently reviewed and accepted by the journal.</li> </ul>
Oral Presentation	<p>An oral research or scholarly presentation delivered at an event or venue that is not considered a conference. The event where presented must be arranged for the dissemination of academic research or discussion.</p> <p>Includes</p> <ul style="list-style-type: none"> <li>• invited lecture in a named series that is prestigious within the discipline;</li> <li>• whaikōrero;</li> </ul>

	<ul style="list-style-type: none"> <li>• spoken presentations at hui, wānanga;</li> <li>• Public or industry seminars, forums, workshops or congresses; and</li> <li>• Poetry reading of author's own work.</li> </ul>
Other Form of Assessable Output	<p>Outputs that meet the PBRF Definition of Research but do not fit into other categories. This category is only used if the output fits none of the others. Outputs must be underpinned by research and while they may be included in the list of potential outputs this does not mean that they will automatically meet the PBRF Definition of Research. Staff member's categorising NROs under Other Form of Assessable Output must provide an explanation of the research component in the Description field and may want to explain why this was the most appropriate form for the research.</p> <p>Includes (but is not limited to)</p> <ul style="list-style-type: none"> <li>• devices;</li> <li>• reviews of books, performances, compositions and films;</li> <li>• articles published in daily or weekly newspapers or non-scholarly magazines;</li> <li>• editorials and letters to editor;</li> <li>• brief introductions or prefaces to edited books;</li> <li>• comments and letters in journals;</li> <li>• Dictionary and encyclopaedia entries;</li> <li>• magazine articles;</li> <li>• websites;</li> <li>• broadcasts;</li> <li>• interviews;</li> <li>• programme notes and CD insert notes; and</li> <li>• non-chapter contributions to books, for example, case history, side bar, supplements, summaries and commentaries in books or monographs.</li> </ul> <p>Exceptions for broader use of outputs at UC include curated databases.</p>
Report	<p>A published document that has been commissioned, written by an individual or jointly by several authors and details the results of a research project. Alternatively, it may explore a technical or scientific research problem. The report may include recommendations and conclusions. The report details the results of research carried out for the external organisation or individual sponsor that funded or commissioned the research. The report may be confidential only to</p>

	<p>those authorised to have access or the commissioning sponsor. External organisations may include (but are not limited to) charities, commercial companies, local or national governments, United Nations or non-governmental organisations. Reports written for, on behalf of, or in partnership with, iwi and hapū.</p> <p>Excludes</p> <ul style="list-style-type: none"> <li>• submissions to select committees;</li> <li>• progress or final reports on researcher-initiated projects regardless of funder, for example, progress or final report for a Marsden project; and</li> <li>• summary reports on activities for a review period, for example, school annual report on activities, or reports relating to consortia activity and performance.</li> </ul>
<p>Scholarly Edition / Literary Translations (where these contain significant editorial work in the nature of research)</p>	<p>An edition of another author's original work or body of works informed by critical evaluation of the sources (such as, earlier manuscripts, texts, documents and letters) often with a scholarly introduction and explanatory notes or analysis on the text and/or original author. This edition may include a translation of the original text(s) as well as significant literature containing interpretations of the text and/or original author and their context.</p> <p>Includes critical scholarly texts (for example, music, medieval or classical texts).</p>
<p>Software</p>	<p>Originally researched, created and published software (computer programs and their associated documentation, consisting of a set of instructions written by a programmer) or database products of commercial quality and offered for sale or distributed as shareware through a recognised publisher or distributor.</p> <p>Includes</p> <ul style="list-style-type: none"> <li>• operating systems,</li> <li>• utilities,</li> <li>• application programs,</li> <li>• interactive multimedia,</li> <li>• video games, and</li> <li>• logic systems.</li> </ul> <p>Excludes</p> <ul style="list-style-type: none"> <li>• programmed code scripted to enhance existing commercial software applications, programmes or procedures; and</li> <li>• databases of references or material for supporting research programmes of individual researchers.</li> </ul>

Thesis – Master’s or Doctoral	<p>A doctoral thesis advancing an original idea through research and leading to the award of a PhD or equivalent qualification at a recognised New Zealand or international university.</p> <p>A Master’s thesis of 90 points or above that advances an original idea through research and leads to the award of a Master’s or equivalent qualification at a recognised New Zealand or international university.</p> <p>Other relevant professional qualification thesis.</p> <p>Excludes</p> <ul style="list-style-type: none"> <li>• honorary doctorates; and</li> <li>• Master’s courses or papers of less than 90 points (for example, research project or dissertation).</li> </ul> <p>Exceptions for broader use of outputs at UC include all UC Master’s degrees with a research component of 30 points resulting in an assessable output.</p>
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