PART C

Part C provides the information necessary for HEPs to determine what can and cannot be included in Research Publications Return - Return 2.

9. Research Publications Return - Return 2

9.1 General requirements

In the Research Publications Return - Return 2, HEPs must report the total number of books, book chapters, journal articles and conference papers.

To be counted, each research publication must:

- comply with the definition of research (as defined at section 1.3.10)
- only be counted once by each HEP
  - e.g. if a conference paper is published in conference proceedings and is subsequently included as a chapter in a book, it can be counted as a chapter or as a conference paper but not both

and be characterised by:

- substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and provided in a format which allows a reader to trace sources of the work, including through citations and footnotes
- originality (i.e. not a compilation of existing works. See important notes below regarding the treatment of scholarly editions and scholarly translations)
- veracity/validity through a peer review process or by satisfying the commercial publisher processes
- increasing the stock of knowledge
- being in a form that enables dissemination of knowledge.

IMPORTANT NOTES:

HEPs must provide unweighted publications data only. In determining HEPs’ allocations from the Research Training Scheme, Joint Research Engagement, Australian Postgraduate Awards, International Postgraduate Research Scholarships and the Commercialisation Training Scheme the department will weight books 5:1 compared with the other research publication categories.

Scholarly editions and scholarly translations must have a major demonstrable original research component in the edition or translation to be considered for inclusion in a HEP’s research publications return.

The author of the research publication must be affiliated with the claiming HEP (as set out in section 9.4 of Part C).

For categories other than book chapters, where there are multiple authors, the count must be apportioned according to the number of authors (see also section 9.5 of Part C).

Book chapters (including apportioning of authors) should be calculated using the methodology at APPENDIX D.
9.2 Year of publication

The fundamental principles that underpin the publications data are:

- The publication is claimed in the appropriate year.
- The year of publication must be verifiable.
- The publication is claimed once only.

To be able to count publications in the 2011 submission of Research Publications Return - Return 2:

- the research must have been published in the 2010 calendar year, and
- 2010 must be stated as the year of publication within or on the work being claimed.

The definition of published in this context is the date the publication was released to its intended audience. Publications which are published as ‘advance’ or ‘in press online’ may be reported either in the year that they published online or the year of final publication. (The key requirement, as stated above, is that the publication is claimed only once).

Letters from authors, editors etc stating that a research publication was published in 2010, even though 2010 is not stated within or on the work as the year of publication, are not acceptable evidence of the year of publication. There are two exceptions:

- For journal articles and/or conference publications that are produced on CD-ROM or are web-based, and do not contain a date published within or on the work being claimed, a letter from a journal editor or conference organiser verifying the published date may be accepted.
- The date a conference was held may be acceptable evidence of the year of publication.

The year of publication is normally the latest of the year indicated as published, printed or the year of copyright. A publication with a 2011 copyright date can be reported in the 2010 collection, provided it has a publication date of 2010, and it is not counted again in the 2011 collection.

Pages showing the stated year of publication must be included in verification material (see section 9.7 of Part C).

Expanded year of publication definition

HEPs must be able to demonstrate (in the verification material that they maintain) that the publication was not produced until after the submission date for that year’s publication return i.e. that the publication, although containing a 2009 publication date, was not published until after 30 June 2010. A letter from the publisher will be considered sufficient verification material to support the claim.

Only those publications which were published after the submission date for the 2009 data collection and contain a 2009 publication date may be included under this provision.

9.3 Publication categories counted in Research Publication Return - Return 2

9.3.1 Books

To be included in this category the publication must meet the definition of research as amplified in the general requirements for research publications (see section 9.1 of Part C) and:

- must be a major work of scholarship
• must be offered for sale
  — for hard copies, bound
  — for CD-ROMs, packaged
  — for e-books, on subscription or fee basis
• must have an International Standard Book Number (ISBN)
• must be written entirely by a single author, or by joint authors who share
  responsibility for the whole book
• must have been published by a commercial publisher, as defined at section 1.3.4
  (see important note below for online books)
• the author must be affiliated with the claiming HEP as set out in section 9.4 of
  Part C.

The types of books that may meet the criteria include:
• critical scholarly texts (e.g. music, medieval or classical texts)
• new interpretations of historical events
• new ideas or perspectives based on established research findings.

The types of books that are unlikely to meet the criteria include:
• textbooks
• anthologies
• edited books
• creative works such as novels
• translations (unless they have a major demonstrable original research
  component)
• revisions or new editions
• manuals and handbooks

**IMPORTANT NOTES:**

Many of the books published by professional bodies do not report original research
findings but report the results of evaluations, or compile existing information for the
benefit of professionals or practitioners. It is important that HEPs assess these
publications very carefully against the definition of research provided at section
1.3.10 and only count those publications which are major works of scholarship and
report original research activities for the first time. Freely available research-related
reports published by external institutes or public agencies and departments are also
unlikely to meet these criteria.

The requirements for books and book chapters outlined in sections 9.3.1 and 9.3.2
apply whether the publication is in print and/or online form (noting that the publication
can only be claimed once). However, the department recognises that there are cases
where a book or book chapter has only been made available online, and has not been
published by a commercial publisher and/or offered for sale. In these cases, the HEP
can only report the book (or book chapter) under its publications return if it has been
through an acceptable peer review process (as per section 9.6) and subject to
meeting all other requirements under section 9, including being a major work of
scholarship and meeting the definition of research. HEPs should note that publishing
online by an individual – i.e. not by recognised commercial publishers, HEPs or other
organisations – is unlikely to meet the peer review requirements or provide sufficient
editorial scrutiny.

The department will monitor and audit publications, as necessary, to ensure there is
consistency of approach.
9.3.2 Book chapters

This category refers to a contribution, consisting substantially of new material, to an edited compilation in which the material is subject to editorial scrutiny.

To be included in this category the publication must meet the definition of research as amplified in the general requirements for research publications (see section 9.1 of Part C) and:

- must be offered for sale
  - for hard copies, bound
  - for CD-ROMs, packaged
  - for e-books, on subscription or fee basis
- must have an ISBN
- must have been published by a commercial publisher, as defined at section 1.3.4 (see important note above for online book chapters)
- the author must be affiliated with the claiming HEP as set out in section 9.4 of Part C.

A book chapter may be included if it has been published previously as long as it constitutes substantial new knowledge and constitutes original research. The types of book chapters that may meet the criteria include:

- a scholarly introduction of chapter length to an edited volume, where the content of the introduction reports research and makes a substantial contribution to a defined area of knowledge
- a critical scholarly text of chapter length, e.g. in music, medieval or classical texts
- critical reviews of current research.

Unless they meet all of the criteria for inclusion, the following book chapters should be excluded:

- chapters in textbooks
- entries in reference books
- anthologies
- revisions of chapters in edited books
- forewords
- brief introductions
- brief editorials
- appendices
- literary or creative pieces such as collections of short stories; and
- translations (unless they have a major demonstrable original research component).

APPENDIX D outlines the book chapter calculation methodology.

9.3.3 Journal articles

To be included in this category the journal article must meet the definition of research as amplified in the general requirements for research publications (see section 9.1 of Part C) and:

- must be published in a scholarly journal
- must have been peer-reviewed as defined at section 9.6 of Part C. Note: the fact that an article has been peer reviewed does not automatically mean that it is eligible. The article must still meet the definition of research as well as all other criteria
- must have an International Standard Serial Number (ISSN)
Some journals may be regularly published as separate volumes with an ISBN rather than an ISSN. Provided that the publication is clearly identified as an edition of a journal, and not a book, articles in such publications may be eligible if they meet all other criteria.

If an ISSN does not appear in the journal:

- external evidence such as an ISSN number being cited in an extract from an authoritative journal listing, such as the Thomson-Reuters Master Journals List or from the Scopus database;
- evidence that the journal is classified as ‘refereed’ in the Ulrich’s Knowledgebase;

- the author must be affiliated with the claiming HEP as set out in section 9.4 of Part C.

The types of journal articles that may meet the criteria include:

- commentaries and communications of original research
- research notes
- letters to journals, provided that the letter satisfies the definition of research (as defined at section 1.3.10) and the requirements for journal articles in this section
- critical scholarly texts which appear in article form
- articles reviewing multiple works or an entire field of research
- invited papers in journals
- articles in journals which are targeted to both scholars and professionals
- articles in a stand alone series.

The types of journal articles that are unlikely to meet the criteria include:

- letters to the editor
- case studies
- articles designed to inform practitioners on existing knowledge in a professional field
- articles in newspapers and popular magazines
- editorials
- book reviews
- brief commentaries and communications of original research
- reviews of art exhibitions, concerts, theatre productions.

### 9.3.4 Conference publications

To be included in this category the conference publication must meet the definition of research as amplified in the general requirements for research publications (see section 9.1 of Part C) and must:

- be published in full. The papers may appear in a number of different formats, e.g. a volume of proceedings, a special edition of a journal, a normal issue of a journal, a book or a monograph, CD-ROM or conference or organisational web site
- be peer reviewed (see section 9.6 of Part C)
- be presented at conferences, workshops or seminars of national or international significance
- the author must be affiliated with the claiming HEP, as set out in section 9.4 of Part C.

**IMPORTANT NOTE:**

Conference publications do not require an ISBN or need to be published by a commercial publisher.
The types of conference publications that are unlikely to meet the criteria include:

- papers that appear only in a volume handed out to conference participants
- keynote addresses
- plenary addresses
- poster presentations
- abstracts of conference publications

### 9.4 Author affiliation

The author of the research publication being counted in the Research Publication Return - Return 2 must be affiliated with the claiming HEP and the affiliation must be identified either within or on the work being claimed.

Where author affiliation with the claiming HEP is not identified within a work, the following evidence retained in verification material would be sufficient to demonstrate author affiliation and should include:

- a statement from the author indicating that he or she undertook the research leading to the publication in his or her capacity as a staff member or student of the HEP and either
  - a statement from the Director of Human Resources or Dean of Students (or equivalent) indicating that the author was an appointee or student of the HEP in 2010 (or earlier if that was when the research leading to the publication was conducted) or
  - an extract from the HEP’s staff or student list that lists the author.

Students (domestic or international) are considered to be those students undertaking HDR training to achieve a Research Doctorate (including Professional Doctorates) or a Research Masters (see section 1.3.6 for definition of higher degree by research training).

Where a publication shows that an author has affiliation to more than one HEP (e.g. Janet Harvey, Tutor in Economics, HEP X; PhD student, HEP Y), each Australian HEP named in that by-line can each count the publication in its respective Research Publication Return - Return 2.

Adjunct fellows, honorary staff members and staff on leave are considered affiliated with a HEP if the HEP is identified in the by-line.

### 9.5 Apportioning authors

For categories other than Book Chapters, where there are multiple authors the count must be apportioned according to the number of authors. For example, if there are three authors of a publication, one third should be counted for each author who was a staff member or student of the reporting HEP.

For Book Chapters, authors should be apportioned according to the methodology set out in APPENDIX D.

### 9.6 Peer review

For the purposes of the HERDC, an acceptable peer review process is one that involves an assessment or review of the research publication in its entirety by independent, qualified experts before publication. Independent in this context means independent of the author.

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9 The department’s intention is that this section applies to multiple authors across more than one HEP. Where all of the authors are affiliated with the same HEP, then the HEP should count that publication (subject to meeting all other requirements) according to one author (i.e. no apportioning is necessary).
Peer review is relevant for journal articles, conference publications and online books (see section 9.3) being counted in the Research Publications Return - Return 2.

For journal articles, any of the following are acceptable as evidence of peer review:

- the journal is listed on the ARC's ERA 2010 journal list
- the journal is listed in Thomson Reuters Web of Knowledge Master Journal List
- the journal is classified as 'refereed' in the Ulrich's Knowledgebase
- the journal is included in the department’s register of refereed journals (no longer maintained)
- there is a statement in the journal which shows that contributions are peer reviewed
- there is a statement or acknowledgement from the journal editor which shows that contributions are peer reviewed
- a copy of a reviewer's assessment relating to the article.

For conference publications, any of the following are acceptable as evidence of peer review:

- the conference is listed on the ARC’s ERA 2010 conference list
- there is a statement in the conference proceedings which shows that contributions are peer reviewed
- there is a statement or acknowledgement from the conference proceedings editor which shows that contributions are peer reviewed
- a copy of a reviewer’s assessment relating to the conference paper.

IMPORTANT NOTE:

A statement from an author that a publication was peer reviewed is not acceptable. The existence of a national or international advisory board is also not sufficient evidence that all relevant publications were assessed by members of it.

For books and book chapters, the concept of a commercial publisher (as defined at section 1.3.4) is used as a surrogate test of quality in place of a peer review requirement. However, as noted under section 9.3, books and book chapters that have only been made available online, and have not been published by a commercial publisher and/or offered for sale, then the HEP can only report the publications if they have been through an acceptable peer review process as per this section, and subject to meeting all other requirements under section 9, including that they are a major work of scholarship and meet the definition of research.
9.7 Verification material

HEPs must retain verification material to demonstrate that the publication meets the criteria against the category being reported. Details of individual publications counted in Research Publication Return - Return 2 and information verifying the categorisation of those publications must be retained by each HEP for a minimum of three years to facilitate any audit.

For the purposes of the HERDC, HEPs may store verification material electronically, as long as they can produce off-prints of publications (i.e. book chapters, journal articles or conference papers) if required for the department’s auditing purposes and this does not infringe copyright.

A pro-forma to assist HEPs in collecting the relevant details of individual publications are provided at APPENDIX B. APPENDIX C may assist HEPs in collecting verification material for publications. Use of these pro-formas is optional.

The completed pro-formas - or their equivalents - may need to be submitted to the department or auditors if requested.

For all publications the HEP must be able to provide the following, if required, by the department or for a publications audit:

- clarification of the bibliographical information required per publication category, as appropriate
- contents, preface, introduction and pages showing all bibliographical information as appropriate, ISBN or ISSN, author(s), publisher and all dates referring to copyright, publication, printing and distribution
- evidence indicating the author’s affiliation to the HEP, and
- if claimed using the expanded year of publication definition (see section 9.2 of Part C) a letter from the publisher indicating that the publication was not produced until after the Research Publications Return - Return 2 submission date.

In addition to the verification material set out above in section 9.7 of Part C, the HEP must also be able to provide proof set out in sections 9.7.1, 9.7.2, 9.7.3 and 9.7.4.

9.7.1 Books

The HEP must be able to provide proof that the book was published by a commercial publisher (as defined at section 1.3.4). If the book has only been made available online, and has not been published by a commercial publisher and/or offered for sale, then the HEP must be able to provide proof that the book has been through an acceptable peer review process (as per section 9.6).

9.7.2 Book chapters

The HEP must be able to provide:

- the chapter
- if a new chapter in a revised edition, the contents page of the previous edition to indicate that the chapter is new
- a printout of the book chapter calculation spreadsheet.

9.7.3 Journal articles

The HEP must be able to provide:

- the article or offprint of the article
- proof of peer reviewing as set out in section 9.6 of Part C
- If an ISSN does not appear in the journal,
  — external evidence such as an ISSN number being cited in an extract from Thomson Reuters Web of Knowledge Masters Journal List or
— evidence that the journal is classified as ‘refereed’ in the Ulrich’s Knowledgebase.

9.7.4 Conference publications
The HEP must be able to provide:

- the full paper or offprint of paper
- proof of peer reviewing as set out in section 9.6 of Part C
- proof that the conference is of national or international significance.

9.8 Foreign language publications
Foreign language publications are eligible to be counted. The same verification evidence is required, in English, as for any other works. It is not necessary to translate the entire publication, but all relevant sections required for the verification of information to demonstrate that it meets the criteria of the category against which it is being claimed should be translated. This includes evidence that the work is a major work of scholarship and meets the definition of research.

**IMPORTANT NOTE:**

The Australian Academy of the Humanities has advised that they are no longer in a position to assist HEPs in the verification of foreign language publications in the fields of the humanities.

9.9 Electronic works
Electronic works are eligible to be counted, provided they meet all the relevant criteria in these specifications (as set out in section 9 of Part C) for the publications category against which they are being claimed.
### Glossary

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>ACGR</td>
<td>Australian Competitive Grants Register</td>
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<td>APA</td>
<td>Australian Postgraduate Award</td>
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<td>ARC</td>
<td>Australian Research Council</td>
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<td>CRC</td>
<td>Cooperative Research Centre</td>
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<tr>
<td>CTS</td>
<td>Commercialisation Training Scheme</td>
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<tr>
<td>DIISR or the department</td>
<td>Department of Innovation, Industry, Science and Research</td>
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<tr>
<td>EIF</td>
<td>Education Investment Fund</td>
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<tr>
<td>ERA</td>
<td>Excellence in Research for Australia</td>
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<tr>
<td>FOI Act</td>
<td>Freedom of Information Act 1982</td>
</tr>
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<td>GST</td>
<td>Goods and Services Tax</td>
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<td>HEEF</td>
<td>Higher Education Endowment Fund</td>
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<td>HEP</td>
<td>higher education provider</td>
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<td>HERDC</td>
<td>Higher Education Research Data Collection</td>
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<td>HESA</td>
<td>Higher Education Support Act 2003</td>
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<td>HDR</td>
<td>higher degree by research</td>
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<td>IIRIS</td>
<td>Independent Research Institutes Infrastructure Support Scheme</td>
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<td>JRE</td>
<td>Joint Research Engagement</td>
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<td>LIEF</td>
<td>Linkage—Infrastructure, Equipment and Facilities</td>
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<tr>
<td>NCRIS</td>
<td>National Collaborative Research Infrastructure Strategy</td>
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<tr>
<td>OECD</td>
<td>Organisation for Economic Cooperation and Development</td>
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<td>R&amp;D</td>
<td>research and experimental development</td>
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<tr>
<td>RIBG</td>
<td>Research Infrastructure Block Grants</td>
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<tr>
<td>RTS</td>
<td>Research Training Scheme</td>
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<tr>
<td>SRE</td>
<td>Sustainable Research Excellence in Universities</td>
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APPENDIX A - Instructions for electronic submission of HERDC returns

Coverage

The following instructions apply to the submission of Research Income Return - Return 1 and Research Publications Return - Return 2 of the 2011 Higher Education Research Data Collection Specifications for the collection of 2010 data.

2011 Method of return

Research offices from each HEP will be given access to a website with detailed submission instructions and the Returns SmartForms for download.

Once the SmartForms have been completed they can be printed for the Vice Chancellors certification, and sent electronically to the department by clicking on the Submit button.

Changes or updates can be made until the cut off date of 30 June 2011.

Paper copies of the signed SmartForms (including certification) and the audit report are also required should be posted to

   HERDC Officer
   Higher Education Research Data Collection (HERDC)
   Research Funding and Policy Branch, Research Division
   Department of Innovation, Industry, Science and Research
   GPO Box 9839
   CANBERRA ACT 2601

It is important that HEPs follow the HERDC Specifications and any supplementary advice issued by the department through the website.

Submitting the returns

Instructions for completing and submitting the forms will be available on the department's website and HEPs will be notified when this advice is available.

Queries can be addressed to:

RBGrants@innovation.gov.au
APPENDIX B - Pro-formas for collecting data about individual publications

The use of this pro-forma is optional. If this pro-forma is used:

- the persons completing the pro-forma should be provided with a copy of these specifications; and
- the instructions and definitions provided in these specifications are to be followed in completing the pro-forma.

HEPs can use reporting and collection systems which best suit their operations and circumstances.
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<th><strong>BOOKS</strong></th>
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<tr>
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<tr>
<td>Date</td>
</tr>
<tr>
<td>Department/School</td>
</tr>
<tr>
<td>Name of Author(s)</td>
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</tr>
<tr>
<td>No of Authors in the Department/School</td>
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<td>Year of Publication</td>
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<td>Book Title</td>
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BOOK CHAPTER

--------------------------------------------------------------------------------------------------
Information certified by:

Author’s Signature

Date

--------------------------------------------------------------------------------------------------

Department/School

Name of Author(s) of Chapter

No of Authors of Chapter

No of Authors in the Department/School

Year of Publication

Book Title

Number of Chapters in Book

Chapter Title

Page Nos

Place of Publication

Publisher

ISBN Number
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<td>No of Authors in the Department/School</td>
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CONFERENCE PUBLICATIONS

Information certified by:

Author’s Signature

Date

Department/School

Name of Author(s)

No of Authors

No of Authors in the Department/School

Year of Publication

Title of Paper

Title of Conference Publication

Editor of Conference Publication

Place of Publication

Publisher

Name of Conference

Location and Date of Conference
APPENDIX C - Sample lists for verification material

The use of this pro-forma is optional. It contains a sample list for each of the research publication categories to assist HEPs in collecting and maintaining verification material. HEPs can use reporting and collection systems which best suit their operations and circumstances.
### HIGHER EDUCATION RESEARCH DATA COLLECTION - PUBLICATIONS

#### BOOKS

**Eligibility**

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<td>Published in 2010 as defined in 1.3.17</td>
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<td>Author(s) staff or student when research undertaken</td>
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</tr>
<tr>
<td>Major work of scholarship</td>
<td>☐</td>
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<td>Bound or packaged and offered for sale</td>
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</tr>
<tr>
<td>Has ISBN</td>
<td>☐</td>
</tr>
<tr>
<td>Mainly previously unpublished material, making a substantial contribution to knowledge</td>
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</tr>
<tr>
<td>Commercial publisher as defined in section 1.3.4 or peer-reviewed if online only and not published by commercial publisher and/or offered for sale</td>
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<td>If jointly authored, points apportioned according to section 9.5 of Part C</td>
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**Verification**

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<td>(Further evidence may be required if the above extracts do not demonstrate classification.)</td>
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<tr>
<td>Evidence indicating research undertaken in author's capacity as a staff member or student of the HEP.</td>
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**HIGHER EDUCATION RESEARCH DATA COLLECTION – PUBLICATIONS**

**BOOK CHAPTERS**

**Eligibility**

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</tr>
<tr>
<td>Meet the eligibility criteria at section 9.3.1 of Part C</td>
<td>☐</td>
</tr>
<tr>
<td>Be published in 2010 as defined in section 1.3.17</td>
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</tr>
<tr>
<td>Commercial Publisher as at section 1.3.4 or peer-reviewed if online only and not published by commercial publisher and/or offered for sale</td>
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## HIGHER EDUCATION RESEARCH DATA COLLECTION - PUBLICATIONS
### JOURNAL ARTICLE

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# Higher Education Research Data Collection - Publications

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APPENDIX D - Book chapter calculation methodology

**Calculation of book chapter weighting**

To count book chapters, use the following methodology.

The calculation should be done for each author and then aggregated for all authors at the HEP, to obtain a total score for contributions to the book.

The first chapter contributed to by an author is given a value of 1. Remaining chapters in the book contributed to by the same author are scored on a pro-rata basis.

**Step 1**
Identify a chapter to which the author contributes alone, or with as few other contributors as possible.

The value of that chapter for the author is 1 divided by the total number of contributors to that chapter.

**Step 2**
The value of the remaining chapters for the author is calculated by adding the share of each remaining chapter contributed by the author, then multiplying by 4 and dividing by one less than the number of chapters in the book.

**Step 3**
The total value of the book for the author is derived by adding the figures derived from step 1 and step 2.

**Example A**

In a book of 16 chapters, author A contributes 1 solely-authored chapter.

**Step 1**
The value is 1 divided by 1 equals 1.

**Step 2**
There are no further chapters to count.

**Step 3**
1 plus 0 equals 1. Author A’s contribution is worth 1.
**Example B**

In a book of 16 chapters, author B contributes 2 chapters alone, 1 chapter in conjunction with 1 other author, 1 chapter in conjunction with 2 other authors and 1 chapter in conjunction with 4 other authors.

**Step 1**
One of the chapters contributed alone should be counted here. The value is $\frac{1}{1} = 1$.

**Step 2**
The author has contributed a whole, a half, a third, and a fifth respectively to four of the fifteen remaining chapters in the book. Thus the value of those other chapters is $(1+0.5+0.33+0.2)\times\frac{4}{16-1} = 0.54$.

**Step 3**
The total value of the book for the author is $1.54$ (1 derived from step 1 plus 0.54 from step 2).

**Example C**

In a book of 21 chapters, author B contributes 1 chapter in conjunction with 1 other author and 1 chapter in conjunction with 2 other authors.

**Step 1**
The chapter contributed with 1 other author is the one with least contributors. Choose this chapter for step 1. The value of this chapter is $\frac{0.5}{2}$ (chapter value of 1 divided by 2 contributors).

**Step 2**
The other chapter contributed is worth $0.33 \times \frac{4}{20}$ (20 being the number of chapters remaining after the one given credit in step 1), equals 0.07.

**Step 3**
The total value of the book to the author is $0.57$ (0.5 derived from step 1 plus 0.07 derived from step 2).

**Example D**

In a book of 21 chapters, author D contributes 2 chapters in collaboration with 1 other, 3 chapters in conjunction with 3 others, and 1 with 4 others.

**Step 1**
Count a chapter shared with 1 other here. Value 0.5.

**Step 2**
The value of the other chapters is $(0.5+0.25+0.25+0.25+0.2)\times\frac{4}{21-1} = 0.29$.

**Step 3**
Total value is $0.5+0.29 = 0.79$.

If authors C and D are contributors from the same HEP to the same book, the HEP will be credited with 1.36 (0.57+0.79) in category B from that book.

The Department has placed a spreadsheet on the web site which HEPs should use to calculate automatically the value of an author’s contribution to an edited book.
1.3 Definitions

For the purposes of this specification document, the following requirements and definitions apply:

1.3.1 Audit certificate
HEPs must provide an Audit Certificate which certifies as correct the research income included in the Research Income Return - Return 1 for all categories:

- Category 1: Australian competitive grants
- Category 2: Other public sector research income
- Category 3: Industry and other research income
- Category 4: CRC research income

Auditing requirements are set out in section 4.2.

1.3.2 Author affiliation
The author of the research publication being counted in the Research Publication Return - Return 2 must be affiliated with the claiming HEP and the affiliation must be identified either within or on the work being claimed.

Author affiliation is further explained in section 9.4 of Part C.

1.3.3 Capital grants
Capital grants are those grants provided to a HEP to purchase an asset of a durable nature, even if the asset is for the purpose of conducting research. Capital grants include grants for the construction and/or upgrade or refurbishment of buildings, centres or facilities, as well as purchase of properties or land.

Capital grants are distinct from grants for research infrastructure. Grants for research infrastructure are considered to include grants for specific and specialised equipment which are used in the conduct of research.

1.3.4 Commercial publisher
A commercial publisher is an entity for which the core business is producing books and distributing them for sale.

If publishing is not the core business of an organisation but there is a distinct organisational entity devoted to commercial publication and its publications are not completely paid for or subsidised by the parent organisation or a third party, the publisher is acceptable as a commercial publisher.

HEP and other self-supporting HEP presses are also regarded as commercial publishers, provided that they have responsibility for the distribution of the publication, in addition to its printing.
1.3.5 Consultancy
A consultancy is the practice of providing expert advice, specialist knowledge or objective review within a particular field. Consultancy fees for the conduct of projects or provision of services that do not comply with the definition of research (as per section 1.3.10) must not be counted in a HEP’s research income return.

1.3.6 Higher degree by research training
Higher degree by research (HDR) training is training undertaken by students (domestic and international) to achieve a Research Doctorate (including a Professional Doctorate) or Research Masters (as described in the Australian Qualifications Framework and for which at least two-thirds of the student load for the course is required as research work).

1.3.7 Literature review
Where a literature review predominantly comprises of a summary of the current knowledge and findings of a particular research field or topic, and as such, does not include any critical assessment or report any new findings or original experimental work, then this publication type is unlikely to comply with the definition of research (section 1.3.10).

1.3.8 Net received income
HEPs should only report net received income in their research income returns. Net received income is the amount of research income a HEP (or subsidiary) retains in its accounting system after shared research income (section 1.3.14) has been divided and/or third party income (section 1.3.15) has been expended and/or distributed and is verified in its audited financial statements.

The requirements for net received income are further explained at:

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<td>Research Income Return – Return 1 Category 4</td>
<td>PART B</td>
</tr>
<tr>
<td>Instructions for Electronic Submission of HERDC Returns</td>
<td>APPENDIX A</td>
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</table>

1.3.9 Peer review
An acceptable peer review process is one that involves an assessment or review of the research publication in its entirety before publication by independent, qualified experts. Independent in this context means independent of the author.

Peer review is relevant for journal articles and conference publications counted in the Research Publications Return – Return 2.

Peer review is further explained at section 9.6 of Part C.

1.3.10 Research
Research is defined as 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 and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.

This definition of research is consistent with a broad notion of research and experimental development (R&D) as comprising of creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise new applications.\(^2\)

This definition of research encompasses pure and strategic basic research, applied research and experimental development. Applied research is original investigation undertaken to acquire new knowledge but directed towards a specific, practical aim or objective (including a client-driven purpose).

Activities that support the conduct of research and therefore meet the definition of research include:

- professional, technical, administrative or clerical support staff directly engaged in activities essential to the conduct of research
- management of staff who are either directly engaged in the conduct of research or are providing professional, technical, administrative or clerical support or assistance to those staff
- the activities and training of HDR students enrolled at the HEP
- the development of HDR training and courses
- the supervision of students enrolled at the HEP and undertaking HDR training and courses
- research and experimental development into applications software, new programming languages and new operating systems (such R&D would normally meet the definition of research)

Activities that do not support the conduct of research must be excluded, such as:

- scientific and technical information services
- general purpose or routine data collection
- standardisation and routine testing
- feasibility studies (except into research and experimental development projects)
- specialised routine medical care
- commercial, legal and administrative aspects of patenting, copyright or licensing activities
- routine computer programming, systems work or software maintenance.

**IMPORTANT NOTE:**

Unless otherwise specified, a reference to research refers to this definition as set out in section 1.3.10.

### 1.3.11 Reference year

The reference year for research income (Categories 1, 2 and 3) is the 2010 calendar year. For CRC research income (Category 4) the reference year is the financial year 2009-10.

For research publications, refer definition – Year of Publication at section 1.3.17.

1.3.12 Research publications
Research publications are books, book chapters, journal articles and/or conference publications which comply with the definition of research and are characterised by:

- substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and provided in a format which allows a reader to trace sources of the work, including through citations and footnotes;
- originality (i.e. not a compilation of existing works);
- veracity/validity through a peer review process (see section 1.3.9) or commercial publisher process (see section 1.3.4);
- increasing the stock of knowledge; and
- being in a form that enables the dissemination of knowledge.

IMPORTANT NOTES:
Scholarly editions and scholarly translations must have a major demonstrable original research component in the edition or translation to be considered for inclusion in a HEP's research publications return.

Unless otherwise specified, a reference to publication refers to research publications.

The requirements for publications are further explained at:

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</tr>
<tr>
<td>Book Chapter Calculation Methodology</td>
<td>APPENDIX D</td>
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1.3.13 Subsidiaries
A subsidiary is an entity, including an unincorporated entity such as a partnership that is controlled by another entity (known as the parent).

1.3.14 Shared research income
Shared research income is income that has been received by a HEP and a partner organisation (HEP or non-HEP) for the purposes of conducting joint research.

The requirements for shared research income are further explained at section 7.8 of Part A.

1.3.15 Third party income
Third party income is defined as income a HEP receives, and then contracts and/or distributes to another organisation (including affiliated organisations) to undertake research.