This document contains excerpts relating to the publications collection sourced from the Department of Education, Science and Training’s (DEST’s) document titled “Higher Education Research Data Collection: Specifications for the Collection of 2004 Data”

2.4. Research

The HERDC uses the OECD definition of research which comprises:

- creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications.
- any activity classified as research is characterised by originality; it should have investigation as a primary objective and should have the potential to produce results that are sufficiently general for humanity's stock of knowledge (theoretical and/or practical) to be recognisably increased. Most higher education research work would qualify as research.
- pure basic research, strategic basic research, applied research and experimental development.
PART C

Part C provides the information necessary to determine what can and cannot be included in HEP’s publications counts.

11. Research Publications Return—Return 2


For the purposes of this collection, a ‘research publication’ is 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 through citations, footnotes, etc
- originality (i.e. not a compilation of existing works)
- veracity/validity through a peer validation process or by satisfying the commercial publisher or gallery processes
- increasing the stock of knowledge
- being in a form that enables dissemination of knowledge.

11.2. General Requirements

- HEPs should report the total number of books, book chapters, journals and conference papers in their publications return.
- Book chapters should be calculated using the method at Appendix F.
- The department will award books a weighting of 5:1 (compared to the other publications categories) within the formula used to determine HEP’s allocations from the RTS and IGS.

Each publication must:
- meet the definition of research (see 2.4)
- only be counted once by each HEP
  - If, for example, 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
- In the case of multiple authors from different HEPs, refer to 11.2.1.

11.2.1. Apportioning Authors

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

For Book Chapters, authors should be apportioned according to the formula set out at Appendix F.

11.2.2. Verification Material

Verification material must be retained to demonstrate that the publication meets the criteria against the category being reported.

Verification material should be retained for three years.

Specifications for Collection of 2004 data

A pro-forma to assist in collecting details of individual publications is provided at Appendix D. Use of the pro-forma is optional. The information may be kept in written or electronic form.

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

Details of individual publications counted and information verifying the classification of those publications must be retained by each HEP for three years to facilitate any audit.

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 biographical information required per publication category, as
appropriate
\* photocopies of contents, preface, introduction and pages showing all bibliographical information as appropriate, ISBN or ISSN, author(s), publisher, all dates referring to copyright, publication, printing and distribution

For example, an ISBN or a publisher is not required for conference publications but each is essential for books and book chapters
\* evidence indicating the author’s affiliation to the HEP.

11.2.3. Additional Verification Material for each Publication Category
Additional material required for each of the publications categories is set out below. A series of lists to aid in the gathering of verification material is at Appendix D and E.

11.2.3.1. Books
No additional requirements

11.2.3.2. Book Chapters
\* copy of the chapter
\* if a new chapter in a revised edition, include the contents page of previous edition to indicate that chapter is new
\* a printout of the book chapter calculation spreadsheet.

11.2.3.3. Journal Articles
\* copy or offprint of article
\* proof of peer reviewing as described at 11.6.
\* If an ISSN does not appear in the journal,
\* external evidence such as an ISSN number being cited in an extract from one of the Institute for Scientific Information indexes (www.isinet.com/journals) or the journal is classified as ‘refereed’ in Ulrich’s International Periodicals Directory (Volume 5 - Refereed Serials) or via Ulrich’s web site www.ulrichsweb.com

11.2.3.4. Conference Publications
\* copy or offprint of paper
\* proof of peer reviewing as described at 11.6
\* proof of national or international significance if not shown in other information already required
\* keynote addresses and invited papers may be included where all other papers for the conference are peer reviewed.

Specifications for Collection of 2004 data

24

\* HEPs must be able to demonstrate evidence of the keynote status of the address (eg. contents page) and other contributions to the conference being peer reviewed (eg. a statement in the introduction to proceedings indicating this).

11.3. Year of Publication
For the purposes of the HERDC, the research must have been published in 2004 and the date of publication must appear within or on the work being claimed. Letters from authors, editors, creators, etc, stating that a work was published in 2004, even though no such date exists within the publication, are not acceptable evidence of year of publication.

\* an exception to this may apply for Journal Articles or Conference Publications that are produced on CD-ROM or are web-based where no date exists within or on the publication. In these instances a letter from the editor of the journal or the conference organiser may be accepted to indicate the year published. Note that this applies only to works where no date exists within the work being claimed. A letter from an editor or conference organiser cannot override a date that is displayed within the work.

\* a further exception may apply for the copyright date or ‘date last updated’ that appears on a web page. These dates may refer to copyright or updated date of
the web page, not the publication. A web page date should not be used as the date of publication.
The date a conference was held may be acceptable as the year of publication if no other date exists on the work.
The year of publication would normally be the latest of the year indicated as published, the year indicated as printed or the year of copyright.
Copies of the pages showing the available publication details must be included in verification materials.
This means that if the first publication (e.g. Australian Journal of Astrophysics December 2004) is shown as having been published, printed or copyrighted in 2005, it cannot be counted in the current collection because the nominal year of publication has been overridden. It will have to be considered for the following collection of year 2005 publications.

11.4. Author Affiliation
Author 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, advice via email 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
• 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 2004 (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.
Where a publication shows that an author has affiliation to more than one HEP (eg Janet Harvey, Tutor in Economics, HEP of X; PhD student, HEP of Y), each Australian HEP named in that by-line can claim the publication at full value. Adjunct fellows, honorary staff members and staff on leave are considered affiliated with a HEP if the HEP is identified in the by-line.

11.5. Commercial Publishers
The concept of a commercial publisher is used as a surrogate quality test for books and book chapters in place of any formal peer review requirement.
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 will be accepted as a commercial publisher.
For the purpose of the HERDC, HEP and other self-supporting HEP presses are regarded as commercial publishers, provided that they have responsibility for the distribution of the publication and not only its printing.
A register of acceptable commercial publishers is available on the department’s web page at:
This list is not intended to be a comprehensive list of all acceptable publishers. HEPs will need to be satisfied that a publisher not on the list satisfies the criteria for a commercial publisher in order for its publications to be counted in Research Publications Return—
Note that many of the books published by professional bodies do not report original research findings but report the results of evaluations, or repackage 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 2.4 and only count those publications which report research activities.

11.6. Peer Review
For the purposes of the HERDC, an acceptable peer review process is one that involves an independent, expert review.

The peer review process must involve assessment of the publication:
- in its entirety – not merely an abstract or extract
- before publication
- by appropriately independent, qualified experts. Independent in this context means independent of the author.

For journal articles, any of the following are acceptable as evidence:
- the journal is listed in one of the Institute for Scientific Information indexes (www.isinet.com/journals)
- the journal is classified as 'refereed' in Ulrich's International Periodicals Directory (Volume 5 - Refereed Serials) or via Ulrich’s web site www.ulrichsweb.com
- the journal is included in the department’s Register of Refereed Journals (see 11.10)
- 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.

Note:
- a statement from an author that a publication was peer reviewed will not be accepted
- the existence of a national or international advisory board is not sufficient evidence that all relevant publications are assessed by members of it.

11.7. 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.

This includes evidence that the work meets the definition of research.

Note: The expertise of the Australian Academy of the Humanities may be used to assist a HEP in the validation of foreign language publications in the fields of the humanities. Any such arrangements are to be negotiated between the Academy and the respective HEP.

11.8. Electronic Works
Electronic works are eligible to be counted, provided they meet all the relevant criteria in these specifications (at section 11) for the publications category against which they are being claimed.

11.9. Publication Categories Counted in the HERDC
Data from all publication categories counted in the HERDC is entered into Return 2—Publications.

11.9.1. Books
To be included in this category the publication must meet the definition of research (see 2.4) as amplified in the key characteristics of research publications (see section 11) 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 11.5
• the author must be affiliated with the claiming HEP.
The types of books that may meet the criteria include:
  Specifications for Collection of 2004 data
  27
  • critical scholarly texts (for example 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
  • revisions/new editions

11.9.2. 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 (see
2.4) as amplified in the key characteristics of research publications
(see section 11) 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 International Standard Book Number (ISBN)
• must have been published by a commercial publisher, as defined at 11.5
• the author must be affiliated with the claiming HEP
• 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, eg. 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:
• textbooks
• entries in reference books
• anthologies
• revisions of chapters in edited books
• forewords
• brief introductions
• brief editorials
11.9.3. Journal Articles
To be included in this category the journal article must meet the definition of research (see 2.4) as amplified in the key characteristics of research publications (see section 11) and:

- must be published in a scholarly journal
- must have been peer-reviewed as defined at 11.6 (note that 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 Ulrich’s or ISI is sufficient to demonstrate the existence of the number
- the author must be affiliated with the claiming HEP.

The types of journal articles that may meet the criteria include:
- commentaries and communications of original research
- research notes
- letters to Nature
- 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.

11.9.4. Conference Publications
To be included in this category the conference publication must meet the definition of research (see 2.4) as amplified in the key characteristics of research publications (see section 11) and must:

- be published. The papers may appear in a number of different formats, eg. 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 11.6)
- be presented at conferences, workshops or seminars of national or international significance
- the author must be affiliated with the claiming HEP.
As meetings called ‘workshops’ or ‘seminars’ generally have lower status than meetings called ‘conferences’, HEPs must be able to demonstrate clearly that they have national or international significance and include the evidence with the verification materials, as for any conference.

Keynote addresses and invited papers may be included where all other papers for the conference are peer reviewed. HEPs must be able to demonstrate evidence of the keynote status of the address (eg. contents page) and of the other contributions to the conference being peer reviewed (eg. a statement in the introduction to proceedings indicating this) must be provided.

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.

11.10. **Register of Refereed Journals**

The department maintains a *Register of Refereed Journals*. This Register is a list of journals that satisfy the peer review requirements as defined at 11.6. Inclusion on the Register (or the ISI or Ulrich’s listings) does not automatically allow all articles in such journals to be counted in the collection. Inclusion only indicates that peer review requirements have been satisfied. Other requirements (see section 11) must also be met.

The *Register of Refereed Journals* is available on the department’s web page at [http://www.dest.gov.au/highered/research/herdc.htm](http://www.dest.gov.au/highered/research/herdc.htm). This list is not intended to be a comprehensive list of all acceptable refereed journals. HEPs will need to be satisfied that a journal satisfies the criteria for inclusion set out in section 11.


The Register is updated regularly throughout the year.