This version of the handbook reflects the latest publications specifications from DEEWR made available by them as at November 2007 and supersedes earlier copies of the handbook.

*** HELP HOTLINE ***
Where staff encounter any problems that cannot be solved through this booklet or by contacting their school/ research centre etc, please contact Neale Yates (9919 4601) or Cora Ng (9919 5354) at the Office for Research.
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GENERAL INFORMATION

Publications submitted in categories A1, B, C1 & E1 may be subject to external audit and evidence verifying publication details must be submitted with the proforma

Staff will need to:

• Submit a signed proforma.

• Attach photocopy evidence of the publication. This will normally be a photocopy of the table of contents/flyleaf/preface/introduction, whatever is appropriate to the type of publication. (See Pages 19-24 For Details)

• Ensure Schools/research centres etc. will retain copies of submitted proformas (and attached photocopied publication details) centrally for three years to facilitate the verification process by DEEWR.

• Ensure published or commercially available item available for inspection by DEEWR auditors.

WHEN DO THE FORMS HAVE TO BE RETURNED?

It is anticipated that schools/research centres etc will make a formal start to the collection process in early February. Your School will set a deadline for the return of Proformas. Please check with your school or research centre to find out what their schedule will be. The Office for Research expects that the data entry and correction process will need to be completed by departments/research centres etc by Monday, 14 April 2008. Internal audit of data to check publication categories and that appropriate verification documents will then follow.

PROFORMAS are available from the Office for Research website at http://research.vu.edu.au/herdc_pub.php
CHANGES TO THE HERD COLLECTION AT VU

CREATIVE WORKS

- Creative works categories are now collected through a separate process. Details are available at http://research.vu.edu.au/creativeworks.php

WHAT ABOUT THE RQF?

- The HERD collection was supposed to be replaced by the RQF. The RQF has now been dropped by the current government and will be replaced by some form of metrics based measurement of quality. In the interim we still have the HERD collection.
DEEWR ADVICE ON PUBLICATIONS

The following is an extract from the 2008 HIGHER EDUCATION RESEARCH DATA COLLECTION - SPECIFICATIONS FOR THE COLLECTION OF 2007 DATA (Sections 1.3 & 9):

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:

- meet the definition of research (as defined at section 1.3.9, page 7)
- 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)
- 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.

The author of the research publication must be affiliated with the claiming HEP (as set out in section 9.4 of part C (page 27).

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, page 28)

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 Returns-Return 2 and information verifying the categorisation of those publications must be retained by each HEP for three years to facilitate any audit.

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, page 24), a letter from the publisher indicating that the publication was not produced until after the Research Publications Return – Return 2 submission date.

DEFINITIONS

Year of Publication

To be able to count publications in the 2008 submission of Research Publications Returns-Return 2:

- the research must have been published in the 2007 calendar year, and
- 2007 must be stated as the year of publication within or on the work being claimed.

Letters from authors, editors, creators etc stating that a research publication was published in 2007, even though 2007 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, where no year of publication is stated within or on the work: here, a letter from a journal editor or conference organiser may be accepted to identify the year of publication. 
  Note: this applies only to journal articles or conference publications where no date is stated within or on the work being claimed. A letter from an editor or conference organiser cannot override a year of publication stated within the work.
- The date a conference was held may be acceptable evidence of the year of publication, provided no other date exists within or on the conference publication being claimed.

The year of publication is normally the latest of the year indicated as published, printed or the year of copyright. HEPs should note that copyright dates or ‘date last updated’ that appear on web pages do not typically refer to a research publication included on that page. Web page dates should not be used as evidence of the year of publication.

Pages showing the stated year of publication must be included in verification material (see section 9.7 of part C, page 29).

Expanded Year of Publication Definition

Only those publications which:

- were published after the submission date for the 2006 data collection; and
- contain a 2006 publication date,

may be included under this provision.

Publications from 2005 and earlier years are not eligible to be included under this provision.

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 2005 publication date, was not published until after 30 June 2007. A letter from the publisher will be considered sufficient verification material to support the claim.

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 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 2007 (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 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.

Commercial Publisher

For the purposes of these specifications, 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.

4.3.4 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 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 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 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 (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.
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 Australian Academy of the Humanities has advised DEEWR that they are no longer in a position to assist HEPs in the verification of foreign language publications in the fields of the humanities.*

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, page 24) for the publications category against which they are being claimed.
COMMON QUESTIONS AND ANSWERS ABOUT PROFORMAS

I COLLABORATED WITH OTHER STAFF FROM MY SCHOOL. SHOULD WE ALL SUBMIT A PROFORMA?

No. One author should submit a proforma on behalf of all the collaborating authors from his/her department. This avoids duplicate entries in a school.

WHAT IF I COLLABORATED WITH STAFF FROM OTHER SCHOOLS? SHOULD WE SUBMIT A PROFORMA TO EACH DEPARTMENT?

Yes. One proforma should be submitted to each of the schools. This way each department gets the correct publication calculation and each school will receive appropriate recognition in the research bibliography.

WHOM SHOULD I GIVE MY COMPLETED PROFORMAS TO?

Give them to the nominated data entry person in your school/research centre etc. See http://research.vu.edu.au/herdc_pub.php for a list.

WHAT IF I RUN OUT OF ROOM ON THE FORM?

Please attach a sheet of paper.

WHAT IF I DO NOT HAVE ALL THE PUBLICATION DETAILS TO HAND? SHOULD I LEAVE BLANKS?

No. All the information is required. Please do not submit your proforma until all questions have been answered.

DO OTHER DOCUMENTS NEED TO ACCOMPANY THE PROFORMA?

Yes. You need to attach photocopies of source documents appropriate to the type of publication. The verification requirements are outlined on section 9.7 of Part C, p 29-30. This material is only required for A1, B, C1 and E1 category publications.
HOW TO FILL IN THE PROFORMAS

The information below outlines how to fill in the questions which are common to all the proformas

<table>
<thead>
<tr>
<th>AUTHOR(S) (in the order they appear on the publication)</th>
</tr>
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<tbody>
<tr>
<td>Family Name</td>
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</tr>
</tbody>
</table>

What we need here is:
1. The family name of the author(s).
2. The given name of the author(s)
3. Authors’ School/Research Centre or Institute or other unit. Research Centre or Institute should only be reported here for employees of Centres or Institutes
4. Indicate Staff or student or external as appropriate for each author.
5. Indicate the appropriate Centre or Institute if the author wishes to claim the Centre/Institute bonus for this publication. Note that to claim the bonus for 2007 publications, the author must be a formal Associate of the Centre or Institute. Since the Centre/Institute publication bonus is calculated on an individual basis authors may need to check with their co-authors regarding their affiliation.

School/Centre where you are submitting this Proforma

Please note which School, Research Centre, Institute etc. you are submitting this proforma to. This will normally be your school. It may seem an unnecessary question, but the software needs the information to perform a calculation for the HERDC return and to attribute the work to the correct schools in research reports. As noted earlier, only one proforma should be lodged with each department for that particular publication output.

Total Number of Authors contributing to this Publication

Simply this is the total number of authors who contributed to this piece of work. The number entered here should equal the number of authors entered at the top of the page. Again, it may seem an unnecessary question, but attached pieces of paper become lost etc, and the correct information is needed for the software to perform calculations and give each School its due share of the publication. For Chapters it is the number of authors named on the chapter NOT the number of authors contributing to the book.

Number of Authors in this School/Centre contributing to this Publication

*If there are Authors from more than one Department, one Proforma should be submitted to each School.*

This is asking for the number of authors who are from your School (including yourself).
Copyright Owner

Copyright normally starts out residing with the authors, however most publishers require that you transfer copyright to them. You may have signed a copyright transfer form to this effect. If you are uncertain, please indicate this.

RFCD Code

Please choose the appropriate four digit RFCD code on page 25 of this handbook and enter thus: eg. |2|1|0|1|

SEO Code

Please choose the appropriate four digit SEO code on page 28 of this handbook and enter thus: eg. |6|1|0|1|

Year

We need the year of publication. Only work published in 2007 can be included in the DEEWR return. If the nominal year of publication is 2006 but you have evidence indicating that the real publication date was 2007, the publication may be eligible. For example, if the December 2006 issue of a journal did not appear until February 2007 and the copyright date was 2007, a publication in that issue would be eligible for inclusion in the DEEWR return. We are obliged to use that latest date indicating publication that appears within the publication.

DEEWR has introduced an exception whereby Universities can also include 2006 publications in their 2008 publication submissions. Only those publications which:

- were published after the submission date for the 2006 data collection; and
- contain a 2006 publication date,

may be included under this provision.
VU RESEARCH PUBLICATION CATEGORIES

BOOKS (A)

A1 Research Books - Authored
DEEWR Category (see page 19 for detailed specifications)

A2 Authored – other
This refers to books which must be written solely by the author(s) ie edited books are not eligible. Publications in this category must be a substantial work of scholarship.

Include:
- research monographs published by university departments
- textbooks (consisting mainly of new combinations of existing knowledge or updating of a body of established knowledge to make it more readily accessible) aimed primarily at a university audience
- books published by private individuals university departments and privately funded companies, e.g. "vanity presses"
- evaluative and investigative government department publications, e.g. DEEWR EIPs
- translations of published books and other authored books or monographs not classified in A1 above
- annotated anthologies.

Exclude:
- creative works such as novels, depending mainly upon the imagination of the author rather than upon a publicly accessible body of agreed fact (possibly J)
- university departmental Working Papers, Technical Reports, Discussion papers and the like (excluded completely)
- textbooks that are primarily aimed at secondary, primary or pre-school students (excluded completely).

A3 Edited
This refers to books which must be an edited book, monograph or short series of volumes consisting of contributions from a number of authors.

Exclude:
- editorship of journals (excluded completely).

A4 Revision/New Edition
This refers to books that must be previously published or a collection of previously published articles either by the current author or editor, or by some previous author or editor, which has been brought up-to-date by the substantial addition or alteration of material.

Exclude:
- reprints that do not involve substantial additions or revisions (excluded completely).
BOOK CHAPTERS (B)

B Book Chapters  
DEEWR Category (see page 20 for detailed specifications)

B2 Other Book Chapters

This refers to scholarly chapters in published books which do not meet the DEEWR requirements for Category B on grounds such as commercial publisher.

JOURNAL ARTICLES (C)

C1 Refereed/Peer reviewed Journal Articles  
DEEWR Category (see page 23 for detailed specifications)

C2 Other refereed contribution to a scholarly journal

This refers to commentaries and brief communications of original research that are subject to a formal process of peer review and are published in a scholarly journal controlled by an editorial board.

Exclude:

- book reviews (possibly C4)
- articles in newspapers and popular magazines (excluded completely).
- medical case histories.

C3 Non refereed articles in a scholarly or professional journal

This refers to un-refereed works of scholarship published in a scholarly or professional journal controlled by an editorial board.

Include:

- articles that are sets of guidelines or summaries of the state of knowledge in an area, generally intended to inform practitioners in a professional field
- medical case histories.

Exclude:

- non-scholarly, non-research articles (excluded completely)
- articles in newspapers and popular magazines (excluded completely).
C4 Letter or note

This refers to brief un-refereed communications (including editorial commentary) published in a journal controlled by an editorial board.

Include:

- commentaries and brief communications of original research that are not subject to peer review
- editorials
- book reviews
- letters to the editor
- reviews of art exhibitions, concerts, theatre productions (by members of appropriate academic departments).

Exclude

- non-scholarly, non-research articles (excluded completely)
- articles in newspapers and popular magazines (excluded completely).

MAJOR REVIEWS (D)

Note: Some major reviews will be eligible to be included in Category C1

This refers to a review of multiple works or of an entire field of research which places other works in context and makes a substantial contribution in its own right. This type of review can appear in monograph form (for example “annual review of.. (immunology, plant physiology etc)” or in a journal controlled by an editorial board.

Include:

- contributions to reference works, including encyclopaedias provided they are more than 4,000 words in length.

Exclude:

- book reviews (possibly C4 or N)
- monographs that “review” institutional practices, government programs, and the like rather than being a review of a field of research (possibly A)
- articles that “review” institutional practices, government programs, and the like rather than being a review of a field of research (possibly C).
CONFERENCE PUBLICATION (E)

E1 CONFERENCE PUBLICATIONS - Full written paper - refereed
DEEWR Category (see page 24 for detailed specifications)

E2 Full written paper - non refereed proceedings

This refers to written versions of conference presentations subsequently published in proceedings of the meeting for which the contents of proceedings where the formal assessment procedures are not sufficient to meet the DEEWR specifications for peer review.

E3 Extract of paper

This refers to abstracts, extracts or synopses of conference papers that are subsequently published.

E4 Edited volume of conference proceedings

This refers to edited volumes of conference proceedings in which one or more members of institutional staff are identified as having editorial responsibility for the proceedings.

Exclude:

- edited volumes in which the university’s staff member is on the editorial advisory board but is not one of the listed editors of the volume (excluded completely).

AUDIO - VISUAL RECORDINGS
(CATEGORY F)

This refers to substantial and scholarly works presented in audio-visual form and offered for sale under the imprint of a recognised commercial publisher or distributor. It should cover the presentation of research findings and factual information. Examples include an ethnographic film, an audio-visual presentation of dynamic research output, e.g. fluid mechanics, robotics, visual motion, new surgery techniques, conference presentations, a guide to collected sound recordings.

Exclude:

- creative works (possibly J)
- audio-visual teaching material (excluded completely).
COMPUTER SOFTWARE  
(CATEGORY G)

This refers to innovative software products of commercial quality and offered for sale or distributed as Shareware through a recognised publisher or distributor.

DESIGN  
(CATEGORY H)

H REFEREED DESIGN

The following criteria have been derived from the 2001 DEEWR guidelines for Category H and modified to broaden eligibility

This refers to major works in design disciplines such as architecture, creative arts and engineering. To be counted in this category a design work must have been recognised via a publicly understood refereeing process, which is conducted by an independent review panel formed from qualified peers in the design discipline who are recognised as such by their state, national or international professional association.

To be included in this category, the design must meet one of the following requirements:

(a) The major design award offered by state, national or international organisations in the field, e.g. the Royal Australian Institute of Architects.

or

(b) Curated exhibitions of original design by an individual designer exhibited for the first time in a recognised gallery or museum. These must be accompanied by a published catalogue identifying the individual designs and the timing and location of the exhibition. The exhibition must be advertised in the industry press or professional journals.

For awards - include:

- awards that are received at the state or territory level or higher
- awards which are presented in the collection year. If an award is presented in 2007, it is eligible for this collection, even if the award is labelled 2006 or 2008.
- awards for or exhibitions of software and fashion design as long as these designs satisfy all other criteria.

For exhibitions - include:

- exhibitions whose first day of exhibition occurs in the collection year even if the majority of the exhibition occurs in another year.

For awards - exclude:
• any award that was not presented in 2007, even if the award is for the year 2007. An award is counted in the year in which it is presented.
• awards which for which there is not a publicly understood refereeing process.

For exhibitions - **exclude:**

• exhibitions whose first day of exhibition does not occur in the collection year even if the majority of the exhibition does. In such circumstances the exhibition should be included in the year in which the first day of the exhibition occurs.

**PATENTS**
(CATEGORY I)

I1 FULL PATENT  *(see page 27 for detailed specifications)*

I2  PROVISIONAL PATENT OR SIMILAR

*This category refers to provisional patents or equivalent not eligible for inclusion in I1.*

**ORIGINAL CREATIVE WORKS**
(CATEGORY J)

These will be collected separately (refer http://research.vu.edu.au/creativeworks.php).

**REFERENCE WORK**
(CATEGORY K)

Substantial research contribution of other scholarly publication such as dictionary, encyclopaedia or handbook.

**OTHER PUBLIC OUTPUT**
(CATEGORIES L1/L2/L3/L4/L5/L6/L7)

This refers to research which is disseminated in ways other than those already listed and includes Newspaper Articles, Magazine Articles, Media Interviews, Internal Newsletters, Occasional Papers.

**SEMINAR/INTERNAL WORKING PAPER**
(CATEGORIES M1/M2)

This refers to written works which are publicly available through the Department, or the Library of the University.
OTHER REVIEW  
(CATEGORY N)

This refers to the review of a work which is published in a magazine or newspaper and is not included in the category Major Review.

CONFERENCE PRESENTATION  

This refers to all conference presentations whether or not they were published as conference proceedings. Conference publications are included under category E providing they meet the specifications.

THESIS  
(CATEGORY P)

This refers to theses written by staff members or students as part of the assessment for a higher degree. Ongoing research towards a higher degree is not included.

APPOINTMENT / AWARD  
(CATEGORIES Q1/Q2/Q3/Q4/Q5/Q6/Q7)

Please give details about any appointments or awards as per the seven categories.

EXAMINER / REVIEWER / ASSESSOR  
(CATEGORIES R1/R2/R3/R4)

Please indicate the category of work undertaken. When reporting examination of student theses please do NOT indicate that student’s name

CONTRACT REPORT / TECHNICAL REPORT  
(CATEGORIES S1/S2)

S1 Contract Report  
Report which is the product of both applied research and outside consulting work, freely available in the public domain and deposited in the University library.

S2 Technical Report  
Report including technical details, which may be the product of applied research, freely available in the public domain and deposited in the University library.
Deewr Recognised Categories
(A1, B, C1, E1)

The following information regarding the categories A1, B, C1 and E1 is an extract from the 2007 HIGHER EDUCATION RESEARCH DATA COLLECTION - SPECIFICATIONS FOR PREPARING RETURNS (Sections 9.3.1-9.3.4, p.24-27):

9.3.1. BOOKS (A1)

To be included in this category the publication must meet the definition of research (as defined at section 1.3.9, page 8) as amplified in the general requirements for research publications (see section 9.1 of part C page 23) and:

• must be a major work of scholarship
• must be offered for sale
  o for hard copies, bound
  o for CD-ROMs, packaged
  o 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 (page 6)
• the author must be affiliated with the claiming HEP, as set out in section 9.4 of part C (page 27).

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
• revisions or new editions

Note: 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 section 1.3.9 (Page 8) and only count those publications which report research activities.
9.3.2 BOOK CHAPTERS (B)

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 defined at section 1.3.9 page 8) as amplified in the general requirements for research publications (see section 9.1 of part C, page 23) 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 section 1.3.4 (page 6)
- the author must be affiliated with the claiming HEP, as set out in section 9.4 of Part C (page 27).

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
- appendices
- creative works such as collections of short stories
- translations.
# 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 1 divided by 1 equals 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 0.5 (chapter value of 1 divided by 2 contributors).

Step 2

The other chapter contributed is worth 0.33 multiplied by 4 divided by 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.
9.3.3 JOURNAL ARTICLES (C1)

Current weighting: 1

To be included in this category the journal article must meet the definition of research (as defined at section 1.3.9, page 8) as amplified in the general requirements for research publications (see section 9.1 of part C, page 23) and:

- must be published in a scholarly journal
- must have been peer-reviewed as defined at section 9.6 of part C (page 28). 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 being cited in an extract from Ulrich’s or ISI’s directories is sufficient to demonstrate the existence of the number
- the author must be affiliated with the claiming HEP, as set out in section 9.4 of part C (page 27).

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 1.3.9, page 8) and the subsequent definitions 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 - Full written paper – refereed (E1)

Current weighting: 1

To be included in this category the conference publication must meet the definition of research (as defined at section 1.3.9, page 8) as amplified in the general requirements for research publications (see section 9.1 of part C, page 23) 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 section 9.6 of part C, page 28)
- 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 (page 27).

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

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.

Note if a publication does not have an ISBN, special attention needs to be given to proving that the publication was widely distributed or offered for sale.
## RESEARCH FIELDS, COURSES AND DISCIPLINES (RFCD)

(4-digit RFCD Code)

### MATHEMATICAL SCIENCES
- 2301 Mathematics
- 2302 Statistics
- 2399 Other Mathematical Sciences

### PHYSICAL SCIENCES
- 2401 Astronomical Sciences
- 2402 Theoretical and Condensed Matter Physics
- 2403 Atomic and Molecular Physics; Nuclear and Particle Physics; Plasma Physics
- 2404 Optical Physics
- 2405 Classical Physics
- 2499 Other Physical Sciences

### CHEMICAL SCIENCES
- 2501 Physical Chemistry (incl. Structural)
- 2502 Inorganic Chemistry
- 2503 Organic Chemistry
- 2504 Analytical Chemistry
- 2505 Macromolecular Chemistry
- 2506 Theoretical and Computational Chemistry
- 2599 Other Chemical Sciences

### EARTH SCIENCES
- 2601 Geology
- 2602 Geophysics
- 2603 Geochemistry
- 2604 Oceanography
- 2605 Hydrology
- 2606 Atmospheric Sciences
- 2699 Other Earth Sciences

### BIOLOGICAL SCIENCES
- 2701 Biochemistry and Cell Biology
- 2702 Genetics
- 2703 Microbiology
- 2704 Botany
- 2705 Zoology
- 2706 Physiology
- 2707 Ecology and Evolution
- 2708 Biotechnology
- 2799 Other Biological Sciences

### INFORMATION, COMPUTING AND COMMUNICATION SCIENCES
- 2801 Information Systems
- 2802 Artificial Intelligence and Signal and Image Processing
- 2803 Computer Software
- 2804 Computation Theory and Mathematics
- 2805 Data Format
- 2899 Other Information, Computing and Communication Sciences

### ENGINEERING AND TECHNOLOGY
- 2901 Industrial Biotechnology and Food Sciences
- 2902 Aerospace Engineering
- 2903 Manufacturing Engineering
- 2904 Automotive Engineering
- 2905 Mechanical and Industrial Engineering
- 2907 Resources Engineering
- 2908 Civil Engineering
- 2909 Electrical and Electronic Engineering

2910 Geomatic Engineering
2911 Environmental Engineering
2912 Maritime Engineering
2913 Metallurgy
2914 Materials Engineering
2915 Biomedical Engineering
2916 Computer Hardware
2917 Communications Technologies
2918 Interdisciplinary Engineering
2999 Other Engineering and Technology

AGRICULTURAL, VETERINARY AND ENVIRONMENTAL SCIENCES
3001 Soil and Water Sciences
3002 Crop and Pasture Production
3003 Horticulture
3004 Animal Production
3005 Veterinary Sciences
3006 Forestry Sciences
3007 Fisheries Sciences
3008 Environmental Sciences
3009 Land, Parks and Agriculture Management
3099 Other Agricultural, Veterinary and Environmental Sciences

ARCHITECTURE, URBAN ENVIRONMENT AND BUILDING
3101 Architecture and Urban Environment
3102 Building
3199 Other Architecture, Urban Environment and Building

MEDICAL AND HEALTH SCIENCES
3201 Medicine - General
3202 Immunology
3203 Medical Biochemistry and Clinical Chemistry
3204 Medical Microbiology
3205 Pharmacology and Pharmaceutical Sciences
3206 Medical Physiology
3207 Neurosciences
3208 Dentistry
3209 Optometry
3210 Clinical Sciences
3211 Nursing
3212 Public Health and Health Services
3213 Complementary/alternative Medicine
3214 Human Movement and Sports Science
3299 Other Medical and Health Sciences

EDUCATION
3301 Education Studies
3302 Curriculum Studies
3303 Professional Development of Teachers
3399 Other Education

ECONOMICS
3401 Economic Theory
3402 Applied Economics
3403 Economic History and History of Economic Thought
3404 Econometrics
3499 Other Economics

COMMERCE, MANAGEMENT, TOURISM AND SERVICES
3501 Accounting, Auditing and Accountability
3502 Business and Management
3503 Banking, Finance and Investment
3504 Transportation
3505 Tourism
3506 Services
3599 Other Commerce, Management, Tourism and Services

Additional information available from http://research.vu.edu.au/herdc_pub.php
### POLICY AND POLITICAL SCIENCE
- **3601** Political Science
- **3602** Policy and Administration
- **3699** Other Policy and Political Science

### STUDIES IN HUMAN SOCIETY
- **3701** Sociology
- **3702** Social Work
- **3703** Anthropology
- **3704** Human Geography
- **3705** Demography
- **3706** History and Philosophy of Science and Medicine
- **3799** Other Studies in Human Society

### BEHAVIOURAL AND COGNITIVE SCIENCES
- **3801** Psychology
- **3802** Linguistics
- **3803** Cognitive Science
- **3899** Other Behavioural and Cognitive Sciences

### LAW, JUSTICE AND LAW ENFORCEMENT
- **3901** Law
- **3902** Professional Development of Law Practitioners
- **3903** Justice and Legal Studies
- **3904** Law Enforcement
- **3999** Other Law, Justice and Law Enforcement

### JOURNALISM, LIBRARIANSHIP AND CURATORIAL STUDIES
- **4001** Journalism, Communication and Media
- **4002** Librarianship
- **4003** Curatorial Studies
- **4099** Other Journalism, Librarianship and Curatorial Studies

### THE ARTS
- **4101** Performing Arts
- **4102** Visual Arts and Crafts
- **4103** Cinema, Electronic Arts and Multimedia
- **4104** Design Studies
- **4199** Other Arts

### LANGUAGE AND CULTURE
- **4201** Language Studies
- **4202** Literature Studies
- **4203** Cultural Studies
- **4299** Other Language and Culture

### HISTORY AND ARCHAEOLOGY
- **4301** Historical Studies
- **4302** Archaeology and Prehistory
- **4399** Other History and Archaeology

### PHILOSOPHY AND RELIGION
- **4401** Philosophy
- **4402** Religion and Religious Traditions
- **4499** Other Philosophy and Religion
SOCIO-ECONOMIC OBJECTIVE CLASSIFICATION (SEO)

(4-digit SEO Code)

DEFENCE
6101 Defence

PLANT PRODUCTION AND PLANT PRIMARY PRODUCTS
6201 Field Crops
6202 Horticultural Crops
6203 Forestry
6205 Sustainable Plant Production Systems

ANIMAL PRODUCTION AND ANIMAL PRIMARY PRODUCTS
6301 Livestock
6302 Pasture, Browse and Fodder Crops
6303 Fish
6304 Primary Products From Animals
6305 Sustainable Animal Production Systems

MINERAL RESOURCES (EXCL. ENERGY)
6401 Exploration
6402 Primary Mining and Extraction Processes
6403 First Stage Treatment of Ores and Minerals
6404 Prevention and Treatment of Pollution

ENERGY RESOURCES
6501 Exploration
6502 Mining and Extraction
6503 Preparation and Supply of Energy Source Minerals
6504 Prevention and Treatment of Pollution
6599 Other

ENERGY SUPPLY
6601 Energy Transformation
6602 Renewable Energy
6603 Energy Storage and Distribution
6604 Conservation and Efficiency
6605 Prevention and Treatment of Pollution
6699 Other

MANUFACTURING
6701 Processed Food Products and Beverages
6702 Fibre Processing and Textiles; Footwear and Leather Products
6703 Wood, Wood Products and Paper
6704 Human Pharmaceutical Products
6705 Veterinary Pharmaceutical Products
6706 Agricultural Chemicals
6707 Industrial Chemicals and Related Products
6708 Basic Metal Products (incl. Smelting)
6709 Ceramics, Glass and Industrial Mineral Products
6710 Fabricated Metal Products
6711 Transport Equipment
6712 Computer Hardware and Electronic Equipment
6713 Communication Equipment
6714 Instrumentation
6715 Machinery and Equipment
6716 Other Manufactured Products
6717 Prevention and Treatment Of Pollution

CONSTRUCTION
6801 Planning
6802  Design  
6803  Materials Performance and Processes  
6804  Construction Processes  
6805  Building Management and Services  
6806  Prevention and Treatment of Pollution  

TRANSPORT  
6901  Ground Transport  
6902  Water Transport  
6903  Air Transport  
6904  Other Transport  
6905  Prevention and Treatment of Pollution  

INFORMATION AND COMMUNICATION SERVICES  
7001  Computer Software and Services  
7002  Other Information Services  
7003  Communication Services  
7004  Prevention and Treatment of Pollution  

COMMERCIAL SERVICES AND TOURISM  
7101  Electricity, Gas and Water Services and Utilities  
7102  Waste Management and Recycling  
7103  Wholesale and Retail Trade  
7104  Finance, Property and Business Services  
7105  Tourism  
7106  Other Commercial Services  
7107  Prevention and Treatment of Pollution  

ECONOMIC FRAMEWORK  
7201  Macroeconomic Issues  
7202  Microeconomic Issues  
7203  International Trade Issues  
7204  Management and Productivity Issues  
7205  Measurement Standards and Calibration Services  
7299  Other Economic Issues  
7301  Clinical (Organs, Diseases and Abnormal Conditions)  
7302  Public Health  
7303  Health and Support Services  

EDUCATION AND TRAINING  
7401  Early Childhood and Primary Education  
7402  Secondary Education  
7403  Higher Education  
7404  Vocational Education and Training  
7405  Special Education  
7499  Other Education  

SOCIAL DEVELOPMENT AND COMMUNITY SERVICES  
7501  Work  
7502  Arts and Leisure  
7503  Community Service (excl. Work)  
7504  Religion and Ethics  
7505  Justice and the Law  
7506  Government and Politics  
7507  International Relations  
7508  Heritage  
7509  Understanding Past Societies  
7510  Communication  
7599  Other Social Development and Community Services  

ENVIRONMENTAL POLICY FRAMEWORKS AND OTHER ASPECTS  
7601  Environmental Policy, Legislation and Standards  
7602  Environmental and Resource Evaluation  
7699  Other Environmental Aspects
ENVIRONMENTAL MANAGEMENT

7701 Climate and Weather
7702 Atmosphere (excl. Climate and Weather)
7703 Marine Environment
7704 Coastal and Estuarine Environment
7705 Urban and Industrial Environment
7706 High Country (incl. Mountains)
7707 Forest and Wooded Lands
7708 Farmland (incl. Arable Land and Permanent Crop Land)
7709 Sparseland (incl. Permanent Grassland and the Arid Zone)
7710 Mining Environments
7711 Antarctic and Sub-Antarctic Areas
7799 Other (incl. Islands)

NON-ORIENTED RESEARCH

7801 Non-oriented Research

Additional information available from http://research.vu.edu.au/herdc_pub.php