2007

HIGHER EDUCATION RESEARCH DATA COLLECTION

SPECIFICATIONS FOR THE COLLECTION OF 2006 DATA

INNOVATION AND RESEARCH SYSTEMS GROUP
DEPARTMENT OF EDUCATION, SCIENCE AND TRAINING

October 2006
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1. Introduction

1.1. Purpose

The 2007 Higher Education Research Data Collection (HERDC) Specifications set out the specifications for higher education providers\(^1\) (HEPs) provision of 2006 research income and research publications data. This data must be provided to the Department of Education, Science and Training (the department) in two returns:

**Research Income Return—Return 1**

HEPs must provide research income received for the reference year. Data must be grouped into four categories:

- Category 1: Australian Competitive Grants
- Category 2: Other Public Sector Research Income
- Category 3: Industry and Other Research Income
- Category 4: Cooperative Research Centre (CRC) Research Income

Categories 1, 2 and 3 are detailed in section 7.4 of Part A (page 16). Category 4 is detailed in section 8 of Part B (page 21).

**Research Publications Return—Return 2**

HEPs must provide the number of research publications produced during the reference year. Data must be grouped into four categories:

- Books
- Book chapters
- Journal articles
- Conference publications

These categories are detailed in section 9.3 of Part C (page 26).

The department uses the research income and publications returns in conjunction with data from the Higher Education Student Data Collection to determine HEPs' grants for the following schemes:

- Research Training Scheme
- Institutional Grants Scheme
- Research Infrastructure Block Grants Scheme (Category 1 research income only)
- Australian Postgraduate Awards Scheme
- Commercialisation Training Scheme\(^2\)
- Endeavour International Postgraduate Research Scholarships Scheme.

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\(^1\) Higher education providers are those institutions identified as Table A and Table B providers in sections 16-15 and 16-20 of the *Higher Education Support Act 2003*.

The HERDC is not intended for use by HEPs as the basis for internal funding allocations. HEPs should develop their own internal allocation mechanisms.

Enquiries about this document should be sent to RBGrants@dest.gov.au.

1.2. Format of the Specifications

The specifications are divided into three parts:

- **part A** sets out the specifications for:
  - Category 1: Australian Competitive Grants
  - Category 2: Other Public Sector Research Income
  - Category 3: Industry and Other Research Income
- **part B** sets out the specifications for Category 4: CRC Research Income
- **part C** sets out the specifications for publications.

1.3. Definitions

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

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 must be identified either within or on the work being claimed.

Author affiliation is further explained in section 9.4 of Part C (page 29).

1.3.3. 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.
For the purposes of these specifications, 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.

1.3.4. **Joint Venture**
A joint venture is a contractual arrangement whereby two or more parties undertake a research activity that is subject to joint control.

A joint venture must have a Joint Venture Contractual Agreement (JVCA) (defined at section 1.3.5) if it is to be reported as joint venture income (defined at section 1.3.6), within the Research Income Return—Return 1.

1.3.5. **Joint Venture Contractual Agreement (JVCA)**
The JVCA stipulates the notional distribution of joint venture income between the parties to the joint venture and can take the form of:

- a contract between the venturers or
- minutes of discussions between the venturers or
- an agreement incorporated in the articles or other by-laws of the joint venture.

The JVCA can include non-HEP participants.

1.3.6. **Joint Venture Income**
Joint venture income is income from sources external to the joint venture. It should not include contributions by the venturers to the joint venture in the form of capital injections or in-kind contributions.

Joint venture income (including examples) is further explained at section 7.5 of part A (page 18).

1.3.7. **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 counted in the Research Publications Return – Return 2.

Peer review is further explained at section 9.6 of part C (page 30).
1.3.8. Research

For the purposes of these specifications, research 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 which 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.

Activities that support research and meet this definition of research include:

- provision of professional, technical, administrative or clerical support and/or assistance to staff directly engaged in research
- management of staff who are either directly engaged in research or are providing professional, technical or clerical support or assistance to those staff
- activities of students undertaking postgraduate research courses
- development of postgraduate research courses
- supervision of students undertaking postgraduate research courses.

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

- preparation for teaching
- 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 (research and experimental development into applications software, new programming languages and new operating systems would normally meet the definition of research).

1.3.9. Reference Year

The reference year for research income (Categories 1, 2 and 3) is the 2006 calendar year. For CRC research income (Category 4) the reference year is the financial year 2005-06.

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Research income for 2005 (Categories 1, 2 and 3) and 2004-05 (Category 4) or earlier years omitted from previous returns CANNOT be included.

For publications, see definition – Year of Publication at section 1.3.13.

1.3.10. Research Publications
For the purposes of these specifications, research publications are books, book chapters, journal articles and/or conference publications which meet the definition of research (as defined at section 1.3.8, page 8) 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 validation process or by satisfying the commercial publisher processes
- increasing the stock of knowledge
- being in a form that enables dissemination of knowledge.

Further details relating to research publications are available at:

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1.3.11. Subsidiaries
A subsidiary is an entity, including an unincorporated entity such as a partnership that is controlled by another entity (known as the parent).

1.3.12. Vice-Chancellor’s Certification Statement
Vice-Chancellors are required to certify that the Research Income Return – Return 1 and Research Publications Return – Return 2 are correct and have been compiled in accordance with these specifications.

The format for the Vice-Chancellor’s Certification Statement is at APPENDIX B (page 36).

1.3.13. Year of Publication
For the purposes of these specifications, to be able to count research publications in 2007 Research Publication Returns – Return 2 for the collection of 2006 data, the year of publication is the 2006 calendar year.
HEPs can also include 2005 publications in their submission of 2006 publications data. Only those publications which:

- contain a 2005 publication; and
- were published after the submission date for the 2005 data collection

may be included under this provision.

Publications from 2004 and earlier years are not eligible to be included.

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 2006. A letter from the publisher will be considered sufficient verification material to support the claim.

The year of publication is further explained in section 9.2 of part C (page 25)

1.4. Freedom of Information Act 1982

All documents sent to the department with regard to the HERDC are subject to the Freedom of Information Act 1982 (FOI Act). Unless a document falls under an exemption provision, it may be made available to the applicant, if requested, under the FOI Act. All FOI requests are to be referred to:

Principal Government Lawyer
Litigation and External Review Section
Procurement Assurance and Legal Group
Department of Education, Science and Training
GPO Box 9880, CANBERRA, ACT 2601

Decisions regarding requests for access to documents will be made by the department’s authorised FOI decision-maker in accordance with the requirements of the FOI Act.

2. Publication of Research Income and Publications Returns

HERDC data is published on the department's website at:

grants/

The Australian Government may include the research income and publications data in its publications.
3. Materials Required in the Returns and Due Dates

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The instructions for electronic submission of the Research Income Return–Return 1 and Research Publications Return–Return 2 are set out in APPENDIX A (page 34). Electronic submissions must be sent to:

RBGrants@dest.gov.au

It is a condition of all HEP’s Research Training Scheme, Institutional Grants Scheme and Research Infrastructure Block Grants scheme grants that the material required in the above table be provided by 30 June 2006.

Vice-Chancellor’s Certification Statement and Audit Certificate (in hard copy) must be sent to:

HERDC Officer
Higher Education Research Data Collection (HERDC)
Research Policy and Programmes Section (Loc 530)
Innovation and Research Systems Group
Department of Education, Science and Training

Postal Address:
GPO Box 9880
CANBERRA ACT 2601
4. Verification

4.1. Vice-Chancellor Certification Statements

Vice-Chancellors must certify that their HEP’s Research Income Return–Return 1 and Research Publications Return–Return 2 are correct and have been compiled in accordance with these specifications.

Each HEP must supply one certification statement to the department and it must encompass both Return 1 and Return 2. The format for the Vice-Chancellor’s Certification Statement is at APPENDIX B (page 36).

4.2. Audit of Research Income

Each HEP must arrange for an audit of the category 1, 2, 3 and 4 research income in their respective Research Income Return–Return 1 and provide the department with an Audit Certificate which clearly certifies that the research income recorded is correct.

The audit of research income data can be conducted as part of an annual audit.

4.3. Verification material for research publications

HEPs must maintain verification material to demonstrate that research publications meet the criteria against the categories being reported. HEPs must retain verification material for three years to facilitate any audit of research publications data that may be conducted by the department.

Verification material for research publications is further explained in section 9.7 of part C (page 30).

4.4. Verification of Data

HEPs will be given the opportunity to verify data provided to the department.

5. Contact Details

Queries concerning HERDC and these specifications should be directed to:

RBGrants@dest.gov.au

Please include your name, HEP and contact details in your query.

The department maintains a website which contains all documentation relating to:

- the HERDC (including Specifications)
- Research Income Return – Return 1
• Research Publications Return – Return 2
• the Australian Competitive Grants Register
• the Register of Refereed Journals (no longer maintained)
• the Register of Commercial Publishers (no longer maintained)

and other relevant information. See:

www.dest.gov.au/sectors/research_sector/online_forms_services/higher_education_research_data_collection.htm

6. Differences from the 2006 Collection (of 2005 data)

6.1 Commercialisation Training Scheme (CTS)

As part of Backing Australia’s Ability – Building our Future through Science and Innovation, the Australian Government announced that around 250 new postgraduate research scholarships would be created to develop skills in research commercialisation and intellectual property management. These scholarships will be delivered through a new DEST programme called the Commercialisation Training Scheme (CTS). Approximately $5m will be allocated under the CTS each year.

The CTS will be implemented for the beginning of the 2007 academic year. The CTS awards will be allocated to eligible providers on the basis of their research performance using a performance index, which uses metrics including research income and research publications collected under this collection. These specifications have been updated to include references to the CTS where relevant.

6.2 Shared Grants

Section 7.3 of part A (page 15) has been amended to include shared grants as an exception to the exclusion of HEPs reporting research income received by another Australian HEP.

6.3 CRC’s which are no longer operational

Section 8.6.2 of part B (page 23) has been reinstated to provide guidance on how to account for research income in the case where a CRC is no longer operational.

6.4 Clarification regarding Conference Publications

These specifications include amendments to sections 9.3.4 and 9.7.4 of part C (pages 28 and 32) to clarify that, for conference publications to be included in a HEP’s Research Publications Return –Return 2, the publication must meet the definition of research (as defined in section 1.3.8 page 8) and must be published in full along with other requirements set out in section 9.3.4 of part C (page 28).
PART A

Part A provides the information necessary for HEPs to determine what can and cannot be included under Categories 1-3 of the Research Income Return—Return 1.

For information on Category 4 (CRC Research Income) refer to Part B of these specifications.

7. Research Income Return—Return 1

7.1. General requirements

All research income must:

- be received by a HEP or its subsidiaries for the 2006 calendar year
- be classified into categories (see section 7.4 of part A, page 16) according to the organisation providing the funds
- comply with the definition of research (see section 1.3.8 page 8)
- be consistent with the HEP’s financial statements unless exempt as income received from a CRC or joint venture income reported using a notional share of joint venture income.

Income sourced from categories 1-3 should be reported for the 2006 calendar year. Income sourced from category 4 (CRC income) should be reported for the 2005-2006 financial year.

Research income for 2005 or earlier years omitted from previous collections CANNOT be included.

7.2. Research income which can be included in the Research Income Return—Return 1

- income received in 2005 in respect of the year 2006 (e.g. payment 1 for 2006 ARC Grants which is made in December 2005)
- stipends and scholarships for higher degree research students, unless explicitly excluded in section 7.3 of part A (page 15)
- interest income on donations, bequests and foundations which have been provided specifically for research
- travel grants where funds are provided specifically for the purpose of travel and used to enable access to a programme of research
- funds provided for the purpose of clinical trials provided the purpose of the trial meets the definition of research (see section 1.3.8, page 8)
- research infrastructure grants unless explicitly excluded in section 7.3
- income from overseas HEPs provided specifically for research purposes
• income received through a joint venture (subject to the definitions at sections 1.3.4, 1.3.5 and 1.3.6 page 7 and the operation of joint ventures at section 7.5 of part A, page 18)
• income used to manage staff directly engaged in research or providing professional, technical or clerical support or assistance to those staff
• income received in support of:
  o professional, technical, administrative or clerical support staff directly engaged in research
  o the activities of students undertaking postgraduate research courses
  o the development of postgraduate research courses
  o the supervision of students undertaking postgraduate research courses.
  o research and experimental development into applications software, new programming languages and new operating systems (such R&D would normally meet the definition of research).

A HEP must reduce the research income reported for a particular category where research income received in 2005 or an earlier year has been refunded in 2006.

7.3. Research income which cannot be included in the Research Income Return—Return 1

• income received in 2006 in respect of the year 2007 (e.g. payment 1 for 2007 ARC Grants which is made in December 2006)
• any research income received by the HEP from its subsidiaries
• any research income received by the HEP from any other Australian HEP or its subsidiaries (including organisations owned, controlled or funded by a HEP or HEPs) except in respect of joint ventures, shared grants or transfers
• in-kind contributions
• capital grants
• National Collaborative Research Infrastructure Strategy (NCRIS), ARC LIEF grants
  
  4 NCRIS is following the major programme of investments provided through the SII & MNRF programmes (grants under these programmes were also excluded under HERDC)
• income from the High Performance Computing and Communications Programme, to or through the Australian Partnership for Advanced Computing
• income provided for preparation for teaching
• funds used for
  o scientific and technical information services
  o general purpose or routine data collection
  o standardisation and routine testing
  o feasibility studies (except into research and experimental development projects)
  o specialised routine medical care
  o commercial, legal and administrative aspects of patenting, copyright or licensing activities
  o routine computer programming, systems work or software maintenance
• grants from the following DEST programmes:
  o Research Training Scheme (RTS)
  o Institutional Grants Scheme (IGS)
  o Research Infrastructure Block Grants (RIBG)
  o Australian Postgraduate Awards (APA)
  o Commercialisation Training Scheme (CTS)
  o Endeavour International Postgraduate Research Scheme Awards (IPRS)
  o Regional Protection Scheme (RPS).

7.4. Research Income Categories

HEPs must enter all research income into Research Income Return—Return 1 according to the four categories of:

Category 1: Australian Competitive Grants
Category 2: Other Public Sector Research Income
Category 3: Industry and Other Research Income
Category 4: CRC Research Income

Specifications for Categories 1, 2 and 3 are set out in sections 7.4.1, 7.4.2 and 7.4.3 of part A (page 16-17) respectively.

Specifications for Category 4 are set out in Part B (page 21).

7.4.1. Category 1: Australian Competitive Grants

Subject to meeting the definition of research (see section 1.3.8, page 8) and the specifications set out in this part (Part A, section 7), Category 1 includes:

• only Australian Government competitive research income and other non-Australian Government competitive research schemes listed in the 2007 Australian Competitive Grants Register (ACGR).

Other grants received from the Australian Government and not included in the 2007 ACGR may be eligible for inclusion in Category 2: Other Public Sector Research Income.
If a specific scheme or schemes of a funding body are listed in the 2007 ACGR, grant or stipend income received by the reporting HEP through other schemes of (or arrangements with) that funding body cannot be counted in this category. The ACGR is available through the department’s website at: http://www.dest.gov.au/sectors/research_sector/online_forms_services/higher_education_research_data_collection.htm

7.4.2. Category 2: Other Public Sector Research Income
Subject to meeting the definition of research (see section 1.3.8, page 8) and the specifications set out in this part (Part A, section 7), Category 2 includes:

- any other research income received from the Australian Government that is not eligible for inclusion as Category 1 research income
- research income from Australian Government business enterprises
- research income (including contract research) from both state and local governments
- research income from state government business enterprises
- research income from partly government owned or funded bodies
- research income from Cooperative Research Centres (CRCs) in which the reporting HEP was not a core participant or participant (i.e. was not a signatory to the Commonwealth Agreement during the reporting period).

7.4.3. Category 3: Industry and Other Research Income
Category 3: Industry and Other Research Income must be categorised in the following subcategories:

- Australian:
  - Contracts
  - Grants
  - Donations, bequests and foundations

- International:
  - Contracts
  - Grants
  - Donations, bequests and foundations

Subject to meeting the definition of research (see section 1.3.8, page 8) and the specifications set out in this part (Part A, section 7), Category 3 includes:

Australian:

- contract research income provided by industry or other non-government agencies (including industry contributions to grants under the Australian Research Council’s National Competitive Grants Programme)
- grants for research other than government provided grants (which should be reported in either Category 1 or Category 2)
- donations and bequests for research from Australian business, Australian non-profit organisations and Australian individuals
- income received from syndicated research and development arrangements.
As many research income arrangements involve grants covered by a contract, in
categorising funds as either Australian contract research or as Australian grants, HEPs
should regard:

- contract research as research where the project was developed primarily by the
  funding agency, or jointly by the funding agency and the investigator(s)
- grants for research where the project was developed primarily by the
  investigator(s).

**International:**

- contract research provided by non-Australian industry or non-Australian
  Government agencies including non-Australian industry collaborative research
  grants
- grants for research from non-Australian industry or non-Australian Government
  agencies including non-Australian industry collaborative research grants
- donations and bequests for research from non-Australian business, non-Australian
  non-profit organisations, and non-Australian individuals.

For donations and bequests (Australian and international):

- Where all, or a proportion, of a donation or bequest is invested then only the
  income earned from that investment which is available for expenditure on
  research in the reference year should be included.
- Any portion of a donation or bequest that is not provided specifically for research
  purposes cannot be included.

### 7.5. Joint Ventures

In response to concerns from the sector about the inefficiency of previous arrangements,
a new method of reporting joint venture income was introduced in 2006.

HEPs can either:

- report their research income against their cash receipts and record that income
  received in Research Income Return – Return 1, as for all other income or
- where cash receipts are not available or do not reflect the nature of joint venture,
  HEPs can use existing documentation relating to the operation of a joint venture
  (i.e. JVCAs) to report their involvement via Research Income Return – Return 1.

Where cash receipts are not available or do not reflect each HEP’s participation in the
joint venture, HEPs can use existing documentation relating to the operation of a joint
venture (i.e. JVCAs) to report their involvement in Research Income Returns-Return 1.

A joint venture must have a Joint Venture Contractual Agreement (JVCA) (defined at
section 1.3.5 page 7) if it is to be reported as joint venture income (defined at section
1.3.6, page 7) in the Research Income Return – Return 1.
The JVCA stipulates the notional distribution of joint venture income between the parties to the joint venture. For income to be included in the HERDC Research Income Return-Return 1 it does:

- not have to be physically distributed to HEPs in the joint venture; nor
- have to pass through each HEP’s audited Annual Financial Statements or Cash Receipts.

The share of research income received by HEPs should be determined according to their notional share stipulated in the JVCA and assigned to the category from which the joint venture income originated.

**Example:**

In a joint venture, three HEPs (X, Y and Z) are participating in research. The total amount of grants provided by an external source for the research is $100,000 and was received and retained by HEP X. All three HEPs have agreed on the ‘notional’ share of the joint venture income which is set out in the JVCA. HEP X is recognised as receiving 50% of the joint venture income as a ‘notional’ share for their involvement, HEPs Y and Z are each recognised as receiving 25% of the joint venture income as a ‘notional’ share for their involvement. This is recorded on each HEP’s JVCA, which is signed by an appropriate official of each HEP.

Each HEP’s HERDC Research Income Return should record their share of the joint venture income provided. That is, HEP X would report that it received $50,000 against the relevant category in the HERDC Research Income Return. HEPs Y and Z would record that they had each received $25,000 against the relevant category in the HERDC Research Income Return.

A HEP involved in a joint venture should retain a copy of the JVCA for verification purposes and to supply to the department if requested.

HEPs will risk having no income recorded against the relevant category in the HERDC Research Income Return – Return 1 if:

- a discrepancy exists between the reporting methods used by the HEPs involved in a joint venture; and/or
- a discrepancy exists between the shares reported by HEPs and the JVCAs.

### 7.6. Shared Grants

A shared grant is defined as one for which a component of the research income from an agency for a particular programme, project or grant is passed from one HEP to one or more other HEPs and either:

- more than one HEP is, or the staff of more than one HEP are, named in the contract/agreement for the transfer of research income from the funding agency; or
- more than one HEP is, or the staff of more than one HEP are, named in the tender/application for funding.

Shared grants should be apportioned between recipient HEPs so that the nett amount retained by each HEP is reported. If, for example, HEP A receives a grant of $50,000 of which $20,000 is transferred to HEP B, HEP A should report $30,000 and HEP B
$20,000. It should be possible for the nett amount retained by each HEP to be identified in its audited statement so that double counting does not occur.

 Universities should claim a portion of a shared grant this way whether the other HEP involved in a shared grant is a HEP or is another type of research establishment.

 The income should be assigned to the category from which the research income originated. (For example, if a state primary industries department passes $20,000 of a shared grant from the Rural Industries R&D Corporation to a HEP, the receiving HEP should count the $20,000 as income from the Rural Industries R & D Corporation in Australian Competitive Grants, rather than as Other Public Sector Research Income.)

 7.7. Transfers

 Where a HEP’s staff are in receipt of a grant transfer to another HEP and carry the grant with them, this must be reflected in adjustments to the HEP’s income receipts.

 7.8. GST

 Where a HEP provides research services and charges GST, it should report only the research income it receives exclusive of GST.
PART B

Part B provides the information necessary for HEPs to determine what can and cannot be included under Category 4 of the Research Income Return-Return 1.

For information on Categories 1-3 of the Research Income Return, refer to Part A of these specifications.

8. Category 4: CRC Research Income

8.1. General requirements

Under Category 4: CRC Research Income, HEPs must report the research income received for the 2005-2006 financial year from a CRC in which they were a ‘core participant’ (for CRCs funded prior to the 2005 CRC selection round) or ‘participant’ (for CRCs funded in the 2005 selection round). A HEP is regarded as a core participant or participant if it is a signatory to the CRC’s Commonwealth Agreement.

Income received from CRCs, in which HEPs are not core participant or participant, must be reported under Category 2: Other Public Sector Research Income (as per section 7.4.2 of part A, page 17).

Category 4 comprises the following subcategories:

- research income derived from Australian Government grants to CRCs
- research income derived from non-HEP members of CRCs
- research income derived from third parties contributing to CRCs.

HEPs must consolidate the research income from all CRCs in which they are core participants or participants and enter this into Research Income Return—Return 1, split according to the appropriate subcategories. This data does not need to be split between HEPs and their subsidiaries.

Section 8.5 of part B (page 23) provides guidance for HEPs that are unable to distinguish easily research income into these subcategories from CRCs’ accounting systems.

8.2. Arrangements applying to the collection and certification of CRC Research Income

HEPs must determine the eligible research income (as defined at section 8.3 of part B, page 22) that they can report under Category 4: CRC Research Income for the financial year 2005-06 and must verify that research income data with the respective CRCs in which they are a participant or core participant.

HEPs must certify that Category 4: CRC Research Income data is correct, as reported in the Research Income Return-Return 1, through provision of the Vice-Chancellor’s Certification Statement and the Audit Certificate.
Note: From 2006 the department no longer requires:

- CRS’s to provide the department with a separate certified statement or
- Vice-Chancellor to separately certify research income received from CRC’s.

8.3. Eligible research income

To be counted in Category 4, all research income must:

- be received by a HEP and its subsidiaries for the financial year 2005-06
- be classified into subcategories (see section 8.1 of part B, page 21)
- comply with the definition of research (see section 1.3.8, page 8)
- be provided to a HEP account, for the HEP to spend.

Types of research income eligible to be counted include:

- funds for non-capital aspects of facilities such as laboratories, libraries, computing centres, animal houses, herbaria, and experimental farms
- funds for equipment purchase, installation, maintenance, hire and lease
- funds for salaries of research staff and research support staff
- funds providing a stipend to a student and/or the cost of a student’s higher degree by research fee-paying place, unless the places are funded through the Research Training Scheme, Australian Postgraduate Awards, Commercialisation Training Scheme or Endeavour International Postgraduate Research Scholarships
- payments for contracted projects which meet the definition of research (as defined at section 1.3.8, page 8)
- funds provided specifically for the purpose of travel to enable access to a programme of research. Researchers using the funds are expected to be active participants in the research programme, rather than observers or visitors.

8.4. Research income not eligible to be included

Research income that may not be eligible to be counted include:

- funds provided to the personal accounts of HEP staff, or funds used by the CRC to purchase goods or services for use by the HEP
- funds provided specifically for travel to conferences, workshops and/or meetings
- in-kind contributions
- cash contributions made to a HEP on condition that the HEP use these contributions to purchase goods or services from a CRC or other funding provider. Such arrangements are regarded as in-kind contributions
- capital grants (i.e. grants for construction of buildings), even if for research purposes
- funds provided to HEPs for them to manage on behalf of other parties, which are not to be used for research purposes by the HEP
- omissions from previous Research Income Returns-Return 1
- payments to HEPs which are not earmarked for research, even if they may be spent on research at the HEPs’ discretion
- funds provided specifically for the purpose of hosting, organising or attending a conference or workshop
• funds provided specifically for the purpose of producing research publications (that is, for publishing research rather than conducting it)
• funds provided to a HEP which is not a participant in the CRC. These funds may be counted under Category 2: Other Public Sector Research Income, provided they are for the purposes of research (as defined at section 1.3.8, page 8)
• GST amounts.

8.5. Breakdown by Source Category

If a CRC’s accounting systems do not readily enable it to distinguish between the funds provided to HEPs which are sourced from government grants, and funds provided to HEPs which are sourced from non-HEP participants, the CRC may split the funds between these two components in the same proportion as the cash funding it receives from these sources. If the receipt of funds from third parties can also not be tracked separately, the principle described above again applies. Income sourced from Australian HEPs or subsidiaries of Australian HEPs is not eligible to be counted (consistent with section 7).

Example:

• In the 2006-07 financial year a CRC receives into a single account cash funding from:
  o Australian HEP sources: $5 million (25%)
  o government grant: $3 million (15%)
  o non-HEP participants: $7 million (35%)
  o third parties: $5 million (25%)

• If the CRC allocates $800,000 of the funds – which it is not readily able to attribute to particular sources – to HEP X for research purposes, in its Certified Statement for HEP X, the CRC may attribute:
  o $120,000 (15% of the $800,000) to the ‘Allocation of funds from Commonwealth Grant’ component;
  o $280,000 (35% of the $800,000) to the ‘Allocation of funds from non-HEP participants’ component; and
  o $200,000 (25% of the $800,000) to the ‘Allocation of funds from third parties’ component.

The 25% share of the $800,000 sourced from Australian HEPs is not able to be counted.

8.6. Special Cases

8.6.1. Refunds

Where, in the reference year covered by the Research Income Return-Return 1, a HEP refunds any monies received, either in the current year or an earlier year, income reported in the reference year must be reduced by the amount of the refund.

8.6.2. CRC’s which are no longer operational

Where a CRC is no longer operational, and it is not possible to verify the research income data with the CRC in which the HEP was a core or non-core participant, the amount reported and attributable to that CRC may be reported on the basis of the HEP’s financial records alone (i.e. the HEP does not need to comply with paragraph 1 of section 8.2).

The HEP must ensure that the amounts reported are accurate, and section 8.5 may be of assistance in determining the breakdown of funds.

Note that this is only for CRCs that are no longer operational.
PART C

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


9.1. 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:

- meet the definition of research (as defined at section 1.3.8, page 8)
- 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 29).

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 29).

Book chapters (including apportioning of authors) should be calculated using the methodology at APPENDIX E (page 47).

In determining HEPs’ allocations from the Research Training Scheme, Institutional Grants Scheme, the Australian Postgraduate Awards and the Commercialisation Training Scheme the department will weight books 5:1 compared with the other research publication categories.
9.2. Year of Publication

To be able to count publications in the 2007 submission of Research Publications Returns-Return 2:

- the research must have been published in the 2006 calendar year, and
- 2006 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 2006, even though 2006 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 30).

Expanded Year of Publication Definition

Only those publications which:

- were published after the submission date for the 2005 data collection; and
- contain a 2005 publication date,

may be included under this provision.

Publications from 2004 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 2006. A letter from the publisher will be considered sufficient verification material to support the claim.
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 defined at section 1.3.8, page 8) as amplified in the general requirements for research publications (see section 9.1 of part C, page 24) 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 1.3.3 (page 6)
- the author must be affiliated with the claiming HEP, as set out in section 9.4 of part C (page 29).

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 1.3.8 (page 8) and only count those publications which report research activities.

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 defined at section 1.3.8 page 8) as amplified in the general requirements for research publications (see section 9.1 of part C, page 24) 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 1.3.3 (page 6)
- the author must be affiliated with the claiming HEP, as set out in section 9.4 of part C (page 29).

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:

- 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.

APPENDIX E (page 47) 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 defined at section 1.3.8, page 8) as amplified in the general requirements for research publications (see section 9.1 of part C, page 24) and:

- must be published in a scholarly journal
- must have been peer-reviewed as defined at section 9.6 of part C (page 30).

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)
  o 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.
  o If an ISSN does not appear in the journal,
    i. 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
    ii. evidence that 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 author must be affiliated with the claiming HEP, as set out in section 9.4 of part C (page 29).

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 1.3.8, 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
To be included in this category the conference publication must meet the definition of research (as defined at section 1.3.8, page 8) as amplified in the general requirements for research publications (see section 9.1 of part C, page 24) and must:

• be published in full. 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 30)
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 29).

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.

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 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 2006 (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.

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 HEP.
For Book Chapters, authors should be apportioned according to the methodology set out at APPENDIX E (page 47).

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 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.

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 1.3.3, page 6) is used as a surrogate test of quality in place of a peer review requirement.

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

A pro-forma to assist HEPs in collecting the relevant details of individual publications is provided at APPENDIX C (page 37). APPENDIX D (page 42) 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, page 25), a letter from the publisher indicating that the publication was not produced until after the Research Publications Return – Return 2 submission date.

**Note:** Conference publications do not require an ISBN or need to be published by a commercial publisher, books and book chapters must meet both of these requirements.

Additional material required for verification of each of the publications categories is set out below.

### 9.7.1. Books

In addition to verification material set out in section 9.7, the HEP must be able to provide proof that the book was published by a commercial publisher (as defined at section 1.3.3, page 6).

### 9.7.2. Book Chapters

In addition to verification material set out in section 9.7 of part C (page 30), 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

In addition to verification material set out in section 9.7 of part C (page 30), 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 (page 30)
- 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](http://www.isinet.com/journals)) or
  - evidence that 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](http://www.ulrichsweb.com)
9.7.4. Conference Publications
In addition to verification material set out in section 9.7 of part C (page 30), 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 (page 30)
- proof of national or international significance.

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

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. 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 verification of foreign language publications in the fields of the humanities. Any such arrangements are to be negotiated between the Academy and the respective HEP.

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, page 24) for the publications category against which they are being claimed.
10. Glossary

ACGR  Australian Competitive Grants Register
APA  Australian Postgraduate Award
AVCC  Australian Vice-Chancellors’ Committee
CRC  Cooperative Research Centre
CTS  Commercialisation Training Scheme
DEST  Department of Education, Science and Training
GST  Goods and Services Tax
HEP  Higher Education Provider
HERDC  Higher Education Research Data Collection
IGS  Institutional Grants Scheme
IPRS  International Postgraduate Research Scholarships
ISBN  International Standard Book Number
ISSN  International Standard Serial Number
JVCA  Joint Venture Contractual Agreement
LIEF  Linkage—Infrastructure, Equipment and Facilities
MNRF  Major National Research Facilities
OECD  Organisation for Economic Cooperation and Development
RIBG  Research Infrastructure Block Grants
RPS  Regional Protection Scheme
RTS  Research Training Scheme
SII  Systemic Infrastructure Initiative
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 2007 Higher Education Research Data Collection Specifications for the collection of 2006 data.

How to obtain the returns

Research Income Return—Return 1 and Publications Return—Return 2 can be obtained from the department’s website at:

www.dest.gov.au/sectors/research_sector/online_forms_services/higher_education_research_data_collection.htm

It is important that HEPs follow these specifications and any supplementary advice issued by the department through its website.

All totals and sub-totals in Research Income Return—Return 1 and Research Publications Return—Return 2 are calculated automatically. All text and data fields except those into which HEPs are to enter data are password protected so that no changes to either cell contents or formats can be made. The contents and formats of protected text and data fields are not to be altered. Spreadsheets for which protected data have been altered (for example, by disabling protection) will not be accepted by the department, and the HEP will be asked to resubmit the data in the required format or that HEP’s data will not be included in the collection.

Please ensure that the HEP and contact officer details at the top of each form are completed.

Submitting the returns electronically

Returns 1 and 2 are to be submitted to the department as attachments to an email message sent to:

RBGrants@dest.gov.au

Please note: The department cannot read Macintosh spreadsheets. Returns 1 and 2 must be saved in Windows Excel format. Emails will be acknowledged.
2007 HERDC Specifications for Collection of 2006 data

Namings conventions

File names should consist of 7 or 8 characters eg: rd6jfcu.xls.

Please use the following naming conventions:

- Characters 1&2: Always use rd. This identifies the data as part of the Research Data Collection.
- Character 3: Use the number 6 when submitting 2006 data
- Character 4: Use f for financial data or p for publications data
- Characters 5-8: Use up to 4 letters to identify your HEP (eg UNSW, RMIT, CDU)

Submission of amended data

Amended data must be submitted by the same procedure.

Please amend the 'date return finalised' in the first section of the Returns so that the revised submission can be easily distinguished from the original.
APPENDIX B

VICE-CHANCELLOR’S CERTIFICATION STATEMENT

2007 HIGHER EDUCATION RESEARCH DATA COLLECTION OF 2006 DATA

I, (full name)........................................................................................................ being the Chief Executive Officer of (HEP name)............................................................ hereby certify that the research income and publications information in these documents has been compiled in accordance with the instructions for the 2007 Higher Education Research Data Collection of 2006 data issued by the Department of Education, Science and Training, and that the information in the returns is correct.

Signed:...........................................
Title:............................................... 
Date:............................................... 

This form should be sent both electronically and in hard copy to:

RBGrants@dest.gov.au

HERDC Officer
Research Policy and Programmes (Loc 530)
Research Systems Branch
Innovation and Research Systems Group
Department of Education, Science and Training
GPO Box 9880
Canberra City ACT 2601
APPENDIX C

Pro-formas which may be used 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.
# BOOKS

Information certified by:

**Author’s Signature**

**Date**

<table>
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<th>Department/School</th>
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</thead>
</table>
CONFERENCES PUBLICATIONS

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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 D

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>Author(s) staff or student when research undertaken</td>
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<td>Points claimed apportioned for reporting unit* if jointly authored as at section 9.5 of part C (page 29)</td>
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* HEP or area within HEP as appropriate. If reporting for a department do not claim for authors based in other departments.

### Verification

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<td>(Further evidence may be required if the above extracts do not demonstrate classification.)</td>
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**BOOK CHAPTERS**

**Eligibility**

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**Verification**

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# HIGHER EDUCATION RESEARCH DATA COLLECTION - PUBLICATIONS

## JOURNAL ARTICLE

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**HIGHER EDUCATION RESEARCH DATA COLLECTION - PUBLICATIONS**

**CONFERENCE PUBLICATION**

**Eligibility**

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**Verification**

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APPENDIX E

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 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 \((1+0.5+0.33+0.2)^*4/(16-1) = 0.54\).

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 \((0.5+0.25+0.25+0.25+0.2)^*4/(21-1) = 0.29\).

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.