



Australian Government

**Department of Industry, Innovation,
Climate Change, Science, Research
and Tertiary Education**

2013

Higher Education Research Data Collection

Specifications for the collection of 2012 data

April 2013

TABLE OF CONTENTS

1. Introduction	4
1.1 Purpose	4
1.2 Format of the specifications	5
1.3 Definitions	6
1.4 Freedom of Information Act 1982	10
2. Publication of research income and publications returns	10
3. Materials required in the returns and due dates	11
4. Verification	11
4.1 Vice-Chancellor certification statements.....	11
4.2 Audit of research income.....	11
4.3 Verification material.....	12
5. Contact details	12
6. Key differences between the 2013 and 2012 HERDC Specifications	13
Part A	16
7. Research income return - Return 1	16
7.1 General requirements	16
7.2 Net receipted income which can be included in the Research Income Return – Return 1	17
7.3 Research income which cannot be included in the Research Income Return – Return 1	18
7.4 Third party income	19
7.5 Treatment of partial research income	19
7.6 Treatment of general and untied income from government grants.....	20
7.7 Treatment of income from HEPs’ affiliations/partnerships with external organisations.....	20
7.8 Income received through shared research arrangements.....	21
7.9 Transfers.....	21
7.10 GST	21
7.11 Research income categories.....	21
Part B	25
8. Category 4: CRC research income	25
8.1 General requirements	25
8.2 Arrangements applying to the collection and certification of CRC research income.....	25
8.3 Eligible research income	25
8.4 Research income not eligible to be included	26
8.5 Breakdown by source category	26
8.6 Special cases.....	27
Part C	28
9. Research publications return - Return 2	28
9.1 General requirements	28
9.2 Year of publication	29
9.3 Publication categories counted in Research Publication Return - Return 2	30
9.4 Author affiliation	33
9.5 Apportioning authors	33
9.6 Peer review	34
9.7 Verification material.....	34
9.8 Foreign language publications.....	36
9.9 Electronic Works	36

Appendix A - Instructions for electronic submission of HERDC returns.....	38
Appendix B - Pro-formas for collecting data about individual publications.....	39
Appendix C - Sample lists for verification material	44
Appendix D - Book chapter calculation methodology	49

1. Introduction

1.1 Purpose

The Australian Government's provision of research block grant (RBG) funding to eligible higher education providers¹ (HEP) is enabled by the *Higher Education Support Act 2003* (HESA), which provides for "grants to support research by, and the research capability of, higher education providers" and "grants to support the training of research students". Thus, the purpose of RBG is to reward the success of HEPs in obtaining competitive grants and supporting them to continue to undertake research and research training activities. The RBG also aims to help HEPs meet the indirect costs of conducting research, as well as build greater collaboration between HEPs and the business and non-government sectors.

The data collected through the Higher Education Research Data Collection (HERDC) is used to assess the relative research and research training performance of HEPs and in turn drives the allocation of RBG.

The HERDC specifications control the collection of HERDC data and are designed to ensure the RBG are allocated in a fair and transparent way and to support the policy intent of the funding.

The purpose of the 2013 HERDC Specification document is to provide guidance for HEPs, and for auditors, on the specific content and data requirements in providing 2012 research income and research publications data. In finalising the specifications the Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education (Department of Innovation) took into account the work undertaken by the Higher Education Research Data Committee's *HERDC Publications Review Working Group*, as well as comments received from the sector. The document was also reviewed by Universities Australia (via its Pro and Deputy Vice-Chancellors (Research) (P-DVC-R) Committee) and Universities Australia provided its endorsement of the specifications to the department on 3 May 2013.

Accordingly, the department considers this specification document to be final and will not issue any amendment during the course of 2013.

HEPs must provide data to the department in two returns:

Return 1 - Research Income Return

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

Return 2 - Research Publications Return

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

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*.

- Conference publications

Important note:

For Return 2 – Research Publications Return, HEPs must only provide unweighted data to the department.

Use of data

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 (RTS)
- Joint Research Engagement (JRE)
- Sustainable Research Excellence in Universities (SRE)
- Research Infrastructure Block Grants (RIBG)
- Australian Postgraduate Awards (APA)
- International Postgraduate Research Scholarships (IPRS)

For the SRE, data from the transparent costing exercise for indirect costs of research (conducted by the department with participating HEPs during 2012) will also be an input in determining eligible HEPs' SRE grant amounts.

Information about the RBG, including program guidelines, conditions of grants and processes for calculating grants, can be found on the department's Innovation Internet "Research Block Grants" website:

<http://www.innovation.gov.au/research/researchblockgrants/Pages/default.aspx>

Important note:

The department's allocation of RBG to HEPs is independent of funding for individual research projects. HEPs have the autonomy to decide what projects, personnel, equipment and infrastructure that their block grants should support across their research and research training activities. The department does not intend that HEPs use the HERDC as the basis for their internal systems for allocating their research and research training funding. HEPs should develop their own internal allocation mechanisms.

Enquiries about this specification document should be sent to:

RBGrants@innovation.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

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

1.3.1. Audit certificate

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

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

Auditing requirements are set out in **section 4.2**.

1.3.2. Author affiliation

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

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

1.3.3. Capital grants

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

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

1.3.4. Commercial publisher

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

Important note:

Publication is more than the production of a book. It includes quality control such as peer review or equivalent in-house quality control through processes such as expert assessment or review, as well as editing, copy-editing, design, and conversion of the work to an appropriate format.

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

HEP and other self-supporting HEP presses are also regarded as commercial publishers, provided that they have responsibility for distribution in addition to publication.

1.3.5. Consultancy

A consultancy is the practice of providing expert advice, specialist knowledge or objective review within a particular field. Consultancy fees for the conduct of projects or provision of services that **do not** comply with the definition of research (as per **section 1.3.10**) must not be counted in a HEP's research income return.

1.3.6. Higher degree by research training

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

1.3.7. Literature review

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

1.3.8. Net receipted income

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

The requirements for the reporting of net receipted income are further explained at:

Title	Part and Section
Research Income Return – Return 1 Categories 1, 2 and 3	Part A
Research Income Return – Return 1 Category 4	Part B
Instructions for Electronic Submission of HERDC Returns	Appendix A

1.3.9. Peer review

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

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

1.3.10. Research

Research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.

This definition of research is consistent with a broad notion of research and experimental development (R&D) as comprising of creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise new applications².

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

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

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

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

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

Important note:

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

1.3.11. Reference year

The reference year for research income (Categories 1, 2 and 3) is the 2012 calendar year. For CRC research income (Category 4) the reference year is the financial year 2011-12.

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

² OECD (2002), *Frascati Manual: Proposed Standard Practice for Surveys on Research and Experimental Development*, OECD: Paris.

1.3.12. Research publications

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

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

Research publications may be produced in any appropriate format, such as print, publication online, or publication in digital form on separate media such as a CD.

Publication is more than the release of a work. It implies quality control (such as peer review or in-house quality control) and enhancement through processes such as assessment or review, editing, copy-editing, design, and conversion of the work to an appropriate format.

Important note:

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

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

The requirements for publications are further explained at:

Title	Part and Section
Research publications return - Return 2	Part C
Instructions for electronic submission of HERDC returns	Appendix A
Pro-formas for collecting data about Individual Publications	Appendix B
Sample lists for verification material	Appendix C
Book chapter calculation methodology	Appendix D

1.3.13. Subsidiaries

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

1.3.14. Shared research income

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

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

1.3.15. Third party income

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

The requirements for third party income are further explained at **section 7.4 of Part A**.

1.3.16. Vice-Chancellor's certification statement

The Vice-Chancellor is required to provide a certification statement for the HEP submission of Return 1 and Return 2. The format for this statement is provided with the submissions SmartForm, detailed in **Appendix A**.

1.3.17. Year of publication

The year of publication is the 2012 calendar year.

HEPs can also include 2011 publications in their submission if the publications were published after the submission date for the 2011 data collection. 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 2011 publication date, was not published until after 30 June 2012. 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**.

Publications from 2010 and earlier years are not eligible to be included.

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 freedom of information requests are to be referred to:

**FOI Coordinator
Legal Branch
Department of Industry, Innovation, Climate Change, Science, Research
and Tertiary Education
GPO Box 9839
Canberra ACT 2601**

Decisions regarding requests for access to documents will be made by the department's authorised freedom of information 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:

<http://www.innovation.gov.au/Research/ResearchBlockGrants/Pages/RBGFundingFormulaeData.aspx>

The research income and publications data provided by HEPs may be used to inform other analyses conducted by the department.

3. Materials required in the returns and due dates

Material Required in the Return	Format of the Return	Due Date
Research Income Return - Return 1	Electronic Submission (also Hard Copy)	30 June 2013
Research Publications Return - Return 2		
Vice-Chancellor's Certification Statement	Hard Copy	
Audit Report		

The instructions for electronic submission of the Research Income Return - Return 1 and Research Publications Return - Return 2 are set out in **Appendix A**. Electronic submissions must be sent to RBGrants@innovation.gov.au.

Important note:

It is a condition of all HEPs Research Training Scheme, Joint Research Engagement, Sustainable Research Excellence and Research Infrastructure Block Grants scheme grants that the materials required in the above table be provided to the department by 30 June 2013.

Research Income Return - Return 1, Research Publications Return - Return 2, Vice-Chancellor's Certification Statement and Audit Certificate (in hard copy) must be sent to:

**HERDC Officer
Higher Education Research Data Collection (HERDC)
Research Funding and Infrastructure Branch
Science and Research Division
Department of Industry, Innovation, Climate Change, Science, Research
and Tertiary Education
GPO Box 9839
Canberra ACT 2601**

4. Verification

4.1 Vice-Chancellor certification statements

Vice-Chancellors must certify that their HEPs Research Income Return - Return 1 and Research Publications Return - Return 2 are correct and have been compiled in accordance with this specification document.

Each HEP must supply one certification statement to the department. The format for this statement is provided with the submissions SmartForm detailed in **Appendix A**.

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 a Special Purpose Audit Report under ASA800 which clearly certifies that the research income recorded is correct.

In addition to ensuring that the research income reported by a HEP under its research income return is correct, the department's expectation is that the audit also ensures that research income:

- is attributed to activities that comply with the definition of research, as per **section 1.3.10**;
- is attributed to the correct category of research income, as per **parts A and B**; and
- is identified by transparent and explicit transactions.

The audit should be conducted by an independent, external, qualified auditor (for example, a state auditor-general officer or certified public accountant). It may be conducted as part of an annual audit. For the audit of their HERDC returns, HEPs may prefer to use the same auditors that undertake the audit of their financial statements.

4.3 Verification material

HEPs must maintain verification material to demonstrate that research income (e.g. funding agreements, memorandums of understanding, letters of agreement, contracts, proof of acceptance of a tender or approval of an application for funding) and publications meet the criteria against the categories being reported.

For the purposes of the HERDC, HEPs must retain verification material for a minimum of three years to facilitate any audit of research income and publications data that may be conducted by, or on behalf of the department.

Important note:

In respect of research income, HEPs are advised to ensure that their relevant funding agreements and contracts are up to date, reflect the nature of the research activity being undertaken and the roles of the parties. This is relevant in respect of the third party income requirements (see **section 7.4**).

Please note that arrangements supported by email only (without supporting attachments) do not constitute appropriate verification material.

Verification material for publications is further explained in **section 9.7 of Part C**.

5. Contact Details

Queries concerning the HERDC and this specification document should be directed to: RBGrants@innovation.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 the specifications)
- Research income return - Return 1
- Research publications return - Return 2
- the Australian Competitive Grants Register (ACGR)

For this and other relevant information, see:

<http://www.innovation.gov.au/Research/ResearchBlockGrants/Pages/HigherEducationResearchDataCollection.aspx>

6. Key differences between the 2013 and 2012 HERDC Specifications

Section 1.3.4

- **Amended** first paragraph wording replaced “*producing*” with “*publishing*”.
- **Amended** third paragraph wording replaced “*printing*” with “*publication*”.
- **New** “Important Note”.

Comment:

These changes are related to the adoption of format neutrality. In February 2013, the Department of Innovation circulated a *Higher Education Research Data Collection (HERDC): Publications issues paper* to identify changes that needed to be made to the HERDC specifications to accommodate the increase in online publication of research. Responses to the issues paper strongly supported the adoption of the principle of “format neutrality”, i.e. that research publications should be assessed against HERDC criteria – and counted in a HEP’s publications return – irrespective of the format in which they were published.

The inclusion of the “Important Note” is intended to clarify the definition of commercial publisher in relation to both electronic and printed publications.

Section 1.3.9

- **Amendment** to first paragraph to insert “impartial and independent”.
- Moved second paragraph to section 9.6 of Part C.

Comment:

The amendment ensures alignment with the *Australian Code for the Responsible Conduct of Research 2007* (Jointly issued by the National Health and Medical Research Council, the Australian Research Council and Universities Australia).

The amendment of the wording clarifies the term ‘peer review’ as being the impartial and independent assessment of research by others working in the same or a related field and being independent of the author.

Section 1.3.12

- **New** wording to third dot point inserted “*the quality control processes of a*”.
- **New** paragraphs.

“Research publications may be produced in any appropriate format, such as print, publication online, or publication in digital form on separate media such as a CD.

Publication is more than the release of a work. It implies quality control (such as peer review or in-house quality control) and enhancement through processes such as assessment or review, editing, copy-editing, design, and conversion of the work to an appropriate format.”

Comment:

These changes relate to the adoption of format neutrality. Publications in any format may now be counted, as long as they meet the definition of research and the other characteristics set out in 1.3.12.

Section 9.1

- **New** wording to fifth dot point, inserted “*the quality control processes of a*”.

Comment:

This change has the effect of requiring peer review for any book or book chapter not published by a commercial publisher as defined in Section 1.3.4.

Section 9.3.1:

- **Deleted** dot point two which stated that a book “must be offered for sale – for hard copies, bound; for CDs packaged”.
- **Amended** new dot point four (previously dot point five) to include the requirement that if a book is not published by a commercial publisher, it must have been peer reviewed, as defined at **sections 1.3.9 and 9.6**.
- **New** dot point in the third list “theses (PhD, Masters and Honours)”.
- **Deleted** third paragraph in the “*Important Notes*” section.

Comment:

The requirement that publications must be offered for sale was removed as part of the adoption of format neutrality.

Responses to the HERDC publications issues paper strongly supported the exclusion of theses from the research publications collection. “*Theses (PhD, Masters and Honours)*” has been added on the exclusion list to provide clarification that theses do not meet the specifications criteria with regards to books.

The third paragraph of the important notes has been removed as the 2013 HERDC specifications now detail the parameters within which research published electronically is defined and can be included in the HERDC in future years.

Section 9.3.2

- **Deleted** dot point two which states that a book “must be offered for sale – for hard copies, bound; for CDs packaged”.
- **Amended** new dot point two (previously dot point 3) to include requirement that if a book is not published by a commercial publisher, it must have been peer reviewed, as defined at **sections 1.3.9 and 9.6**.

Comment:

These amendments are consistent with those made to Section 9.3.1.

Section 9.3.4

- **Amended** dot point 1 wording from “*a number of different*” to “*any*” in relation to the formats of types of publishing.

Comment:

The wording provides further clarification on the definition of research publications and publishing, in line with format neutrality.

Section 9.6

- **Amended** paragraph one wording to include “*impartial and independent assessment or review of the research publication in its entirety before publication, conducted by independent, quality experts....*”.
- **Amended** paragraph two wording to “Peer review is required for journal articles and conference publications. It is also required for books and book chapters that are not published by a commercial publisher”.
- **New** paragraph inserted and dot points for the reporting of books and book chapters.

“For books and book chapters that are not published by a commercial publisher any of the following are acceptable as evidence of peer review:

- there is a statement in the book which shows that contributions are peer reviewed and in the case of book chapters, which indicates which chapters are peer reviewed, if this does not apply to all content
- there is a statement or acknowledgement from the publisher or editor which shows that contributions are peer reviewed
- a copy of a reviewer's assessment relating to the book or book chapter."

Comment:

The changes provide clarification that peer review is not required for all books and book chapters, only those that do not have a commercial publisher.

Section 9.7

- **Amended** second paragraph wording from "or use Digital Object Identifiers (DOIs)" to "or cite a Digital Object Identifier (DOI) or other stable identifier, such as a handle".

Comment:

These are consequential changes from the adoption of format neutrality.

Section 9.7.1

- **New** wording added to end of sentence "OR proof of peer reviewing as set out in **section 9.6 of Part C**".

Comment:

This change is consistent with the requirement that books not published by a commercial publisher, as defined in Section 1.3.4, must be peer reviewed.

Section 9.7.2

- **New** dot point "proof that the book was published by a commercial publisher (as defined at **section 1.3.4**), OR proof of peer reviewing as set out in **section 9.6 of Part C**".

Comment:

This change is consistent with the requirement that books not published by a commercial publisher, as defined in Section 1.3.4, must be peer reviewed.

Section 9.9

- **Amended** section heading "*Electronic Works*" to "*Format*".
- **New** wording to beginning of paragraph "*Works in any format, including electronic works are eligible to be counted, provided they meet all relevant criteria in these specifications.....*".

Comment:

The wording has been revised to incorporate format neutrality.

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 - Return1.

For information on Category 4 (CRC research income) refer to Part B of this specification document.

7. Research Income Return - Return 1

7.1 General requirements

HEPs should only include net receipted income in their research income return. This income must:

- be recognised in the HEP's financial system as being related to the 2012 year, consistent with its audited financial statements. Category 4: CRC research income should be related to the 2011-12 financial year;
- be classified into categories (see **section 7.11 of Part A**) according to the organisation providing the funds;
- comply with the definition of research (see **section 1.3.10**);
- be retained in a HEP's accounting systems and verified by the HEP's audited financial statements unless exempt as income received from a CRC; and
- be reported in accordance with the Financial Statement Guidelines for Australian Higher Education Providers for the 2012 Reporting Period.

HEPs should apply the principle that no income is to be double counted, or included in the income returns for multiple years.

Important note:

Section 7.2 provides guidance in respect of the net receipted research income that can be included in a HEP's research income return. **Section 7.3** outlines income that cannot be included. These lists are not exhaustive and it is the department's expectation that HEPs work with their auditors in determining which research income can be reported under the HERDC.

Sections 7.4 to 7.10 provide additional information in respect to the treatment and reporting of net receipted income.

HEPs must only report net receipted income that is for the purposes of conducting research. See **section 7.5** 'Treatment of partial research income'.

Section 7.11 outlines guidance in respect of categorising allowable net receipted income. Research income for 2011 (Categories 1, 2 and 3) and 2010-11 (Category 4) or earlier years omitted from previous returns **should not** be included. However, HEPs may count research income for 2011 (Categories 1, 2 and 3) or 2010-11 (Category 4) **ONLY** where the HEP has made a **genuine omission of that income** from its previous year's HERDC return and the HEP can **verify to its auditor's satisfaction** that the income has not been reported in the previous year's return.

A HEP must reduce the research income reported for a particular category where research income received in 2011 or an earlier year has been refunded in 2012.

7.2 Net receipted income which can be included in the Research Income Return – Return 1

- stipends and scholarships for HDR students enrolled at the HEP, unless explicitly excluded in **section 7.3 of Part A**
- competitive, peer reviewed HDR stipend and scholarships from non-Australian industry or non-Australian Government agencies
- income derived from the investment of donations, bequests and foundations
- travel grants where funds are provided specifically for the purpose of travel and used to enable access to a program of research. Researchers using the funds are expected to be active participants in the research program, rather than observers or visitors
- funds provided for the conduct of clinical trials provided the purpose of the trial meets the definition of research
- research infrastructure grants (unless explicitly excluded in **section 7.3 of Part A**). This includes grants for specific and specialised equipment used for the conduct of research
- income from overseas HEPs provided specifically for the conduct of research
- income used to manage staff directly engaged in the conduct of research or providing professional, technical or clerical support or assistance to those staff³
- income received in support of:
 - professional, technical, administrative or clerical support staff directly engaged in activities essential to the conduct of research⁴
 - the activities and training of HDR students enrolled at the HEP:
 - this includes funds providing the cost of a student’s HDR fee-paying place, but excluding Commonwealth supported places or places funded through the RTS. Funds include tuition fees that fee paying students (non Commonwealth supported) pay to their HEP for a HDR program or HDR-related course of study
 - the development of HDR training and courses
 - the supervision of students enrolled at the HEP and undertaking HDR training and courses
 - research and experimental development into applications software, new programming languages and new operating systems (such R&D would normally meet the definition of research as per **section 1.3.10**).
- for the HERDC reference year, where a HEP receives a general or untied grant from an Australian government (whether Commonwealth, state, territory or local) for the purposes of conducting research, the HEP may report the proportion of that grant that can be clearly and transparently attributed as to be expended on the direct costs of conducting research (see **section 7.6**). HEPs must **exclude** indirect costs of conducting research to be expended from the grant.

³ See also Section 7.4, Third Party Income; this includes where a HEP has made payments to a third party for goods and services in support of the conduct of research under the control of the HEP.

⁴ See note above.

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

- any income above the amount of net receipted income
- 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 except in respect of shared research income (in accordance with **section 7.8 of Part A**) or transfers (in accordance with **section 7.9 of Part A**)
- any income received by a HEP or its subsidiaries for the rental and use of its facilities and accommodation, even if this is related to the conduct of research
- any third party income (except where the third party is a subsidiary of the HEP or where the HEP has made payments for goods and services in support of the conduct of research under the control of the HEP)
- any scholarships or grants that are provided by the HEP for its own students
- income received in respect of fees that have been charged by a HEP to a domestic HDR student who has exhausted his/her RTS funding entitlement and has continued his/her enrolment
- income received in respect of Commonwealth contributions paid by the Australian Government directly to HEPs for Commonwealth supported places
- income received by honours students, or by HEPs on behalf of honours students, for the research component of their honours degrees, including externally funded scholarships or stipends
- any research income not related to a HEP but received by its affiliated organisation/s
- in-kind contributions
- capital grants
- National Collaborative Research Infrastructure Strategy (NCRIS), Australian Research Council (ARC) Linkage-Infrastructure, Equipment and Facilities (LIEF), and Independent Research Institutes Infrastructure Support Scheme (IRIIS) grants
- grants from the Higher Education Endowment Fund (HEEF) or the Education Investment Fund (EIF)
- funds received through the ARC's Research Networks scheme
- funds from the Commonwealth Grants Scheme (CGS)
- for the HERDC reference year, income received from a general or untied grant from an Australian government (whether Commonwealth, state, territory or local) that cannot be attributed as to be expended on the direct costs of conducting research, even if the income was provided for research purposes. HEPs **must not include** indirect costs of conducting research that are to be expended from the grant (see **section 7.6**)
- income received from government grants that are for other purposes which have been specified by the funding source or sponsor (such as teaching), even if a proportion of income is to be expended on the conduct of research at the HEP's discretion
- income received by HEPs from the sale of assets, even if that income is to be expended on the conduct of research at the HEP's discretion
- funds provided specifically for the purpose of hosting, organising or travel to and attending a conference, workshop or meeting unless funds are specifically for enabling access to a program of research
- funds provided specifically for the purpose of producing research publications (that is, for publishing research rather than conducting it)
- consultancy fees for projects that do not meet the definition of research
- interest income accruing to research grants and contract research grants
- research income received by independent operations which do not meet the definition of a subsidiary as defined at **section 1.3.13**
- income from the High Performance Computing and Communications Program, to or through the Australian Partnership for Advanced Computing
- income provided for preparation for teaching

- funds used for:
 - 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
- grants from the following Department of Innovation programs:
 - Research Training Scheme (RTS)
 - Joint Research Engagement (JRE)
 - Sustainable Research Excellence (SRE)
 - Research Infrastructure Block Grants (RIBG)
 - Commercialisation Training Scheme (CTS)
 - Australian Postgraduate Awards (APA)
 - International Postgraduate Research Scholarships (IPRS)
 - Collaborative Research Networks (CRN)

Important note:

For the sections below, the following requirements remain applicable:

Income must be net receipted income (definition at **section 1.3.8**)

Income must be attributed to activities which comply with the definition of research (definition at **section 1.3.10**).

Income must be consistent with the inclusions identified at **section 7.2**.

Income must not be third party income (explanation at **section 7.4**).

7.4 Third party income

Third party income (as defined in **section 1.3.15**) cannot be reported under a HEP's Research. Exceptions are:

- where the third party is a subsidiary of the HEP and the research income is retained in the HEP's accounting system and verified in its audited financial statements; or
- where a HEP has made payments to a third party for goods and services in support of the conduct of research under the control of the HEP.

7.5 Treatment of partial research income

It is often the case that HEPs receive funding for the conduct of research projects, but there can be funding for activities that do not comply with the definition of research (as per **section 1.3.10**) or are excluded under **section 7.3**.

HEPs are reminded that, for the total income that they receive for each research project, they can only report net receipted income they have received for the HERDC reference year for activities which comply with the definition of research and are consistent with the inclusions identified under **section 7.2**.

This approach is consistent with the treatment of general and untied income from government grants for the purposes of conducting research (see **section 7.6**).

7.6 Treatment of general and untied income from government grants

For the HERDC reference year, where a HEP receives a general or untied grant from an Australian government (whether Commonwealth, state, territory or local) for the purposes of conducting research, the HEP may report that proportion of the grant that can be clearly and transparently attributed as to be expended on the direct costs of conducting research. HEPs must not include indirect costs of conducting research to be expended from the grant.

In identifying the direct and indirect costs of research supported by this general or untied income from each eligible government grant, HEPs must use a method that is consistent with the principles and method that they have adopted to implement the transparent costing under the Sustainable Research Excellence (SRE) initiative.

HEPs must not include any income received from government grants that are for other purposes which have been specified by the funding source or sponsor (such as teaching), even if a proportion of income is to be expended on the conduct of research at the HEP's discretion.

As per **section 7.3**, funds from the Commonwealth Grants Scheme cannot be included.

7.7 Treatment of income from HEPs' affiliations/partnerships with external organisations

The key requirement is that HEPs can only report net receipted income under their research income return; i.e. retained in a HEP's accounting system and verified in its audited financial statements.

Where HEPs have entered into formal employment arrangements with researchers in affiliated or partner organisations (external to the HEP), income that can be reported must be net receipted income and commensurate with the employment arrangements.

However, HEPs can report the total amount of income for a research project⁵ - even if the researcher(s) conducting the research project is partially employed by the HEP (i.e. the HEP pays a proportion of salary direct to the researcher or there is a formal legal relationship or agreement which covers employment) - as long as the HEP is the grant recipient and where that total amount of income is net receipted income (i.e. received, retained in the HEP's accounting system and verified in the HEP's audited financial statements).

Employment arrangements must be bona fide. HEPs must exclude that research income which is subject to cost reimbursement arrangements with affiliates or partner organisations (i.e. to reimburse research costs, including researcher salaries) which are not explicitly covered within a formal legal relationship between the HEP and the external organisation.

Important note:

The transitional arrangements that applied to the development of formal arrangements with researchers in affiliated partner organisations for reporting of research income under **section 7.7** are no longer valid. Formal arrangements must be in place for income received from HEPs' affiliations/partnerships with external organisations in 2012 to be counted.

⁵ HEPs should still apply requirements under section 7, including 7.5 and 7.6, as necessary.

7.8 Income received through shared research arrangements

This section describes the circumstances under which income received through shared research arrangements may be reported as research income.

HEPs should note that there is not a separate category for income received through shared research arrangements. Shared research income should be assigned to the appropriate reporting category as listed in **section 7.11 of Part A** according to the original source of the income.

7.8.1. Shared research income

A grant is considered shared research income if a component of the grant is passed from the primary recipient to another party, where that party is named in the contract/agreement for the grant or tender/application for funding. A party may be a HEP, the staff of a HEP, or another research performing organisation.

For example, if 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. Double counting should not occur. It must be possible for the net received income by each HEP to be identified in its audited financial statements.

7.9 Transfers

Where a HEP's staff are transferring to another HEP and carry research grant funding with them, this must be reflected in adjustments to the affected HEPs' income returns. The receiving HEP should categorise the income according to the organisation that originally provided the funding.

7.10 GST

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

7.11 Research income categories

Subject to complying with the definition of research (see **section 1.3.10**) and the specifications set out in **Parts A and B**, HEPs must enter all research income into Research Income Return - Return 1 according to the following four 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

Specifications for Categories 1, 2 and 3 are set out in **sections 7.11.1, 7.11.2 and 7.11.3 of Part A**.

Specifications for Category 4 are set out in **Part B**.

Important note:

The department expects HEPs to manage their own processes for categorising research income correctly. To minimise risks in incorrect categorisation, it is suggested that HEPs nominate the appropriate HERDC income category (or categories) at the time that funding agreements, grants or contracts are executed. Affected faculties or departments should be provided with this information to help ensure that all income is coded to the correct HERDC income category for the duration of the funding.

Where HEPs have received funding from multiple sources for a research project, then funding must be apportioned to the correct category based on each funding source.

7.11.1. Category 1: Australian competitive grants

Category 1 consists only of income from those research schemes and programs listed on the 2013 ACGR.

Only net receipted income received by HEPs from the programs and schemes registered on the 2013 ACGR can be claimed under this category. The ACGR is available through the department's website at:

<http://www.innovation.gov.au/Research/ResearchBlockGrants/Pages/AustralianCompetitiveGrantsRegister.aspx>

Grants received from the Australian Government and not included in the 2013 ACGR may be eligible for inclusion in Category 2: Other public sector research income.

Where a HEP receives income from another source in addition to funding partners listed in its Australian Competitive Grant application, then that income should be reported under the relevant category, depending on its source.

7.11.2. Category 2: Other public sector research income

Category 2: Other public sector research income includes:

Australian government – Non Category 1:

This is any other income for the purposes of conducting research received from the Australian Government, whether via programs, grants or contracts, that is not eligible for inclusion as Category 1 research income.

State or Territory government:

This is income for the conduct of research received from state or territory government departments or agencies, whether via programs, grants or contracts.

Local government:

This is income for the conduct of research received from local government departments or agencies, whether via programs, grants or contracts.

Government business enterprises:

This is income for the conduct of research received from enterprises that are wholly or partly owned or funded by Commonwealth, state or territory, or local governments; have a board; and operate on a profit or cost-recovery basis.

Cooperative Research Centres:

This is research income from CRCs in which the reporting HEP was not defined within the Commonwealth Agreement as "The Researcher" or a "Participant" (i.e. was not a signatory to the Commonwealth Agreement, a CRC Participants Agreement, or a Company Constitution during the reporting period).

Reporting of eligible general or untied income from government grants

HEPs are to report any eligible proportion of general or untied income received from government grants for the purposes of conducting research (see **section 7.6**) according to the source of that grant (i.e. whether Australian government - Non Category 1, State or Territory government, or Local government).

7.11.3. 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
- HDR fees for domestic students

International A: Competitive, Peer-reviewed research grant income

International B: Other income

International C: HDR fees for international students

Category 3 includes:

Australian:

- contract research income provided by industry or other non-government agencies
- grants for the conduct of research other than government provided grants (which should be reported in either Category 1 or Category 2)
- donations and bequests for the conduct of research that have been received from Australian business, Australian non-profit organisations and Australian individuals
- income received from syndicated research and development arrangements
- funds received for providing the cost of a domestic student's HDR fee-paying place (but excluding Commonwealth supported places or places funded through the RTS). This includes tuition fees⁶ that domestic fee paying students (non Commonwealth supported) pay to their HEP for a HDR program or HDR-related course of study.

Many research income arrangements involve grants covered by a contract. In categorising funds as either contract research income or grant income, HEPs should regard:

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

⁶ As listed under **section 7.3**, funds exclude fees that HEPs may charge those domestic HDR students who exhaust their RTS funding entitlement and continue their enrolment. Funds also exclude Commonwealth contributions paid by the Australian Government directly to HEPs for Commonwealth supported places.

International A:

- Competitive grants, peer reviewed grants for research from non-Australian industry or non-Australian Government agencies including non-Australian industry collaborative research grants.
- Grants that can be included are those where:
 - a) funds are provided on a competitive basis and are clearly for the conduct of research only; and
 - b) there is a well-defined mechanism for competition and selection by a well-qualified panel.
- Grants that are not eligible are those that provide:
 - a) grants in kind such as the use of facilities, equipment etc. or subsidised travel or accommodation; and
 - b) funding wholly or mainly for infrastructure purposes.

International B:

- contract research provided by non-Australian industry or non-Australian Government agencies including non-Australian industry collaborative research grants
- non-competitive grants for research from non-Australian industry or non-Australian Government agencies including non-Australian industry collaborative research grants
- donations and bequests for conduct of research that have been received from non-Australian business, non-Australian not-for-profit organisations and non-Australian citizens

International C:

- funds received for providing the cost of an international student's HDR fee-paying place (but excluding Commonwealth supported places). This includes tuition fees⁷ that international fee paying students (non Commonwealth supported) pay to their HEP for a HDR program or HDR-related course of study.

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.

⁷ As listed under **section 7.3**, funds also exclude Commonwealth contributions paid by the Australian Government directly to HEPs for Commonwealth supported places.

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 this specification document.

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 2011-12 financial year from a CRC in which they were defined within the Commonwealth Agreement as a "Participant", and are a signatory to the CRC's Commonwealth Agreement or Participant's Agreement.

Income received from CRCs in which the reporting HEP is not a Participant must be reported under Category 2: Other public sector research income (as per **section 7.11.2 of Part A**).

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 external parties contributing to CRCs.

HEPs must consolidate the research income from all CRCs in which they were a Participant and enter this into Research Income Return - Return 1, categorised according to the appropriate subcategories. This data does not need to be split between HEPs and their subsidiaries.

Section 8.5 of Part B provides guidance for HEPs that are unable to easily categorise research income into the subcategories using 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**) that they can report under Category 4: CRC research income for the financial year 2011-12 and must verify that research income data with the respective CRCs in which they are a 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.

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 2011-12
- be classified into subcategories (see **section 8.1 of Part B**)
- comply with the definition of research (see **section 1.3.10**)

- 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 Commonwealth supported places or funded through the Research Training Scheme, Australian Postgraduate Awards, Commercialisation Training Scheme or International Postgraduate Research Scholarships
- payments for contracted projects which meet the definition of research (as defined at **section 1.3.10**)
- funds provided specifically for the purpose of travel to enable access to a program of research. Researchers using the funds are expected to be active participants in the research program, 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
- 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 Return - 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 1.3.10**) and subject to meeting other relevant requirements in **section 7 of Part A**
- 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 external 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 of Part A**).

Example

In the 2011-12 financial year a CRC receives into a single account cash funding from:

Australian HEP sources:	\$5 million (25%)
Government grant:	\$3 million (15%)
non-HEP participants:	\$7 million (35%)
external 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:

- \$120,000 (15% of the \$800,000) to the 'Allocation of funds from Commonwealth grant' component;
- \$280,000 (35% of the \$800,000) to the 'Allocation of funds from non-HEP participants' component; and
- \$200,000 (25% of the \$800,000) to the 'Allocation of funds from external 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. CRCs 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 The Researcher or a 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 of Part B**).

The HEP must ensure that the amounts reported are accurate, and **section 8.5 of Part B** 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. Research Publications Return - Return 2

9.1 General requirements

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

To be counted, each research publication must:

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

and be characterised by:

- substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and provided in a format which allows a reader to trace sources of the work, including through citations and footnotes
- originality (i.e. not a compilation of existing works. See important notes below regarding the treatment of scholarly editions and scholarly translations)
- veracity/validity through a peer review process or by satisfying the quality control processes of a commercial publisher (as defined at **section 1.3.4**).
- increasing the stock of knowledge
- being in a form that enables dissemination of knowledge.

Important note:

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

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

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

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

Book chapters (including apportioning of authors) should be calculated using the methodology at **Appendix D**.

9.2 Year of publication

The fundamental principles that underpin the publications data are:

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

To be able to count publications in the 2013 submission of Research Publications Return - Return 2:

- the research must have been published in the 2012 calendar year, and
- 2012 must be stated as the year of publication within or on the work being claimed.

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

Letters from authors, editors etc stating that a research publication was published in 2012, even though 2012 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 or are web-based, and do not contain a date published within or on the work being claimed, a letter from a journal editor or conference organiser verifying the published date may be accepted.
- The date a conference was held may be acceptable evidence of the year of publication.

The year of publication is normally the latest of the year indicated as published, printed or the year of copyright. A publication with a 2013 copyright date can be reported in the 2012 collection, provided it has a publication date of 2012, and it is not counted again in the 2013 collection.

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

Expanded year of publication definition

HEPs must be able to demonstrate (in the verification material that they maintain) that the publication was not produced until after the submission date for that year's publication return i.e. that the publication, although containing a 2011 publication date, was not published until after 30 June 2012. A letter from the publisher will be considered sufficient verification material to support the claim.

Only those publications which were published after the submission date for the 2011 data collection and contain a 2011 publication date may be included under this provision.

9.3 Publication categories counted in Research Publication Return - Return 2

9.3.1. Books

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

- must be a major work of scholarship
- 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** or if not published by a commercial publisher, must have been peer reviewed, as defined at **sections 1.3.9 and 9.6**
- the author must be affiliated with the claiming HEP as set out in **section 9.4 of Part C**.

The types of books that may meet the criteria include:

- critical scholarly texts (e.g. music, medieval or classical texts)
- new interpretations of historical events
- new ideas or perspectives based on established research findings.

The types of books that do not meet the criteria include:

- textbooks
- anthologies
- edited books
- creative works such as novels
- translations (unless they have a major demonstrable original research component)
- revisions or new editions
- manuals and handbooks
- theses (PhD, Masters and Honours)

Important note:

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

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

9.3.2. Book chapters

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

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

- must have an ISBN
- must have been published by a commercial publisher, as defined at **section 1.3.4** or if not published by a commercial publisher, must have been peer reviewed, as defined at **sections 1.3.9 and 9.6**
- the author must be affiliated with the claiming HEP as set out in **section 9.4 of Part C**.

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

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

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

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

Appendix D outlines the book chapter calculation methodology.

9.3.3. Journal articles

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

- must be published in a scholarly journal
- must have been peer-reviewed as defined at **section 9.6 of Part C**. Note: the fact that an article has been peer reviewed does not automatically mean that it is eligible. The article must still meet the definition of research as well as all other criteria

- must have an International Standard Serial Number (ISSN)
 - Some journals may be regularly published as separate volumes with an ISBN rather than an ISSN. Provided that the publication is clearly identified as an edition of a journal, and not a book, articles in such publications may be eligible if they meet all other criteria
 - If an ISSN does not appear in the journal:
 - external evidence such as an ISSN number being cited in an extract from an authoritative journal listing, such as the Thomson-Reuters Master Journals List or from the Scopus database; or
 - evidence that the journal is classified as 'refereed' in the Ulrich's Knowledgebase;
- the author must be affiliated with the claiming HEP as set out in **section 9.4 of Part C.**

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

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

The types of journal articles that do not meet the criteria include:

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

9.3.4. Conference publications

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

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

Important note:

Conference publications do not require an ISBN or need to be published by a commercial publisher.

The types of conference publications that do not meet the criteria include:

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

9.4 Author affiliation

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

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

- a statement from the author indicating that he or she undertook the research leading to the publication in his or her capacity as a staff member or student of the HEP and either
 - a statement from the Director of Human Resources or Dean of Students (or equivalent) indicating that the author was an appointee or student of the HEP in 2012 (or earlier if that was when the research leading to the publication was conducted) or
 - an extract from the HEP's staff or student list that lists the author.

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

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

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

9.5 Apportioning authors

For categories other than Book Chapters, where there are multiple authors the count must be apportioned according to the number of authors. For example, if there are three authors of a publication, one third should be counted for each author who was a staff member or student of the reporting HEP⁸.

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

⁸ The department's intention is that this section applies to multiple authors across more than one HEP. Where all of the authors are affiliated with the same HEP, then the HEP should count that publication (subject to meeting all other requirements) according to one author (i.e. no apportioning is necessary).

9.6 Peer review

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

Peer review is required for journal articles and conference publications. It is also required for books and book chapters that are not published by a commercial publisher (see **section 9.3**) being counted in the Research Publications Return - Return 2.

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

- the journal is listed on the ARC's Excellence in Research for Australia (ERA) 2012 or 2010 journal lists
- the journal is listed in Thomson Reuters Web of Knowledge Master Journal List
- the journal is classified as 'refereed' in the Ulrich's Knowledgebase
- there is a statement in the journal which shows that contributions are peer reviewed
- there is a statement or acknowledgement from the journal editor which shows that contributions are peer reviewed
- a copy of a reviewer's assessment relating to the article.

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

- there is a statement in the conference proceedings which shows that contributions are peer reviewed
- there is a statement or acknowledgement from the conference proceedings editor which shows that contributions are peer reviewed
- a copy of a reviewer's assessment relating to the conference paper.

For books and book chapters that are not published by a commercial publisher any of the following are acceptable as evidence of peer review:

- there is a statement in the book which shows that contributions are peer reviewed and in the case of book chapters, which indicates which chapters are peer reviewed, if this does not apply to all content
- there is a statement or acknowledgement from the publisher or editor which shows that contributions are peer reviewed
- a copy of a reviewer's assessment relating to the book or book chapter.

Important note:

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

9.7 Verification material

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

For the purposes of the HERDC, HEPs may store verification material electronically, or cite a Digital Object Identifier (DOI) or other stable identifier, such as a handle, as long as they can produce off-prints of publications (i.e. book chapters, journal articles or conference papers) if required for the department's auditing purposes and this does not infringe copyright.

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

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

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

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

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

9.7.1. Books

The HEP must be able to provide proof that the book was published by a commercial publisher (as defined at **section 1.3.4**), OR proof of peer reviewing as set out in **section 9.6 of Part C.**

9.7.2. Book chapters

The HEP must be able to provide:

- the chapter
- if a new chapter in a revised edition, the contents page of the previous edition to indicate that the chapter is new
- a printout of the book chapter calculation spreadsheet
- proof that the book was published by a commercial publisher (as defined at **section 1.3.4**), OR proof of peer reviewing as set out in **section 9.6 of Part C.**

9.7.3. Journal articles

The HEP must be able to provide:

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

9.7.4. Conference publications

The HEP must be able to provide:

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

9.8 Foreign language publications

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

Important note:

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

9.9 Format

Works in any format, including electronic works, are eligible to be counted, provided they meet all relevant criteria in these specifications (as set out in **section 9 of Part C**) for the publications category against which they are being claimed.

Glossary

ACGR	Australian Competitive Grants Register
APA	Australian Postgraduate Awards
ARC	Australian Research Council
CRC	Cooperative Research Centre
CTS	Commercialisation Training Scheme
Department of Innovation or the department	Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education
EIF	Education Investment Fund
ERA	Excellence in Research for Australia
FOI Act	Freedom of Information Act 1982
GST	Goods and Services Tax
HEEF	Higher Education Endowment Fund
HEP	higher education provider
HERDC	Higher Education Research Data Collection
HESA	Higher Education Support Act 2003
HDR	higher degree by research
IRIISS	Independent Research Institutes Infrastructure Support Scheme
IPRS	International Postgraduate Research Scholarships
ISBN	International Standard Book Number
ISSN	International Standard Serial Number
JRE	Joint Research Engagement
LIEF	Linkage—Infrastructure, Equipment and Facilities
NCRIS	National Collaborative Research Infrastructure Strategy
OECD	Organisation for Economic Cooperation and Development
R&D	research and experimental development
RBG	research block grant
RIBG	Research Infrastructure Block Grants
RTS	Research Training Scheme
SRE	Sustainable Research Excellence in Universities

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 2013 Higher Education Research Data Collection Specifications for the collection of 2012 data.

2013 Method of return

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

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

Changes or updates can be made until the cut off date of 30 June 2013.

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

**HERDC Officer
Higher Education Research Data Collection (HERDC)
Research Funding and Infrastructure Branch
Science and Research Division
Department of Industry, Innovation, Climate Change, Science, Research
and Tertiary Education
GPO Box 9839
Canberra ACT 2601**

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

Submitting the returns

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

Queries can be addressed to:

RBGrants@innovation.gov.au

Appendix B - Pro-formas for collecting data about individual publications

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

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

HEPs can use reporting and collection systems which best suit their operations and circumstances.

Books

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

Book Title

Place of Publication

Publisher

ISBN Number

Book Chapter

Information certified by:

Author's Signature

Date

Department/School

Name of Author(s) of Chapter

No of Authors of Chapter

No of Authors in the Department/School

Year of Publication

Book Title

Number of Chapters in Book

Chapter Title

Page Nos

Place of Publication

Publisher

ISBN Number

Journal Articles

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

Journal Name

Journal ISSN

Title of Article

Volume and Page Nos

Place of Publication

Publisher

Conference Publications

Information certified by:

Author's Signature

Date

Department/School

Name of Author(s)

No of Authors

No of Authors in the Department/School

Year of Publication

Title of Paper

Title of Conference Publication

Editor of Conference Publication

Place of Publication

Publisher

Name of Conference

Location and Date of Conference

Appendix C - Sample lists for verification material

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

Higher Education Research Data Collection - Publications

BOOKS

Eligibility

Meets definition of research at section 1.3.10	<input type="checkbox"/>
Published in 2012 as defined in 1.3.17	<input type="checkbox"/>
Be published by a commercial publisher as defined in section 1.3.4, or if not published by commercial publisher, peer reviewed as defined in sections 1.3.9 and 9.6	<input type="checkbox"/>
Author(s) staff or student when research undertaken	<input type="checkbox"/>
Major work of scholarship	<input type="checkbox"/>
Has ISBN	<input type="checkbox"/>
Mainly previously unpublished material, making a substantial contribution to knowledge	<input type="checkbox"/>
If jointly authored, points apportioned according to section 9.5 of Part C	<input type="checkbox"/>

Verification

Contents, preface and introduction and pages showing all bibliographic information (ISBN, title, author(s), publisher, all dates referring to copyright, publication, printing, distribution).	<input type="checkbox"/>
(Further evidence may be required if the above extracts do not demonstrate classification)	<input type="checkbox"/>
Evidence indicating research undertaken in author's capacity as a staff member or student of the HEP.	<input type="checkbox"/>

Higher Education Research Data Collection – Publications

Book Chapters

Eligibility

The book must:	
Meet the definition of research at section 1.3.10	<input type="checkbox"/>
Meet the eligibility criteria at section 9.3.1 of Part C	<input type="checkbox"/>
Be published in 2012 as defined in section 1.3.17	<input type="checkbox"/>
Be published by a commercial publisher as at section 1.3.4, or if not published by commercial publisher, peer reviewed as defined in sections 1.3.9 and 9.6	<input type="checkbox"/>
The chapter must:	
Meet definition of research at section 1.3.10	<input type="checkbox"/>
Meet the eligibility criteria as at section 9.3.2 of Part C	<input type="checkbox"/>
Author(s) staff or student when research undertaken	<input type="checkbox"/>
Points claimed from all chapters contributed by author to book apportioned as per calculation spreadsheet at Appendix D	<input type="checkbox"/>

Verification

The chapter	
Contents, preface and introduction and pages showing all bibliographic information (ISBN, title, editor, authors, publisher, all dates referring to copyright, publication, printing, distribution). If new chapter in revised edition, include also contents of previous edition if preface does not indicate that chapter is new.	<input type="checkbox"/>
Evidence indicating research undertaken in author's capacity as a staff member or student of the HEP.	<input type="checkbox"/>
Printout of calculation spreadsheet.	<input type="checkbox"/>

Higher Education Research Data Collection - Publications

Journal Article

Eligibility

Meet the definition of research at section 1.3.10	<input type="checkbox"/>
Meet the eligibility criteria at section 9.3.3 of Part C	<input type="checkbox"/>
Published in 2012 as defined in section 1.3.17	<input type="checkbox"/>
Peer reviewed as at section 9.6 of Part C	<input type="checkbox"/>
Author(s) staff or student when research undertaken	<input type="checkbox"/>
If jointly authored, points apportioned according to section 9.5 of Part C	<input type="checkbox"/>

Verification

The article or offprint of article/contribution.	<input type="checkbox"/>
Pages showing all bibliographic information (journal title, dates where not provided in the article or offprint).	<input type="checkbox"/>
By-line or footnote or statement in publication indicating research undertaken in author's capacity as a staff member or student of the HEP.	<input type="checkbox"/>
Peer reviewed as at section 9.6 of Part C.	<input type="checkbox"/>
Proof of invited status (if applicable).	<input type="checkbox"/>

Higher Education Research Data Collection - Publications

Conference Publication

Eligibility

Meet the definition of research at section 1.3.10	<input type="checkbox"/>
Meet the eligibility criteria at section 9.3.4 of Part C	<input type="checkbox"/>
Be published in 2012 as defined at section 1.3.17	<input type="checkbox"/>
Be peer reviewed as at section 9.6 of Part C	<input type="checkbox"/>
Author(s) staff or student when research undertaken	<input type="checkbox"/>
If jointly authored, points apportioned according to section 9.5 of Part C	<input type="checkbox"/>

Verification

The paper or offprint of paper.	<input type="checkbox"/>
Contents, preface and introduction and pages showing all relevant bibliographic information (ISBN, title, editor, authors, publisher, dates).	<input type="checkbox"/>
Proof of national or international significance if not clearly shown in documents above.	<input type="checkbox"/>
By-line or footnote or statement in publication indicating research undertaken in author's capacity as a staff member or student of the HEP.	<input type="checkbox"/>
Peer reviewed as at section 9.6 of Part C.	<input type="checkbox"/>
Proof of keynote status (if applicable).	<input type="checkbox"/>

Appendix D - Book chapter calculation methodology

Calculation of book chapter weighting

To count book chapters, use the following methodology.

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

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

Step 1

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

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

Step 2

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

Step 3

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

Example A

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

Step 1

The value is 1 divided by 1 equals 1.

Step 2

There are no further chapters to count.

Step 3

1 plus 0 equals 1. Author A's contribution is worth 1.

Example B

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

Step 1

One of the chapters contributed alone should be counted here. The value is 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.