



**2015**

## **Higher Education Research Data Collection**

**Specifications for the collection of 2014 data**

**April 2015**

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## 1. Introduction

### 1.1 Purpose

The Australian Government's provision of research block grant (RBG) funding to eligible higher education providers<sup>1</sup> (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".

The purpose of the 2015 Higher Education Research Data Collection (HERDC) Specifications is to provide guidance to HEPs and auditors on the requirements for providing 2014 research income and research publications data.

### 1.2 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' annual Research Block Grants (RBG) amounts 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)

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

[www.education.gov.au/research-block-grants](http://www.education.gov.au/research-block-grants)

It is a condition of the RTS, JRE, SRE and RIBG grants that the materials required in section 2 of these Specifications be provided to the department by 30 June 2015.

Submitted HERDC data may be used to inform other analyses conducted by the department and provided to other government agencies.

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

[www.education.gov.au/higher-education-research-data-collection](http://www.education.gov.au/higher-education-research-data-collection)

### 1.3 Use of funding

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 block grants should support across their research and research training activities.

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<sup>1</sup> Eligible higher education providers are those institutions identified as Table A and Table B providers in sections 16-15 and 16-20 of the *Higher Education Support Act 2003*.

The 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.

## 1.4 Information to be submitted

HEPs must provide data to the department in separate research income and research publications returns along with a Vice-Chancellors Certification Statement and Audit Report.

### 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 unweighted and grouped into four categories:

- Books
- Book chapters
- Journal articles
- Conference publications

### Vice-Chancellor certification statements

Vice-Chancellors (or equivalent) 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**.

### 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,
- 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.

## 1.5 Submission due date

Material must be submitted according to the table below.

| Material Required in the Return           | Format of the Return                      | Due Date     |
|---|---|--------------|
| Research Income Return - Return 1         | Electronic Submission<br>(also Hard Copy) | 30 June 2015 |
| 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 at **Appendix A**. Electronic submissions must be sent to: [RBGrants@education.gov.au](mailto:RBGrants@education.gov.au)

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

**HERDC Officer**  
**Higher Education Research Data Collection (HERDC)**  
**Research Funding and Policy Branch**  
**Research and Economic Group**  
**Department of Education and Training**  
**GPO Box 9880**  
**Canberra ACT 2601**

## 1.6 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 research 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.

### 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. Arrangements supported by email only (without supporting attachments) do not constitute appropriate verification material

### Research Publications

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.

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. The 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 6.2 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.

### Books

A HEP must be able to provide proof that the book was published by a commercial publisher or of peer review.

### Book chapters

A 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 chapter was published by a commercial publisher or of peer review.

### Journal articles

A HEP must be able to provide:

- the article or offprint of the article
- proof of peer review
- 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.

### Conference publications

A HEP must be able to provide:

- the full paper or offprint of paper
- proof of peer review
- proof that the conference is of national or international significance.

## 1.7 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 Team Leader  
Legal and Investigations Group  
Department of Education and Training  
GPO Box 9880  
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.

## 1.8 Contact Details

Queries concerning the HERDC and this document should be directed to:

[RBGrants@education.gov.au](mailto:RBGrants@education.gov.au).

## 2. Key differences between the 2015 and 2014 HERDC Specifications

### *2015 HERDC Specifications (for 2014 data)*

The 2015 HERDC Specifications have been re-formatted to improve readability. Specifically, the introduction has been streamlined, administrative requirements have been moved to the front of the document, definitions (other than the definition of research) have been moved into the body of the text, and Part A (Category 1-3 research income) has been revised to improve clarity and reduce duplication.

In the draft 2015 HERDC Specifications, clarifications were proposed in relation to reporting affiliate income (section 4.3) and Apportioning Authors (section 6.4). However, following feedback from the sector, these clarifications have been removed from the final 2015 HERDC Specifications.

- Section 4.3 – the text introduced in the draft 2015 HERDC Specifications has been replaced with the relevant text from the 2014 HERDC Specifications (formerly section 7.7). Subject to feedback from the sector, the department will also maintain the same text in the 2016 HERDC Specifications (for 2015 data). This means that affiliate research income for the 2014 and 2015 reporting periods can be reported in the same manner as 2013 affiliate research income. Affiliate income provisions, including whether unpaid/honorary (e.g. adjunct) appointments should be recognised as bona fide employment arrangements for the purpose of reporting affiliate research income, will be revisited by the department in the 2017 HERDC Specifications (for 2016 data) following further analysis and consultation with stakeholders (further detail below).
- Section 6.4 – no amendments have been made to the relevant text in 2014 HERDC Specifications (formerly section 9.5). The amendment to apportion publications that involve a consortium of researchers, and the consortium is counted as one author, has been removed following feedback from the sector that the cost of implementing necessary systems changes to apportion such publications would outweigh any benefits derived. To ensure consistency of reporting across all HEPs, the department intends to exclude the counting of a consortium as an author (in full or in part) in 2016 HERDC Specifications subject to further consultation with the sector through the 2016 HERDC Specifications consultation process (further details below).

Minor changes have been made to peer review (section 6.5) and books and book chapters (section 6.8.1 and 6.8.2). These were sought by HEPs during the draft 2015 HERDC Specifications consultation process.

- Section 6.5 (Peer Review) has been amended so that, for journal articles, listing on the latest available ARC Excellence in Research for Australia (ERA) journal list is acceptable as evidence of peer review. This change is intended to future-proof the specification whenever a new ERA journal list supersedes previous lists. The current ERA journal list relates to 2015 and references to the 2010 and 2012 lists have been removed from the final 2015 HERDC Specifications.
- Section 6.8.1 and 6.8.2 (Books and Book Chapters) have been amended to allow new chapters in revised or new editions of books to be reported if they meet the general requirements (Section 6.1). Encyclopaedia entries and case studies have been excluded in section 6.8.2.

## **Proposed amendments to the HERDC Specifications pending further consultation**

### ***2016 HERDC Specifications for 2015 data***

As noted earlier, the department intends to exclude the counting of a consortium as an author (in full or in part) in 2016 HERDC Specifications. The department is aware that the frequency of consortia authored or co-authored journal publications is increasing and remains open to allowing HEPs to apportion such publications for the purposes of reporting through HERDC in the future. The department will be guided by the sector as to when, and if, this might occur. Stakeholders will have the opportunity to comment on this proposed clarification during the draft 2016 HERDC Specifications consultation process.

In relation to the requirement that research income must be reported in accordance with the Financial Statement Guidelines for HEPs (section 4.1), the department intends to clarify that research income must be reported in the HERDC Research Income Return (Return 1) on the same basis as a HEP's audited financial statements. That is, if the HEPs audited financial statements are prepared on an accrual basis, the HEPs Return 1 must also be prepared on an accrual basis for that year. This is to enable the ready comparison of HEP HERDC research income returns and financial statements for auditing and verification purposes. Stakeholders will have the opportunity to comment on this proposed clarification during the draft 2016 HERDC Specifications consultation process.

The department will require HEPs to separately report third party affiliate research income from other university research income in the HERDC Research Income Return (Return 1) for the 2015 reporting year and later years. This is intended to improve transparency of affiliate research income reported through the HERDC and support further analysis of the current arrangements. To off-set this format change, Return 1 for the 2015 reporting year (and later years) will no longer require HEPs to separately report income from controlled entities. Controlled entity income will be able to be reported as University income from the 2015 reporting year (and later years). The format of Return 1 for the 2014 reporting year will be unchanged from previous years.

### ***2017 HERDC Specifications for 2016 data***

As noted earlier, the department will revisit whether unpaid/honorary (e.g. adjunct) appointments should be recognised as bona fide employment arrangements for the purpose of reporting affiliate research income in the 2017 HERDC Specifications. The department expects to consult with stakeholders regarding this matter during 2015 to inform the draft 2017 HERDC Specifications consultation process.

The OECD Working Party of National Experts on Science and Technology Indicators is currently revising of the Frascati Manual for release on 1 January 2016. It is expected that this will include a slightly modified definition of research and development, complemented by a new set of explanatory criteria. The department will continue to align the definition of research in the

HERDC Specifications with the Frascati Manual, and will incorporate any amendments to the OECD's definition of research in the 2017 HERDC Specifications. It is not expected that the modified definition of research and development adopted by the OECD will limit the data already collected through the HERDC. Stakeholders will have the opportunity to comment on any proposed amendment to the definition of research during the draft 2017 HERDC Specifications consultation process.

### 3. Definition of Research

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

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

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<sup>3</sup> 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
- literature reviews that are predominantly a summary of the current knowledge and findings of a particular research field or topic and do not include any critical assessment or report any new findings or original experimental work
- commercial, legal and administrative aspects of patenting, copyright or licensing activities
- routine computer programming, systems work or software maintenance.

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

<sup>3</sup> Higher degree by research (HDR) training is training undertaken by students to achieve a Research Doctorate (including a Professional Doctorate) or Research Masters. A Research Doctorate is a Level 10 qualification (as described in the Australian Qualifications Framework) where a minimum of two years of the program of learning, and typically two-thirds of the qualification is research, and a Research Masters is a Level 9 qualification (as described in the Australian Qualifications Framework) where a minimum of two-thirds of the program of learning is for research, research training and independent study.

## Part A

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

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

### 4. Research Income Return - Return 1

#### 4.1 General requirements

Category 1-3 research income can only be included in a HEP's return if it meets all of the following principles:

- **It must be for activities consistent with the definition of research**

See the definition of research (**section 3**).

- **It must be net receipted income, received in the reference year and recognised in a HEPs financial system as being related to the reference year**

Net receipted income is the amount of research income a HEP (or its subsidiary) retains in its accounting system after shared research income has been divided and/or third party income has been expended and/or distributed.

The reference year for Category 1, 2 and 3 research income is the 2014 calendar year and for Category 4 research income, the reference year is the 2013-14 financial year.

- **It must only be counted once**

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

- **It must include any variations to research income previously reported**

HEPs may count research income for 2013 (Categories 1, 2 and 3) or 2012-13 (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 an earlier year has been refunded.

Where staff transfer into, exit from, or move between HEPs and carry research grant funding with them, this must be reflected in adjustments to the affected HEPs' income returns.

#### 4.2 Inclusions and Exclusions

The sections below provide guidance in respect of the net receipted research income that can be included and excluded from a HEP's research income return. 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. Additional guidance on income involving other parties is at section 4.3.

#### 4.2.1. Net received 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 below
- 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
- income derived from the provision of research services (exclusive of GST)
- 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 below - 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 staff<sup>4</sup>
- income received in support of:
  - professional, technical, administrative or clerical support staff directly engaged in activities essential to the conduct of research<sup>5</sup>
  - 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 excludes 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)
- 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. HEPs must **exclude** indirect costs of conducting research to be expended from the grant.
- where a HEP receives income for the purposes of conducting research but also for activities that do not comply with the definition of 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. HEPs must **exclude** indirect costs of conducting research to be expended from the grant.

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<sup>4</sup> See also Section 4.3, Income involving other parties; 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.

<sup>5</sup> See note above.

#### 4.2.2. Research income which is excluded 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<sup>6</sup>
- 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 4.3 of Part A**) or transfers (in accordance with **section 4.1 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 for those instances specified in **section 4.3 of Part A**
- 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
- in-kind contributions
- capital grants<sup>7</sup>
- 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 4.4.2**)
- 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
- 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

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<sup>6</sup> A subsidiary is an entity, including an unincorporated entity such as a partnership that is controlled by another entity (known as the parent).

<sup>7</sup> 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.

- literature reviews that are predominantly a summary of the current knowledge and findings of a particular research field or topic and do not include any critical assessment or report any new findings or original experimental work
- commercial, legal and administrative aspects of patenting, copyright or licensing activities
- routine computer programming, systems work or software maintenance
- Grants or funding from the following Commonwealth programs:
  - Australian Research Council (ARC) Linkage-Infrastructure, Equipment and Facilities (LIEF)
  - Independent Research Institutes Infrastructure Support Scheme (IRIISS) grants
  - ARC's Research Networks scheme
  - Commonwealth Grant Scheme (CGS)
  - National Computational Infrastructure
- Grants from the following Department of Education and Training programs:
  - National Collaborative Research Infrastructure Strategy (NCRIS)
  - Collaborative Research Infrastructure Scheme (CRIS)
  - the Education Investment Fund (EIF)
  - Research Training Scheme (RTS)
  - Joint Research Engagement (JRE)
  - Sustainable Research Excellence (SRE)
  - Research Infrastructure Block Grants (RIBG)
  - Australian Postgraduate Awards (APA)
  - International Postgraduate Research Scholarships (IPRS)
  - Collaborative Research Networks (CRN)

### 4.3 Income involving other parties

#### Third party income

Net receipted income is intended to identify only the income that a HEP (or its subsidiary) receives for its own research activities.

Research income administered by a HEP on behalf of a third party research organisation where the third party conducts the research independently of the HEP, must be excluded.

Exceptions to this rule are:

- where the third party is a subsidiary of the HEP
- where the third party is an affiliate of the HEP
- 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

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 commensurable with the employment arrangements.

However, HEPs can report the total amount of income for a research project - 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.

### Shared 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.

HEPs can only report the income received or retained following the distribution of shared research income.

#### Example

Where a shared research income grant exists, 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.

## 4.4 Research income categories

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 (**Part B**)

There is no separate category for income received through shared research arrangements. Shared research income should be assigned to the appropriate reporting category (according to the original source of the income).

HEPs are to manage the categorisation of research income correctly. It is suggested that HEPs nominate the appropriate HERDC income category (or categories) at the time that funding agreements, grants or contracts are executed. HEP 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.

### 4.4.1. Category 1: Australian competitive grants

*Category 1* consists only of income from those research schemes and programs registered on the 2015 Australian Competitive Grants Register (ACGR).

Only net receipted income received by HEPs from the programs and schemes registered on the 2015 ACGR can be claimed under this category. The ACGR is available through the department's website at: [www.education.gov.au/australian-competitive-grants-register](http://www.education.gov.au/australian-competitive-grants-register).

Grants received from the Australian Government and not included in the 2015 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.

#### **4.4.2. Category 2: Other public sector research income**

*Category 2- Other public sector research income* includes:

##### **Australian government (– Non Category 1):**

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

##### **State or Territory government:**

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

##### **Local government:**

This is income received from local government departments or agencies for the conduct of research; whether through 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, where the reporting HEP has not been 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 according to the source of that grant (i.e. whether Australian government - Non Category 1, State or Territory government, or Local government).

#### **4.4.3. Category 3: Industry and other research income**

*Category 3-Industry and other research income* must be categorised in the following subcategories:

##### **Australian**

Contracts:

- contract research income provided by industry or other non-government agencies

Grants:

- grants for the conduct of research other than government provided grants (which should be reported in either Category 1 or Category 2).
- income received from syndicated research and development arrangements

Donations, bequests and foundations:

- donations and bequests for the conduct of research that have been received from Australian business, Australian non-profit organisations and Australian individuals

HDR fees for domestic students:

- 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 fees<sup>8</sup> 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.

#### **International A: Competitive, Peer-reviewed research grant income**

- 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: Other income**

- 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: HDR fees for international students**

Category 3 includes:

- funds received for providing the cost of an international student's HDR fee-paying place (but excluding Commonwealth supported places). This includes tuition fees<sup>9</sup> 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.

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<sup>8</sup> 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.

<sup>9</sup> 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.**

### 5. Category 4: CRC Research income

#### 5.1 General requirements

Under Category 4: CRC research income, HEPs must report the research income received for the 2013-14 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 4.4.2 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 5.5 of Part B** provides guidance for HEPs that are unable to easily categorise research income into the subcategories using CRCs accounting systems.

#### 5.2 Arrangements applying to the collection and certification of CRC research income

HEPs must determine the eligible research income that they can report under Category 4: CRC research income for the financial year 2013-14. HEPs must also verify 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.

#### 5.3 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 2013-14
- be classified into subcategories (see **section 5.1 of Part B**)
- comply with the definition of research be provided to a HEP account, for the HEP to spend (net receipted income).

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, or International Postgraduate Research Scholarships
- payments for contracted projects which meet the definition of research
- 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.

#### 5.4 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<sup>10</sup>
- 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 3**) and subject to meeting other relevant requirements in **section 4 of Part A**
- GST amounts.

#### 5.5 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 4 of Part A**).

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<sup>10</sup> *ibid*, p.9.

**Example**

*In the 2013-14 financial year a CRC receives cash funding into single account 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.*

## 5.6 Special cases

### 5.6.1 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.

### 5.6.2 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 5.2 of Part B**).

The HEP must ensure that the amounts reported are accurate. **Section 5.5** may be of assistance in determining the breakdown of funds.

## Part C

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

### 6. Research Publications Return - Return 2

#### 6.1 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
- only be counted once by each HEP

#### Example

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.

A research publication must 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 6.1.2**).
- increasing the stock of knowledge
- being in a form that enables dissemination of knowledge.

#### Important Information:

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 6.3 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 6.4 of Part C**).

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

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       |

### 6.1.1. Definition of research publications

Research publications are books, book chapters, journal articles and/or conference publications.

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.

A 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 Information:

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.

### 6.1.2. Commercial publisher

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

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

## 6.2 Year of publication

The year of publication is the 2014 calendar year.

HEPs can also include 2013 publications in their submission if the publications were published after the submission date for the 2013 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 2013 publication date, was not published until after 30 June 2014). A letter from the publisher will be considered sufficient verification material to support the claim. Publications from 2012 and earlier years are not eligible to be included.

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 2015 submission of Research Publications Return - Return 2:

- the research must have been published in the 2014 calendar year, and
- 2014 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 2014, even though 2014 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 2015 copyright date can be reported in the 2014 collection, provided it has a publication date of 2014, and it is not counted again in the 2015 collection.

Pages showing the stated year of publication must be included in verification material (see **section 1.6**).

### **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 2013 publication date, was not published until after 30 June 2014. 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 2013 data collection and contain a 2013 publication date may be included under this provision.

## **6.3 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 2014 (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 3** for definition of higher degree by research training).

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

Example:

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.

## 6.4 Apportioning authors

For categories other than Book Chapters, where there are multiple authors the count must be apportioned according to the number of authors. For example, if there are three authors of a publication, one third should be counted for each author who was a staff member or student of the reporting HEP.<sup>11</sup>

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

## 6.5 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 6.1.2**) to be counted in the Research Publications Return - Return 2.

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

- listing on the ARC's Excellence in Research for Australia (ERA) latest available journal list
- listing in Thomson Reuters Web of Knowledge Master Journal List
- classification as 'refereed' in the Ulrich's Knowledgebase
- a statement in the journal which shows that contributions are peer reviewed
- 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:

- a statement in the conference proceedings which shows that contributions are peer reviewed
- 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.

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<sup>11</sup> 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).

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

- 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
- 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 Information:**

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.

## 6.6 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 Information:**

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.

## 6.7 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.

## 6.8 Publication categories counted in Research Publication Return – Return 2

### 6.8.1. Books

To be included in this category the publication must meet the definition of research as further detailed in the general requirements for research publications (see **section 6.1 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 6.1.2** or if not published by a commercial publisher, must have been peer reviewed, as defined at **section 6.5**
- the author must be affiliated with the claiming HEP as set out in **section 6.3 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 (NB: new chapters in revised or edited books can be included in a HEPs HERDC return if they meet the criteria listed in **section 6.8.2**)
- manuals and handbooks
- theses (PhD, Masters and Honours)

**Important Information:**

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 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.

### **6.8.2. 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 further detailed in the general requirements for research publications (see **section 6.1 of Part C**) and:

- must have an ISBN
- must have been published by a commercial publisher, as defined at **section 6.1.2** or if not published by a commercial publisher, must have been peer reviewed, as defined at **section 6.5**
- the author must be affiliated with the claiming HEP as set out in **section 6.3 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
- translations (unless they have a major demonstrable original research component)
- case studies
- encyclopaedia entries

**Appendix D** outlines the book chapter calculation methodology.

### **6.8.3. Journal articles**

To be included in this category the journal article must meet the definition of research as further detailed in the general requirements for research publications (see **section 6.1 of Part C**).

The articles must:

- must be published in a scholarly journal
- must have been peer-reviewed as defined at **section 6 of Part C**. Note: the fact that an article has been peer reviewed does not automatically mean that it is eligible. The article must still meet the definition of research as well as all other criteria
- must have an International Standard Serial Number (ISSN)
  - Some journals may be regularly published as separate volumes with an ISBN rather than an ISSN. Provided that the publication is clearly identified as an edition of a journal, and not a book, articles in such publications may be eligible if they meet all other criteria
  - If an ISSN does not appear in the journal:
    - external evidence such as an ISSN number being cited in an extract from an authoritative journal listing, such as the Thomson-Reuters Master Journals List or from the Scopus database
    - evidence that the journal is classified as 'refereed' in the Ulrich's Knowledgebase

The author must be affiliated with the claiming HEP as set out in **section 6.3 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) 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.

#### 6.8.4. Conference publications

To be included in this category, the conference publication must meet the definition of research as further detailed in the general requirements for research publications (see **section 6.1 of Part C**).

The conference publication 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 6.5 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 6.3 of Part C**.

#### **Important Information:**

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.

**Glossary**

|                |   |
|----------------|---|
| ACGR           | Australian Competitive Grants Register                        |
| APA            | Australian Postgraduate Awards                                |
| ARC            | Australian Research Council                                   |
| CRC            | Cooperative Research Centre                                   |
| The department | Department of Education and Training                          |
| EIF            | Education Investment Fund                                     |
| ERA            | Excellence in Research for Australia                          |
| FOI Act        | <i>Freedom of Information Act 1982</i>                        |
| GST            | Goods and Services Tax  |
| HEP            | Higher Education Provider                                     |
| HERDC          | Higher Education Research Data Collection                     |
| HESA           | <i>Higher Education Support Act 2003</i>                      |
| 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 Grants   |
| 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 2015 Higher Education Research Data Collection Specifications for the collection of 2014 data.

### **2015 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 2015.

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 Policy Branch  
Research and Economic Group  
Department of Education and Training  
GPO Box 9880  
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@education.gov.au](mailto:RBGrants@education.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 3   | <input type="checkbox"/> |
| Published in 2014 as defined in 6.2   | <input type="checkbox"/> |
| Be published by a commercial publisher as defined in section 6.1.2., or if not published by commercial publisher, peer reviewed as defined in section 6.5 | <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 6.4 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).<br>(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 3.   | <input type="checkbox"/> |
| Meet the eligibility criteria at section 6.8.1. of Part C   | <input type="checkbox"/> |
| Be published in 2014 as defined in section 6.2.   | <input type="checkbox"/> |
| Be published by a commercial publisher as at section 6.1.2, or if not published by commercial publisher, peer reviewed as defined in section 6.5. | <input type="checkbox"/> |
| The chapter must:   |                          |
| Meet definition of research at section 3.   | <input type="checkbox"/> |
| Meet the eligibility criteria as at section 6.8.2. 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 3                               | <input type="checkbox"/> |
| Meet the eligibility criteria at section 6.8.3 of Part C                   | <input type="checkbox"/> |
| Published in 2014 as defined in section 6.2                                | <input type="checkbox"/> |
| Peer reviewed as at section 6.5 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 6.4 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 6.5 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 3                               | <input type="checkbox"/> |
| Meet the eligibility criteria at section 6.8.4. of Part C                  | <input type="checkbox"/> |
| Be published in 2014 as defined at section 6.2                             | <input type="checkbox"/> |
| Be peer reviewed as at section 6.5 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 6.4 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 6.5 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.