



**Australian Government**

**Department of Innovation, Industry, Science and Research**

**2009**

**HIGHER EDUCATION RESEARCH  
DATA COLLECTION**

**SPECIFICATIONS FOR THE COLLECTION OF  
2008 DATA**

**RESEARCH POLICY, FUNDING AND COORDINATION SECTION  
DEPARTMENT OF INNOVATION, INDUSTRY, SCIENCE AND RESEARCH**

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## 1. Introduction

### 1.1 Purpose

The purpose of the 2009 Higher Education Research Data Collection (HERDC) specification document is to provide guidance on the specific content and data requirements for higher education providers<sup>1</sup> (HEPs) for providing 2008 research income and research publications data.

This data must be provided to the Department of Innovation, Industry, Science and Research (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
- Conference publications

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

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

Enquiries about this document should be sent to [RBGrants@innovation.gov.au](mailto:RBGrants@innovation.gov.au).

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<sup>1</sup> 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*.

## 1.2 Format of the Specifications

The specifications are divided into three parts:

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

## 1.3 Definitions

### 1.3.1 Audit Certificate

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

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

Auditing requirements are described further 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 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

A grant provided to purchase an asset of a durable nature.

### 1.3.4 Commercial Publisher

For the purposes of these specifications, a commercial publisher is an entity for which the core business is producing books and distributing them for sale.

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

For the purposes of these specifications, HEP and other self-supporting HEP presses are also regarded as commercial publishers, provided that they have responsibility for the distribution of the publication, in addition to its printing.

### **1.3.5 Joint Venture**

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

A joint venture must have a Joint Venture Contractual Agreement (JVCA) (defined at section 1.3.6) if it is to be reported as joint venture income (defined at section 1.3.7), within the Research Income Return—Return 1.

### **1.3.6 Joint Venture Contractual Agreement (JVCA)**

The JVCA stipulates the notional distribution of joint venture income between the parties to the joint venture and can take the form of:

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

The JVCA can include non-HEP participants.

### **1.3.7 Joint Venture Income**

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

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

### **1.3.8 Peer review**

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

Peer review is relevant for journal articles and conference publications counted in the Research Publications Return – Return 2.

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

### **1.3.9 Research**

For the purposes of these specifications, research comprises:

- creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications<sup>2</sup>
- any activity classified as research which is characterised by originality; it should have investigation as a primary objective and should have the potential to produce results that are sufficiently general for humanity's stock of knowledge (theoretical and/or practical) to be recognisably increased. Most higher education research work would qualify as research

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

- pure basic research, strategic basic research, applied research and experimental development.

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

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

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

- preparation for teaching
- scientific and technical information services
- general purpose or routine data collection
- standardisation and routine testing
- feasibility studies (except into research and experimental development projects)
- specialised routine medical care
- commercial, legal and administrative aspects of patenting, copyright or licensing activities
- routine computer programming, systems work or software maintenance (research and experimental development into applications software, new programming languages and new operating systems would normally meet the definition of research).

#### **1.3.10 Reference Year**

The reference year for research income (Categories 1, 2 and 3) is the 2008 calendar year. For CRC research income (Category 4) the reference year is the financial year 2007-08.

Research income for 2007 (Categories 1, 2 and 3) and 2006-07 (Category 4) or earlier years omitted from previous returns CANNOT be included.

For publications, see definition – Year of Publication at section 1.3.14.

#### **1.3.11 Research Publications**

For the purposes of these specifications, research publications are books, book chapters, journal articles and/or conference publications which meet the definition of research (as defined at section 1.3.9) and are characterised by:

- substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and provided in a format which allows a reader to trace sources of the work, including through citations and footnotes
- originality (i.e. not a compilation of existing works)
- veracity/validity through a peer validation process or by satisfying the commercial publisher processes
- increasing the stock of knowledge

- being in a form that enables dissemination of knowledge.

Unless otherwise specified, reference to publication refers to research publications. Further details relating to research publications are available 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 C
Sample Lists for Verification Material	APPENDIX D
Book Chapter Calculation Methodology	APPENDIX E

### 1.3.12 Subsidiaries

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

### 1.3.13 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 at APPENDIX B.

### 1.3.14 Year of Publication

The year of publication is the 2008 calendar year.

HEPs can also include 2007 publications in their submission if the publications are those which:

- contain a 2007 publication, and
- were published after the submission date for the 2007 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 2007 publication date, was not published until after 30 June 2008. 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 2006 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 FOI requests are to be referred to:

FOI Coordinator  
Corporate Strategy Branch  
Department of Innovation, Industry, Science & Research  
GPO Box 9839, Canberra, ACT 2601

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

## 2. Publication of Research Income and Publications Returns

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

[http://www.innovation.gov.au/ScienceAndResearch/programs\\_funding/Pages/Data\\_RGB\\_Fundingformulae.aspx](http://www.innovation.gov.au/ScienceAndResearch/programs_funding/Pages/Data_RGB_Fundingformulae.aspx)

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

## 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 2009
Research Publications Return-Return 2		
Vice-Chancellor's Certification Statement	Hard Copy	
Audit Certificate		

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](mailto:RBGrants@innovation.gov.au)

It is a condition of all HEP's Research Training Scheme, Institutional Grants Scheme, Commercialisation Training Scheme and Research Infrastructure Block Grants scheme grants that the material required in the above table be provided by 30 June 2009.

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 Policy, Funding & Coordination Section**  
**Science and Research Division**  
**Department of Innovation, Industry, Science and Research**  
**GPO Box 9839**  
**CANBERRA ACT 2601**

## **4. Verification**

### **4.1 Vice-Chancellor Certification Statements**

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

Each HEP must supply one certification statement to the Department and it must encompass both Return 1 and Return 2. The format for the Vice-Chancellor's Certification Statement is at APPENDIX B .

### **4.2 Audit of Research Income**

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

The audit should be conducted by an independent, external, qualified auditor (for example a certified public accountant). It may be conducted as part of an annual audit.

### **4.3 Verification Material for Research Publications**

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

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

### **4.4 Verification of Data**

HEPs will be given the opportunity to verify student completion and student load data that is used in the block grants allocation process. Remaining data is directly uploaded electronically.

## **5. Contact Details**

Queries concerning HERDC and these specifications should be directed to:

[RBGrants@innovation.gov.au](mailto: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 Specifications)
- Research Income Return – Return 1
- Research Publications Return – Return 2
- the Australian Competitive Grants Register
- the Register of Refereed Journals (no longer maintained)
- the Register of Commercial Publishers (no longer maintained)

For this and other relevant information, see:

[http://www.innovation.gov.au/ScienceAndResearch/programs\\_funding/Pages/highereducationresearchdatacollection.aspx](http://www.innovation.gov.au/ScienceAndResearch/programs_funding/Pages/highereducationresearchdatacollection.aspx)

## **6. Differences from the 2008 Collection (of 2007 data)**

### **6.1 Clarification**

Section 4.2, on auditing requirements, and section 7.5, on joint venture income and shared grants, have been reworded for clarity.

### **6.2 Method of Collection**

Appendix A adds a description of the voluntary pilot to test a web based submission and certification process.

## PART A

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

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

### 7. Research Income Return—Return 1

#### 7.1 General requirements

All research income must:

- be received by a HEP or its subsidiaries for the 2008 calendar year
- be classified into categories (see section 7.4 of Part A) according to the organisation providing the funds
- comply with the definition of research (see section 1.3.9)
- be consistent with the HEP's financial statements unless exempt as income received from a CRC or joint venture income reported using a notional share of joint venture income.

Income sourced from category 4 (CRC income) should be reported for the 2007-2008 financial year.

Research income for 2007 or earlier years omitted from previous collections **CANNOT** be included.

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

- income received in 2007 in respect of the year 2008
- stipends and scholarships for higher degree research students, unless explicitly excluded in section 7.3 of Part A
- interest on donations, bequests and foundations which have been provided specifically for research
- travel grants where funds are provided specifically for the purpose of travel and used to enable access to a program of research
- funds provided for the purpose of clinical trials provided the purpose of the trial meets the definition of research (see section 1.3.9)
- research infrastructure grants unless explicitly excluded in section 7.3 of Part A
- income from overseas HEPs provided specifically for research purposes
- income received through a joint venture (subject to the definitions at sections 1.3.5, 1.3.6 and 1.3.7 and the operation of joint ventures at section 7.5 of Part A)
- income used to manage staff directly engaged in research or providing professional, technical or clerical support or assistance to those staff
- income received in support of:
  - professional, technical, administrative or clerical support staff directly engaged in research
  - the activities of students undertaking postgraduate research courses
  - the development of postgraduate research courses
  - the supervision of students undertaking postgraduate research 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).

A HEP must reduce the research income reported for a particular category where research income received in 2007 or an earlier year has been refunded in 2008.

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

- income received in 2008 in respect of the year 2009
- any research income received by the HEP from its subsidiaries
- any research income received by the HEP from any other Australian HEP or its subsidiaries (including organisations owned, controlled or funded by a HEP or HEPs) except in respect of joint ventures (section 7.5 of Part A), shared grants (section 7.6 of Part A) or transfers (section 7.7 of Part A)
- in-kind contributions
- capital grants
- National Collaborative Research Infrastructure Strategy (NCRIS) and ARC LIEF grants<sup>3</sup>
- grants from the Higher Education Endowment Fund (HEEF) or the Education Investment Fund (EIF)
- funds received through the ARC's Research Networks scheme
- funds managed on behalf of third parties
- omissions from previous Research Income Returns-Return 1
- income provided for general or other purposes, even if that income is spent on research purposes
- 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)
- consultancy fees for projects that do not meet the definition of research (as defined at section 1.3.9)
- funds provided specifically for travel to conferences/workshops and/or meetings
- 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 1.3.12
- 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

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<sup>3</sup> NCRIS is following the major program of investments provided through the SII & MNRF programs (grants under these programs are also excluded under HERDC)

- grants from the following DIISR programs:
  - Research Training Scheme (RTS)
  - Institutional Grants Scheme (IGS)
  - Research Infrastructure Block Grants (RIBG)
  - Australian Postgraduate Awards (APA)
  - Commercialisation Training Scheme (CTS)
  - International Postgraduate Research Scheme Awards (IPRS)
  - Regional Protection Scheme (RPS).

#### **7.4 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

Specifications for Categories 1, 2 and 3 are set out in sections 7.4.1, 7.4.2 and 7.4.3 of Part A.

Specifications for Category 4 are set out in Part B.

##### **7.4.1 Category 1: Australian Competitive Grants**

Subject to meeting the definition of research (section 1.3.9) and the specifications set out in this part (Part A, section 7), Category 1 consists only of those research schemes/programs listed on the 2009 Australian Competitive Grants Register (ACGR).

Only those specific funding schemes registered in the 2009 ACGR can be claimed under this category. The ACGR is available through the Department's website at: [http://www.innovation.gov.au/ScienceAndResearch/programs\\_funding/Pages/AustralianCompetitiveGrantsRegister.aspx](http://www.innovation.gov.au/ScienceAndResearch/programs_funding/Pages/AustralianCompetitiveGrantsRegister.aspx)

Grants received from the Australian Government and not included in the 2009 ACGR may be eligible for inclusion in Category 2: Other Public Sector Research Income.

##### **7.4.2 Category 2: Other Public Sector Research Income**

Subject to meeting the definition of research (section 1.3.9) and the specifications set out in this part (section 7 of Part A), Category 2 includes:

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

### **7.4.3 Category 3: Industry and Other Research Income**

Industry and Other Research Income must be categorised in the following subcategories:

#### **Australian:**

- Contracts
- Grants
- Donations, bequests and foundations

#### **International A: Competitive, Peer-Reviewed Research Grant Income**

Competitive, peer reviewed grants for research from non-Australian industry or non-Australian Government agencies including non-Australian industry collaborative research grants.

#### **International B: Other Income**

Any other income research income from non-Australian Industry or Governments that cannot be included in International A research income such as:

- Contracts
- Grants
- Donations, bequests and foundations

#### **7.4.3.1 Additional Subcategory Explanatory Material**

Subject to meeting the definition of research (see section 1.3.9) and the specifications set out in this part (section 7 of Part A), Category 3 includes:

#### **Australian:**

- contract research income provided by industry or other non-government agencies
- grants for research other than government provided grants (which should be reported in either Category 1 or Category 2)
- donations and bequests for research from Australian business, Australian non-profit organisations and Australian individuals
- income received from syndicated research and development arrangements.

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 grants, peer reviewed grants for research from non-Australian industry or non-Australian Government agencies including non-Australian industry collaborative research grants.
- In order to qualify for inclusion in this category the granting schemes must comply with the following criteria:
  - a) Funds must be provided on a competitive basis and clearly be for research only

- b) The funding scheme must have a well-defined mechanism for competition and selection by a well-qualified panel
- c) Grants in kind such as the use of facilities, equipment etc. or subsidised travel or accommodation are not eligible
- d) Funding schemes used exclusively to fund student scholarships are not eligible
- e) Schemes that provide funding wholly or mainly for infrastructure purposes are not eligible.

**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 research from non-Australian business, non-Australian non-profit organisations, and non-Australian individuals.

**For donations and bequests (Australian and international):**

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

## **7.5 Income Received Through Joint Ventures and Shared Grants**

This section describes the circumstances under which income received through joint ventures and shared grants may be reported as research income.

Please note that there is not a separate category for income received through joint ventures or shared grants. This income should be assigned to the appropriate reporting category as listed in section 7.4 of Part A according to the original source of the income.

**Example**

*A state primary industries department, with a joint venture contractual agreement with a HEP, passes \$20,000 of a competitive grant from a Rural Industries R&D Corporation to the HEP. The receiving HEP should count the \$20,000 as Australian Competitive Grant Income, rather than as Other Public Sector Research Income.*

### **7.5.1 Joint Venture Income**

Joint venture income (defined at section 1.3.7) may only be reported in the Research Income Return – Return 1 if a Joint Venture Contractual Agreement (JVCA) (defined at section 1.3.6) is in place. The JVCA must stipulate the notional distribution of joint venture income between the parties to the joint venture.

A HEP may report its notional share of joint venture income as stipulated in the JVCA as income in the HERDC Research Income Return-Return 1, even if it has not been physically distributed to the reporting HEP or passed through its audited annual financial statements or cash receipts.

**Example**

*In a joint venture, three HEPs (X, Y and Z) are participating in research. They receive grants from an external source amounting to \$100,000, which is retained by HEP X. All three HEPs have agreed on the 'notional' share of the joint venture income which is set out in the JVCA. HEP X is recognised as receiving 50% of the joint venture income as a 'notional' share for their involvement, HEPs Y and Z are each recognised as receiving 25% of the joint venture income as a 'notional' share for their involvement. This is recorded on each HEP's JVCA, which is signed by an appropriate official of each HEP.*

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

A HEP involved in a joint venture should retain a copy of the JVCA, which should be supplied to DIISR on request to allow verification. If there is a discrepancy between the share reported by a HEP and their notional share as set out in the JVCA, the reported amount may be disqualified from inclusion in the HERDC.

**7.5.2 Shared Grant Income**

A grant is considered a shared grant if a component 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).

If there is an agreement in place that describes a notional distribution of income between the parties (for example, a notional distribution is included in the contract/agreement or tender/application), grant income may be treated in the same way as joint venture income, as described above.

If such an agreement is not in place, a HEP should only report the portion of a shared grant that it retains. It should be possible for this amount to be identified in the HEPs audited statement so that double counting does not occur.

**Example**

*HEP X receives a grant of \$50,000 of which \$20,000 is transferred to HEP Y. In the absence of an agreement that describes a notional distribution of income from the grant, HEP X should report \$30,000 and HEP Y \$20,000.*

**7.5.3 Demonstration of Benefit**

Where a HEP reports income received through a joint venture or shared grant and the amount reported is not reflected in the annual financial statements or cash receipts, there is an expectation that the HEP be able to demonstrate that it has received benefits corresponding to the amount reported.

**Example**

*HEP X is involved in a joint research project with HEP Y and a private research organisation PRO Z. HEP X receives a \$100,000 grant for the project, which by agreement is to be shared 30/30/40 with HEP Y and PRO Z respectively. HEP X passes all the money to PRO Z and in return researchers from HEP X and HEP Y are allowed access to PRO Z facilities to conduct the research. HEP X and HEP Y each report income of \$30,000. In this case the benefit corresponding to that amount is the fact that their researchers have access to the facilities at PRO Z to conduct the research.*

## **7.6 Transfers**

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

## **7.7 GST**

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

## **PART B**

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

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

### **8. Category 4: CRC Research Income**

#### **8.1 General requirements**

Under Category 4: CRC Research Income, HEPs must report the research income received for the 2007-2008 financial year from a CRC in which they were a 'core participant' (for CRCs funded prior to the 2006 CRC selection round) or 'participant' (for CRCs funded in the 2006 selection round). A HEP is regarded as a core participant or participant if it is a signatory to the CRC's Commonwealth Agreement.

Income received from CRCs in which the reporting HEP is not core participant or participant must be reported under Category 2: Other Public Sector Research Income (as per section 7.4.2 of Part A).

Category 4 comprises the following subcategories:

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

HEPs must consolidate the research income from all CRCs in which they are core participants or participants and enter this into Research Income Return—Return 1, 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 2007-08 and must verify that research income data with the respective CRCs in which they are a participant or core participant.

HEPs must certify that Category 4: CRC Research Income data is correct, as reported in the Research Income Return—Return 1, through provision of the Vice-Chancellor's Certification Statement and the Audit Certificate.

### **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 2007-08
- be classified into subcategories (see section 8.1 of Part B)
- comply with the definition of research (see section 1.3.9)
- be provided to a HEP account, for the HEP to spend.

Types of research income eligible to be counted include:

- funds for non-capital aspects of facilities such as laboratories, libraries, computing centres, animal houses, herbaria, and experimental farms
- funds for equipment purchase, installation, maintenance, hire and lease
- funds for salaries of research staff and research support staff
- funds providing a stipend to a student and/or the cost of a student's higher degree by research fee-paying place, unless the places are funded through the Research Training Scheme, Australian Postgraduate Awards, Commercialisation Training Scheme or International Postgraduate Research Scholarships
- payments for contracted projects which meet the definition of research (as defined at section 1.3.9)
- 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 (i.e. grants for construction of buildings), even if for research purposes
- funds provided to HEPs for them to manage on behalf of other parties, which are not to be used for research purposes by the HEP
- omissions from previous Research Income Returns-Return 1
- payments to HEPs which are not earmarked for research, even if they may be spent on research at the HEPs' discretion
- funds provided specifically for the purpose of hosting, organising or attending a conference or workshop
- funds provided specifically for the purpose of producing research publications (that is, for publishing research rather than conducting it)
- funds provided to a HEP which is not a participant in the CRC. These funds may be counted under Category 2: Other Public Sector Research Income, provided they are for the purposes of research (as defined at section 1.3.9)
- GST amounts.

## 8.5 Breakdown by Source Category

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

### **Example**

*In the 2007-08 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%)*
- *third parties: \$5 million (25%)*

*If the CRC allocates \$800,000 of the funds – which it is not readily able to attribute to particular sources – to HEP X for research purposes, in its Certified Statement for HEP X, the CRC may attribute:*

- *\$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 third parties' component.*

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

## 8.6 Special Cases

### 8.6.1 Refunds

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

### 8.6.2 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 a core or non-core participant, the amount reported and attributable to that CRC may be reported on the basis of the HEP's financial records alone (i.e. the HEP does not need to comply with paragraph 1 of section 8.2 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:

- meet the definition of research (as defined at section 1.3.9)
- only be counted once by each HEP
  - e.g. if a conference paper is published in conference proceedings and is subsequently included as a chapter in a book, it can be counted as a chapter or as a conference paper but not both

and be characterised by:

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

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

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 E.

In determining HEPs' allocations from the Research Training Scheme, Institutional Grants Scheme, the Australian Postgraduate Awards, International Postgraduate Research Scholarships and the Commercialisation Training Scheme the Department will weight books 5:1 compared with the other research publication categories.

#### 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 2009 submission of Research Publications Returns-Return 2:

- the research must have been published in the 2008 calendar year, and
- 2008 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.

Letters from authors, editors, creators etc stating that a research publication was published in 2008, even though 2008 is not stated within or on the work as the year of publication, are not acceptable evidence of the year of publication. There are two exceptions:

- For journal articles and/or conference publications that are produced on CD-ROM or are web-based, 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.

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 2007 publication date, was not published until after 30 June 2008. 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 2007 data collection; and
  - contain a 2007 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 defined at section 1.3.9) as amplified in the general requirements for research publications (see section 9.1 of Part C) and:

- must be a major work of scholarship
- must be offered for sale
  - for hard copies, bound
  - for CD-ROMs, packaged
  - for e-books, on subscription or fee basis
- must have an International Standard Book Number (ISBN)

- must be written entirely by a single author, or by joint authors who share responsibility for the whole book
- must have been published by a commercial publisher, as defined at section 1.3.4
- 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 are unlikely to meet the criteria include:

- textbooks
- anthologies
- edited books
- creative works such as novels
- translations
- revisions or new editions

**Note: many of the books published by professional bodies do not report original research findings but report the results of evaluations, or repackage existing information for the benefit of professionals or practitioners. It is important that HEPs assess these publications very carefully against the definition of research provided at section 1.3.9 and only count those publications which report research activities.**

### 9.3.2 Book Chapters

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

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

- must be offered for sale
  - for hard copies, bound
  - for CD-ROMs, packaged
  - for e-books, on subscription or fee basis
- must have an International Standard Book Number (ISBN)
- must have been published by a commercial publisher, as defined at section 1.3.4
- 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 should be excluded:

- chapters in textbooks
- entries in reference books
- anthologies
- revisions of chapters in edited books
- forewords
- brief introductions
- brief editorials
- appendices
- literary or creative pieces such as collections of short stories; and
- translations.

APPENDIX E outlines the book chapter calculation methodology.

### 9.3.3 Journal Articles

To be included in this category the journal article must meet the definition of research (as defined at section 1.3.9) 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 one of the Institute for Scientific Information indexes ([www.isinet.com/journals](http://www.isinet.com/journals)) or
    - evidence that the journal is classified as 'refereed' in Ulrich's International Periodicals Directory (Volume 5 - Refereed Serials) or via Ulrich's web site [www.ulrichsweb.com](http://www.ulrichsweb.com)
- 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 1.3.9) and the subsequent definitions for journal articles in this section
- critical scholarly texts which appear in article form
- articles reviewing multiple works or an entire field of research
- invited papers in journals
- articles in journals which are targeted to both scholars and professionals
- articles in a stand alone series.

The types of journal articles that are unlikely to meet the criteria include:

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

#### **9.3.4 Conference Publications**

To be included in this category the conference publication must meet the definition of research (as defined at section 1.3.9) 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 a number of different formats, e.g. a volume of proceedings, a special edition of a journal, a normal issue of a journal, a book or a monograph, CD-ROM or conference or organisational web site
- be peer reviewed (see section 9.6 of Part C)
- 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.

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

The types of conference publications that are unlikely to meet the criteria include papers that appear only in a volume handed out to conference participants.

#### **9.4 Author affiliation**

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

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

- a statement from the author indicating that he or she undertook the research leading to the publication in his or her capacity as a staff member or student of the HEP and either
  - a statement from the Director of Human Resources or Dean of Students (or equivalent) indicating that the author was an appointee or student of the HEP in 2008 (or earlier if that was when the research leading to the publication was conducted) or
  - an extract from the HEP's staff or student list that lists the author.

Where a publication shows that an author has affiliation to more than one HEP (eg Janet Harvey, Tutor in Economics, HEP 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 HEP.

For Book Chapters, authors should be apportioned according to the methodology set out in APPENDIX E.

### **9.6 Peer review**

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

Peer review is relevant for journal articles and conference publications being counted in the Research Publications Return – Return 2.

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

- the journal is listed in one of the Institute for Scientific Information indexes ([www.isinet.com/journals](http://www.isinet.com/journals))
- the journal is classified as 'refereed' in Ulrich's International Periodicals Directory (Volume 5 - Refereed Serials) or via Ulrich's web site [www.ulrichsweb.com](http://www.ulrichsweb.com)
- the journal is included in the Department's Register of Refereed Journals (no longer maintained)
- there is a statement in the journal which shows that contributions are peer reviewed
- there is a statement or acknowledgement from the journal editor which shows that contributions are peer reviewed
- a copy of a reviewer's assessment relating to the article.

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

For books and book chapters, the concept of a commercial publisher (as defined at section 1.3.4) is used as a surrogate test of quality in place of a peer review requirement.

## 9.7 Verification material

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

A pro-forma to assist HEPs in collecting the relevant details of individual publications is provided at APPENDIX C. APPENDIX D 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.

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

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

### 9.7.1 Books

In addition to verification material set out in section 9.7 of Part C, the HEP must be able to provide proof that the book was published by a commercial publisher (as defined at section 1.3.4).

### 9.7.2 Book Chapters

In addition to verification material set out in section 9.7 of Part C, the HEP must be able to provide:

- the chapter
- if a new chapter in a revised edition, the contents page of the previous edition to indicate that the chapter is new

- a printout of the book chapter calculation spreadsheet.

### 9.7.3 Journal Articles

In addition to verification material set out in section 9.7 of Part C, 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 one of the Institute for Scientific Information indexes ([www.isinet.com/journals](http://www.isinet.com/journals)) or
  - evidence that the journal is classified as 'refereed' in Ulrich's International Periodicals Directory (Volume 5 - Refereed Serials) or via Ulrich's web site [www.ulrichsweb.com](http://www.ulrichsweb.com)

### 9.7.4 Conference Publications

In addition to verification material set out in section 9.7 of Part C, 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 of national or international significance.

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

## 9.8 Foreign Language Publications

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

***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 Electronic Works

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

## 10. Glossary

ACGR	Australian Competitive Grants Register
APA	Australian Postgraduate Award
CRC	Cooperative Research Centre
CTS	Commercialisation Training Scheme
DIISR	Department of Innovation, Industry, Science and Research
GST	Goods and Services Tax
HEP	Higher Education Provider
HERDC	Higher Education Research Data Collection
IGS	Institutional Grants Scheme
IPRS	International Postgraduate Research Scholarships
ISBN	International Standard Book Number
ISSN	International Standard Serial Number
JVCA	Joint Venture Contractual Agreement
LIEF	Linkage—Infrastructure, Equipment and Facilities
MNRF	Major National Research Facilities
NCRIS	National Collaborative Research Infrastructure Strategy
OECD	Organisation for Economic Cooperation and Development
RIBG	Research Infrastructure Block Grants
RPS	Regional Protection Scheme
RTS	Research Training Scheme
SII	Systemic Infrastructure Initiative

## **APPENDIX A - Instructions for electronic submission of HERDC returns**

### **Coverage**

The following instructions apply to the submission of Research Income Return—Return 1 and Research Publications Return—Return 2 of the 2009 Higher Education Research Data Collection Specifications for the collection of 2008 data.

### **2009 Methods of Return**

In 2009, the Department will be piloting the first stage of a web-based HERDC submission process while also maintaining the current procedure. If the pilot phase is successful, it is expected that HERDC submissions will be fully web-based with digital certificates in 2010. The aim of this development is to reduce the administrative burden on HEPs and enhance data access. The system will eventually allow HEPs to access and download all published returns and allocations from earlier years for their own monitoring and analysis needs.

### **Web Submission Pilot**

HEPs wishing to participate in the pilot for the 2009 HERDC returns can contact [RBGrants@innovation.gov.au](mailto:RBGrants@innovation.gov.au) to nominate themselves. They will be provided with special instructions and assistance and will be asked to provide feedback to ensure the new system is fit for purpose.

The pilot will operate as follows

- Participating HEPs will be given a user name and password
- They will be able to log on and submit their data directly and download it in tabular form
- They will be able to make changes or updates until the cut off date of 30 June 2009
- HEPs will be able to automatically produce a certificate to be printed and signed by the Vice Chancellor
- HEPs will still return their signed certificates by fax

### **How to obtain the Returns Spreadsheet**

The Research Income Return—Return 1 and Publications Return—Return 2 can be obtained from the Department's website at:

[http://www.innovation.gov.au/ScienceAndResearch/programs\\_funding/Pages/highereducationresearchdatacollection.aspx](http://www.innovation.gov.au/ScienceAndResearch/programs_funding/Pages/highereducationresearchdatacollection.aspx)

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

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

resubmit the data in the required format or that HEP's data will not be included in the collection.

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

**Submitting the returns electronically**

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

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

**Please note:** The Department cannot read Macintosh spreadsheets. Returns 1 and 2 **must** be saved in **Windows Excel 2003, 2002 or 1997** format. Emails will be acknowledged.

### **Naming conventions**

File names should consist of 7 or 8 characters using the following naming conventions:

- Characters 1&2: Use *rd* to identify the data as part of the Research Data Collection
- Character 3: Use the number *8* when submitting 2008 data
- Character 4: Use *f* for financial data or *p* for publications data
- Characters 5-8: Use up to 4 letters to identify your HEP (eg. UNSW, RMIT, CDU).

#### ***Example***

*The file name for the 2008 Research Income Return – Return 1 from James Cook University would be:*

*rd8fjcu.xls*

### **Submission of amended data**

Amended data must be submitted by the same procedure.

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

## APPENDIX B - Vice-Chancellor's Certification Statement

### 2009 HIGHER EDUCATION RESEARCH DATA COLLECTION OF 2008 DATA

I, (full name)..... being the Chief Executive Officer of (HEP name)..... hereby certify that the research income and publications information in these documents has been compiled in accordance with the instructions for the 2009 Higher Education Research Data Collection of 2008 data issued by the Department of Innovation, Industry, Science and Research, and that the information in the returns is correct.

Signed:.....

Title:.....

Date:.....

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

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

HERDC Officer  
Higher Education Research Data Collection (HERDC)  
Research Policy, Funding & Coordination  
Science and Research Division  
Department of Innovation, Industry, Science and Research  
GPO Box 9839  
CANBERRA ACT 2601

## **APPENDIX C - 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 D - Sample lists for verification material**

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

## HIGHER EDUCATION RESEARCH DATA COLLECTION - PUBLICATIONS

### BOOKS

#### Eligibility

Meets definition of research at section 1.3.9	<input type="checkbox"/>
Published in 2008 as defined in section 1.3.14	<input type="checkbox"/>
Author(s) staff or student when research undertaken	<input type="checkbox"/>
Major work of scholarship	<input type="checkbox"/>
Bound or packaged and offered for sale	<input type="checkbox"/>
Has ISBN	<input type="checkbox"/>
Mainly previously unpublished material, making a substantial contribution to knowledge	<input type="checkbox"/>
Commercial publisher as defined in section 1.3.4	<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 1.3.9	<input type="checkbox"/>
Meet the eligibility criteria at section 9.3.1 of Part C	<input type="checkbox"/>
Be published in 2008 as defined in section 1.3.14	<input type="checkbox"/>
Be published by a Commercial Publisher as at section 1.3.4	<input type="checkbox"/>
The chapter must:	
Meet definition of research at section 1.3.9	<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 E	<input type="checkbox"/>

#### Verification

The chapter	<input type="checkbox"/>
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 1.3.9	<input type="checkbox"/>
Meet the eligibility criteria at section 9.3.3 of Part C	<input type="checkbox"/>
Published in 2008 as defined in section 1.3.14	<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 1.3.9	<input type="checkbox"/>
Meet the eligibility criteria at section 9.3.4 of Part C	<input type="checkbox"/>
Be published in 2008 as defined at section 1.3.14	<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 E - Book chapter calculation methodology

### Calculation of Book Chapter weighting

To count book chapters, use the following methodology.

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

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

#### **Step 1**

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

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

#### **Step 2**

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

#### **Step 3**

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

### Example A

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

#### **Step 1**

The value is 1 divided by 1 equals 1.

#### **Step 2**

There are no further chapters to count.

#### **Step 3**

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

### **Example B**

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

#### **Step 1**

One of the chapters contributed alone should be counted here. The value is 1 divided by 1 equals 1.

#### **Step 2**

The author has contributed a whole, a half, a third, and a fifth respectively to four of the fifteen remaining chapters in the book. Thus the value of those other chapters is  $(1+0.5+0.33+0.2)*4/(16-1) = 0.54$ .

#### **Step 3**

The total value of the book for the author is 1.54 (1 derived from step 1 plus 0.54 from step 2).

### **Example C**

In a book of 21 chapters, author B contributes 1 chapter in conjunction with 1 other author and 1 chapter in conjunction with 2 other authors.

#### **Step 1**

The chapter contributed with 1 other author is the one with least contributors. Choose this chapter for step 1. The value of this chapter is 0.5 (chapter value of 1 divided by 2 contributors).

#### **Step 2**

The other chapter contributed is worth 0.33 multiplied by 4 divided by 20 (20 being the number of chapters remaining after the one given credit in step 1), equals 0.07.

#### **Step 3**

The total value of the book to the author is 0.57 (0.5 derived from step 1 plus 0.07 derived from step 2).

**Example D**

In a book of 21 chapters, author D contributes 2 chapters in collaboration with 1 other, 3 chapters in conjunction with 3 others, and 1 with 4 others.

**Step 1**

Count a chapter shared with 1 other here. Value 0.5.

**Step 2**

The value of the other chapters is  $(0.5+0.25+0.25+0.25+0.2)*4/(21-1) = 0.29$ .

**Step 3**

Total value is  $0.5+0.29 = 0.79$ .

If authors C and D are contributors from the same HEP to the same book, the HEP will be credited with 1.36 ( $0.57+0.79$ ) in category B from that book.

The Department has placed a spreadsheet on the web site which HEPs should use to calculate automatically the value of an author's contribution to an edited book.