

# Publications Collection Manual

## DEEWR Higher Education Research Data Collection (HERDC)



Research Branch



This manual is intended for University of Adelaide members involved in reporting, collecting and auditing research publications for inclusion in the DEEWR Higher Education Research Data Collection.

This manual and support materials are available from <http://www.adelaide.edu.au/rb/pub/>

### Key collection milestones

- |          |  |
|----------|--|
| 31 March | All Publications submitted to Research Branch                                  |
| 2 June   | Research Branch quality assurance and analysis to meet submission requirements |
| 30 June  | Submission to Department of Education, Employment and Workplace Relations      |

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# 1. Research Publications Collection: Objectives

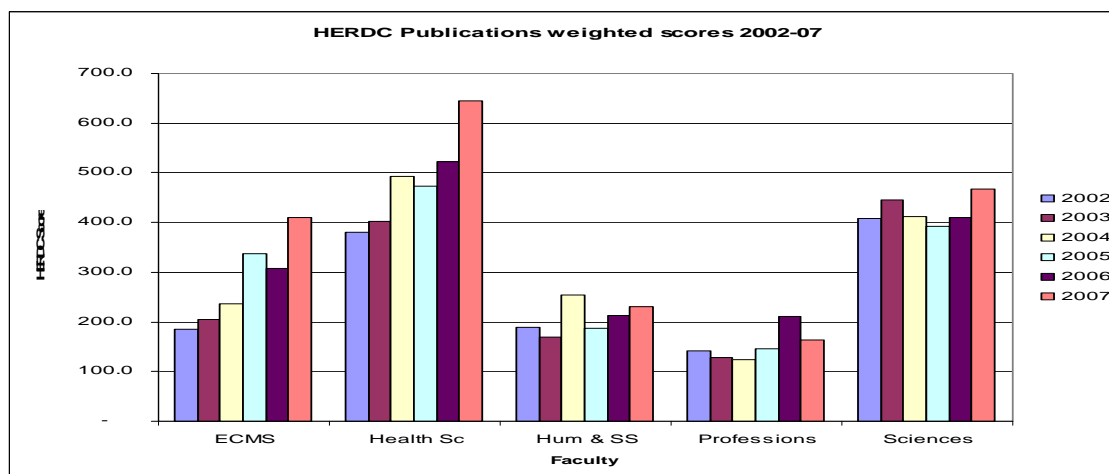
## 1.1. Objective of Research Publications Data Collection

The objective of this annual collection is to collect data on the University's publications:

- to comply with the requirements of the Department of Education, Employment and Workplace Relations (DEEWR) Higher Education Research Data Collection (HERDC),
- to provide data for Strategy and Planning <http://www.adelaide.edu.au/sp/statistics/research/>
- to provide data for research committees and research management
- to provide references for the University of Adelaide's repository to provide access to the public via the internet to the University of Adelaide's research publications
- are used in Group of 8 Universities comparative statistics for research performance

The data reported to DEEWR are used in a formula for allocating Commonwealth funding (Institutional Grants Scheme (IGS), Research Training Scheme (RTS), Australian Postgraduate Awards Scheme, and International Postgraduate Research Scholarship Scheme).

The University's publication performance in the DEEWR Higher Education Research Data Collection (HERDC) is shown in figure 1. In 2007, the weighted score increased from 1674.0 to 1910.3 an increase of 14% or 233.3 HERDC points. Percentage increases from 2002 to 2007 are given for each Faculty in Table 1 with actual points.



**Figure 1** Total weighted DEEWR HERDC publication scores for all publication categories. A1 Books are weighted by 5, B1 Book chapters are weighted by 1 unless an author contributes more than one chapter to a book, C1 Journal article and E1 Conference papers are weighted by 1.

**Table 1** Total weighted DEEWR HERDC publication scores for all publication categories shown as percentage increases from 2002 to 2007

	Increase in HERDC weighted score 2002 – 2007	Percent Difference 2002 - 2007	Increase in HERDC weighted score 2006 – 2007	Percent Difference 2006 - 2007
ECMS	224.1	120.6%	102.7	33.4%
Health Sc	262.8	69.0%	121.7	23.3%
Hum & SS	221.6	22.6%	18.5	8.7%
Professions	21.3	15.1%	-48.2	-22.8%
Sciences	59.5	14.6%	58.3	14.2%
University Total	595.2	45.3%	236.2	14.1%

## 2. Collection Requirements

Publications may be submitted to the Research Branch throughout the year to facilitate workflow, recording and processing.

The end of the collection period is **31 March**.

### 2.1. Research Branch Contacts

Faculty	Research Branch Contact	Phone	email
Engineering, Computer & Mathematical Sciences	Sue Delaine	8303 3340	<a href="mailto:sue.delaine@adelaide.edu.au">sue.delaine@adelaide.edu.au</a>
Health Sciences	Donna Holloway	8303 6789	<a href="mailto:donna.holloway@adelaide.edu.au">donna.holloway@adelaide.edu.au</a>
Humanities & Social Sciences	Sue Delaine	8303 3340	<a href="mailto:sue.delaine@adelaide.edu.au">sue.delaine@adelaide.edu.au</a>
Professions	Sue Delaine	8303 3340	<a href="mailto:sue.delaine@adelaide.edu.au">sue.delaine@adelaide.edu.au</a>
Sciences			
Earth & Environmental Sciences	Sue Delaine	8303 3340	<a href="mailto:sue.delaine@adelaide.edu.au">sue.delaine@adelaide.edu.au</a>
Molecular & Biomedical Science			
Sciences			
Agriculture, Food & Wine	Donna Holloway	8303 6789	<a href="mailto:donna.holloway@adelaide.edu.au">donna.holloway@adelaide.edu.au</a>
Chemistry & Physics			
Administrative Units	Sue Delaine	8303 3340	<a href="mailto:sue.delaine@adelaide.edu.au">sue.delaine@adelaide.edu.au</a>

The Research Branch provide collection support material from the Publications Collection website  
<http://www.adelaide.edu.au/rb/pub/>

The following support materials are available from the website

- Publications HERDC collection Guidelines for Publications Coordinators
- Publication Collection pro forma
- Author affiliation statement
- Fields of Research codes
- Socio-Economic Objective codes
- Annual list of publications for each Faculty

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## 3. Research Publication specifications and definitions

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### 3.1. Overview

Research publications in print form must be submitted to the Research Branch. Copies may be photocopies of the publication or final printer's proofs of journal articles.

It is now **mandatory** to enter **FOR** (Fields of Research) a **SEO** (Socio-Economic Objective) codes for all publications. There is an option to enter up to three FOR codes (minimum 20% for each code, totalling 100%) and up to three SEO codes (minimum 20% for each code, totalling 100%).

The DEEWR Higher Education Research Data Collection (HERDC) Specifications stipulate the requirements for research publications. The Research Branch makes decisions related to publications and requires certain evidence.

Publications are grouped into four categories:

- Books
- Book chapters
- Journal articles
- Conference publications

### 3.2. Publication specifications for HERDC Research Publications

#### 3.2.1. Definition of research

For the purposes of the DEEWR HERDC research publications collection, research comprises:

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

#### 3.2.2. General requirements for HERDC research publications

Each research publication must:

Be published during the collection year and contain that date on the publication

- meet the definition of research
- be counted once only for the university  
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

Each 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 be provided in a format that allows a reader to trace sources of the work 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.

### 3.2.3. A1 Books

Books must meet the definition of research and general requirements for inclusion in HERDC 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 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
- must have an International Standard Book Number (ISBN)
- the author must be affiliated with the University of Adelaide

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.

Books that are unlikely to meet the criteria include:

- textbook
- Anthology
- edited book
- creative work such as novel
- Translation
- revisions or new edition
- does not report original research findings but reports the results of evaluations, or repackages existing information for the benefit of professionals or practitioners.

Note: Many 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 to assess these publications very carefully against the definition of research and only accept those publications that report research activities.

### 3.2.4. B1 Book Chapters

A book chapter is a contribution, consisting substantially of new material, to an edited compilation in which the material was subject to editorial scrutiny.

Book chapters must meet the definition of research and general requirements for inclusion in HERDC and:

- must be offered for sale
  - for hard copies, bound
  - for CD-ROMs, packaged
  - for e-books, on subscription or fee basis
- must have been published by a commercial publisher
- must have an International Standard Book Number (ISBN)
- the author must be affiliated with the University of Adelaide

Book chapters that may meet the HERDC criteria include:

- a scholarly introduction of chapter length to an edited volume, where the content of the introduction reports research and makes a substantial contribution to a defined area of knowledge
- a critical scholarly text of chapter length, eg. in music, medieval or classical texts
- critical reviews of current research.
- if published previously and constitute substantial new knowledge and constitute original research.

Book chapters should be excluded unless book chapters meet all of the HERDC criteria for inclusion. The following would normally be excluded:

- chapter in a textbook
- entry in a reference book
- anthology
- revision of chapters in edited books
- foreword
- brief introduction
- brief editorial
- appendix
- literary or creative piece such as a collection of short stories; or translations.

### 3.2.5. C1 Journal Articles

Journal articles must meet the definition of research and general requirements for inclusion in HERDC and:

- must be published in a scholarly journal
- must be peer-reviewed
  - 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)
  - Note 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,

- must have 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
- must have 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 University of Adelaide

Journal articles that may meet the HERDC criteria include:

- commentary and communication of original research
- research note
- letters to journals, provided that the letter satisfies the definition of research and the subsequent definitions for journal articles in this section
- critical scholarly texts which appear in article form
- article reviewing multiple works or an entire field of research?
- invited paper
- articles in journals which are targeted to both scholars and professionals
- articles in a stand alone series.

Journal articles unlikely to meet the HERDC criteria include:

- letter to the editor
- article designed to inform practitioners on existing knowledge in a professional field
- article in a newspaper or popular magazine
- editorial
- book review
- brief commentary or communication of original research
- review of an art exhibition, concert or theatre production.

**3.2.6. E1 Conference Publications**

Conference Publications must meet the definition of research and general requirements for inclusion in HERDC and:

- must be published in full. The papers may appear in a number of different formats, eg. a volume of proceedings, a special edition of a journal, a normal issue of a journal, a book or a monograph, CD-ROM or conference or organisational web site
- must be peer reviewed
- must be presented at conferences, workshops or seminars of national or international significance
- the author must be affiliated with the University of Adelaide

Conference Publications that may meet the HERDC criteria include:

- Keynote addresses and invited papers where all other papers for the conference are peer reviewed. They must retain the 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).

Conference Publication that are unlikely to meet the HERDC criteria include

- papers that appear only in a volume handed out to conference participants
- Abstracts

## 4. Publication evidence required by the Research Branch

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### 4.1. *Publications collection pro forma*

A cover sheet developed by the research branch for tracking and processing of research publications submitted for the DEEWR HERD collection.

A completed [Publications collection pro forma](#) is shown in Appendix 5.1 must be attached to the evidence required to meet the specifications for A DEEWR HERDC Publication.

### 4.2. *Author affiliation - evidence required*

The University reports to DEEWR the contribution of authors affiliated to the University for a publication. Usually the University of Adelaide is noted on the publication as a by-line, in the list of participants of a conference, or as book chapter contributors.

Please note that 'Dept of Engineering' is not acceptable, but Dept of Engineering, University of Adelaide is. A by-line such as Royal Adelaide Hospital is NOT sufficient and may require an author affiliation statement.

If a University of Adelaide author (staff/student) does not have a by-line, the Research Branch requires a personally signed [Author Affiliation Statement](#), (Appendix 5.2) in order to count these authors in the collection.

### 4.3. *Book - evidence required*

Please submit the following to the Research Branch attached to the Publications Collection Pro Forma (Appendix X)

- A copy of the preface, foreword or introduction
- A copy of the entire table of contents
- A copy of the flyleaf page – the one that shows the ISBN, the publisher, place published and title.
- Publication year - THIS MUST BE 2008
- University of Adelaide by-line to show author affiliation – no by-line requires an author affiliation statement

Please enter the following on publications collection Pro Forma (appendix 6.2):

- The book title
- Publication category
- Coordinator's name and contact number
- Faculty and School
- FOR codes to equal 100% additional codes may be allocated with a minimum of 20% per code
- SEO codes to equal 100% additional codes may be allocated with a minimum of 20% per code

#### ***4.4. Book Chapter - evidence required***

Please submit the following to the Research Branch attached to the Publications Collection Pro Forma (Appendix X)

- A copy of the entire chapter, including all references
- A copy of the preface, foreword or introduction
- A copy of the complete table of contents
- A copy of the flyleaf or imprint page showing the ISBN, publisher, place published
- Publication year - THIS MUST BE 2008
- University of Adelaide by-line to show author affiliation – no by-line requires an author affiliation statement

New editions of previously published book chapters - Evidence is required to establish that the chapter is substantially rewritten and contains new material:

- Submit the table of contents of the previous edition as proof that the chapter is new  
OR
- Submit the previous table of contents and previous chapter, along with the new version, as proof that the chapter was substantially rewritten and contains new research on the subject

Please enter the following on publications collection Pro Forma (appendix 6.2):

- The book chapter title
- Publication category
- Coordinator's name and contact number
- Faculty and School
- FOR codes to equal 100% additional codes may be allocated with a minimum of 20% per code
- SEO codes to equal 100% additional codes may be allocated with a minimum of 20% per code

#### ***4.5. Journal Article - Evidence required***

Please submit the following to the Research Branch attached to the Publications Collection Pro Forma (Appendix X)

- A copy of the entire article – including all references
- Proof of refereeing, eg Ulrich, ISI see <http://www.adelaide.edu.au/rb/pub/>
- Evidence of ISSN, publisher and place published - may be on the cover page of the journal
- Publication year - THIS MUST BE 2008
- University of Adelaide by-line to show author affiliation – no by-line requires an author affiliation statement

Please enter the following on publications collection Pro Forma (appendix 6.2):

- The journal article title
- Publication category
- Coordinator's name and contact number
- Faculty and School
- FOR codes to equal 100% additional codes may be allocated with a minimum of 20% per code.
- SEO codes to equal 100% additional codes may be allocated with a minimum of 20% per code.

#### ***4.6. Conference Publication - evidence required***

Please submit the following to the Research Branch attached to the Publications Collection Pro Forma (Appendix X)

- A copy of the entire paper – including all references at the end.
  - Proof of refereeing of conference paper – Abstracts are excluded
  - Editor/Chair of conference
  - Table of contents
  - Name of conference
  - Location and date of conference
  - Evidence of national or international significance
  - Evidence of publication. The paper must have been published and not just circulated as a handout.
  - Publication year - THIS MUST BE 2008. If there is no publication year, the title of the conference will be sufficient, eg CHEMECA 2008
  - University of Adelaide by-line to show author affiliation – no by-line requires an author affiliation statement

Please enter the following on publications collection Pro Forma (appendix 6.2):

- The conference publication title
- Publication category
- Coordinator's name and contact number
- Faculty and School
- FOR codes to equal 100% additional codes may be allocated with a minimum of 20% per code.
- SEO codes to equal 100% additional codes may be allocated with a minimum of 20% per code

## 5. Appendices

### 5.1. Publication Collection Pro Forma

Download the pro forma from <http://www.adelaide.edu.au/rb/pub/>

Publications Collection Pro Forma - 2008				
THE UNIVERSITY OF ADELAIDE DEEWR HERDC PUBLICATIONS COLLECTION		RM No (Research Branch use)		
Publication Title				
Please Circle Publication Category				
A1 Book		B1 Book Chapter	C1 Journal Article	E1 Conference Publication
Contact Details		Telephone:		
Publications Co-ordinator:				
Faculty & School:				
DEEWR HERDC Publications must be characterised by:				
<ul style="list-style-type: none"> <li>• Substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of the work described, and provided in a format which allows a reader to trace sources of the work including through citations and footnotes</li> <li>• Originality (not a compilation of existing works)</li> <li>• Veracity/validity through a peer validation process or by satisfying the commercial publisher processes</li> <li>• Increasing the stock of knowledge</li> <li>• Being in a form that enables dissemination of knowledge</li> </ul>				
A single FOR and SEO is required for each publication, additional codes may be allocated with a minimum of 20% per code.				
FOR: Field of research.				
SEO: Are the researcher's perceived purpose for the research.				
		Field of Research Codes (FOR)		Socio Economic Objective (SEO)
1				%
2				%
3				%
Evidence Required <input type="checkbox"/> Co-ordinator check box				
<b>BOOK</b>				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> A major work of scholarship				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Offered for sale				
<ul style="list-style-type: none"> <li>• for hard copies, bound</li> <li>• for CD-ROMs, packaged</li> <li>• for e-books, on subscription or fee basis</li> </ul>				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Written entirely by a single author, or by joint authors who share responsibility for the book				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Published by a commercial publisher				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> International standard book number (ISBN)				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> University of Adelaide by-line to show affiliation				
<ul style="list-style-type: none"> <li>• No by-line requires author affiliation statement <a href="http://www.adelaide.edu.au/rb/docs/authorcer08.pdf">http://www.adelaide.edu.au/rb/docs/authorcer08.pdf</a></li> </ul>				
<b>BOOK CHAPTER</b>				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Number of book chapters				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Offered for sale				
<ul style="list-style-type: none"> <li>• for hard copies, bound</li> <li>• for CD-ROMs, packaged</li> <li>• for e-books, on subscription or fee basis</li> </ul>				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Published by a commercial publisher				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> International Standard Book Number (ISBN)				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> University of Adelaide by-line to show affiliation				
<ul style="list-style-type: none"> <li>• No by-line requires author affiliation statement <a href="http://www.adelaide.edu.au/rb/docs/authorcer08.pdf">http://www.adelaide.edu.au/rb/docs/authorcer08.pdf</a></li> </ul>				
<b>CONFERENCE PUBLICATION</b>				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Published in full.				
<ul style="list-style-type: none"> <li>• volume of proceedings</li> <li>• special edition of a journal</li> <li>• normal issue of a journal</li> <li>• book or a monograph</li> <li>• CD-ROM</li> <li>• conference or organisational web site</li> </ul>				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Peer reviewed				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Presented at conferences, workshops or seminars of national or international significance				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> University of Adelaide by-line to show affiliation				
<ul style="list-style-type: none"> <li>• No by-line requires author affiliation statement <a href="http://www.adelaide.edu.au/rb/docs/authorcer08.pdf">http://www.adelaide.edu.au/rb/docs/authorcer08.pdf</a></li> </ul>				
<b>JOURNAL ARTICLE</b>				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Published in a scholarly journal				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Peer-reviewed				
<ul style="list-style-type: none"> <li>• Evidence that the journal is classified as 'refereed' in Ulrich's International Periodicals Directory (Volume 5 - Refereed Serials) <a href="http://www.ulrichsweb.com">www.ulrichsweb.com</a></li> </ul>				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> International Standard Serial Number (ISSN)				
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> University of Adelaide by-line to show affiliation				
<ul style="list-style-type: none"> <li>• No by-line requires author affiliation statement <a href="http://www.adelaide.edu.au/rb/docs/authorcer08.pdf">http://www.adelaide.edu.au/rb/docs/authorcer08.pdf</a></li> </ul>				
<b>** PLEASE ATTACH PRO-FORMA TO HARDCOPY EVIDENCE AND FORWARD TO YOUR PUBLICATIONS CO-ORDINATOR **</b>				
Research Branch contact:		Sue Delaine	8303 3340	Research Branch Use
Research Branch Publications Support Material		<a href="http://www.adelaide.edu.au/rb/pub/">www.adelaide.edu.au/rb/pub/</a>		
Click on the link for FOR and SEO codes		<a href="#">FOR and SEO</a>		
Ulrich's web site		<a href="http://www.ulrichsweb.com">www.ulrichsweb.com</a>		
ISI		<a href="http://portal.isiknowledge.com/portal.cgi">http://portal.isiknowledge.com/portal.cgi</a>		
		6 Initial:	Dated:	Y / N
		2 Initial:	Dated:	
		1 Initial:	Dated:	

