



ResPubs

UNSW Research Publications Software

User Manual – School Staff

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1 Introduction

1.1 *The Purpose of this Document*

This Document is intended to assist staff in each UNSW school with the management of their school's publications using *ResPubs*.

It is not the intention of this document to provide screen dumps and to explain what information is entered in each field. Rather this document will attempt to give a general understanding of the processes involved in managing publications across UNSW. The text will explain the why, when and how things should be done; the individual screens should be self-explanatory.

There is a similar document to assist Academic staff with the functionality provided for the management of their publications.

1.2 *Overview of ResPubs*

ResPubs has been developed by UNSW staff to provide a single, simple interface for:

- The annual collection of UNSW publication data, including the HERDC data which provides funding from the Federal Government each year.
- The digital repository, UNSWorks
- The publications component of the ERA process
- Schools to retrieve publication data for:
 - Analysis
 - Display on school web sites.

The aim is to provide UNSW with:

- One location for the data entry of all material related to publications and research outputs
- One complete and authoritative source of information relating to publications and research outputs.

To achieve this and to significantly simplify the process:

- Academic staff will be able to manage their publications including:
 - Doing their own data entry
 - Searching the entire collection
 - Exporting data for analysis or reporting
 - Search for Journals with ERA ranking
- School staff will be able to manage the school data including:
 - Data entry of publications
 - Maintaining the personnel file of School Staff and Students
 - Verifying HERDC publications
 - Searching the entire collection
 - Exporting data for analysis or reporting
- UNSW Library staff will manage the approval of items placed in UNSWorks, the digital repository.

1.3 Making the Data Entry Easier

ResPubs includes a range of functions that will simplify the task of recording publications while improving the quality of the data:

- When selecting the Journal “My Journals” will show the list of Journals previously used by the academic;
- When adding co-authors “My Authors” will list previous authors, and co-authors are added by simply selecting the authors in the correct order;
- When adding FOR Codes “My Codes” will previous used FOR Codes;
- When entering a paper from a Conference the software will provide the Conference and Proceedings details if they have already been captured.

1.4 Doing the Data Entry for Another Person

Whilst the software offers some smart short-cuts and significant benefits for a researcher doing their own data entry it remains likely that:

- School staff will still do a significant proportion of the data entry
- Research Assistants may also be called upon to do some of the data entry.

To assist these users the software allows a users who has logged in using their own Staff ID and UniPass to elect to be another person in their school and to do the data entry for them. This gives the user all the short-cuts that were available to the author.

1.5 Glossary of Terms

ATTACHMENT

Any Electronic file added to the bibliographic data is referred to as an attachment. These attachments will be for internal use and for Verification only; unless the contact author specifically requests that they be made “Public”

CONTACT AUTHOR

Each publication will require a UNSW author to be nominated as the “Contact Author”. This person:

- Will receive any emails regarding the status of the publication
- Is responsible for the “Statement of Authorship”
- Submits the OA Agreement if required.

ERA (Excellence in Research for Australia)

The process, commencing in 2010, to measure quality of research output; replacing the HERDC process.

FOR (Field of Research) CODE

The 6-digit codes provided by ABS (Australian Bureau of Statistics) to allow analysis by research area. These codes will also be a useful method for a UNSW “Find an Expert” function.

HERDC (Higher Education Research Data Collection)

The name given to the annual process where Universities in Australia report Publications, Research Income and PhD completions. Universities then receive significant funding based on these figures

GROUP

ResPubs will allow users to manage subsets of their publication collection by maintaining ‘Groups’ and allocating publications to one or more groups.

- Schools can access the group called ‘My Web List’ to populate an authors list of publications on the school web site.
- Academic staff may maintain a “My Grant List” to export and include a list of their publications in a grant application.

OPEN ACCESS (OA)

The storage of information in systems where the information (and copies of publications) are publicly available)

PUBLICATION CATEGORY

Research Outputs are grouped by Category:

- A = Books
- B = Book Chapters
- C = Journal Articles
- Etc

Categories are divided into sub-categories:

- A1 = Scholarly Research Book with a Commercial Publisher (and hence a Funded HERDC category)
- A2 = A Book that is not aimed at a scholarly audience or does not have a Commercial Publisher
- A3 = A Book where you were the Editor rather than an author
- etc

RESEARCH OUTPUT

A “Research Output” can be any piece of work resulting from academic research; e.g. a Journal Article, a Conference Paper, a CD or Video of Creative Writing etc

REVIEW

The process performed in the UNSW Library to confirm that UNSW can display items placed in OA by staff.

UNSWorks

The digital repository in UNSW.

VERIFY

The process performed by the Heads of School to confirm that items in the HERDC categories meet HERDC criteria.

2 The Collection Timetable

2.1 Data Collection

- 1) Instead of the Publications Collection being performed and checked in the year after the publication Schools will keep the publications data up to date; and there will be a check-point at the end of each quarter.
- 2) By the end of March the collection of the previous year's data should be complete; but the process should allow for the few late entries to be entered and verified.

2.2 Process Management and Quality Control

- 1) Towards the end of each quarter each School should run the following reports and take appropriate actions to bring the data up to date:
 - a) The Verification Report lists all HERDC items and reports what remains to be done if the item has not yet been accepted as a HERDC item
 - b) The Progress Report provides the summary report
 - i) Comparing previous HERDC figures to those for the current year
 - c) The Data Quality Report lists an items that are missing essential information
- 2) Towards the end of each quarter Faculty executive run summaries of the reports listed above to ensure that each school is progressing satisfactorily with the publications collection.
- 3) The Publications Manager will manage a progressive AUDIT of the collection to help equip school staff with the appropriate verification skills and to develop a consistent application of HERDC Specifications across UNSW.

2.3 Final Audit and Sign-Off

- 1) Commencing in April each year Library and Faculty staff perform a final audit of the previous years HERDC items.
 - a) By the end of May each Faculty to confirm final figures for the previous year's HERDC collection.
- 2) By mid-June the HERDC report is prepared for the VC to sign.

3 The Collection Processes

3.1 Data Capture

3.1.1 Data Entry by Academic Staff

Academics and students encouraged to do their own data entry; prompted by:

- 1) An email from the Import process at the start of each quarter;
- 2) An email from the Head of School after checking the Progress Report at the end of each quarter.

3.1.2 Data Entry by School Staff

School staff may continue to enter data on behalf of academic staff.

3.1.3 Importing Data from Scopus (Elsevier) and Web of Science (Thomson Scientific)

[The import will not be available until Stage 2 is completed in May 2010]

The Publications Manager to continue importing publications from internet sources. The import will be run at the start of each quarter and emails will be generated as follows:

- 1) Each school will receive an email with a list of publications imported.
- 2) Each academic will receive an email listing publications imported for them:
 - a) In some cases the item will reflect a publications not already in the database
 - b) In other cases it will be advising that the item which has been entered, and is currently flagged as 'In Press', has now been published

3.2 Other Data-Related Processes

3.2.1 Statement of Authorship and Location of Data (SoA)

The 'UNSW Contact' author of a publication may create the SoA and record where the data is stored.

- The SoA is created as a PDF and stored in the database
- The author may also save any of the supplementary data in the ResPubs database, without it being passed through to the digital repository
- The Head of School will be able to run reports listing publications with an SoA and reporting on the Location of Data

3.2.2 Open Access Licence for Public Documents in the UNSWorks

If any publications have attachments (i.e. a copy of the paper) that are passed through to UNSWorks then:

- The contact author must complete an Open Access agreement
- Library staff will check that UNSW is entitled to make the attachment available for Open Access
 - The contact author will be kept advised, by email, of the status of the agreement
 - The contact author will be advised, by email, when the public is available in UNSWorks
- The completed Licence will be kept in the ResPubs database

3.2.3 Student Theses

Students may enter PhD and Masters Theses in ResPubs

- A Thesis Licence will be signed
- Library staff will check the content of each Thesis and advise the Student of the outcome
- Approved Theses will be available in UNSWorks and ADT

3.2.4 Other Customers of Publications Data

- Each evening the data in ResPubs will be copied to Julia for access by other systems and customers within UNSW.
- Publications data will be available for query or download directly from ResPubs or through Julia for UNSW customers, including:
 - The ERA project team
 - UNSW gateway
 - School web sites and databases

3.3 Verification of the Data

3.3.1 Who Does It ?

- Done by Head of School or nominated alternative(s) in each school; from hereon referred to as ‘the verifier’

3.3.2 When is it Done ?

- Verification is to be done on a continual basis. Once a HERDC item has been entered and is no longer ‘In Press’ the item will appear on the list of items to be verified for that school.
- If an item has co-authors across multiple school then once it is verified by one school it is verified on behalf of all school affiliated with that paper.

3.3.3 Training and Support

- Whilst the data entry may not need training the Verification should only be done by senior academic staff who have a good understanding of HERDC requirements. Training will be available covering the software but focussing mainly on HERDC Specifications as follows:
 - In Faculty groups when system goes live;
 - Individually when staff change or as required.
- Ongoing support will be provided by the Publications Manager.

3.3.4 Verifying HERDC items

As the Verifier will be assessing HERDC items with varying degrees of support data, especially in the first 12 months of ResPubs the following shall apply:

- If **full** verification material is provided **electronically** the item can be verified and the verification material retained in the ResPubs database. [Storing material in the digital repository is optional]
- If **full** verification material is provided **in hard-copy** the item can be verified and the verification material should be retained by the school for 3 years.
- If **partial** verification material is provided then
 - If the Verifier is satisfied that the item would pass HERDC criteria then the item may be **ACCEPTED** on the understanding that full verification material could be required if there was an external audit
 - If the Verifier is not comfortable with **ACCEPTING** the item as it is then they shall update the status to **PENDING** and whatever from the contact author whatever information (either electronic, hard-copy or written response) is necessary to finalise the assessment of the request for a HERDC category.

The ‘Contact’ author will be emailed each time the Verifier completes any part of the assessment task.

3.4 Appeal Process

If an author wishes to challenge the decision of the Verifier regarding the HERDC status:

- the author advises the Publications Manager
- the Publications Manager prepares a submission for the Faculty's Appeal Committee
- The decision of the Appeal Committee is forwarded to the Publications Manager who:
 - Advises the academic, and
 - The Head of School

The Faculty Appeals Committee to consist of:

- The ADR for the Faculty, and
- Two members of the Faculty Research Committee

Note: Most Faculties would have between 0 and 2 appeals per annum, but FASS and COFA usually have from 2 to 6. When FASS or COFA have more it is usually multiple items in the same Publication; e.g. "Dictionary of Australian Artists Online"

3.5 UNSW Internal Audit Procedure

Each faculty will set up an Audit Group consisting of:

- The Publications Manager, and
- At least two people from the Faculty

Audits should be performed on a regular basis

- During the collection
- After the collection

4 The Major Software Components

4.1 Home Page

The Home Page is designed:

- To show the status of the data for the academic or school; and
- To provide simple access to the functions available.

4.1.1 Personal Access

4.1.1.1 Do Data Entry for ...

Any person who is logged in may choose to do the data entry on behalf of another academic. This means that the person doing the data entry is able to use the short-cuts available to each academic; i.e. myJournals, myAuthors, myCodes.

A person with school access can do the data entry for someone in their school, while a person with faculty access can choose any person in their faculty.

4.1.1.2 Change Role

When the user logs in the software will determine the roles that the person has within the system and their level of access. Each role will be listed in the drop-down list.

The purpose off this is to allow a person like a Head of School to use the system:

- As the Head of School to view and update publications pertaining to the whole school;
- As an individual to manage their own publications

4.1.2 The Menu

When a user changes the 'Role' in the drop-down list the software will then present a Menu of options available to that role.

4.1.3 Data Counts

Depending on the role chosen the Home Page presents an overview of the collection.

- Count of Publications for Year Selected
- Summary of HERDC Status for Year Selected
- Summary of Licence Status for Year Selected

4.1.4 List of Recent Publications

The software lists all publications for the year selected at the top of the screen.

- The HERDC and Licence status are shown.
- Selecting an item will transfer you to the Edit Screen for that publication

4.2 Publications

4.2.1 Search Publications

As in the Personnel screens school staff will have access to search the publications for all schools in UNSW. Once a selection has been made the following functions are available:

- Edit the publication
- Print publication reports
- Print statistical summaries with output as a PDR or in Excel
- Export the data to Excel or WORD

4.2.2 Add New Publication

The data entry for Publications and the Verifying Publication of Publications are the two key functions in the system. If these two functions are performed well then the rest of the process will work well.

Entering publications has been made easier by making use of data already in the database. This approach reduces the data entry time and also improves the accuracy of the data.

4.2.2.1 Choosing the Publication Category

The publication category (i.e. C1, C2 etc) can be chosen from a drop-down list or the user can request “Help” choosing a category.

When “Help” is requested the author responds to a set of questions and the software recommends the appropriate category; which can be selected or ignored.

4.2.2.2 Publication Data

Made easier by;

- Search for a Journal or book by name or ISBN/ISSN provides all the information related to the document; e.g.
 - Journal Name
 - Publisher
 - Place Published
- Search for a Conference by word in title or by Code (i.e. AMCIS 2009) will provide:
 - The data about the conference
 - The data about the Conference Proceedings

These benefits can only be provided if the data is completed correctly by the first person who enters it. Where journals and conferences have multiple ISSNs the software will locate the journal regardless of which ISSN is used.

4.2.2.3 Adding Authors

Authors for a publication can be added in any of three ways;

- **My Authors** will show authors previously used by the person
- **Search Authors** will allow a search followed by selection from a list
- **Add Author** will allow the creation of a person who is not currently in the database.

4.2.2.4 Adding FORC Codes

The FOR Codes for a publication can be added in any of three ways:

- **My Codes** will show FOR Codes previously used by the person

- **Search Codes** will allow a search by word followed by selection from a list
- **Browse Codes** will allow will allow a structured browse of FORC Codes followed by selection from a list.

4.2.2.5 Adding the Item to a Group

Individual researchers can maintain groups of publications. Schools may also choose to manage groups of publications.

Groups serve the following purpose:

- You can search by Group;
- Having Searched by Group, you can then use the print, and export functions on the group;
 - To add to a CV
 - The include in a Grant Application
 - The add to a promotion or award application
- The school web site can populate a staff publication list on the school web site using a group instead of the full selection. If the author does not have a 'My Web List' then the author's full publication list will be provided.

Some useful Groups might be;

- My Web List
- My Grant Application List
- My Promotion List

4.2.2.6 Adding Attachments

Attachments are stored in the database for multiple reasons including:

- To assist the Head of School with the Verification process
- To make the item publicly available through UNSWorks
- As a safe back-up for Research data relating to publications

When attachments are stored that are flagged for OA through UNSWorks the contact author will also be required to complete and sign an OA Agreement. In this case the public attachment will undergo a review process by the Library to confirm that UNSW can legally display the attachment.

4.2.2.7 UNSWorks OA Licence

When an attachment is stored and flagged for OA it is passed to UNSWorks:

- The contact author must sign an agreement
- Library staff confirm that the agreement is valid
 - The contact author is emailed at each stage
 - Progress comments are recorded
- The attachment is made 'Active' in UNSWorks when approved.

4.2.2.8 Statement of Authorship

The Statement of Authorship should be created by the UNSW Contact Author.

4.2.3 **Publication Groups**

Just as each academic can manage Groups of publications, so to the School can:

- Add items to schools groups
- Remove items from school groups

When a new group name is created it is available to all other school; so the names should be generic and not name particular schools.

4.3 Verify Functions

The Data Entry and the Verification of Publications are the two key functions in the system. If these two functions are performed well then the rest of the process will work well.

4.3.1 The HERDC Verification Process

- 1) A copy of the item should be stored as an attachment as well as any other material that may be required to establish that the item meets HERDC criteria. During the transition stage the verification material may also be provided as paperwork.
- 2) When the data entry is complete the Head of School (or authorised person in the school) will determine whether or not the item satisfies HERDC criteria for the category requested.
 - a) If the item is Accepted the contact author will receive confirmation by email
 - b) If the item is Rejected the contact author will receive an email. In these cases there will be opportunity to appeal the school's decision through a committee created by each faculty.
 - c) If there is not sufficient information for the School to confirm the HERDC category then the contact author may receive an email requesting more information.
- 3) Items in HERDC categories will be available for *ResPubs* user to view, but they will not be available for export or reporting until the Verification process is complete.

4.3.2 Verify Publications

When a 'Verifier' logs in the Home Page will indicate how many publications are ready for verification.

4.3.2.1 Select Publications to Verify

The Head of School first selects the list of items to verify and then clicks the "Verify These" link to move to the specialist screen for verifying items.

A selection process for which items to verify is provided so that the Head of School can:

- Check the requirements for C1's and then just verify the Journal Articles; or
- Verify the publications for a particular author

4.3.2.2 View Data

For the current item the screen shows;

- the bibliographic data
- the refereeing status of the Journal or Conference
- a list of attachments (Attachments may be viewed during the verification process).

4.3.2.3 'Send Emails' Option

As items are verified an email is normally sent to the contact author. But this can be suppressed by removing the selection from "Send Emails".

4.3.2.4 Full Verification

- 1) Depending on the HERDC category the software will display a set of questions
- 2) The Head of School will then
 - a) Answer each question, e.g. "Was the Paper Refereed?";
 - b) Have the option of recording a comment for each question; e.g. if the proof of refereeing is unclear the comment might be "Needs proof of refereeing by an external panel and not just the Editor";
 - c) Check the software's recommendation regarding the verification.

4.3.2.5 Quick Verify

Selecting 'Quick Verify' means the Head of School is confirming the item satisfies all HERDC criteria. The software will:

- Change the HERDC status to 'ACCEPTED' and update the record
- Send an email to the contact author, unless 'Send Email' has been de-selected
- Display the next item for verification.

4.3.2.6 Verification Status

When all questions have been answered the Head of School, with some assistance from the software will determine the Verification status:

- ACCEPTED means that the category requested is being confirmed;
- PENDING means that more information is required before a decision can be made
- REJECTED means that the item does not meet HERDC criteria and cannot be ACCEPTED.

4.3.2.7 Final Processing

- 1) If REJECTING the item the Head of School must choose the appropriate category, with some help from the software (see Chapter 5, HERDC Specifications and Related Categories)
- 2) Clicking 'Build Comment' will produce a comment based on the answers and comments in the verification section of the screen. The auto-generated comment can then be edited.
- 3) Click 'Save' will update the database and send an email to the contact author, if that option has been chosen.

Once ACCEPTED or REJECTED this item is now available to other systems linked to **ResPubs**.

4.3.3 Verification Reports

4.3.3.1 Data Quality Report

This report should be run every month, or whenever significant data entry has been done, as it checks the completeness of the data.

The user can select by school and year range. The list of errors reported includes:

- Papers with no authors added.
- Papers missing essential information such as:
 - Page numbers, where relevant
 - Publisher, where relevant
- Invalid or missing ISSN
- Papers without FOR Codes

The report has will have an option for detailed or summary information only. The summary report is intended the Faculty and executive staff to monitor the collection process.

4.3.3.2 Verification Progress Report

This report should be run regularly until senior staff in the school are satisfied that the collection is complete for the recently completed calendar year. It an essential part of the process aimed at help each school achieve a maximum return of publications.

The report consists of 3 sections;

- 1) A count of publications for the school, by category, with the previous year counts. This report is a good indicator of the completeness of the collection.
- 2) A list of the staff and a count of the publications they have submitted in the current year.

- 3) A list of staff who have not contributed publications in the current year. This list also helps the school keep its list of current staff up to date.

The report has will have an option for detailed or summary information only. The summary report is intended the Faculty and executive staff to monitor the collection process.

4.3.3.3 Verification Report

This report lists the HERDC publications for each member of staff. It can be delivered or emailed to each staff member as a means of getting the data up to date and reminding staff of any incomplete HERDC publications.

4.3.3.4 Non-Accepted Report

This report lists the HERDC publications for each member of staff that have not yet been ACCEPTED. It can be delivered or emailed to each staff member as a means of getting the data up to date and reminding staff of any incomplete HERDC publications.

As this report similar to the previous report; but as it lists only the non-ACCEPTED items it is more useful as a means of attracting attention to the exceptions at the end of the process. Rather than reporting the 200 that are OK this report lists the 10 that need urgent attention; as these items tend to get lost in the full report of 210 items.

4.4 School Functions

The frequency of changes to school data will be low, but the data is important; as it determines who as access to the software above the role of “Researcher”

When a person is added to the database as Staff or Student they automatically have access to the “Researcher Menu”. To have access at the school level this information must be updated under ‘SCHOOL DETAILS & ROLES’

4.4.1 Roles

A person can be given school level access with four different levels:

- **Nil** means that the person is in the system, but has no access to the data
- **Enquiry** allows access to the School Menu but without any update privileges
- **Update** allows access to the School Menu with update not including the verification of HERDC publications
- **Full** allows access to the School Menu with full update privileges (i.e. Verify HERDC items)

4.4.2 School Reports

In Release 1.0 the following reports will be available;

- List of Schools
- List of roles within each school
- List of staff in each school

4.4.3 Schhol Statistics

In Release 1.0 the following schools statistical reports will be available;

- Not yet determined

4.5 Personnel Data

To give each school full control over the management of the publications school staff can create and update:

- Staff
- Students
- External authors

4.5.1 Search Person

The search function gives access to the whole personnel file. Once a person has been located you may also 'Edit' the information recorded for them.

The ability to edit data from other schools brings with it the responsibility to maintain the data accurately:

- If a staff member has conjoint appointments with UNSW then make sure that your changes accurately reflect the appointment;
- Before moving a person from another school to yours it may be polite and wise to confirm the transfer with the previous school;
- Before changing a person's name or other details make sure that you have the correct person.

The system will ultimately interface with HR and Student systems to provide regular updates of the data from the central personnel data.

4.5.2 Add New Person

Before entering a new person please check that you are not duplicating them in the database;

The following fields should be maintained as they are useful for reporting and helpful in the ERA evaluation process;

- Staff Category: Academic, General
- Type: Staff, Student, External
- FTE
- Academic Level: Level A to Level E or "Other"

There are two additional name fields that are used in the system:

- **Preferred Name** is used to help locate staff in the 'Search Person' screen and during any import process. Searches will check both the first name and preferred name fields; e.g. a search for "Sarah Zhang" will find "Yixia Zhang" if "Sarah" is entered in the Preferred name field.
- **Citation Name** is the name the person wishes to appear when they are listed as an author on a publication. This is usually the surname, followed by a comma and one or more of their initials.

4.6 Related Data

When users enter data about Journals and Conferences the information provided may not always be complete and accurate. The “Related Data” functions allows any user to update data recorded for:

- Journals
- Books
- Conferences
- Events, such as Art Exhibitions.

Once the data is corrected for a Journal the correct data will appear on all papers in that Journal.

4.6.1 Search Journals

Although it is not available in Release 1.0 of the software schools will be able to search for Journals by FOR Code and ERA Ranking to assist staff with the choice of Journal.

4.6.1.1 Alternate ISSN

By recording each different ISSN for the same Journal researchers will be matched to the same Journal regardless of which ISSN is entered. This will greatly improve the quality of the data.

4.6.1.2 Refereeing Status

By maintaining data about the refereeing status of the Journal we may also be able to save time in the verification of Journal Articles.

4.6.2 Search Books

The information regarding Books, including alternate ISBN can be maintained on this screen

4.6.3 Search Conferences

4.6.3.1 Conference data

The Conference Name, Location and Date can be updated through this screen. It may be useful to record Conference Codes; eg ECIS 2009; to allow easier location of Conferences

4.6.3.2 Conference Proceedings

The proceedings of the Conference can be recorded, including multiple ISBN’s for various formats of the proceedings.

This way the software can locate a Conference regardless of which ISBN is entered by the data entry person.

4.6.3.3 Refereeing Status

By maintaining data about the refereeing status of the Conference we may also be able to save time in the verification of the HERDC items for that event.

4.6.4 Search Events

Likewise data entry staff can directly enter the following information about events:

- The name, location and data
- The ISBN of any catalogues or publications related to the events.

5 HERDC Specifications and Related Categories

The purpose of this Chapter is to assist School Staff with the Verification Process; i.e. determining whether or not a publication satisfies the HERDC criteria.

5.1 Books

5.1.1 Book - Scholarly Research (A1)

5.1.1.1 Eligibility

To be included in this category the publication must:

- meet the definition of research (see Section 6.1 Definition of Research) 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
- Has an International Standard Book Number (ISBN)
- Was written entirely by a single author, or by joint authors who share responsibility for the whole book
- Has been published by a commercial publisher (see Section 6.2).
- The author must be affiliated with the claiming institution (see Section 6.3).

The types of books that **may** meet the criteria include:

- Critical scholarly texts (for example music, medieval or classical texts)
- New interpretations of historical events and
- 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 and
- Revisions/new editions.

5.1.1.2 Verification Requirements

If there is an External Audit of the HERDC collection photocopies of the following details will be required:

- Title page
- Bibliographic Details (ISBN, Publisher, all dates referring to copyright, publication and printing)
- Table of Contents
- Preface or introduction
- Evidence indicating each UNSW Author's affiliation with UNSW.

Please note that if HERDC conducts an audit, then ALL A1 claims are audited.

5.1.2 Book - Authored Other (A2)

Include:

- Research monographs published by university departments. University department working papers, technical reports, discussion papers and the like may be included at A2 in the current collection.
- Books, which contain professional information, intended to update practitioners.
- Books published by private individuals and privately funded companies e.g. vanity presses.
- Translations of published books
- Annotated anthologies
- Other authored books or monographs not classified in A1

Exclude

- Creative works such as novels, depending mainly upon the imagination of the author rather than upon a publicly accessible body of agreed fact.
- Textbooks that are primarily aimed at secondary, primary or pre-School students (see A5).

5.1.3 Book – Edited (A3)

This refers to books consisting of contributions from a number of authors, where a staff member was an Editor of the work.

- If the staff member also has chapters in the book then they should be recorded separately (see Section 5.2)

5.1.4 Book - Revision or New Edition (A4)

This refers to books that must be previously published or a collection of previously published articles either by the current author or editor, or by some previous author or editor, which has been brought up to date by the substantial addition or alteration of material.

5.1.5 Book – Textbook (A5)

This refers to Textbooks (consisting mainly of new combinations of existing knowledge or updating of a body of established knowledge to make it more readily accessible) aimed primarily at a university audience.

5.2 Book Chapters

5.2.1 Chapter – Scholarly Research (B1)

5.2.1.1 Eligibility

- The same as for A1

A scholarly introduction of chapter length to an edited volume may be counted as a Chapter, where:

- the content of the introduction reports research
- and makes a substantial contribution to a defined area of knowledge

The types of books that are **unlikely** to meet the criteria include:

- textbooks
- entries in reference books
- Anthologies.
- revisions of chapters in edited books
- forewords
- brief introductions
- brief editorials
- appendices
- creative works such as collections of short stories
- translations.

5.2.1.2 Verification Material

If there is an External Audit of the HERDC collection photocopies of the following details will be required:

- Title page
- Bibliographic Details (ISBN, Publisher, all dates referring to copyright, publication and printing)
- Table of Contents
- Preface or introduction
- A copy of the chapter
- If a new chapter in a revised edition, the Table of Contents of the Previous Edition
- Evidence indicating each UNSW Author's affiliation with UNSW

5.2.2 Chapter – Non-Commercial Publisher (B2)

Category B2 should be used for chapters that do not qualify for the HERDC category B1 and may include chapters in books published by non-commercial publishers.

5.2.3 Chapter – Encyclopaedia Entries (B3)

Includes any entries in an Encyclopaedia, Dictionary or Reference Book that:

- Includes Scholarly research; and
- Is not included in any category above.

5.2.4 Chapter – Textbook (B5)

This refers to Chapters in Textbooks (consisting mainly of new combinations of existing knowledge or updating of a body of established knowledge to make it more readily accessible) aimed primarily at a university audience.

5.3 Journal Articles

5.3.1 Journal Article – Refereed, Scholarly Journal (C1)

5.3.1.1 Eligibility

To be included in this category the publication must:

- meet the definition of research (see Section 6.1); and
- be published in a scholarly journal; and
- have been peer reviewed as defined in Section 6.4; and
- have an International Standard Serial Number (ISSN) or in some cases an ISBN; and
- the author must be affiliated with the claiming institution.

Please Note:

- 1. The fact that an article has been peer reviewed does not automatically mean that it is eligible. The article must also meet all other criteria.**
- 2. The fact that the Journal is peer reviewed does not automatically mean that all items in the Journal are Peer Reviewed.**

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

- commentaries and communications of original research
- research notes
- letters to *Nature* and *Lancet*
- 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 and
- articles in a stand-alone series.

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

• letters to the editor	• editorials
• case studies	• book reviews
• articles designed to inform practitioners on existing knowledge in a professional field	• articles in newspapers and popular magazines
• articles in newspapers and popular magazines	• reviews of art exhibitions, concerts, theatre productions

5.3.1.2 Verification Material

If there is an External Audit of the HERDC collection photocopies of the following details will be required:

- Bibliographic Details (ISSN, Publisher, all dates referring to copyright, publication and printing)
- Table of Contents
- A copy of the article or the offprint
- Proof of peer review (see Section 6.4)
- Evidence indicating each UNSW Author's affiliation with UNSW

5.3.2 Journal Article – Other Contribution to Scholarly, Reviewed Journal (C2)

This category is the refereed papers that do not meet the definition of Scholarly research.

Include:

- Brief communications e.g. research notes for which peer review cannot be substantiated.
- Letters to the editor which report research findings e.g. in IOP journals.

Exclude:

- Editorials (possibly C4).
- Letters to the editor, which do not report, research findings (possibly C4).
- Articles designed to inform practitioners in a professional field, such as a set of guidelines or the state of knowledge in a field (possibly C3).
- Articles in newspapers and popular magazines (exclude completely).

5.3.3 Journal Article - Non-Refereed Article (C3)

This category is for non-refereed works of scholarship published in a scholarly or professional journal controlled by an editorial board.

Include:

- Articles that are sets of guidelines or summaries of the state of knowledge in an area, generally intended to inform practitioners in a professional field.
- Medical case histories.

Exclude:

- Editorials (possibly C4)
- Letters to the editor (possibly C2 or C4)
- Non-scholarly, non-research articles (exclude completely)
- Articles in newspapers and popular magazines (exclude completely)

5.3.4 Journal Article - Letter or Note (C4)

This category is for to non-refereed communications (including editorial commentary) published in a journal controlled by an editorial board.

Include:

- Commentaries and brief communications of original research that are not subject to peer review
- Editorials
- Letters to the editor (not eligible for C2)
- Reviews of art exhibitions, concerts, theatre productions (by members of appropriate academic departments).

Exclude

- Non-scholarly, non-research articles (excluded completely)
- Articles in newspapers and popular magazines (exclude completely).

5.4 Conference Publications

5.4.1 Conference - Full Paper, Refereed (E1)

5.4.1.1 Eligibility

To be included in this category the publication must:

- meet the definition of research (see Section 6.1 Definition of Research) and
- 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 and
- Be peer reviewed on the **full paper** (see Section 6.4) and
- Be presented at conferences, workshops or seminars of national or international significance and
- The author must be affiliated with the claiming institution.

As meetings called “workshops” or “seminars” generally have lower status than meetings called “conferences”, universities must be able to demonstrate clearly that they have national or international significance and include the evidence with the verification materials.

Keynote addresses may be included where all other papers for the conference are peer reviewed, and evidence is provided both of the keynote status of the address (e.g. contents page) and of the 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.

5.4.1.2 Verification Material

To be included in the HERDC collection photocopies of the following details will be required:

- Bibliographic Details (ISSN, Publisher, all dates referring to copyright, publication and printing);
- Table of Contents;
- Preface or Introduction sufficient to establish proof of the National or International significance of the conference;
- A copy of the article or the offprint;
- Proof of peer review (see Section 6.4);
- Evidence indicating each UNSW Author’s affiliation with UNSW.

5.4.1.3 Poster Presentations

Only **Poster presentations** that meet all the above requirements can be considered.

5.4.1.4 Multiple Formats

Conference papers that meet the criteria for category B1 or C1 as well as E1, may be counted in any of the categories for which it qualifies. The verification requirements will be those applicable to the category in which the publication has been classified.

A conference paper can be counted once only, even if published in more than one format; and even if published in separate years.

5.4.2 Conference - Full Paper, Non-Refereed (E2)

This refers to written versions of conference presentations subsequently published that were not subject to peer review or formal assessment by members of an expert advisory board/panel/committee with broad national or international representation.

5.4.3 Conference - Extract of Paper (E3)

This refers to published extracts and synopses of conference papers that are subsequently published.

5.4.4 Edited Volume of Conference Proceedings (E4)

This refers to edited volumes of conference proceedings in which one or more UNSW staff members or students are identified as having editorial responsibility for the proceedings.

Exclude:

- Edited volumes in which the UNSW staff member is on the editorial advisory board but is not one of the listed editors of the volume (exclude completely).

5.4.5 Conference – Presentation, not Published (E5)

This refers to presentations at Conferences or Seminars where the paper was not subsequently published.

5.4.6 Conference – Poster Presentation, not HERDC (E6)

This refers to published Poster Presentations that:

- are subsequently published; and
- have not been included as an E1

6 Definitions and HERDC Terminology

6.1 Definition of Research

Source: <http://www.innovation.gov.au/Section/Research/Pages/highereducationresearchdatacollection.aspx>

Research and experimental development comprises:

- Research activity that leads to publicly verifiable outcomes that are open to peer appraisal
- Creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise new applications (OECD definition of research and development).
- Any activity classified as research and experimental development 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 and experimental development.

Research includes:

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

Also satisfying the HERDC definition of research are **activities that support research** such as:

- Provision of professional, technical, administrative or clerical support and/or assistance to staff directly engaged in research and experimental development
- Management of staff who are either directly engaged in research and experimental development 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 and
- Supervision of students undertaking postgraduate research courses.

Activities that **do not** support research should be excluded. Such activities may include:

- 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).

6.1.1 Key Characteristics of Research Publications

For the purposes of this collection, a “research publication” is characterised by:

- scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and a format which allows a reader to trace sources of the work through citations, footnotes etc.
- originality, that is, it is not a compilation of existing works
- veracity/validity through a peer validation processes or by satisfying the commercial publisher or gallery processes
- increasing the stock of knowledge, including the knowledge of man, culture and society, and
- being in a form that enables dissemination of knowledge.

6.2 Commercial Publisher

The concept of a Commercial Publisher is used as a surrogate quality test for books and book chapters in place of any formal peer review requirement.

A Commercial Publisher is an entity for which the core business is producing books and distributing them for sale. For the purposes of this collection university presses are regarded as commercial publishers.

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.

6.2.1 Commercial Publication

To be included in the HERDC Collection the item should be a ‘commercial publication’. This means:

- Being published by a Commercial Publishers; and
- Being available for sale, either in shops or the internet.

Not every item published by a ‘Commercial Publisher’ can be regarded as a ‘commercial publication’.

6.3 Author Affiliation

The normal consideration is the affiliation of the author at the time the research leading to publication was conducted. Institutional affiliation is demonstrated by the naming of UNSW in the author’s by-line. A footnote or statement in the publication indicating that the research leading to publication was undertaken in the author’s capacity as a staff member or student (either undergraduate or postgraduate) of UNSW is also sufficient proof of affiliation.

6.3.1 Affiliation to more than one institution:

Where the by-line shows that an author has affiliation to more than one institution, each Australian university named in the by-line can claim the publication at full value.

6.3.2 If UNSW is not named

If UNSW is not named in the item’s by-line then a statement must be provided by the Head of School attesting that the author undertook the a significant portion of the research leading to publication in their capacity as a staff member or student (either undergraduate or post graduate) of UNSW.

6.4 Proof of Refereeing

For the purposes of this collection, an acceptable peer review process is one that involves an independent, expert review. The peer review process must involve assessment of the publication:

- In its entirety – not merely an abstract or extract
- Before publication and
- By appropriately independent, qualified experts. Independent in this context means independent of the author.

6.4.1 For Journal Articles (C1),

Any of the following are acceptable as evidence:

- The journal is listed in one of the Institute for Scientific Information indexes (www.isinet.com/journals)
- The journal is classified as “refereed” in Ulrich’s International Periodicals Directory (Volume 5 - Refereed Serials) or via Ulrich’s web site www.ulrichsweb.com
- The journal is included in HERDC’s Register of Refereed Journals (see HERDC web site at <http://www.HERDC.gov.au/highered/research/herdc.htm>)
- 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 or
- A copy of a reviewer’s assessment relating to the article.

6.4.2 For Conference Publications (E1),

Any of the following are acceptable as evidence:

- There is a statement in the publication which shows that the full papers are peer reviewed or
- There is a statement or acknowledgement from the Publication Editor which shows that full papers are peer reviewed or
- A copy of a reviewer’s assessment relating to the paper.

Please Note: A statement from an author that a publication was peer reviewed will not be accepted by HERDC. The existence of a national or international Advisory Board is not sufficient evidence that all relevant publications are assessed by members of it.

6.5 Year of Publication

The research must have been published in the year claimed and **the date of publication must appear within or on the work being claimed**. Letters from authors, editors, creators etc stating that a work was published in the year claimed, even though no such date exists within the publication, are not acceptable evidence to HERDC of year of publication.

6.5.1 CD-ROMs and Web Publications:

An exception to this may apply for Journal Articles or Conference Publications that are produced on CD Rom or are web-based and no date exists within or on the publication. In these instances a letter from the editor of the journal or the conference organiser may be accepted to indicate the year published. Note that this applies only to works where no date exists within the work being claimed. A letter from an editor or conference organiser cannot override a date that is displayed within the work.

6.5.2 “Date last updated”:

A further exception may apply for the copyright date or “date last updated” that appears on a web page. These dates may refer to copyright or updated date of the web page, not the publication. A web page date should not be used as the date of publication.

6.5.3 Conference Dates:

The date a conference was held may be acceptable as the year of publication if no other date exists on the work.

6.5.4 Where several dates are published:

Where the publication has several different clearly displayed then the '**year of publication**' would normally be the **latest** of the 'nominal year', the 'publication year', the 'year printed' or the 'copyright'. Copies of the pages showing the available publication details must be included in verification materials.

6.5.5 Inclusion in the database:

A work that is clearly published in 2002 cannot be counted in the 2003 HERDC Collection, even if it is not received by the author or by libraries until 2003. In this case the item should be treated the same as all other HERDC items, entered and verified. The item will not go to HERDC, but it will go into the database as an A1, etc it will count in statistics produced for 2002 and it will receive its share of funding in UNSW when funding is allocated on the basis of 2002 data.

6.6 *Multiple Claims for the Same Research*

Each item of research may only be claimed ONCE only. HERDC will not accept previous publication in another Collection Year, or publication in more than one category. For instance a work included in the Return for one year as an E1 (Conference Paper), cannot be included the following year as a B1 (Book Chapter).

The definition of research requires the item to be original research published for the first time.

6.7 *Foreign Language Publications*

Foreign language publications are eligible and the same verification evidence is required, in English, as for any other works. Translations should be provided for each claim. It is not necessary to translate the entire publication, just the relevant sections that would demonstrate that it meets the criteria of the category against which it is being claimed. This includes evidence that the work meets the definition of research.

A person who is *not* an author of the item must provide the translation, which should be signed and dated.

6.8 *Electronic Works*

Electronic works are eligible to be counted, provided they meet all of the criteria of the publications category for which they are being claimed. HERDC requires the same level of proof as for items published in hard copy.

If the item is available on a web site then:

- It must be available all searchers; not just society members
- It must be available for several years, and not just for a month or two after the Conference.

7 Appendices

7.1 UNSW 'Publication' Categories

Group	Code	Category
Books	A1	Book - Scholarly Research
Books	A2	Book - Other Research
Books	A3	Book - Edited
Books	A4	Book - Revised
Books	A5	Book - Textbook
Chapters	B1	Chapter - Scholarly Research
Chapters	B2	Chapter - Other Research
Chapters	B3	Encyclopaedia Entry
Chapters	B5	Chapter - Textbook
Journal Articles	C1	Journal Article - Refereed
Journal Articles	C2	Journal Article - Other Refereed
Journal Articles	C3	Journal Article - Non Refereed
Journal Articles	C4	Journal Article - Letter or Note
Conference Papers	E1	Conference - Full Paper Refereed
Conference Papers	E2	Conference - Full Paper, not Refereed
Conference Papers	E3	Conference - Abstract
Conference Papers	E4	Conference - Proceedings Editor
Conference Papers	E5	Conference - Presentation, not published
Conference Papers	E6	Conference - Poster, not HERDC
Patents	I1	Patents
Original Creative Works	K1	Creative - Visual Art
Original Creative Works	K2	Creative - Design/Architectural
Original Creative Works	K3	Creative - Textual
Original Creative Works	K4	Creative - Music Score
Original Creative Works	K9	Creative - Other
Curated Exhibitions	L1	Curated - Web Exhibition
Curated Exhibitions	L2	Curated - Exhibition
Curated Exhibitions	L3	Curated - Festival
Curated Exhibitions	L9	Curated - Other
Recording or Rendered Works	M1	Recording - Film, Video
Recording or Rendered Works	M2	Recording - Performance
Recording or Rendered Works	M3	Recording - Inter-Arts
Recording or Rendered Works	M4	Recording - Digital Works
Recording or Rendered Works	M5	Recording - Web Exhibition
Recording or Rendered Works	M6	Recording - Computer Software
Recording or Rendered Works	M7	Recording - Music
Recording or Rendered Works	M9	Recording - Other
Live Performances	N1	Performance - Music
Live Performances	N2	Performance - Play
Live Performances	N3	Performance - Dance
Live Performances	N9	Performance - Other
Reports	R1	Government Report
Reports	R2	Technical Report/Unpublished Report
Reports	R3	Working Paper
Theses	T1	Thesis