

UNSW Research Publications

Publication Categories

<https://respubs.online.unsw.edu.au>

Publication Categories

The Publication Category will present the right form to complete for a publication or other research material being added to Research Publications.

The Categories A1, B1, C1 and E1 are the only ones considered for inclusion in [HERDC](#) (the Higher Education Research Data Collection). The description of these four categories is taken from the current HERDC Specifications produced by the Department of Innovation, Industry, Science and Research (DIISR). The draft HERDC Specifications for 2010 publications are at: <http://www.innovation.gov.au/Section/Research/Documents/Draft2011HERDCSpecifications-stakeholderconsultation.pdf>.

The other categories, such as A2 and K1, are used by UNSW for internal reporting purposes.

If you cannot find an appropriate category, email research-publications@unsw.edu.au for help.

Some material is not eligible for Research Publications, for example:

- material intended for teaching and learning (e.g. course notes, reading material.)
- administrative documents and records, including those associated with research projects.

Note that a [Statement of Authorship and Location of Data form](#) should have been completed for every publication before it is published.

A - Books

A1: Book - Scholarly Research

Books in this category MUST:

- comply with the HERDC definition of research: “the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.”
- be characterised by:
 - substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and provided in a format which allows a reader to trace sources of the work, including through citations and footnotes
 - originality, i.e. not a compilation of existing works. See note below for scholarly editions and translations
 - 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
- be a major work of scholarship
- be offered for sale
 - for hard copies, bound
 - for CD-ROMs, packaged
 - for e-books, on subscription or fee basis
- have an International Standard Book Number (ISBN)
- be written entirely by a single author, or by joint authors who share responsibility for the whole book
- have been either:
 - published by a commercial publisher; or
 - if a book has only been made available online it must have been through a peer review process

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.

Notes:

Scholarly editions and scholarly translations must have a major demonstrable original research component in the edition or translation to be considered for inclusion in the A1 category.

Many of the books published by professional bodies do not report original research findings but report the results of evaluations, or compile existing information for the benefit of professionals or practitioners. It is

important that these books are assessed carefully against the definition of research before deciding to use category A1.

A2: Book - Other Research

Include:

- Research monographs published by university departments. University department working papers, technical reports and discussion papers
- Books, which contain professional information, intended to update practitioners
- Books published by private individuals and privately funded companies
- Translations of published books
- Annotated anthologies

Exclude:

- Creative works such as novels. Use K3 instead.
- Textbooks that are primarily aimed at secondary, primary or pre-school students. Use A5
- Government, technical and working party reports. Use R1, R2 or R3

A3: Book – Edited

Use where a staff member was an editor of the book.

Separate records should be added to Research Publications for any chapters that the editor wrote.

A5: Book – Textbook

Use for textbooks that consist mainly of new combinations of existing knowledge or updating of a body of established knowledge to make it more readily accessible or that are aimed primarily at a non-research audience such as school students.

B - Book Chapters

B1: Chapter – Scholarly Research

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

Book chapters in this category MUST

- comply with the HERDC definition of research: “the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.”
- be characterised by:
 - substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and provided in a format which allows a reader to trace sources of the work, including through citations and footnotes
 - originality, i.e. not a compilation of existing works. See note below for scholarly editions and translations
 - 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
- be offered for sale
 - for hard copies, bound
 - for CD-ROMs, packaged
 - for e-books, on subscription or fee basis
- have an ISBN
- must have either been: published by a commercial publisher; or
- if a book chapter has only been made available online it must have been through a peer review process

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

- translations.

B2: Chapter – Other Research

Use for:

- Chapters that do not qualify for the HERDC category B1; or
- Chapters in books published by non-commercial publishers.

B3: Chapter – Encyclopaedia Entries

Use for entries in an encyclopaedia, dictionary or reference book that:

- Includes Scholarly research; and
- Is not included in any category above. Chapter length entries may be considered as a B1.

B5: Chapter – Textbook

Use for chapters in textbooks where the textbook consists mainly of new combinations of existing knowledge or updating of a body of established knowledge to make it more readily accessible or is aimed primarily at a non-research audience such as school students.

C - Journal Articles

C1: Journal— Refereed & Scholarly Journal

Journal articles in this category MUST

- comply with the HERDC definition of research: “the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.”
- be characterised by:
 - substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and provided in a format which allows a reader to trace sources of the work, including through citations and footnotes
 - originality, i.e. not a compilation of existing works. See note below for scholarly editions and translations
 - 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
- be published in a scholarly journal
- have been 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. Peer review involves an assessment or review of the journal article before publication by qualified experts who are independent of the author. For journal articles, the following are acceptable as evidence of peer review:
 - the journal is listed on the ARC's ERA 2010 journal list
 - the journal is listed in one of the institute for scientific Information indexes
 - the journal is classified as 'refereed' in the Ulrich's Knowledgebase
 - there is a statement in the journal which shows that contributions are peer reviewed
 - there is a statement or acknowledgement from the journal editor which shows that contributions are peer reviewed
 - a copy of a reviewer's assessment relating to the article.
- have an International Standard Serial Number (ISSN)
 - Some journals may be regularly published as separate volumes with an ISBN rather than an ISSN. Provided that the publication is clearly identified as an edition of a journal, and not a book, articles in such publications may be eligible if they meet all other criteria
 - If an ISSN does not appear in the journal:
 - external evidence such as an ISSN number being cited in an extract from an authoritative journal listing, such as the Thomson-Reuters Master Journals List or from the Scopus database; or
 - evidence that the journal is classified as 'refereed' in the Ulrich's Knowledgebase;

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

- commentaries and communications of original research
- research notes
- letters to journals, provided that the letter satisfies the definition of research and the subsequent definitions for journal articles
- 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.

C2: Journal– Other Refereed Article

Use this category for articles that are refereed but do not meet the definition of scholarly research, i.e. the article does not meet: “the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.”

Include:

- Letters to the editor which report research findings e.g. in IOP journals
- Brief communications e.g. research notes

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)

C3: Journal - Non-Refereed Article

Use this category for non-refereed journal articles 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)

C4: Journal - Letter or Note

Use this category for brief non-refereed communications 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; unless they are 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).

E - Conference Papers

E1: Conference - Full Paper Refereed

To be included in this category the conference publication MUST:

- comply with the HERDC definition of research: “the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.”
- be characterised by:
 - substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and provided in a format which allows a reader to trace sources of the work, including through citations and footnotes
 - originality, i.e. not a compilation of existing works. See note below for scholarly editions and translations
 - 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
- 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. Peer review involves an assessment or review of the conference paper before publication by qualified experts who are independent of the author. Listing on the ARC’s ERA 2010 conference list is acceptable as evidence for peer review for conference publications.
- be presented at conferences, workshops or seminars of national or international significance

Keynote addresses and invited papers may be included where all other papers for the conference are peer reviewed.

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.

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

Conference papers that meet the criteria for category B1 or C1 or 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.

E2: Conference - Full Paper, Not Refereed

Use for published conference presentations 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.

E3: Conference – Abstract Only

Use for published extracts and synopses of conference papers that are subsequently published.

E4: Conference Proceedings Editor

Use for 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).

E5: Conference – Presentation not Published

Use for presentations at Conferences or Seminars where the paper was not subsequently published.

E6: Conference – Poster, not HERDC

Use for Poster Presentations that:

- are subsequently published; and
- are not eligible for inclusion as an E1.

I - Patents

I1: Patents

Use for all patents

K - Original Creative Works

K1: Creative Work -: Visual art

Use for fine arts and crafts work, diagram, map, photographic image, sculpture or installation.

K2: Creative Work - Design/Architectural

Use for realised, constructed, fabricated or unrealised building and design projects. 'Unrealised' projects must have an work that provides evidence of the research involved.

K3: Creative work - Textual

Use for written creative works that are not eligible to be submitted as a book or journal article, such as a novel or art review, including exhibition catalogues and catalogue entries.

K4: Creative Work – Music Score

Use for music scores.

K9: Creative Work – Other

Other original creative works that do not fit the other research output types.

L - Curated Exhibition

L1: Curated Exhibition - Web Exhibition

Use for the curation and/or production of an internet website presenting a collection of creative works where the internet is the medium of the exhibited works.

L2: Curated Exhibition – Exhibition

Use for the curation and/or production of a collection of creative works exhibited together for the first time, in that particular arrangement, in a recognised gallery, museum, or event. This should be accompanied by a well researched publication that includes the date and location of the exhibition.

L3: Curated Exhibition – Festival

Use for the curation of a festival bringing together innovative work or existing works in an innovative format or through a theme that provides new perspectives and/or experiences.

L4: Curated Exhibition – Other

Use for curated or substantial public exhibitions and events that do not fit into the above sub-categories of the Curated or Produced Substantial Public Exhibitions and Events research output type.

M - Recording or Rendered Work

M1: Recording - Film/Video

Use for films and videos

M2: Recording – Performance

Use for performances in music, dance, theatre, etc. that have been created specifically for a recorded medium.

M3: Recording - Inter-arts

Use for recorded or rendered creative works produced in association with other researchers in other disciplinary fields. Works in this category are often experimental.

M4: Recording - Digital creative work

Use for creative 3D models, including digital outputs of architectural and design projects, computer programs, games and visual artworks.

M5: Recording - Web exhibition

Use for web exhibitions where the eligible researcher is the creator of the creative works featured in the website. Curated web-based exhibitions of the creative work of others should be submitted as L: Curated Exhibition or Produced Substantial Public Exhibitions and Events.

M6: Recording – Computer Software

Other recorded/rendered creative works not listed above.

M9: Recording – Other

Use for other recorded or rendered creative works not listed above.

N - Live Performances

N1: Music

Use for new work or a demonstrably new or innovative interpretation or production of an existing work.

N2: Play

Use for new work or a demonstrably new or innovative interpretation or production of an existing work.

N3: Dance

Use for new work or a demonstrably new or innovative interpretation or production of an existing work.

N4: Other

Use for other new work or demonstrably new or innovative interpretations or productions of an existing work.

R - Reports

R1: Government report

Use for a report done for a Government Department or Parliamentary Enquiry that does not meet the criteria for A1 or A2 publications

R2: Technical report

Use for a Scholarly report that does not meet the criteria for A1 or A2 publications

R3: Working Paper

Use for an interim report produced prior to the completion of the research.

T - Theses

T1: Use for all PhD and Masters by Research theses.