2005

HIGHER EDUCATION RESEARCH DATA COLLECTION

SPECIFICATIONS FOR THE COLLECTION OF 2004 DATA

INNOVATION AND RESEARCH SYSTEMS GROUP
DEPARTMENT OF EDUCATION, SCIENCE AND TRAINING

February 2005
Introduction ................................................................................................................................. 5
1.1. Purpose ................................................................................................................................. 5
  Research Income Return—Return 1 ................................................................. 5
  Research Publications Return—Return 2 ...................................................... 5
1.2. Freedom of Information Act 1982 .................................................................................. 5
1.3. Significant Changes from Previous Year’s Specifications .............................................. 6
1.4. Research Income.................................................................................................................. 6
1.5. Research Publications ......................................................................................................... 6
1.6. Registers .............................................................................................................................. 6
2. Definitions ............................................................................................................................... 7
  2.1. Reference Year .................................................................................................................. 7
  2.2. Vice-Chancellor’s Certification Statement and Audit Certificate ............................... 7
  2.3. Audit Certificate ................................................................................................................. 7
  2.4. Research ............................................................................................................................ 7
  2.5. Subsidiaries ....................................................................................................................... 8
3. Use of Research Income and Publications Returns ....................................................... 8
4. Materials Required in the Returns and the Due Dates ..................................................... 9
5. Verification ............................................................................................................................. 9
  5.1. Certification of Correctness of Research Income and Publications ......................... 9
  5.2. Audit of Research Income ............................................................................................... 9
  5.3. Audit of Publications ....................................................................................................... 10
  5.4. Verification of Data .......................................................................................................... 10
6. Contact Details ..................................................................................................................... 10
  6.1. Verification of Data .......................................................................................................... 10
7. Differences from the 2004 Collection (of 2003 data) ....................................................... 11
PART A ........................................................................................................................................ 12
8. Research Income Return—Return 1 ................................................................. 12

8.1. General Requirements ................................................................................. 12

8.2. Research income which can be included in the Research Income Return—Return 1: ........................................ 12

8.3. Research income which cannot be included in the Research Income Return—Return 2: ........................................ 12

8.4. Subsidiaries ..................................................................................................... 13

8.5. Special Cases ..................................................................................................... 13

8.5.1. Shared Grants ................................................................................................. 13

8.5.2. Transfers ......................................................................................................... 14

8.6. GST ....................................................................................................................... 14

8.7. Research Income Categories ............................................................................. 14

8.7.1. Australian Competitive Grants—Category 1 ..................................................... 14

8.7.2. Other Public Sector Research Income—Category 2 ........................................ 14

8.7.3. Industry and Other Research Income—Category 3 ........................................ 15

PART B ............................................................................................................... 17

9. Research Income Return—Return 1 Category 4—Cooperative Research Centres ........................................................................ 17

9.1. Previous Arrangements Applying to the Collection of CRC Research Income ................................................. 17

9.2. Preliminary Consultation with HEPs .................................................................. 18

9.3. CRC Certified Statements ................................................................................. 18

9.4. Breakdown by Source Category ....................................................................... 18

9.5. Requirements for HEPs ...................................................................................... 19

9.6. Follow-up to the Research Income Return—Return 1 ........................................ 20

10. Research Income Counted in the CRC Certified Statement .................. 20

10.1. Eligible and Ineligible Research Income ....................................................... 20

10.2. Special Cases ................................................................................................... 21

PART C ............................................................................................................... 22

11. Research Publications Return—Return 2 ........................................ 22

11.1. Key Characteristics of Research Publications ............................................ 22

11.2. General Requirements .................................................................................... 22

11.2.1. Apportioning Authors .................................................................................. 22

11.2.2. Verification Material ................................................................................... 22

11.2.3. Additional Verification Material for each Publication Category ................ 23
Introduction

1.1. Purpose
The purpose of the Higher Education Research Data Collection (HERDC) is to collect research income and research publications performance data. This data is collected in two returns:

Research Income Return—Return 1
This return records research income received by a Higher Education Provider (HEP) and its subsidiaries for the reference year. Data is grouped into categories as at 1.4.

Research Publications Return—Return 2
This return records the number of books, book chapters, articles in scholarly refereed journals and full written conference papers produced by each HEP. Data is grouped into categories as at 11.9.

The research income and publications returns are used in conjunction with data from the Higher Education Student Data Collection to determine HEPs’ grants for the following schemes:
- Research Training Scheme
- Institutional Grants Scheme
- Research Infrastructure Block Grants Scheme (category 1 research income only)
- Australian Postgraduate Awards Scheme
- International Postgraduate Research Scholarships Scheme.

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

Enquiries should be sent to RBGRANTS@dest.gov.au

1.2. Freedom of Information Act 1982
All documents sent to the Department of Education, Science and Training (the department) with regard to the Higher Education Research Data Collection are subject to the Freedom of Information Act (‘FOI Act’). Unless a document falls under an exemption provision, it may be made available to the applicant, if requested, under the FOI Act. All FOI requests are handled by the department and are to be referred to the:

Principal Government Lawyer
Litigation and External Review Section
Procurement Assurance and Legal Group
Department of Education, Science and Training
GPO Box 9880, CANBERRA, ACT 2601

Decisions regarding requests for access will be made by the department’s authorised FOI decision-maker in accordance with the requirements of the FOI Act.
1.3. Significant Changes from Previous Year’s Specifications
A significant change has been made to the format of the HERDC Specifications. The Specifications are divided into three parts:

- part A sets out the specifications for:
  - the Australian Competitive Grants Register research income,
  - other public sector research income,
  - industry and other research income,
- part B sets out the specifications for CRC research income.
- part C sets out the specifications for publications.

1.4. Research Income
Research income is defined at section 8.

Research income records each HEP’s ability to attract research income from a wide variety of sources. This includes:

Category 1. Australian Competitive Grants
Category 2. Other Public Sector Research Income
Category 3. Industry and Other Research Income
Category 4. Cooperative Research Centre (CRC) Research Income

Categories 1, 2 and 3 research income is collected for the 2004 calendar year. Research income for category 4 is collected for the 2003-04 financial year.

Further details relating to research income are available at:

<table>
<thead>
<tr>
<th>Title</th>
<th>Page</th>
<th>Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Income Return—Return 1</td>
<td>12</td>
<td>8</td>
</tr>
<tr>
<td>Instructions for Electronic Submission of HERDC Returns</td>
<td>33</td>
<td>Appendix A</td>
</tr>
<tr>
<td>Australian Competitive Grants Register</td>
<td>36</td>
<td>Appendix C</td>
</tr>
</tbody>
</table>

Separate specifications are provided for reporting of CRC research income. They are available at Part B on page 17.

1.5. Research Publications
Publications data is collected for books, book chapters, articles in scholarly refereed journals and full written conference papers produced by each HEP.

Further details relating to research publications are available at:

<table>
<thead>
<tr>
<th>Title</th>
<th>Page</th>
<th>Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Publications Return—Return 2</td>
<td>11</td>
<td>12</td>
</tr>
<tr>
<td>Instructions for Electronic Submission of HERDC Returns</td>
<td>31</td>
<td>Appendix A</td>
</tr>
<tr>
<td>Pro-formas for Collecting Data about Individual Publications</td>
<td>41</td>
<td>Appendix D</td>
</tr>
<tr>
<td>Sample Lists for Verification Material</td>
<td>46</td>
<td>Appendix E</td>
</tr>
<tr>
<td>Book Chapter Calculation Methodology</td>
<td>51</td>
<td>Appendix F</td>
</tr>
</tbody>
</table>

1.6. Registers
The department maintains three registers which are useful for determining whether research income and publications can be included in the HERDC. Two of the registers, the Register of Refereed Journals and the Register of Commercial Publishers, are guides as to which publications are eligible for inclusion in the HERDC. These two registers are not a complete list of all acceptable journals or commercial publishers;
Specifications for Collection of 2004 data

however they do contain many acceptable journals and publishers and this can serve as a guide as to what is acceptable. Applications for inclusion on these two registers are available through the department’s website at http://www.dest.gov.au/highered/research/herdc.htm

The third register, the Australian Competitive Grants Register (ACGR), determines whether research income is eligible for inclusion as category 1 in the Research Income Return—Return 1. The ACGR is at Attachment A. The Criteria for Inclusion in the ACGR is available through the department’s website at http://www.dest.gov.au/highered/research/herdc.htm

Grants made through the Research Infrastructure Block Grants (RIBG) scheme are based on each HEPs’ relative success in attracting grants listed on the ACGR.

2. Definitions

2.1. Reference Year
Research income data is to be provided for the 2004 calendar year with the exception of CRC research income, for which the reference year is the financial year, 2003–2004. Research income for 2003 or earlier years omitted from previous collections CANNOT be included.

2.2. Vice-Chancellor’s Certification Statement and Audit Certificate
The Vice-Chancellor must certify as correct the research income and publications returns (returns 1 and 2) provided to the department. The format for the Vice-Chancellors Certification Statements for the HERDC is at Appendix B.

Vice-Chancellors are required to certify that the research income and publications data has been compiled in accordance with these specifications.

Vice-Chancellors are required to separately certify research income received by CRCs.

2.3. Audit Certificate
The Audit Certificate must certify as correct the research income included in the research income return for the following categories:

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

The Audit Certificate should accompany the certification of the research income submission.

2.4. Research
The HERDC uses the OECD definition of research which 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.¹

- any activity classified as research 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

¹ OECD definition of research and development.
Specifications for Collection of 2004 data

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.

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

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

Activities that do not support research 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).

2.5. **Subsidiaries**

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

3. **Use of Research Income and Publications Returns**

The Research Income and Publications Returns will be provided to the Australian Vice-Chancellors’ Committee (AVCC) as soon as they have been compiled and verified by the department. The AVCC publishes the returns on its website.

The Australian Government may include the research income and publications data in its statistical publications.
4. Materials Required in the Returns and the Due Dates

<table>
<thead>
<tr>
<th>Material Required in the Return</th>
<th>Format of the Return</th>
<th>Due Date of Return</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Income Return-Return 1 (including CRC income)</td>
<td>Electronic Submission</td>
<td>30 June 2005</td>
</tr>
<tr>
<td>Audit Certificate</td>
<td>Hard Copy</td>
<td>30 June 2005</td>
</tr>
<tr>
<td>Vice Chancellor’s CRC Certification Statement</td>
<td>Hard Copy</td>
<td>30 June 2005</td>
</tr>
<tr>
<td>Research Publications Return-Return 2</td>
<td>Electronic Submission</td>
<td>12 July 2005</td>
</tr>
<tr>
<td>Vice-Chancellor’s Certification Statement</td>
<td>Hard Copy</td>
<td>12 July 2005</td>
</tr>
</tbody>
</table>

Electronic submissions should be sent to:  
RBGRANTS@dest.gov.au

Vice-Chancellor's Certification Statements and the Audit Certificate should be sent to:  
HERDC Officer  
Higher Education Research Data Collection (HERDC)  
Research Policy and Programmes (Loc 121)  
Innovation and Research Systems Group  
The Department of Education, Science and Training

Postal Address:  
GPO Box 9880  
CANBERRA ACT 2601

Street Address:  
Level 2  
14 Mort St  
CANBERRA ACT 2601

5. Verification

The department may require HEPs to provide evidence verifying their contributions to the HERDC. It is therefore imperative that HEPs maintain accurate records.

5.1. Certification of Correctness of Research Income and Publications

Vice-Chancellors must certify that their submissions to the HERDC comply with these specifications. The Vice-Chancellor’s Certificates are at Appendix B.

One of the Vice-Chancellor’s certificates is for research income categories 1-3 and publications. The second Vice-Chancellor’s certificate is for CRC income.

5.2. Audit of Research Income

HEPs must arrange for an audit of the category 1, 2 and 3 research income in their submissions and provide an Audit Certificate clearly indicating the dollar amounts being certified as correct.

The audit of research income data can be conducted as part of an annual audit.

The Audit Certificate does not need to cover CRC research income. CRC research income and certification is discussed in further detail at Part B on page 17.
5.3. Audit of Publications
The department may choose to audit research publications data. HEPs are therefore required to retain records for audit purposes in accordance with the procedures set out in section 11. HEPs should retain verification material for three years.

Copies of the pages showing the available publication details must be included in verification materials.

Author affiliation must be included in the verification materials and is discussed at 11.4.

5.4. Verification of Data
HEPs will be given the opportunity to verify data provided to the department.

6. Contact Details
Queries concerning HERDC and interpretation of these specifications should be directed to:

RBGRANTS@dest.gov.au

Please include your name, HEP and contact details.

The department maintains a website which contains all documentation relating to:

- The HERDC (including Specifications)
- Research Income Return—Return 1
- Publications Return—Return 2
- the Australian Competitive Grants Register
- the Register of Refereed Journals
- the Register of Commercial Publishers

and other information. The website is at:

http://www.dest.gov.au/highered/research/herdc.htm#herdc

6.1. Verification of Data
HEPs will be given the opportunity to verify data provided to the department.
7. Differences from the 2004 Collection (of 2003 data)

General changes have been made to the layout of the 2005 HERDC Specifications for the collection of 2004 data.

Sections 2.5 and 8.4
- ‘Controlled entities’ has been replaced with ‘subsidiaries’.

Section 8.2, two new inclusions have been made:
- income derived from royalties which are provided specifically for research
- research income provided by overseas HEPs for research purposes

Appendix C

Schemes removed from the ACGR
- Australian National Training Authority – VET Research Centres
- Commonwealth AIDS Research Grants
  - Project Grants
  - Fellowships
- National Health and Medical Research Council
  - Health and Economics Research
  - Youth Suicide Prevention
  - National Illicit Drugs Strategy – Aboriginal and Torres Strait Islander People and Communities
  - Otitis Media in Aboriginal and Torres Strait Islander Peoples
  - Urgent Research

Scheme name changes
- Collaborating Centres in HIV Research; and
  Collaborating Centres to the National Centres in HIV Research have combined to become:
  - National Research Centres in HIV, Hepatitis and Sexually Transmissible Infections.
- Pharmacia Foundation Australia Senior Research Fellowships – is now called
  - Pfizer Australia Senior Research Fellowships
PART A

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

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

8. Research Income Return—Return 1

8.1. General Requirements

All research income must:
- be received by a HEP and its subsidiaries for the 2004 calendar year
- be classified into categories (see 8.7) according to the organisation providing the funds
- comply with the definition of research (see 2.4)
- be consistent with the HEP’s financial statements unless exempt as income received from a CRC.

8.2. Research income which can be included in the Research Income Return—Return 1:
- income received in 2003 in respect of the year 2004 that will be reported as 2004 income in the audited financial statements (for example, payment 1 for 2004 ARC Grants which is made in December 2003)
- stipends and scholarships for higher degree research students, unless explicitly excluded below
- interest income on donations, bequests and foundations which have been provided specifically for research
- travel grants where funds are provided specifically for the purpose of travel and used to enable access to a programme of research
- funds provided for the purpose of clinical trials provided the purpose of the trial meets the definition of research
- research infrastructure grants unless explicitly excluded below
- income from overseas HEPs provided specifically for research purposes
- a HEP must reduce the research income reported for a particular research income category where research income received in 2004 or earlier years has been refunded in 2004.

8.3. Research income which cannot be included in the Research Income Return—Return 1:
- income received in 2004 in respect of the year 2005 that will be reported as 2005 income in the audited financial statements (for example, payment 1 for 2005 ARC Grants which is made in December 2004)
- any research income received by the HEP from its subsidiaries (see 8.4)
- any research income received by the HEP from any other Australian HEP or its subsidiaries (including organisations owned, controlled or funded by a HEP or HEPs) except in respect of shared grants or transfers as described in section 8.5
- in-kind contributions
- capital grants
Specifications for Collection of 2004 data

- MNRF, SII and ARC LIEF grants (exclusion of these grants was determined after consultation with the sector)
- funds managed on behalf of third parties
- previous omissions
- income provided for general or other purposes, even if that income is spent on research purposes
- funds provided specifically for the purpose of hosting, organising or attending a conference or workshop
- funds provided specifically for the purpose of producing research publications (that is, for publishing research rather than conducting it)
- consultancy fees for projects that do not meet the definition of ‘research’ (as defined as at 2.4)
- funds provided specifically for travel to conferences/workshops and/or meetings with colleagues/associates
- interest income accruing to research grants and contract research grants
- research income received by independent operations which do not meet the definition of a subsidiary
- income from the High Performance Computing and Communications Programme, to or through the Australian Partnership for Advanced Computing
- grants from the following programmes:
  - Research Training Scheme (RTS)
  - Institutional Grants Scheme (IGS)
  - Research Infrastructure Block Grants (RIBG)
  - Australian Postgraduate Awards (APA)
  - International Postgraduate Research Scheme Awards (IPRS)
  - Regional Protection Fund (RPF)

8.4. Subsidiaries
Income received by an independent operation not meeting the definition of a subsidiary (defined at 2.5) cannot be counted in this collection.

Other income from subsidiaries which cannot be counted includes:
- any research income received by the subsidiary from the ‘parent entity’
- any research income received by the subsidiary from any other Australian HEP or its subsidiaries except in respect to shared grants (8.5.1) or transfers (8.5.2)
- any income specified as excluded as at 8.3.

8.5. Special Cases

8.5.1. Shared Grants
A shared grant is defined as one for which a component of the research income from an agency for a particular programme, project or grant is passed from one HEP to one or more other HEPs and either:
- more than one HEP is, or the staff of more than one HEP are, named in the contract/agreement for the transfer of research income from the funding agency; or
- more than one HEP is, or the staff of more than one HEP are, named in the tender/application for funding.
Specifications for Collection of 2004 data

Shared grants should be apportioned between recipient HEPs so that the nett amount retained by each HEP is reported. If, for example, HEP A receives a grant of $50,000 of which $20,000 is transferred to HEP B, HEP A should report $30,000 and HEP B $20,000. It should be possible for the nett amount retained by each HEP to be identified in its audited statement so that double counting does not occur.

Universities should claim a portion of a shared grant this way whether the other HEP involved in a shared grant is a HEP or is another type of research establishment.

The income should be assigned to the category from which the research income originated. (For example, if a state primary industries department passes $20,000 of a shared grant from the Rural Industries R&D Corporation to a HEP, the receiving HEP should count the $20,000 as income from the Rural Industries R & D Corporation in Australian Competitive Grants, rather than as Other Public Sector Research Income.)

8.5.2 Transfers
Where staff in receipt of a grant transfer to another HEP and carry the grant with them, this must be reflected in financial adjustments to the HEP’s income. Any adjustments are to be reflected in the audited statements of the HEP. It is not necessary to identify these amounts separately.

8.6 GST
Where a HEP provides research services and charges an additional 10% to cover the GST, it should report only what it receives exclusive of the GST.

8.7 Research Income Categories
All Research Income is entered into Research Income Return—Return 1.

8.7.1 Australian Competitive Grants-Category 1
Listing in this category does not mean that any research income provided by that body may be counted.

Subject to meeting the definition of research (see 2.4) and the specifications set out in sections 8, category 1 includes:

- only Australian Government competitive research income and other non-Australian Government competitive research schemes listed in the Research Income Return—Return 1. Other grants received from the Australian Government and not listed here are to be included in Other Public Sector Research Income.

If a specific scheme or schemes of a funding body are listed in the Australian Competitive Grants Register, grant or stipend income received through other schemes of (or arrangements with) that funding body cannot be counted in this category.

The Australian Competitive Grants Register is at Appendix C.

8.7.2 Other Public Sector Research Income-Category 2
Category 2 comprises the following subcategories:

- local government (competitive and non-competitive)
- state government (competitive and non-competitive)
- Australian Government (other than Category 1 research income)
Specifications for Collection of 2004 data

Subject to meeting the definition of research (see 2.4) and the specifications set out in section 8, category 2 includes:

- any other research income received from the Australian Government not eligible for inclusion as Category 1 research income.
- research income from Australian Government business enterprises
- research income (including contract research) from both state and local governments
- research income from state government business enterprises
- research income from partly government owned or funded bodies (eg Telstra, or Cooperative Research Centres in which the reporting HEP is not a partner).

8.7.3. Industry and Other Research Income-Category 3

Category 3 comprises the following subcategories:

- Australian
  - Contracts
  - Grants
  - Donations, Bequests and Foundations
- International Funding

Subject to meeting the definition of research (see 2.4) and the specifications set out in section 8, category 3 includes:

Australian:

- contract research income provided by industry or other non-government agencies (including industry contributions to grants under the ARC’s National Competitive Grants Programme)
- grants for research other than government provided grants
- donations and bequests for research from Australian business, Australian non-profit organisations, and Australian individuals
- income received from syndicated research and development arrangements.

As many research income arrangements involve grants covered by a contract, in categorising funds as either Australian contract research or as Australian grants, HEPs should regard:

- contract research as research where the project was developed primarily by the funding agency, or jointly by the funding agency and the investigator(s)
- grants for research where the project was developed primarily by the investigator(s).

International:

- contract research provided by non-Australian industry or non-Australian Government agencies including non-Australian industry collaborative research grants
- grants for research from non-Australian industry or non-Australian Government agencies including non-Australian industry collaborative research grants
- donations and bequests for research from non-Australian business, non-Australian non-profit organisations, and non-Australian individuals.

Exclude any portion of a donation or bequest where it is not provided specifically for research purposes. Where any portion of the donation or bequest is specified for expenditure over more than one year, only the amount available for expenditure during the reference year is to be included. Where such an amount is included in one year, it is
Specifications for Collection of 2004 data

not to be included in any future year even if the funds were not actually expended in the original year.

Where all, or a proportion, of a donation or bequest is invested then include only the income earned from the investment and available for expenditure on research in that particular year.

Research income from partly government owned or funded bodies (eg Telstra, or Cooperative Research Centres in which the reporting HEP is not a partner) should be included as Other Public Sector Research Funding.
PART B

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

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

9. Research Income Return—Return 1

Category 4—Cooperative Research Centres

Category 4 comprises the following subcategories:

- Research income derived from Australian Government grants to CRCs
- Research income derived from non-HEP participant in CRCs
- Research income derived from third parties contributing to CRCs

By the end of March in the reference year, each CRC advises its participant HEPs, via the CRC Certified Statement, of the research income it has provided to those HEPs in the previous financial year. HEPs have the opportunity to check this data and advise the CRC of any changes they believe necessary, and negotiate amendments. The CRCs will also provide the department with a copy of the final statement.

HEPs should consolidate the research income from all CRCs in which they are participants and enter this into Research Income Return—Return 1, split according to the appropriate subcategories. This data does not need to be split between HEPs and their subsidiaries.

If there is a discrepancy between the research income reported by a HEP in Return 1 and a CRC, the department will use the lower of the figures in its calculations.

HEPs are required to send a copy of the CRC Certified Statements to the department which will check these against the data provided by CRCs.

The Specifications for CRCs to assist in completing the Certified Statement are available at Part B of these Specifications.

Where a CRC is no longer operational and it is impossible to obtain a certified statement, the HEP may provide a Vice-Chancellor’s Certified Statement, as per Appendix D, to account for these funds. These amounts may be taken directly from the HEP’s audited accounts. Note that this is only for CRCs that are no longer operational.

Research income from CRCs in which the reporting HEP is not a participant should be included as category 3, Other Public Sector Income, rather than CRC income.

9.1. Previous Arrangements Applying to the Collection of CRC Research Income

Under the arrangements applying to the HERDC until 2000, CRC research income was provided to the department by the former Department of Industry, Science and Resources (DISR) rather than collected through the HERDC.
In 2001, in conjunction with the CRCs via the CRC Association, the department introduced a new mechanism for counting CRC income in the HERDC. Through the new mechanism, not only would government cash funds be counted, but also cash funds flowing to a HEP via its CRC (where the HEP was a core participant of that CRC). The new mechanism was applied for the first time in 2002.

The mechanism involves some double handling, since both HEPs and CRCs have a role in the collection of data, where the CRC prepares the data and then discusses it with the HEPs. It is possible for HEPs simply to record the data prepared by the CRCs, or to check the amounts recorded by the CRCs, depending on their preference.

Details of the mechanism are set out in section 9.

9.2. Preliminary Consultation with HEPs

By 29 March 2005, CRCs will provide preliminary advice to each of their participating HEPs of the eligible cash research funds (as defined in Section 2) they have recorded as being paid to those HEPs during the financial year July 2003 to June 2004.

Following receipt of the preliminary advice, HEPs are to advise CRCs of any corrections. The CRC and the HEP should then negotiate amendments if necessary.

9.3. CRC Certified Statements

By 14 June 2005, each CRC is to provide the department with a statement certified by the CEO of the CRC (‘the CRC Certified Statement’), of the research income it has provided to each of its participant HEPs during the July 2003 to June 2004 financial year. This may be in the form of a separate statement for each HEP or, if the CRC prefers, in a consolidated statement for all participating HEPs.

The format for the CRC Certified Statement is attached at Appendix G.

A copy of the CRC Certified Statement must also be sent to each of the HEPs named in statements.

The CRC Certified Statement must attest that all research income being counted has been provided by the CRC to the HEP for research purposes, in terms of the department’s definition, and meet other conditions set by the department (see section 12).

NOTE: CRCs are NOT required to check whether the research income has been expended by the HEPs for the purposes provided.

9.4. Breakdown by Source Category

If a CRC’s accounting systems do not readily enable it to distinguish between the funds provided to HEPs which are sourced from government grants, and funds provided to HEPs which are sourced from non-HEP participants, the CRC may split the funds between these two components in the same proportion as the cash funding it receives from these sources. If the receipt of funds from third parties can also not be tracked separately, the principle described above for two components can be applied to all three components.
Specifications for Collection of 2004 data

Income sourced from Australian HEPs or subsidiaries of Australian HEPs is not eligible to be counted (consistent with section 8 of the HERDC Specifications).

Thus, for example, if:

- in the 2003-04 financial year a CRC receives into a single account cash funding from:
  - Australian HEP sources: $5 million (25%)
  - government grant: $3 million (15%)
  - non-HEP participants: $7 million (35%)
  - third parties: $5 million (25%)

- if the CRC allocates $800,000 of the funds – which it is not readily able to attribute to particular sources – to HEP X for research purposes, in its Certified Statement for HEP X, the CRC may attribute:
  - $120,000 (15% of the $800,000) to the ‘Allocation of funds from Commonwealth Grant’ component;
  - $280,000 (35% of the $800,000) to the ‘Allocation of funds from non-HEP participants’ component; and
  - $200,000 (25% of the $800,000) to the ‘Allocation of funds from third parties’ component.

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

9.5. Requirements for HEPs

By 30 June 2005, HEPs are required to submit Research Income Return—Return 1, to the department in accordance with these specifications. Return 1 includes category 4, ‘Cooperative Research Centre Research Income’, where HEPs report on a financial year basis, income received from CRCs for which they are a core participant.

There are to be four components in category 4, consistent with the components of the CRCs’ Certified Statements:

- Cash research income received from CRCs in which the HEP is a participant, sourced from government grants
- Cash research income received from CRCs in which the HEP is a participant, sourced from non-HEP participants
- Cash research income received from CRCs in which the HEP is a participant, sourced from third parties (i.e. bodies which are not participants in those CRCs)
- Total research income from the three components above.

When submitting Research Income Return—Return 1 to the department, HEPs are to attach copies of the CRC Certified Statements for CRCs in which they are participants. The CRC Certified Statement is at Appendix G.
9.6. **Follow-up to the Research Income Return—Return 1**
The department will conduct cross-checks to ascertain that:

- all CRC Certified Statements submitted to the department have been taken into account in HEPs’ reporting; and

- the consolidated figures in category 4 agree with the total figures for each HEP derived from all its Certified Statements. *The department expects that the figures reported in category 4 will be consistent with the sum of the figures in the Certified Statements from all CRCs in which the HEP is a participant.*

In the unlikely event that there are discrepancies between the figures supplied by HEPs and CRCs, the department will use the lower of the figures in its funding calculations.

## 10. Research Income Counted in the CRC Certified Statement

For research income to be counted in the CRC Certified Statement it must meet the definition of research as at 2.4.

### 10.1. Eligible and Ineligible Research Income

To be counted in the CRC Certified Statements, research income must be provided to a HEP account, *for the HEP to spend.*

Types of income eligible to be counted include:

- Funds for non-capital aspects of facilities such as laboratories, libraries, computing centres, animal houses, herbaria, and experimental farms
- Funds for equipment purchase, installation, maintenance, hire and lease
- Funds for salaries of research staff and research support staff
- Funds providing a stipend to a student and/or the cost of a student’s higher degree by research fee-paying place may be counted unless funded through Australian Postgraduate Awards or International Postgraduate Research Scholarships
- Payments for contracted projects which meet the definition of ‘research’
- Funds provided specifically for the purpose of travel to enable access to a programme of research may be counted in the collection. It is expected that the researcher(s) using the funds would be active participants in the research programme, rather than observers or visitors.

Funds that may not be eligible to be counted include:

- Funds provided to the personal accounts of HEP staff, or funds used by the CRC to purchase goods or services for use by the HEP
- Funds provided specifically for travel to conferences/workshops and/or meetings with colleagues/associates
- In-kind contributions
- Cash contributions made to a HEP on condition that the HEP use them to purchase goods or services from a CRC or other funding provider. Such arrangements are regarded as in-kind contributions
- Capital grants (i.e. grants for construction of buildings), even if for research purposes
- Funds provided to HEPs for them to manage on behalf of other parties, which are not to be used for research purposes by the HEP
Specifications for Collection of 2004 data

- Previous omissions
- Payments to HEPs which are not earmarked for research, even if they may be spent on research at the HEPs' discretion
- Funds provided specifically for the purpose of hosting, organising or attending a conference or workshop
- Funds provided specifically for the purpose of producing research publications (that is, for publishing research rather than conducting it)
- Funds provided to a HEP which is not a participant in the CRC. Thus Certified Statements should be issued only for the HEPs which are participants in the CRC. A recipient HEP which is not a participant in the CRC may count such funds under category 2 (Other Public Sector Income) rather than category 4
- GST amounts.

10.2. Special Cases

Refunds
Where, in the reference year covered by the report, a HEP refunds any monies received, either in the current year or an earlier year, income reported in the reference year must be reduced by the amount of the refund.
PART C

Part C provides the information necessary to determine what can and cannot be included in HEP’s publications counts.

11. Research Publications Return—Return 2


For the purposes of this collection, a ‘research publication’ is 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 through citations, footnotes, etc
- originality (i.e. not a compilation of existing works)
- veracity/validity through a peer validation process or by satisfying the commercial publisher or gallery processes
- increasing the stock of knowledge
- being in a form that enables dissemination of knowledge.

11.2. General Requirements

- HEPs should report the total number of books, book chapters, journals and conference papers in their publications return.
- Book chapters should be calculated using the method at Appendix F.
- The department will award books a weighting of 5:1 (compared to the other publications categories) within the formula used to determine HEP’s allocations from the RTS and IGS.

Each publication must:

- meet the definition of research (see 2.4)
- only be counted once by each HEP
  - If, for example, 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
  - In the case of multiple authors from different HEPs, refer to 11.2.1.

11.2.1. Apportioning Authors

For categories other than Book Chapters, where there are multiple authors, apportion the count according to the number of authors. For example, if there are three authors of a publication, count one third for each author who was a staff member or student of the HEP.

For Book Chapters, authors should be apportioned according to the formula set out at Appendix F.

11.2.2. Verification Material

Verification material must be retained to demonstrate that the publication meets the criteria against the category being reported.

Verification material should be retained for three years.
A pro-forma to assist in collecting details of individual publications is provided at Appendix D. Use of the pro-forma is optional. The information may be kept in written or electronic form.

The completed pro-forma (or their equivalents) may need to be submitted to the department or auditors if requested.

Details of individual publications counted and information verifying the classification of those publications must be retained by each HEP for three years to facilitate any audit.

For all publications the HEP must be able to provide the following, if required, by the department or for a publications audit:
- clarification of the biographical information required per publication category, as appropriate
- photocopies of contents, preface, introduction and pages showing all bibliographical information as appropriate, ISBN or ISSN, author(s), publisher, all dates referring to copyright, publication, printing and distribution
  - For example, an ISBN or a publisher is not required for conference publications but each is essential for books and book chapters
- evidence indicating the author’s affiliation to the HEP.

11.2.3. Additional Verification Material for each Publication Category

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

A series of lists to aid in the gathering of verification material is at Appendix D and E.

11.2.3.1. Books
No additional requirements

11.2.3.2. Book Chapters
- copy of the chapter
- if a new chapter in a revised edition, include the contents page of previous edition to indicate that chapter is new
- a printout of the book chapter calculation spreadsheet.

11.2.3.3. Journal Articles
- copy or offprint of article
- proof of peer reviewing as described at 11.6.
- If an ISSN does not appear in the journal,
  - external evidence such as an ISSN number being cited in an extract from one of the Institute for Scientific Information indexes (www.isinet.com/journals) or
  - 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

11.2.3.4. Conference Publications
- copy or offprint of paper
- proof of peer reviewing as described at 11.6
- proof of national or international significance if not shown in other information already required
- keynote addresses and invited papers may be included where all other papers for the conference are peer reviewed.
• HEPs must be able to demonstrate evidence of the keynote status of the address (e.g. contents page) and other contributions to the conference being peer reviewed (e.g. a statement in the introduction to proceedings indicating this).

11.3. Year of Publication
For the purposes of the HERDC, the research must have been published in 2004 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 2004, even though no such date exists within the publication, are not acceptable evidence of year of publication.
• an exception to this may apply for Journal Articles or Conference Publications that are produced on CD-ROM or are web-based where 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.
• 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.

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

The year of publication would normally be the latest of the year indicated as published, the year indicated as printed or the year of copyright.

Copies of the pages showing the available publication details must be included in verification materials.

This means that if the first publication (e.g. Australian Journal of Astrophysics December 2004) is shown as having been published, printed or copyrighted in 2005, it cannot be counted in the current collection because the nominal year of publication has been overridden. It will have to be considered for the following collection of year 2005 publications.

11.4. Author Affiliation
Author affiliation must be identified either:
• within or on the work being claimed
  ▪ where author affiliation with the claiming HEP is not identified within a work, advice via email would be sufficient to demonstrate author affiliation and should include:
    ▪ a statement from the author indicating that he or she undertook the research leading to the publication in his or her capacity as a staff member or student of the HEP
  ▪ either:
    ▪ a statement from the Director of Human Resources or Dean of Students (or equivalent) indicating that the author was an appointee or student of the HEP in 2004 (or earlier if that was when the research leading to the publication was conducted) or
Specifications for Collection of 2004 data

- an extract from the HEP’s staff or student list that lists the author.

Where a publication shows that an author has affiliation to more than one HEP (eg Janet Harvey, Tutor in Economics, HEP of X; PhD student, HEP of Y), each Australian HEP named in that by-line can claim the publication at full value.

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

11.5. Commercial Publishers
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.

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 will be accepted as a commercial publisher.

For the purpose of the HERDC, HEP and other self-supporting HEP presses are regarded as commercial publishers, provided that they have responsibility for the distribution of the publication and not only its printing.


This list is not intended to be a comprehensive list of all acceptable publishers. HEPs will need to be satisfied that a publisher not on the list satisfies the criteria for a commercial publisher in order for its publications to be counted in Research Publications Return—Return 2.

Note that many of the books published by professional bodies do not report original research findings but report the results of evaluations, or repackage existing information for the benefit of professionals or practitioners. It is important that HEPs assess these publications very carefully against the definition of research provided at 2.4 and only count those publications which report research activities.

11.6. Peer Review
For the purposes of the HERDC, 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
- by appropriately independent, qualified experts. Independent in this context means independent of the author.

For journal articles, 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)
Specifications for Collection of 2004 data

- 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 the department’s Register of Refereed Journals (see 11.10)
- there is a statement in the journal which shows that contributions are peer reviewed
- there is a statement or acknowledgement from the journal editor which shows that contributions are peer reviewed
- a copy of a reviewer’s assessment relating to the article.

Note:
- a statement from an author that a publication was peer reviewed will not be accepted
- the existence of a national or international advisory board is not sufficient evidence that all relevant publications are assessed by members of it.

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

Note: The expertise of the Australian Academy of the Humanities may be used to assist a HEP in the validation of foreign language publications in the fields of the humanities. Any such arrangements are to be negotiated between the Academy and the respective HEP.

11.8. Electronic Works
Electronic works are eligible to be counted, provided they meet all the relevant criteria in these specifications (at section 11) for the publications category against which they are being claimed.

11.9. Publication Categories Counted in the HERDC
Data from all publication categories counted in the HERDC is entered into Return 2—Publications.

11.9.1. Books
To be included in this category the publication must meet the definition of research (see 2.4) as amplified in the key characteristics of research publications (see section 11) and:
- must be a major work of scholarship
- must be offered for sale
  - for hard copies, bound
  - for CD-ROMs, packaged
  - for e-books, on subscription or fee basis
- must have an International Standard Book Number (ISBN)
- must be written entirely by a single author, or by joint authors who share responsibility for the whole book
- must have been published by a commercial publisher, as defined at 11.5
- the author must be affiliated with the claiming HEP.

The types of books that may meet the criteria include:
Specifications for Collection of 2004 data

- critical scholarly texts (for example 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/new editions

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

To be included in this category the publication must meet the definition of research (see 2.4) as amplified in the key characteristics of research publications (see section 11) and:
- must be offered for sale:
  - for hard copies, bound
  - for CD-ROMs, packaged
  - for e-books, on subscription or fee basis
- must have an International Standard Book Number (ISBN)
- must have been published by a commercial publisher, as defined at 11.5
- the author must be affiliated with the claiming HEP
- 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, eg. 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:
- 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.

Appendix F outlines the book chapter calculation methodology.
11.9.3. Journal Articles
To be included in this category the journal article must meet the definition of research (see 2.4) as amplified in the key characteristics of research publications (see section 11) and:

- must be published in a scholarly journal
- must have been peer-reviewed as defined at 11.6 (note that the fact that an article has been peer reviewed does not automatically mean that it is eligible. The article must still meet the definition of research as well as all other criteria)
- must have an International Standard Serial Number (ISSN)
  - Some journals may be regularly published as separate volumes with an ISBN rather than an ISSN. Provided that the publication is clearly identified as an edition of a journal, and not a book, articles in such publications may be eligible if they meet all other criteria.
  - If an ISSN does not appear in the journal, external evidence such as an ISSN number being cited in an extract from Ulrich’s or ISI is sufficient to demonstrate the existence of the number
- the author must be affiliated with the claiming HEP.

The types of journal articles that may meet the criteria include:
- commentaries and communications of original research
- research notes
- letters to Nature
- 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.

11.9.4. Conference Publications
To be included in this category the conference publication must meet the definition of research (see 2.4) as amplified in the key characteristics of research publications (see section 11) and must:

- be published. 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
- be peer reviewed (see 11.6)
- be presented at conferences, workshops or seminars of national or international significance
- the author must be affiliated with the claiming HEP.
As meetings called ‘workshops’ or ‘seminars’ generally have lower status than meetings called ‘conferences’, HEPs must be able to demonstrate clearly that they have national or international significance and include the evidence with the verification materials, as for any conference.

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

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.

11.10. Register of Refereed Journals

The department maintains a Register of Refereed Journals. This Register is a list of journals that satisfy the peer review requirements as defined at 11.6.

Inclusion on the Register (or the ISI or Ulrich’s listings) does not automatically allow all articles in such journals to be counted in the collection. Inclusion only indicates that peer review requirements have been satisfied. Other requirements (see section 11) must also be met.

The Register of Refereed Journals is available on the department’s web page at http://www.dest.gov.au/highered/research/herdc.htm. This list is not intended to be a comprehensive list of all acceptable refereed journals. HEPs will need to be satisfied that a journal satisfies the criteria for inclusion set out in section 11.

The nomination form for inclusion on the Register is located through the department’s web page at http://www.dest.gov.au/highered/research/herdc.htm.

The Register is updated regularly throughout the year.
## Glossary

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
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<tbody>
<tr>
<td>ACGR</td>
<td>Australian Competitive Grants Register</td>
</tr>
<tr>
<td>AVCC</td>
<td>Australian Vice-Chancellors’ Committee</td>
</tr>
<tr>
<td>CRC</td>
<td>Cooperative Research Centre</td>
</tr>
<tr>
<td>DEST</td>
<td>Department of Education, Science and Training</td>
</tr>
<tr>
<td>HEP</td>
<td>Higher Education Provider</td>
</tr>
<tr>
<td>HERDC</td>
<td>Higher Education Research Data Collection</td>
</tr>
<tr>
<td>IGS</td>
<td>Institutional Grants Scheme</td>
</tr>
<tr>
<td>OECD</td>
<td>Organisation for Economic Cooperation and Development</td>
</tr>
<tr>
<td>RIBG</td>
<td>Research Infrastructure Block Grants</td>
</tr>
<tr>
<td>RTS</td>
<td>Research Training Scheme</td>
</tr>
</tbody>
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APPENDIX A

Instructions for electronic submission of HERDC Returns

Coverage
The following instructions apply to the submission of Research Income Return—Return 1 and Research Publications Return—Return 2 of the 2005 Higher Education Research Data Collection Specifications for the collection of 2004 data.

How to obtain the returns
Research Income Return—Return 1 and Publications Return—Return 2 can be obtained from the department’s website at:


It is important that HEPs follow these specifications and the supplementary advice in the following documents available through the website:

- Clarifications of issues arising from the Specifications
- Spreadsheet for Book Chapters.

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

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

Submitting the returns electronically

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

RBGRANTS@dest.gov.au

Please note: The department cannot read Macintosh spreadsheets. Returns 1 and 2 must be saved in Windows Excel format. Emails will be acknowledged.
Specifications for Collection of 2004 data

Naming conventions

File names should consist of 7 or 8 characters eg: rd4fjcu.xls.

Please use the following naming conventions:

- Characters 1&2: Always use rd. This identifies the data as part of the Research Data Collection.
- Character 3: Use the number 4 when submitting 2004 data
- Character 4: Use f for financial data or p for publications data
- Characters 5-8: Use up to 4 letters to identify your HEP (eg UNSW, RMIT, CDU)

Submission of amended data

Amended data must be submitted by the same procedure.

Please amend the ‘date return finalised’ in the first section of the Returns so that the revised submission can be easily distinguished from the original.
Vice-Chancellor's certified statements for Research Income (categories 1-3) and Publications, and Research Income category 4—Cooperative Research Centres
Research Income
APPENDIX B

2005 HIGHER EDUCATION RESEARCH DATA COLLECTION OF 2004 DATA

VICE-CHANCELLOR’S CERTIFICATION STATEMENT

I, (full name)........................................................ being the Chief Executive Officer of (HEP name)........................................................ hereby certify that the research income and publications information in these documents has been compiled in accordance with the instructions for the 2005 Higher Education Research Data Collection of 2004 data issued by the Department of Education, Science and Training, and that the information in the returns is correct.

Signed:...........................

Title:...............................................

Date:..............................................
**COOPERATIVE RESEARCH CENTRES**  
**VICE-CHANCELLOR’S CERTIFIED STATEMENT**

**Name of HEP:**

---

**DATA IN RESPECT OF 2003-04 FINANCIAL YEAR**

<table>
<thead>
<tr>
<th>Name of CRC HEP was a participant in</th>
<th>Cash received from Commonwealth</th>
<th>Cash received from non-HEP participants</th>
<th>Cash received from third parties</th>
<th>TOTAL</th>
</tr>
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<tr>
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</table>

I declare that all cash funds counted in this statement have been provided by the CRC to the HEP for research purposes as defined at 2.4, and meeting the conditions set out in Part B of the 2005 Higher Education Research Data Collection Specifications for the Collection of 2004 Data.

**Signature:**  

_____________________________________________

**Name (Printed):**  

_____________________________________________

**Title:**  

_____________________________________________

The Statement is to be sent by mail or courier to the following address by 30 June 2005:

**HERDC Officer**  
**Research Policy and Programmes**  
**Loc Code 121**  
**Research Systems Branch**  
**Department of Education, Science and Training**  
**GPO Box 9880**  
**CANBERRA ACT 2601**
APPENDIX C

AUSTRALIAN COMPETITIVE GRANTS REGISTER
LIST OF FUNDING SCHEMES FOR
AUSTRALIAN COMPETITIVE GRANTS REGISTER (ACGR)
Grants Paid in 2004
(List last updated 25 October 2004)
COMMONWEALTH SCHEMES (BY PORTFOLIO)

Agriculture, Fisheries & Forestry
Australian Egg Corporation Limited
- Egg Industry Research and Development Program
Australian Pork Ltd
Cotton Research and Development Corporation
Dairy Australia
Fisheries Research and Development Corporation
Forest and Wood Products Research and Development Corporation
Grains Research and Development Corporation
Grape and Wine Research and Development Corporation Competitive Grants Scheme
Horticulture Australia Ltd Research and Development Program
Land and Water Australia
Meat and Livestock Australia Research and Development Program
Rural Industries Research and Development Corporation
Sugar Research and Development Corporation

Attorney-General's
Criminology Research

Australian Greenhouse Office
Renewable Energy Commercialisation Programme

Communications, Information Technology and the Arts
Anti-Doping Research Program
Telecommunication Research Grants

Defence
Army History Research Grants Scheme

Education, Science and Training
Australian Institute of Aboriginal and Torres Strait Islander Studies - Research Grants
Australian Research Council
- International Researcher Exchange (IREX) Scheme
- Key Centres for Teaching & Research
- Large Research Grants Scheme
- Research Fellowships Scheme
- Special Research Centres
- Special Research Initiatives Seed Funding for Research Networks
- Strategic Partnerships with Industry - Research and Training (SPIRT) Scheme
- Discovery
  - Projects (including Research Fellowships)
  - Federation Fellowships
  - Indigenous Researchers’ Development
- Linkage
  - Projects (including Fellowships and Postgraduate Awards)
  - International
Specifications for Collection of 2004 data

- Centres of Excellence
Projects to Enhance Literacy and Numeracy Outcomes
Grants for National Literacy and Numeracy Strategies and Projects Programme – Strategic Research
Projects Only
National Centre for Vocational Education Research Ltd (NCVER)
- National Managed Vocational Education and Training Research and Evaluation Program
- Adult Literacy Research Program

Environment and Heritage
Australian Antarctic Science Grants
Australian Biological Resources Study Participatory Program
Great Barrier Reef Marine Park Authority – Science for Management Awards

Foreign Affairs and Trade
Australian Centre for International Agricultural Research (ACIAR) – R&D Projects

Health and Ageing
Australian Health Ministers Advisory Committee – Priority Driven Research Program
Commonwealth AIDS Research Grants (CARG)
- The National Research Centres in HIV, Hepatitis and Sexually Transmissible Infections
(formerly CARG National Centres in HIV Research and CARG Collaborating Centres to the National
Centres in HIV Research)
- ANCAHRD Commissioned Research Grants
Cochrane Collaborative Groups’ Funding Scheme
National Drug Law Enforcement Research Fund (NDLERF)
National Health and Medical Research Council (NHMRC)
- Australian-European Union Health Research Collaboration NEW
- Project Grants
- Program, Unit, Centre and Institute Grants
- Training Fellows
- Health Research Partnerships
- Program in Medical Genomics
- Research Fellowships
- Practitioner Fellowships
- NBCF/NHMRC Career Development Awards
- Burnet Awards
- Capacity Building Grants in Population Health Research
- Development Grants
- Industry Research Fellowships
- Special Program Grants in Type 1 Diabetes
- International Collaborative Research Grants Schemes
- Translation Grants In Injury
- National Illicit Drugs Strategy
  - Treatment of Drug Dependencies
- Electromagnetic Energy Research
- Centres for Clinical Research Excellence
- Diabetes and Related Disorders in Aboriginal and Torres Strait Islander Peoples
- Mental Health
  - Effect of Early Psychosis Intervention Programs
  - Service Evaluation
- Ageing Research
  - Health Ageing Research Program
Specifications for Collection of 2004 data

- Systems of Care for Chronic Disease
- Palliative Care
  - Targeted Research
  - Short Study
  - Nausea
- Oral Health
  Researcher Development Program\textsuperscript{NEW}

\textbf{Transport and Regional Services}
Australian Transport Safety Bureau - Road Safety Research Grants

\textbf{Veterans' Affairs}
Health and Medical Research Grants

\textbf{NON-COMMONWEALTH SCHEMES}
- Alcohol Education & Rehabilitation Foundation Ltd – Research Grants
- Arthritis Foundation of Australia – Arthritis Australia Research Grants\textsuperscript{NEW}
- Australian Cancer Research Foundation – Grant Round
- Australian Coal Association Research Program (ACARP)
- Australian Dental Research Foundation Grants
- Australian Housing and Urban Research Institute (AHURI) Research Funding Scheme
- Australian Institute of Nuclear Science and Engineering (AINSE)
  - Grants (direct grants)
  - Awards
- Australian and New Zealand College of Anaesthetists – Research Funding Scheme
- Australian Primary Health Care Research Institute\textsuperscript{NEW}
- Australian Rotary Health Research Fund
- Australian Wool Innovation Limited
- Clive and Vera Ramaciotti Foundations, The
- Coal Services Pty Ltd – Research Grants
- Cystic Fibrosis Australia - Australian Cystic Fibrosis Research Trust\textsuperscript{NEW}
- Diabetes Australia Research Trust (DART)
- Diabetes Vaccine Development Centre\textsuperscript{NEW}
- Financial Markets Foundation for Children Grants
- Garnett Passe and Rodney Williams Memorial Foundation
  - Grants-in-aid
  - Overseas Research Fellowships
  - Project Grants
  - Research Training Fellowships in Otorhinolaryngology
  - Senior/Principal Research Fellowships
- Hermon Slade Foundation\textsuperscript{NEW}
- Information and Communications Technology (ICT) Centre of Excellence
  - National ICT Australia Grants
- Juvenile Diabetes Research Foundation Grants
- Kidney Health Australia (formerly Australian Kidney Foundation)
- MBF Health Research Awards – Research Project Grants
- Multiple Sclerosis Society of Australia
  - Project Grants and Postdoctoral Fellows
  - Research Funding
- National Breast Cancer Foundation
  - Kathleen Cuningham Research Grants
- National Food Industry Strategy – Food Centres of Excellence
Specifications for Collection of 2004 data

National Heart Foundation of Australia
- Grants-In-Aid for Research (Biomedical and Education/Health Promotion)
- Postdoctoral Fellowships
- Career Development Awards (with the exception of co-funded relationships) *NEW*

National Institute of Clinical Studies
- Fellowship Programme

National Stem Cell Centre Grants Scheme

Ophthalmic Research Institute of Australia (ORIA)

Pharmacy Guild of Australia

Pfizer Pty Ltd
- Cardiovascular Lipid Research Grants (CVL)
- Neuroscience Research Grants
- Pfizer Australia Research Fellowships (formerly Pharmacia Foundation Australia Senior Research Fellowships)

Seafood Services Australia Ltd – Seafood Industry Development Fund

Sylvia and Charles Viertel Charitable Foundation
- Clinical Investigatorships
- Senior Medical Research Fellowships
Appendix d

Pro-formas which may be used for collecting data about individual publications

Definitions of publication types are provided on the pro-forma for convenience, but all instructions and definitions provided in these Specifications are to be followed in completing the pro-forma. It is essential that persons completing the pro-forma be provided with a copy of these Specifications.
### BOOKS

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Specifications for Collection of 2004 data

JOURNAL ARTICLES

--------------------------------------------------------------------------------------------------

Information certified by:

Author’s Signature

Date

--------------------------------------------------------------------------------------------------

Department/School

Name of Author(s)

No of Authors

No of Authors in the Department/School

Year of Publication

Journal Name

Journal ISSN

Title of Article

Volume and Page Nos

Place of Publication

Publisher
CONFERENCES PUBLICATIONS

........................................................................................................................................

Information certified by:

Author’s Signature

Date

........................................................................................................................................

Department/School

Name of Author(s)

No of Authors

No of Authors in the Department/School

Year of Publication

Title of Paper

Title of Conference Publication

Editor of Conference Publication

Place of Publication

Publisher

Name of Conference

Location and Date of Conference
APPENDIX E

Sample Lists for Verification Material

A sample list follows for each of the publication categories to assist in the gathering of verification material.
# HIGHER EDUCATION RESEARCH DATA COLLECTION - PUBLICATIONS

## BOOKS

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* HEP or area within HEP as appropriate. If reporting for a department do not claim for authors based in other departments.

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# HIGHER EDUCATION RESEARCH DATA COLLECTION – PUBLICATIONS

## BOOK CHAPTERS

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### Specifications for Collection of 2004 data

#### HIGHER EDUCATION RESEARCH DATA COLLECTION - PUBLICATIONS

**JOURNAL ARTICLE**

**Eligibility**

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## HIGHER EDUCATION RESEARCH DATA COLLECTION - PUBLICATIONS

### CONFERENCE PUBLICATION

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APPENDIX F

Book Chapter Calculation Methodology
Calculation of Book Chapter weighting

To count book chapters, use the following methodology.

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

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

Step 1
Identify a chapter to which the author contributes alone, or with as few other contributors as possible.

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

Step 2
The value of the remaining chapters for the author is calculated by adding the share of each remaining chapter contributed by the author, then multiplying by 4 and dividing by one less than the number of chapters in the book.

Step 3
The total value of the book for the author is derived by adding the figures derived from step 1 and step 2.

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

Step 1
The value is 1 divided by 1 equals 1.

Step 2
There are no further chapters to count.

Step 3
1 plus 0 equals 1. Author A’s contribution is worth 1.

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

Step 1
One of the chapters contributed alone should be counted here. The value is 1 divided by 1 equals 1.
Step 2

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

Step 3

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

Example C:

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

Step 1

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

Step 2

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

Step 3

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

Example D:

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

Step 1

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

Step 2

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

Step 3

Total value is 0.5+0.29 = 0.79.

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

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

COOPERATIVE RESEARCH CENTRES CERTIFIED STATEMENT
FOR HIGHER EDUCATION RESEARCH DATA COLLECTION
Financial Year 2003/04

Name of Cooperative Research Centre:

____________________________________________________________________

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<th>Name of participant university</th>
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I declare that all cash funds counted in this statement have been provided by the CRC to the university for research purposes, in terms of the definitions set out in Section 3.1, and meeting the conditions set out in 3.2, of the Specifications for Cooperative Research Centres for the Collection of 2002/03 Data.

Signature: _____________________________________________________

Name (Printed): _______________________________________________

Position within CRC: ___________________________________________

Ph: ___________ Fax: ___________ E-mail: _________________________

CRC Address: ___________________________________________________

____________________________________________________________________

The Statement is to be sent by mail or courier to the following address by 14 June 2005:

The Director
Research Programmes and Policy Unit
Innovation and Research Systems Group
Department of Education, Science and Training
GPO Box 9880
CANBERRA ACT 2601
Location Code 121

A copy of the Certified Statement must also be sent to the university named in the statement.