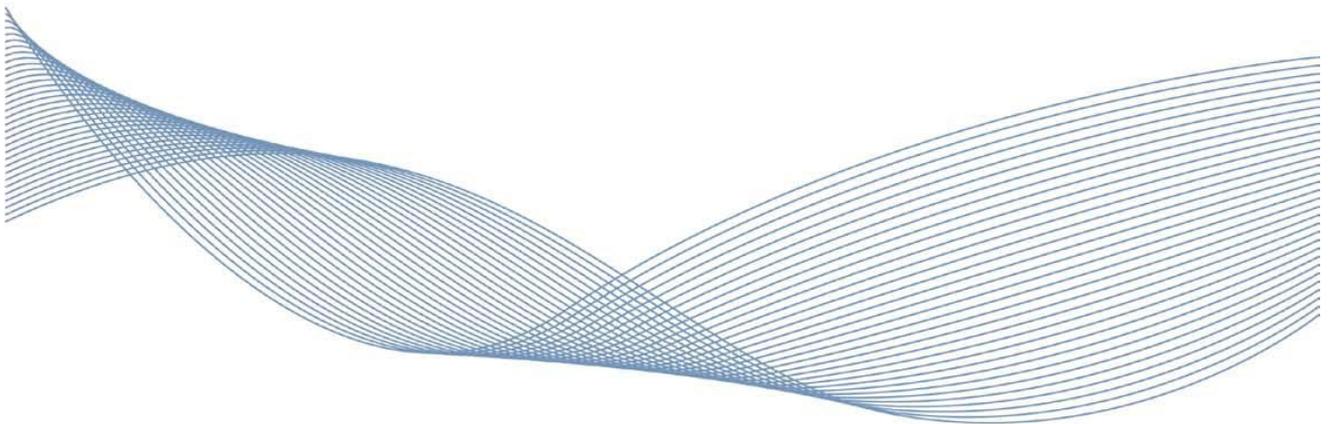


**RESEARCH PUBLICATIONS
SUBMISSION GUIDELINES**

**Division of Research
December 2011**



Contents

1. RESEARCH PUBLICATIONS SUBMISSION	3
1.1 Purpose of document.....	3
1.2 Why does the DoR collect research publication data?	3
1.3 Publication categories.....	3
1.4 Submitting Publications Online	5
1.5 When should publications be submitted to the DoR?	5
1.6 Publication Bonus Scheme	5
1.7 FoR and SEO Codes	6
2 DIISR RESEARCH PUBLICATIONS RETURN.....	7
2.1 General requirements	7
2.2 Year of Publication	8
2.3 Publication Categories counted in Research Publications Return	9
2.3.1 A1 - Books.....	9
2.3.2 B1 - Book Chapters.....	10
2.3.3 C1 - Journal Articles.....	10
2.3.4 E1 - Conference Publications	11
2.4 Author affiliation.....	12
2.5 Apportioning authors	12
2.6 Peer review	13
2.7 Verification material	14
2.7.1 Books	14
2.7.2 Book Chapters	15
2.7.3 Journal Articles.....	15
2.7.4 Conference Publications	15
2.8 Foreign Language Publications	15
3 NON-DIISR PUBLICATION CATEGORIES	16
3.1 General Criteria for all Categories	16
3.2 Books (A2, A3, A4, Other).....	16
3.3 Books chapters (B2)	17
3.4 Journal Articles (C2, C3, C4).....	17
3.5 Conference Publications (E2, E3, E4, E5, E6)	18
3.6 Creative Works (J1, J3, J4, J5)	20
3.7 Reference Works (K).....	20
3.8 Reports and Working Papers (P1, P2)	20
3.9 Computer Software (G).....	20
3.10 Patents and Plant Breeder Rights (I1, I2)	20
4 ePublications@SCU	21
5 APPENDIX A – Definition of Research	22
6 APPENDIX B - Book chapter calculation methodology	23

1. RESEARCH PUBLICATIONS SUBMISSION

1.1 Purpose of document

The purpose of this document is to provide guidance on submitting research publications to the Division of Research (DoR).

For further information please email research.publications@scu.edu.au

1.2 Why does the DoR collect research publication data?

Each year, Southern Cross University (SCU) is required to submit publications data to the Department of Innovation, Industry, Science and Research (DIISR) as part of the Higher Education Research Data Collection (HERDC). This HERDC publications data contributes towards assessing SCU's overall research performance, which in turn drives the allocation of Research Block Grants (RBG). The general purpose of RBGs is to reward the success of SCU in obtaining grants, and to support SCU in further research. Publications data is also an important part of SCU's Excellence in Research for Australia (ERA) submission to the Australian Research Council (ARC).

The DoR collects publication data from SCU authors for both DIISR-eligible publications and non-DIISR publications and enters this data to the University's Research Management System (IRMA). This enables the University to build a comprehensive database of all SCU research outputs.

The collection of accurate publications data is important for the following reasons:

- It allows SCU to understand the breadth of research activities undertaken and the fields in which the research activity occurs
- DIISR uses it to help calculate central performance-based funding allocations
- The University uses it to allocate research-related funds within SCU
- It helps the University to build reliable staff research and scholarship profiles
- It enables IRMA publication reports to be produced for staff submitting Academic Portfolios
- It enables SCU staff to make research outputs discoverable through the ePublications@SCU open access repository

1.3 Publication categories

As part of its annual HERDC submission SCU must provide details to DIISR on the number of research publications published by SCU authors in that year.

DIISR Publications include:

- A1 – Books – Authored Research
- B1 – Book chapters in Research Books
- C1 – Journal articles - Refereed
- E1 – Conference publications - Refereed

Non-DIISR Publications include:

- Books
 - A2 – Authored Books
 - A3 – Edited Books
 - A4 – Revisions and/or new editions
 - Other – Translated Books
 - Other – Textbooks

Book Chapters

B2 – Book Chapters – Other

Journal Articles

C2 – Non-refereed Journal articles

C3 – Other refereed contributions to refereed journals

C4 – Non-refereed letters, notes, etc.

Conference Publications

E2 – Non-refereed Conference publications

E3 – Abstracts, posters, short papers

E4 – Edited volume of conference proceedings

E5 – Conference proceedings – Other

E6 – Other conference paper – Not published

Creative Works

J1 – Original Creative Works

Design/Architectural Work

Visual Art Work

Textual Work

Other

J3 – Live Performance of Creative Works

Music

Play

Dance

Other

J4 – Recorded/Rendered Creative Works

Film/Video Performance

Performance

Inter-Arts

Digital Creative Work

Website/Web exhibition

Other

J5 – Curated or Produced Substantial Public Exhibitions and Events

Web-based exhibition

Exhibition/Event

Festival

Other

Reference Works (K)

Reports and Working Papers

P1 – Major reports

P2 – Minor reports / working papers

Computer Software (G)

Patents and Plant Breeder Rights

I1 – Patents

I2 – Plant Breeder Rights

1.4 Submitting Publications Online

In December 2011 the DoR introduced an online submission process to capture all 2011 publications by SCU-affiliated authors. This new online process replaces the previous paper-based system.

Overview of the new Online Submission Process:

- Review the document - [Research Publications Submission Guidelines](#).
- The first-named SCU author is responsible for submission.
- Select the most appropriate [Submission Form](#) to use and complete all publication details. Separate submission forms are used for each of the different publication categories.
- Confirm eligibility of publication by ticking relevant boxes and provide all necessary verification materials stipulated on the form.
- Select the first 'Submit' button and email the completed form and required attachments to your Research Director/Head of School. Copy email to research.publications@scu.edu.au
- The Research Director/Head of School certifies the submission and selects a second 'Submit' button which sends an approval email to the DoR.
- Staff in the DoR can then process the submission and enter publication details to the Research Management System (IRMA).

The same online submission forms can be used for both DIISR and non-DIISR publications (i.e. those that do not meet the specifications for HERDC categories). However, non-DIISR publications do not require authors to provide any additional verification materials.

1.5 When should publications be submitted to the DoR?

SCU authors are encouraged to submit their publications to the DoR as soon as they have been published.

Submissions for 2011 publications need to be received by the DoR by **30 April 2012** in order for authors to be eligible for the Publication Bonus scheme and for publications to be included in SCU's annual Higher Education Research Data Collection (HERDC) return for the Department of Innovation, Industry, Science and Research (DIISR).

The same submission forms can be used for both DIISR and non-DIISR publications. All records submitted must be certified for audit purposes by the first author's Head of School or Research Director. Incomplete records will be returned to the submitting author.

1.6 Publication Bonus Scheme

To be eligible to receive the Publication Bonus for 2011 publications, completed submission forms and relevant verification documents for each publication must be received by the Division of Research by **30 April 2012**. Each publication must also meet the eligibility requirements determined by the Department of Innovation, Industry, Science and Research (DIISR). Eligible publications include:

- A1 - Books - Authored Research
- B1 - Book Chapters in Research Books
- C1 - Journal Articles - Refereed
- E1 - Conference Publications - Refereed

1.7 FoR and SEO Codes

FoR and SEO codes need to be allocated to all submitted research outputs.

Fields of Research (FoR) Codes

FoR codes are used to identify the general topic area in which the research was carried out. At least one FoR code at the 4 digit level needs to be recorded on publication submission forms. Up to 3 FoR codes can be selected and each code is assigned a percentage depending on relevance. All FoRs percentage apportionments must add up to 100%.

A complete list of FoR Codes is available on the Australian Bureau of Statistics website - <http://www.abs.gov.au/AUSSTATS/abs@.nsf/Latestproducts/6BB427AB9696C225CA2574180004463E?opendocument>

Socio-Economic Objective (SEO) Codes

SEO codes are used to identify the principal area where the research leading to the publication will benefit the nation. At least one SEO code at the 4 digit level needs to be recorded on publication submission forms. Up to 3 SEO codes can be selected and each code is assigned a percentage depending on relevance. All SEO percentage apportionments must add up to 100%.

A complete list of SEO Codes is available from the Australian Bureau of Statistics website - <http://www.abs.gov.au/AUSSTATS/abs@.nsf/Latestproducts/CF7ADB06FA2DFD69CA2574180004CB82?opendocument>

2 DIISR RESEARCH PUBLICATIONS RETURN

2.1 General requirements

In its annual Research Publications Return to DIISR, SCU must report the total number of books, book chapters, journal articles and conference publications for that year.

To be counted, each research publication must:

- meet the definition of research (as defined in appendix A)
- only be counted once by SCU

e.g. if a conference paper is published in conference proceedings and is subsequently included as a chapter in a book, it can be counted as a chapter or as a conference publication but not both

and be characterised by:

- substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and provided in a format which allows a reader to trace sources of the work, including through citations and footnotes
- originality (i.e. not a compilation of existing works. See important notes below regarding the treatment of scholarly editions and scholarly 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

The author of the research publication must be affiliated with SCU (as set out in section 2.4).

IMPORTANT NOTES:

SCU must provide unweighted publications data only.

In determining SCU's allocations from the Research Training Scheme, Joint Research Engagement, Australian Postgraduate Awards, and International Postgraduate Research Scholarships, DIISR will weight books 5:1 compared with the other research publication categories.

Scholarly editions and scholarly translations must have a major demonstrable original research component in the edition or translation to be considered for inclusion in SCU's research publications return.

The author of the research publication must be affiliated with SCU (as set out in section 2.4)

For categories other than book chapters, where there are multiple authors, the count must be apportioned according to the number of authors (see also section 2.5).

Book chapters (including apportioning of authors) should be calculated using the methodology in Appendix B. (NB: This is calculated automatically in IRMA)

2.2 Year of Publication

The fundamental principles that underpin the publications data are:

- The publication is claimed in the appropriate year
- The year of publication must be verifiable
- The publication is claimed once only

To be able to count publications in the 2012 submission of Research Publications Return:

- the research must have been published in the 2011 calendar year, and
- 2011 must be stated as the year of publication within or on the work being claimed

The definition of published in this context is the date the publication was released to its intended audience. Publications which are published as 'advance' or 'in press online' may be reported either in the year that they published online or the year of final publication. (The key requirement, as stated above, is that the publication is claimed only once).

Letters from authors, editors, creators etc stating that a research publication was published in 2011, even though 2011 is not stated within or on the work as the year of publication, are not acceptable evidence of the year of publication. There are two exceptions:

- For journal articles and/or conference publications that are produced on CD-ROM or are web-based, and do not contain a date published within or on the work being claimed, a letter from a journal editor or conference organiser verifying the published date may be accepted
- The date a conference was held may be acceptable evidence of the year of publication

The year of publication is normally the latest of the year indicated as published, printed or the year of copyright. A publication with a 2012 copyright date can be reported in the 2011 collection, provided it has a publication date of 2011, and it is not counted again in the 2012 collection.

Pages showing the stated year of publication must be included in verification material (see section 2.7).

Expanded Year of Publication Definition

SCU must be able to demonstrate (in the verification material that they maintain) that the publication was not produced until after the submission date for that year's publication return. i.e. that the publication, although containing a 2010 publication date, was not published until after 30 June 2011. A letter from the publisher will be considered sufficient verification material to support the claim.

Only those publications which were published after the submission date for the 2010 data collection and contain a 2010 publication date, may be included under this provision.

2.3 Publication Categories counted in Research Publications Return

2.3.1 A1 - Books

To be included in this category the publication must meet the definition of research (as defined in Appendix A) as amplified in the general requirements for research publications (see section 2.1) and:

- must be a major work of scholarship
- must be offered for sale
 - for hard copies, bound
 - for CD-ROMs, packaged
- must have an International Standard Book Number (ISBN)
- must be written entirely by a single author, or by joint authors who share responsibility for the whole book
- must have been published by a commercial publisher, as defined at section 2.7.1
- the author must be affiliated with SCU as set out in section 2.4

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 do not meet the criteria include:

- textbooks
- anthologies
- edited books
- creative works such as novels
- translations (unless they have a major demonstrable original research component)
- revisions or new editions
- manuals and handbooks

IMPORTANT NOTES: 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 SCU assess these publications very carefully against the definition of research provided in Appendix A and only count those publications which are major works of scholarship and report original research activities for the first time. Freely available research-related reports published by external institutes or public agencies and departments are also unlikely to meet these criteria. DIISR will monitor and audit publications, as necessary, to ensure there is consistency of approach.

DIISR is convening a working group in 2012 to examine in detail the appropriate parameters by which research published online should be defined and included in future years.

2.3.2 B1 - Book Chapters

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

To be included in this category the publication must meet the definition of research (as defined in Appendix A) as amplified in the general requirements for research publications (see section 2.1) and:

- must be offered for sale
 - for hard copies, bound
 - for CD-ROMs, packaged
- must have an International Standard Book Number (ISBN)
- must have been published by a commercial publisher, as defined at section 2.7.1
- the author must be affiliated with SCU as set out in section 2.4

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 must be excluded:

- chapters in textbooks
- entries in reference books
- anthologies
- revisions of chapters in edited books
- forewords
- brief introductions
- brief editorials
- appendices
- literary or creative pieces such as collections of short stories; and
- translations (unless they have a major demonstrable original research component)

Appendix B outlines the book chapter calculation methodology. (NB This is calculated automatically in IRMA)

2.3.3 C1 - Journal Articles

To be included in this category the journal article must meet the definition of research (as defined in Appendix A) as amplified in the general requirements for research publications (see section 2.1) and:

- must be published in a scholarly journal
- must have been peer-reviewed as defined at section 2.6
- Note: the fact that an article has been peer reviewed does not automatically mean that it is eligible. The article must still meet the definition of research as well as all other criteria
- must have an International Standard Serial Number (ISSN)
 - Some journals may be regularly published as separate volumes with an ISBN rather than an ISSN. Provided that the publication is clearly identified as an edition of a journal, and not a book, articles in such publications may be eligible if they meet all other criteria

- If an ISSN does not appear in the journal:
 - external evidence such as an ISSN number being cited in an extract from an authoritative journal listing, such as the Thomson-Reuters Master Web of Knowledge Master Journals List (<http://science.thomsonreuters.com/>) or from the Scopus database (<http://info.scopus.com/overview/>) or
 - evidence that the journal is classified as 'refereed' in Ulrich's Knowledgebase - www.ulrichsweb.com
- the author must be affiliated with SCU as set out in section 2.4

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

- commentaries and communications of original research
- research notes
- letters to journals, provided that the letter satisfies the definition of research (as defined at Appendix A) and the subsequent definitions for journal articles in this section
- critical scholarly texts which appear in article form
- articles reviewing multiple works or an entire field of research
- invited papers in journals
- articles in journals which are targeted to both scholars and professionals
- articles in a standalone series

The types of journal articles that do not 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

2.3.4 E1 - Conference Publications

To be included in this category the conference publication must meet the definition of research (as defined in Appendix A) as amplified in the general requirements for research publications (see section 2.1) and must:

- be published in full. The papers may appear in a number of different formats, e.g. a volume of proceedings, a special edition of a journal, a normal issue of a journal, a book or a monograph, CD-ROM or conference or organisational web site
- be peer reviewed (see section 2.6)
- be presented at conferences, workshops or seminars of national or international significance
- the author must be affiliated with SCU, as set out in section 2.4

IMPORTANT NOTE: Conference publications do not require an ISBN or need to be published by a commercial publisher.

The types of conference publications that do not meet the criteria include:

- papers that appear only in a volume handed out to conference participants
- keynote addresses
- plenary addresses
- poster presentations
- abstracts of conference publications

2.4 Author affiliation

The author of the research publication being counted in SCU's Research Publication Return must be affiliated with SCU and must be identified either within or on the work being claimed.

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

- a statement from the author indicating that he or she undertook the research leading to the publication in his or her capacity as a staff member or student of SCU and either
 - a statement from the Director of Human Resources or Dean of Students (or equivalent) indicating that the author was an appointee or student of SCU in 2011 (or earlier if that was when the research leading to the publication was conducted) or
 - an extract from SCU's staff or student list that lists the author

Students (domestic or international) are considered to be those students undertaking HDR training to achieve a Research Doctorate (including Professional Doctorates) or a Research Masters.

Where a publication shows that an author is affiliated with more than one University (e.g. Janet Harvey, Tutor in Economics, University X; PhD student, University Y), each Australian university named in that by-line can count the publication in its respective Research Publication Return.

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

2.5 Apportioning authors

For categories other than Book chapters, where there are multiple authors the count must be apportioned according to the number of authors. For example, if there are three authors of a publication, one third should be counted for each author who was a staff member or student of SCU.

DIISR's intention is that this section applies to multiple authors across more than one Higher Education Provider (HEP). Where all of the authors are affiliated with the same HEP, then the HEP should count that publication (subject to meeting all other requirements) according to one author (i.e. no apportioning is necessary).

For Book chapters, authors should be apportioned according to the methodology set out in Appendix B. (NB This is calculated automatically in IRMA)

2.6 Peer review

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

Peer review is relevant for journal articles, conference publications and online books (see section 2.3) being counted in the SCU Research Publications Return.

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

- the journal is listed on the ARC's ERA 2012 journal list
- the journal is listed in Thomson Reuters Web of Knowledge Master Journal List
- the journal is classified as 'refereed' in Ulrich's Knowledgebase - www.ulrichsweb.com
- 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

For conference publications, any of the following are acceptable as evidence of peer review:

- there is a statement in the conference proceedings which shows that contributions are peer reviewed
- there is a statement or acknowledgement from the conference proceedings editor which shows that contributions are peer reviewed
- a copy of a reviewer's assessment relating to the conference paper

For books and book chapters, the concept of a commercial publisher (as defined at section 2.7.1) is used as a surrogate test of quality in place of a peer review requirement.

<p>IMPORTANT NOTE: A statement from an author that a publication was peer reviewed is not acceptable. The existence of a national or international advisory board is also not sufficient evidence that all relevant publications were assessed by members of it.</p>

2.7 Verification material

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

For the purposes of the HERDC, SCU may store verification material electronically, or use Digital Object Identifiers (DOIs), as long as they can produce off-prints of publications (i.e. book chapters, journal articles or conference papers) if required for DIISR's auditing purposes and this does not infringe copyright.

The completed submission forms may need to be submitted to DIISR or auditors if requested.

For all publications SCU must be able to provide the following, if required, by DIISR or for a publications audit:

- clarification of the bibliographical information required per publication category, as appropriate
- contents, preface, introduction and pages showing all bibliographical information as appropriate, ISBN or ISSN, author(s), publisher and all dates referring to copyright, publication, printing and distribution
- evidence indicating the author's affiliation to SCU, and
- if claimed using the expanded year of publication definition (see section 2.2) a letter from the publisher indicating that the publication was not produced until after SCU's Research Publications Return submission date

In addition to the verification material set out in section 2.7, SCU must be able to provide additional proof for each publication category as set out below.

2.7.1 Books

SCU must be able to provide proof that the book was published by a commercial publisher and that the book has been through an acceptable peer review process (as per section 2.6).

Commercial Publisher Definition

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

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

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

2.7.2 Book Chapters

SCU must be able to provide:

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

2.7.3 Journal Articles

SCU must be able to provide:

- the article or offprint (a reproduction of or an excerpt from an article that was originally contained in a larger publication) of the article
- proof of peer reviewing as set out in section 2.6
- 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 Thomson-Reuters Web of Knowledge Master Journals List (<http://science.thomsonreuters.com/>) or
 - evidence that the journal is classified as 'refereed' in Ulrich's Knowledgebase - www.ulrichsweb.com

2.7.4 Conference Publications

SCU must be able to provide:

- the full paper or offprint of paper
- proof of peer reviewing as set out in section 2.6
- proof that the conference is of national or international significance

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

2.8 Foreign Language Publications

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

<p>IMPORTANT NOTE: The Australian Academy of the Humanities has advised that they are no longer in a position to assist Higher Education Providers in the verification of foreign language publications in the fields of the humanities.</p>

3 NON-DIISR PUBLICATION CATEGORIES

3.1 General Criteria for all Categories

- The item must be published within the calendar year of collection
- The author(s) being claimed must have been a staff member or student of SCU when the research leading to the publication was carried out
- The same item/work can only be counted once even if it meets requirements of more than one publication category

3.2 Books (A2, A3, A4, Other)

This category is used to claim for the editors of a book consisting of contributions from a number of authors

General Criteria:

- The item must have an ISBN
- It is not necessary for the book publisher to meet the DIISR criteria of commercial publisher
- The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these
- Creative published works are excluded from these categories

A2: Authored Books

- Used to capture all other outputs solely written by the author or authors that do not fit into any other category

A3: Edited Books

- Use this category when there are a number of authors contributing to the output
- Exclude
 - Editorship of journals or conference publications
 - Edited books that are not 1st editions

A4: Revisions and/or new editions

- If a book has been previously published or a collection of previously published outputs that has been brought up to date by a substantial addition or alteration of material

Other: Translated Books

- Used to claim for the translator of a book authored by another person

Other: Textbooks

- Used to claim for the author or authors of the textbook

3.3 Books chapters (B2)

This category is used to claim for chapters where the material is subject to editorial scrutiny.

General Criteria:

- The book must have an ISBN
- Creative published works are excluded from this category
- It is not necessary for the book publisher to meet the DIISR criteria of commercial publisher
- The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these

B2: Book chapters - Other

- Used to claim for chapters in textbooks
- Chapters in reports or any other publication type
- Book chapters that have been published by university departments, companies or private individuals that do not meet DIISR definition of commercial publisher

3.4 Journal Articles (C2, C3, C4)

General Criteria:

- The journal must be a scholarly journal controlled by an editorial board but it does not necessarily have to meet the DIISR criteria of peer review
- Creative published works are excluded from this category
- Include articles which are works of scholarship, not merely works of composition of a professional or even non-professional nature. The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these

C2: Non-refereed journal articles

- Used to claim for non peer review works of scholarship published in a scholarly or professional journal which is controlled by an editorial board
- Includes case studies and outputs designed for use in a professional field where the practitioners are informed on existing knowledge

C3: Other refereed contributions to refereed journals

- Includes letters to the editor that have been subject to peer review, and contributions to journals that are peer reviewed, even if the journal has no ISSN. It also includes scholarly texts that have been subject to peer review but are not substantial works of scholarship
- Used to claim for peer reviewed research notes, commentaries and brief communications of original research that are not substantial works of scholarship but meets DIISR requirements

C4: Non-refereed Letters, Notes, etc

- Used to claim for non-peer reviewed communications that have been published in a professional or scholarly journal which is controlled by an editorial board.
- Includes editorials, letters to the editor and book reviews, reviews of concerts, theatre productions and art exhibitions. It also includes brief communications of original research that is not subject to peer review

3.5 Conference Publications (E2, E3, E4, E5, E6)

General Criteria:

- Conference publications need to be made widely available (not just handed to conference participants at the conference)
- The conference publication must be a scholarly publication controlled by an editorial board/editor(s)
- Creative published works are excluded from this category
- The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these

E2: Non-refereed Conference publications

- Used to claim for conference papers which according to DIISR are not subject to peer review. The paper can be published in numerous formats and excludes abstracts.

E3: Abstracts, posters, short papers

E4: Edited volume of conference proceedings

E5: Conference proceedings – Other

E6: Other conference paper – Not published

3.6 Creative Works (J1, J3, J4, J5)

The J categories have been revised and now align with the Creative Works output types for the HCA Cluster described within the ERA Submission Guidelines. Further information can be found at <http://www.arc.gov.au/era/>

J1: Original Creative Works

Where the relevant eligible researcher is the creator of the creative work rather than, for example, the curator of an exhibition of creative works produced by others.

Include:

- **Visual art work:** A research output such as a fine arts and crafts work, diagram, map, photographic image, sculpture or installation
- **Design/Architectural work:** Realised, constructed, fabricated or unrealised building and design projects. 'Unrealised' projects must have an output that provides evidence of the research involved
- **Textual work:** Written creative work that is not eligible to be submitted as a book or journal article such as a novel or art review. Exhibition catalogues and catalogue entries should be submitted in this sub-category
- **Other:** Other original creative works that do not fit the other output types

J3: Live Performance of Creative Works

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

- **Music**
- **Play**
- **Dance**
- **Other**

J4: Recorded/Rendered Creative Works

- **Film/Video performance**
- **Performance:** Performances created specifically for a recorded medium
- **Inter-arts:** Recorded/rendered creative works, often experimental, produced in association with other researchers in other disciplinary fields
- **Digital creative work:** Creative 3D models, including digital outputs of architectural and design projects, computer programs, games and visual artworks
- **Website/Web exhibition:** These are eligible as recorded/rendered creative works if the researcher is the creator of the creative works featured in the website. Curated web-based exhibitions of other people's creative works must be submitted as J5 - Curated or Produced Substantial Public Exhibitions and Events
- **Other:** Other recorded/rendered creative works not listed above

J5: Curated or Produced Substantial Public Exhibitions and Events

The Curated or Produced Substantial Public Exhibitions and Events research output type is specifically aimed at research outputs produced by curators rather than artists (although exhibition catalogues written by curators should be submitted as J1 - Original Creative Works, in the 'Textual work' sub-category).

Include:

- **Web-based exhibition:** 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
- **Exhibition/Event:** 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 time and location of the exhibition
- **Festival:** 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
- **Other:** Curated or substantial public exhibitions and events that do not fit into the above output types

3.7 Reference Works (K)

General Criteria:

- The item must have an ISBN
- It is not necessary for the book publisher to meet the DIISR criteria of commercial publisher
- Creative published works are excluded from this category
- The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these

Major Reference Works

- Used to claim for substantial research contributions to scholarly publications such as handbooks, manuals, dictionaries or encyclopaedias

3.8 Reports and Working Papers (P1, P2)

General Criteria:

- Report/working papers must be non-confidential
- It is not necessary for the publisher to meet the DIISR criteria of commercial publisher
- Creative published works are excluded from this category
- The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these

P1: Major reports

- Used to claim major reports that are available in the public domain

P2: Minor Reports / Working Papers

- Used to claim reports or working papers that are only available internally

3.9 Computer Software (G)

General Criteria:

- It is not necessary for the distributor to meet the DIISR criteria of commercial distributor
- The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these

G: Computer Software Products

- Used to claim for innovative software products of commercial quality that are offered for sale or distributed as shareware through a publisher or distributor

3.10 Patents and Plant Breeder Rights (I1, I2)

General Criteria:

- This category refers to full patents / plant breeder rights (or equivalent) on specific products or processes granted for the first time, either in Australia or in an overseas country

I1: Patents / I2 Plant Breeder Rights

- Used to claim patents / plant breeder rights that have been granted in 2011 for the first time
- Owned by SCU, a commercial subsidiary, controlled entity or affiliated institution

4 ePublications@SCU

ePublications@SCU (<http://epubs.scu.edu.au/>) is an electronic open access repository administered by SCU Library. Its goal is to capture and preserve the intellectual output of SCU authors and researchers, and to increase visibility and impact by providing open access to publications to researchers around the world.

For more information please see the ePublications@SCU brochure available at http://epubs.scu.edu.au/Brochure_2011_web-res_version.pdf or email epubs@scu.edu.au.

All publications submitted to the DoR via SCU Publication Submission Forms will be provided automatically to ePublications@SCU (unless authors request otherwise). Inclusion in the repository will facilitate exposure to research outputs via search engines such as Google Scholar. This in turn has the potential to increase the impact of publications and to improve citation rates. Citation data will be included in the repository and subject to copyright conditions and publisher agreements the full text of each publication will also be included.

When submitting research publications, authors are requested to provide an electronic version of both

1. The Publisher's PDF, and
2. The Author's Accepted Manuscript (post peer-review and revisions)

The Author's Accepted Manuscript is the version that is most-often permitted by publishers to be added to open access repositories such as ePublications@SCU. For all publications where it has been possible to attach a full text document, authors will receive a monthly email indicating how many times the publication has been downloaded.

All publications included in ePublications@SCU include full citation details, refer to the publisher's version when this is appropriate, and will be added to each author's Personal Researcher Page (PRP) in the repository (if they have one). Researchers can request that a PRP be created for them by Library staff by emailing epubs@scu.edu.au.

Researchers may choose to not have their publications included in the repository and/or may request that they be removed from the repository at any time.

5 APPENDIX A

DEFINITION OF RESEARCH

Research is defined as 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.

This definition of research is consistent with a broad notion of research and experimental development (R&D) as comprising of creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise new applications.¹

This definition of research encompasses pure and strategic basic research, applied research and experimental development. Applied research is original investigation undertaken to acquire new knowledge but directed towards a specific, practical aim or objective (including a client-driven purpose).

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)

¹ OECD (2002), *Frascati Manual: Proposed Standard Practice for Survey on Research and Experimental Development*, OECD: Paris.

6 APPENDIX B - Book chapter calculation methodology

(NB These calculations are done automatically in IRMA)

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 SCU, to obtain a total score for contributions to the book.

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

Step 1

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

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

Step 2

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

Step 3

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

Example A

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

Step 1

The value is 1 divided by 1 equals 1.

Step 2

There are no further chapters to count.

Step 3

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

Example B

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

Step 1

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

Step 2

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

Step 3

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

Example C

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

Step 1

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

Step 2

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

Step 3

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

Example D

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

Step 1

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

Step 2

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

Step 3

Total value is $0.5+0.29 = 0.79$.

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

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