



Research Collection Manual

April 2017

The collection of research publications for Australian Catholic University (ACU) is managed by the Research Systems and Reporting unit falling under the Deputy Vice-Chancellor (Research).

Any enquiries regarding the collection of research publications should be addressed by email to Res.Performance@acu.edu.au

URL: <http://research.acu.edu.au/researcher-support/reporting-research-activities/>

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1 BACKGROUND

1.1 Introduction to the research collection

Each year Australian Catholic University (ACU) collects details of research publications and other outputs, funded and unfunded research projects and research supervision for the preceding year. This research collection will be used to provide research data:

- to the Commonwealth Government for the **Higher Education Research Data Collection (HERDC)** that partly determines the University's funding under the Research Block Grant programs run by the Commonwealth Government, these include the Research Training Scheme, the Research Infrastructure Block Grants Scheme, Sustainable Research Excellence and Joint Research Engagement;
- for **ACU Research Bank** that will make ACU research publications available to the public;
- for the next round of the **Excellence in Research for Australia (ERA)** initiative
- for the biennial survey by the Australian Bureau of Statistics
- to measure our research performance and determine if the University is achieving its strategic targets with regard to research

1.2 Who must complete the research collection?

Every **ACU academic staff member**, including adjunct and honorary staff, must complete the research collection. Research and scholarship are part of the academic role. If **ACU higher degree research (HDR) students** or **general staff members** have research publications that are eligible for HERDC they must be reported.

An **adjunct or honorary staff member** must report their research publications provided they demonstrate an **affiliation to ACU** on or within the publication.

Where there are multiple ACU authors, **it is the responsibility of the first-named ACU author to report the publication.**

1.3 Research collection process

The ACU Research Collection encompasses 4 subsets of data:

1. HERDC-eligible research publications
2. ERA non-traditional research outputs (also known as Creative Works)
3. University Only research publications and outputs
4. Non-affiliated research publications (also known as the collection of the publication history of newly-employed academic staff members)

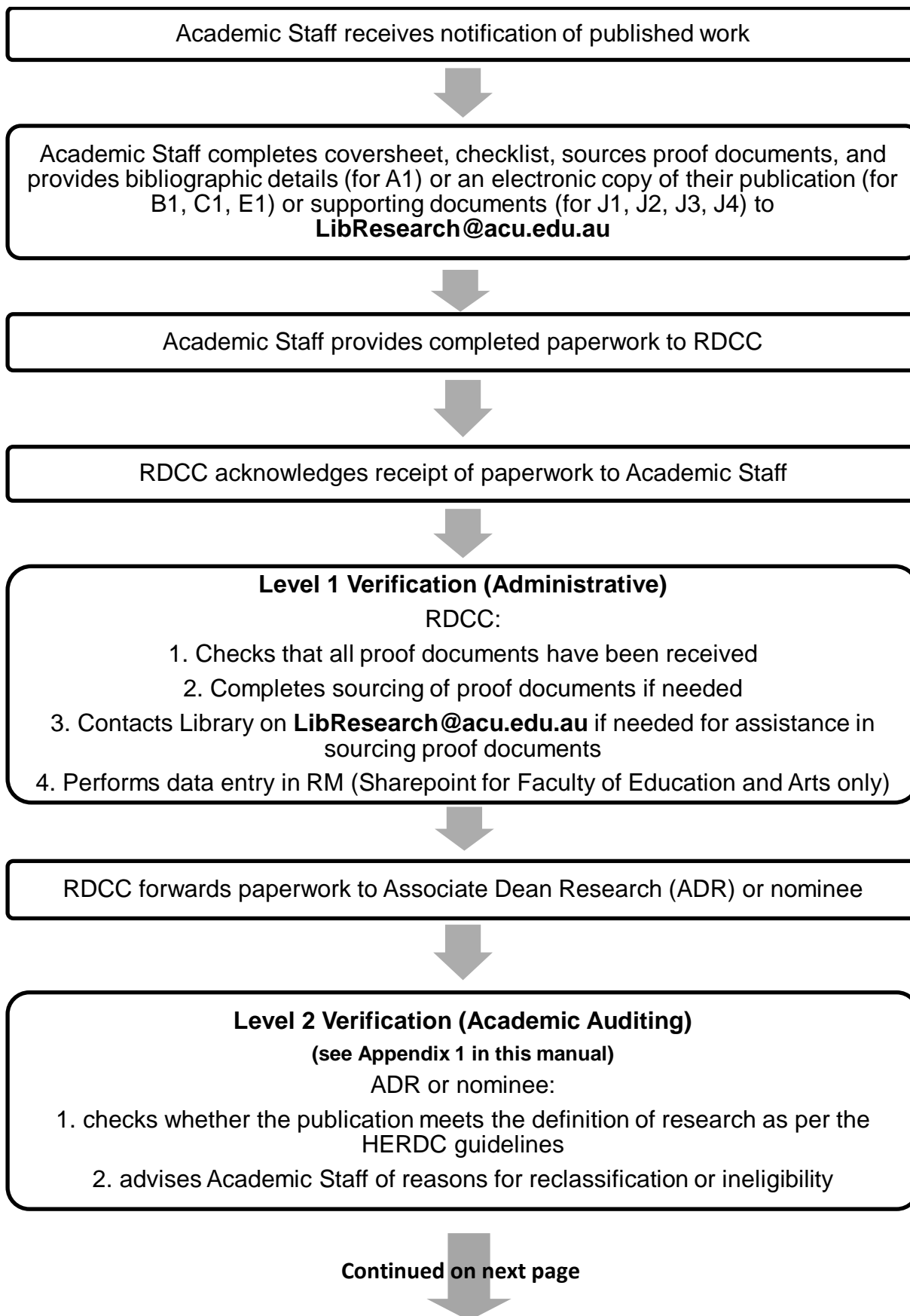
Below are the categories of research publications and outputs currently collected at ACU:

Category	Description	Forms part of	More info available at
A1	Book – Authored Research	HERDC-eligible research publications	Section 2 of this manual
B1	Book Chapter – Edited Research	HERDC-eligible research publications	Section 2 of this manual
C1	Journal Article – Refereed, Scholarly Journal	HERDC-eligible research publications	Section 2 of this manual
E1	Conference Paper – Full Paper, Refereed	HERDC-eligible research publications	Section 2 of this manual
J1	Original Creative Work	ERA non-traditional research outputs	Section 3 of this manual
J2	Curated or Produced Substantial Public Exhibitions and Events	ERA non-traditional research outputs	Section 3 of this manual

Category	Description	Forms part of	More info available at
J3	Live Performance of Creative Works	ERA non-traditional research outputs	Section 3 of this manual
J4	Recorded/Rendered Creative Works	ERA non-traditional research outputs	Section 3 of this manual
J5	Research Report for an External Body	ERA non-traditional research outputs	Section 3 of this manual
A2	Book Authored Other	University Only research publications and outputs	Section 4 of this manual
A3	Book Edited	University Only research publications and outputs	Section 4 of this manual
B2	Book Chapter - Other	University Only research publications and outputs	Section 4 of this manual
C2	Journal Article – other refereed, scholarly	University Only research publications and outputs	Section 4 of this manual
C3	Journal Article – non-refereed, scholarly, professional	University Only research publications and outputs	Section 4 of this manual
E2	Conference Paper – Full paper, non-refereed	University Only research publications and outputs	Section 4 of this manual
G	Government Report	University Only research publications and outputs	Section 4 of this manual
K1	Editor of a refereed journal	University Only research publications and outputs	Section 4 of this manual
K2	Editor of a non-refereed journal	University Only research publications and outputs	Section 4 of this manual
R1	Other externally funded research projects	University Only research publications and outputs	Section 4 of this manual
R2	Funded staff research projects	University Only research publications and outputs	Section 4 of this manual
R3	Unfunded staff research projects	University Only research publications and outputs	Section 4 of this manual
P2	Postgraduate supervision of non-ACU HDR students	University Only research publications and outputs	Section 4 of this manual
A1-N	Non-affiliated Book – Authored Research	Non-affiliated research publications	Section 5 of this manual
B1-N	Non-affiliated Book Chapter – Edited Research	Non-affiliated research publications	Section 5 of this manual
C1-N	Non-affiliated Journal Article – Refereed, Scholarly Journal	Non-affiliated research publications	Section 5 of this manual
E1-N	Non-affiliated Conference Paper – Full Paper, Refereed	Non-affiliated research publications	Section 5 of this manual
J1-N	Non-affiliated Original Creative Work	Non-affiliated research publications	Section 5 of this manual
J2-N	Non-affiliated Curated or Produced Substantial Public Exhibitions and Events	Non-affiliated research publications	Section 5 of this manual
J3-N	Non-affiliated Live Performance of Creative Works	Non-affiliated research publications	Section 5 of this manual

Category	Description	Forms part of	More info available at
J4-N	Non-affiliated Recorded/Rendered Creative Works	Non-affiliated research publications	Section 5 of this manual
J5-N	Non-affiliated Research Report for an External Body	Non-affiliated research publications	Section 5 of this manual

1.3.1 Research Collection Workflow for HERDC-eligible research publications and ERA non-traditional research outputs **when data entry is performed in ResearchMaster**



Admin Staff attached to ADR or nominee forwards paperwork to Research Systems and Reporting Team



Level 3 Verification

Research Systems and Reporting Team:

1. Checks that all proof documents have been received as per checklist
2. Checks data correctness and completeness in RM
3. Research Reporting Manager performs final checks on the HERDC-eligibility of the publication
4. Advises ADR of reasons for reclassification or ineligibility
5. Also advises Academic Staff of reasons for reclassification or ineligibility upon request from ADR



Research Reporting Manager lodges HERDC return to the Commonwealth Government

1.3.2 Research Collection Workflow for HERDC-eligible research publications and ERA non-traditional research outputs **when data entry is performed in ORION**

Please refer to the **Guidelines for Orion Data Entry** document available at <http://research.acu.edu.au/researcher-support/reporting-research-activities/> under 'Help and Resources'

Prior to data entry

If RDCC is to perform data entry on behalf of the Academic staff member, then the Academic staff member provides initial information/documents to RDCC:

1. Copy of publication;
2. Publication Category;
3. Research Classification Codes Allocation Sheet.

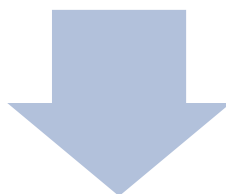
Otherwise, Academic staff member goes directly into Orion to enter their publication's bibliographic data .



Performing data entry

In Orion:

1. Click on the Publication menu;
2. Select 'Enter Publication (Researcher)';
3. Choose the collection year as this current year;
4. Choose the publication category;
5. Complete the rest of the fields to record the publication's bibliographic information;
6. Complete the Authors section;
7. Complete the AOUs section;
8. Complete the Classifications section;
9. Click on 'Download PDF Coversheet' and either save the coversheet for an electronic copy or print the coversheet for a hard copy;
10. Click on 'Data Entry Complete and Submit for Verification'.



Forward coversheet and proof documents to the office of the Associate Dean (Research) in your faculty.

1.3.3 Level 2 Verification by independent Centres or Institutes

Research Data Collection Coordinators (RDCCs) who operate in Centres or Institutes that are independent and don't fall under any faculty, should consult the Field of Research (FoR) code(s) specified by the Academic staff member on the coversheet or Research Classification Codes Allocation Sheet.

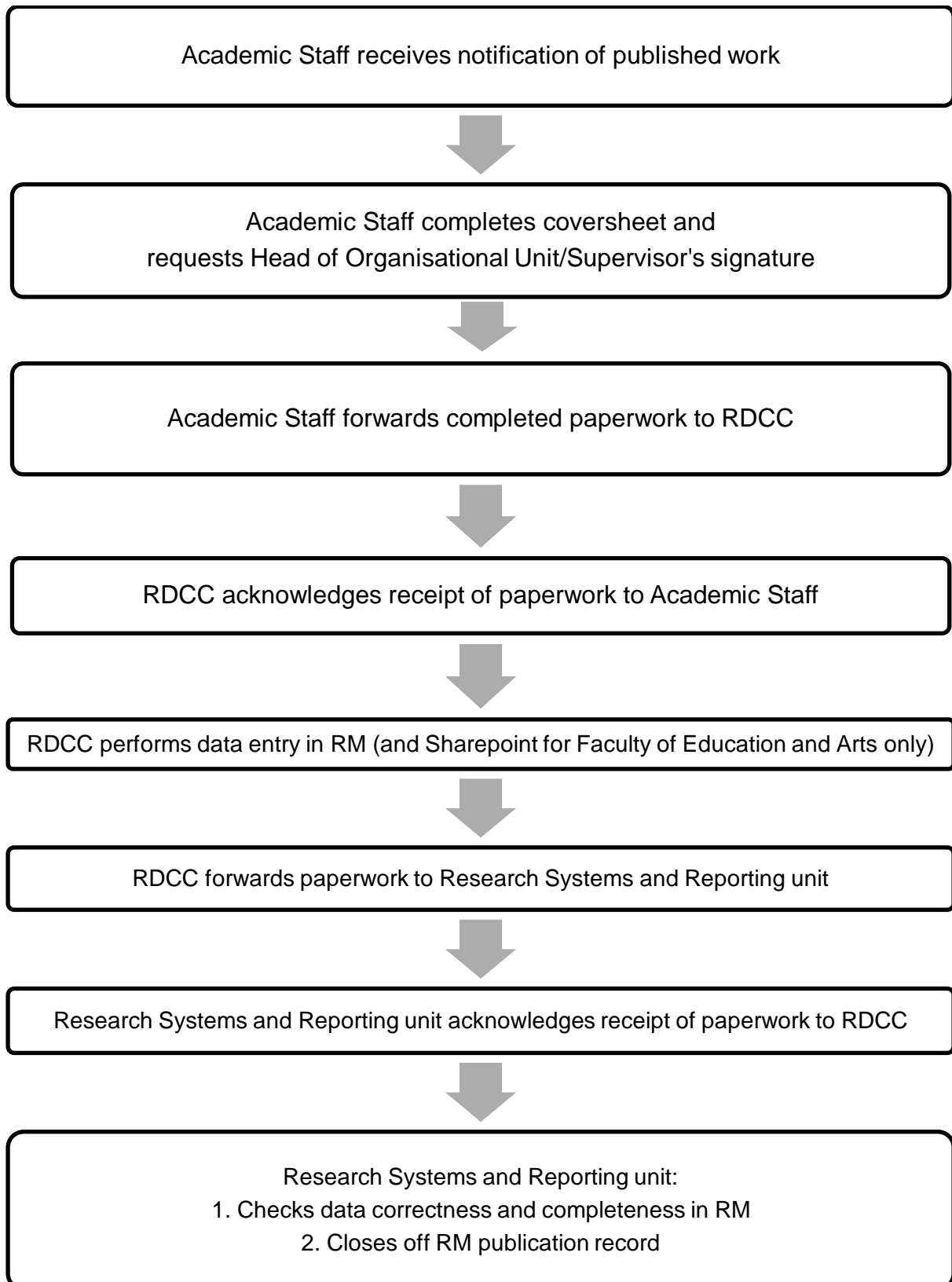
The Field of Research (FoR) code with the highest percentage will determine the Associate Dean (Research) to whom the paperwork (Orion printout, Research Classification Codes Allocation Sheet, coversheet, and proof documents) will be forwarded to for Level 2 Verification.

Below is a table of the FoR codes at the 2-digit level and the corresponding Associate Dean (Research) responsible for Level 2 Verification.

Academic Staff provide their FoR codes at the 6-digit level on the coversheet or Research Classification Codes Allocation Sheet. In making their judgement, RDCCs need to consider the 1st 2 digits, and forward the paperwork to the Associate Dean (Research) in the corresponding faculty.

FoR code	Associate Dean (Research)
01	Associate Dean (Research) of the Faculty of Education and Arts
02	Associate Dean (Research) of the Faculty of Health Sciences
03	Associate Dean (Research) of the Faculty of Health Sciences
04	Associate Dean (Research) of the Faculty of Health Sciences
05	Associate Dean (Research) of the Faculty of Health Sciences
06	Associate Dean (Research) of the Faculty of Health Sciences
07	Associate Dean (Research) of the Faculty of Health Sciences
08	Associate Dean (Research) of the Faculty of Law and Business
09	Associate Dean (Research) of the Faculty of Law and Business
10	Associate Dean (Research) of the Faculty of Law and Business
11	Associate Dean (Research) of the Faculty of Health Sciences
12	Associate Dean (Research) of the Faculty of Education and Arts
13	Associate Dean (Research) of the Faculty of Education and Arts
14	Associate Dean (Research) of the Faculty of Law and Business
15	Associate Dean (Research) of the Faculty of Law and Business
16	Associate Dean (Research) of the Faculty of Education and Arts
17	Associate Dean (Research) of the Faculty of Health Sciences
18	Associate Dean (Research) of the Faculty of Law and Business
19	Associate Dean (Research) of the Faculty of Education and Arts
20	Associate Dean (Research) of the Faculty of Education and Arts
21	Associate Dean (Research) of the Faculty of Theology and Philosophy
22	Associate Dean (Research) of the Faculty of Theology and Philosophy

1.3.4 Research Collection Workflow for University Only research publications and outputs when data entry is performed in ResearchMaster



1.3.5 Research Collection Workflow for University Only research publications and outputs **when data entry is performed in ORION**

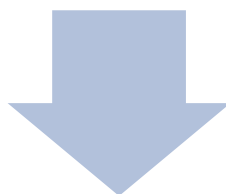
Please refer to the **Guidelines for Orion Data Entry** document available at <http://research.acu.edu.au/researcher-support/reporting-research-activities/> under 'Help and Resources'

Prior to data entry

If RDCC is to perform data entry on behalf of the Academic staff member, then the Academic staff member provides initial information/documents to RDCC:

1. Copy of publication;
2. Publication Category;
3. Research Classification Codes Allocation Sheet.

Otherwise, Academic staff member goes directly into Orion to enter their publication's bibliographic data .



Performing data entry

In Orion:

1. Click on the Publication menu;
2. Select 'Enter Publication (Researcher)';
3. Choose the collection year as this current year;
4. Choose the publication category;
5. Complete the rest of the fields to record the publication's bibliographic information;
6. Complete the Authors section;
7. Complete the AOU's section;
8. Complete the Classifications section;
9. Click on 'Download PDF Coversheet' and either save the coversheet for an electronic copy or print the coversheet for a hard copy;
10. Click on 'Data Entry Complete and Submit for Verification'.



Forward coversheet to the Research Systems and Reporting Team, Melbourne Campus

1.4 Research collection timelines

1.4.1 HERDC-eligible research publications and ERA non-traditional research outputs

Date	Action
31 st March each year	Research Collection due at Research Systems and Reporting (Melbourne)
1 st April each year – 30 th June each year	Research Systems and Reporting performs final checks on data quality and integrity, resolves any categorisation issues, and prepares HERDC return for submission to the Commonwealth Government

1.4.2 University Only research publications

Date	Action
31 st March each year	Research Collection due at Research Systems and Reporting (Melbourne)

1.4.3 Non-affiliated research publications

Newly-employed Academic Staff can enter their HERDC publication history via ORION.

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

1.4.4 Post-submission review by Research Systems and Reporting

When the submission of HERDC data to the Commonwealth Government is complete, Research Systems and Reporting performs the following steps:

- **Nomination of new Research Data Collection Coordinators (RDCCs)**
In July each year, Research Systems and Reporting requests faculties and centres to re-confirm their list of nominated RDCCs. Research Systems and Reporting then provides training on a one-on-one basis or organises for group training sessions, depending on the number of new nominations received.
- **Communication updates**
In July each year, Research Systems and Reporting updates the Research Collection Manual, the web pages on ACU's website, as well as the cover sheets and checklists if needed.

1.5 ResearchMaster (RM) and Orion

ResearchMaster (RM) is the University's research management tool and Orion (Research Information Online) is the web-based interface of ResearchMaster.

It is expected that the research data collection, and the subsequent data entry in RM or Orion, take place on an ongoing basis throughout the year.

More information on RM and Orion is available at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

HERDC publications authored by ACU Staff are made available in the ACU Research Bank, and verification documents are stored by Research Systems and Reporting. Research Systems and Reporting is required to keep verification documents for auditing purposes.

The ACU Research Bank can be accessed at: <http://dlibrary.acu.edu.au/researchbank/aboutresbank.html>

1.6 Definitions

➤ Research

Research is defined as the creation of new knowledge and/or the existing use of 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 applications¹.

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).

- any activity classified as research and experimental development is characterised by originality; it should have investigation as a primary objective and should have the potential to produce results that are sufficiently general for humanity's stock of knowledge (theoretical and/or practical) to be recognisably increased. Most higher education research work would qualify as research.

➤ Research publication

For the purposes of HERDC eligibility, 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, including through citations, footnotes etc;
- originality, that is, it is not a compilation of existing works;
- veracity/validity through a peer review process or the quality control processes of a commercial publisher;
- increasing the stock of knowledge; and
- being in a form that enables dissemination of knowledge.

Research publications may be produced in any appropriate format, such as print, publication online, or publication in digital form on separate media such as a CD.

Publication is more than the release of a work. It implies quality control (such as peer review or in-house quality control) and enhancement through processes such as assessment or review, editing, copy-editing, design, and conversion of the work to an appropriate format.

Each research publication must:

- meet the definition of research (as above) and
- **only be counted once.**
 - 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.

➤ Non-traditional research output

Research outputs that do not take the form of published books, book chapters, journal articles or conference publications.

A non-traditional research output is reported for Excellence in Research for Australia (ERA) in specific disciplines (four-digit FoR codes) – refer to 3.2 in Section 3 of this manual.

Non-traditional research outputs must also meet the definition of research and only be counted once.

➤ Year of publication

The research output must have been published (or made publicly available in the case of non-traditional outputs) in the preceding year and the date of publication must appear within or on the work being claimed.

Letters from authors or editors, stating that a work was published in a specific year, are not acceptable evidence of the year of publication. Exceptions are:

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

- For journal articles or conference publications that are produced on CD Rom or are web-based and no date exists within or on the publication, a letter from the editor of the journal or the conference organiser stating that a work was published in a specific year may be accepted.
- The date that a conference was held may be acceptable evidence of the year of publication.

➤ **Author Affiliation**

The author of the research publication must be affiliated with ACU and must be identified within or on the work being claimed.

Where institutional affiliation is not identified within a work, each ACU author must complete an Author Affiliation form (Appendix 3) to declare that the author was an ACU staff member or student when the research leading to the publication was conducted. Research Systems and Reporting will obtain confirmation from ACU Human Resources or the relevant Faculty in the case of students.

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

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

➤ **Author Apportionment**

Each publication is apportioned according to the number of authors. An ACU publication with one or more ACU authors is counted as a whole (1). An ACU publication with one ACU author and one external author is counted only 0.5. There is a separate calculation for B1 apportionment.

The apportioned publication count is what is reported by the University to the Commonwealth Government.

➤ **Commercial Publisher**

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

A recognised commercial publisher is an entity for which the core business is publishing books and distributing them for sale.

Important note:

Publication is more than the production of a book. It includes quality control such as peer review or equivalent in-house quality control through processes such as expert assessment or review, as well as editing, copy-editing, design, and conversion of the work to an appropriate format.

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.

University presses are regarded as commercial publishers, provided that they have responsibility for the distribution of the publication, in addition to its publication.

➤ Peer review

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

Peer review is required for journal articles and conference publications. It is also required for books and book chapters that are not published by a commercial publisher.

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

- the journal is listed on the ARC's Excellence in Research for Australia (ERA) 2015 journal list <http://research.acu.edu.au/researcher-support/reporting-research-activities/>
- the journal is listed in Thomson Reuters Web of Knowledge Master Journal List <http://ip-science.thomsonreuters.com/mjl/>
- the journal is classified as 'refereed' in the Ulrich's Knowledgebase <http://ulrichsweb.serialssolutions.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 that are not published by a commercial publisher** any of the following are acceptable as evidence of peer review:

- there is a statement in the book which shows that contributions are peer reviewed and in the case of book chapters, which indicates which chapters are peer reviewed, if this does not apply to all content
- there is a statement or acknowledgement from the publisher or editor which shows that contributions are peer reviewed
- a copy of a reviewer's assessment relating to the book or book chapter.

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.

1.7 Codes and classification of research

The Australian and New Zealand Standard Research Classification 2008 (ANZSRC) is jointly produced by the Australian Bureau of Statistics (ABS) and Statistics New Zealand (Statistics NZ). ANZSRC is the collective name for a set of three related classifications developed for use in the measurement and analysis of research and experimental development (R&D) undertaken in Australia and New Zealand.

The three constituent classifications included in the ANZSRC are:

- Types of Activity (**ToA**)
- Fields of Research (**FoR**)
- Socio-Economic Objective (**SEO**)

Research Classification Codes are available at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

➤ Types of Activity (ToA) codes

Each research project can be classified into one or more research types.

PB - Pure basic research is experimental and theoretical work undertaken to acquire new knowledge without looking for long term benefits other than the advancement of knowledge.

SB - Strategic basic research is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas in the expectation of useful discoveries. It provides the broad base of knowledge necessary for the solution of recognized practical problems.

AR - Applied research is original work undertaken primarily to acquire new knowledge with a specific application in view. It is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives.

ED - Experimental development is systematic work, using existing knowledge gained from research or practical experience for the purpose of creating new or improved products/processes.

Most research projects will probably be classified 100% to one type of research activity. However, where a research project is classifiable by more than one type, the proportion of resources classifiable to each should be allocated to each type. The %s allocated to **ToA** must sum to 100%.

➤ Field of Research (FoR) codes

The **FoR** classification enables research and development to be classified in terms of its discipline and describes the nature of the research being done. When coding a project/publication by **FoRs**

1. Determine the **division** in which the research is performed , then
2. Determine the most relevant **group(s)**, and then
3. Select the most relevant **field(s)** within that group.

Up to a maximum of three **FoRs**, at the **6 digit level**, can be nominated for each project/publication and the percentage apportionment of the **FoRs** must sum to 100%.

➤ Socio-Economic Objective (SEO) codes

The **SEO** classification allows research and development activities to be classified in terms of the main area of expected national benefit. It describes the end purpose of the research being performed. The purpose categories take account of processes, products, health, education and other social and environmental aspects of particular interest.

When coding a project/publication by **SEOs**

1. Determine the most relevant **sector** in which the largest component of the research project is being performed , then
2. Determine the most relevant **division(s)**, and then
3. Determine the most relevant **group(s)**, and then
4. Select the most relevant **objective(s)** within that group.

Up to a maximum of three **SEOs**, at the **6 digit level**, can be nominated for each project/publication and the percentage apportionment of the **SEOs** must sum to 100%.

2 HERDC-ELIGIBLE RESEARCH PUBLICATIONS

These categories of publications will be entered into ResearchMaster by the Research Data Collection Coordinator (RDCC).

2.1 HERDC-eligible categories

Although ACU collects information about research activities in a number of different categories, only research publications in four categories are eligible under HERDC.

There are strict criteria which require verification for the four categories as set out in the HERDC specifications. The HERDC specifications can be accessed at:

<http://education.gov.au/higher-education-research-data-collection>

To be eligible for the HERDC collection:

- Your research publication must fall into one or more of the following categories:
 - **Book – Authored Research;**
 - **Book Chapter - Edited Research;**
 - **Journal Article – Refereed, Scholarly Journal;**
 - **Conference Publication – Full Paper, Refereed.**
- The publication must be a **research publication** and it must be a research output which meets the definition of **research** (as defined in section 1.6 of this manual).
- The **author affiliation** must be ACU during the time the research was carried out. The author may be an ACU staff member, honorary staff member or student.
- In the case of a journal article or conference paper or book/book chapter not published by a commercial publisher, the publication must have undergone an acceptable **peer review** process (Refer to the 'Peer Review' information in section 1.6 of this manual).

Foreign language publications and electronic works

Foreign language publications and electronic works are eligible to be counted, provided they meet all the verification criteria of the publications category against which they are being claimed and that the verification evidence is provided in English. According to the HERDC guidelines, it is not necessary to translate the entire publication, but all the relevant sections required for the verification of information to demonstrate that it meets the HERDC criteria, should be translated. This includes evidence that the work is a major work of scholarship and meets the definition of research.

Verification

A publication will only be categorised as a HERDC-eligible publication when all verification material is provided, as these publications may be subject to external audit.

The University is penalised for incorrect data and this will decrease the funds provided to the University based on its research performance. It is essential, therefore, that all information is provided with the highest level of accuracy.

In all cases, the final decision on the category in which the publication belongs and its eligibility will be determined by the office of the Deputy Vice-Chancellor (Research).

A summary of the verification required for each of the four HERDC categories is shown on the next page.

2.2 Verification summary for HERDC-eligible publications

A1 Book	B1 Chapter	C1 Journal Article	E1 Conference Paper
Copy of front cover of book	Copy of front cover of book	Full copy of published article	Copy of front cover of proceedings OR Copy of CD-Rom's front cover OR Print out from website evidencing online publication of conference proceedings
Copy of title page	Full copy of published chapter	Proof of year of publication	Proof of conference's name, date, location and attendees (to prove national or international significance)
Copy of full table of contents	Copy of editor(s)	Proof of ISSN	Full copy of published paper
Proof of year of publication	Copy of title page	Proof of publisher	Proof of year of publication
Proof of ISBN	Proof of year of publication	Proof of journal	ISBN or ISSN if available
Proof of publisher and proof of peer review if not published by a commercial publisher (Refer to the 'Peer Review' information in section 1.6 of this manual).	Proof of ISBN	Proof of author affiliation	Proof of publisher
Copy of preface and introduction	Proof of publisher and proof of peer review if not published by a commercial publisher (Refer to the 'Peer Review' information in section 1.6 of this manual).	Proof of peer review (Refer to the 'Peer Review' information in section 1.6 of this manual).	Proof of author affiliation
Proof of author affiliation	Copy of preface and introduction		Copy of full table of contents
Proof of place of publication	Proof of author affiliation		Proof of peer review (Refer to the 'Peer Review' information in section 1.6 of this manual).
	Copy of full table of contents		Copy of preface and introductory pages
	Proof of place of publication		
	If new chapter in a revised edition, proof that chapter is new		

2.3 Descriptions, and web links to coversheets for each HERDC-eligible category

A1 Book – Authored Research

Weighting (applied by the Commonwealth Government) 5

Eligibility

To be included in this category the publication must meet the definition of research, the key characteristics of research publications and:

- must be a major work of scholarship;
- 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 or if not published by a commercial publisher, must have been peer reviewed
- the author must be affiliated with the claiming institution

The types of books that may meet the criteria include:

- critical scholarly texts (for example music, medieval or classical texts);
- new interpretations of historical events;
- 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/new editions;
- manuals or handbooks
- theses (PhD, Masters and Honours)

Note: many books published by professional bodies **do not report original research findings** but report the results of evaluations, or repackage existing information for the benefit of professionals or practitioners. These publications must be assessed carefully against the key characteristics of research publications, and can only be reported if they **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.

To report your book, please complete the A1 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

B1 Book Chapter- Edited Research

Apportionment: according to the Commonwealth Government formula**

To be included in this category, the publication must consist of substantially new material, and contribute to an edited compilation in which the material is subject to editorial scrutiny. It must also meet the definition of research and the key characteristics of research publications and:

- must have an International Standard Book Number (ISBN)
- must have been published by a commercial publisher or if not published by a commercial publisher, must have been peer reviewed
- the author must be affiliated with the claiming institution

A book chapter may be included if it has been published previously as long as it constitutes **substantial new knowledge and is 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; and
- 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;
- translations (unless they have a major demonstrable original research component);
- case studies;
- encyclopedia entries.

** Book chapters are apportioned according to a Commonwealth Government formula that looks at each ACU author of a chapter and all chapters in a book. The first chapter contributed to by an author is given a value of 1 (if the author is the sole author) and the remaining chapters in the book contributed to by that author are scored on a pro-rata basis.

RM will calculate this correctly provided there is at least one "main chapter" marked.

If you have published more than one chapter in a book, the chapter of which you are the sole author (or with as few contributors as possible) must be marked as the **main chapter**.

If you have published only one chapter in a book, this must be marked as the **main chapter**.

To report your book chapter, please complete the B1 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

C1 Journal Article – Refereed, Scholarly Journal

To be included in this category the journal article must meet the definition of research as amplified in the key characteristics of research publications and must:

- be published in a scholarly journal;
- have been peer reviewed (note that the fact that an article has been peer reviewed does not automatically mean that it is eligible. The article must still meet all other criteria);
- 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 Knowledgebase or Thomson Reuters Master Journal List or from the Scopus database is sufficient to demonstrate the existence of the number; and
- the author must be affiliated with the claiming institution

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 well as all other criteria;
- critical scholarly texts which appear in article form;
- articles reviewing multiple works or an entire field of research;
- invited papers in journals;
- articles in journals which are targeted to both scholars and professionals; and
- articles in a standalone series.

The types of journal articles that are **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.

#Note: Do not report your article if it has been made available online but is still in press. You need to wait that your article has gone into final publication, has a proper volume number, issue number, start page, and end page numbers before you can report the article.

To report your journal article, please complete the C1 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

E1 Conference Publication – Full Paper, Refereed

To be included in this category the conference publication must meet the definition of research as amplified in the key characteristics of research publications and must:

- **be published in full.** The papers may appear in any format, eg. a volume of proceedings, a special edition of a journal, a normal issue of a journal, CD Rom or conference or organisational web site;
- be peer reviewed; and
- be presented at conferences, workshops or seminars of national or international significance;
- the author must be affiliated with the claiming institution

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

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

To report your conference paper, please complete the E1 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

3 ERA NON-TRADITIONAL RESEARCH OUTPUTS (CREATIVE WORKS)

3.1 Non-traditional Outputs

A non-traditional research output is a research output that does not take the form of a published book, book chapter, journal article or conference publication.

These non-traditional research outputs are reported for the Excellence in Research for Australia (ERA) initiative under specific disciplines (four-digit FoR codes). Non-traditional research outputs have to meet specific criteria, however, they do not require the same level of verification as HERDC-eligible category publications.

To be eligible as a non-traditional research output for ERA:

- Your research outputs must fall into one of the following categories
 - **Original Creative Work**
 - **Curated or Produced Substantial Public Exhibitions or Events**
 - **Live Performance of Creative Works**
 - **Recorded/Rendered Creative Works**
 - **Research Reports for an External Body**
- The research output must meet the **definition of research** (as defined in Section 1.6 of this manual)
- The **author affiliation** must be ACU during the time the research was carried out. The author may be an ACU staff member, honorary staff member or student.

3.2 Disciplines that can report Non-traditional research outputs

Research Reports for an External Body can be reported in any field of research.

However, all the other types of non-traditional research outputs, listed in section 3.1 above, can only be reported if they fall in one of the following research divisions (two-digit FoR):

- 12 Built Environment and Design
- 13 Education
- 14 Economics
- 15 Commerce, Management, Tourism and Services
- 16 Studies in Human Society
- 18 Law and Legal Studies
- 19 Studies in Creative Arts and Writing
- 20 Language, Communication and Culture
- 21 History and Archaeology
- 22 Philosophy and Religious Studies

3.3 Descriptions, and web links to coversheets for each Non-traditional output category

J1 Original Creative Work

This category refers to original creative works where the researcher/author is the creator of the creative work.

Exhibited creative works can be submitted as either

- A single item exhibited as an individual creative work; or
- A group of works exhibited as a cohesive/thematic collection of a single creator's work

Creative Works fall under the following sub-categories:

Visual art work	Fine arts and crafts work, diagram, map, photographic image, sculpture or installation.
Design/Architectural work	Realised, constructed, fabricated or unrealized building and design projects.
Textual work	Written creative work that is not eligible as a book or journal article, such as a novel or art review. Includes exhibition catalogues and catalogue entries.
Other	Other outputs that do not fit the other research output types. For example, scholarly editions, scholarly translations and public policy reports may be submitted under this category, provided they meet the relevant eligibility criteria, including meeting the definition of research.

To report your research output, please complete the J1 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

J2 Curated or Produced Substantial Public Exhibitions and Events

This category is specifically for research outputs produced by curators rather than artists. The curator may claim exhibitions, festivals and other events as research outputs.

Multiple exhibitions/events (in the same year) cannot be counted as multiple research outputs where the repeated exhibitions/events do not introduce a new research component to the work. They may be counted where the subsequent exhibition/event introduces a new research component that builds upon the initial research component of the original exhibition/event.

Curated or Produced Exhibitions and Events fall under the following sub-categories:

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 recognized 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 perspective and/or experiences.
Other	Curated or substantial public exhibitions and events that do not fit into the above output types.

To report your research output, please complete the J2 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

J3 Live Performance of Creative Works

The research output for this category is the actual public performance of the original creative work.

Live Performances fall under the following sub-categories:

Music	New work or a demonstrably new or innovative interpretation or production of an existing work.
Play	New work or a demonstrably new or innovative interpretation or production of an existing work.
Dance	New work or a demonstrably new or innovative interpretation or production of an existing work.
Other	Other new work or a demonstrably new or innovative interpretation or production of an existing work.

To report your research output, please complete the J3 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

J4 Recorded/Rendered Creative Works

The research component for this category is contained within the recording/rendering.

Recorded/Rendered works fall under the following sub-categories:

Film/Video	Film or video.
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 exhibitions	These are eligible if the researcher/author is the creator of the creative works featured in the website.
Other	Other recorded/rendered creative works not listed above.

To report your research output, please complete the J4 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

J5 Research Report for an External Body

A Research Report for an External Body is a written research output commissioned or solicited by an external body such as a government department or private company.

Sub-categories of Research Report for an External Body are as follows:

Research Output	Description
Public Sector	A research report that has been undertaken for an Australian, state, territory, local, foreign or international government body or organisation.
Industry	A research report that has been undertaken for a company, industry organisation, industry peak body, or an employer/employee association.
Not-For-Profit	A research report that has been undertaken for a body or organisation operating in the not-for-profit sector.
Other	A research report undertaken for an organisation not covered by the above sub-categories.

The following examples are likely to be ineligible for submission under this subcategory:

- submissions to public inquiries and consultations, including government or parliamentary inquiries;
- policy blogs or online commentaries/articles; and
- briefing notes.

To report your research output, please complete the J5 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

4 UNIVERSITY ONLY RESEARCH PUBLICATIONS AND OUTPUTS

A2 Book-Authored Other

This refers to books which must be written solely by the author(s). Publications in this category must be a substantial work of scholarship.

The types of books which would fall in this category are:

- research monographs published by university departments;
- textbooks (consisting mainly of new combinations of existing knowledge or updating of a body of established knowledge to make it more readily accessible) aimed primarily at a university audience;
- books published by private individuals, university departments and privately funded companies, eg. “vanity presses”;
- translations of published books and other authored books or monographs;
- annotated anthologies.

To report your publication, please complete the A2 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

A3 Book – Edited

This refers to books which must be edited books, monographs or short series of volumes consisting of contributions from a number of authors.

To report your publication, please complete the A3 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

B2 Book Chapter – Authored Other

This refers to a contribution consisting substantially of material that does not meet the HERDC definition. Publications in this category must be a substantial work of scholarship.

Chapters in B2 may include any of the following:

- contribution to a research monographs published by university schools and available for sale commercially;
- chapters in a textbook published by a commercial publisher;
- revisions of chapters in edited books;
- contribution to creative works such as collections of short stories, which do not meet the definition of Category J;
- chapters in books published by private individuals, university departments and privately funded companies, eg. "vanity presses";
- chapters in government department publications not covered by Category A2;
- chapters in translations (includes commentaries not covered by A2 or B1)
- annotated anthologies (unless incorporating a critical scholarly text which is a major work of scholarship in its own right) (possibly A2);
- chapters in books published by professional or research organisations which have other functions besides publishing.

To report your publication, please complete the B2 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

C2 Journal Article – Other Refereed, Scholarly Journal

This refers to commentaries and brief communications of original research that are subject to a formal process of peer review and are published in a scholarly journal controlled by an editorial board.

Articles that can be included are:

- publications such as Research Notes which are refereed and Letters to Nature;
- critical scholarly texts, eg. medieval or classical texts which appear in article form.

To report your publication, please complete the C2 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

C3 Journal Article – Non-refereed, Scholarly or Professional Journal

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

Articles that can be included are:

- articles that are sets of guidelines or summaries of the state of knowledge in an area, generally intended to inform practitioners in a professional field – in either refereed or non-refereed journals;
- medical case histories.

To report your publication, please complete the C3 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

E2 Conference Publication – Full Paper, Non-Refereed

This refers to written versions of conference presentations subsequently published which were not subject to peer review or formal assessment by an editorial board.

To report your publication, please complete the E2 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

G Government Report

This refers to evaluative and investigative government department publications, eg. Commonwealth Government Evaluations and Investigations Program reports. Working papers and scientific/technical reports prepared for a Government department can also be reported under this category.

To report your publication, please complete the G cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

K1 Editor of a Refereed Journal

This refers to the editorship of a journal which publishes substantial works of scholarship following a process of peer review (that is, all articles are refereed by two or more professional colleagues.) The journal is controlled by an editorial board which assesses the reports of referees.

To report your publication, please complete the K1 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

K2 Editor of a Non-Refereed Journal

This category refers to the editorship of a journal which publishes articles of scholarship but does not follow a process of sending submissions to colleagues to undertake peer review (that is, articles are not refereed by two or more professional colleagues.) The journal may have a single editor or may be controlled by an editorial board.

To report your publication, please complete the K2 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

R1 Other externally funded research project

This category is for staff who received an external research grant or research consultancy and no money was transferred to ACU.

Staff may not claim credit for receipt of private consultancy funding or work undertaken under the University Paid Outside Work Policy. All monies, which have been banked privately, constitute taxable income and must be reported to the Australian Taxation Office by the recipient.

To report your research project, please complete the R1 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

R2 ACU funded staff research project

This applies if you received funds from ACU or your Faculty to support a research project.

To report your research project, please complete the R2 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

R3 Unfunded staff research projects

Many ACU staff conduct research that is unfunded. It is very important that you complete the cover sheet for each unfunded research project you have conducted.

To report your research project, please complete the R3 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

P2 Supervision of HDR students at other Universities

If you are supervising a Higher Degree Research (HDR) student at a University other than ACU, please complete a coversheet for each student.

To report your supervision, please complete the P2 cover sheet accessible at:

<http://research.acu.edu.au/researcher-support/reporting-research-activities/>

5 NON-AFFILIATED RESEARCH PUBLICATIONS (COLLECTION OF PUBLICATION HISTORY OF NEWLY-EMPLOYED ACADEMIC STAFF)

Non-affiliated research publications are those publications where the author affiliation is not to ACU, that is, these publications that have been authored whilst employed at a previous institution. These publications can be reported by ACU for the Australian Research Council's Excellence in Research for Australia (ERA) initiative.

To be eligible for collection, non-affiliated research publications must be:

A HERDC-eligible publication (see section 2 of this manual)

OR an ERA non-traditional research output (see section 3 of this manual)

Non-affiliated research publications can be reported through Orion.

Orion (Research Information Online) is the web-based interface of ResearchMaster. Available via an internet browser from any computer or location, Orion enables improved access to and enhanced reporting of research data. Orion is now available to all academics, HDR students, RDCC and Faculty Research Admin Staff.

You can access Orion at orion.acu.edu.au. Use your ACU staff username and password to login.

Once logged in to Orion, to report your non-affiliated research publications:

1. Click on the Publication menu;
2. Select 'Enter Publication (Researcher)';
3. Choose the collection year as this current year, being the year you are lodging your non-affiliated publication in Orion;
4. Choose the category as being the –N equivalent of the publication category you wish to lodge in Orion. For example, if you are reporting a C1, then choose C1-N;
5. Complete the rest of the fields to record the publication's bibliographic information;
6. Complete the Authors section;
7. Complete the AOU's section;
8. Complete the Classifications section;
9. Click on 'Download PDF Coversheet' and either save the coversheet for an electronic copy or print the coversheet for a hard copy;
10. Click on 'Data Entry Complete and Submit for Verification';
11. Forward coversheet and proof documents to the office of the Associate Dean (Research) in your faculty.

APPENDIX 1 - Guidelines for Academic Auditing

Guidelines for Academic Auditing of HERDC publications (A1, B1, C1, E1 categories), ERA eligible publications (A1-N, B1-N, C1-N, E1-N categories), and ERA non-traditional research outputs (J1, J2, J3, J4, J5 categories)

Academic Auditing is an important component of the research collection process. It constitutes Level 2 Verification, which involves checking and determining the eligibility of research publications to be classified under HERDC, as well as the eligibility of creative works to be classified as ERA non-traditional research outputs. See section 2 of this manual for further information on what constitutes an eligible HERDC publication. See section 3 of this manual for further information on what constitutes an eligible ERA non-traditional research output.

Below is a summary of the tasks associated with Academic Auditing:

- Checking whether the publication claimed as HERDC-eligible, actually meets the definition of research as stipulated in the HERDC submission guidelines;
- Checking whether the creative work claimed as an ERA non-traditional research output, actually meets the definition of research as stipulated in the ERA submission guidelines;
- Verification of hard copy evidence documents received from Academic Staff;
- Signature on checklist following verification of HERDC publications;
- Signature on coversheet following verification of ERA non-traditional research outputs;
- Review the ACU Research Collection Manual on a yearly basis noting any changes;
- Liaise with all academic staff in their area to ensure their publications and outputs are reported in a timely manner. See section 1.4 of this manual for further information on the research collection timelines.
- Liaise with the Research Data Collection Coordinator (RDCC) in their School/Faculty regarding the ongoing data entry of research publications and outputs in Research Master, ACU's research management system;
- Take a lead role in education of new staff and new researchers regarding the ACU Research Collection process;
- Support Heads of School in emphasising the importance, goal and purpose of the ACU Research Collection. See section 1.1 of this manual for further information on the purpose of the ACU Research Collection.