



# UNSW Research Services

## Publications Collection Users' Manual

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### **Intended Readership**

Data Entry Personnel  
School Publications Co-Ordinators  
Heads of Schools  
Authors  
Research Services Publications Staff

### **Related Manuals**

Publications Collections Users' Manual  
Publications Collection Process Management Manual  
Publications Collection Administrators Manual

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# UNSW Research Services

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## 1 Introduction

### 1.1 The Reason for the Publications Collection

UNSW schools and research centres submit their research publications to the Publications Collection

- For inclusion in the Higher Education Research Data Collection as required by the commonwealth government
- To take advantage of the funding which flows from this collection
- To provide UNSW with a record of research publications
- To enable the allocation of funding internally
- To provide a valuable information resource about research activity
- To provide an audited pool of material that can be used
  - To provide publication lists of research and other publications, patents, exhibitions, theses, etc. for annual reports and CVs,
  - To provide text files for display of web sites,
  - To provide data for analysis in the form of Excel spreadsheets.

Publications which have one or more UNSW author, and which satisfy the criteria set out in the DEST publications categories, will be included in the Higher Education Research Data Collection. Publication scores reported in the Higher Education Research Data Collection will be used in the allocation formulae for government funding under the Institutional Grants Scheme (IGS) and Research Training Scheme (RTS). All categories, including the Non-DEST items eg exhibitions, computer software, major written or recorded works, etc. should be included in the database.

### 1.2 The Purpose of this Manual

The purpose of this manual is to provide a brief but comprehensive description the tasks and a summary of the knowledge needed by staff who gather and enter and process the data for the Publications Collection.

### 1.3 Who Should Read this Manual?

The information in this manual is relevant to:

- Data entry staff
- Staff who manage the collection process in each school
- Academics who wish to be informed about the collection process and DEST eligibility rules
- UNSW Research Services staff who manage the process.

### 1.4 Related Manuals

There are three manuals covering the whole range of functions required for the UNSW Publications Collection:

- Publications Collections Users Manual
- Publications Collection Process Management Manual
- Publications Collection Administrators Manual

## 2 Publications Collection Information

### 2.1 Contact Details

For any problems or questions please contact:

Tom Croucher

email: [t.croucher@unsw.edu.au](mailto:t.croucher@unsw.edu.au)

phone: 9385-8517

### 2.2 UNSW Collection Procedures

- The Collection Process, which is explained in detail in Chapter 3, can be summarised as follows:
- For **Publications imported from the Internet** (see Section 2.3):
  - After each import the school will be sent a completed Publication Cover Sheet for each imported item. These should be issued to the nominated author.
  - The nominated author should complete the Cover Sheet and return it to the school accompanied by the verification material specified on the Cover Sheet.
- For **Publications not provided by the Import**:
  - The Publication Cover Sheets should be downloaded from the Research Services website and issued to Academics, or else Academic staff may download the Cover Sheets as required.
  - As each item is published, and the appropriate Cover Sheet is filled in, the verification material (for DEST items only) is copied and sent to the School office.
- The data entry of the items is completed, or checked or amended in the School.
- Before leaving the School, the publication material should be viewed by a senior academic from each school to check that:
  - the item has been allocated to the correct category
  - the work satisfies the DEST definition of original scholarly research (see Section 4.1)
  - the verification material is complete.
- All DEST items are forwarded to Research Services to be verified and held for possible audit.
- During the verification process Research Services staff will communicate the progress of the collection, via email, using a variety of reports:
  - the Head of School (or a nominated replacement) and the Data Entry Person will receive a Verification status of each DEST item.
  - the Head of School (or a nominated replacement) the Data Entry Person will receive a Progress report showing the state of the current collection compared to the previous year.
  - Data entry staff will receive a Data Quality Report showing the completeness and accuracy of the data that they have entered.
- Towards the end of the verification process the Head of School will be provided with a report on all publications in the appropriate categories. This is the school's final opportunity to have items included in the current DEST collection.
- In early July a letter will be prepared for DEST, for the VC to sign, stating and final figures for the four DEST Categories and declaring that the collection was carried out according the DEST Specifications.

## 2.3 Importing Publications

Since the start of the collection of the 2004 Collection UNSW has been able to download **journal articles** from the ISI, Medline and Compendex web sites. The publications loaded from the web are then reformatted and imported into the ResearchMaster database. It is anticipated that UNSW will receive about 2,500 Journal Articles this way each year representing about 90% of the Journal Articles and about 50% of the total collection.

Publications will be obtained from the Internet about four times each year. The import will deliver the data much sooner than the current process, it will be more complete and more accurate and save staff time in every School of UNSW. Once the data has been imported each school will be sent a list of imported publications with a computer generated Cover Sheet. The Cover Sheets should be sent to the nominated author on the form who should then:

- Complete and correct the information on the form,
- Sign the authorisation,
- Provide the verification material (i.e. the photocopying and proof of refereeing) . . . and
- Return the material to the school Administration Officer responsible for the school's Publications Collection. .

### 2.3.1 Checking Authors

It is most important that Academic Staff who receive Cover Sheets for imported items carefully check both the Authors and the RFCD Codes. While the publication details imported are very reliable, the matching of authors is a little more difficult. In most cases the text files received from the web only state the surname and initials of the author, and in some cases only one initial is provided. Where the data is insufficient to provide a unique match with the UNSW personnel file the program narrows the selection by also matching on the School code of the other authors if there are any. Despite a sophisticated algorithm the final choice of the author in about 5% of cases defaults to the first internal matching name. Therefore the list of authors should be checked carefully and any errors identified and corrected within the school.

As at August 2005 the import only loads Journal Articles. If the other categories, especially Conference Papers, can be obtained in a similar manner then the import process can be expanded.

**PLEASE NOTE: The fact that a publication has been imported does not imply that verification is unnecessary.**

### 2.3.1 Incorrect Cover Sheets

If a Cover Sheet is sent to a school with incorrect authors, please correct this on the database; if there are no authors from the school, please return the Cover Sheet to UNSW Research Services.

## 2.4 Closing Date

The closing date in each year for new DEST items is **31<sup>st</sup> May following the Publication Year** i.e. the closing date for 2003 Publications is 31<sup>st</sup> May 2004.

This does not mean that any school may consider it appropriate to submit an entire year's collection on 30<sup>th</sup> May. To maximize the collection while minimizing the total workload, schools should forward their publications, with the verification material attached, to the UNSW Research Services office in small bundles at regular intervals throughout the year. Depending on the size of the school

this may mean a bundle of 6 items every 2 months, while in other schools might forward 20 items every month.

Every effort should be made to clarify items marked “PENDING” as soon as possible. These often require additional material, eg for refereeing, or concerning previous editions of the same title. If a classification of “NON-DEST” is to be discussed, this should not be left until the last days of the collection.

The closing date is the last date that Research Services can guarantee that publications received will be checked and included in the DEST Collections. Publications received after this date cannot be guaranteed inclusion in the DEST collection. They will be included if time permits or they may be altered to a non-DEST category if inadequate verification material is provided.

Please note that after the closing date for one collection, no information about the publications for other collection years will be mentioned in reports in order to concentrate on the impending DEST deadline.

## 2.5 Delivery Address

Please deliver all items for the DEST collection (i.e. A1, B1, C1, E1 ONLY ) to:

Tom Croucher  
Level 3, UNSW Library  
University of New South Wales, Kensington

## 2.6 Publication Collections Web Site

Relevant details for the Publications Collection can be found on the Research Services’ web site at <http://www.ro.unsw.edu.au>. Click on [Research@UNSW](mailto:Research@UNSW) and follow the links.

The screen includes links to the following:

- The UNSW Collection Information Guide
- The UNSW Covers Sheets
- The RFCDCodes
- The Data Collection Specifications at DEST
- The Register of Refereed Journals on the DEST web site

## 2.7 Multiple UNSW Authors

- Where a publication has more than one author from UNSW, the publication should be entered once only. If an item is entered more than once it will be removed when checks are performed to locate duplicate entries.
- Authors must be entered in the order printed on the publication.
- Every author with a UNSW by-line should be entered as **Internal** regardless of his or her School or unit.
- All Schools involved receive credit for their contribution to all publications.

If a publication has authors from more than one UNSW School, the Database software distributes the DEST points in proportion to the number of authors from each School. When Schools ask for a list of their publications a shared publication will appear on the list for each School.

## **2.8 The ‘Common Sense’ Rule for the Provision of Verification Material**

The whole is a juggling act, balancing DEST requirements, the need for information about research activity and the amount of time and effort that it takes. The information collected:

- Provides valuable information to UNSW about research and other activities
- Is used to satisfy information requests from the Commonwealth Government
- Contributes to funding formulas for Australian Universities
- Is available to staff and Schools in the forms of data files and reports.

It is important that data is complete and correct and that there is consistency across all disciplines regarding the items included in each category. For this reason the Commonwealth Government pays for an audit of the data sent to DEST. This audit will probably occur every two years. When an audit is done the auditors request all of the A1 items and a 10% sample (and they choose the sample) of the other three categories. The sample is scrutinised rigorously, and the total UNSW figures are adjusted according to the audit on the sample. For instance, if 20% of the sample is found to be invalid, then 20% of UNSW’s total claim is disallowed. In this way the University will be penalised in dollar terms for invalid claims.

### **2.8.1 “What is required” Versus “What is Reasonable”**

The guidelines describe what auditors will expect to see if they are to accept a publication into the DEST figures. In some cases it is easy to satisfy DEST requirements, because:

- The publication is a well-established and influential journal
- The publication sets out the information needed very clearly
- UNSW, or the staff member, has a copy of the Journal.

Where compliance is both possible and reasonable I would encourage full compliance, as it saves time for all people involved in the process. But in cases where compliance is very difficult then

***Common Sense applies:***

- Please provide what is reasonable and what is sufficient for a person in UNSW, who is not familiar with your research area, to judge that the publication satisfies DEST requirements. Take into account that the onus of proof is on the author, not Research Services, the Library or UNSW.
- In the interest of saving trees if a chapter or article is 30 pages long then it may be sensible to copy the first and last pages, but please be aware that if chosen in the audit, the full article will have to be provided within two weeks or risk having it eliminated from the collection.
- If the publication is not readily available, then provide whatever can be obtained from the Internet and submit that until better material is available.
- If any items such as Proof of Refereeing, Table of Contents, the copy of the article cannot be obtained (because an author is overseas, the Editor has changed, the Journal no longer exists etc.) then submit what is to hand, AND provided the Head of School signs and certifies the form Research Services will verify the publication in the same manner as other items.

If a claim is audited, the author or the School will be expected to provide the full list of verification material within two weeks of the request or else the item will be deemed to be

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invalid and removed from the collection and the whole of UNSW figures (and dollar return) will be reduced accordingly.

## **2.9 Perpetual Collection**

Staff should be aware that UNSW is now performing the Publications Collection on a permanent perpetual basis. This means that, instead of recording and verifying publications in the February to May period for the preceding year, publications may be entered and verified as they occur. It is expected that this approach will increase the quality of the collection and also reduce some of the frustration experienced in verifying material that may be published up to 18 months previously. The regular importations should assist this process.

## **2.10 Multi-Year Processing**

As a result of adopting a perpetual collection process all staff need to be aware that at some stages during the process the School and Research Services staff may be dealing with publications that:

- Could be included in the previous DEST figures
- Are part of the current DEST figures
- Will be in future DEST figures.

Publications can be entered into the database, and verified at any time. New items with a publication date in previous years can be entered and verified. They will be used in UNSW for reporting and for Publication statistics but they cannot be included in any DEST figures once that collection is closed. Items for future DEST Collections will remain in the database to be reported to DEST at the appropriate time. For these reasons, care must be taken to record the correct Publication Year for each item. The advantage of entering and verifying items for the future collection is that it saves everyone a lot of time to verify a publication while it is relatively current.

## **2.11 The Provision of Publication Data to Schools**

The current version of the ResearchMaster Web Interface Software is mainly designed to enable the data entry of publication data. It does not provide the user with a tool for extracting data from the database and receiving the results as a file.

If data is required for any reason Schools should contact the Publication Staff. Research Services is currently able to provide data in the following formats:

- A formatted report in a variety of citation styles (ie. Harvard, Legal, Medical) as an rtf file for inclusion in annual reports or in staff CV's etc
- A text file for each member of staff, in a variety of citation styles for display as Publication lists on a web site.
- An Excel spreadsheet.

The database contains publications from 1995 and sophisticated searches can be done to provide the data in the required format before it is exported.

### 3 The UNSW Publication Collection Process

The following approach is the process that should be followed wherever possible. In an organisation of this size there will be occasions when flexibility is required. The approach described below is intended to provide Schools with a variety of options so that each School can choose the process that best suits their staff.

#### 3.1 Import of Journal Articles

Approximately every 2 months UNSW Research Services staff will import Journal Articles from the Internet. There are three locations on the Internet (ISI, Medline and Compendex) that provide sufficient information about Journal Articles and in a structured format. It is expected that up to 3,000 items will be captured each year in this manner, of which about 2,500 could be C1 refereed journal articles.

##### 3.1.1 Import Process

The process will be as follows:

- UNSW Research Services staff will download new publications and import them into the ResearchMaster database
- Schools will be advised, immediately after the import, via an email with the following attachments:
  - A list of the Publications imported for that School,
  - A Cover Sheet for each publication in the list.

Each School should distribute the Cover Sheets to the appropriate author. From this point on the process is much the same as for publications that were not obtained via the import, except that if the data requires some changes then the Data Entry Person can access the item in the database using the Reference Number rather than creating a new item.

##### 3.1.2 Data Quality Checking

It should be noted that although the data obtained in the text files is very accurate the process of matching an author and determining the correct School for the publication may sometimes appear to be random (e.g. M Smith) to the correct person on our database (there are currently 18 people named M Smith). Recent tests suggest that the program is detecting the correct author about 90% of the time, although the accuracy improves greatly where:

- There are multiple authors
- The names are not Smith, Jones, Wong etc
- Two initials are provided (e.g. DA Cooper is unique but there are multiple D Coopers).

To guarantee the best possible quality of the data there are now 4 levels of checking:

- The import program provides a complex iterative algorithm to determine the most likely author for each publication
- The Research Services staff perform a range of checks on data that is obviously suspect:
  - Publications with no internal authors
  - Publications with apparently inappropriate authors. eg Medicine co-authoring with COFA, etc
  - Publications where the main author has more than one match to a name on our database.
- The primary author who receives the Cover Sheet should check the information and highlight any errors. The errors are then corrected on the database when the paper is returned to the School. This is most important, because the author is the only person who can vouch for certain each author and affiliation.

- The final check that the authors are correct will be an email send to each UNSW author. The email will include an attached file listing each publication where they are an author, and will request them to specifically check the authors and to advise their School of any errors.

## **3.2 Initial Action by the Academic**

### **3.2.1 Imported Publications**

Shortly after each import the program-nominated author on each publication (i.e. the first Internal) will receive, via the School Office) a partially completed Cover Sheet with the following details:

- The publication details
- The list of authors as matched to the UNSW publications database (hopefully 85% accurate)
- A program-generated classification code (RFCD) for the publications.

The author should then do the following:

- Make any corrections needed to the information on the Cover Sheet
- For DEST Categories only, photocopy the required verification material, (See Chapter 3)
- Sign the declaration
- Forward the Cover Sheet and Verification material to the School Office.

### **3.2.2 Other Publications**

- For each publication not included in the import (i.e. for which an auto-generated Cover Sheet was not received) the academic should organise for the following to occur:
- Download the appropriate Cover Sheet from the Research Services' web site or obtained from the School office
- Enter the publication details onto the Cover Sheet
- For DEST Categories only, photocopy the required verification material, (See Chapter 6)
- Sign the declaration
- Forward the Cover Sheet and Verification material to the School Office.

## **3.3 Internal Verification by the School**

The Head of each School has been requested to nominate a senior academic to assist Administrative Staff of the School with the co-ordination of the Publications Collection. This person's role will be as follows:

- Be a point of contact, via email, between the School and Research Services
- Pass on information about the Collection to academic staff
- Encourage full participation of all Academic staff in the Collection
- Peruse the publication items that have been received and perform the following checks:
  - Check the correctness of the category selected for each item (i.e. is it clearly an A1 or should it be an A2 – See Chapter 3)
  - Ensure the work satisfies the DEST definitions for original scholarly work (See Section 4.1 and 4.2)
  - Check that the verification material provided is sufficient to support the claim.
- Return all items to the Administrative staff for processing

These simple actions will save a lot of time for several sections within UNSW and prevent a lot of unnecessary angst. Over 30% of claims for A1 and E1 publications fail to meet the DEST selection criteria. Many items fail to meet DEST requirements because of the inadequate material supplied, not because the item does not belong in the category claimed. If a high proportion of inappropriate

material, duplicate items, or incomplete claims are detected and removed early in the process, a lot of time will be saved for everyone involved in the collection process.

While the data entry for each publication item may take only 2 to 3 minutes (in most cases) the verification and acceptance in the category claimed may generally take from 5 minutes to 1 hour (in some case many hours and much aggravation). So even minor improvements in the collection and verification process will have a major impact of the time spent on this task.

**We estimate that each year Research Services spends a minimum of approximately 10 working days dealing with these matters which could so easily be corrected at their source.**

Any items identified as incomplete or non-compliant for the category claimed should be returned to the staff member who submitted the material, who can then:

- Resubmit the material in a different category,
- Withdraw the item, or
- Provide the necessary evidence to support the original claim.

### **3.4 Data Entry by the School**

The items approved by the Senior Academic are referred to the trained Data Entry Person to do the following:

- For new items enter each item into the database via the ResearchMaster web interface, and record the Reference Number on the Cover Sheet
- For items already imported update any information that the author has changed
- For DEST items only, forward the Cover Sheet and Verification material to Research Services for checking.

In order for Research Services to commence the verification at the earliest possible date and to maximize the quality and completeness of the verification we request that data be provided at regular intervals throughout the year rather than in one large bundle at the end.

To reiterate 2.3: the DEST deadline for the Research Publications Return is fixed and uncompromising. The Research Services closing date of 31<sup>st</sup> May for new verification material is the last date for which we can guarantee that publications received will be checked and included in the DEST Collections. After this date, Research Services cannot guaranteed the inclusion of any late publications in the year's DEST Report. These will be included in the UNSW collection, however, possibly at a lower level if verification material is not provided.

### **3.5 Action by Research Services**

Research Services will verify the publications received and report back to Schools as soon as practically possible. The aim is to enable the verification process to be started and completed while the publication and the material are current and more easily available. The main steps in the process are as follows:

- Monitor the quality of the data entry and advise data entry staff. This will be done using software that will send an email to the data entry staff containing:
  - A summary of the quality check results, and

- An attached report listing the publications and the reasons that they have failed the quality check
- Verify DEST publications as they are submitted and update the database accordingly. After verification each DEST item will have an explanatory comment and one of the following Status codes:
  - “DELETE” means that the item is a duplication of another item in the database
  - “ACCEPTED” means that the item has been included in the DEST category claimed
  - “NON-DEST” means that a non-DEST category is considered to be more relevant
  - “PENDING” means that more information is required before a decision can be made
  - “UNVERIFIED” means that UNSW Research Services staff have not seen the item.
- Inform the School of the results of the verification using an email that contains the following:
  - A summary of the verification results for the School
  - A report lists each DEST publication, the status, and the reason for the status.
- On a regular basis the Heads of School will receive an email informing them of the progress of the collection. The email, generated by UNSW Research Services software will include the following details:
  - A count of items received in the current collection and in the previous collection
  - A list of staff who have submitted data in the current collection, and the number of items submitted.
  - A list of staff who have not submitted data in the current collection.

## **3.6 Response From Schools**

### **3.6.1 Progress Report**

The Progress Report is mainly directed to the Heads of School as they are best equipped to encourage staff to provide publication material. There are two expected outcomes when this report is sent. The School will:

- use the information to request specific staff to provide publication material
- inform the Publications Collection staff of any errors or omissions in the staff lists.

### **3.6.2 Verification Report**

The Verification Report is directed more towards the staff in each School who manage the Publications Collection. On receipt of this report the School should do the following:

- Distribute the appropriate pages to each author listed at the top of the page
- Provide any assistance to staff with the action required to finalise outstanding items
- Encourage prompt response from academic staff, especially if an item is listed as “PENDING”.

## **3.7 Finalising the Collection Process**

Towards the end of June each year UNSW Research Services will conclude the process as follows:

- Send a list of publication to the Head of each School to for them the approve or query
- Finalise the statistics required by DEST
- Prepare the letter for the VC to certify
- Liaise with external auditors regarding the provision of publications required for an audit
- Archive the whole DEST collection for future audits. After this point, the Collection is available for Schools’ uses.

## 4 Major DEST Definitions

### 4.1 DEST Definition of Research

Source: [http://www.dest.gov.au/sectors/research\\_sector/online\\_forms\\_services/higher\\_education\\_research\\_data\\_collection.htm](http://www.dest.gov.au/sectors/research_sector/online_forms_services/higher_education_research_data_collection.htm)

**Research and experimental development** comprises:

- Research activity that leads to publicly verifiable outcomes that are open to peer appraisal
- Creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise new applications (OECD definition of research and development).
- Any activity classified as research and experimental development is characterised by originality: it should have investigation as a primary objective and should have the potential to produce results that are sufficiently general for humanity's stock of knowledge (theoretical and/or practical) to be recognisably increased. Most higher education research work would qualify as research and experimental development.

**Research includes:**

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

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

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

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

- preparation for teaching
- scientific and technical information services
- general purpose or routine data collection
- standardisation and routine testing
- feasibility studies (except into research and experimental development projects)
- specialised routine medical care
- commercial, legal and administrative aspects of patenting, copyright or licensing activities
- routine computer programming, systems work or software maintenance (research and experimental development into applications software, new programming languages and new operating systems would normally meet the definition of research).

## 4.2 Key Characteristics of Research Publications

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

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

## 4.3 Year of Publication

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

### 4.3.1 CD-ROMs and Web Publications:

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

### 4.3.2 “Date last updated”:

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

### 4.3.3 Conference Dates:

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

### 4.3.4 Where several dates are published:

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

### 4.3.5 Inclusion in the database:

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

## 4.4 Author Affiliation

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

### 4.4.1 Affiliation to more than one institution:

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

### 4.4.2 If UNSW is not named

in the item's by-line then a statement must be provided by the Author or the Head of School attesting that he or she undertook the research leading to publication in their capacity as a staff member or student (either undergraduate or post graduate) of UNSW.

- Authors should be aware that for any item without a UNSW by-line, or for **conjoint and hospital appointments** which do not include UNSW in the affiliations, UNSW must also provide either:
- A statement from the Director of Human Resources or Dean of Students, or a more senior officer of the university, indicating that the author was an appointee or student of the University at the time of the Research, or
- An extract from the university's staff or student list listing the author. The staff/student list should have official status within the university (e.g. list provided by personnel/student services, extract from university calendar/handbook). A by-line or footnote referring only to an affiliated institution instead of UNSW is not sufficient. A by-line or footnote referring only to a controlled entity of UNSW is not sufficient.

The Controlled Entities for UNSW are listed below:

Acyte Biotech Pty Ltd  
AGSM Consulting Ltd  
Australian Education Consultancy Ltd  
New South Enterprises Pty Ltd  
New South Global Pty Ltd  
The New South Wales University Press Ltd  
Unisearch Ltd  
The University of New South Wales Foundation Ltd  
University of New South Wales International House Ltd

### 4.4.3 Institution hosting the research:

A statement from an author indicating that only part of the research was conducted in his or her capacity as a staff member or student of UNSW is not sufficient

### 4.4.4 Where an author has died,

a statement from the Head of Department may be substituted for the statement from the author.

## 4.5 Proof of Refereeing

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

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

### 4.5.1 For Journal Articles (C1),

any of the following are acceptable as evidence:

- The journal is listed in one of the Institute for Scientific Information indexes ([www.isinet.com/journals](http://www.isinet.com/journals))
- The journal is classified as “refereed” in Ulrich’s International Periodicals Directory (Volume 5 - Refereed Serials) or via Ulrich’s web site [www.ulrichsweb.com](http://www.ulrichsweb.com)
- The journal is included in DEST’s Register of Refereed Journals (see DEST web site at <http://www.dest.gov.au/highered/research/herdc.htm>)
- There is a statement in the journal which shows that contributions are peer reviewed
- There is a statement or acknowledgement from the journal editor which shows that contributions are peer reviewed or
- A copy of a reviewer’s assessment relating to the article.

### 4.5.2 For Conference Publications (E1),

any of the following are acceptable as evidence:

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

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

## 4.6 Australian Conferences

The organisers of conferences to be held in Australia should ensure that the conference presentations are reviewed in a manner acceptable to DEST, and that all conference material contains the statement to this effect ie that all presentations were double-blind peer reviewed on the full paper prior to publication and that the papers were published in full.

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

## 4.7 Commercial Publisher

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

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

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

#### **4.8 Foreign Language Publications**

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

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

#### **4.9 Electronic Works**

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

## 5 Publications Data Entry

UNSW is currently using the ResearchMaster' web-interface software for the entry of publications. The software and the data entry process work well and require only a minimal amount of training, most of which is summarised below.

### 5.1 Making it Easier

There are a few principles that will make the data entry process much easier:

- Do the data entry from a Cover Sheet filled in by an author rather than keying from the articles themselves
- Check that the list of authors on the Cover Sheet matches with the list of authors on the publication
- Write the 'Reference Number' of the item on the top of the Cover Sheet, as soon as the software displays the number
- Get used to the routine of doing the data entry in the following order
  - Publication details
  - Authors
  - AOU (or School) links -- Autosplit
  - RFCD codes
  - Click "Data Complete"
- Use codes wherever possible i.e. enter Staff ID, AOU Code, RFCD Code rather than entering text fields or using the 'List' functions in RM4. For this purpose it may be a good idea to have a list of common codes where they can be seen easily.
- If there is a long list of authors to enter then save the data after adding three or four names and continue the rest of the authors, in small groups.

### 5.2 Obtaining a Password

Each School may nominate any number of staff (usually a General staff member) to do the data entry of the Publication Collection. To become a user of the system please email the following details to Tom Croucher in Research Services ([t.croucher@unsw.edu.au](mailto:t.croucher@unsw.edu.au)):

- The name of the user
- The name of the School
- The Logon ID for the user (preferably their Staff ID)
- The password for the user (a minimum of 6 characters)

If a HOS wishes Academic staff to do their own data entry, then each person can be issued with an ID and password. Alternatively, a general user ID for a School can be created, and anyone in that School can use the ID and enter data.

### 5.3 Training

Group training for the use of the ResearchMaster web-interface software (i.e. the data entry of publications) is normally provided by UNSW Research Services when Training rooms are available in Semester breaks, usually late September or February. These courses are arranged whenever there appears to be sufficient number of new staff requiring training or when there is a significant change to the software. The training takes about 2 hours.

Individual training is provided as needed. This training can be done at any time and usually takes about 1 hour. Contact the Tom or Caroline to discuss any training needs.

## 5.4 System Security

When a user is created, their user level determines how much data they may see

- “**Researcher Level**” limits a person to view data that they have entered
- “**School Level**” limits a person to view data for their own School
- “**Faculty Level**” limits a person to view data for their own faculty
- “**University Level**” allows a person to view all data.

Unless specifically requested all new users are created with ‘School’ level access.

## 5.5 Accessing the Software

### 5.5.1 Locating the software

The software is found by entering the following URL: <http://pub.ro.unsw.edu.au>. Although the software works on a variety of machines with a variety of browsers the best results are obtained by using an IBM compatible Publications Collection with Internet Explorer 6.0 or higher.

The database currently holds all UNSW Publications to 1995, and a Personnel Table that is updated regularly with new data from HR and the Student system.

It is not possible for a Data Entry Person to create an entry for an Internal staff member not already in the database.

To do this please contact UNSW Research Services and provide the details of new staff so that the database of Internal staff can be maintained as a complete and accurate record.

### 5.5.2 Software Functionality

The current version of the Software (RMWI 2.1) does not have a menu, all options are available on the main screen. The web-interface software provides the following functionality:

- Entry of new publications
- Search for existing publications
- Update existing publications
- Customisation of the display and report formats
- Printing reports for the selected data.

### 5.5.3 Moving between Screens

At the top of the screen the program displays the hierarchy of screens followed, eg  
Logout>PWI Home Page>Publications Data Entry.

To return to a previous screen without saving or selecting an item, click on the screen name on this list. For instance, clicking on “PWI Home Page” will return the program to the first screen.

**Please Note: Do not use the “Back” Arrow if you intend to save new material.**

## 5.6 Adding a New Publication

use the LH side bar entitled “Create a new publication”

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### 5.6.1 Selecting the Year

Select the current year from the drop down menu.

### 5.6.2 Selecting a Category

The list matches the UNSW Publications categories as listed in this Users' Manual.

The next screen shows fields that are customised to the data required by UNSW and the descriptions as on the Cover Sheets provided on the web site. For this reason data entry will become so much easier if all academics use the Cover Sheets as provided.

### 5.6.3 Recording the Reference Number

The next screen displays the unique 'Reference Number' that will be allocated to the record when it is saved. The Reference Number starts with a zero, followed by the current publication year and a 5-digit sequential number (eg 0200500001). It is very good practice to write this number on the top right hand corner of the Cover Sheet immediately this screen is displayed.

The quickest, simplest and most reliable means for locating a publication is to use the Reference Number. This number will be quoted in all reports and correspondence from Research Services.

### 5.6.4 Entering the Publication Details

The publication details are entered into the appropriate fields by matching the data on the form with the fields on the screen. There are a few things to note:

- Enter all the data to hand
- The fields called 'Description' and 'Keywords' are not currently being used by UNSW, but we do not have the option to remove them from the screen
- Clicking on 'Publication Complete' will force the software to check the completeness of the data before it saves the record. The program will report any of the 'essential' fields that have data missing
- Save the data.

Book Chapters are a special case, see Section 5.7

### 5.6.5 Entering the Authors

Either click on 'Authors' in the "Jump to:" line at the top RH corner of the screen, or scroll to the appropriate part of the screen. There are two ways to enter authors, 'Quick Add' and 'Add'.

#### 5.6.5.1 Using Quick Add

Enter the Staff ID (commencing with an 'S') of the author and click on 'Quick Add'. This will add the author details to the list of authors and also provide the School details for that author in the next section.

#### 5.6.5.2 Searching for an Author

If the Staff ID is not known, or the author is external, click on 'Add'. In the following screen enter sufficient of the author details to provide reasonable search information i.e. for the author "Victor Flambaum" entering 'flam' in the surname is sufficient, but to search for "Stephen Ho" entering "ste" in the Given Name and "ho" in the surname would be much quicker. The program will display a list of matching personnel:

- If the program responds with a list containing the correct author then select the author by clicking on the orange box on the right hand side of the screen
- If the program does not display a correct match then click 'Create New Person' and enter the details of that author **only** if he/she is External.

### 5.6.5.3 Creating a New External Author

When adding a new "External" to the database please record the Organisation for that person if it is known. This helps other data entry people to match the same author to this record.

For this purpose please use the field named "Enter Organisation". Do not use the 'List Organisation' as UNSW is not currently using this option.

### 5.6.5.4 New Internal Authors

Every new person added to the database is automatically set up as an "External". So if an "Internal" or a "Student" author is not on the database please send an email to Tom ([t.croucher@unsw.edu.au](mailto:t.croucher@unsw.edu.au)) requesting that the person be added to the database. Adding "New" Internals only results in creating more work for everyone concerned.

When requesting a new person to be added please provide as many of the following details as possible:

- Staff or student number
- Full name and title (i.e. Dr, Prof, Mr, Mrs, Ms etc)
- Gender
- The name of School
- Type of appointment (casual, visiting, full-time, student)
- Position (i.e. Senior Lecturer)

### 5.6.5.5 Selecting a Primary Author

Before leaving the 'Author's part of the screen, please select the 'Primary' field for the author who has provided the information about the publication. This field is being used in UNSW reports and emails to identify which author is best the point of contact regarding that publication. The use of this field does not indicate that any author is more significant than any other.

### 5.6.5.6 Some points concerning authors

Authors must be added in the same sequence they appear in the publication.

- If there are many authors, it is good practice to add in groups of 4 or 5 and save the data between batches.
- For Internal authors the software defaults to allocating the publication 100% to the AOU (or School) on the Personnel file for that person. If required, an author can be affiliated with multiple AOU's, provided the percentage adds up to 100 for each internal author.
- Default details provided for any author need not be accepted. Any of the information relating to an author including the School codes can be modified. If any of the author details are clearly wrong please advise UNSW Research Services staff so that the Personnel database can be updated.
- An author may be deleted from a publication by selecting the "garbage tin" icon on the right hand side of the screen.

## 5.6.6 Updating the Linked Schools

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The next section of the screen the program displays a grid showing:

- Each School linked to the publication determined by the internal authors and
- A column for each Internal author.

The purpose of this step is to link the appropriate Schools to the publication. The funding formulas depend on this information being complete and accurate e.g. if a Publication has 3 internal authors from E65, 1 internal author from E30 and 3 external authors, then the AOU split would be as follows:

- E65 has 3 internal out of the 4 internals, i.e. 75%
- E30 has 1 internal out of the 4 internals, i.e. 25%

The number of 'Externals' is ignored as the system allocates E65 75% of the funding that the publication attracts, which is four-sevenths of a point (based on the total of 7 authors).

#### **5.6.6.1 Auto Split**

If the data regarding the authors and their Schools is correct then click 'Auto Split' and the program will determine the percentage for each School as per the formula described above.

In at least 95% of instances the only action required in this section is to select 'Auto Split'.

#### **5.6.6.2 Modifying the School Data**

If the default data and the default calculation is not what is required then the Data Entry Person can do any or all of the following:

- Add a new School using 'Add' or 'Quick Add'
- Split an individual author's share over several Schools, while ensuring that the total for each author is 100%
- Delete a School
- Select 'Auto Split'
- Manually enter the School percentage splits, while ensuring that the total for all Schools is 100%.

#### **5.6.7 Entering the RFCD Codes**

The final step is to add the Classification codes to the publication. The only classification code to be recorded is the RFCD (Research Field, Course and Discipline) code. The steps are:

- If the RFCD Code is known, enter the code and click 'Quick Add'
- If the RFCD code is not known, click 'Add' and the program allows selection of the RFCD from the list of codes
- For multiple codes, the percentage may be updated, but this is optional
- For multiple codes, the primary code may be selected, but this is also optional
- If a code has been entered incorrectly, any of it may be deleted by selecting the "garbage bin" icon on the right of the screen.

#### **5.6.8 Saving the record**

Save the record once all the data has been entered. If not already done so, the 'Reference Number' of the item on the documentation should be record. There are two options for saving the data:

- Click 'Save' -- and the data is saved but the current screen remains
- Click 'Save and Out' -- and the program saves the data and returns to the main screen.

## 5.7 Entering Book Chapters

### 5.7.1 The Concepts

Entering Book Chapters involves two concepts that do not appear elsewhere in Publications the 'Book Code' field and the 'Main Chapter' fields. The usage of these two fields is explained below.

#### 5.7.1.1 Book Code

The Book Code links Chapters from the same book. Using this code the program is able to eliminate a considerable amount of data entry.

#### 5.7.1.2 Main Chapter

This code is essential for the correct calculation of DEST points. The DEST formula allocates fewer points to an author who has multiple chapters in the SAME book. The 'Main Chapter' code enables the points for each author to be maximised.

- If an author has only one chapter in the book then that Chapter is the 'Main Chapter'
- Where an author has multiple chapters in a book then choose the chapter with the least number of authors becomes the 'Main Chapter' for that author.

For example if authors A, B and C are from UNSW and authors X, Y and Z are external:

Authors of Chapter 4 are A, B and X

Author of Chapter 6 is B

Authors of Chapter 9 are C, Y, and Z

Authors of Chapter 10 are C and Z.

In this scenario:

A's main chapter is Chapter 4 as it is his only chapter

B's main chapter is Chapter 6 as he is the sole author

C's main chapter of Chapter 10 as it has the least number of authors.

Any other combination would reduce the points that the author and the School receive.

### 5.7.2 Entering a Chapter

When Category 'B' is chosen the program will display a list of Books in alphabetic order of the book title that have been entered in the current year. If the book to be processed is on that list, then simply select the book. If it is not in the list, then add the book details.

#### 5.7.2.1 Entering a Chapter From an Existing Book

Once one chapter from a book has been entered, the procedure for entering additional chapters is:

- select the book from the list displayed. Fields common to all chapters will appear.
- enter the chapter details
- save the publication
- when entering the authors select the 'Main Chapter' in accord with Section 5.7.1.2.

#### 5.7.2.2 Entering a Chapter From a Book not in the Database

When entering a Chapter from a book for the first time, the program will automatically provide the 'Book Code'. Additional information to be added is:

- The book title
  - The ISBN
-

- The publisher details
- The number of chapters

When another chapter from the same book is entered the details already entered will not have to be re-entered.

## 5.8 Searching for Existing Publications

The RMWI provides a comprehensive selection of search criteria. There are 5 search fields initially displayed on the screen and 6 more are available if 'More Search Criteria' is selected. The search fields are:

- Records created by you
- Publications that are "Complete", "Incomplete" or "Either"
- "DEST category only" (i.e. A1, B, C1 or E1)
- "Year Published"
- "Reference Number"
- "Publication category" (but the full name must be entered)
- "Surname of author"
- "Publication title"
- "School name" (but the full name must be entered)
- "Author code", or Staff ID as UNSW would call it
- "Collection Year"

Selecting "Reset" clears the search fields and returns to the system default for a search.

Selecting 'Search Now' commences the search.

## 5.9 Updating an Existing Publication

### 5.9.1 Changing Publication Details

To return to an existing record to add or change data the process is as follows:

- Locate the record using a search, preferably by Reference Number
- Click on the publication title
- Update the existing record or return to the 'PWI Home Page'

### 5.9.2 Deleting an Existing Publication

To delete a publication:

- Locate the publication using the search just described
- There is a 'Delete' option at the bottom of the screen

### 5.9.3 Changing the Category of an Existing Publication

To change the Category of a publication:

- Locate the publication using the search just described
- There is a "Change Category" option at the top and the bottom of the screen.

## 5.10 Printing Publication Reports

### 5.10.1 A single publication

To print the details of the current publication:

- Click “Printer Friendly Version”
- Click the printer icon
- Close the print screen

### 5.10.2 Multiple Publication Listing

To obtain a report listing multiple publications:

- Select the publications by first doing a search, see Section 5.8.
- Click “Printer Friendly Version” on the main screen
- Click the printer icon
- Close the print screen

The report produced will be in a format similar to the display format on the main screen.

### 5.10.3 Selecting the Report Format

To change the screen display format or the report format:

- Select “Change Display” which is found under the heading “Found Publications”
- Select the preferred format
- Click “Save Now”
- Click “Back to Main Page”.

The report formats available are:

- “Data entry order”, which may be useful to keep personal records
- “Author Sequence”
- “Publication Category”, which may be useful for the School records
- “Verification Status” will show which publications have been verified, but it **does not** actually show what UNSW refers to as the status (i.e. ACCEPTED, PENDING etc)
- “Missing Information”, which should be checked regularly to determine the completeness of the data entry and/or the information provided.

## 5.11 Data Entry Issues

### 5.11.1 Authors working in Research Groups

It is becoming increasingly common for some research disciplines to use research groups. This usually results in one of the two following by-lines:

- A Walters, B Anderson and C Harper for the HIV Research Group (Scenario #1), or
- The HIV Research Group (Scenario #2)

Because some of these Research Groups have in excess of 100 members (the record is 698) it is impractical to enter every author and then receive only 0.01 of a point for it. After discussion with DEST Staff a compromise is reached that is based on the recognition only of the authors of the publication.

- In Scenario #1 only the three named authors are to be considered, and:
-

- if any of the three are from UNSW the item may be entered and treated as if there are only three authors
- if none of the three named authors are from UNSW then do not enter or claim the publication as a UNSW item, regardless of who belongs to the HIV Research Group.
- In Scenario #2 if the Research group (which may have 100 members)
  - has a specific Writing Team that include a staff member from UNSW, then include the item and only record the members of the writing team
  - does not list a Writing Team, then count all authors.

**Please Note: In the last example UNSW recommends that the publication is not included in the collection. Although the university may lose a few publications in the latter case, it is a long way in front on DEST points using this approach, and a great deal of time has been saved in all three examples.**

### 5.11.2 Duplicate Publications

In the 2002 Publications Collection, Research Services detected over 250 duplicated publications. These usually occur when items are co-authored by staff from different Schools and both Schools enter the data. Although we have means of detecting duplicates the method is not foolproof due to variations in spelling typos, etc..

The number of duplications can be reduced significantly if the Data Entry Person runs an enquiry by title before entering an item.

### 5.11.3. Most Recent Personnel Information

Every effort is made to keep the personnel data up to date. If on selecting an author, the information about them is not correct:

- Correct the data on the author record, and
- Email Research Services with the correct information so the database can be updated.

### 5.11.4 Attention to Detail

The Publications data does far more than provide statistics to DEST. It is used internally for Schools to produce their Annual Reports and by many sections of UNSW for statistical information. Accuracy is important. The quality of the data will be greatly improved if all data entry people attempt to get the following matters completely correct:

- The allocation of “Internal”, “External”, “Student” status to the authors
- The allocation to the School on the by-line to each author
- The authors in the same sequence as on the publication
- The attachment of the RFCD Code to each publication.
- Clicking “Auto Split”
- Correct spelling and other characters in all title.
- 

**THE QUALITY OF THE REPORTS IS ENHANCED IF STAFF REFRAIN FROM TYPING ENTIRELY IN UPPER CASE**

## 6 Publication Categories

While UNSW collects data in 24 categories only **four** are required for the annual DEST statistics:

- Book – Authored Research (A1)
- Book Chapter – Commercial Publisher (B1)
- Journal Article – Refereed, Scholarly Journal (C1)
- Conference Publication – Full Paper Refereed (E1)

While Schools should collect publications in the other categories only publications in the four categories listed above should be sent to UNSW Research Services for verification.

Please note that each claim must meet **ALL** the criteria set out for each category. Inability to meet **ANY ONE** criterion indicates a non-DEST category.

Works may only be claimed **ONCE**. DEST will not accept previous publication in another Collection Year, or publication in more than one category. For instance a work included in the Return for one year as an E1, cannot be included the following year as a B.

### 6.1 Book - Authored Research (A1)

#### 6.1.1 Eligibility

To be included in this category the publication must meet the definition of research (see Section 4.1) as amplified in the key characteristics of research publications (see Section 4.2) and

- Must be a major work of scholarship
- Must be offered for sale,
  - For hard copies, bound
  - For CD-ROMs, packaged
  - For e-books, on subscription or fee basis
- Has an International Standard Book Number (ISBN)
- Was written entirely by a single author, or by joint authors who share responsibility for the whole book
- Has been published by a commercial publisher, as defined in Section 4.8 and
- The author must be affiliated with the claiming institution.

Where the book meets the key characteristics of Research Publications set out in Section 4.2 types of books that may meet the criteria include:

- Critical scholarly texts (for example music, medieval or classical texts)
- New interpretations of historical events and
- New ideas or perspectives based on established research findings

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

- Textbooks
- Anthologies
- Edited books
- Creative works such as novels
- Translations and
- Revisions/new editions.

### 6.1.2 Verification Requirements

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

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

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

## 6.2 Book - Authored Other (A2)

Include:

- Research monographs published by university departments. University department working papers, technical reports, discussion papers and the like may be included at A2 in the current collection.
- Research books where authorship of individual chapters is attributed to different authors.
- 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, which contain professional information, intended to update practitioners.
- Books published by private individuals and privately funded companies e.g. vanity presses.
- Evaluative and investigative government departmental publications, eg. DEST Evaluations and Investigations Program reports.
- Translations of published books
- Annotated anthologies
- Other authored books or monographs not classified in A1

Exclude

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

## 6.3 Book – Edited (A3)

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

Special issues of journals, which have an ISBN, in addition to an ISSN, may be entered at A3.

Exclude:

- Editorship of journals (may be C2)
- Editorship of conference proceedings (may be E4)

## 6.4 Book - Revision or New Edition (A4)

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

Exclude:

- Reprints that do not involve substantial additions or revisions (exclude completely).

## 6.5 Book Chapter – Commercial Publisher (B1)

### 6.5.1 Eligibility

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

To be included in this category the publication must meet the definition of research (see Section 4.1) as amplified in the key characteristics of research publications (see Section 4.2) and:

- Must be offered for sale,
  - For hard copies, bound
  - For CD-ROMs, packaged,
  - For e-books, on subscription or fee basis
- Has an International Standard Book Number (ISBN).
- Has been published by a commercial publisher, as defined in Section 4.8.
- The author must be affiliated with the claiming institution.

Where the book meets the key characteristics of a research publication set out in Section 4.2. the types of books 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.

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

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

### 6.5.2 Verification Material

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

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

## **6.6 Book Chapter – Non-Commercial Publisher (B2)**

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

Exclude:

- Contributions to reference works (possible D).

## 6.7 Journal Article – Refereed, Scholarly Journal (C1)

### 6.7.1 Eligibility

To be included in this category the journal article must meet the definition of research (see Section 4.1) as amplified in the key characteristics of research publications (see Section 4.2) and must:

- be published in a scholarly journal
- have been peer review as defined in Section 4.5. (**Please note that the fact that an article has been peer reviewed does not automatically mean that it is eligible. The article must still meet the definition of research as well as all other criteria**)
- have an International Standard Serial Number (ISSN), some journals may be regularly published as separate volumes with an ISBN rather than an ISSN. Provided that the publication is clearly identified as an edition of a journal, and not a book, articles in such publications may be eligible if they meet all other criteria. If an ISSN does not appear in the journal, external evidence such as an ISSN number being cited in an extract from Ulrich's or ISI is sufficient to demonstrate the existence of the number 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 *Nature* and *Lancet*
- critical scholarly texts which appear in article form
- articles reviewing multiple works or an entire field of research
- invited papers in journals
- articles in journals which are targeted to both scholars and professionals and
- articles in a stand-alone series.

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

- letters to the editor
- case studies
- articles designed to inform practitioners on existing knowledge in a professional field
- articles in newspapers and popular magazines
- brief commentaries and communications of original research or
- reviews of art exhibitions, concerts, theatre productions.
- editorials
- book reviews

### 6.7.2 Verification Material

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

- Title page
- Bibliographic Details (ISSN, Publisher, all dates referring to copyright, publication and printing)
- Table of Contents
- Preface or introduction
- A copy of the article or the offprint
- Proof of peer review (see Section 4.5)
- Evidence indicating each UNSW Author's affiliation with UNSW

### **6.8 Journal Article – Other Contribution to Scholarly, Reviewed Journal (C2)**

DEST has incorporated most of the material previously classified as ‘C2’ (other refereed contribution to a scholarly journal) in category C1. Authors should check the definition of C1 before classifying an item as C2. Items contributed to scholarly journals which normally send manuscripts for peer review, but which cannot be substantiated as C1, may be classified at C2.

Include:

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

Exclude:

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

### **6.9 Journal Article - Non-Refereed Article (C3)**

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

Include:

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

Exclude:

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

### **6.10 Journal Article - Letter or Note (C4)**

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

Include:

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

Exclude

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

### 6.11 Major Reviews (D)

This refers to a review of multiple works or of an entire field of research that places other works in context and makes a substantial contribution in its own right. This type of review can appear in monograph form (for example 'annual review of ... (immunology, plant physiology etc) or in a journal controlled by an editorial board.

Authors should consult the definition of C1 (Section 6.7) before classifying a review published in a journal as D. Refereed articles in scholarly journals reviewing multiple works, or an entire field of research, may qualify for the DEST category C1.

Include:

- A contribution exceeding 4,000 words in length to reference works, including encyclopaedias.
- Other scholarly contributions to encyclopaedias of significant length can also be included in the category.

Exclude:

- Book reviews (possibly C4)
- Monographs that 'review' institutional practices, government programs, and the like rather than being a review of a field of research (possibly A2)
- Articles that 'review' institutional practices, government programs, and the like rather than being a review of a field of research (possibly C3).

## 6.12 Conference Publication - Full Paper, Refereed (E1)

### 6.12.1 Eligibility

To be included in this category the conference publication must meet the definition of research (see Section 4.1) as amplified in the key characteristics of research publications (see Section 4.2) and must:

- Be published **in full**; the papers may appear in a number of different formats, eg. a volume of proceedings, a special edition of a journal, a normal issue of a journal, a book or a monograph, CD Rom or conference or organisational web site and
- Be peer reviewed on the **full paper** (see Section 4.5) and
- Be presented at conferences, workshops or seminars of national or international significance and
- The author must be affiliated with the claiming institution.

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

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

The types of conference publications that are unlikely to meet the criteria include: papers that appear only in a volume handed out to conference participants.

### 6.12.2 Verification Material

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

- Title page
- Bibliographic Details (ISSN, Publisher, all dates referring to copyright, publication and printing)
- Table of Contents
- Preface or introduction
- A copy of the article or the offprint
- Proof of peer review (see Section 4.5)
- Proof of the National or International significance of the conference, if it is not apparent in information already required
- Evidence indicating each UNSW Author’s affiliation with UNSW

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

Conference papers published in books that meet all the criteria for category B, as well as E1, or in journals that meet all the criteria for category C1, as well as E1, may be counted in EITHER category BUT NOT BOTH. The verification requirements will be those applicable to the category in which the publication has been classified.

**6.13 Conference Publication - Full Paper, Non-Refereed (E2)**

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

**6.14 Conference Publication - Extract of Paper (E3)**

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

**6.15 Edited Volume Of Conference Proceedings (E4)**

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

Authors of individual conference papers must classify their work as E1, E2 or E3. Only editors of entire conference proceedings can use E4.

Exclude:

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

**6.16 Audio-Visual Recordings (F)**

This refers to substantial and scholarly works presented in audio-visual form and offered for sale under the imprint of a recognised commercial publisher or distributor. It should cover the presentation of research findings and factual information. Examples include an ethnographic film, an audio-visual presentation of dynamic research output, eg. fluid mechanics, robotics, visual motion, new surgery techniques, conference presentations, a guide to collected sound recordings.

Exclude:

- Creative works (possibly J)
- Audio-visual teaching material (excluded completely).

**6.17 Computer Software (G)**

This refers to innovative software products of commercial quality offered for sale or distributed as shareware through a recognised publisher or distributor.

### **6.18 Technical Drawing, Design or Working Model (H)**

This refers to products of research which involve creative or scholarly innovation, and which are registered for use through a recognised commercial distributor.

### **6.19 Patents (I)**

This refers to patents on specific products or processes granted for the first time, either in Australia or overseas. This does not include multiple rights for the same product or process, or applications for which no determination has been made on patent rights.

Include:

- A product or process for which a full patent has been granted

Exclude:

- Provisional patents.

### **6.20 Major Exhibition, Written or Recorded Work (J1)**

This includes substantial, creative or scholarly works (such as novels, long musical works or plays) separately bound and offered for sale under the imprint of a recognised commercial press or publisher, or recorded (on CD or Video) for Commercial distribution.

Include:

- Novels
- Books of poetry
- Long musical works (normally with a duration of a least 20 minutes in playing time)
- Long plays (normally with a duration of at least one hour)
- Scholarly, analytical and descriptive catalogues (such as for major international art exhibitions).

Exclude

- Reviews of art exhibitions, concerts theatre production, etc
- Concert performances (excluded completely).
- Theatre production (excluded completely)

**Please Note: As different information is required, separate Cover Sheets are included on the Research Services' web site for Exhibitions, Publications and Recordings.**

### **6.21 Minor written or recorded work (J2)**

This refers to relatively brief or small-scale creative or scholarly works bound separately or as part of a collection of works and offered for sale under the imprint of a recognised commercial press or publisher, or recorded for commercial distribution.

Include:

- Short stories
  - Individual poems
  - Individual songs or other short musical works
  - Published play or film scripts of less than 20 minutes duration
-

- Published scores of musical works with a duration of less than 20 minutes in playing time.
- Recordings of live music, theatre or dance performances of less than 20 minutes duration that have been commercially distributed.
- Films, multimedia productions or sound productions of less than 20 minutes that have been commercially distributed.

#### Exclude

- Reviews of art exhibitions, concerts theatre production, etc (possibly C3 – C4 )
- Concert performances (excluded completely).
- Theatre production (excluded completely)
- Articles in newspapers and popular magazines (exclude completely)

### **6.22 Other Exhibitions of Original Art (J3)**

This refers to a substantial collection of original works by an individual artist exhibited for the first time in a recognised gallery or museum. This should be accompanied by a published catalogue identifying the individual works and the timing and location of the exhibition. The gallery or museum should be registered as an independent public or commercial organization and be managed as a full time operation.

### **6.23 Representation of Original Art (J4)**

This refers to one or more works exhibited in a competition, gallery or museum of national or international standing or a collection of at least three original works by an individual artist exhibited for the first time in a gallery or museum. These works should be individually listed in a published catalogue identifying the timing and location of the exhibition. The gallery or museum should be registered as an independent public or commercial organisation and be managed as a full time operation.

### **6.24 Theses (T)**

This refers to unpublished theses by postgraduate students completing degree courses at UNSW. Postgraduate theses are recognised as an important aspect of the research environment of the university. Thus, they will be included in the UNSW *Research and Publications Report*. Unpublished theses are not included in the DEST count. Published theses should be reported in the appropriate DEST or UNSW publication category and not listed again at 'T'.