

## Suggested Publication Categories for a Research Publications Database

### Introduction

A: Book  
B: Book Chapter  
C: Journal Article  
D: Entry  
E: Review  
F: Conference Publication  
G: Creative Work  
H: Audio/Video Recording  
I: Architectural Design  
J: Contract Report, Technical Report  
K: Computer Software  
L: Patent  
M: Working Model, Instrument, Technical Drawing  
N: Other Public Output  
O: Journal Editor

### Endnotes

#### Introduction

This document is an attempt to map out a set of categories that between them could capture the research output of Australian law schools. It is based on an earlier document prepared for the CALD, and uses a much elaborate scheme than the one most recently used by DETYA (in 1998) to collect data of 1997 research output. The categories used were the set employed at UWA for the 1995 data gathering round.

As indicated, this document is based on one originally intended to be maintained on a current basis, to show how the various recognised forms of output recognised by Australian Universities in the National System were weighted. This weighting was for the purpose of constructing (together with postgraduate student completions) an index of research output that could be used, in conjunction with inputs (such as research grants), to produce a Research Index 'Score'. This Score was used to deliver Research Index Funds, received by the University from the Commonwealth, to the various units of that university. The document in its original form was last compiled in June 1995.

The amount received by the university in the Commonwealth's annual distribution at the time the original form of this document was put together was sometimes called the "quantum", and was delivered in a year after that or those in which the relevant inputs and outputs occurred. To the date of this document, there have been five data collections. One, in 1994, used data gathered for the years 1992 and 1993 and applied the weightings (the "1994 Weights") to the average of those two years to produce the 1995 quantum. The next occurred in 1995 used 1994 data. The three following were in 1996, using 1995 data; in 1997, using 1996 data; and in 1998 using 1997 data.

Outputs were weighted for each of these collections in accordance with the scheme in use then. As this document illustrates, there has been no stability in the schemes. Indeed at one stage (when the original form of this document was put together in 1995) there were two sets

of proposals, one from DETYA (the "DETYA proposed 1995 Weights"), and one from the AVCC (the "AVCC proposed 1995 Weights"). Not only did these differ from one another, but both used then new sub-categories and also used additional categories. Furthermore, they sometimes used different categories or finer sub-divisions. These sorts of variations occurred from year to year over the five year period referred to.

At the time the current document was put together (November 1998), the most recently employed output data weighting scheme had reduced the number of categories to four (from twelve the previous year). Those categories with their weights and descriptions were as follows:

Category	Weight	Description:
A1 Authored	5.0	— research
		See Endnote
B Book Chapter	1.0	
		See Endnote
C1 Article in scholarly journal	1.0	
		See Endnote
E1 Conference Publication	1.0	— full written paper — refereed proceedings
		See Endnote

The present document indicates for all of its Categories and finer sub-divisions all of the corresponding 1998 and 1994 Weights and DETYA and AVCC proposed 1995 Weights. The present document also provides some indications of how a number of universities approached the categories in 1995, to illustrate the variety at the institutional level.

It is important to note that the headings used here include or are believed to correspond to all of those used or to be used by DETYA and by the AVCC. This is except as indicated in the footnotes, where differences in descriptive labels are also referred to. Note however that there are a number of headings used here not so used by DETYA or the AVCC, and not used at a number of Australian universities either.

It is also important to note that the Research Quantum 'score' assembled from the weightings has been used in different ways at different universities. Thus, in 1995 at least one university (Flinders) adjusted the publications part of the output score by reference to a national benchmark for the discipline in question to determine how the local unit did by comparison. At a number of universities the overall weight assigned to output measures relative to inputs could vary considerably from the weights suggested by DETYA and the AVCC.

It is also important to note that reconsideration of the Research Quantum can be expected to continue. There was a review of it that compared the UK experience and that appeared in 1997: see <http://www.deetya.gov.au/nbeet/arc/publicat/bourke/contents.htm>. There was a brief

discussion of it in the Final Report of the West Committee, published in April 1998: see <http://www.deetya.gov.au/highered/hereview/toc.htm>, at pp 163 — 164. Both reviews indicate a continuing desire at least to modify the scheme. There are also other, less formal indications of an interest at DETYA or one or more of its sources of policy advice in doing away with the output data gathering and weighting exercise altogether.

Ralph Simmonds, 12 November 1998

A: BOOK: 1998, 5; 1994, 3

A substantial work of scholarship offered for sale under a recognised imprint and having an International Standard Book Number (ISBN).

A1: Authored: 1998, 5; 1994, 3.

Written solely by the author(s), consisting mainly of previously unpublished material, and making some substantial contribution to a defined area of knowledge, including critical scholarly texts (eg legal, music, medieval or classical texts). (Creative works, such as a novel, depending mainly upon the imagination of the author rather than upon a publicly accessible body of agreed fact, should not be listed under this heading.) Some published cases and materials in law fall into this category: there is a tradition of this sort in legal publishing. Others - dependent on their character - will fall into Category A2. This is sub-divided as follows:

#### A1.1 Extremely Substantial Monograph

Books which are of unusual length and scope. This category covers the very rare instance where a monograph embodies a decade and more of research and is a fundamental contribution to the discipline. To be considered within this category a book would normally comprise more than 300 pp, and the case must be specifically argued by the department.

#### A1.2 Substantial Monograph

Definition as for A1.3. This category, however, is meant for substantial research monographs which embody the research of several years. Books in this category will tend to fall within the range of 150 - 300 pp, but both limits are obviously negotiable.

#### A1.3 Monograph

A monograph which contains several substantial chapters and embodies original thematic ideas ; the sum of the book should be more than the sum of the chapters (50 - 149 pp).

#### A1.4 Small Monograph - Journal Article Equivalent

A monograph which, though published as a separate entity, contains no more material than would be comprised in a large journal article (< 50 pp).

A2: Treatise — 1998, 0; 1994, 0

Written solely by the author(s), consisting mainly of new combinations of existing bodies of

knowledge or a corpus of established knowledge, the purpose of which is to update an existing corpus or to make it more readily accessible than had previously been the case. Some published cases and materials in law will fall into this category. Others - dependent upon their character - will fall into Category A.1. Published submissions to government inquiries and decisions rendered as a member of a tribunal or similar may fall into the present category. See also J, below.

A3: Edited: 1998, 0; 1994, 1

Monograph or short series of volumes consisting of contributions from a number of sources.

A4: Revision, new edition: 1998, 0, 1994, 0.

A book 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 addition or alteration of material. This is unless as is often the case in some disciplines, such as law and some social sciences, some works which are described as 'new editions' for marketing purposes may consist 'mainly of previously unpublished material and make a substantial contribution to a defined area of knowledge'. These works are appropriately classified as A.1: Authored books.

A5: Translation: 1998, 0; 1994, 0

A6: Catalogue: 1998, 0; 1994, 0

A scholarly analytical descriptive catalogue (eg for an art exhibition).

**B: BOOK CHAPTER:** 1998, 1; 1994, 1

A contribution, consisting substantially of new material, to an edited compilation in which the material is subject to editorial scrutiny. A scholarly introduction of chapter length to an edited volume should be included here, as should a critical scholarly text of chapter length (eg music, medieval or classical text). So too should a contribution to a major work under a substantial editorial board, like the multi-volume Laws of Australia projects of Butterworths and the Law Book Company.

**C: JOURNAL ARTICLE:** 1998, 1; 1994, 1

C1: Article in scholarly refereed journal: 1998, 1; 1994, 1

A work of scholarship published after peer review in a refereed journal controlled by an editorial board. So-called Research Notes which are refereed, and Letters to Nature, for example, are included in this category, as are critical scholarly texts (eg medieval or classical texts which appear in article form). So too are article contributions to both university and professional journals which answer the description "scholarly refereed journal".

A publication in a scholarly journal that is not formally refereed may be included in this category if it would otherwise be included and the journal is accepted to be of high scholarly repute and equivalent editorial standard following a specific case argued by the department.

C2: Article in unrefereed journal: 1998, 0; 1994, 0.

A work of scholarship published in an unrefereed journal controlled by an editorial board.

C3: Article in professional journal: 1998, 0; 1994, 0.

An article such as a set of guidelines or summary of the state of knowledge in an area, generally intended to inform practitioners in a professional field about current developments in thinking or technology. Medical case histories will be included in this category. So too would continuing legal education papers published in such as law society series with ISSN numbers.

C4: Unrefereed Letter or Note in Journal: 1998, 0; 1994, 0

An unrefereed communication published in a journal controlled by an editorial board. Editorials will generally be included in this category.

D: ENTRY: 1998, 0; 1994, 0.5

D1: Substantial research entry in dictionary etc: 1998, 0; 1994, 0.5.

A substantial research contribution to a scholarly publication such as a dictionary, encyclopaedia, handbook.

D2: Other entry in dictionary etc: 1998, 0; 1994, 0.5.

Other entry in a dictionary, encyclopaedia, handbook or the like.

E: REVIEW: 1998, 0; 1994, 1

E1: Substantial review of entire field: 1998, 0; 1994, 1

A substantial review of an entire field of study.

E2: Scholarly review: 1998, 0; 1994, 1

A review of several works which places them in their scholarly context and makes a substantial contribution in its own right, or a review (over 500 words) of a single work which goes beyond description and makes a substantial scholarly contribution. The review must appear in a journal controlled by an editorial board (this includes major periodicals devoted largely or exclusively to reviews, such as The New York Review of Books or The Times Literary Supplement).

E3: Other review: 1998, 0; 1994, ?

Any other review.

F: CONFERENCE PUBLICATION: 1998, 1; 1994, 0.5

F1: Refereed conference publication: 1998, 1; 1994, 0.5

Full written refereed version of a paper or poster presented at a conference and subsequently published as part of the proceedings of the meeting. But see also B, which might be more appropriate when the work is edited for inclusion in a topical volume rather than as

proceedings of a conference, to be subdivided as follows. Criteria to form the basis of on-merit evaluation of refereed conference publications (F.1 and F.2) are as follows:

(a) conferences are scheduled annually, or at regular intervals;

(b) selection of conference papers is based on external refereeing with equivalent standards to those used by refereed journals;

(c) either

- as a condition of publication in the conference proceedings series, authors must undertake to not submit the same paper elsewhere for publication;

or

- the staff member submits a statement testifying that the material in the paper has not, and will not, be published elsewhere.

All refereed conference publications meeting criteria (a), (b) and (c) above are F1.1, or 1 point. All refereed conference publications NOT meeting all of the criteria above are F1.2, or 0.2 points.

F1.1: Refereed conference publication - journal article equivalent: 1998, 1; 1994, 0.5

Full written refereed version of a paper or poster presented at a conference and subsequently published as part of the proceedings of the meeting, meeting all three of the conditions outlined above.

F1.2: Refereed conference publication - other refereed conference publication: 1998, 1; 1994, 0.5.

F2: Unrefereed conference publication: 1998, 0; 1994, 0

Full written unrefereed version of a paper or poster presented at a conference and subsequently published as part of the proceedings of the meeting.

F3: Published abstract of conference presentation: 1998, 0; 1994, 0

Published abstract of paper or poster read at conference.

F4: Edited volume of conference proceedings: 1998, 0; 1994, 0

Edited volume of conference proceedings carrying an ISBN.

G: CREATIVE WORK: 1998, 0; 1994, 0

Any creative work of wide general availability which has been published by a commercial house (that is, excluding manuscripts or privately published works). This category is intended to include such items as: novel, short story, poem, musical work, dramatic work, electronic creation.

H: AUDIO/VIDEO RECORDING: 1998, 0; 1994, 0

This would include, for example, an ethnographic film; a record, cassette or compact disc of one's own musical compositions; an audiovisual presentation of dynamic research output (eg in fluid mechanics, robotics, visual motion, surgery) which may be a supplement to a conference publication.

I: ARCHITECTURAL DESIGN: 1998, 0; 1994, 0

Fully documented built or unbuilt architectural design which is commercially or publicly available and which involves creative or scholarly innovation.

J: CONTRACT REPORT, TECHNICAL REPORT: 1998, 0; 1994, 0.5

J1: Contract Report

Report which is the product of both applied research and outside consulting work, freely available in the public domain. Note that some documents of this sort might fall under one of the headings in A Books, above. In particular note that documents such as law reform commission reports authored by a staff member might have qualify here notwithstanding that they are shown as a product of the commission in question rather than the staff member. For this purpose, it may be possible to obtain from the commission a statement of authorship that will make this case.

J2: Technical Report: 1998, 0; 1994, 0

Report including technical details, which may be the product of applied research, freely available in the public domain.

K: COMPUTER SOFTWARE: 1998, 0; 1994, 0

Publicly available product of commercial quality involving creative or scholarly innovation.

L: PATENT: 1998, 0; 1994, 1

Patent granted.

M: WORKING MODEL, INSTRUMENT, TECHNICAL DRAWING: 1998, 0; 1994, 0

Product of research which is commercially or publicly available, and which involves creative or scholarly innovation.

N: OTHER PUBLIC OUTPUT: 1998, 0; 1994, 0

Newspaper article, magazine article, media interview, international newsletter, report which is of restricted access (e.g. government or commercial agency).

[O]: JOURNAL EDITOR: 1998, 0; 1994, 0

## ENDNOTES

These are descriptions of DETYA Classifications of Output for 1998 Data Gathering Round. They are taken from Murdoch's on-line help with publications data gathering, and make reference to other categories in use at that University.

DETYA explains its 1998 notion of what is a "Research Publication" in this way, from 1998 Higher Education Financial and Publications Research Data Collection [:] Specifications for Preparing Returns (Canberra: December 1997) as follows (pp 22 — 24):

The essential characteristic of research activity is that it leads to publicly verifiable outcomes which are open to peer appraisal.

For the purposes of this collection, DETYA accepts the OECD definition of Research and Experimental Development (R&D):

Research and experimental development comprises creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man (sic), culture and society, and the use of this stock of knowledge to devise new applications.

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.

In addition to the activity of staff who are obviously engaged in research and experimental development, research activity includes:

the 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.

The following specific activities are excluded except where they are used primarily for the support of, or as part of research and experimental development activities:

preparation for teaching;  
literary and artistic activities such as creative writing (but note that preparation of



an original report on research and experimental development findings is research and experimental development);  
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;  
the commercial, legal and administrative aspects of patenting, copyright or licensing activities; and  
routine computer programming, systems work or software maintenance (but note that research and experimental development into applications software, new programming languages and new operating systems is included).