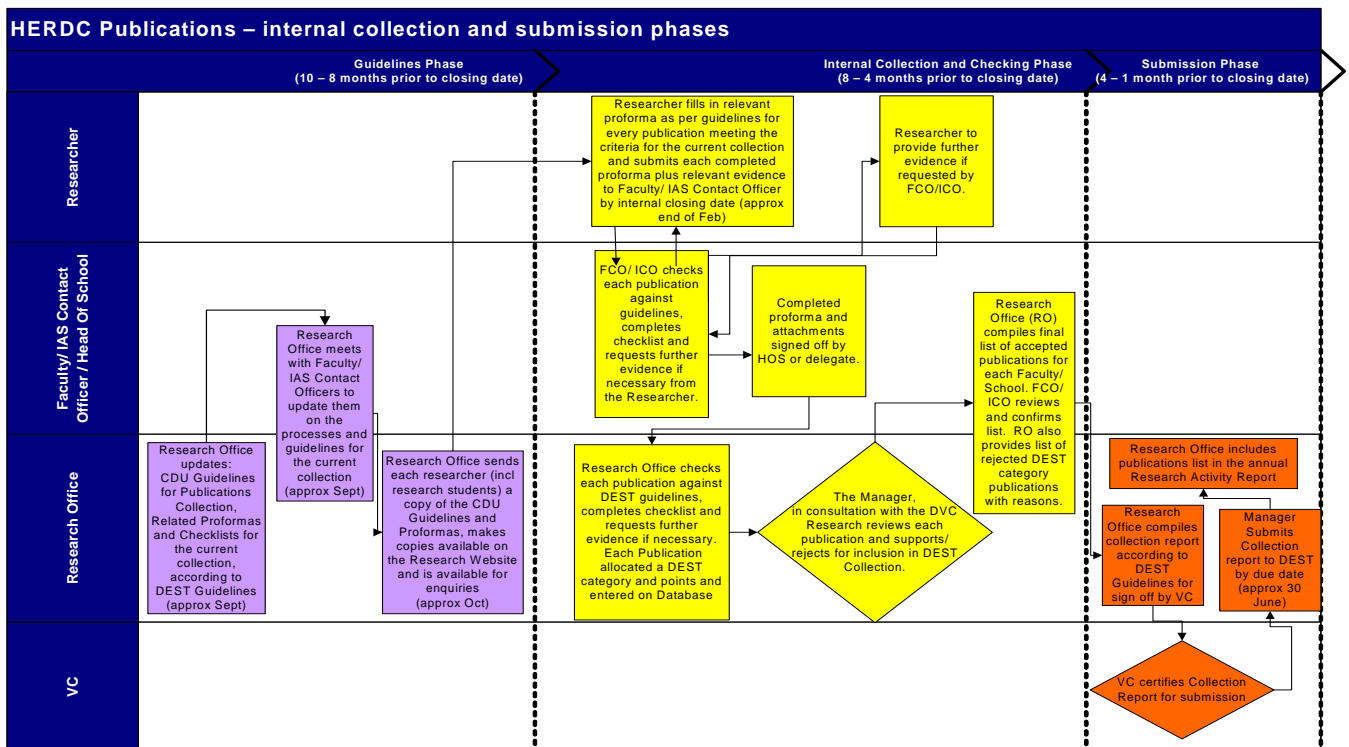
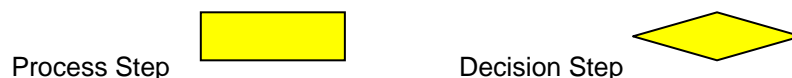
	DEST – Higher Education and Research Data Collection (HERDC) – Publications Collection Process	
	No. 3.2.21	Version: 1.01 Administered: Governance

Intent:	Attributes:
<p>To ensure that the University meets its obligations under the requirements of the Dept of Education, Science and Training (DEST), annual Higher Education Research Data Collection (HERDC).</p>	<p>To meet the University's reporting requirements under DEST, HERDC specifications the of the University collects research publications data from current and former CDU staff and students for the following purposes:</p> <p>IGS (Institutional by DEST Grants Scheme) - Publications make up 10% of the formula used in determining the University's annual IGS allocation. Currently IGS funds are managed by the CDU Research Panel and allocated against Research Panel programs e.g. fellowships, project grants, scholarships, CRC participation, special research initiatives.</p> <p>RTS (Research Training Scheme) -)- Publications make up 10% of the formula used in determining the University's annual RTS allocation. 60% of RTS funds received by CDU are allocated to Schools based on supervisory load.</p> <p>Australian Postgraduate Awards Scheme & International Postgraduate Awards Scheme</p> <p>Publications output is used in the calculation of funding for these two research training funding schemes that are essential to CDU's Postgraduate Research programs.</p> <p>Inclusion in CDU's Annual Research Activity Report: All publications data (DEST and internal) categories will be included in the annual Research Activity Report.</p>



Key:



Guidelines Phase		
(10 – 8 months prior to closing date)		
Process Step	Summary of Process	Responsibility
Research Office updates CDU Guidelines for Publications Collection, Proformas and Checklists for the current collection, according to DEST Specifications (approx Sept).	<p>The Research Office of the University's checks the current year's DEST, HERDC specifications on the DEST website at this address:</p> <p>http://www.dest.gov.au/NR/rdonlyres/61C1FB66-A777-45AF-8FC5-C8EE5B380B5B/6127/2005HERDCSpecificationsFinal100605.rtf</p> <p>Any necessary changes are made to the University's Guidelines booklet and Proformas. Contact details of the Faculty/Institute Collection Officers are also updated in the Guidelines.</p> <p>The Guidelines and Proformas are made available on the 's website and can be found at this site address:</p> <p>http://www.cdu.edu.au/research/office/administration_management/publicationscollection.html</p>	Research Office
Research Office meets with Faculty/ IAS Contact Officers to update them on the processes and guidelines for the current collection (approx Sept)	The Research Office arranges a meeting with Faculty/Institute Collection Officer (F/ICO) to advise of the process and their responsibilities as Collections Officer and to answer queries. In the meeting the F/ICOs are provided with a hard copy of the Guidelines and Proformas.	Research Office and Faculty/Institute Collection Officers
Research Office sends each researcher (incl research students) a copy of the CDU Guidelines and Proformas, makes copies available on the Research Website and is available for enquiries (approx Oct)	<p>The Research Office sends out the Guidelines and Proformas to Research Staff and Students via the "research-funding" and "research-students" email lists.</p> <p>RESEARCH OFFICE is available to answer questions from research staff and students and the Faculty/Institute Collection Officers throughout the collection period or whenever questions may arise throughout the year.</p>	Research Office
Internal Collection and Checking Phase		
(8 – 4 months prior to closing date)		
Process Step	Summary of Process	Responsibility
Researcher completes relevant Proforma as per Guidelines for every publication meeting the criteria for the current collection and submits each completed Proforma plus relevant evidence to Faculty/ IAS Collection Officer by internal closing date (approx end of Feb)	<p>Research staff and student follow the Guidelines when preparing the publication for submission into the collection. A Proforma is completed for each publication. All evidence required (as per DEST specifications) should be included in the documentation as well as a photocopy or original of the relevant sections of publications. Details of this are included in Guidelines.</p> <p>The Proforma and supporting documentation is forwarded to the Faculty/Institute Collection Officer.</p>	Research staff & Higher Degree by Research Students
FCO/ ICO checks each publication against	The Faculty/Institute Collection Officer checks each publication to ensure all evidence required is submitted	Faculty/Institute Collection Officers

Guidelines, completes checklist and requests further evidence if necessary from the Researcher.	and completes the Checklist form provided. The Checklist form is attached the front of the documentation. The FCO/ICO may need to request further information from the Researcher.	
Researcher to provide further evidence if requested by FCO/ICO.	The Researcher may be required to provide further evidence to support their publication submission. This evidence should be forwarded to the Faculty/Institute Collection Officer.	Research staff Higher Degree by Research Students
Completed Proforma and attachments signed off by HOS or delegate	The Head of School endorses each of the publications submitted and forwards to the Research Office.	Head of School
Research Office checks each publication against DEST guidelines, completes checklist and requests further evidence if necessary. Each Publication allocated a DEST category and points and entered on Database.	The Research Office ensures each publication has been submitted according to the DEST Guidelines. The RESEARCH OFFICE may need to request further evidence from Researcher via the Faculty/Institute Collection Officer. If the publication meets a DEST category criteria, points are allocated and recorded on the Access (Rid-Client) database for inclusion into the report.	Research Office
The Manager, Research Office, in consultation with the DVC Research reviews each publication and supports/ rejects for inclusion in DEST Collection.	The Manager, Research Office, in consultation with the DVC Research reviews each publication and supports/ rejects for inclusion in DEST Collection.	Manager, Research Office and DVC, Research
Research Office compiles final list of accepted publications for each Faculty/ School. FCO/ ICO reviews and confirms list. Research Office also provides list of rejected DEST category publications with reasons.	The Research Office compiles report for Heads of Schools that includes list of publications by DEST Category and points allocated for each.	Research Office
Submission Phase		
(4 – 1 month prior to closing date)		
Process Step	Summary of Process	Responsibility
Research Office compiles collection report according to DEST Guidelines for sign off by VC.	The Research Office publications collection report according to the DEST Guidelines. Report is forwarded to Vice-Chancellor for endorsement.	
VC certifies Collection Report for submission.	Vice-Chancellor endorses final HERDC report for submission to DEST.	Vice-Chancellor
Manager Submits Collection report to DEST by due date (approx 30	The Manager submits report to contact details provided in Specifications and forwards to Dept of Education,	Manager, Research Office

June)	Science and Training by the due date.	
Research Office includes publications list in the annual Research Activity Report.	Research Office includes publications list in the annual Research Activity Report which is then published on the Research website.	Research Office

Document History and Version Control

Version	Date Approved	Approved by	Brief Description
1.00	20/05/2005	Academic Board	Original process posted to web
1.01	15/05/2007	Manager Research Office	Update various web links