UWA Publications Collection 2013
Overview of the collection process
Using Minerva

Research Assessment Unit
February 2013
In this seminar...

- Why we collect publications data
  - See *UWA Publications Manual*, section A
- Collection process and specifications
  - See Manual section A.1 for collection process
  - See Manual section A.2 for data entry
  - See Manual sections B and C for specifications
  - See Manual section D for research code of conduct information
  - See Manual section E for publication category templates
- Using Minerva
  - See Manual section A
- Where to find more information
Essential Reading and Further Information

- **UWA Publications Manual**

- Help sections on Minerva

- Find useful links and documents at our webpage:

- Contact the RAU via:
  [pubqueries-research@uwa.edu.au](mailto:pubqueries-research@uwa.edu.au)
Why we collect publications data

• Research publications are collected annually for several purposes, including:
  – Reporting to the government as part of the HERDC for use in allocating the research component of the Commonwealth Operating Grant
  – Reporting to the ARC as part of the ERA research quality assessment
  – Allocation of the UWA budget via the FFM

• We collect publications from the previous year. In 2013, we are collecting 2012 publication information

• We also collect missing/late 2007-2011 publications with or without UWA affiliation

• The database closes at the end of March. By the closing date:
  – Publications must be entered and checked by the schools
  – Audit materials must be uploaded to the publication entries by the schools
  – Publication entries must be Submitted by the schools

• The closing date for publications data entry is 22 March 2012
Publication Categories

- Audit categories (HERDC and Creative Works):
  
  A1  B1  C1  E1  F1-8  P

- Non-Audit categories:

  A2  A3  A4  A5  B2  C2  C3  C4  D  E2  E3  E4  G  I  K  L  M

- Eligibility criteria for these publication categories are outlined in Section C of the Manual.

- All HERDC and Creative Works publications must meet the criteria, and schools must be able to provide the required verification materials.

See Sections B and C
Definition of Research

• All research publications must meet the definition of research, as set out in section 3 of the UWA Publications Manual
  – This includes the Creative Works
• One aspect is originality – we can’t claim previously published work
  – Check the publications in previous years to make sure the publication hasn’t been claimed already
  – Can’t claim a conference paper as both an E1 and a C1, unless they are significantly different publications
  – Summaries of previously published works, and reprints or reproductions of previously published works, are not eligible
Peer Review

- Evidence of peer review (also known as refereeing) must be provided for all C1s and E1s. The publication must be peer reviewed, not just the journal it is in.
  - Original research articles in refereed journals have been peer reviewed, but other article types may not have been
  - For example, a letter published in a “refereed” journal may not be peer reviewed, even though original articles are peer reviewed.
- Useful tools for proof that original research articles in the journal are peer reviewed:
- Other acceptable proof of refereeing:
  - A statement acknowledging or outlining a peer review process in the journal or conference proceedings or on the conference website
  - A statement from the journal or conference proceedings editor
  - A copy of the independent reviewers’ assessment
- A statement from the author is not enough  
  See 4.7
Commercial Publisher

- Evidence that the publisher is a commercial publisher must be provided for all A1s and B1s

- The core business of commercial publishers is publishing books and distributing them for sale
  - UWA Press is a commercial publisher
  - A school or faculty is not a commercial publisher

- If publishing is not the core business, then there must be a distinct organisational entity devoted to commercial publication

See 4.8
Verification Requirements

• Verification material as outlined in the *UWA Publications Manual* is required for all Audit category publications

• It is the school’s responsibility to provide the verification material, not the auditor’s

• You will be required to upload electronic copies of all of the audit materials on Minerva **before submitting the entry**

• Please keep in mind that the uploaded documentation will be used to assess the publication against the category requirements
  – Incomplete or illegible documentation may result in the publication being knocked back by the auditors
  – You can add an explanatory comment to the publication entry to highlight important information that the auditor may miss

See 4.11; Tables A and B
Requirements: Author Affiliation
(UWA-affiliated versus non-UWA Affiliated)

- All authors must be entered on the publication entry in the order that they appear on the publication.

- All UWA authors and UWA staff/students must be correctly identified on the publication entry – not just your own school’s authors.

- Minerva can identify UWA staff and students either with or without UWA affiliation on the publication.

- Use the author’s name as it appears on the publication itself, even if it differs to their name as recorded by the HR system. Minerva uses the staff/student ID to identify UWA staff and students.

- See Section D for information about research conduct as regards authorship.
  - Relevant to all publications, but especially those authored by research consortia.

See 2.5.2; 4.3
UWA-affiliated authors

- Authors who did the work in their capacity as UWA staff members or Students, or external authors with a UWA byline
  - **UWA Byline authors:**
    - Must have a UWA byline
    - Usually holds or did hold an appointment or enrolment at UWA
    - If there is a clear UWA Byline but they were not and are not UWA staff or students, use OTHER=UWA Byline
  - **Affiliation Letter authors:**
    - No UWA Byline
    - Must hold or have held an appointment or enrolment at UWA
    - Must be able to provide a signed affiliation letter, stating that they did the work in their capacity as a UWA staff member or student
Non-UWA Affiliated authors

• These are authors who did not do the work in their capacity as UWA staff members or students, and who do not have a UWA byline

• Non-UWA affiliated authors:
  
  – **Current UWA staff members:**
    • No UWA byline
    • Did not do the work in their capacity as UWA staff members
    • Now hold an appointment at UWA
    • Sometimes referred to as “ERA authors”
  
  – **Wholly external authors**, not current staff members:
    • No UWA byline
    • Did not do the work in their capacity as UWA staff members
    • Do not hold an appointment at UWA
Changes to HERDC Specifications

• The 2013 HERDC Specifications have not yet been released by DIISRTE. We will pass on any changes to the HERDC guidelines once the documentation has been made available.

• Changes from 2012:
  – Books and book chapters published solely online (ie no print or CD-ROM version produced) are not eligible this year
  – Guidelines now specify the types of books, journal articles, and conference publications that are not eligible – previous wording was “unlikely to be eligible”
Minerva is the UWA publications database tool

All publications information must be entered into Minerva

Publications data does not contribute to the authors’ Socratic Index calculation unless it has been entered into Minerva and has gone through the normal checks and audits

- This includes non-UWA publications of new staff
Minerva, Socrates, and Pubs Database

• UWA Publications Database has been decommissioned, Minerva has taken over all its data entry functions
  – Historical publications data (ie 2010 and previous) from the decommissioned system is available on Minerva, although some administrative data is unavailable for these publications
• Publication data in Socrates comes directly from Minerva
  – No direct data entry into Socrates
  – Socratic Index based on Finalised data from Minerva
• Focus on data collection in Minerva is:
  – Audit categories:
    • HERDC eligible publications
    • ERA eligible publications (creative works and Ps)
  – UWA staff and students
    • HERDC eligible
    • SI eligible
Key features of Minerva

• Single entry for each publication, including joint school publications
  – Helps reduce duplicate entries in the database
  – Simplifies data entry and reduce duplication of effort

• Import facility, allowing search of and data import from Scopus and Thomson Reuters ISI Web of Knowledge (WoK)
  – Some automated author matching
  – Some automated publication category matching
  – Helps reduce manual data entry for schools with publications in journals indexed by Scopus/WoK
  – (NB: WoK importer is currently unavailable, due to changes to the WoK structures)
Key features of Minerva (cont.)

• Multifaceted UWA staff/student and UWA author tagging
  – Sophisticated way of collecting author details such as UWA affiliation and Late authors
  – Can now collect UWA affiliated publications and non-UWA affiliated publications at the same time

• Supporting evidence document upload and online audit
  – Materials can often be sourced online, and electronic copies uploaded directly to Minerva
  – Auditors can audit majority of publications directly on Minerva
  – Helps speed up audit process
Using Minerva

- SPCs/APCs have access to the **Staff List** and **Publications** modules

- SPCs/APCs able to search and view all Finalised publication entries (historical data)

- SPCs/APCs will be able to search, view, and edit all publication entries until they are Submitted
  
  - This means you will be able to make changes to publication entries that another school has created
Logging on to Minerva

• Go to https://www.minerva.uwa.edu.au/

• Use your staff number and Pheme password to log in

• Go to http://www.pheme.uwa.edu.au to activate your Pheme account if you haven’t already

• If you don’t have SPC access, email pubqueries-research@uwa.edu.au with your details
• Filter the list by:
  – Organisational unit
  – Academic, honorary, general, student, or all
  – Whether the staff member is currently employed or not
• Export staff list if required
• Search for publications using various filters and parameters
  – Click **more fields** to access more search options
  – Check the **“Only show pubs I’ve edited”** box to search for your publication entries
• Click **Add Publication** to start entering publications details
Adding publication entries

• Click Add Publication

• Run a duplicate title search
  – Edit existing entry OR create new if not already entered

• Enter bibliographic details
  – Use import feature to import some publications data
  – Enter data manually

• Enter other information
  – Data not retrievable from Scopus/WoK, UWA-specific data

• Check all entered data
  – Including automatic author matches and publication category on Scopus/WoK imported entries
  – Ensure all UWA authors are identified, not just those in your own school

• Upload verification materials and supporting documents
  – Must upload full/extract of output, verification materials, and author affiliation letter (if required) as separate documents before Submitting

• Save at any time by clicking the Save button

• Submit the entry by clicking the Submit to Research Assessment Unit button
Duplicate Title search

- Run a Duplicate Title search to help reduce duplicate entries in the database
- Use a partial title to get a better search result
- Click on **Go to entry** to go to an existing entry
- Click on **create a new publication entry** to create a new publication entry
- Specifying a Year value will restrict the results to that year
Importing publication details

- Import search will only find publications that are indexed in Scopus or WoK
- Imported data may not be accurate – always check!
- Minerva attempts to automatically match authors with UWA Bylines to current staff
  - Ensure automatic match is correct
  - Ensure all UWA byline authors are correctly identified on Minerva
  - Ensure all UWA staff are correctly identified on Minerva
- Scopus and WoK document types do not correspond perfectly to UWA publication categories
  - Ensure the category is correct, and that the publication meets all the criteria for that category
  - Note that many WoK Conference Proceedings Papers are just abstracts or extended abstracts, so ≠ E1
Importing publication details (cont)

A. Select a citation supplier, or both

B. Select **Only UWA Publications** or all publications

C. Use electronic ID search field, or click “Show search fields” for more options

D. Add a search criterion, eg author surname

E. Click **Import Search**
Importing publication details (cont)

- Alter search criteria and click **Import Search** again to run another search
- Click on the column headings to sort the results
- Click on **Data** to import
- Review data and click **Ok** to confirm the import
Importing publications data (cont)

- Dark blue fields with red asterisks are mandatory
- Light blue fields are optional
- Not all data can be imported from Scopus/WoK, ensure all required data is entered
- Use the Edit icon (   ) to edit author details
- Warning icon (  ) indicates author data is incomplete
Manual data entry

• Entering bibliographic and other publication data requires you to enter text into fields or select from drop down lists

• There are some specialised features:
  – Authors
  – Journal title and other details
  – Field of Research codes (FoRs)
  – Date of Conference
Authors

- To add an author, enter all relevant details, including UWA affiliation type and Author Type (as they were at the time of publication) where appropriate, and click the **Add** button.

- You can enter the **UWAID and name details** in a few different ways:
  - Enter UWA ID (staff or student number) and click the green arrow icon (➡️) to auto-populate their default name and initials.
  - Enter their surname and click the binoculars icon (🔍) to search current and non-current staff and students.
  - Manually type the author details of UWA and non-UWA authors.

- You must select a **UWA Affiliation type** for all manually entered authors.

- You must select an **Author Type for all UWA affiliated authors**:
  - Those with a UWA Byline or affiliation letter.
  - Leave Author Type blank for non-UWA Affiliated authors (previously external or /ERA).

- **Click the green Add icon** (➕) to add the author details to the Author section.

- Use the **This publication has international authors** checkbox to indicate whether there are international co-authors.
Adding and editing Authors

**UWA-affiliated authors** (previously /PYRL, /HON, /STUD, /OTHER=UWA Byline)

- Enter their UWAID, name, and initials
- Select “UWA Byline” or “No UWA Byline, is UWA affiliated at time of publication”
- Select appropriate Author Type – STAFF or STUDENT
- Click **Add** icon
Adding and editing Authors (cont.)

Authors

This publication has international authors

<table>
<thead>
<tr>
<th>UWA ID</th>
<th>Name</th>
<th>Initials</th>
<th>UWA Affiliation (at time of publication)</th>
<th>Author Type (at time of publication)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Przywolnik</td>
<td>E.A.</td>
<td>No UWA Byline (Generate Letter)</td>
<td>STAFF-PAYROLL</td>
</tr>
<tr>
<td>2</td>
<td>Murdock</td>
<td>J.M.</td>
<td>UWA Byline</td>
<td>STAFF-PAYROLL</td>
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</tbody>
</table>

• Non-UWA affiliated authors who are now UWA staff (previously /ERA)
  – Enter their UWAID, name, and initials
  – Select “No UWA Byline, is not UWA affiliated at time of publication”
  – Leave Author Type blank
  – Click Add icon
Adding and editing Authors (cont.)

Non-UWA affiliated authors
(external authors, previously left blank)

- Leave UWAID blank
- Enter their name and initials
- Select “No UWA Byline, is not UWA affiliated at time of publication”
- Leave Author Type blank
- Click Add icon
Adding and editing Authors (cont.)

- Click the Edit icon ( chỉnh ) to edit author details
Journal details

- Link the entry to the Minerva Journal List:
  - Use the Select Journal search interface
  - Start typing in the journal title and select from the autosuggestions
- ISSN and other details will auto-populate
- If the journal is not on the Minerva Journal List, enter the details manually
FoRs

- If the journal has FoRs assigned from the ERA Journal List, they will auto-populate in the FoR fields.
- You may edit the FoRs and apportionments if the automatically assigned FoRs are not appropriate.
- If Minerva does not auto-populate the FoRs and apportionments, enter them manually.
Date of Conference

- Use the calendars to select the correct start and end date
- Manually type in the dates in the format **dd/mm/yyyy**
- For one-day conferences, put the date in both start and end date fields
Document upload

Click on the **FILES** tab to get to the upload screen

Select the supporting document type from the drop down menu

Click **Browse** or **Choose File** to select the file on your computer

If the document is sensitive (eg referee’s report), select **Restricted**

Click **Upload** to upload the file to Minerva

Upload each type of supporting document separately, not all audit materials in one file

That is, the verification materials in one document, the full copy of the publication in another document, and the affiliation letters in another document

This documentation will be accessed by the Auditors and used to assess whether the publication meets the category definitions
Updating existing entries

- You can edit all *in progress* publication entries, that is publications up to the point that they are Submitted
- You cannot edit publications after they have been Submitted or Finalised
- For existing publication entries that need updating with new information:
  - Enter the relevant details in the Comment section of the publication entry
  - Tick the box to email a copy to the RAU publications address
  - Click the **Add** button
  - RAU will review and make changes where appropriate

Comments (0)  Hide

Add

Author Smith, J. is a new staff member, UWA ID 00000001.

Page numbers should be 10-23.

Email a copy to:

- pubqueries-research
- Me

No comments have been added to this publication yet.
Audit

- The audit will happen directly on Minerva
- You may be contacted by the RAU or by Auditors for further information about a publication entry
- The same audit materials for each publication category are required as in previous years
  - See the *UWA Publications Manual* for details of requirements
- The uploaded documents must be legible, and must include all of the required information to demonstrate that the publication meets the requirements
- We also require that schools provide hardcopies of A1 books for audit
- **You are required to upload all required audit materials to the entry before you submit it**
  - Please allow enough time to complete data entry and audit materials upload by 22 March 2012
After the Audit

- All publication entries will be Finalised on Minerva by the RAU after the audit
- All publication entries will be viewable on Minerva to anyone with the Pheme username and password
- Finalised publications from Minerva will be displayed on Socrates
Essential Reading and Further Information

- **UWA Publications Manual**

- Help sections on Minerva

![Minerva Help Section](image)

- Find useful links and documents at our webpage:

- Contact the RAU via:
  [pubqueries-research@uwa.edu.au](mailto:pubqueries-research@uwa.edu.au)