

The University of Western Australia

# **UWA Publications Manual**

for the collection of

**2014 Research Publications**

and

**2009-2013 Late and Non-UWA Affiliated  
Research Publications by current UWA staff**

Issued February 2015

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# Section A

Overview of Publications Collection process

and

Instructions for using Minerva  
for data entry

# 1. INTRODUCTION

Details of the University of Western Australia's research publications are collected annually for a number of purposes:

- information on four categories (A1, B1, C1, E1) is reported to The Australian Government Department of Education as part of the annual Higher Education Research Data Collection (HERDC) for use in allocating the research component of the Commonwealth Operating Grant;
- information on a range of publication categories is used in the determination of UWA's internal budget;
- for submission to the ARC as a major part of the research quality assurance system, Excellence in Research for Australia (ERA);
- displaying Finalised publications information on Socrates and contributing to Socratic Index;
- an annual list of the University's publications is placed on the web; and
- for a variety of statistical purposes.

The collection each year is subject to audit by UWA Publications Audit Subcommittees, the Office of the (State) Auditor General, and auditors acting on behalf of the Government.


## 1.1 The Process

The publications data collection will be completed on [Minerva](#). The focus and intent of the data collection is the same as in previous years.

The following is an outline of the publications data collection process:

- The Publications Collection is announced. The RAU updates the manual and help documents. This manual refers to the 2015 HERDC Specifications for the collection of 2014 publications, and the collection of late and non-UWA affiliated publications from 2009-2013.
- Heads of Schools and Directors of Centres must nominate an Academic Publications Contact (APC) and an administrative School Publications Contact (SPC). The APC is responsible for coordinating the collection on the school's behalf, including advising staff and students on the correct classification of publications and ensuring timeliness, consistency and completeness. The SPC is responsible for the data entry in each area, and must consequently be familiar with Minerva and the publication definitions and requirements outlined in this manual.
- APCs and SPCs attend RAU training sessions, and/or read the training and help information provided on the web. Other data entry users for the school may be granted access to Minerva after they attend a training session and/or read this manual. The primary APC and SPC contacts remain responsible for the accuracy and completeness of the data entry for their school, regardless of the number of other data entry users also entering publications data.
- Minerva performs weekly bulk publications imports of journal articles from Elsevier Scopus. Only publications with a UWA byline and publication year of 2014 or 2015 are

imported. The RAU checks the imported publications and may contact SPCs for further information or clarification.

- APCs and SPCs call for and gather information about the publications authored by UWA staff, students, and affiliates since the last publications collection from the staff, students, and affiliates. APCs and SPCs should also gather information about UWA-affiliated publications published 2009-2013 that missed previous collections (ie Late publications), and information about non-UWA-affiliated publications (ie publications by UWA staff where the work was completed at another institution).
- SPCs enter all remaining publications data directly into Minerva. **SPCs are not required to enter publications that have already been imported via the bulk importer.** There is an import feature that can be used to extract individual publications data directly from the online database Elsevier Scopus for specific non-UWA byline publications. SPCs are responsible for all works published by authors in their own school or centre. See section 2 for information about entering data on Minerva.
- SPCs and APCs contact the RAU via [pubqueries-research@uwa.edu.au](mailto:pubqueries-research@uwa.edu.au) or via the yellow envelope icon (  ) on Minerva for help with using Minerva and for help with interpreting the Collection requirements.
- For manually entered/imported publications (those not imported via the bulk importer) SPCs and APCs are responsible for checking the publications data, supplying supporting documentation that demonstrate that the publication meets the publication category criteria, and ensuring that all UWA authors are correctly identified.
- For publications entered into Minerva via the bulk importer, schools may be contacted by the RAU for further information, for example proof of peer review. Schools are also responsible for ensuring that all UWA affiliated authors are correctly identified on the bulk imported publications. The RAU will not be able to identify non-UWA byline authors that can provide affiliation letters, and so will require help from schools to identify these authors.
- Each publication should be entered into Minerva only once. Where a publication is authored by UWA staff, students, or affiliates from more than one school or centre, the SPCs must ensure that **all UWA authors** are correctly identified on the publication entry, not just the authors from their own school or centre. SPCs may need to liaise with each other to achieve this end.
- Each publication must only be claimed once. For example, a paper presented at a conference may be published in a conference proceedings publication and then subsequently as a journal article. Either the conference paper or the journal article may be claimed, but not both. If the conference paper is claimed as an E1, then the journal article is not eligible to be claimed also as a C1, unless it has been significantly revised and contains substantial original, previously unpublished, research.
- SPCs must ensure that all UWA authors are identified correctly on each publication entry. For example, failure to correctly identify HERDC-eligible authors will result in under- or over-claim in the University's HERDC submission, which will have financial implications for the University and for the claiming school or centre. SPCs must ensure that they fully understand how author affiliation is handled by Minerva, and the implications for HERDC, ERA, and University reporting. See sections 2.5.2 and 4.3 in this manual and the Authors section in the online Minerva Help for full explanations.
- SPCs upload all required supporting documentation to the publications they have entered via the **FILES** upload interface. Specific audit requirements for each publication category are outlined in [Section C](#) of this manual. Refer queries about

record keeping requirements to [Information Governance Services](#). For publications entered into the UWA Publications Database (up to 2010), please keep the supporting documentation in an accessible location for 3 years for HERDC purposes and 7 years for ERA purposes.

- Schools must be able to demonstrate that C1 and E1 publications have been refereed. Verification requirements are set out in [Section C](#) of these guidelines.
- The Head of School retains responsibility for certifying that the school's final submission is correct. **The Head must only allow publications to be included in the final submission if the classification can be substantiated by the evidence accompanying it.** The verification requirements for each category are stated in Tables A and B of [Section C](#) of these guidelines. Table C of [Section C](#) shows the weightings for each publication category.
- Once the publication entries meet Minerva's verification requirements, and all data is as complete and accurate as possible, and all required audit materials have been uploaded, SPCs Submit the publication entries for audit. Click the **Submit to Research Assessment Unit** button to Submit the publication entry.
- RAU coordinates the audit of the submitted publications. SPCs may be contacted for further information (for example, missing bibliographic data or verification materials) during this time. The audit will take place online. Auditors will review the bibliographic information and supporting documentation directly on Minerva. Schools may be contacted for further information during this time.
- RAU makes any changes to publications requested by the auditors (for example, category changes, author details changes), and then Finalises all publications. Publications may have their category changed as a result of the audit process, for example an A1.1 to A2 if found to be a textbook rather than a research book during audit.
- The data will then be used for the purposes described in the introduction. Finalised publication entries are visible in Minerva and Socrates.

## 1.2 Matters to Note in Particular

### 1.2.1 Collection process details

- Publications data is collected via Minerva. See section 2 for information about entering data on Minerva.
- As in previous collections, Heads of Schools are responsible for ensuring the completeness and accuracy of submitted publications data.
- Minerva will perform bulk imports of journal article data from Elsevier Scopus. It is anticipated that the majority of C1 journal articles will be imported via this method. Schools **are not** required to manually enter C1s that have been bulk imported. Schools **are** required to enter C1s that have not been bulk imported (ie those not available on Scopus, C1s by UWA staff/students without UWA bylines, Late C1s). Schools **are** required to enter A1, B1, E1, and F category publications.



- All manually entered data must be entered and all audit materials must be uploaded by **31st March 2015**. No extensions will be granted.
- The collection of 2014 UWA publication details is aimed at collecting the same data in 2015 as in all past years. That is, details of 2014 publications in which the author is affiliated with UWA (generally this means has a UWA byline or address) will be entered by schools, audited and submitted to HERDC.
- Any missing Late 2009-13 UWA publications (ie publications with a UWA byline) should be entered now. They will automatically be tagged by the system as Late publications when you change the Publication Year to a value 2009-2013, and will be audited along with the 2014 UWA publications. Please familiarise yourself with the method for entering author details to ensure that author details are captured accurately.
- Any 2009-2014 non-UWA publications by current UWA staff (publications without a UWA byline where the author completed the research that led to the publication at another institution) which are missing from Minerva should be entered now. Please familiarise yourself with the new method for entering author details to ensure that author details are captured accurately.

### 1.2.2 Entering publications and authors

- Collaborative publications, ie those with authors from more than one school or centre, must be entered in Minerva only once. All schools with authors on the publication are responsible for ensuring that the publication details are correct and that the authors are correctly identified. You may need to liaise with the publication contacts for the other school or centre to ensure completeness and accuracy.
- Where a staff member or student is employed or enrolled in more than one school or centre, the publication must be entered once only. You may need to liaise with the publication contacts for the other school or centre to ensure completeness and accuracy.
- Please ensure that you correctly identify the author affiliations **at the time of publication**. Incorrect author affiliation information may result in UWA being penalised for submitting incorrect publications information to the government.
- It is vital that for all UWA-affiliated publications the University byline identifies this University. Where a publication does not contain a byline identifying UWA, or where UWA affiliation is not clearly identified in the publication, the author must be listed in a staff or student list from the University's central official databases **and** must provide a statement that the research leading to the publication was undertaken in their capacity as a UWA employee or student (see section 4.3 below for details). A brief explanatory note may be added to the **Comment** section to facilitate the audit process.
- Do not enter a new publication entry for your school if the publication has already been entered or imported. All authors (UWA affiliated and non-UWA affiliated authors) should be identified on the same entry, regardless of which school they belong to. See section 2.10 for information about updating existing entries.
- Affiliation Letters must only be provided for authors who did the work in their capacity as UWA staff members or students, who held an appointment at UWA or were enrolled at UWA, **and who do not have a UWA byline on the publication**.

The signed affiliation letter must be uploaded to the publication entry. Do not provide affiliation letters for authors with a UWA byline on the publication. Do not provide affiliation letters for authors who did not do the work in their capacity as a UWA staff member or student – they are not UWA affiliated authors on that publication, regardless of whether they are now UWA staff.

- Schools only need to enter Audit category publications (A1, B1, C1, E1, F1-8, and P) into Minerva. Publications in other categories may be entered into Minerva, but they will not be checked or audited, and they will not receive points or contribute to the authors' Socratic Index points.

### 1.2.3 Audit materials

- All required audit materials must be uploaded to the publication entry by **31 March 2015**. No extensions will be granted.
- The audit materials will be used by the Audit Subcommittees to assess the publication against the publication category. Please ensure that you include enough information in the uploaded audit materials to allow the auditors to make a reasonable judgement. Incomplete or unreadable audit material documents will not be accepted.
- For audit purposes, we require that a hard copy of publications claimed as A1 research books be provided by the School. Please ensure that you are able to provide a hard copy of the book as soon after the data entry deadline as possible. The hard copies will be returned to the schools after the publications collection is complete.
- For publications in languages other than English, schools must provide enough material translated into English to allow for the publication to be audited against the publication category requirements. Please ensure that you upload the audit materials in English to the publication entry before the **31st March 2015**. This is a government requirement.

### 1.2.4 Publication categories

- All audit category publications must be substantially original and previously unpublished. This includes creative works.
- All of the requirements for the publication category must be met for a publication to be included in that category. For example, a journal article must meet all of the requirements for the C1 category to be included as a C1 – simply being peer reviewed is not enough.
- Theses may only be included if they are published under one of the specific publication categories (eg, as a book, a book chapter, or a journal article). Submission of a thesis to the University for completion of a degree and its lodgement in the University Library or in a digital repository does **not** count as a research publication for these purposes.

### 1.2.5 Responsible practice of research

- For articles that list consortia or research groups as authors, the UWA authors must be listed as part of the "writing group" or equivalent. If they are not listed as

part of the writing group but they did participate in the writing/revising and the final approval of the version of the article to be published, they must provide a signed Authorship Statement. The template for the Authorship Statement is available upon request from [pubqueries-research@uwa.edu.au](mailto:pubqueries-research@uwa.edu.au). See Section D of this manual for an extract of UWA's *Code of conduct for the responsible practice of research* relating to the definition of authorship.

### 1.2.6 Getting help

- Find help and further information in the following places:
  - The RAU Publications webpage:  
<http://www.research.uwa.edu.au/staff/publications>
  - The *UWA Publications Manual* (this document)
  - Help screens on Minerva. You can help via the Help menu item and via the question mark icons
  - Contact the RAU by email ([pubqueries-research@uwa.edu.au](mailto:pubqueries-research@uwa.edu.au)) or via the yellow envelope icon on Minerva.

## 2. Data Entry Using Minerva

For this collection, all publications data must be entered on [Minerva](#). The web interface has been designed to make data entry easier, with an integrated data import feature and drop-down lists to select from. It automates much of the data checking and also includes a search facility with an export feature.

Please use the normal mix of upper and lower case letters for entry in each field. Please DO NOT use all upper case.

### 2.1 Introduction to Minerva


Minerva is a tool designed for the collection, audit, and reporting of the research publication output of The University of Western Australia (UWA). It was developed for this purpose by the Centre for Software Practice (CSP) and the Research Assessment Unit (RAU).

Minerva uses data from:

- UWA Publications Database (publications data up to 2010)
- Alesco (Human Resources Database)
- Callista (Student Information Management System)

and can integrate data from:

- Elsevier's SciVerse Scopus
- Thomson Reuters ISI Web of Knowledge

Queries can be sent directly to the Research Assessment Unit (RAU) by clicking on the yellow envelope icon (  ) that appears in the top left hand corner of the screen throughout Minerva, or by sending an email to [pubqueries-research@uwa.edu.au](mailto:pubqueries-research@uwa.edu.au).

## **2.2 Accessing Minerva**

### **2.2.1 Browser Requirements**

Minerva has been successfully tested with Firefox v5.0 and Google Chrome v12.0. Other browsers may experience some layout and functionality issues.

The URL for Minerva is <https://www.minerva.uwa.edu.au/>

There ar

e more resources and links available at the RAU Research Publications webpage: <http://www.research.uwa.edu.au/staff/publications>

### **2.2.2 Initial Access**

Use your staff number and PHEME password to log in to Minerva. If you do not have a PHEME password, go to <http://www.pHEME.uwa.edu.au/> to activate your account. The Publications search screen loads by default.

Please familiarise yourself with the information conveyed in this manual before requesting School Publication Contact access.

## 2.3 Anatomy of Minerva

The following section gives an overview of Minerva's interface.

### 2.3.1 Log in screen



The screenshot shows the Minerva login interface. At the top left is the University of Western Australia logo and name. At the top right is the word 'MINERVA'. A red arrow labeled 'A' points to a link in the top navigation bar. In the center, there is a Minerva logo (a profile of a woman's head) and the word 'MINERVA'. Below this are two input fields: 'STAFF NUMBER:' and 'PASSWORD:'. A red letter 'B' is positioned to the left of these fields. A purple 'Login' button is below the password field. Below the login fields, there is a message: 'You must have a PHEME account to access Minerva. Please go to <https://www.pHEME.uwa.edu.au> for details.' A red letter 'C' is positioned to the left of this message. Below the message, it says 'Version: 1.0 (September 2011)' and a blue 'Help' link.

- A** Link to <http://www.uwa.edu.au/>
- B** Enter your staff number and PHEME password and click **Login** to access Minerva.
- C** Access a **help screen** with information about Minerva, logging in to Minerva, and the different access types.

## 2.3.2 Publications (the publications search screen)

The screenshot shows the Minerva Publications search interface. At the top, there is a navigation bar with 'GO TO: STAFF LIST PUBLICATIONS LOGOUT HELP' and a dropdown menu for 'School Publication Contact'. Below this is a 'Publications' header with a yellow email icon (G) and a question mark icon (F). The search form includes a 'Scope' dropdown (I), 'Audit Org Unit' (J), 'Faculty' (J), and 'School' (J) dropdowns. A search bar (K) with 'Search' and 'Clear' buttons is present, along with a 'Pubs I've edited' checkbox (L) and an 'Add Publication Export' icon (M). A 'Comment Filter' checkbox (Q) and a 'Check Student/Staff Link' checkbox are also visible. The results table (R) has columns for 'PubStatus', 'Year', 'Authors', 'Cat', 'Title', 'Publication', 'UWA: Points \$Points', 'Govt: Points \$Points', 'Tisi Cites', 'Scopus Cites', 'Links', and a red 'O' icon. The table contains four rows of publication data.

PubStatus	Year	Authors	Cat	Title	Publication	UWA: Points \$Points	Govt: Points \$Points	Tisi Cites	Scopus Cites	Links	
Initial	2013	Eikelboom, R.H., Swanepoel, D., Motakef, S., Upson, G.	C1	Clinical validation of the AMTAS automated audiometer	INTERNATIONAL JOURNAL OF AUDIOLOGY	1.00 1.00	1.00 1.00				Edit View No Comments
Initial	2013	Gluth, M., Tan, BYB, Santa Maria, P.L., Atlas, M.	C1	The unique microbiology of the unstable open mastoid cavity and considerations for surgical revision	JOURNAL OF LARYNGOLOGY AND OTOTOLOGY	1.00 1.00	1.00 1.00				Edit View No Comments
Initial	2013	Santa Maria, P.L., Domville-Lewis, C., Sucher, C., Chester-Browne, R., Upson, G., Atlas, M.	C1	The Medium Term Results of Hearing Preservation Surgery for Cochlear Implantation	LARYNGOSCOPE	1.00 1.00	1.00 1.00				Edit View No Comments
Initial	2013	Shen, Y., Redmond, S.L., Teh, B.M., Yan, S., Wang, Y., Zhou, L., Budgeon, C.A., Eikelboom, R.H., Atlas, M., Dilley, R.J., Zheng, M.H., Marano, R.J.	C1	Scaffolds for Tympanic Membrane Reconstruction in a Rat Model	TISSUE ENGINEERING PART A: TISSUE ENGINEERING	0.75 0.75	0.75 0.75				Edit View No Comments

**D Menu:** click on the menu items to go to other screens on Minerva.

**E Help menu item:** use the Help menu item to navigate through the online Minerva help screens.

**F Question mark icon:** this will bring up help related to the current Minerva screen.

**G Yellow email icon:** You can use this to send an email directly to the RAU with Minerva and publications related queries.

**H Your access type.** If you have been granted SPC access, Minerva will default to the SPC access level and display "School Publications Contact" in the drop down menu. You can use the drop down menu to move between your access types (for example if you are both an APC and an Auditor)

**I Scope and Faculty:** You can filter your search results by School (based on where the authors are employed) or FoR.

**J Audit Org Unit:** Use the Faculty drop down menus to search by "Audit org unit". The Audit org unit is based on the first school that edited the publication entry. It does not necessarily reflect the authors' schools.

**K Search and filter options:** Use the search and filter options to search for publications in various ways.

**L Only show pubs I've edited checkbox:** select this to restrict your search results to publications that you have edited. This is useful as you may be dealing with publications in other schools.

**M More fields option:** click **More fields** to display the full set of search options.

**N Export:** click on the export icon to export the search results to Excel.


**O** Click **Edit** to go to the Publication Details entry form for that publication entry.

**P** Click **Add Publication** to start adding new publications.


**Q Comment Filter:** Click the "Comment Filter" checkbox to limit the search results depending on whether they have Comments, and by the user that made the Comments.

**R Audited or Unaudited tag:** a red tag next to the publication's details means that the publication has not been audited. A green tag next to the publication's details means that the publication has been audited.

## 2.3.3 Staff List


THE UNIVERSITY OF  
WESTERN AUSTRALIA
MINERVA

GO TO: [STAFF LIST](#) [PUBLICATIONS](#) [LOGOUT](#) [HELP](#) ▶
Responsibilities [School Publication Contact](#) ▼


Staff List

T
Filter by: (all)  Only Show Current S
U

Academic  Honorary  General  Student  All

Search 
Search

[Go to my details](#)
Export:

V

[1](#) [2](#) [3](#) [4](#) [5](#) [6](#) [7](#) [8](#) [9](#) [10](#) [11](#) [12](#) [13](#) [14](#) [15](#) [16](#) [17](#) [18](#) [19](#) [20](#) ... >>

UWA ID	Org Unit	Title	Name	First Name	Description
00000321	PSYCH	Prof	Hammond	Geoff	Winthrop Professor
00000398	HUM	Prof	Melville-Jones	John	Winthrop Professor
00001747	MATHS	Dr	Fowkes	Neville	Senior Lecturer
00001752	Centre for Water Research	Prof	Imberger	Jorg	Professor
00001789	PHYSICS	Prof	Blair	David	Winthrop Professor
00002054	Pathology & Lab Medicine	Prof	Harvey	Jennet	Winthrop Professor
00002550	MUSIC	A/Prof	Symons	David	Associate Professor

- S** **Only Show Current:** toggle between displaying only currently employed and enrolled staff and students, or current and non-current staff and students.
- T** **Filter** by organisational unit or show all staff and students.
- U** Select the **type of UWA staff or student** you want to search for.
- V** Use the **page number links** to navigate through the search results

## 2.3.4 Publication Details (the publication entry form)

**Publication Details**

Przywołnik, E.A. 2012, 'Neuropsychological benefits of using Minerva', *REVUE DE NEUROPSYCHOLOGIE*, 140, 2, pp. 325-334.

**W** DETAILS FILES HISTORY MinervaID: 476830

Save

Show Import Options

**X**  
**Y** Output Category: C1: Journal Article (Schol Refereed Journal)

**Z** Comments (0) Show

**AA** Status Hide

11 Feb 2013 12:29:29 PM Unaudited - Initial

So far no proof has been provided for this publication. You will be unable to proceed to the next stage until you have uploaded the following document types via the *Files* tab above.

- Full publication/output or Extract of Publication/output
- Verification material

Submit to Research Assessment Unit

### BB Authors

Any international Co-Authors?  Yes  No

UWA ID	Name	Initials	UWA Affiliation (at time of publication)	Author Type (at time of publication)				
1 00058349	Przywołnik	E.A.	UWA Byline	STAFF-PAYROLL				
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="radio"/> UWA Byline <input type="radio"/> No UWA Byline, is UWA affiliated at time of publication <input type="radio"/> No UWA Byline, is <b>not</b> UWA affiliated at time of publication	<input type="text"/>		Add		

#### W DETAILS, FILES, and HISTORY tabs:

- DETAILS shows the bibliographic and other data.
- FILES allows you to upload files to the entry.
- HISTORY shows the history of changes to the publication entry.

**X Import:** the Import feature is integrated into the Publications Details page. See section 2.6 for information about using the Import feature.

**Y Output Category:** use the dropdown menu to select the publication category.

**Z Comments:** use this section to:

- Provide any extra details not covered by the existing fields for the publication category.
- Send requests to RAU for updates to existing Finalised publications. See section 2.7.1 for information about using the **Comments** section for this purpose.

**AA Status:** this section displays information about the publication entry's progress and the uploaded documents. Click the **Submit to Research Assessment Unit** button to Submit the entry.

**BB Authors:** all authors listed on a publication must be added to and correctly identified in the Authors section. See section 2.5.2 for information about how to use the Authors section.



## CC Bibliographic

<b>Article Title:</b>		<a href="#">Comment</a>
<div style="border: 1px solid #ccc; padding: 5px;"> <span style="float: right;"> </span>             Neuropsychological benefits of using Minerva         </div>		
<b>Print Year:</b>	<input type="text" value="2012"/>	<a href="#">Comment</a>
<b>Online Year:</b> <a href="#">Unlock</a>	2012	<a href="#">Comment</a>
<b>Collection Year</b>	2013	<a href="#">Comment</a>
<b>HERDC Submission Year</b>	2013	<a href="#">Comment</a>
<b>FFM Submission Year</b>	2013	<a href="#">Comment</a>
<b>Select Journal:</b>	<input type="text" value="REVUE DE NEUROPSYCHOLOGIE"/> <small>ERA JournalID: 6651 Minerva JournalID: 15013</small>	
<b>ISBN/ISSN:</b> <a href="#">Unlock ISBN / Search</a>	1155-4452	<a href="#">Comment</a>
<b>Place of Publication:</b>	<input type="text"/>	<a href="#">Comment</a>
<b>Publisher:</b>	ADRSC-ASSOC DIFFUSION RECHERCH	<a href="#">Comment</a>
<b>Volume:</b>	140	<a href="#">Comment</a>
<b>Issue:</b>	2	<a href="#">Comment</a>
<b>Pages:</b>	325-334	<a href="#">Comment</a>
<b>Strategic Research Area:</b>	Neurosciences, including psychology	<a href="#">Comment</a>

## DD

## EE Points

	Points	\$Points	Score	\$Score
<b>UWA Points</b>	1.00	1.00	-	-
<b>Govt Points</b>	1.00	1.00	1.00	1.00

## FF Fields of Research

From Journal: 1109, 1701, 1702

Publication FoRs	
<b>FoR 1:</b>	34% - 1109: NEUROSCIENCES ( <a href="#">change</a>   <a href="#">clear</a> )
<b>FoR 2:</b>	33% - 1701: PSYCHOLOGY ( <a href="#">change</a>   <a href="#">clear</a> )
<b>FoR 3:</b>	33% - 1702: COGNITIVE SCIENCE ( <a href="#">change</a>   <a href="#">clear</a> )
ERA 2012 FoRs	
<b>FoR 1:</b>	None
<b>FoR 2:</b>	None
<b>FoR 3:</b>	None

## GG Identifiers

<b>DOI:</b>	<input type="text"/>	<a href="#">Comment</a>
<b>Minerva ID:</b>	476830	
<b>Scopus ID:</b>	<input type="text"/>	<a href="#">Comment</a>
<b>Thomson ID:</b>	<input type="text"/>	<a href="#">Comment</a>
<b>ResPub ID(s):</b>	<input type="text"/>	<a href="#">Comment</a>

- CC Bibliographic data:** The data fields for the publication category will display in this section. Required fields are dark blue with red asterisks. Optional fields are light blue. Data must be entered in required fields, and data should be entered if it exists in optional fields.
- DD Select Journal:** Click on **Select Journal** to search for the journal on the Minerva Journal List. Alternatively, you can start entering the journal title in the text box and select from the auto-suggestion list. See section 2.5.5 for more information about how to use this feature.
- EE Points:** the points for the publication will be displayed in this section.
- FF Fields of Research:** use this section to select the appropriate FoRs and percentages for the publication. See section 2.5.16 for information about how to use this feature.
- GG Identifiers:** This section shows the Unique Identifiers relevant to the publication:

- DOI: the Digital Object Identifier may be auto-populated if you have imported the entry. Otherwise, you can enter a value for DOI.
- Scopus ID: This field will auto-populate if you import the entry from Scopus
- Thomson ID: This field will auto-populate if you import the entry from Thomson Reuters Web of Knowledge.
- ResPub ID(s): This field will have a value if the publication originally came from the UWA Publications Database (ie entries from 2010 and before).

### 2.3.5 The Importer feature

**MM** Import Search **HH**  Only UWA Publications **II** ScopusID **JJ** (Hide search fields)

**KK** Title: complexes **LL** Clear Fields

Journal:

Year: 2012

Authors: Last Name: godel, b Initials:  **KK** **LL**

Output Category: C1: Journal Article (Schol Refereed Journal)

	Year	Authors	Cat	Title	Publication Title	Cites	External ID	Provider	
<a href="#">Data ID</a>	2012	Vukmanovic, Z., Barnes, S.J., Reddy, S.M., Godel, B., Fiorentini, M.L.		Morphology and microstructure of chromite crystals in chromitites from the Merensky Reef (Bushveld Complex, South Africa)	Contributions to Mineralogy and Petrology	0	2-s2.0-84871531569	SCOPUS	

**NN**  
**OO**

Use the Importer to save time with data entry and ensure more accurate data.

**HH** Use the tick box to search only for publications with UWA bylines or for all publications.

**II** If you know the Scopus electronic ID or the Web of Knowledge electronic ID, you can use it to search for the publication.

**JJ** Click “**Show search fields**” to display more search fields.

**KK** Search by:

- **Title:** use a keyword or phrase from the title. Try to avoid using the full title or sections of the title that may be punctuated or spelled differently.
- **Journal:** search by journal title only if you know how Scopus or Web of Knowledge hold the journal title. For example, you may not get any results if you search for “journal of resource economics” if the database holds the journal as “Resource Economics, Journal of”.
- **Year:** enter a publication year. It is recommended that you use a Year to limit your search if you are otherwise searching only by author name.
- **Authors:** you can search by surname, or by surname and first initial. Add the name information into the text boxes, and then click the green icon (KK) to add the author to the search criteria.

- LL** Add author button: if you want to search by author name, enter the name information into the text boxes, and then click the green icon. This will add the author information to the “Authors” search field. You can search by multiple author names in this way.
- MM** Import Search button: click the button to start the search. Searches may take a few minutes to complete.
- NN** Search results display in the results table underneath the Import feature. Sort the results by clicking on the column headings. Click on Data or ID to import the publication details or just the electronic ID.
- OO** Minerva checks its database to see if the publication is likely to have already been inputted. If it thinks that the publication already exists in Minerva, it displays the green arrow icon. Click on the icon to go to the publication entry to check if the publication has already been entered.

## 2.4 Add Publication and Duplicate Title Search

To begin, select **Publications** from the GO TO: menu, then click **Add Publication**.

To reduce duplication of effort and the number of duplicate entries, you will be required to perform a duplicate title search before creating a new publication entry. Use the following search fields:

- **Title:** This is a required field. Enter a keyword or phrase. It is recommended that you put only part of the title in this field, to improve the chance of a match. Use a short chunk of the title, avoiding punctuation and words that could have alternative spellings.
- **Author:** search by one author’s last name. This is an optional field.
- **Year:** You can select a year focus your search. Use the CTRL key to select multiple years, for example one year either side of the publication year.
- **Publication:** This search field can be left blank. If you would like to search using Publication Title, enter the journal title or book title here.

Click the **Search for duplicates** button to bring up the search results.

If there is a matching publication in the **Search Results** list, click **Go to entry** to view the publication details. If the publication entry is in progress (ie it hasn't been Submitted or Finalised), you will be able to make any required changes or updates. If the publication entry has been Submitted or has been Finalised, you will not be able to edit the details. Please ensure that you do check the publication details and advise the RAU of any updates that are necessary. See section 2.7.1 for information about how to request updates to Submitted or Finalised publication entries.)

It is important to check publication details very carefully. Separate research on the same topic can be published and can have the same authors, the same publisher, and almost identical titles. Ensure that you are editing the correct publication entry, and not a different entry.

If the publication is not on the list of **Existing Matches** and you are sure that it has not been previously entered, follow the **[create a new publication entry](#)** link to create a new entry.

## 2.5 Manual Data Entry

The following section contains information about entering information correctly and using the

lookup and auto-populating features. Please familiarise yourself with the manual data entry process before importing publication entries, as you will need to check and edit the imported data and enter any missing data using. For information about using the Import feature, see section 2.6.

### 2.5.1 Publication Category

At the top of the **Publication** Details entry form is the **Output Category** field, a dropdown list of the publication categories that can be selected. It will show C1: Journal Article (Schol Refereed Journal) by default as this is the most common entry type.

Change the **Publication Category** by selecting from the dropdown list. This will update the entry form to display the data fields for the selected publication category.

SPCs will be able to select from all publication categories, including the HERDC and Creative Works categories. Individual users will be able to select from the non-audit categories only.

### 2.5.2 How to Enter Authors

We are collecting the same information about authors as in previous years with the same requirements. However, the author information is entered on Minerva in a significantly different way to the old process on the UWA Publications Database. It is vital to enter authors in exactly the required way or the system cannot record the data correctly. Please ensure you are familiar with the Authors section on the entry form and the way to enter and edit author details on Minerva.

One major difference between Minerva and the UWA Publications Database is that all UWA authors are now identified on the same publication entry, as opposed to each school only claiming their own authors. SPCs must ensure that:

- all authors listed on the publication itself are listed on Minerva, in the order that they appear on the publication;
- all UWA authors are correctly identified, not just their own school's authors (see sections 2.5.2.2 and 2.5.2.3);
- all UWA authors listed on Minerva as having a UWA byline do in fact have a UWA byline on or in the publication with the words 'University of Western Australia';
- where an author being claimed as a UWA author has omitted a UWA byline but held an appointment or enrolment at UWA during the period they carried out the research, they provide a signed Affiliation Letter for that UWA author;
- they do not claim an author on a publication entry on Minerva as a UWA author unless they can demonstrate the author's affiliation to UWA, either with a byline or with a combination of an Affiliation Letter and an appointment/enrolment as described above;
- all non-UWA affiliated authors who are now UWA staff are correctly identified (see section 2.5.2.4), and;
- all non-UWA affiliated authors who are not UWA staff are correctly identified (see section 2.5.2.5).

The combination of UWAID, UWA affiliation at time of publication, and Author Type at time of publication is used to identify HERDC eligible authors for the University's HERDC submission, and ERA eligible publications for the University's next ERA submission. It is vital that all authors are identified correctly so that UWA does not under-claim or over-claim in these reporting requirements.

### 2.5.2.1 Using the Author Section Interface

- **UWA ID** is the author's staff or student number, and is used to identify UWA staff and students on the publication entry. If the author has or had a staff or student number, enter it here. If they are wholly external to UWA and do not have a staff or student number, leave this blank.
- **Name** and **Initials** as they appear on the publication.
- **UWA Affiliation (at time of publication)**, identifies whether the author had a UWA affiliation at the time of the publication. If they were not affiliated with UWA at the time of the publication (no UWA byline and do not meet the requirements for an affiliation letter) but are now UWA staff, choose "No UWA Byline, is not UWA affiliated at time of publication".
- **Author Type (at time of publication)** – choose the type of author they were at the time of publication, not necessarily as they are now. For example, if they were a PhD student when the article was published but are now a staff member, choose "STUDENT-POSTGRAD". If they were not UWA-affiliated at the time of publication but are now UWA staff, leave Author Type blank because they did not have a UWA Author Type at the time of publication.
- **(+) Add button** – click the Add button to add the author information to the Authors section. If you do not click the Add button, the author information will not be added to the publication entry.

#### Authors

This publication has international authors

UWA ID	Name	Initials	UWA Affiliation (at time of publication)	Author Type (at time of publication)			
00000001 →	Surname	F.I.	<input type="radio"/> UWA Byline <input type="radio"/> No UWA Byline, is UWA affiliated at time of publication <input type="radio"/> No UWA Byline, is not UWA affiliated at time of publication				<a href="#">+</a> Add

Automatically populate the details based on the staff number.

### ADDING AUTHORS

You can add authors to the Author section in three different ways:

#### By UWA ID:

If you know the author's staff or student number, enter it in the UWA ID field and click the green arrow icon. This will auto populate the Name and Initials fields with their details as they are held in Minerva. The automatic values may not be the person's preferred publishing name. Use the publishing name on the publication itself even if it is different to the auto populated value.

## Authors

This publication has international authors

UWA ID	Name	Initials	UWA Affiliation (at time of publication)	Author Type (at time of publication)
00000001	Surname	F.I.	<input type="radio"/> UWA Byline <input type="radio"/> No UWA Byline, is UWA affiliated at time of publication <input type="radio"/> No UWA Byline, is not UWA affiliated at time of publication	

Automatically populate the details based on the staff number.

### By last name:

Type in the author's last name into the Name field and click the binoculars icon. Minerva will use the last name to search against all staff and HDR students in Minerva. When you find the right person, click the green Add icon, and the person's UWA ID, Name, and Initials will auto-populate. Use the publishing name on the publication itself even if it is different to the auto populated value.

**Status** Hide

New publication record. No status available.

**Authors**

This publication has international authors

UWA ID	Name	Initials
	Przywolnik	

**Bibliographic**

Article Title:

**Add Author**

Search Staff
  Search Students
  Include non-current

Found Staff Matches

UWA ID	First Name	Last Name	Description	Org Unit
00058349	Elizabeth	Przywolnik	Senior Project Officer	Research Service

### Manual entry:

You can also manually type in the values for UWA ID, Name, and Initials without using either of the two lookup systems. You will need to manually enter all non-UWA authors. See section 2.5.2.5 for how to enter non-UWA authors who are also not UWA staff/students.

Select the appropriate UWA Affiliation for that author:

- If the author has a UWA Byline, choose "UWA Byline"
- If the author was a UWA staff member or student and carried out the research leading to the publication in their capacity as a UWA staff member or student (ie meets the requirements for providing an affiliation letter), choose "No UWA Byline, is UWA affiliated at time of publication"
- If the author did not complete the research for the publication in their capacity as a UWA staff member or student, and instead completed it at another institution, choose "No UWA Byline, is not UWA affiliated at time of publication"

Depending on the category of author, you may need to select an Author Type for the author. Only UWA-affiliated authors (a UWA Byline or meets the requirements for providing an Affiliation Letter) require an Author Type. Leave Author Type blank if you are entering an external author (not UWA affiliated) or a non-UWA affiliated author who is now a UWA staff member, as they were not a

UWA author type at the time of publication.

Click the **Add** button to add the author details to the Author section.

### EDITING AUTHOR DETAILS

Click on the yellow pencil icon to edit that author's details.

UWA ID	Name
1 00058349	Przywolnik
2	Surname

Click on the red delete icon to delete the author from the publication entry.

Click on the green up or down arrow to move the author up or down the list. Enter the authors on Minerva in the same order that they appear on the publication.

#### 2.5.2.2 Adding a UWA Affiliated Author who is also a UWA staff member or student

(Corresponds to the old /PYRL, /HON, and /STUD author types.)

These authors:

- Have a UWA byline on the publication, OR
- Meet the affiliation requirements (see sections 2.5.2.6 and 4.3), namely:
  - Are or were UWA staff or students AND
  - Did the work leading to the publication in their capacity as a UWA staff member or student (as demonstrated by the UWA Byline or affiliation letter)

To add an author in this category:

- Enter their UWAID, name, and initials
- Choose “UWA Byline” or “No UWA Byline, **is** UWA affiliated at time of publication”
- Choose the appropriate Author Type from STAFF or STUDENT
- Click **Add**

## Authors

This publication has international authors

UWA ID	Name	Initials	UWA Affiliation (at time of publication)	Author Type (at time of publication)				
00058349 →	Przywolnik	E.A.	<input checked="" type="radio"/> UWA Byline <input type="radio"/> No UWA Byline, <b>is</b> UWA affiliated at time of publication <input type="radio"/> No UWA Byline, <b>is not</b> UWA affiliated at time of publication	<input type="text" value="STAFF-PAYROLL"/> <ul style="list-style-type: none"> <li>STAFF-Payroll</li> <li>STAFF-Honorary/Adjunct</li> <li>STUDENT-Undergraduate</li> <li>STUDENT-Postgraduate</li> <li>OTHER-UWA Byline</li> </ul>				<a href="#">Add</a>

### 2.5.2.3 Adding a UWA Affiliated Author who is not a UWA staff member or student

(Corresponds to the old /OTHER=UWA Byline author type)

These authors:

- Have a UWA byline on the publication (we cannot accept affiliation letters for OTHER authors)
- Are **not** UWA staff or students

To add an author in this category:

- Leave **UWAID** blank (if they have a UWAID, they should be added as a UWA staff or student. See sections 2.5.2.2 and 2.5.2.4)
- Enter their **Name** and **Initials**
- Choose “UWA Byline”
- Choose “OTHER-UWA Byline” **Author Type**
- Click **Add**

## Authors

This publication has international authors

UWA ID	Name	Initials	UWA Affiliation (at time of publication)	Author Type (at time of publication)				
1 00058349	Przywolnik	E.A.	UWA Byline	STAFF-PAYROLL				
	Surname	F.I.	<input checked="" type="radio"/> UWA Byline <input type="radio"/> No UWA Byline, <b>is</b> UWA affiliated at time of publication <input type="radio"/> No UWA Byline, <b>is not</b> UWA affiliated at time of publication	<input type="text" value="OTHER-UWA Byline"/>				<a href="#">Add</a>



### 2.5.2.4 Adding a Non-UWA Affiliated Author who is now UWA staff

(Largely corresponds to the old /ERA author type.)

These authors:

- Do not have a UWA byline on the publication and do not meet the UWA affiliation requirements (see sections 2.5.2.6 and 4.3)
- Did the work for the publication at another institution
- Are now UWA staff or students, but were not UWA staff or students when they did the work for the publication

To add an author in this category:

- Enter their **UWAID**, **Name**, and **Initials**
- Choose “No UWA Byline, **is not** UWA affiliated at time of publication” for **UWA Affiliation** (if they have a UWA Byline or meet the requirements for an Affiliation Letter, add them as a UWA-affiliated author. See section 2.5.2.2)
- Leave **Author Type** blank
- Click **Add**

#### Authors

This publication has international authors

	UWA ID	Name	Initials	UWA Affiliation (at time of publication)	Author Type (at time of publication)				
1	00058349	Przywolnik	E.A.	UWA Byline	STAFF-PAYROLL				
2		Surname	F.I.	UWA Byline	OTHER-UWA BYLINE				
	<input type="text" value="00000002"/> →	<input type="text" value="Efternamn"/>	<input type="text" value="F.A."/>	<input type="radio"/> UWA Byline <input type="radio"/> No UWA Byline, <b>is</b> UWA affiliated at time of publication <input checked="" type="radio"/> No UWA Byline, <b>is not</b> UWA affiliated at time of publication	<input type="text"/>	Add			

### 2.5.2.5 Adding a Non-UWA Affiliated Author who is not UWA staff

(Largely corresponds to the old external authors.)

These authors:

- Do not have a UWA byline on the publication and do not meet the requirements for providing an affiliation letter (see sections 2.5.2.6 and 4.3)
- Are and were **not** UWA staff or students
- Did the work leading to the publication at another institution

To add an author in this category:

- Leave **UWAID** blank (if they have a UWAID, they should be added as a UWA staff member or student. See sections 2.5.2.2 and 2.5.2.4)
- Enter their **Name** and **Initials**
- Choose “No UWA Byline, **is not** UWA affiliated at time of publication” for **UWA Affiliation**
- Leave **Author Type** blank
- Click **Add**

You do not have to set **UWA Affiliation** to this value for external authors if the publication has been imported, only when manually entering the author details.

## Authors

This publication has international authors

	UWA ID	Name	Initials	UWA Affiliation (at time of publication)	Author Type (at time of publication)				
1	00058349	Przywolnik	E.A.	UWA Byline	STAFF-PAYROLL				
2		Surname	F.I.	UWA Byline	OTHER-UWA BYLINE				
	<input type="text"/>	<input type="text" value="Auktor"/>	<input type="text" value="F."/>	<input type="radio"/> UWA Byline <input type="radio"/> No UWA Byline, <b>is</b> UWA affiliated at time of publication <input checked="" type="radio"/> No UWA Byline, <b>is not</b> UWA affiliated at time of publication	<input type="text"/>				<a href="#">Add</a>

### 2.5.2.6 Generating Affiliation Letters

In cases where an author is a UWA staff member or student but does not have a UWA byline, they may be eligible to provide an affiliation letter. See section 4.3 for information about the UWA affiliation requirements.

When you add an author and select “No UWA Byline, **is** UWA affiliated at time of publication”, Minerva will automatically request an affiliation letter. Follow the **Generate Letter** link to download the letter for that author and publication. You will need to generate and get signed a letter for each author of this type for each publication.

You will not be able to Submit the entry until all the required affiliation letters are uploaded and have been checked by the RAU. Upload the signed affiliation letter to the publication entry via the FILE tab.

You should only provide an affiliation letter where the author meets the requirements. Please do not provide affiliation letters for authors who have a UWA byline on the publication, or for authors who were not UWA-affiliated at the time of publication but who are now UWA staff members or students.

### 2.5.2.7 Adding Late or New UWA Authors

To add a Late or new UWA author to an existing entry (that is, where the publication was entered but the author was not entered, or was not identified as a UWA-affiliated author), follow the instructions in section 2.7.1 for using the Comments section for this purpose.

To add a Late UWA publication (that is, where the publication was missed in previous publications collections), add the publication in the normal way, but change the Year to the appropriate value. This will automatically identify the publication entry as a Late entry.

### 2.5.3 Title of the Work

Enter the title exactly as it appears on the publication or output itself, with the following exceptions:

- Do not enter titles all in capitals
- Do not put a full stop at the end of the title
- Do not use double spaces after full stops, colons, dashes, etc
- Do not put asterisks or footnote markers at the end of the title

A title, particularly in some international or scientific publications, may include **special characters**, such as subscripts (eg H<sub>2</sub>SO<sub>4</sub>), characters outside of the Roman set (eg é or ß), or various other less usual characters. You can enter these special characters by going to an online Unicode map and copying and pasting the characters. Some examples are:

<http://www.unicodemap.org/>

<http://www.atm.ox.ac.uk/user/iwi/charmap.html>

### 2.5.4 Year

The Publication Year will default to 2014. You can change the Publication Year by entering a new value in the text box.

C1s and E1s may be available online before they are published in print. You can use the **Print Year** and **Online Year** fields to capture this information by changing the relevant field where **Print Year** and **Online Year** differ. By default, **Print Year** and **Online Year** are the same.

To enter a Late publication, change the Year to a value 2009-2013. Minerva will recognise the publication entry as a Late publication.

**Collection Year**, **HERDC Submission Year**, and **FFM Submission Year** are automatically filled and used for RAU purposes only.

### 2.5.5 Journal Details

It is best to select the journal from the Minerva journal list. You can do this in two ways.

You can use the **Select Journal** popup search feature to search for and select the correct journal. This will auto-populate the ISSN field, and the Publisher, Place of Publication, and FoR fields, if Minerva has that information for the journal.

You can also start typing the journal name into the **Journal** field, and select the correct journal from the autosuggestions. This will also auto-populate the ISSN, Publisher, Place of Publication, and FoR fields, if Minerva has that information for the journal.

Minerva has information for approximately 30,000 journals. However, there are journals that UWA staff and student may publish in that aren't on the Minerva journal list. If the journal is not on the Minerva journal list, enter the details manually.

## 2.5.6 ISBN/ISSN

Enter the number only, with or without dashes. For example:

0123456789  
0-1234567-8-9  
978-0-12-2345678-9  
1234-5678  
12345678

## 2.5.7 Editors

To complete the Editor fields in a B (chapter) or E (conference publication) entry, enter the editors exactly as they appear on the book or conference publication, using the same capitalisation and punctuation, without a full stop at the end.

## 2.5.8 Place of Publication

Enter the place that the publication was published. This information is often found in the front matter of the publication. If you are entering an E1, enter the place of publication for the proceedings publication, not the location of the conference.

## 2.5.9 Number of Chapters in Book

Enter the total number of chapters contained in the book. This number is used to calculate the points for HERDC purposes.

## 2.5.10 Page Numbers/Extent

These should be in the form k-n where k is the first page of the entry and n is the last. Where there are multiple groups of pages this should be in the form b-h, k-n (eg i-vi, 223-243 for an entry where the author wrote the preface and one of the chapters).

Please ensure that page numbers are shown in the form 257-271 and **not** 257-71. If the article does not have page numbers, show the total number of pages, for example 15pp.

For Creative Works without page numbers, enter the number, size, duration, or extent of the works.

For B1 Book Chapters, enter the page number range of the book chapter itself, not the total number of pages in the book it is published in.

## 2.5.11 Type of Work

This field is to be entered where the publication category covers a range of alternatives and allows more detail on the exact type of entry within the category, eg for publication category F Creative Works, the **Type of Work** field might be, say, Musical Score or Novel.

## 2.5.12 Editor of Conference Publication

Enter the name(s) of the editor(s) of the conference publication, not the conference convenors (although they may be the same people). Some conference publications

only list the organisation as the Editor. In these cases, use the organisation name.

### **2.5.13 Conference Name**

Enter the full conference title, not the name of the proceedings publication. For example "6th Conference of the Minerva Developers: Future Directions".

### **2.5.14 Conference Publication Title**

Enter the name of the proceedings publication here, not the name of the conference. For example, "Proceedings of the 6th Conference of the Minerva Developers: Future Directions".

### **2.5.15 Conference Location**

Enter the place where the conference was held, not the place of publication of the conference proceedings.

### **2.5.16 Field of Research (FoR) codes**

FoRs have replaced the old RFCDs used until mid-2008.

Every publication must have at least one FoR code specified indicating the relevant field of research. In most cases 4-digit FoR codes are required, but in the clinical sciences (FoR codes 1102 and 1103) you will need to select 6-digit codes.

If you have selected a journal from the Minerva journal list that was also on the ARC's 2012 ERA Journal List, the FoRs will auto-populate with the default settings. You may change the FoRs and apportionments if they are not appropriate to the publication.

Select at least one and up to three 4-digit FoR codes and provide apportionments in the range 20-100% for each FoR. For example, 0104 at 100%, or 1201 at 20% and 1204 at 80%.

### **2.5.17 Digital Object Identifier (DOI)**

The DOI is a unique identifier for an electronic document. The DOI can help identify the online location of the PDF of a publication or the metadata about a publication. Enter the DOI, if you have it, just using the string of characters. You do not need to put 'DOI:' in front of it.

For example:

10.1000/182

### **2.5.18 Scopus and Thomson IDs**

If you know the correct electronic identifiers that Scopus or Thomson Reuters Web of Knowledge use for the publication, you can enter the IDs in the Scopus ID and Thomson ID fields. If you do not know the electronic IDs that they use, leave this field blank. DO NOT enter any other ID in these fields, for example do not enter the PubMed ID here. If in doubt, leave the field blank.

## 2.6 Importing Publication Data from Commercial Databases

Many publications are indexed by the external databases Elsevier SciVerse Scopus and Thomson Reuters ISI Web of Knowledge (WoK). Minerva has an integrated search and import function on the publication entry screen. Using the Import function, you can search for publications, extract just the Scopus or WoK unique ID, or import the publication data straight from the external database. Scopus and WoK collect only specific publication types, so this function will only work for journal articles and some conference publications, and only in particular research areas.

PLEASE NOTE: The Thomson Reuters Web of Knowledge importer is currently unavailable due to changes Thomson Reuters have made to the link that Minerva uses to search and retrieve publications information. You will only be able to search and import publications information from Scopus at this point in time.

### 2.6.1 Search for Publications

Choose whether you want to search just Scopus, just ISI Web of Knowledge, or Both. The default is set to Scopus. Choosing "Both" will slow your search down, as Minerva has to search two large databases. Please be patient when using the Importer.

Choose whether you want to search for only publications with a UWA byline or all publications. The default is set to check for only UWA byline publications.

Click **Show search fields** and enter some details to limit the search results:


- **Title:** enter a chunk of title or a keyword or phrase, or leave blank. A short phrase usually works better than a full title.
- **Journal:** enter a keyword or the full title of the journal, or leave blank.
- **Year:** enter a year, or leave blank.
- **Author name:** enter a name and click the green Add icon. You can specify author initials or just search by last name. You may enter more than one name to search by.

Click **Import Search** to run the search. It may take a couple of minutes to complete. The results will display in a table. Use the page number links at the top or bottom of the results table to navigate to other pages of results. Click the column heading to sort the table by that column.

If there are no results, or you cannot find the publication you're looking for in the results, you can run another search by changing the search terms and clicking **Import Search** again. For example, change the title keyword, or try the other external database. Scopus and WoK do not have data for every publication, so it may be the case that the publication you are looking for is not in Scopus or WoK.

Remove all of the search terms you previously specified by clicking **Clear Fields**.

### 2.6.2 Import Publication

If the publication details already exist in Minerva, you can click the icon with the green arrow (  ) to open the **Publication Details** screen for that entry. Do not import the publication if the details have been imported or entered previously, as Minerva is designed to hold one entry per publication.

If you are sure that the publication has not been previously entered, click on the **Data**

link for that publication. Click **OK** to confirm the import, or **Cancel** to go back. When you confirm the import, Minerva will extract as much information as we have access to from Scopus or WoK and put it into the entry form. Minerva will also attempt to automatically match the authors with a UWA byline on the publication to UWA staff and HDR students.

Note for advanced users: clicking the **ID** link will only inject the external database's unique publication ID into the Minerva publication entry form. This is useful if you are searching both Scopus and WoK at the same time, as you can import the ID from one database and then click the Data link to import the publication details from the other database.

### 2.6.3 Checking the Imported Data

You will need to check that the imported publication information is correct. There are occasional errors in both Scopus and WoK which may be introduced into Minerva via the import. The import feature is designed to reduce the data entry work of SPCs, but unfortunately the imported data is not infallible and does need to be checked against the publication itself, just as manually entered data would be.

In particular, SPCs will need to check the author details and the publication category.

Minerva automatically matches the authors listed on the publication with UWA bylines to UWA staff and HDR students. Matching of this kind is always problematic, and there will be instances where Minerva matches an author to the wrong UWA staff member, or where Minerva is unable to find a match at all. Additionally, Minerva will not attempt to match an author without a UWA byline to UWA staff, meaning those authors who can sign affiliation letters will need to be identified by the SPCs.

If there are any errors in the imported data, or problems with the author matching, correct those errors directly on Minerva. Use the Edit icon with the yellow pencil to edit the details for individual authors.

It is also important to note that the publication types used by Scopus and WoK are not exactly the same as the UWA publication categories. Please ensure that the publications that you import do in fact meet the publication criteria as set out in this manual. Due to the way that Scopus and Minerva interact, all publications imported from Scopus display in Minerva as C1s by default. Please ensure that you change the publication category to the correct category after checking that the publication meets the criteria for that category.

See section 2.5 for information about entering and editing bibliographic information, and section 2.5.2 in particular for information about the correct way to enter and edit author information.

### 2.6.4 Adding Missing Data

Data that is missing or incorrectly entered after the import should be updated manually. Clicking **Save** will show if there are any required fields that need to be filled. If there is a difference between data from the import and on the publication, always choose the data on the publication itself.

See section 2.5 for information about entering and editing bibliographic information, and section 2.5.2 in particular for information about the correct way to enter and edit author information.

## 2.7 Comments

The **Comments** section is hidden by default. Click on the **Show** link at the top of the **Comments** section to expand.

Use the **Comments** section to log any details that you need to include but that do not fit into any of the data entry fields, or to communicate anything extra about the publication entry.

Type your comment into the text box, and click the **Add** button to save it. You can click the **Email a copy to pubqueries-research** box, and click **Add**. This will add the comment to the entry and send an email to the RAU. Please ensure that you email a copy of your comment to pubqueries-research if you need a reply to your comment. Otherwise, the RAU will likely not see the comment until they perform the routine data checks at the end of the data entry period.

### 2.7.1 Requesting updates to existing publications (including Late authors and new staff)

Publications cannot be edited after they've been Submitted or Finalised. If you need to request an update to a Submitted or Finalised publication entry, leave a comment in the **Comments** section on the entry with all of the relevant information, click the **Email a copy to pubqueries-research** box, and click **Add**. The RAU will review the request and make any necessary changes.

## 2.8 Saving the Data

Click the **Save** button at the top of the screen to save your publication to Minerva. If you enter the data but do not click the **Save** button the fields that have been entered will not be saved. If you wish to finish this data entry session click the **Save** and **Close** button.

The publication entry can be saved at any time so long as there is at least one author added to the **Authors** section and a **Year** selected.

## 2.9 Checking the Publication Entry

Each time you save the publication entry, warning messages will display in red text at the top of the screen, alerting you to missing or incomplete data. You will need to address all of these warnings before you can Submit the publication entry.

Minerva will also display information about the uploaded documents attached to the publication entry in the **Status** section, and will alert you if there are further requirements.

## 2.10 Searching for and Editing an Existing Entry

Once an entry has been saved, it can be found again using the **Publications** search screen. Run a search (for example by author, by title keywords or phrase, and/or by journal name), locate the entry in the search results table, and click on the corresponding **Edit** link.

To view a list of all the publications that you have edited, go to the Publications search screen, click **more fields**, and select the **Only show pubs I've edited** checkbox. This will limit the next search you perform to only display publications that you have edited. This is a useful search, as searching by school may not return all the publications you have entered.



See section 2.5 for information about editing publication entries that have not yet been Submitted. See section 2.7.1 for information about how to request updates to existing publications that have been Submitted or Finalised.

## 2.11 Document Upload

All audit materials must be uploaded to the publication entry on Minerva before the entry can be submitted. See section 4.11 and [Section C](#) for information about the audit requirements for each publication category.

Use the file upload feature to attach the supporting documentation required for audit. The majority of the publications on Minerva will be audited online, and SPCs are required to upload all the materials required for audit.

Click on the **FILES** tab on the entry form to access the upload section. Select the type of document that you are uploading from the drop down list. Each type of supporting documentation should be uploaded in a separate document. The document types are:

- **Full publication/output:** a complete copy of the publication or output, for example a PDF of the journal article.
- **Extract of publication/output:** for A1s and Creative Works where uploading the complete publication or output would be impracticable. See [Table A](#) for the requirements for the extract of the publication or output.
- **Verification materials:** all the verification materials required for the publication category, for example proof of peer review.
- **Author Affiliation document:** the signed affiliation letters for each author who requires one.
- **Other:** any other materials that do not fit under the first four types.

Click **Browse** and find the file on your computer, then click **OK**. If the documentation is confidential or sensitive (for example, a referee's report as proof of peer review), check the **Restricted** box. Click **Upload** to attach the file to the publication entry. Repeat this for all documents that you wish to upload. Use the **Edit** button to change the upload document type of an uploaded document. Use the **Delete** button to remove an uploaded file from the publication entry.

Minerva will not allow you to Submit the publication entry until you have uploaded a full copy or extract of the publication, the verification materials, and all Affiliation Letters that are required. **Please ensure that you have uploaded all of the audit materials by the data entry deadline, 31 March 2015.**

Restricted uploaded documents will only be viewable to RAU staff and Auditors. All users will be able to see that the document has been uploaded, but will not be able to download or view the document. All users will be able to download and view unrestricted documents.

There are no strict file naming requirements. However, users are advised to name the documents clearly to avoid confusion. The uploaded documents will be used to audit the publication, so it is vital that they are complete and correct.

Please keep in mind that the Auditors will be using the uploaded documents to assess the publication against the publication category criteria. You should ensure that the uploaded documents are legible, that they clearly provide proof that the publication meets the requirements, and that the file size is practical. If the files are corrupted, or if the documents are not easy to read, you will be asked to provide another copy of the document. If the uploaded documents do not clearly show that the publication meets the criteria, you may be

asked to provide more evidence, or the auditor may decide to reject the publication on the grounds that the evidence provided is not convincing.

The publications collection works to an externally determined deadline. Because of this, publications that do not have adequate uploaded audit materials may not be audited in time, and your school may miss out.

## 2.12 Submitting a Publication Entry

Each time the publication entry is saved, it will display any warnings about missing or incomplete data red text. You will need to address all warnings, enter data for all required fields, and upload all required documents before the publication entry can be submitted.

You should check through the publication entry to make sure the data is complete and accurate before you Submit the entry. See [Section C](#) for the specific requirements for each publication category.

Once you submit the entry, you will only be able to view the entry, and will not be able to edit it any further. Any other SPCs involved in the publication entry will also be locked out of the entry, so you will need to make sure the entry is complete before Submitting.

Click the **Submit to Research Assessment Unit** button to Submit the entry.

When you have submitted all your school's entries, please email the Research Assessment Unit ([pubqueries-research@uwa.edu.au](mailto:pubqueries-research@uwa.edu.au)) to let us know. We can then start the next stage of processing the data.

Before the data entry deadline, if you find that you need to do further work on a publication entry that has been Submitted, send an email to [pubqueries-research@uwa.edu.au](mailto:pubqueries-research@uwa.edu.au) with details of the publication entry and we will unsubmit the publication for you. The Minerva ID is the best. Please note that we will not unsubmit Audited-Finalised publications, only Submitted publications. See section 2.7.1 for information about how to request updates to Audited-Finalised publications.

## 2.13 Audit

The audit will largely be done directly on Minerva. There may be some publications for which Auditors will need to see the hard copy, for example A1 books.

In previous years, schools were required to collect audit materials in hard copy for the Auditor to view. For this collection, all audit materials must be uploaded to the publication entry on Minerva before the publication entry is Submitted. The audit requirements are the same this year as they have been in previous years. The only difference is uploading electronic copies of the audit materials as opposed to collating hard copies.

You may be contacted during the audit for further information about publications.

## 2.14 Finalising Publication Entries

Publication entries will be finalised by the RAU after they are audited. Finalised publication entries will be visible to all users on Minerva, and will be available on Socrates as well.

## 2.15 Reporting bugs or problems using Minerva

If you encounter any bugs or problems when using Minerva, please notify us at [pubqueries-research@uwa.edu.au](mailto:pubqueries-research@uwa.edu.au) so that we can try to get the problem fixed. It is most useful for us if you include a description of what you were doing at the time, what went wrong, and what the outcome was. Let us know if logging out and then back in to Minerva fixed the problem, and whether your data entry work is being held up because of the problem. It is also a good idea to include a screen capture showing the problem or error message. The usual method of taking a screen capture is to use the “Print Scrn” key on your keyboard and paste the image into the body of the email. However, different users may have different keyboards and you may have a different way of taking an image of your screen.

**For help with publications queries  
and using Minerva, contact the  
Research Assessment Unit at  
[pubqueries-research@uwa.edu.au](mailto:pubqueries-research@uwa.edu.au)**

# Section B

HERDC Requirements:

Extracts from the Australian Government  
Department of Education's HERDC Specifications

for collection of 2014 data

### 3. DEFINITION OF RESEARCH

Research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.

This definition of research is consistent with a broad notion of research and experimental development (R&D) as comprising 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.<sup>1</sup>

This definition of research encompasses pure and strategic basic research, applied research and experimental development. Applied research is original investigation undertaken to acquire new knowledge but directed towards a specific, practical aim or objective (including a client-driven purpose).

Activities that support the conduct of research and therefore meet the definition of research include:

- provision of professional, technical, administrative or clerical support staff directly engaged in activities essential to the conduct of research
- management of staff who are either directly engaged in the conduct of research or are providing professional, technical, administrative or clerical support or assistance to those staff
- the activities and training of HDR of students enrolled at the HEP
- the development of HDR training and courses
- the supervision of students enrolled at the HEP and undertaking HDR training and courses
- research and experimental development into applications software, new programming languages and new operating systems (such R&D would normally meet the definition of research)

Activities that do not support the conduct of research and must be excluded, such as:

- 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

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<sup>1</sup> OECD (2002), Frascati Manual: Proposed Standard Practice for Surveys on Research and Experimental Development, OECD: Paris.

## 4. RESEARCH PUBLICATIONS – KEY REQUIREMENTS AND DEFINITIONS

### 4.1 Key Characteristics of Research Publications

Research publications are books, book chapters, journal articles and/or conference publications which comply with the definition of research and are characterised by:

- substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and provided in a format which allows a reader to trace sources of the work, including through citations and footnotes;
- originality (i.e. not a compilation of existing works);
- veracity/validity through a peer review process (see section 4.7) or the quality control processes of a commercial publisher (see section 4.8);
- increasing the stock of knowledge; and
- being in a form that enables the dissemination of knowledge.

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

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

Note that scholarly editions and scholarly translations must have a major demonstrable original research component in the edition or translation to be considered eligible.

### 4.2 General Requirements

Each publication must:

- meet the definition of research (see section 3 above)
- only be counted once by each Higher Education Provider (HEP), eg if a conference paper is published in conference proceedings and is subsequently included as a chapter in a book, it can be counted as a chapter or as a conference paper but not both.

### 4.3 Author Affiliation

The author of the research publication being included in the HERDC Research Publication collection must be affiliated with the claiming Higher Education Provider (HEP) and **must be identified either within or on the work being claimed.**

Where author affiliation with the claiming HEP is not identified within a work, the following evidence retained in verification material would be sufficient to demonstrate author affiliation and should include **either**:

1. a statement from the author indicating that he or she undertook the research leading to the publication in his or her capacity as a staff member or student of the HEP **and** a statement from the Director of Human Resources or Dean of Students (or equivalent) indicating that the author was an appointee or student of the HEP in 2013 (or earlier if that was when the research leading to the publication was conducted)

or

2. a statement from the author indicating that he or she undertook the research leading to the publication in his or her capacity as a staff member or student of the HEP **and** an extract from the HEP's staff or student list that lists the author.

Where a publication shows that an author has affiliation to more than one HEP (eg Janet Harvey, Tutor in Economics, HEP of X; PhD student, HEP of Y), each Australian HEP named in that byline can each count the publication in its respective Research Publication collection.

Adjunct fellows, honorary staff members and staff on leave are considered affiliated with a HEP if the HEP is identified in the byline.

#### **4.4 Apportioning Authors**

For categories other than Book Chapters, where there are multiple authors, apportion the count according to the number of authors. For example, if there are three authors of a publication, count one third for each author who was a staff member or student of the HEP. (*Note that Minerva does this automatically.*)

For Book Chapters, authors should be apportioned according to the specific Department of Education methodology required (*and calculated prior to submission by Minerva*).

#### **4.5 Year of Publication**

The fundamental principles that underpin the publications data are:

- The publication is claimed in the appropriate year
- The year of publication must be verifiable
- The publication is claimed once only

To be able to count publications in the 2015 submission of Research Publications to the Government:

- the research must have been published in the 2014 calendar year, and
- 2014 must be stated as the year of publication within or on the work being claimed.

The definition of published in this context is the date the publication was released to its intended audience. Publications which are published as 'advance' or 'in press online' may be reported either in the year that they were published online or the year of final publication (but not both).

Letters from authors, editors, creators, etc stating that a research publication was published

in 2014 even though 2014 is not stated within or on the work as the year of publication, **are not acceptable evidence of the year of publication**. There are two exceptions:

- For journal articles and/or conference publications that are produced on CDROM or are web-based, and do not contain a date published within or on the work being claimed, a letter from a journal editor or conference organiser verifying the published date may be accepted;
- The date a conference was held may be acceptable evidence of the year of publication where the year is not stated within or on the work being claimed.

The year of publication is normally the latest of the year indicated as published, printed or the year of copyright. A publication with a 2015 copyright date can be reported in the 2014 collection, provided it has a publication date of 2014, and it is not counted again in the 2015 collection.

Pages showing the stated year of publication must be included in verification material (see [Section C](#), Tables A-B).

#### **4.6 Expanded Year of Publication Definition**

The Department of Education makes provision for inclusion of some 2013 publications in the submission of 2014 publications data. HEPs must be able to demonstrate (in the verification material that they maintain) that the publication was not produced until after the submission date for that year's publication return, ie that the publication, although containing a 2013 publication date, was not published until after 30 June 2014. A letter from the publisher will be considered sufficient verification material to support the claim.

Only those publications which:

- were published after the submission date for the 2013 data collection; and
- contain a 2013 publication date,

may be included under this provision.

#### **4.7 Peer Review**

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

Peer review is required for journal articles and conference publications. It is also required for books and book chapters that are not published by a commercial publisher (see section 4.8).

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

- the journal is listed on the ARC's Excellence in Research for Australia (ERA) 2015 or 2012 journal lists
- the journal is listed in Thomson Reuters Web of Knowledge Master Journal List <http://ip-science.thomsonreuters.com/mjl/>



- the journal is classified as 'refereed' in the Ulrich's Knowledgebase <https://ulrichsweb.serialssolutions.com/>
- there is a statement in the journal which shows that contributions are peer reviewed
- there is a statement or acknowledgement from the journal editor which shows that contributions are peer reviewed
- a copy of a reviewer's assessment relating to the article.

For conference publications, any of the following are acceptable as evidence of peer review:

- there is a statement in the conference proceedings which shows that contributions are peer reviewed
- there is a statement or acknowledgement from the conference proceedings editor which shows that contributions are peer reviewed
- a copy of a reviewer's assessment relating to the conference paper.

For books and book chapters that are not published by a commercial publisher any of the following are acceptable as evidence of peer review:

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

**Note: a statement from an author that a publication was peer reviewed is not acceptable. The existence of a national or international advisory board is also not sufficient evidence that all relevant publications were assessed by members of it.**

## 4.8 Commercial Publisher

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

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

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

For the purpose of the HERDC, HEP and other self-supporting higher HEP presses are regarded as commercial publishers, provided that they have responsibility for the distribution of the publication in addition to its printing.

**[Notes to help decide if a publisher meets the criteria for commercial:**

*If publishing is the core business of a company, this should be demonstrated through publicly available information on the organisation (eg the company's web page) that:*

- *Indicates that publishing of books is the sole or main business of the organisation;*
- *Provides evidence that the company is responsible for the distribution of books; and*
- *Provides evidence of the ability to purchase books from the publisher or other publications outlet/s.*

*Companies that **may not** be eligible could be:*

- *Publishing units within faculties in universities (note the official publishing arm of a university, such as RMIT Press is usually eligible, but the publishing arm within a centre, within a faculty in RMIT, may not be eligible);*
- *Clearinghouses;*
- *Publishing arms of museums or galleries;*
- *Companies that are hired only to print or distribute a book, but bear no responsibility for the editing process or take no risk in choosing to publish; or*
- *Companies that publish books but sub-contract printing and/or distribution thus having no responsibility for the entire publishing process.*

*In these cases, an organisation may be eligible, but only if it meets the conditions outlined above.]*

## **4.9 Foreign Language Publications**

Foreign language publications are eligible to be counted. The same verification evidence is required, in English, as for any other works that are sampled for audit. It is not necessary to translate the entire publication, but all relevant sections required for the verification of information to demonstrate that it merits the criteria of the category against which it is being claimed. This includes evidence that the work is a major work of scholarship and meets the definition of research.

## **4.10 Format**

Works in any format, including electronic works, are eligible to be counted, provided they meet all of the criteria of the publications category against which they are being claimed.

## **4.11 Verification Material**

For the purposes of the HERDC, HEPs must retain verification material to demonstrate that the publication meets the criteria against the category being reported. Details of individual publications counted and information verifying the classification of those publications **must be retained by each HEP (and hence each UWA school if not uploaded to Minerva) for**

**a minimum of three years to facilitate any audit that may be conducted by or on behalf of the Government.**

For the purpose of ERA, details of individual publications and information verifying the classification of those **publications must be retained by each school for the past seven years**. For example, in 2015, the required material from the years 2008 to 2014 must be available.

A list of the verification material required by the Government in the HERDC for each category is provided in [Section C](#), Table A.

UWA requires all publications data to be entered using the web form. It is a mandatory Government requirement that all universities collect publications information either electronically or using a pro-forma such as those in [Section D](#) of this Manual.

The completed pro-formas (or, as at UWA, their electronic equivalents) may need to be submitted to the Government or auditors if requested. The HEPs must be able to provide the following, if required by the department or for an external publication audit:

- Clarification of the bibliographic information required per publication category
- Contents, preface, introduction and pages showing all bibliographic information as appropriate, ISBN or ISSN, author(s), publisher and all dates referring to copyright, publication, printing and distribution
- Evidence indicating the author's affiliation to the HEP
- If claimed using the expanded year of publication definition, a letter from the publisher indicating that the publication was not produced until after the previous HERDC submission date, and
- All additional verification material requirements for the publication category.

#### **4.12 Checklists**

Use of the check lists at Tables A and B in [Section C](#) of this Manual is highly recommended.

Table A contains the HERDC and UWA audit requirements. Table B contains checklists for HERDC categories. These tables should be used in conjunction with the UWA definitions in the next section to ensure accuracy.

# Section C

**Publication Categories**

**Verification and Audit Requirements**

## A BOOK

Every publication classified as a book A1, A2, A3 or A4 must be a major work of scholarship, bound and offered for sale, have an International Standard Book Number (ISBN), and be published by a commercial publisher (see section 4.8) or peer reviewed (as defined at section 4.7).

### A1 Authored – research

(HERDC category)

To be included in this category the publication must meet **all** of the following requirements:

- must meet the definition of research (see section 3) as amplified in the key characteristics of research publications (see section 4.1);
- must be a major work of scholarship;
- must have an International Standard Book Number (ISBN);
- must be written entirely by a single author, or by joint authors who share responsibility for the whole book;
- must have been published by a commercial publisher, as defined in section 4.8, or if not published by a commercial publisher, must have been peer reviewed, as defined at section 4.7; and
- the author must be affiliated with the claiming HEP, as defined in section 4.3.

The types of books that may meet the criteria include:

- critical scholarly texts (eg music, medieval or classical texts);
- new interpretations of historical events; and
- new ideas or perspectives based on established research findings;

Where the book meets the key characteristics set out in section 4.1.

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

- textbooks (*possibly A2*);
- anthologies;
- edited books (*possibly A3*);
- creative works such as novels (*possibly F*);
- translations, unless they have a major demonstrable original research component (*possibly A2.2*);
- revisions/new editions (*possibly A4*);
- privately published books (*possibly A5*);
- manuals and handbooks;
- theses (PhD, Masters and Honours).

Scholarly editions and scholarly translations must have a major demonstrable original research component in the edition or translation to be included in this category.

Note that many of the books published by professional bodies do not report original research findings but report the results of evaluations, or compile existing information for the benefit of professionals or practitioners. It is important that these publications are assessed very carefully against the definition of research provided at section 3 and only those publications which are major works of scholarship and **report original research activities for the first time** are included.

**The Government Department will monitor and audit publications, as necessary, to ensure there is consistency of approach.**

The UWA sub-categories for A1 books are as follows:

- A1.1** A book which is 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 should normally comprise more than 300 pp, and the case must be specifically argued by the school.
- A1.2** A substantial research monograph which embraces the research of several years, contains several substantial chapters and embodies original thematic ideas. The sum of the book must be more than the sum of the chapters. Books in this category will tend to fall within the range of 150-300 pp but both limits are negotiable.
- A1.3** 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. Generally around 50-149 pp.
- A1.4** A monograph which, though published as a separate entity, contains no more material than would be comprised in a large journal article (<50pp).

## **A2 Authored - other**

*(Creative works, such as novels, 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. These are classified in Category F).*

- A2.1** A textbook written solely by the author(s), consisting mainly of new combinations of existing knowledge or updating of a body of established knowledge to make it more readily accessible. Includes substantial software manuals distributed commercially.

- A2.2** Translation of a book published by the author.

## **A3 Edited**

An edited monograph or short series of volumes consisting of original contributions from a number of sources. Exclude editing proceedings of conferences or workshops (see E4).

## **A4 Revision/New edition**

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 substantial addition or alteration of material.

## **A5 Privately published book**

An authored book or monograph which is a major work of scholarship, bound (or if electronic, packaged) and offered for sale, consisting mainly of previously unpublished material, making a substantial contribution to a defined area of knowledge, and published privately (eg by a university school, government agency or body such as the United Nations) without meeting the requirements for independent peer review. Exclude creative works, textbooks and technical reports.

## **B BOOK CHAPTER**

### **B1 Book Chapter (Commercial Publisher) (HERDC category)**

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 **all** of the following requirements:

- must meet the definition of research (see section 3) as amplified in the key characteristics of research publications (see section 4.1);
- must have an International Standard Book Number (ISBN);
- must have been published by a commercial publisher, as defined in section 4.8, or if not published by a commercial publisher, must have been peer reviewed, as defined at section 4.7; and
- the author must be affiliated with the claiming institution, as defined in section 4.3.

A book chapter may be included if it has been published previously as long as it constitutes substantial new knowledge and constitutes original research.

The types of book chapters that may **meet the criteria** include:

- a scholarly introduction of chapter length to an edited volume, where the content of the introduction reports research and makes a substantial contribution to a defined area of knowledge;
- a critical scholarly text of chapter length, eg. in music, medieval or classical texts;
- critical reviews of current research.

where the book meets the key characteristics set out in section 4.1.

A book chapter may be included if it has been published previously as long as it constitutes substantial new knowledge and constitutes original research.

Unless they meet all of the criteria for inclusion, the following book chapters **must be excluded**:

- textbooks (a textbook is defined as targeted primarily to students);
- entries in reference books (*possibly D or K*);
- anthologies;
- revisions of chapters in edited books;
- forewords;
- brief introductions;
- brief editorials;
- appendices;
- creative works such as collections of short stories (*possibly F1*);
- translations, unless they have a major demonstrable original research component;
- government publications, eg Evaluations and Investigations Program reports;
- collections of university school or centre working papers, technical reports, discussion papers, unpublished reports and the like.

Contributions to special editions of journals which meet all criteria for category B1 and all criteria for category C1 may be counted in either (but not both). The verification requirements will be those applicable to the category in which the publication is counted.

## **B2 Book Chapter (Private Publisher)**

A chapter of an authored book or monograph which meets all the criteria in B1 above, except that it is published privately, by a university school or by a government department or agency, without meeting the requirements for independent peer review.

## C JOURNAL ARTICLE

*For all publications classified as journal articles (C1, C2, C3 and C4) the following applies: Publications in this category are works of scholarship, not merely works of composition of a professional or even non-professional nature.*

### C1 Refereed article in a scholarly journal (HERDC category)

This category refers to a substantial work of scholarship published in a scholarly journal following a formal process of peer review, as defined at section 4.7.

To be included in this category the publication must meet **all** of the following requirements:

- must meet the definition of research (see section 3) as amplified in the key characteristics of research publications (see section 4.1);
- must be published in a scholarly journal;
- must have been peer reviewed as defined in section 4.7 (but note that the fact 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);
- must 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 an authoritative journal listing, such as the Scopus database <http://www.scopus.com/> or the Thomson Reuters Master Journal List <http://ip-science.thomsonreuters.com/mjl/> or evidence that the journal is classified as refereed in Ulrich's Knowledgebase <https://ulrichsweb.serialssolutions.com/> is sufficient to demonstrate the existence of the number;
- the author must be affiliated with the claiming HEP (see section 4.3).

The types of journal articles that **may meet the criteria** include:

- commentaries and communications of original research;
- research notes;
- letters to journals, provided that the letter satisfies the definition of research and the requirements above for journal articles;
- 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 **do not meet the criteria** include:

- literature reviews predominantly comprising a summary of the current knowledge and findings of a particular research field or topic, which do not include any critical assessment or report any new findings or original experimental work;
- letters to the editor;
- case studies;
- articles designed to inform practitioners on existing knowledge in a professional field;
- articles in newspapers and popular magazines;
- editorials;
- book reviews;



- brief commentaries and communications of original research; or
- reviews of art exhibitions, concerts, theatre productions.

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

- the journal is listed on the ARC's ERA 2015 or 2012 journal lists
- the journal is listed in Thomson Reuters Web of Knowledge Master Journal List <http://ip-science.thomsonreuters.com/mjl/>
- the journal is classified as 'refereed' in Ulrich's Knowledgebase <https://ulrichsweb.serialssolutions.com/>
- there is a statement in the journal which shows that contributions are peer reviewed
- there is a statement or acknowledgement from the journal editor which shows that contributions are peer reviewed
- a copy of a reviewer's assessment relating to the article.

Inclusion on the ARC's ERA 2015 or 2012 journal list, Thomson Reuters Web of Knowledge Master Journal List, or Ulrich's listing does not automatically allow all articles in such journals to be counted in the collection. Inclusion only indicates that the journal has been peer reviewed. All other requirements for the article must also be met.

## **C2 Other contribution to refereed journal**

Contribution to a refereed journal which does not meet the criteria for C1 and which may or may not itself be subject to a formal process of peer review, but which is a work of scholarship and makes a contribution to the discipline beyond straightforward description. Review articles, commentaries, case studies and case reports may meet the criteria for this category.

## **C3 Non-refereed article (including article in 'professional' journal)**

A work of scholarship published in an unrefereed journal controlled by an editorial board. Also 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 are included in this category.

## **C4 Letter or note (NOT including book reviews)**

An unrefereed communication (including editorial commentary) published in a journal controlled by an editorial board. *(Note: This category is not intended for book reviews, which may only be included if they meet the criteria for C2 above.)*

## **D MAJOR REVIEW**

A review of multiple works or of an entire field of research which places these works in their scholarly context and makes a substantial contribution in its own right. This type of review would normally appear in monograph form (for example "annual review of ... (immunology, plant physiology etc)").

**A review article with significant original research should be submitted under C1, provided it is peer reviewed and in a peer reviewed journal, and meets all other C1 requirements.**

## E CONFERENCE PUBLICATION

*For all publications classified as conference publications (E1, E2, E3 and E4) the following applies:*

*Publications in this category refer to conference papers which are available for general circulation. 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. Papers must be presented at conferences of national and/or international significance.*

*Exclude:*

*Papers presented at workshops, minor seminars, and conferences that are not regarded as having national or international significance.*

### E1 Full written paper – peer reviewed (HERDC category)

To be included in this category the publication must meet **all** of the following requirements:

- must meet the definition of research (see section 3) as amplified in the key characteristics of research publications (see section 4.1);
- full written paper must be published. The paper 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;
- must be peer reviewed (see section 4.7);
- must be presented at conferences, workshops or seminars of national or international significance;
- the author must be affiliated with the claiming HEP, as set out in section 4.3.

Conference publications do not require an ISBN or need to be published by a commercial publisher.

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

- papers that appear only in a volume handed out to conference participants;
- keynote addresses;
- plenary addresses;
- poster presentations (\*unless they meet the criteria outlined below);
- abstracts and extended abstracts of conference publications.

See HERDC requirements for **peer review** in section 4.7.

\* The DVCR has approved interpreting the HERDC criteria to allow poster presentations which are then written up as full peer reviewed papers in the Conference Proceedings to be accepted as E1s, subject to meeting the other E1 criteria, and on the condition that the School provides the full verification evidence needed to audit. A poster which is not written up and published as a full peer reviewed paper would clearly not meet the E1 criteria.

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

A paper given at a conference and then published in a volume of conference proceedings will be regarded as an E1 (subject to meeting all other E1 criteria), regardless of whether the conference proceedings is a standalone book, a website, or a special issue of a journal. If the conference paper was significantly revised prior to publication in a journal, and it meets all other C1 requirements, it *may* be eligible as a C1. The School will need to provide both a copy of the publication being claimed as a C1 and a copy of the paper that was presented at the conference to assist in the audit.

## **E2 Full written paper – non refereed proceedings**

Full written version of a conference presentation subsequently published in proceedings of the meeting and made available for international circulation. This refers to meetings for which the contents of proceedings are not subject to peer review or formal assessment by an editorial board.

## **E3 Extract of paper**

Part of a conference presentation (eg an abstract) subsequently published in proceedings of the meeting and made available for international circulation.

## **E4 Edited volume of conference proceedings**

Edited volume of conference proceedings (regardless of individual contributions being classified separately elsewhere) presented for international circulation, in which one or more members of institutional staff are identified as having editorial responsibility for proceedings. This is separate from contributions defined in categories E1 to E3.

## **F CREATIVE WORKS**

**(ERA category, gains UWA points)**

All creative works must be original, previously unpublished, and the product of research involving creative scholarly innovation. They must be published by a recognised commercial publisher, or recorded or produced for commercial distribution, or – in the case of exhibitions, festivals, performances and productions – brought into the public domain for the first time by exhibition or performance in a recognised commercial or public cultural venue.

All previously published creative works will be classified as M (Other Public Output) and gain zero points.

Creative works include a wide variety of output types. Decisions about their classification on a 2-point scale of 'Major' and 'Standard' will be guided by the following descriptors, which focus predominantly on extent, scale, complexity, and degree of cultural significance:

### **Major creative work – 5 points**

- Creative work of substantial length and published or produced separately (novel, short story collection, poetry collection, creative non-fiction volume, play, exhibition book/catalogue, feature film)
- Creative work of complexity in structure and scale (symphony, opera, international two-stage design competition prize winner, innovative recording)
- Creative work of nationally and/or internationally recognised cultural significance (major performance, design award-winning or professionally published institutional-scale building, retrospective exhibition at major gallery or museum, curated international exhibition)

### **Standard creative work – 1 point**

- Creative published work less than major extent, but involving innovation, and extension of the artist's output (novella, substantial non-fiction essay or chapter, poetic sequence, catalogue chapter, film script)
- Creative work less than major, but offering complexity in structure and scale, (chamber ensemble composition, one-stage design competition prize winner, design award-winning or professionally published domestic-scale building, recording)
- Creative work less than major, but offering cultural significance (solo exhibition of artworks, large scale or complex individual art work in exhibition, performance of medium-level significance, curated national exhibition)

It is not expected that major creative works will occur frequently. It is expected that an individual would not normally produce more than one major creative work every few years, the product being the result of sustained creative effort over a number of years.

Creative works performed, produced, or exhibited at a UWA venue may only be classified as Major or Standard if the performance, production or exhibition has been externally reviewed by an expert or independently produced by an entity assuming responsibility for the risk of producing.

Output types are as follows:

## **F1 Original creative work – textual**

Creative textual works offered for sale under the imprint of a commercial press or publisher, with demonstrated expert/peer review. Peer review may be demonstrated, for example, through evidence of an external refereeing process, published favourable reviews by independent experts, national or international awards or prizes, or publication by an internationally highly regarded publisher.

**F1.1 Major creative textual work:** a full-length novel, a volume of creative non-fiction, a major poetry collection (normally > 80 pp), a short story collection (normally > 80 pp), a full-scale dramatic work or play, or full-length feature film script.

**F1.2 Standard creative textual work:** a creative textual work, such as a novella (normally > 10,000 words), creative non-fiction chapter or essay, a long poem or poetic sequence (normally > 500 lines), a short story (normally > 5,000 words), or a one-act play or short film script.

## **F2 Original creative work – musical composition**

Compositions published and offered for sale by a recognised commercial publisher (including the Australian Music Centre), or recorded (on CD, DVD, etc) for commercial distribution by an entity whose core business is producing creative recordings and distributing them for sale. Peer review may be demonstrated, for example, through evidence of an external refereeing process by independent experts in national and international outlets such as professional magazines and in critical newspaper reviews or awards and prizes given by the industry, eg Helpmann Awards.

**F2.1 Major composition:** Complex musical composition, typically for large forces (orchestra, opera, etc), normally 30 minutes or more in duration.

**F2.2 Standard composition:** Complex musical composition, typically for chamber ensemble, normally 10-20 minutes in duration.

Performances of original compositions may be submitted under F6 (Live performance of creative work) where they meet the F6 criteria.

## **F3 Original creative work – visual arts**

One or a collection of an artist's own original works 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 a recognised public or commercial organisation.

Types of art works that may be eligible are:

- fine arts and crafts work;
- diagrams;
- maps;
- photographic images;
- sculptures;
- installations.

Creative works exhibited at a UWA venue may only be classified as Major or Standard if the exhibition has been externally reviewed by an expert or independently produced by an entity assuming responsibility for the risk of producing.

Specific classifications of Major and Standard are in accordance with the generic creative output descriptors under F above. Examples are:

**F3.1 Major visual artwork:** Retrospective exhibition of artwork exhibited for the first time in an internationally or nationally recognised gallery or museum.

**F3.2 Standard visual artwork:** Solo exhibition of artwork exhibited for the first time in a nationally or prestigious regionally recognised gallery or museum.

#### **F4 Original creative work – design/architectural**

An architectural design which is made publicly available in one of the following ways:

- by exhibition in a recognised public or commercial gallery; or
- the recipient of a national or international design award, commendation or prize; or
- the subject of independent professional publication or review.

Each design may be counted once only, where the collection year is the year it is first published or first receives an award or is first exhibited in a recognised gallery or museum.

Creative works exhibited at a UWA venue may only be classified as Major or Standard if the exhibition has been externally reviewed by an expert or independently produced by an entity assuming responsibility for the risk of producing.

Specific classifications of Major and Standard are in accordance with the generic creative output descriptors under F above. Examples are:

##### **F4.1 Major design:**

- Unbuilt design that wins an award, prize or commendation in an international two stage design competition.
- Executed institutional-scale building that wins a design award, is exhibited in a recognised public or commercial gallery or is published in a professional journal.

##### **F4.2 Standard design:**

- Unbuilt design that wins an award, prize or commendation in a one stage open design competition, or is published in a professional journal.
- Executed domestic scale building that wins a design award, is exhibited in a recognised public or commercial gallery, or is published in a professional journal.

#### **F5 Original creative work – exhibition catalogue**

A scholarly, analytical and descriptive catalogue or substantial contribution to such a catalogue that accompanies an exhibition or an event.

Exhibition catalogue contributions at a UWA venue may only be classified as Major or Standard if the exhibition has been externally reviewed by an expert or independently produced by an entity assuming responsibility for the risk of producing.

Specific classifications of Major and Standard are in accordance with the generic creative output descriptors under F above. Examples are:

**F5.1 Major exhibition catalogue:** Book-length catalogue with substantial critical commentary accompanying an exhibition in an internationally or nationally or prestigious regionally recognised gallery or museum.

**F5.2 Medium exhibition catalogue:** Chapter-length contribution to a catalogue accompanying an exhibition in a nationally or prestigious regionally recognised gallery or museum.

## F6 Live performance of creative work

A live performance, or recording of a live performance, of a creative work, publicly performed for the first time, where at least one UWA staff member is the performer or producer. The performance may be of a musical composition, play or dance work. For this category, it is the actual performance that is eligible.

The performance must be of a new work, or of a demonstrably new or innovative interpretation of an existing work. The degree of original new research will be a significant determinant of classification.

The classification as Major or Standard depends also on the role of the performer, as well as the extent, complexity and significance of the performance.

Performances at a UWA venue may only be classified as Major or Medium if the performance has been externally reviewed by an expert or independently produced by an entity assuming responsibility for the risk of producing.

**F6.1 Major performance:** Innovative and complex performance involving a significant leadership role, with a high degree of excellence and prestige. Examples include: a 90-minute solo recital in Melbourne Recital Centre of historically informed performance practice harpsichord repertoire; Musical Director or Producer of a major new 2-hour opera with highest quality production in a venue of esteem such as the English National Opera or Opera Australia.

**F6.2 Standard performance:** Innovative and complex performance, involving excellence and leadership, but moderate level of prestige. May include chamber performances, eg 60-minute lunchtime recital of an excellent brass quintet, but in a regional venue. Directing a full-scale dramatic or musical work in an original manner, working with students in a local venue.

A performance of an original work that was created by a UWA staff member may be counted as both the composition (F2) or play (F1) and as the performance/production of the work (F6), provided the criteria for both categories are met.

## F7 Recorded/rendered creative work

A creative work where the research component is contained within the recording or rendering. This category is intended to be used for works that showcase innovative or experimental recording and rendering techniques. Simple documentations of live performances are not eligible to be included in this category, but may be included under F6 (Live performance of creative work), provided they meet the F6 criteria.

Creative works under this category must be recorded, produced or filmed for commercial distribution by an entity whose core business is producing creative recordings or films and distributing them for sale.

Recordings/renderings/films presented at a UWA venue may only be classified as Major or Standard if the F7 output has been externally reviewed by an independent expert.

Examples of Recorded/rendered creative works are:

- Film or video;
- Performances created specifically for a recorded medium;
- Inter-arts works, incorporating scholarship in other research areas;
- Digital creative works, including creative 3D models, games, digital outputs of design

- and architectural projects and of visual artworks;
- Some web-based works and exhibitions (see also F8, Curated or produced exhibition or event).

Specific classifications of Major and Standard are in accordance with the generic creative output descriptors under F above:

**F7.1 Major recorded/rendered creative work:** Innovative and complex production involving a significant leadership role, with a high degree of excellence and prestige. Examples include: a 90-minute film presented at an international film festival; producing a CD involving original music for acousmatic production presented at an international music festival.

**F7.2 Standard recorded/rendered creative work:** Innovative and complex production, involving excellence and some leadership, but moderate level of prestige and medium length. Examples include: a 20-minute film presented at a regional festival; producing a 20-minute ambient soundscape for an art exhibition.

## **F8 Curated or produced exhibition or event**

A substantial public exhibition or event, such as a festival, exhibition, or web-based exhibition, where the UWA staff member is the curator of the event/exhibition, rather than the creator of the displayed works. Exhibitions/events must include a well-researched publication, such as a catalogue, that includes the date and location of the exhibition. Festivals must include a detailed program with dates and locations of events. Multiple events and exhibitions, for example a touring exhibition, may only be counted as one output. Recurring events, for example biennales or annual events, may be counted as separate outputs provided that the events are unique, and not just repeats of the previous events.

Examples of curated exhibitions or events are:

- Web-based exhibitions, where the internet is the medium for the exhibited works;
- Exhibition/event, where the particular collection and arrangement of exhibited works is novel, and is exhibited in a recognised gallery, museum, or event;
- Festival, where the theme and format are innovative or provide new perspectives and/or experiences.

Exhibitions at a UWA venue may only be classified as Major or Standard if the exhibition has been externally reviewed by an expert or independently produced by an entity assuming responsibility for the risk of producing.

Specific classifications of Major and Standard are in accordance with the generic creative output descriptors under F above. Examples are:

**F8.1 Major exhibition or event:** Major curated exhibition in an internationally or nationally recognised gallery with substantial critical catalogue; or Major internationally recognised festival involving significant breadth, innovation and international contributors.

**F8.2 Standard exhibition or event:** Curated exhibition in a nationally or prestigious regionally recognised gallery accompanied by a critical catalogue; or nationally recognised festival involving significant innovation and national or prestigious regional contributors.

Where they meet the criteria, scholarly catalogues written by UWA staff curators should be included as F5, original artworks or designs exhibited by UWA staff members should be included as F3 or F4, and performances by UWA staff members in a festival or event should be included as F6.



## **G COMPUTER SOFTWARE**

Software product displaying innovation in concept, design, or implementation, and which:

- is publicly available, whether for sale or not; and
- is supported by significant documentation, eg user manual and installation guide; and
- includes a version number and release date; and
- has significant national or international impact.

## **H (Old category no longer in use) REFEREED DESIGN (ARCHITECTURAL, URBAN, LANDSCAPE OR ENGINEERING)**

No longer in use – see category F4 above.

## **I PATENT**

This refers to patents on specific products or processes granted for the first time, either in Australia or in an overseas country. It 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
- a patent granted for the first time in the collection year.

Exclude:

- provisional patents
- products or processes for which a full patent has been granted in any jurisdiction in previous years.

## **J (Old category no longer in use) CREATIVE WORKS**

No longer in use – see category F1-8 above.

## **K ENTRY IN ENCYCLOPAEDIA, ETC**

**K1** A substantial research contribution to a scholarly publication such as a dictionary, encyclopaedia etc.

**K2** Other entry in a dictionary, encyclopaedia etc.

## **L TECHNICAL REPORT**

Report including technical details which may be the product of applied research. Must include a minimum of 50 pages of analytical commentary, excluding any tables, graphs, data, etc; must be funded by government and/or industry; and must be freely available in the public domain. May be published in electronic or hard copy format.

## **M OTHER PUBLIC OUTPUT**

Newspaper article, magazine article, international newsletter, report which had restricted access (eg government or commercial agency, etc).

## **P PUBLIC POLICY REPORT**

To be included in this category, the public policy report must meet all the following requirements:

- be published, ie have been made publicly available, for the first time in the publication reference period (for ERA15 this is 1 January 2008 – 31 December 2013);
- meet the definition of research (see section 3);
- be in writing;
- include substantial 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 and footnotes;
- increase the stock of knowledge, and be more than just a compilation of existing work;
- be in a form that enables dissemination of knowledge; and,
- materially assist the relevant committee, inquiry, department or public policy debate, such as where a finding is generated, the staff member's report is cited or otherwise acknowledged in the report or other output of the debate, committee, inquiry or department.

**Table A – Summary UWA Audit Verification Requirements**

<b>Audited categories</b>		
<b>Publication classification</b>		<b>Verification requirements</b>
<b>HERDC Categories</b>	<b>A1 BOOK (Authored research, commercial)</b>	<ul style="list-style-type: none"> <li>• Evidence indicating the author’s affiliation to UWA</li> <li>• Hardcopy of the book if in print, electronic copy of the book if online</li> <li>• Copies of contents, preface, introduction</li> <li>• Copies of pages showing all bibliographical information (ISBN, title, author(s), publisher, all dates referring to copyright, publication, printing and distribution)</li> <li>• Proof the book is published by a commercial publisher as defined in section 4.8, or peer reviewed as defined at section 4.7</li> <li>• If claimed using the expanded year of publication definition (see section 4.5 in section B), a letter from the publisher indicating that the publication was not produced until after last year’s HERDC Research Publications Return submission date (30 June 2013)</li> </ul>
	<b>B1 BOOK CHAPTER (Commercial)</b>	<ul style="list-style-type: none"> <li>• Evidence indicating the author’s affiliation to UWA</li> <li>• Copy of the chapter</li> <li>• Copies of contents, preface, introduction</li> <li>• Copies of pages showing all bibliographical information (ISBN, book title, author(s), editor, publisher, all dates referring to copyright, publication, printing and distribution)</li> <li>• If new chapter in a revised edition, include contents page of previous edition to indicate that chapter is new</li> <li>• Proof the book is published by a commercial publisher as defined in section 4.8, or peer reviewed as defined at section 4.7</li> <li>• If claimed using the expanded year of publication definition (see section 4.5 in section B), a letter from the publisher indicating that the publication was not produced until after last year’s HERDC Research Publications Return submission date (30 June 2013)</li> </ul>
	<b>C1 JOURNAL ARTICLE (Refereed article in a scholarly journal)</b>	<ul style="list-style-type: none"> <li>• Evidence indicating the author’s affiliation to UWA</li> <li>• Copy or offprint of article</li> <li>• Proof of peer reviewing as described in section 4.7</li> <li>• Copies of pages showing all bibliographical information (ISSN, journal title, author(s), all dates referring to copyright, publication, printing and distribution)</li> <li>• If an ISSN does not appear in the journal, external evidence such as an ISSN number being cited in an extract from Thomson Reuters Web of Knowledge Master Journal List, or being cited as ‘refereed’ in Ulrich’s Knowledgebase</li> <li>• If claimed using the expanded year of publication definition (see section 4.5 in section B), a letter from the publisher indicating that the publication was not produced until after last year’s HERDC Research Publications Return submission date (30 June 2013)</li> </ul>
	<b>E1 CONFERENCE PUBLICATION (Full written paper – refereed)</b>	<ul style="list-style-type: none"> <li>• Evidence indicating the author’s affiliation to UWA</li> <li>• Copy or offprint of full paper;</li> <li>• Copies of contents, preface, introduction;</li> <li>• Copies of pages showing all relevant bibliographical information (author(s), title and editor of conference proceedings, publisher, all dates referring to copyright, publication, printing and distribution);</li> <li>• Proof of peer reviewing as described in section 4.7.</li> <li>• Proof the conference is of national or international significance.</li> <li>• If claimed using the expanded year of publication definition (see section 4.5 in section B), a letter from the publisher indicating that the publication was not produced until after last year’s HERDC Research Publications Return submission date (30 June 2013)</li> </ul>

<b>Creative Works Categories</b>	<b>F. CREATIVE WORK</b>		
	F1	Original Creative Work – Textual	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• Proof of publication and availability for sale by a recognised commercial publisher</li> <li>• Proof of expert/peer review</li> <li>• A copy of the creative work</li> </ul>
	F2	Original Creative Work – Musical Composition	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• Proof of publication and availability for sale by a recognised commercial publisher or proof of being recorded for commercial distribution</li> <li>• A copy of the creative work</li> </ul>
	F3	Original Creative Work – Visual Arts	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• Proof of the exhibition being the first exhibition of the material</li> <li>• Proof of the gallery or museum being an independent public or commercial organisation</li> <li>• A copy of the published catalogue for the exhibition</li> <li>• For an exhibition at UWA, a copy of an independent review by an expert or evidence of production by an entity assuming the responsibility for the risk of producing</li> </ul>
	F4	Original Creative Work – Design/Architectural	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• Proof of a design award being received for the first time; or</li> <li>• Proof of independent professional publication or review for the first time; or</li> <li>• Proof of the exhibition being the first exhibition of the material and the gallery or museum being an independent public or commercial organisation and a copy of the published catalogue for the exhibition</li> <li>• For an exhibition at UWA, a copy of an independent review by an expert or evidence of production by an entity assuming the responsibility for the risk of producing</li> </ul>
	F5	Original Creative Work – Exhibition Catalogue	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• A copy of the catalogue</li> <li>• For an exhibition at UWA, a copy of an independent review by an expert or evidence of production by an entity assuming the responsibility for the risk of producing</li> </ul>
	F6	Live Performance of Creative Work	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• A copy of the performance program and a review or supplementary material attesting to the performance's existence, time and place</li> <li>• Proof the performance has a UWA connection (UWA byline equivalent)</li> <li>• For a performance at UWA, a copy of an independent review by an expert or evidence of production by an entity assuming the responsibility for the risk of producing</li> </ul>
	F7	Recorded/Rendered Creative Work	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• A copy of the recorded/rendered output</li> <li>• For a recording/rendering presented at UWA, a copy of an independent review by an independent expert</li> </ul>
	F8	Curated or Produced Exhibition or Event	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• A copy of the exhibition/event program and a review or supplementary material attesting to the date, time and place of the exhibition or event</li> <li>• For an exhibition/event at UWA, a copy of an independent review by an expert or evidence of production by an entity assuming the responsibility for the risk of producing</li> </ul>
<b>Other</b>	<b>P PUBLIC POLICY REPORT</b>	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• A copy of the report</li> <li>• Evidence that the report has materially assisted the relevant committee, inquiry, department, or public policy debate</li> <li>• Proof that the report was made publicly available</li> </ul>	

**Note that only the HERDC and Creative Works categories will be audited and gain UWA points.**

<b>Not for audit categories</b>	
These verification requirements are not required for audit purposes, but may be useful for schools to correctly classify publications in non-audit categories.	
<b>Publication classification</b>	<b>Verification requirements</b>
<b>A. BOOK</b>	
A2 Authored – other	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>The table of contents, flyleaf, preface or introduction where relevant to classification</li> </ul>
A3 Edited	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>The table of contents, flyleaf, preface or introduction where relevant to classification.</li> </ul>
A4 Revision/New Edition	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>The table of contents, flyleaf, preface, or introduction giving proof of substantial revisions where relevant to classification</li> </ul>
<b>B. BOOK CHAPTER</b>	
B2 Book Chapter (Privately Published)	<ul style="list-style-type: none"> <li>Copy of the chapter</li> <li>Photocopies of contents, preface, introduction, and all pages showing all bibliographical information (ISBN, book title, author(s), editor, publisher, all dates referring to copyright, publication, printing and distribution)</li> <li>If new chapter in a revised edition, include contents page of previous edition to indicate that chapter is new</li> </ul>
<b>C. JOURNAL ARTICLE</b>	
C2 Other contribution to a refereed journal	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>An offprint or photocopy of the article</li> <li>Proof of journal being refereed</li> </ul>
C3 Non refereed articles	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>An offprint or photocopy of the article</li> <li>Flyleaf with journal publication details</li> <li>Proof of an editorial board</li> </ul>
C4 Letter or note	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>An offprint or photocopy of the article</li> <li>Flyleaf with journal publication details</li> <li>Proof of an editorial board</li> </ul>
<b>D. MAJOR REVIEW</b>	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>A copy of the published review</li> </ul>
<b>E. CONFERENCE PUBLICATION</b>	
E2 Full written paper – non refereed	<ul style="list-style-type: none"> <li>Audit not required</li> </ul>
E3 Extract of paper	<ul style="list-style-type: none"> <li>Audit not required</li> </ul>
E4 Edited volume of conference proceedings	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>Proof of editorial responsibility</li> <li>The table of contents, flyleaf, preface or introduction of the proceedings where relevant to classification</li> </ul>
<b>G. COMPUTER SOFTWARE</b>	<ul style="list-style-type: none"> <li>The software</li> <li>The bibliographic details as specified on the proforma</li> <li>Proof of commercial publisher or distributor imprint</li> </ul>
<b>I. PATENT</b>	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>Proof of the patent being granted</li> </ul>
<b>K. ENTRY IN ENCYCLOPAEDIA</b>	
K1 Substantial research contribution to dictionary or encyclopaedia	<ul style="list-style-type: none"> <li>A copy of the article</li> <li>The bibliographic details as specified on the proforma</li> </ul>
K2 Other entry in dictionary, encyclopaedia	<ul style="list-style-type: none"> <li>Audit not required</li> </ul>
<b>L. TECHNICAL REPORT</b>	<ul style="list-style-type: none"> <li>A copy of the published report</li> <li>Bibliographic details of the publication</li> </ul>

**Table B – HERDC Categories Audit Checklist**  
**HIGHER EDUCATION RESEARCH DATA COLLECTION**  
**PUBLICATIONS CHECK LIST**

**BOOKS (A1)**

**Eligibility**

Meets definition of research, as defined at sections 3 and 4.	<input type="checkbox"/>
Published in 2013 as defined in sections 4.5 and 4.6	<input type="checkbox"/>
Author(s) staff or student when research undertaken	<input type="checkbox"/>
Major work of scholarship	<input type="checkbox"/>
Has ISBN	<input type="checkbox"/>
Mainly previously unpublished material, making a substantial contribution to knowledge	<input type="checkbox"/>
Be published by a commercial publisher as defined in section 4.8 or if not published by a commercial publisher, must have been peer reviewed, as defined at section 4.7	<input type="checkbox"/>

**Verification**

Copies of contents, preface and introduction and pages showing all bibliographic information (ISBN, title, author(s), publisher, all dates referring to copyright, publication, printing, distribution)	<input type="checkbox"/>
(Further evidence may be required if the above extracts do not demonstrate classification.)	<input type="checkbox"/>
Evidence indicating research undertaken in author's capacity as a staff member or student of the university	<input type="checkbox"/>

## HERDC Categories Audit Checklist

### BOOK CHAPTERS (B1)

#### Eligibility

<u>The book must:</u>	
Meet the definition of research, as defined at sections 3 and 4.	<input type="checkbox"/>
Make a substantial contribution to knowledge	<input type="checkbox"/>
Be bound or packaged and offered for sale	<input type="checkbox"/>
Be published in 2013 as defined in sections 4.5 and 4.6	<input type="checkbox"/>
Be published by a commercial publisher as defined in section 4.8 or if not published by a commercial publisher, must have been peer reviewed, as defined at section 4.7	<input type="checkbox"/>
 <u>The chapter must:</u>	
Meet definition of research, as defined at sections 3 and 4.	<input type="checkbox"/>
Comprise substantially new material	<input type="checkbox"/>
Author(s) staff or student when research undertaken	<input type="checkbox"/>
Points claimed from all chapters contributed by author to book apportioned as per calculation spreadsheet ( <i>RAU undertakes this calculation after the audit</i> )	<input type="checkbox"/>

#### Verification

Copy of chapter	<input type="checkbox"/>
Copies of contents, preface and introduction and pages showing all bibliographic information (ISBN, title, editor, authors, publisher, all dates referring to copyright, publication, printing, distribution). If new chapter in revised edition, include also contents of previous edition if preface does not indicate that chapter is new.	<input type="checkbox"/>
Evidence indicating research undertaken in author's capacity as a staff member or student of the university	<input type="checkbox"/>
Printout of calculation spreadsheet ( <i>this is provided centrally, not by schools</i> )	<input type="checkbox"/>

## **HERDC Categories Audit Checklist**

### **JOURNAL ARTICLE (C1)**

#### **Eligibility**

Meet definition of research, as defined at sections 3 and 4.	<input type="checkbox"/>
Published in scholarly journal	<input type="checkbox"/>
Has ISSN	<input type="checkbox"/>
Published in 2013 as defined in sections 4.5 and 4.6	<input type="checkbox"/>
Peer reviewed as per section 4.7	<input type="checkbox"/>
Author(s) staff or student when research undertaken	<input type="checkbox"/>

#### **Verification**

Copy or offprint of article/contribution	<input type="checkbox"/>
Copies of pages showing all bibliographic information (journal title, dates where not provided in copy or offprint)	<input type="checkbox"/>
Byline or footnote or statement in publication indicating research undertaken in author's capacity as a staff member or student of the university	<input type="checkbox"/>
Peer reviewed as per section 4.7	<input type="checkbox"/>



## HERDC Categories Audit Checklist

### CONFERENCE PUBLICATION (E1)

#### Eligibility

Meet definition of research, as defined at sections 3 and 4.	<input type="checkbox"/>
Full written version of conference paper (not abstract or extended abstract)	<input type="checkbox"/>
Published (volume of proceedings, book, journal, monograph, CD Rom, organisational web site)	<input type="checkbox"/>
Conference of international or national significance	<input type="checkbox"/>
Published in 2013 as defined in sections 4.5 and 4.6	<input type="checkbox"/>
Peer reviewed as per section 4.7	<input type="checkbox"/>
Author(s) staff or student when research undertaken	<input type="checkbox"/>

#### Verification

Copy or offprint of paper	<input type="checkbox"/>
Copies of contents, preface and introduction and pages showing all relevant bibliographic information (title, editor, authors, publisher, dates)	<input type="checkbox"/>
Proof of national or international significance if not clearly shown in documents above	<input type="checkbox"/>
Byline or footnote or statement in publication indicating research undertaken in author's capacity as a staff member or student of the university	<input type="checkbox"/>
Peer reviewed as per section 4.6	<input type="checkbox"/>

**Table C – Summary of Weightings for 2013 Outputs**

Category	Description	ERA Eligible	HERDC Weighting	UWA Weighting
<b>HERDC and ERA categories for audit</b>				
A1.1	Book (Research) >300pp	Y	5.0	12.0
A1.2	Book (Research) 150-300pp	Y	5.0	12.0
A1.3	Book (Research) 50-149pp	Y	5.0	12.0
A1.4	Book (Research) <50pp	Y	5.0	12.0
B1	Book Chapter	Y	1.0	1.0
C1	Journal Article	Y	1.0	1.0
E1	Conference Publication	Y	1.0	0.7
F1	Original Creative Work – Textual	Y	-	5 or 1
F2	Original Creative Work – Musical Composition	Y	-	5 or 1
F3	Original Creative Work – Visual Arts	Y	-	5 or 1
F4	Original Creative Work – Design/Architectural	Y	-	5 or 1
F5	Original Creative Work – Exhibition Catalogue	Y	-	5 or 1
F6	Live Performance of Creative Work	Y	-	5 or 1
F7	Recorded/Rendered Creative Work	Y	-	5 or 1
F8	Curated or Produced Exhibition or Event	Y	-	5 or 1
P	Public Policy Report	Y	-	0
<b>Publications not for audit</b>				
A2.1	Textbook	N	-	0
A2.2	Translation of Book	N	-	0
A3	Edited Book	N	-	0
A4	Book Revision/New Edition	Some	-	0
A5	Privately Published Research Book	N	-	0
B2	Privately Published Book Chapter	N	-	0
C2	Other Contribution to Refereed Journal	N	-	0
C3	Non-refereed Article	N	-	0
C4	Letter or Note in Journal	N	-	0
D	Major Review ≥4000 words	N	-	0
E2	Conference Publication – Non-refereed	N	-	0
E3	Extract of Conference Paper	N	-	0
E4	Edited Volume Conference Proceedings	N	-	0
G	Computer Software	N	-	0
I	Patent	N	-	0
K1	Encyclopaedia Entry – Substantial	N	-	0
K2	Encyclopaedia Entry	N	-	0
L	Technical Report	N	-	0
M	Other Public Output	N	-	0

# Section D

Extract of

UWA's code of conduct

for the responsible practice of research



***[The following is an extract from the Code of conduct for the responsible practice of research webpage (<http://www.research.uwa.edu.au/staff/research-policy/guidelines>), relating specifically to the definition of authorship.]***

## **5. Authorship**

5.1 The minimum requirement for authorship should accord with the 'Vancouver Protocol' as set out in the fifth edition of the *Uniform Requirements for Manuscripts Submitted to Biomedical Journals*<sup>2</sup>. Authorship is substantial participation, where all the following conditions are met:

- conception and design, or analysis and interpretation of data
- drafting the article or revising it critically for important intellectual content
- final approval of the version to be published.

Participation solely in the acquisition of funding or the collection of data does not justify authorship. General supervision of the research group is not sufficient for authorship. Any part of an article critical to its main conclusion must be the responsibility of at least one author. An author's role in a research output must be sufficient for that person to take responsibility for at least that part of the output in that person's area of expertise. No person who is an author, consistent with this definition, must be excluded as an author without their permission in writing.

5.2 Research students can be authors and own the copyright of their thesis, in accordance with Sub-Regulation 4 (2) of the UWA Intellectual Property Regulations<sup>3</sup>.

5.3 Authorship of a research output is a matter that should be discussed between researchers at an early stage in a research project, and reviewed whenever there are changes in participation. If there are conflicts arising through disputes about authorship then the Deputy Vice-Chancellor (Research) should be notified and will decide on what course of action.

5.4 When there is more than one co-author of a research output, one co-author (by agreement amongst the authors) should be nominated as executive author for the whole research output, and should take responsibility for record-keeping regarding the research output.

5.5 Where the research is published, including electronically, one author will be given principal status with the responsibility for signing a Statement of Authorship form ensuring that all co-authors are in agreement with their inclusion and that no person entitled to authorship as defined in clause 5.1 above has been excluded. Authors of web-based publications must be able to take responsibility for the publication's content and must be clearly identified in the publication.

*[Statement of authorship form available for download from the webpage.]*

5.6 The authors must ensure that others who have contributed to the work are recognised in the research output. Courtesy demands that individuals and organisations providing facilities should also be acknowledged.

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<sup>2</sup> <http://www.icmje.org/> [URL correct at the time the manual was compiled.]

<sup>3</sup> [http://www.legalservices.uwa.edu.au/iso/ip\\_res\\_contracts/2\\_ip\\_policy](http://www.legalservices.uwa.edu.au/iso/ip_res_contracts/2_ip_policy) [URL correct at the time the manual was compiled.]

# Section E

Sample publications entry forms  
for Minerva

## A BOOK

Underlined fields are essential and must be completed for all entries. Those not underlined may not be applicable for all entries, but where they are applicable, they must be completed.

### **Output Category**

**Comments**

**International Co-authors**

**Author(s)**

**Book Title**

**Year of Publication**

**ISBN**

**Series Editor**

**Series Title**

**Place of Publication**

**Publisher**

**Volume**

**Number of Volumes in the series**

**Pages**

**Edition**

**Translator**

**Strategic Research Area**

**Fields of Research**

**DOI**

## B CHAPTER

*(Please note that each UWA authored chapter must be entered as a separate entry)*

Underlined fields are essential and must be completed for all entries. Those not underlined may not be applicable for all entries, but where they are applicable, they must be completed.

### **Output Category**

**Comments**

**International Co-Authors**

**Author(s) of Chapter**

**Book Chapter Title**

**Book Title**

**Year of Publication**

**ISBN**

**Editor of Book**

**Series Editor**

**Series Title**

**Place of Publication**

**Publisher**

**Volume**

**Number of chapters in book**

**Pages**

**Edition**

**Translator**

**Strategic Research Area**

**Fields of Research**

**DOI**



## C JOURNAL ARTICLE

(NOT to be used for abstracts.)

Underlined fields are essential and must be completed for all entries. Those not underlined may not be applicable for all entries, but where they are applicable, they must be completed.
---

### **Output Category**

**Comments**

**International Co-authors**

**Author(s)**

**Article Title**

**Print Year**

**Online Year**

**Journal Name**

**ISBN/ISSN**

**Place of Publication**

**Publisher**

**Volume**

**Issue**

**Page**

**s**

**Strategic Research Area**

**Fields of Research**

**DOI**

## D MAJOR REVIEW

Underlined fields are essential and must be completed for all entries. Those not underlined may not be applicable for all entries, but where they are applicable, they must be completed.

### **Output Category**

Comments

International Co-Authors

### **Author(s)**

### **Title of Review**

### **Title of Book/Journal**

### **Publication Year**

Author(s) & Title(s) of Work(s) Under Review

### **Place of Publication**

Publisher

Volume

Issue

### **Pages**

Strategic Research Area

### **Fields of Research**

DOI

## E CONFERENCE PUBLICATION

Underlined fields are essential and must be completed for all entries. Those not underlined may not be applicable for all entries, but where they are applicable, they must be completed.

### **Output Category**

Comments

International Co-Authors

### **Author(s)**

### **Conference Article Title**

### **Print Year**

Online Year

ISBN/ISSN

### **Editor of Conference Publication**

### **Conference Name**

### **Place of Publication**

Publisher

### **Volume**

### **Pages**

### **Conference Publication Title**

### **Conference Location**

### **Date of Conference**

Strategic Research Area

### **Fields of Research**

DOI

## F1 ORIGINAL CREATIVE WORK - TEXTUAL

Underlined fields are essential and must be completed for all entries. Those not underlined may not be applicable for all entries, but where they are applicable, they must be completed.

### **Output Category**

Comments

International Co-Authors

### **Author(s)**

### **Title of Work**

### **Year of Publication/Production**

ISBN/ISSN

### **Place of Publication**

### **Publisher**

### **Extent (eg page numbers, duration)**

Edition

### **Type of Work**

Publication Title

Strategic Research Area

### **Fields of Research**

DOI

## F2 ORIGINAL CREATIVE WORK – MUSICAL COMPOSITION

Underlined fields are essential and must be completed for all entries. Those not underlined may not be applicable for all entries, but where they are applicable, they must be completed.

### **Output Category**

Comments

International Co-Authors

### **Composer(s)**

### **Title of Work**

### **Year of Publication/Production**

### **Place of Publication**

### **Publisher**

### **Extent (eg duration, number of works)**

### **Type of Work**

Distribution Medium

Name of Commercial Distributor

Place Work First Performed

Date Work First Performed

Performing Group Name

Date of Recording

Strategic Research Area

### **Fields of Research**

DOI

### F3 ORIGINAL CREATIVE WORK – VISUAL ART

Underlined fields are essential and must be completed for all entries. Those not underlined may not be applicable for all entries, but where they are applicable, they must be completed.

**Output Category**

Comments

International Co-Authors

**Artist(s)**

**Title of Work**

**Year of Publication/Exhibition**

**Publisher of Catalogue**

**Extent (no. of images/works, size)**

**Type of Work**

**Place of Exhibition of Art Works**

**Date of Exhibition of Art Works**

Strategic Research Area

**Fields of Research**

DOI

## F4 ORIGINAL CREATIVE WORK – DESIGN/ARCHITECTURAL

Underlined fields are essential and must be completed for all entries. Those not underlined may not be applicable for all entries, but where they are applicable, they must be completed.

### **Output Category**

Comments

International Co-Authors

### **Author(s)**

### **Title of Work**

### **Year of Publication/Production**

ISBN/ISSN

Author(s) of review/catalogue

### **Place of Publication/Production**

Publisher/Distributor

Page Numbers

### **Type of Work**

Journal/Book Title

### **FOR EXHIBITIONS:**

Place of Exhibition

Date of Exhibition

### **FOR DESIGN AWARDS:**

Name of Award

Date of Award Presentation

Organisation Conferring Award

Strategic Research Area

### **Fields of Research**

DOI

## F5 ORIGINAL CREATIVE WORK – EXHIBITION CATALOGUE

Underlined fields are essential and must be completed for all entries. Those not underlined may not be applicable for all entries, but where they are applicable, they must be completed.

### **Output Category**

Comments

International Co-Authors

### **Author(s)**

### **Title of Work**

### **Year of Publication/Production**

### **Catalogue ISBN**

### **Place of Publication**

### **Publisher**

### **Page Numbers**

Edition

### **Type of Work**

### **Place of Exhibition**

### **Date of Exhibition**

Strategic Research Area

### **Fields of Research**

DOI



## F6 LIVE PERFORMANCE OF CREATIVE WORK

Underlined fields are essential and must be completed for all entries. Those not underlined may not be applicable for all entries, but where they are applicable, they must be completed.

### **Output Category**

Comments

International Co-Authors

### **Performer(s)**

### **Title of Work**

### **Year of Publication/Production**

### **Extent (eg duration)**

### **Type of Work**

Distribution Medium

Name of Commercial Distributor

### **Place of Performance**

### **Date Work First Performed**

### **Performing Group Name**

### **Role of UWA Author(s)**

Date of Recording

Strategic Research Area

### **Fields of Research**

DOI

## F7 RECORDED/RENDERED CREATIVE WORK

Underlined fields are essential and must be completed for all entries. Those not underlined may not be applicable for all entries, but where they are applicable, they must be completed.

**Output Category**

Comments

International Co-Authors

**Author(s) of Recording**

**Title of Work**

**Year of Publication/Production**

**Place of Publication**

**Extent (page numbers, duration)**

**Type of Work**

**Distribution Medium**

**Name of Commercial Distributor**

Date Work First Performed

**Role of UWA Author(s)**

**Date of Recording/Rendering**

Strategic Research Area

**Fields of Research**

DOI

## F8 CURATED EXHIBITION OR EVENT

Underlined fields are essential and must be completed for all entries. Those not underlined may not be applicable for all entries, but where they are applicable, they must be completed.

### **Output Category**

Comments

International Co-Authors

### **Curator/Producer(s)**

### **Title of Work**

### **Year of Publication/Production**

### **Catalogue ISBN**

### **Publisher/Producer**

### **Extent (eg size, duration)**

### **Type of Work**

### **Publisher of Catalogue**

### **Place of Exhibition/Event**

Strategic Research Area

### **Fields of Research**

DOI

## G COMPUTER SOFTWARE

Underlined fields are essential and must be completed for all entries. Those not underlined may not be applicable for all entries, but where they are applicable, they must be completed.

**Output Category**

**Comments**

**International Co-Authors**

**Author(s)**

**Name of Software**

**Year of Publication**

**Place of Publication**

**Publisher**

**Version**

**Computer/Language**

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## I PATENT

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### **Output Category**

Comments

International Co-Authors

### **Author(s)**

### **Title of Patent**

### **Year Granted**

### **Patent Owned By**

### **Country(ies) in which Patented**

### **Patent Number**

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## K ENTRY IN ENCYCLOPAEDIA, ETC

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### **Output Category**

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### **Author(s)**

### **Title of Entry**

### **Year of Publication**

### **Editor**

### **Title of Dictionary etc**

### **Place of Publication**

### **Publisher**

Volume

Number of volumes

### **Page Numbers**

### **Type of Work**

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## L TECHNICAL REPORT

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**Title of Work**

**Year of Publication**

**Place of Publication**

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## M OTHER PUBLIC OUTPUT

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### **Author(s)**

**Title of Article, Report etc**

**Year of Publication**

Editor

Title of Newspaper, Magazine etc

**Place of Publication**

Volume

Issue

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## P PUBLIC POLICY REPORT

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### **Report Title**

### **Publication Year**

### **Place of Publication**

### **Publisher**

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### **Body Assisted By Report**

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