Sourcing audit materials
Uploading documentation on Minerva

Research Assessment Unit
February 2013
In this seminar...

• Why we need audit materials
• Key requirements
• Where to find audit materials
  – HERDC categories
  – Creative Works
• Translations
• Hard copies
• Uploading files on Minerva
Essential Reading and Further Information

- **UWA Publications Manual**
  http://www.research.uwa.edu.au/staff/publications

- Help sections on Minerva

- Find useful links and documents at our webpage:
  http://www.research.uwa.edu.au/staff/publications

- Contact the RAU via:
  pubqueries-research@uwa.edu.au
Why we need audit materials

- All Audit category publications are audited to ensure that they meet the requirements of their respective publication categories
  - Publications in the HERDC submission must meet the HERDC criteria
  - Publications claimed by schools for the Faculty Funding Model must meet the HERDC/UWA criteria
  - If the audit materials provided by the school do not demonstrate that the publication meets the requirements, it will be “downgraded”
  - External auditors will require that we produce the verification materials as proof that publications meet the criteria
  - Late publications contribute to Socratic Index

- The Audit Subcommittees audit the publications by accessing the uploaded audit materials on Minerva
  - The Audit Subcommittee is comprised of senior academics, and they are not remunerated for their time and effort
  - The audit materials are the only evidence that the auditors see to prove that the publication meets the requirements
Key requirements

- Outlined in the *UWA Publications Manual*, sections B and C, especially Tables A and B
- Requirements differ slightly for each publication category
- Requirements for HERDC categories (A1, B1, C1, and E1) publications are specified by DIISRTE
- Requirements for Creative Works categories (F1-8) publications are based on the Excellence in Research for Australia requirements, as specified by the ARC
- Must upload audit materials to the publication entry
- Must be in English
Requirements for uploaded files

- Must be legible!
  - Someone with no knowledge of the publication should be able to read and understand the text of the document.
  - Try to keep all the text in the same direction so that the auditors do not have to rotate each page image.
  - Publications in languages other than English must have enough translated into English to allow the auditor to make a reasonable judgement.
Requirements for uploaded files (cont)

• Must be complete!
  – Ensure that all of the required information is contained in the document. For example, do not cut off the bottom two lines of text.
  – Ensure that all of the required information is present. For example, for an E1 make sure that the conference location and date are included in the audit materials.
Requirements for uploaded files (cont)

• Must be practical!
  – Try to balance the readability of the document with the size of the file. Uploaded files should generally be smaller than 5MB. Files with lots of images or colours will be larger. Auditors will be downloading the files from Minerva, and large files slow the process down
  – If the information is buried in a large document, highlight the information in some way to draw the auditor’s attention
    • For example, if including table of contents of a large conference, indicate where the information for the conference paper can be found
    • Use the Comments section on the publication entry to specify where the required information can be found in large documents
Where to find audit materials

Author affiliation

- Journal articles and conference papers generally have a byline for each author, stating their institutional affiliation
- Authored books often have a biographic section at the beginning or end of the book or on the dust jacket of the book with information about the author
- Book chapters sometimes have a byline at the start of the chapter, stating the authors’ institutional affiliation, otherwise a biographic section with author information
- Edited books often have authors sections at the beginning or end of the book with information about each author
- Creative works author information may be a mix of these, or may be found in other places
Where to find audit materials – A1

• Bibliographic information:
  – Hardcopy of the book – front matter, title page, preface, …
  – Online sources, eg Google Books, UWA Library
    (Beware online-only books! Beware providing ebook details!)
• Commercial publisher
  – Publisher’s website
• Proof of originality
  – Edition
  – Check the Preface and Introduction to see if the author states that the research has been previously published
Where to find audit materials — A1

Front matter and publisher’s website

Evidence indicating the author’s affiliation to UWA

Hardcopy of the book

Copies of contents, preface, introduction

Copies of pages showing all bibliographical information (ISBN, title, author(s), publisher, all dates referring to copyright, publication, printing and distribution)

Proof the book is published by a commercial publisher as defined in section 4.8

Key Roles & Responsibilities within Palgrave Macmillan

Palgrave Macmillan not only seeks to acquire excellent academic and college books but also to ensure that they are edited, produced, marketed and published to a high standard. The key roles and responsibilities of our staff involved in the publishing process are outlined below.

Editorial:

The Commissioning Editor or Publisher is the author’s main contact from the first discussion of a project through to publication and beyond. Please feel free to contact the most relevant editor with any queries or problems you may have.

Publishing Services:

Our Publishing Services Division is responsible for all aspects of the production process from copy-editing and design to typesetting and printing - all to the highest standard. We are also able to accept manuscripts produced in a wide range of word-processing systems.
Where to find audit materials — B1

• Bibliographic information:
  – Hardcopy of the book – front matter, title page, preface, …
  – Online sources, eg Google Books, UWA Library
    (Beware online-only books! Beware providing ebook details!)

• Commercial publisher
  – Publisher’s website

• Proof of originality
  – Is it a first edition?
  – Check the Preface and Introduction to see if the editor states that the chapter has been previously published. This information may also be found at the start of the chapter

The contributions in this volume—apart from the opening and concluding chapters—are adaptations of previously published material.
Where to find audit materials — B1

Front matter, introduction, contributor information

- Evidence indicating the author’s affiliation to UWA
- Copy of the chapter
- Copies of contents, preface, introduction
- Copies of pages showing all bibliographical information (ISBN, book title, author(s), editor, publisher, all dates referring to copyright, publication, printing and distribution)
- If new chapter in a revised edition, include contents page of previous edition to indicate that chapter is new
- Proof the book is published by a commercial publisher as defined in section 4.8
Where to find audit materials — C1

• Bibliographic information
  – Full copy of the publication
  – Scopus or Web of Knowledge
  – Publisher’s website

• Journal information:
  – Ulrichs
  – ISI Master list

• Proof of peer review:
  – Ulrichs
  – ISI Master list
  – ARC’s ERA Journal Lists from 2012 and 2010
  – Publisher’s website
  – Referee’s report
Where to find audit materials — C1

Full article from publisher’s website

Evidence indicating the author’s affiliation to UWA

Copy or offprint of article

Proof of peer reviewing as described in section 4.7

Copies of pages showing all bibliographical information (ISSN, journal title, author(s), all dates referring to copyright, publication, printing and distribution)

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

Scholarly journal
Where to find audit materials — C1

Ulrichs page

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| **Description**    | Describes researchers, analysts and policy makers a combination of legal, political written by international lawyers, political scientists, fishery specialists and marine |

- Evidence indicating the author's affiliation to UWA
- Copy or offprint of article
- Proof of peer reviewing as described in section 4.7
- Copies of pages showing all bibliographical information (ISSN, journal title, author(s), all dates referring to copyright, publication, printing and distribution)
- 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
- Scholarly journal
Where to find audit materials – C1

Full article from publisher’s website

• Example of proof of peer review from section of journal website, eg Author Guidelines, Manuscript Submission, or Article Types

Brief Reports

Short manuscripts definitively documenting either experimental results or informative clinical observations will be considered for publication in this category. Single-case reports or case series can almost never be accommodated, unless they elucidate very novel and important disease biology or approaches to therapy. Brief Reports are not intended to allow publication of incomplete or preliminary findings. The review process is equally rigorous as for Regular Articles and the acceptance rate is lower.

Review Articles

Review articles are welcomed by the journal and are generally solicited by the Editor-in-Chief; authors wishing to submit an unsolicited Review Article are invited to contact the Editor-in-Chief prior to submission, in order to screen the proposed topic for relevance and priority, given other review articles that may already be in preparation. Review articles should focus on recent scientific or clinical advances in an area of broad interest to those in the field of hematology. Such articles must be concise and critical and should include appropriate references to the literature. All Review Articles, including those solicited by the Editors, are rigorously peer reviewed before a final publication decision is made.
Where to find audit materials — E1

- Bibliographic information
  - Full copy of the publication
  - Scopus or Web of Knowledge
  - Publisher’s website
- Proof of peer review:
  - Conference proceedings
  - Conference website / Call for Papers
  - Referee’s report
- National or International significance
  - Is it a national/international organisation?
  - Is there a significant number of national/international participants?
  - Does the conference address nationally/internationally relevant topics?
Where to find audit materials — E1

Conference proceedings publication

- Evidence indicating the author’s affiliation to UWA
- Copy or offprint of full paper;
- Copies of contents, preface, introduction;
- 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);
- Proof of peer reviewing as described in section 4.7.
- Proof the conference is of national or international significance.
F - Creative Works

• Requirements reflect ERA requirements
• Must provide a copy of the output wherever possible
• Fs will be assessed against the 3-point scale, in terms of things like duration/size, complexity, cultural significance, and external review.
  – See Section C for more details
  – Make sure that you include supporting documentation if you are claiming a publication as an FX.1
Where to find audit materials — F1

- The bibliographic and other details as specified on the proforma
- Proof of publication and availability for sale by a recognised commercial publisher
- A copy of the creative work
Where to find audit materials — F2

- The bibliographic and other details as specified on the proforma
- Proof of publication and availability for sale by a recognised commercial publisher or proof of being recorded for commercial distribution
- A copy of the creative work
Where to find audit materials – F3

The bibliographic and other details as specified on the proforma

Proof of the exhibition being the first exhibition of the material

Proof of the gallery or museum being an independent public or commercial organisation

A copy of the published catalogue for the exhibition

A copy of an independent external review of an exhibition at UWA is necessary for classification as Major or Medium
Where to find audit materials — F4

- The bibliographic and other details as specified on the proforma
- Proof of a design award being received for the first time; or
- Proof of independent professional publication or review for the first time; or
- 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
- A copy of an independent external review of an exhibition at UWA is necessary for classification as Major or Medium
Where to find audit materials — F5

The bibliographic and other details as specified on the proforma

A copy of the catalogue

A copy of an independent external review of an exhibition at UWA is necessary for classification as Major or Medium

Experiments in Space, Structure and Environmental Design: The Life and Architecture of Raymond Jones

ISBN 978-0-646-55288-0
Where to find audit materials – F6

- The bibliographic and other details as specified on the proforma
- A copy of the performance program and a review or supplementary material attesting to the performance’s existence, time and place
- Proof the performance has a UWA connection (UWA byline equivalent)
- A copy of an independent external review of a performance at UWA is necessary for classification as Major or Medium
Where to find audit materials — F7

- The bibliographic and other details as specified on the proforma
- A copy of the recorded/rendered output
- A copy of an independent external review of a recording/rendering presented at UWA is necessary for classification as Major or Medium
Where to find audit materials — F8

Annette Pedersen is an Honorary Research Fellow in the Faculty of Architecture, Landscape and Visual Arts at the University of Western Australia and the coordinator of Magis at John XXIII College. Her long-standing interest in social justice and ethics is reflected in her secondary and tertiary teaching and in her published writings about both design and pedagogic practice. *reconnaissance* is the third exhibition she has curated at the Lawrence Wilson Art Gallery.

*reconnaissance*
Art and social justice in the works of Bob Birch, Christopher Crouch, David Mackenzie & Susan Norrie, and Jon Tarry.
Curated by Annette Pedersen
11 March–24 April 2011
© Lawrence Wilson Art Gallery and The University of Western Australia. Text: copyright the author, 2011. All rights reserved. No part of this publication may be reproduced, stored in a retrieval system or transmitted in any form or by any means without the prior permission in writing of the publishers. No photograph of this publication may be reproduced without permission of the copyright owners.

All images are copyright the artists and are courtesy the artist(s), apart from Jon Tarry’s which are courtesy the artist and Godiard de Fiddes Contemporary Art, Perth

Design: Milton Andrews, Square Peg Design
Printing: Scott Print, Perth
ISBN: 978 1 876793 20 1

- The bibliographic and other details as specified on the proforma
- 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
- A copy of an independent external review of an exhibition at UWA is necessary for classification as Major or Medium
- If produced/exhibited at UWA venue, it can only be classified as F8.1 or F8.2 if the event/exhibition was externally reviewed or independently produced by an entity assuming responsibility for the risk of producing
- If the catalogue was written by a UWA author/staff member, it can be claimed as F5
Where to find audit materials — P

- Most schools are unlikely to have any Ps. If you do have a P to enter, please contact the RAU for guidance.
Preparing the documents

• You can often **download** pdf files of journal articles and conference papers directly from Scopus or Web of Knowledge, or the publisher’s or conference website

• You can also **scan** hardcopies of the audit materials

• Keep the different types of materials for a publication in separate files. For example:
  – One file with the full copy of the book chapter
  – One file with the materials about commercial publisher, bibliographic details about the book, proof of peer review
  – One file with the author affiliation letter

• Separate files are required, as Minerva will only allow you to Submit the publication entry once you have uploaded the required documents
Translations

• Audit materials must be provided in English

• If the verification materials are in a language other than English, enough of the text must be translated to allow the auditors to make a reasonable judgement

• If the publication itself is in a language other than English, enough of the publication must be translated to allow the auditors to make a reasonable judgement

• It is the school’s responsibility to provide verification materials in English
Hard copies

• Hard copies of A1 books are required for audit.
  – Can be sent through internal mail to M459
  – Can be dropped off to room 2.02 of Administrative Building, North West Wing
  – Upload an extract of the book to the publication entry

• Hard copies of textual creative works may be required for audit – for example a novel or long poem

• If extract of non-A1 publication uploaded only, may be contacted for hard copy of full output

• Hard copies will be returned to the schools after audit. RAU will advise when they can be picked up, or will send through internal mail if preferred
Minerva has been developed to take over from the UWA Publications Database as the publications collection tool.

Schools must upload the audit materials to the publication entries on Minerva.

Auditors access the uploaded audit materials through Minerva.
Uploading files on Minerva

- Go to the publication entry (click **Edit**)
- Click the FILES tab to go to the upload interface.
- Use the dropdown menu to choose the type of document you are uploading.
• Click “Browse”, locate the file on your computer, select the file and click “Open” or “OK”
• If the document is sensitive (eg referee’s report), tick the Restricted box. This make the publication available to only RAU staff and Auditors.

• Click “Upload” to upload the file to the publication entry
You can use Edit to change the document type once you have uploaded the file.
Uploading files on Minerva (cont)

- You can use Delete to remove the file from the publication entry once you have uploaded it.
Uploading files on Minerva (cont)

- You can see the documents that you have uploaded to the publication entry on the DETAILS tab of the publication entry.
- Once you have uploaded the required documentation and completed all required data entry, Minerva will allow you to Submit the publication.
- You should only Submit the publication entry once you have completed all your checks and believe the information to be complete and accurate.

Before you proceed further it is recommended that you attach as much proof as possible. The following proof has been attached to this publication:

- File: Verification materials for Publication X.doc - Verification materials
- File: Publication X - full output.pdf - Full publication/output
- File: Signed author aff letter 2.doc - Author Affiliation Document
- File: Signed author aff letter 1 (1).doc - Author Affiliation Document
Essential Reading and Further Information

• **UWA Publications Manual**

• Help sections on Minerva

![](https://via.placeholder.com/150)

• Find useful links and documents at our webpage:

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