RESEARCH PUBLICATIONS
MANUAL

FOR THE 2010 COLLECTION
OF
2009 PUBLICATIONS

comprising

SECTION A  Introduction and Instructions for Entering Publications into the UWA Database
SECTION B  HERDC Requirements - Extracts from DIISR’s HERDC Specifications for Collection of 2009 Data
SECTION C  Publication Categories, Verification and Audit Requirements
SECTION D  Sample Data Entry Forms

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# Table of Contents

Section A: Introduction and Instructions for Entering Publications into the UWA Publications Database

1. **INTRODUCTION** .............................................................................................................. 2
   1.1 The Process ................................................................................................................ 2
   1.2 Matters to Note in Particular ..................................................................................... 3

2. **DATA ENTRY USING THE WORLD WIDE WEB** ..................................................... 5
   2.1 Requirements ............................................................................................................. 5
   2.2 Initial Access ............................................................................................................. 5
   2.3 Data Entry .................................................................................................................. 5
      2.3.1 Publication Category ......................................................................................... 5
      2.3.2 How to Enter Authors ..................................................................................... 6
      2.3.3 Title of the Work ............................................................................................. 9
      2.3.4 Journal Name .................................................................................................. 9
      2.3.5 Editors ............................................................................................................. 9
      2.3.6 Page Numbers ................................................................................................ 10
      2.3.7 Type of Work .................................................................................................. 10
      2.3.8 Field of Research – FoR codes ..................................................................... 10
      2.3.9 Comment ........................................................................................................ 10
      2.3.10 Chapter Category .......................................................................................... 10
      2.3.11 Journal Article Category .............................................................................. 11
      2.3.12 Conference Publication Category ................................................................. 11
      2.3.13 Saving the Data ............................................................................................ 11
   2.4 Checking ..................................................................................................................... 11
   2.5 Editing an Existing Entry .......................................................................................... 11
   2.6 Submitting .................................................................................................................. 12
   2.7 Searching ................................................................................................................... 12

Section B: HERDC Requirements – Extractions from the HERDC Specifications for Collection of 2009 Data

3. **DEFINITION OF RESEARCH** ..................................................................................... 14

4. **RESEARCH PUBLICATIONS – KEY REQUIREMENTS AND DEFINITIONS** ..... 15
   4.1 Key Characteristics of Research Publications .......................................................... 15
   4.2 General Requirements ............................................................................................. 15
   4.3 Author Affiliation ..................................................................................................... 15
   4.4 Apportioning Authors .............................................................................................. 16
   4.5 Year of Publication .................................................................................................. 16
   4.6 Expanded Year of Publication Definition ................................................................. 17
   4.7 Peer Review ............................................................................................................. 17
   4.8 Commercial Publisher ............................................................................................. 18
   4.9 Foreign Language Publications .............................................................................. 18
   4.10 Electronic Works ..................................................................................................... 19
   4.11 Verification Material ............................................................................................... 19
   4.12 Checklists ................................................................................................................ 19
Section C: Publication Categories, Verification and Audit Requirements ..........21
A Book ........................................................................................................................... 22
B Book Chapter .............................................................................................................24
C Journal Article ...........................................................................................................25
D Major Review ...........................................................................................................28
E Conference Publication ............................................................................................28
F Audio-Visual Recording .............................................................................................29
G Computer Software ..................................................................................................30
H Refereed Design (Architectural, Urban, Landscape, or Engineering) ...................30
I Patent .........................................................................................................................30
J Other Creative Works .................................................................................................31
K Entry in Encyclopaedia .............................................................................................33
L Technical Report .......................................................................................................34
M Other Public Output .................................................................................................34
Table A – HERDC Verification Requirements ...............................................................35
Table B – Summary UWA Audit Verification Requirements ............................................36
Table C – HERDC Categories Audit Checklist ...............................................................38
Table D – Summary of Weightings ..................................................................................42

Section D: Sample Entry Forms for the UWA Research Publications Database ..........43
A Book ........................................................................................................................... 44
B Book Chapter .............................................................................................................45
C Journal Article ...........................................................................................................46
D Major Review ...........................................................................................................47
E Conference Publication .............................................................................................48
F Audio-Visual Recording .............................................................................................49
G Computer Software ..................................................................................................50
H Refereed Design (Architectural, Urban, Landscape, or Engineering) ...................51
I Patent .........................................................................................................................52
J1/2 Creative Major/Minor Written or Recorded Work .............................................53
J3/4 Creative Exhibition/Presentation of Original Art ..............................................54
J5 Catalogue ................................................................................................................55
J6 Live Performance of Creative Work .................................................................56
J7 Recorded/Rendered Creative Work .......................................................................57
J8 Curated Exhibition or Event ...................................................................................58
K Entry in Encyclopaedia .............................................................................................59
L Technical Report .......................................................................................................60
M Other Public Output .................................................................................................61
Section A

INTRODUCTION
AND
INSTRUCTIONS FOR ENTERING PUBLICATIONS
INTO THE
UWA PUBLICATIONS DATABASE
1. **INTRODUCTION**

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

- for submission to the ARC as a major part of the research quality assurance system, Excellence in Research for Australia (ERA);

- information on four categories (A1, B1, C1, E1) is reported to DIISR 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;

- 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

- Heads of School (and Director of Centres whose staff are not in a school) must nominate an academic contact and an administrative contact. The academic contact 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 administrative contact is responsible for the data entry in each area. Heads are notified of last year's academic and administrative contacts, and asked to provide details of new academic and administrative nominees by email, generally by around early February.

- The Head of School will retain responsibility for certifying that the school’s final submission is correct. **The Head must not allow any publication to be included in the final submission if the classification cannot 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 D of [section C](#) shows the weightings for each publication category.

- Material verifying the classification of each publication must be retained by schools in an accessible location for three years.

- Schools must be able to prove that C1 and E1 publications have been refereed. Verification requirements are set out in [section C](#) of these guidelines.

- All publications data must be entered on the web using the web form designed specifically for the purpose (see section 2).
• Schools must enter all the publications by authors in their own school. Detailed instructions on how to enter authors is provided on-line and in section 2. It is essential that all those entering publications data read the section on how to enter authors. It is also essential that data entry staff read and abide by the HERDC requirements for author affiliation at section 4.3. This defines when an author may be regarded as a UWA author, ie whose publications may be included.

• Publications data entered using the web should be checked by the school and then submitted (press SUBMIT to send data automatically to the central publications database) by the due date specified each year – generally the end of March. Although there is an expectation that data submitted by schools will be complete and accurate, no forms need to be signed by the Head at this point.

• Once the publications data has been checked and corrected as much as possible, printouts will be produced for each school and for members of the Publications Audit Subcommittees.

• Members of the Publications Audit Subcommittee will contact academic nominees and arrange to audit the publications data.

• A meeting will then take place between the member of the Publications Audit Subcommittee and the academic nominee to determine whether the school’s collection has been completed in accordance with this Manual. If agreement is reached, a form will be signed by the Head of School and the Subcommittee member. The form for completion will be sent to schools with the printout. The original (annotated) printout and the signed form will then be sent by the Subcommittee member to Jonathon Crabtree in the Research Assessment Unit (RAU) in Research Services. Great care should be taken to ensure that annotations are legible. The school should retain a copy for its own purposes as multiple copies are not held by Research Services. This process has to be completed by the specified due date, generally the end of May.

• Any annotations on the printout will be entered into the Research Publications Database by staff in the RAU and then a series of further checks and any corrections needed occur.

• The data will then be used for the purposes described in the introduction.

1.2 Matters to Note in Particular

• The collection of 2009 UWA publication details will be carried out in the same way this year (2010) as in all past years. That is, details of 2009 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 in the normal way.

• Any 2003-08 UWA publications (ie publications with a UWA byline) which are missing from the database should be entered now. They will automatically be
tagged by the system as late publications, and will be audited with the 2009 UWA publications.

- When entering data on the web form, be sure to read the instructions in section 2 below. Summary instructions on how to enter authors are also included in a drop-down menu on the web form itself. It is very important to use the author codes in section 2.3.2 below to indicate which authors are in your school. Failure to do so will result in the wrong credit being given to authors and could penalise your school.

- It is vital that for all 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 while employed or enrolled at the UWA (see section 4.3 below for details). A brief explanatory note may be added to the Comment field facilitate the audit process.

- Collaborative publications must be entered in each UWA author’s school. These publications will be counted on a pro-rata basis (eg, if there are 5 authors of whom 2 belong to your school and 1 to another school, your school will receive credit for 0.4 of the publication and the other school will receive credit for 0.2; UWA will receive credit overall for 0.6 of the publication).

- Where a staff member or student belongs to, or is employed or enrolled in more than one school or centre, the publication must be entered in each school. These publications will be counted on a pro-rata basis (eg, if the staff member is employed by two schools, then each school will receive 0.5 credit for the publication, regardless of the funding arrangements of that staff member with these schools).

- In multi-location schools, the head of school is responsible for collecting and checking research publications data from all locations and submitting these on the web.

- Theses may only be included if they are published under one of the specific publication categories (eg, book, chapter, journal article). Submission of a thesis to the University for completion of a degree and its lodgement in the University Library does not count as a publication.
2. DATA ENTRY USING THE WORLD WIDE WEB

For this collection, all publications data must be entered on the web using the web form developed for the purpose. The web interface to the publications database has been designed to make data entry easier, with pop-up instructions and drop-down lists to select from. It automates much of the data checking and also includes a search facility for the whole UWA publications database with several output formats.

2.1 Requirements

To use this system you must be using Netscape v4.5 or later, Internet Explorer v5 or later (except 8.0), Firefox 3.0 or later, or Safari 3.0 or later. The system uses Java Scripts to process some of the screens. The system is not compatible with Internet Explorer 8.0. If using Internet Explorer, it is recommended that you use version 7.0.

The URL for the data entry is http://www.admin.uwa.edu.au/respub/

At this stage you should have a publication entry ready, with the correct publication category identified and all of the compulsory fields available.

2.2 Initial Access

When you follow this URL, you will be asked to enter your Pheme username and password (see http://www.pheme.uwa.edu.au). When you have entered the correct username and password combination, the Publications Enquiry Screen will appear. You will see that the School Code is automatically set to your school.

2.3 Data Entry

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

Please check that the publication you are about to enter is not already in the Publications Database. You can use the Publication Year field to search for all of your school’s publications for a given year. Further details about the search function can be found at section 2.7 below.

2.3.1 Publication Category

To start data entry, in the Publication Category field type the publication category of the item you want to enter, or select the category from the lookup list. Next click the Add New button on the bottom right of the screen. This will initiate another browser session on your system. It may take several seconds as the system has to do quite a bit of work.

The Enter and Edit Publication Screen will appear. At the top is the Publication Category field, a dropdown list of the publication categories that can be selected. It will show the publication category you selected earlier on the Publications...
Enquiry Screen. If you did not select a category previously, it will show C1-Refereed Journal Article as this is the most common entry.

To change the Publication Category click on the entry or on the down arrow to the right to display a list of the alternatives. Select the one you want for the item you are about to enter. This will initiate a rebuild of the screen with the individual fields that are required for the selected publication category.

2.3.2 How to Enter Authors

Next on the screen is the Authors field. It is vital to enter authors in exactly the required way or the system cannot record the data correctly and will send you an error message. Detailed instructions follow and are also provided by clicking the How to Enter Authors button beside the Authors field on the entry screen.

All authors, whether school or not, should be entered in the Author field. They must be entered in the order that they appear in the original publication, with a new line for each author. You must use the punctuation and format shown below to enable the system to record the data correctly. PLEASE DO NOT USE ALL UPPER CASE; please use the normal mixture of lower and upper case letters.

Much the best way to enter a school author is to click on the School Staff Lookup list and select the author. This reduces the chance of typos and ensures consistency with previously entered data.

If the author’s name is not in the lookup list or the full list from the lookup screen, then you should enter it manually. Enter Family name, comma, space, first initial, full stop, second initial (if there is one), full stop, Enter - as shown below. If an author's name is too long to fit on a single line, simply keep typing in the name. Do not hit Enter.

For authors with two-word last names, eg. Charles de Gaulle, you will need to enter the name as Last, First eg de Gaulle, C. so that both words de and Gaulle will be formatted as part of the last name. For authors with hyphenated names the entry should include the hyphen in the normal order, eg Egerton-Warburton, J.R.

2009 publications
Authors you may claim as school authors are those in your school who meet DIISR’s HERDC definition for author affiliation at section 4.3. These are generally authors in your school with a UWA byline (address) on the publication. In rare cases where the UWA byline is not on the publication, DIISR will allow an author who is a UWA appointee or student, provided they did the research leading to the publication in their capacity as a UWA appointee or student, and write a letter confirming this. School authors gain points for the school in which they are employed, enrolled or appointed.
For your own school authors only, the author’s name MUST be followed by / and one of four codes PYRL, HON, STUD or OTHER, according to the author:

PYRL is for school staff members employed by UWA and on the payroll.

HON is for school staff with honorary (non-paid) appointments (e.g. adjunct, clinical, visiting)
- either HON=UWA byline
- or (if no UWA byline) HON, and follow the instructions to provide an affiliation letter.

STUD is for students enrolled at UWA.

OTHER has two possibilities, both likely to occur only rarely:
- either OTHER=UWA byline
- or (if no UWA byline) OTHER=jkjkjkkjk where jkjkjkkjk is an explanatory comment.

In unusual cases where the publication has a UWA byline but the author is not PYRL, HON or STUD, you should use the format /OTHER=UWA byline. The system accepts this without query. At the time of audit, the auditor will check the byline and the publication will be excluded if no UWA byline is present.

Only use /OTHER=jkjkjkkjk (where jkjkjkkjk is an explanatory comment) if there is no UWA byline and the author is neither PYRL, HON nor STUD. These cases will be very rare.

In cases where an author is HON but does not have a UWA byline, put /HON after the author’s name. You will not be able to submit the publication like this, but instructions in red will appear next to the author field on the screen. Follow these instructions and send a signed affiliation letter using the pro-forma to Jonathon Crabtree in Research Services (fax 6488 8775, email jonathon.crabtree@uwa.edu.au). Upon receiving the affiliation letter, we will update the publication entry and let you know that you can submit the entry.

Almost all authors should be PYRL, HON or STUD. OTHER should occur only very occasionally. Please use PYRL, HON and STUD wherever possible as these are matched to staff and student IDs and can thus link to the person’s data in other UWA systems.

Examples of school authors entered using required format are:

Honeywell, B.C./PYRL
de Gaulle, J./PYRL
Smith, B./HON=UWA byline
Green, Y./STUD
Brown, U./OTHER=UWA byline

If the author is a student (STUD) who left more than 5 years ago, the system may not recognise the name and may give an error message. In this case, please ring Jonathon Crabtree in Research Services on 6488 1827 and he will add the student’s
name to the database to allow the system to recognise the name. (We include only 5 past years for checking as more would slow the data entry process too much.)

Where you enter /OTHER=anything else, the system will check and send you an error message, asking you to email or fax details of the author’s UWA affiliation to Jonathon Crabtree in Research Services (fax 6488 8775, email jonathon.crabtree@uwa.edu.au) using the pro-forma letter linked to the web entry screen. An explanation of what is needed to meet this HERDC requirement can be found in the UWA Publications Manual, section 4.3. When you have sent through the required information, we will flag the database and let you know you can submit the entry again – and this time it will be accepted by the system.

The auditor will check the author’s affiliation to UWA at the time of audit and the publication will be excluded if evidence of UWA affiliation cannot be provided.

If there is no / followed by one of the four codes, the author will be treated as non-school, and will not earn points for your school for their share of the publication.

Where a school author has a joint appointment or enrolment in your school and one or more others, and where more than one school has a legitimate claim to the publication, show the percentage in your school on a pro-rata basis in the format below:

Author is staff member employed in your school and two others:

Petroni, T./PYRL=33%

Author is an OTHER person with a UWA byline in your school and one other:

Pedanovski, K.G./OTHER=50%UWA byline

For joint appointments please also state in the Comments field in which other school(s) the author is employed or enrolled. This helps in the checking process.

For authors who are not in your school (may be external to UWA or in another UWA school), enter only the author’s name. Do not put / followed by anything. The correct format is:

Quickaswell, M.E.E.

Missing or late UWA publications with a UWA byline

All missing 2003-08 UWA publications (ie publications with a UWA byline) should be entered as above, being careful to select the correct year. They will automatically be tagged by the system as late, and will be audited with the 2009 UWA publications.

Using the exact format outlined in 2.3.2 above is important. If you don’t, an error message will be generated and you will have to resolve the matter either at the time of entry or audit, otherwise the publication may be excluded.
Once you have entered all authors, using the mouse or Tab key to move between fields and the Enter key to enter more than one entry in a field, enter as much data as you have available.

2.3.3 Title of the Work

The title of the work is to be entered into the appropriate field exactly as it appears in the original publication, without a full stop at the end of the title. Capitalisation of the words of the title should reflect how the title appeared in the original book or journal, etc. Again, this is particularly important, because there are not likely to be any further proof-reading checks after the audit process has been completed and prior to the record of each school’s publications being placed on the Internet.

Note that entry of the title should not require pressing the Enter key at any stage. The title will wrap around if it is longer than the reference window.

A title, particularly in some foreign or scientific journal articles, may include special characters, such as subscripts (e.g. H\textsubscript{2}SO\textsubscript{4}), foreign letters (e.g. è or ß), or various other less usual characters. Details on how to enter special characters may be found on the web entry form by clicking the Help menu at the top right of the entry form.

2.3.4 Journal Name

All journal names are to be entered in full as they appear on the journal cover. Please do not enter journal names in an abbreviated form, e.g.

Journal of Experimental Medicine, NOT J Exp Med
Journal of Immunological Methods, NOT J Imm Meth

Full journal name entry will avoid any confusion between similar journal names, and will facilitate the usefulness of the overall database.

2.3.5 Editors

For A3 (edited book) publications, the editor should be entered in the Editor field, using the format required for authors (see 2.3.2 above).

To complete the Editor field 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. This field will not be processed by the system and will appear as entered in the list of the University’s publications on the web. Note that entry of the editors should not require pressing the Enter key at any stage. The entry will wrap around if it is longer than the window on the form.
2.3.6 Page Numbers

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, nor 15pp.

For a single page article, show simply the actual page number in the publication, eg 47 (and not 1pp).

2.3.7 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 J Other Creative Works, the Type of Work field might be, say, Musical Score or Novel.

2.3.8 Field of Research – FoR codes

For every publication at least one FoR code indicating the field of research of the publication must be selected from the lookup list. In most cases 4-digit FoR codes are required, but in the clinical sciences you will need to select 6-digit codes (the lookup list takes you to this selection), as all the clinical sciences come under one 4-digit code. A minimum of one FoR code is needed, and you may include up to three codes where a publication’s field of research extends to more than one 4-digit code. FoRs have replaced the old RFCDs used until mid-2008.

2.3.9 Comment

This field is for any details that the author wishes to include but that do not fit into any of the data entry fields. It may be used, for example, or to communicate details for audit purposes. For example, indicating the page where the author’s affiliation can be found, or the other school that one of the authors belongs to.

2.3.10 Chapter Category

When entering book chapters (category B) please ensure that each chapter has a separate entry form, even where one author has contributed several chapters in the same book.

You should also make sure that the field No. of Chapters in Book is completed, as DIISR requires all universities to collect this information. Their reason is so that an appropriate score can be given where an author contributes several chapters to a book. (Where this arises, the score is calculated automatically by the system using the HERDC formula, once all publications are collected and audited.)
2.3.11 Journal Article Category

When entering the journal ISSN or book ISBN, please just type the actual ISSN or ISBN without the letters ‘ISSN’ or ‘ISBN’, eg 1234-5678 is correct (not ISSN 1234-5678).

2.3.12 Conference Publication Category

The field Title of Paper refers to the title of the author's conference paper; the field Title of Conference Publication is to be used for the name of the book or collection of conference papers.

Category E3 includes published abstracts.

Please note that for category E4 (Edited Volume of Conference Proceedings), the field Author(s) should be used for the editor of the volume. This category should only be used where a school staff member is the editor of the conference proceedings.

2.3.13 Saving the Data

Once you have entered all the data you have available, click the Save button on the bottom right. This will save the entry in the central database. If you enter the data but do not select 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. Do not press Submit at this stage.

2.4 Checking

When you are ready to check how much of the entry is correct or how many errors there are, click the Check button. This will repaint the screen and include any errors that it has found. The error messages are displayed in red. Above the field where the authors are entered is a display field giving the number of school authors that the system thinks you have entered. If this number does not tally with the number that you feel is correct please check the indicator that is used to show each school author and refer to the instructions on How to Enter Authors.

2.5 Editing an Existing Entry

Once an entry has been input it can be edited.

To view a list of all the publications that have been entered this year for your school select the Search button on the Publications Enquiry Screen. This will initiate a search of the database and return all the entries for your school.

On the right hand side of each entry is a status code indicating whether the entry has errors or not. This can be used as an indicator of how much work is required to finish your entries.
To edit an existing entry click on the category code (left side of the screen) for the entry you wish to edit. This will then display the same screen as you were using for the data entry.

Using the mouse and keyboard update those fields that you wish to change remembering to save and close when you have finished.

2.6 Submitting

When an entry has no errors it can be submitted for further processing using the Submit button. This requires opening the entry and the clicking the Submit button at the bottom of the screen. **Once you have submitted the entry you can no longer change it, so it is important to ensure that all the checking by administrative and academic staff in your school, centre or school has been completed before pressing the Submit button.**

When you have submitted all your school’s entries, you should email Jonathon Crabtree in Research Services (jonathon.crabtree@uwa.edu.au) to let him know. Research Services can then start the next stage of processing the data for your school.

2.7 Searching

At any time you wish to view all the publications you have entered, click the Search button on the Publications Enquiry Screen. You can select from various output formats and sort orders using the drop-down lists on the bottom row of the screen. You can also search on a range of fields (eg author, publisher, title, etc) or by publication category for any year.

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**For help with data entry queries contact Jonathon Crabtree on 6488 1827 or jonathon.crabtree@uwa.edu.au**
Section B

HERDC REQUIREMENTS:

EXTRACTS FROM DIISR’S HERDC SPECIFICATIONS

FOR COLLECTION OF 2009 DATA
3. **DEFINITION OF RESEARCH**

The Higher Education Research Data Collection (HERDC) uses the Organisation for Economic Co-operation and Development (OECD) definition of research which comprises:

- 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.  

- any activity classified as research and experimental development is characterised by originality; it should have investigation as a primary objective and should have the potential to produce results that are sufficiently general for humanity's stock of knowledge (theoretical and/or practical) to be recognisably increased. Most higher education research work would qualify as research and experimental development.

- Pure basic research, strategic basic research, applied research and experimental development.

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

- provision of professional, technical, administrative or clerical support and/or assistance to staff directly engaged in research
- management of staff who are either directly engaged in research or are providing professional, technical or clerical support or assistance to those staff
- activities of students undertaking postgraduate research courses
- development of postgraduate research courses
- supervision of students undertaking postgraduate research courses.

Activities that do not support research should be excluded. Such activities may include:

- preparation for teaching
- 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
  (research and experimental development into applications software, new programming languages and new operating systems would normally meet the definition of research).

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4. RESEARCH PUBLICATIONS – KEY REQUIREMENTS AND DEFINITIONS

4.1 Key Characteristics of Research Publications

For the purposes of this collection, a “research publication” is characterised by:

- 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
- originality, ie not a compilation of existing works
- veracity/validity through a peer validation processes or by satisfying the commercial publisher or gallery processes
- increasing the stock of knowledge
- being in a form that enables dissemination of knowledge.

4.2 General Requirements

Each publication must:

- meet the definition of research (see section 3)
- only be counted once by each Higher Education Provider (HEP). If, for example, 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 2009 (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 (e.g., 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 the UWA system does this automatically.)*

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 2010 submission of Research Publications to the Government:

- the research must have been published in the 2009 calendar year, and
- 2009 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.

Letters from authors, editors, creators, etc. stating that a research publication was published in 2009, even though 2009 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.

Pages showing the stated year of publication must be included in verification material (see section C, Tables A–C).
4.6 Expanded Year of Publication Definition

DIISR makes provision for inclusion of some 2008 publications in the submission of 2009 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 2008 publication date, was not published until after 30 June 2009. 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 2008 data collection; and
- contain a 2008 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 an assessment or review of the research publication in its entirety before publication by independent, qualified experts. Independent in this context means independent of the author.

Peer review is relevant for journal articles and conference publications.

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

- the journal is listed in one of the Institute for Scientific Information indexes ([www.isinet.com/journals](http://www.isinet.com/journals))
- the journal is classified as ‘refereed’ in Ulrich’s International Periodicals Directory (Volume 5 - Refereed Serials) or via Ulrich’s web site [www.ulrichsweb.com](http://www.ulrichsweb.com)
- the journal is included in the DEEWR Register of Refereed Journals (no longer maintained)
- 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.

**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.

For books and book chapters, the concept of a commercial publisher (as defined at section 4.8) is used as a surrogate test of quality in place of a peer review requirement.
4.8 Commercial Publisher

The concept of a commercial publisher is used as a surrogate quality test for books and book chapters in place of any formal peer review requirement.

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

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 meets the definition of research.

4.10 Electronic Works

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

Verification material must be retained 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) for three years to facilitate any audit.

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 requirement of DIISR that all universities collect publications information either electronically or using a pro-forma such as those in section C of this Manual.

The completed pro-formas (or, as at UWA, their electronic equivalents) may need to be submitted to DIISR or auditors if requested.

4.12 Checklists

Use of the check lists at Tables A-C in section C of this Manual is highly recommended.

Table A contains the HERDC verification material needed. Table B contains the UWA audit requirements and Table C 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).

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 be offered for sale:
  - for hard copies, bound;
  - for CD-ROMs, packaged;
  - for e-books, on subscription or fee basis;
- 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; 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 (for example 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 are unlikely to meet the criteria include:

- textbooks (possibly A2);
- anthologies;
- edited books (possibly A3);
- creative works such as novels (possibly J);
- translations (possibly A2.2);
- revisions/new editions (possibly A4);
- privately published books (possibly A5).

Note that many of the books published by professional bodies do not report original research findings but report the results of evaluations, or repackage 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 report research activities are included.
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 J).

**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) following a process of independent peer review. Exclude creative works, textbooks and technical reports.

As a rule, books in this category will gain 10% of the points they would have gained had they met the definitions for A1.1 – A1.4, ie published by a recognised commercial press or publisher.

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 be offered for sale:
  - for hard copies, bound;
  - for CD-ROMs, packaged;
  - for e-books, on subscription or fee basis;
- must have an International Standard Book Number (ISBN);
- must have been published by a commercial publisher, as defined in section 4.8;
- 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 should 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 J2);
- translations;
- 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. Conference papers published in books which meet all criteria for category B1 as well as all criteria for category E1 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)  Note: This category was previously B1.1**

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, following a process of 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 one of the ISI indexes (www.isinet.com/journals) or cited as refereed in Ulrich’s Directory (www.ulrichsweb.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 Nature;
- 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 are unlikely to meet the criteria include:

- 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 research articles, any of the following are acceptable as evidence of peer review:

- the journal is listed in one of the Institute for Scientific Information indexes (www.isinet.com/journals);
- the journal is classified as “refereed” in Ulrich’s International Periodicals Directory (Volume 5 - Refereed Serials) or via Ulrich’s web site www.ulrichsweb.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; or
- the journal is included in the Department’s Register of Refereed Journals (a Register of Refereed Journals was maintained until 2005. This Register is at http://www.innovation.gov.au/ScienceAndResearch/programs_funding/Documents/9541d1201553427bb31085e2b1e6ae87RegisterofRefereedJournals22Nov05.pdf and lists of some journals that satisfy the peer review requirements).

Inclusion on the ISI index, Ulrich’s listing or the Department’s Register 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.

Conference papers published in journals which meet all criteria for category C1 as well as all criteria for category E1 may be counted in either (but NOT both). The verification requirements will be those applicable to the category in which the publication is counted.

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 either in monograph form (for example "annual review of … (immunology, plant physiology etc)") or in a journal controlled by an editorial board, and would probably be about 4,000 words or more in length.

A contribution to a reference work (eg encyclopaedia) may be included here provided it is more than 4,000 words in length.

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 must be made available for international 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 that appear only in a volume handed out to conference participants;
- 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.

Keynote addresses may be included where all other papers for the conference are peer reviewed, and evidence is provided both of the keynote status of the address (eg contents page) and of the other contributions to the conference being peer reviewed (eg a statement in the introduction to proceedings indicating this).
The types of conference publications that are unlikely to meet the criteria include papers that appear only in a volume handed out to conference participants.

See HERDC requirements for peer review in section 4.7.

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

Conference papers published in books which meet all criteria for category B1 as well as all criteria for category E1 may be counted in either (but not both). The verification requirements will be those applicable to the category in which the publication is counted.

Conference papers published in journals which meet all criteria for category C1 as well as all criteria for category E1 may be counted in either (but not both). The verification requirements will be those applicable to the category in which the publication is counted.

E2 Full written paper – non refereed proceedings  (not audited, scores zero points)

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  (not audited, scores zero points)

Part of a conference presentation (e.g., 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 AUDIO-VISUAL RECORDING

Substantial and scholarly work presented in audio-visual form and offered for sale under the imprint of a recognised commercial publisher or distributor. This covers the presentation of research findings and factual information rather than aspects of Creative Works which should be reported under Category J. Works under this Category (F) would include, for example, an ethnographic film; an audio-visual presentation of dynamic research output (for example in fluid mechanics, robotics, visual motion, surgery); and may be produced as a supplement to conference presentation. It would also include guides to collected sound recordings.
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, e.g., user manual and installation guide; and
- includes a version number and release date; and
- has significant national or international impact.

H  REFEREED DESIGN (ARCHITECTURAL, URBAN, LANDSCAPE OR ENGINEERING)

A major design which is the product of research involving creative or scholarly innovation, and which is:

- the recipient of a national or international design award, commendation or prize; or
- exhibited in a recognised public or commercial gallery; 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.

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 OTHER CREATIVE WORKS

J1 Major written or recorded work

A substantial creative or scholarly work (such as a novel, long musical work or play) separately bound and offered for sale under the imprint of a recognised commercial press or publisher, or recorded (on CD, video, etc) for commercial distribution. Musical works in this category would normally have a duration of at least 20 minutes in playing time, and dramatic works a duration of at least one hour.

To be recorded for commercial distribution the recording can be in any media such as CD, video, world wide web etc, but must be commercially distributed by an entity whose core business is producing creative recordings and distributing them for sale. For this purpose university and other self-supporting higher education institution presses are regarded as commercial publishers, provided that they have responsibility for the distribution of the publication and not only its manufacture.

Exhibition catalogues should be entered under J5 (Catalogue). Performances of major written or recorded works may also be collected under J6 (Live Performance of Creative Work). Please do not use J1 for performances of works.

J2 Minor written or recorded work

A relatively brief or small scale creative or scholarly work (such as short story, individual poem or song, or other short musical work) bound separately or as a part of a collection of works and offered for sale under the imprint of a recognised commercial press or publisher, or recorded for commercial distribution. This category includes, for example, single poems published in journals and short musical compositions.

If an author has more than one minor written or recorded work published as separate works in an anthology or compilation, please enter each minor work as a separate work. Performances of minor written or recorded works may also be collected under J6 (Live Performance of Creative Work). Please do not use J2 for performances of works.

J3 Individual exhibition of original art

This refers to a substantial collection of the 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 which are not likely to be eligible as J3s are:

- Inter-arts works (possibly J7);
- Digital creative works (possibly J7);
- Film/video (possibly J7);
- Web-based installations and exhibitions (possibly J7).

J4 Representation of original art

One or more of the artist's own original works exhibited for the first time in a recognised gallery or museum. These works should be individually listed in a published catalogue identifying 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 which are not likely to be eligible as J4s are:

- Inter-arts works (possibly J7);
- Digital creative works (possibly J7);
- Film/video (possibly J7);
- Web-based installations and exhibitions (possibly J7).

J5 Catalogue

A scholarly, analytical and descriptive catalogue or substantial contribution to such a catalogue.

J6 Live Performance of Creative Work

A live performance, or recording of a live performance, of a creative work, publically performed for the first time, where the UWA staff member is the performer/producer. Examples include performances of plays, musical compositions, and dance works. 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.

Examples of Live Performances of Creative Works are: Music; Play; Dance.

A performance of an original work that was created by a UWA staff member may be counted as both the composition (J1 or J2) and as the performance of the work (J6), providing the criteria for both categories are met.
**J7 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 J6 (Live Performance of Creative Work), providing it meets the criteria.

Examples of Recorded/Rendered Creative Works are:

- Film/Video works;
- Performances created specifically for a recorded medium;
- Inter-arts works, incorporating scholarship in other research areas;
- Digital creative works, including Creative 3D models, digital outputs of design and architectural projects and of visual artworks; and,
- Some web-based works and exhibitions (see also J8, Curated Exhibition or Event).

**J8 Curated Exhibition or Event**

A 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. 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 providing 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 recorded gallery, museum, or event; and,
- Festival, where the theme and format are innovative or provides new perspectives and/or experiences.

Catalogues written by curators should be included under J1 (Creative Major Written or Recorded Work) or J2 (Creative Minor Written or Recorded Work) providing that they meet the criteria for inclusion. Artworks or performances in the exhibition or event should be collected under J3 (Creative Individual Exhibition of Original Art), J4 (Creative Representation of Original Art), or J6 (Live Performance of Creative Work), provided that they meet the criteria for inclusion.

**K ENTRY IN ENCYCLOPAEDIA, ETC**

*(Include contribution of 4,000 words or more to a reference work in D, not K1.)*

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

**K2** Other entry in a dictionary, encyclopaedia etc. *(not audited, scores zero points)*
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 (not audited, scores zero points)

Newspaper article, magazine article, international newsletter, report which had restricted access (eg government or commercial agency, etc).
Table A – HERDC Verification Requirements

For all publications, the Higher Education Provider (HEP) must be able to provide the following, if required by DIISR or for a publications audit:

- clarification of the bibliographical information required per publication category, as appropriate;
- evidence indicating the author’s affiliation to the HEP;
- additional material for each of the publications categories as specified below;
- 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 2009).

Books (A1)
- photocopies of contents, preface, introduction;
- photocopies of pages showing all bibliographical information (ISBN, title, author(s), publisher, all dates referring to copyright, publication, printing and distribution).

Book Chapters (B1)
- copy of the chapter;
- photocopies of contents, preface, introduction;
- photocopies 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;
- printout of the book chapter calculations spreadsheet (this is provided centrally, not by schools/centres).

Journal Articles (C1)
- copy or offprint of article;
- proof of peer reviewing as described in section 4.7;
- photocopies 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 an ISI index, or being cited as ‘refereed’ in Ulrich’s Directory is sufficient to demonstrate the existence of the number.

Conference Publications (E1)
- copy or offprint of full paper;
- photocopies of contents, preface, introduction;
- photocopies 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 of national or international significance if not shown in other information already required;
- in the case of a keynote address, evidence of keynote status of the address (eg contents page) together with evidence that the other papers in the conference publication were peer reviewed, as described in section 4.7.
<table>
<thead>
<tr>
<th>Publication classification</th>
<th>Verification requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. BOOKS</strong></td>
<td></td>
</tr>
<tr>
<td>A1 Authored – research</td>
<td>See verification in Table A above.</td>
</tr>
</tbody>
</table>
| A2 Authored – other       | - The bibliographic details as specified on the proforma  
- The table of contents, flyleaf, preface or introduction where relevant to classification |
| A3 Edited                 | - The bibliographic details as specified on the proforma  
- The table of contents, flyleaf, preface or introduction where relevant to classification. |
| A4 Revision/New Edition   | - The bibliographic details as specified on the proforma  
- The table of contents, flyleaf, preface, or introduction giving proof of substantial revisions where relevant to classification |
| **B. BOOK CHAPTERS**     | See verification in Table A above. |
| **C. JOURNAL ARTICLES**  |                           |
| C1 Refereed article in a scholarly journal | See verification in Table A above. |
| C2 Other contribution to a refereed journal | - The bibliographic details as specified on the proforma  
- An offprint or photocopy of the article  
- Proof of journal being refereed |
| C3 Non refereed articles | - The bibliographic details as specified on the proforma  
- An offprint or photocopy of the article  
- Flyleaf with journal publication details  
- Proof of an editorial board |
| C4 Letter or note         | - The bibliographic details as specified on the proforma  
- An offprint or photocopy of the article  
- Flyleaf with journal publication details  
- Proof of an editorial board |
| **D. MAJOR REVIEWS**     |                           |
|                           | - The bibliographic details as specified on the proforma  
- A copy of the published review |
| **E. CONFERENCE PUBLICATIONS** |                           |
| E1 Full written paper – refereed | See verification in Table A above. |
| E2 Full written paper – non refereed | - Audit not required |
| E3 Extract of paper       | - Audit not required |
| E4 Edited volume of conference proceedings | - The bibliographic details as specified on the proforma  
- Proof of editorial responsibility  
- The table of contents, flyleaf, preface or introduction of the proceedings where relevant to classification |
| **F. AUDIO-VISUAL RECORDINGS** | - The recording  
- The bibliographic details as specified on the proforma  
- Proof of commercial publisher or distributor imprint |
<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
</table>
| G. COMPUTER SOFTWARE | • The software  
| | • The bibliographic details as specified on the proforma  
| | • Proof of commercial publisher or distributor imprint  
| H. REFEREED DESIGN | • The refereed design or proof of its existence  
| | • The bibliographic details as specified on the proforma  
| | • Evidence of award or exhibition as applicable  
| I. PATENTS | • The bibliographic details as specified on the proforma  
| | • Proof of the patent being granted  
| J. OTHER CREATIVE WORKS | • The bibliographic details as specified on the proforma  
| | • Proof of availability for sale under the imprint of recognised commercial press or publisher or proof of being recorded for commercial distribution  
| | • A copy of the creative work  
| J1 Major Original Creative Works | • The bibliographic details as specified on the proforma  
| | • Proof of availability for sale under the imprint of recognised commercial press or publisher or proof of being recorded for commercial distribution  
| | • A copy of the creative work  
| J2 Minor Written or Recorded Work | • The bibliographic details as specified on the proforma  
| | • Proof of availability for sale under the imprint of recognised commercial press or publisher or proof of being recorded for commercial distribution  
| | • A copy of the creative work  
| J3 Individual Exhibition of Original Art | • The bibliographic 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  
| J4 Representation of Original Art | • The bibliographic 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  
| J5 Catalogue | • The bibliographic details as specified on the proforma  
| | • A copy of the catalogue  
| J6 Live Performance of Creative Works | • The bibliographic details as specified on the proforma  
| | • A copy of the performance program, review, or supplementary material attesting to the performance’s existence, time and place  
| J7 Recorded/Rendered Creative Works | • The bibliographic details as specified on the proforma  
| | • A copy of the recorded/rendered publication  
| J8 Curated Exhibition or Event | • The bibliographic details as specified on the proforma  
| | • Proof of the date, time, and place of the exhibition or event.  
| K. ENTRY IN ENCYCLOPAEDIA | • A copy of the article  
| K1 Substantial research contribution to dictionary or encyclopaedia | • The bibliographic details as specified on the proforma  
| K2 Other entry in dictionary, encyclopaedia | • Audit not required  
| L. TECHNICAL REPORT | • A copy of the published report  
| | • Bibliographic details of the publication  

Publications Manual, Section C, January 2010
## Table C – HERDC Categories Audit Checklist

### HIGHER EDUCATION RESEARCH DATA COLLECTION

#### PUBLICATIONS CHECK LIST

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<thead>
<tr>
<th>Books (A1)</th>
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<tbody>
<tr>
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</tr>
<tr>
<td>Meets definition of research</td>
<td>□</td>
</tr>
<tr>
<td>Published in 2009 as defined in sections 4.5 and 4.6</td>
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</tr>
<tr>
<td>Author(s) staff or student when research undertaken</td>
<td>□</td>
</tr>
<tr>
<td>Major work of scholarship</td>
<td>□</td>
</tr>
<tr>
<td>Bound or packaged and offered for sale</td>
<td>□</td>
</tr>
<tr>
<td>Has ISBN</td>
<td>□</td>
</tr>
<tr>
<td>Mainly previously unpublished material, making a substantial contribution to knowledge</td>
<td>□</td>
</tr>
<tr>
<td>Commercial publisher as defined in section 4.8</td>
<td>□</td>
</tr>
<tr>
<td>Points claimed apportioned for reporting unit* if jointly authored</td>
<td>□</td>
</tr>
<tr>
<td>* University or area within university as appropriate. If reporting for a school do not claim for authors based in other schools.</td>
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<table>
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<tbody>
<tr>
<td>Photocopies of contents, preface and introduction and pages showing all bibliographic information (ISBN, title, author(s), publisher, all dates referring to copyright, publication, printing, distribution)</td>
<td>□</td>
</tr>
<tr>
<td>(Further evidence may be required if the above extracts do not demonstrate classification.)</td>
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</tr>
<tr>
<td>Evidence indicating research undertaken in author's capacity as a staff member or student of the university</td>
<td>□</td>
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# HERDC Categories Audit Checklist

## BOOK CHAPTERS (B1)

### Eligibility

<table>
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<td>Meet the definition of research</td>
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<tr>
<td>Make a substantial contribution to knowledge</td>
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<tr>
<td>Be bound or packaged and offered for sale</td>
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<tr>
<td>Have an ISBN</td>
<td></td>
</tr>
<tr>
<td>Be published in 2009 as defined in sections 4.5 and 4.6</td>
<td></td>
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<tr>
<td>Be published by a commercial publisher as defined in section 4.7</td>
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<table>
<thead>
<tr>
<th>The chapter must:</th>
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</tr>
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<tbody>
<tr>
<td>Meet definition of research</td>
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</tr>
<tr>
<td>Comprise substantially new material</td>
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<td>Author(s) staff or student when research undertaken</td>
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<tr>
<td>Points claimed from all chapters contributed by author to book apportioned as per calculation spreadsheet</td>
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### Verification

<table>
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<th>Copy of chapter</th>
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</thead>
<tbody>
<tr>
<td>Photocopies 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.</td>
<td></td>
</tr>
<tr>
<td>Evidence indicating research undertaken in author's capacity as a staff member or student of the university</td>
<td></td>
</tr>
<tr>
<td>Printout of calculation spreadsheet <em>(this is provided centrally, not by schools)</em></td>
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## JOURNAL ARTICLE (C1)

### Eligibility

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<td>Meets definition of research</td>
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<tr>
<td>Published in scholarly journal</td>
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</tr>
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<td>Has ISSN</td>
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<tr>
<td>Published in 2009 as defined in sections 4.5 and 4.6</td>
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</tr>
<tr>
<td>Peer reviewed as per section 4.7</td>
<td></td>
</tr>
<tr>
<td>Author(s) staff or student when research undertaken</td>
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</tr>
<tr>
<td>Points claimed apportioned for reporting unit* if jointly authored</td>
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</tr>
<tr>
<td>→ University or area within university as appropriate. If reporting for a school do not claim for authors based in other schools.</td>
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### Verification

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<tbody>
<tr>
<td>Copy or offprint of article/contribution</td>
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<tr>
<td>Photocopies of pages showing all bibliographic information (journal title, dates where not provided in copy or offprint)</td>
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<tr>
<td>Byline or footnote or statement in publication indicating research undertaken in author's capacity as a staff member or student of the university</td>
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<td>Peer reviewed as per section 4.7</td>
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<td>Proof of invited status (if applicable)</td>
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# HERDC Categories Audit Checklist

## CONFERENCE PUBLICATION (E1)

### Eligibility

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<tr>
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<tr>
<td>Full written version of conference paper (not abstract or extended abstract)</td>
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<tr>
<td>Published (volume of proceedings, book, journal, monograph, CD Rom, organisational web site)</td>
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<tr>
<td>Conference of international or national significance</td>
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<td>Published in 2009 as defined in sections 4.5 and 4.6</td>
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<tr>
<td>Author(s) staff or student when research undertaken</td>
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<tr>
<td>Points claimed apportioned for reporting unit* if jointly authored</td>
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* University or area within university as appropriate. If reporting for a school do not claim for authors based in other schools.

### Verification

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<td>Proof of national or international significance if not clearly shown in documents above</td>
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<th>HERDC Weighting</th>
<th>UWA Weighting</th>
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<td>C4*</td>
<td>Letter or Note in Journal</td>
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<td>D</td>
<td>Major Review ≥4000 words</td>
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<td>Audio-Visual Recording</td>
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<td>Computer Software</td>
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<td>Major Written or Recorded Work</td>
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<td>J3</td>
<td>Individual Exhibition – Original Art</td>
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<td>J4</td>
<td>Representation – Original Art</td>
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<td>-</td>
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<td>Catalogue</td>
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<td>-</td>
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<tr>
<td>J6</td>
<td>Live Performance of Creative Work</td>
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<td>-</td>
<td>on merit</td>
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<tr>
<td>J7</td>
<td>Recorded/Rendered Creative Works</td>
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<td>-</td>
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<td>K1</td>
<td>Encyclopaedia Entry – Substantial</td>
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<td>on merit</td>
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<td><strong>Publications not to be audited:</strong></td>
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*the depth of audit will be left to the discretion of members of the Publications Audit Subcommittee*
Section D

SAMPLE ENTRY FORMS
FOR THE UWA
RESEARCH PUBLICATIONS DATABASE
A BOOK

Fields which are underlined 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.

Publication Category

Author(s)

School Author(s)

Non-school Author(s)

Any International Co-authors?

Year of Publication

Book Title

Series Editor

Series Title

Place of Publication

Publisher

Volume

Number of Volumes in series

Page Nos

Edition

Translator

ISBN

Your School

Primary FoR

Second FoR

Third FoR

Strategic Research Area

Comment
B CHAPTER

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

Fields which are underlined 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.

Publication Category

Author(s) of Chapter

School Author(s)

Non-school Author(s)

Any International Co-authors?

Year of Publication

Chapter Title

Editor of Book

Book Title

Place of Publication

Publisher

Volume

No. of Chapters in Book

Page Nos

Series Editor

Series Title

Edition

Translator

ISBN

Your School

Primary FoR

Second FoR

Third FoR

Strategic Research Area

Comment
C JOURNAL ARTICLE
(Please note whether published in refereed journals or in conference proceedings, abstracts should be included under E.3.)

Fields which are underlined 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.

Publication Category

Author(s)

School Author(s)

Non-school Author(s)

Any International Co-authors?

Year of Publication

Article Title

Journal Name

Place of Publication (website URL for electronic articles)

Publisher

Volume

Issue

Page Nos (type N/A if electronic publication)

Journal ISSN

Proof of Refereeing

Your School

Primary FoR

Second FoR

Third FoR

Strategic Research Area

Comment
D MAJOR REVIEW

Fields which are underlined 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.

Publication Category

Author(s)

School Author(s)

Non-school Author(s)

Any International Co-authors?

Year of Publication

Title of Review

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

Place of Publication

Publisher

Volume

Issue

Page Nos

Title of Book/Journal

Your School

Primary FOR

Second FOR

Third FOR

Strategic Research Area

Comment
E  CONFERENCE PUBLICATION

Fields which are underlined 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.

Publication Category

Author(s)

   School Author(s)

   Non-school Author(s)

Any International Co-authors?

Year of Publication

Title of Paper

Editor of Conference Publication

Conference Name

Place of Publication

Publisher

Volume

Page Nos

Title of Conference Publication

Location of Conference

Date of Conference

ISBN or ISSN

Your School

Primary FoR

Second FoR

Third FoR

Strategic Research Area

Comment
F  AUDIO-VISUAL RECORDING

Fields which are underlined 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.

Publication Category

Author(s)

School Author(s)

Non-school Author(s)

Any International Co-authors?

Year of Publication

Title of Recording

Place of Publication/Production

Publisher

Duration (Minutes)

Type of Work

Your School

Primary FoR

Second FoR

Third FoR

Strategic Research Area

Comment
G  COMPUTER SOFTWARE

<table>
<thead>
<tr>
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<td>Non-school Author(s)</td>
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**Any International Co-authors?**

**Year of Publication**

**Name of Software**

**Place of Publication**

**Publisher**

**Version**

**Computer/Language**

**Your School**

**Primary FoR**

**Second FoR**

**Third FoR**

**Strategic Research Area**

**Comment**
H  REFEREED DESIGN
(ARCHITECTURAL, URBAN, LANDSCAPE OR ENGINEERING)

Fields which are underlined 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.

Publication Category

Author(s)

School Author(s)

Non-school Author(s)

Any International Co-authors?

Year of Publication/Production

Title of Work

Place of Publication/Production

Publisher/Distributor

Page Nos

Type of Work

Your School

Primary FoR

Second FoR

Third FoR

Strategic Research Area

Comment

FOR DESIGN AWARDS:

Name of Award

Date of Presentation of the Award

Organisation Conferring the Award

FOR EXHIBITIONS:

Date of Exhibition

Place of Exhibition
Fields which are underlined 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.

Publication Category

Inventor(s)

School Inventor(s)

Non-school Inventor(s)

Any International Co-inventors?

Year Granted

Title of Patent

Patent Owned By

Country(ies) in which Patented

Patent Number

Your School

Primary FoR

Second FoR

Third FoR

Strategic Research Area

Comment
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Publication Category

Author(s)

   School Author(s)

   Non-school Author(s)

Any International Co-authors?

Year of Publication/Production

Title of Work

Place of Publication

Publisher

Extent (eg page nos, duration)

Edition

Broad Type of Work

Type of Work

Date of Recording

Date Work First Performed

Distribution Medium

Name of Commercial Distributor

Your School

Primary FoR

Second FoR

Third FoR

Strategic Research Area

Comment
| J3/4  CREATIVE EXHIBITION/REPRESENTATION OF ORIGINAL ART |

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**Publication Category**

**Author(s)**

- School Author(s)
- Non-school Author(s)

**Any International Co-authors?**

**Year of Publication/Exhibition**

**Title of Work**

**Place of Exhibition of Art Works**

**Date of Exhibition of Art Works**

**Type of Work**

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

**Publisher of Catalogue**

**Your School**

**Primary FoR**

**Second FoR**

**Third FoR**

**Strategic Research Area**

**Comment**
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Publication Category

Author(s)

School Author(s)

Non-school Author(s)

Any International Co-authors?

Year of Publication/Production

Title of Work

Place of Publication

Publisher

Page Nos

Edition

Type of Work

Your School

Primary FoR

Second FoR

Third FoR

Strategic Research Area

Comment
J6 LIVE PERFORMANCE OF CREATIVE WORK

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Publication Category

Author(s)

School Author(s)

Non-school Author(s)

Any International Co-authors?

Year of Publication/Production

Title of Work

Place of Performance

Performing Group Name

Role of Author(s)

Extent (eg duration)

Type of Work

Date of Recording

Date Work First Performed

Distribution Medium

Name of Commercial Distributor

Your School

Primary FoR

Second FoR

Third FoR

Strategic Research Area

Comment
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Publication Category

Author(s) of Recording

School Author(s)

Non-school Author(s)

Any International Co-authors?

Year of Publication/Production

Title of Work

Place of Publication

Role of Author(s)

Extent (eg page nos, duration)

Type of Work

Date of Recording

Date Work First Performed

Distribution Medium

Name of Commercial Distributor

Your School

Primary FoR

Second FoR

Third FoR

Strategic Research Area

Comment
J8 CURATED EXHIBITION OR EVENT

Fields which are underlined 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.

Publication Category

Curator(s)

School Curator(s)

Non-school Curator(s)

Any International Co-authors?

Year of Publication/Production

Title of Work

Place of Publication

Publisher

Extent (eg page nos, duration)

Edition

Type of Work

Date of Recording

Date Work First Performed

Distribution Medium

Name of Commercial Distributor

Your School

Primary FoR

Second FoR

Third FoR

Strategic Research Area

Comment
K ENTRY IN ENCYCLOPAEDIA, ETC

(Please note to include a contribution of 4,000 words or more to a reference work in category D - Major Review, not in K1.)

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Publication Category

Author(s)

School Author(s)

Non-school Author(s)

Any International Co-authors?

Year of Publication

Title of Entry

Editor

Title of Dictionary etc

Place of Publication

Publisher

Volume

Number of volumes

Page Nos

Type of Work

Your School

Primary FOR

Second FOR

Third FOR

Strategic Research Area

Comment
I. TECHNICAL REPORT

Fields which are underlined 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.

Publication Category

Author(s)

   School Author(s)

   Non-school Author(s)

Any International Co-authors?

Year of Publication

Title of Work

Place of Publication

Publisher

Report Number

Page Nos

Funded By

Type of Work

Your School

Primary FOR

Second FOR

Third FOR

Strategic Research Area

Comment
### M OTHER PUBLIC OUTPUT

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