UWA Publications Manual

for the collection of

2015 Research Publications

and

2010-2014 Late and Non-UWA Affiliated Research Publications by current UWA staff

Issued March 2016
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Section A

Overview of Publications Collection process

and

Instructions for using Minerva
for data entry
1. INTRODUCTION

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

- for submission to the ARC as a major part of the research quality assurance system, Excellence in Research for Australia (ERA);
- displaying Finalised publications information on Socrates and contributing to Socratic Index;
- for a variety of statistical purposes.

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

1.1 The Process

The publications data collection will be completed on Minerva.

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

- The Publications Collection is announced. The University Library updates the manual and help documents. This manual refers to the 2016 collection of 2015 publications, and the collection of late and non-UWA affiliated publications from 2010-2014.

- Heads of Schools and Directors of Centres must nominate an Academic Publications Contact (APC) and an administrative School Publications Contact (SPC). The APC is responsible for coordinating the collection on the school's behalf, including advising staff and students on the correct classification of publications and ensuring timeliness, consistency and completeness. The SPC is responsible for the data entry in each area, and must consequently be familiar with Minerva and the publication definitions and requirements outlined in this manual.

- APCs and SPCs may request individual training assistance from the Library. Other data entry users for the school may be granted access to Minerva at the request of the SPC or APC. The primary APC and SPC contacts remain responsible for the accuracy and completeness of the data entry for their school, regardless of the number of other data entry users also entering publications data.

- Minerva performs weekly bulk publications imports of journal articles and conference papers from Elsevier Scopus. Only publications with a UWA byline and publication year of 2015 are imported. The Library checks the imported publications and may contact SPCs for further information or clarification.

- APCs and SPCs call for and gather information about the publications authored by UWA staff, students, and affiliates since the last publications collection from the staff, students, and affiliates. APCs and SPCs should also gather information about UWA-affiliated publications published 2010-2014 that missed previous collections (ie Late publications), and information about non-UWA-affiliated publications (ie publications by UWA staff where the work was completed at another institution).

  SPCs enter all remaining publications data directly into Minerva. **SPCs are not required to enter publications that have already been imported via the bulk**
importer. However, they should check bulk imported publications for author affiliation information. There is an import feature that can be used to extract individual publications data directly from the online database Elsevier Scopus for specific non-UWA byline publications. SPCs are responsible for all works published by authors in their own school or centre. See section 2 for information about entering data on Minerva.

- SPCs and APCs contact the Library via pubqueries-research@uwa.edu.au or via the yellow envelope icon (✉️) on Minerva for help with using Minerva and for help with interpreting the Collection requirements.

- For manually entered/imported publications (those not imported via the bulk importer) SPCs and APCs are responsible for checking the publications data, supplying supporting documentation that demonstrate that the publication meets the publication category criteria, and ensuring that all UWA authors are correctly identified.

- For publications entered into Minerva via the bulk importer, schools may be contacted by the Library for further information, for example proof of peer review. Schools are also responsible for ensuring that all UWA affiliated authors are correctly identified on the bulk imported publications. The Library will not be able to identify non-UWA byline authors that can provide affiliation letters, and so will require help from schools to identify these authors.

- Each publication should be entered into Minerva only once. Where a publication is authored by UWA staff, students, or affiliates from more than one school or centre, the SPCs must ensure that all UWA authors are correctly identified on the publication entry, not just the authors from their own school or centre. SPCs may need to liaise with each other to achieve this end.

- Each publication must only be claimed once. For example, a paper presented at a conference may be published in a conference proceedings publication and then subsequently as a journal article. Either the conference paper or the journal article may be claimed, but not both. If the conference paper is claimed as an E1, then the journal article is not eligible to be claimed also as a C1, unless it has been significantly revised and contains substantial original, previously unpublished, research.

- SPCs must ensure that all UWA authors are identified correctly on each publication entry. SPCs must ensure that they fully understand how author affiliation is handled by Minerva, and the implications for ERA, and University reporting. See sections 2.5.2 and 4.3 in this manual and the Authors section in the online Minerva Help for full explanations.

- SPCs upload all required supporting documentation to the publications they have entered via the FILES upload interface. Specific audit requirements for each publication category are outlined in Section C of this manual. Refer queries about record keeping requirements to Information Governance Services. For publications entered into the UWA Publications Database (up to 2010), please keep the supporting documentation in an accessible location for 7 years for ERA purposes.

- Schools must be able to demonstrate that C1 and E1 publications have been refereed. Verification requirements are set out in Section C of these guidelines.

- The Head of School retains responsibility for certifying that the school’s final submission is correct. The Head must only allow publications to be included in
the final submission if the classification can be substantiated by the evidence accompanying it. The verification requirements for each category are stated in Tables A and B of Section C of these guidelines. Table C of Section C shows the weightings for each publication category.

- Once the publication entries meet Minerva’s verification requirements, and all data is as complete and accurate as possible, and all required audit materials have been uploaded, SPCs Submit the publication entries for audit. Click the Submit to Research Assessment Unit button to Submit the publication entry.

- The Library coordinates the audit of the submitted publications. SPCs may be contacted for further information (for example, missing bibliographic data or verification materials) during this time. The audit will take place online. Auditors will review the bibliographic information and supporting documentation directly on Minerva. Schools may be contacted for further information during this time.

- The Library makes any changes to publications requested by the auditors (for example, category changes, author details changes), and then Finalises all publications. Publications may have their category changed as a result of the audit process, for example an A1.1 to A2 if found to be a textbook rather than a research book during audit.

- The data will then be used for the purposes described in the introduction. Finalised publication entries are visible in Minerva and Socrates.

1.2 Matters to Note in Particular

1.2.1 Collection process details

- Publications data is collected via Minerva. See section 2 for information about entering data on Minerva.

- As in previous collections, Heads of Schools are responsible for ensuring the completeness and accuracy of submitted publications data.

- Minerva will perform bulk imports of journal article and conference paper data from Elsevier Scopus. It is anticipated that the majority of C1 journal articles and E1 conference papers will be imported via this method. Schools are not required to manually enter C1s and E1s that have been bulk imported. Schools are required to enter C1s and E1s that have not been bulk imported (ie those not available on Scopus, C1s and E1s by UWA staff/students without UWA bylines, Late C1s and E1s). Schools are required to enter A1, B1 and F category publications.

- All manually entered data must be entered and all audit materials must be uploaded by 1st April 2016. No extensions will be granted.

- The collection of 2015 UWA publication details is aimed at collecting the same data in 2016 as in all past years. That is, details of 2015 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 Finalised.

- Any missing Late 2010-2014 UWA publications (ie publications with a UWA byline) should be entered now. They will automatically be tagged by the system as Late publications when you change the Publication Year to a value 2010-
2014, and will be audited along with the 2015 UWA publications. Please familiarise yourself with the method for entering author details to ensure that author details are captured accurately.

- Any 2010-2015 non-UWA publications by current UWA staff (publications without a UWA byline where the author completed the research that led to the publication at another institution) which are missing from Minerva should be entered now. Please familiarise yourself with the new method for entering author details to ensure that author details are captured accurately.

### 1.2.2 Entering publications and authors

- Collaborative publications, ie those with authors from more than one school or centre, must be entered in Minerva only once. All schools with authors on the publication are responsible for ensuring that the publication details are correct and that the authors are correctly identified. You may need to liaise with the publication contacts for the other school or centre to ensure completeness and accuracy.

- Where a staff member or student is employed or enrolled in more than one school or centre, the publication must be entered once only. You may need to liaise with the publication contacts for the other school or centre to ensure completeness and accuracy.

- Please ensure that you correctly identify the author affiliations at the time of publication. Incorrect author affiliation information may result in UWA being penalised for submitting incorrect publications information to the government.

- It is vital that for all UWA-affiliated publications the University byline identifies this University. Where a publication does not contain a byline identifying UWA, or where UWA affiliation is not clearly identified in the publication, the author must be listed in a staff or student list from the University’s central official databases and must provide a statement that the research leading to the publication was undertaken in their capacity as a UWA employee or student (see section 4.3 below for details). A brief explanatory note may be added to the Comment section to facilitate the audit process.

- Do not enter a new publication entry for your school if the publication has already been entered or imported. All authors (UWA affiliated and non-UWA affiliated authors) should be identified on the same entry, regardless of which school they belong to. See section 2.10 for information about updating existing entries.

- Affiliation Letters must only be provided for authors who did the work in their capacity as UWA staff members or students, who held an appointment at UWA or were enrolled at UWA, and who do not have a UWA byline on the publication.

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

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

1.2.3 Audit materials

- All required audit materials must be uploaded to the publication entry by 1 April 2016. No extensions will be granted.

- The audit materials will be used by the Audit Subcommittees to assess the publication against the publication category. Please ensure that you include enough information in the uploaded audit materials to allow the auditors to make a reasonable judgement. Incomplete or unreadable audit material documents will not be accepted.

- For audit purposes, we require that a hard copy of publications claimed as A1 research books be provided by the School. Please ensure that you are able to provide a hard copy of the book as soon after the data entry deadline as possible. The hard copies will be returned to the schools after the publications collection is complete.

- For publications in languages other than English, schools must provide enough material translated into English to allow for the publication to be audited against the publication category requirements. Please ensure that you upload the audit materials in English to the publication entry before the 1 April 2016. This is a government requirement.

1.2.4 Publication categories

- All audit category publications must be substantially original and previously unpublished. This includes creative works.

- All of the requirements for the publication category must be met for a publication to be included in that category. For example, a journal article must meet all of the requirements for the C1 category to be included as a C1 – simply being peer reviewed is not enough.

- Theses may only be included if they are published under one of the specific publication categories (eg, as a book, a book chapter, or a journal article). Submission of a thesis to the University for completion of a degree and its lodgement in the University Library or in a digital repository does not count as a research publication for these purposes.

1.2.5 Responsible practice of research

- For articles that list consortia or research groups as authors, the UWA authors must be listed as part of the ‘writing group’ or equivalent. If they are not listed as part of the writing group but they did participate in the writing/revising and the final approval of the version of the article to be published, they must provide a signed Authorship Statement. The template for the Authorship Statement is available upon request from pubqueries-research@uwa.edu.au. See Section D of this manual for an extract of UWA’s Code of conduct for the responsible practice of research relating to the definition of authorship.
1.2.6 Getting help

- Find help and further information in the following places:
  - The *UWA Publications Manual* (this document)
  - Help screens on Minerva. You can help via the Help menu item and via the question mark icons
  - Contact the Library by email (pubqueries-research@uwa.edu.au) or via the yellow envelope icon on Minerva.

2. Data Entry Using Minerva

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

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

2.1 Introduction to Minerva

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

Minerva uses data from:

- UWA Publications Database (publications data up to 2010)
- Alesco (Human Resources Database)
- Callista (Student Information Management System) and can integrate data from:
  - Elsevier’s SciVerse Scopus

Queries can be sent directly to the Library by clicking on the yellow envelope icon (✉️) that appears in the top left hand corner of the screen throughout Minerva, or by sending an email to pubqueries-research@uwa.edu.au.
2.2 Accessing Minerva

2.2.1 Browser Requirements

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

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

There are more resources and links available at the Library Research Publications webpage:  http://www.library.uwa.edu.au/research/publications

2.3 Initial Access

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

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

2.3 Anatomy of Minerva

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

2.3.1 Log in screen

A Link to http://www.uwa.edu.au/

B Enter your staff number and Pheme password and click Login to access Minerva.

C Access a help screen with information about Minerva, logging in to Minerva, and the different access types.
2.3.2 Publications (the publications search screen)

- **Menu**: click on the menu items to go to other screens on Minerva.
- **Help menu item**: use the Help menu item to navigate through the online Minerva help screens.
- **Question mark icon**: this will bring up help related to the current Minerva screen.
- **Yellow email icon**: You can use this to send an email directly to the Library with Minerva and publications related queries.
- **Your access type**: If you have been granted SPC access, Minerva will default to the SPC access level and display “School Publications Contact” in the drop down menu. You can use the drop down menu to move between your access types (for example if you are both an APC and an Auditor).
- **Scope and Faculty**: You can filter your search results by School (based on where the authors are employed) or FoR.
- **Audit Org Unit**: Use the Faculty drop down menus to search by “Audit org unit”. The Audit org unit is based on the first school that edited the publication entry. It does not necessarily reflect the authors’ schools.
- **Search and filter options**: Use the search and filter options to search for publications in various ways.
- **Only show pubs I’ve edited checkbox**: select this to restrict your search results to publications that you have edited. This is useful as you may be dealing with publications in other schools.
- **More fields option**: click **More fields** to display the full set of search options.
- **Export**: click the export icon to export the search results to Excel.
- **Click **Edit** to go to the Publication Details entry form for that publication entry.
- **Click **Add Publication** to start adding new publications.
- **Comment Filter**: Click the “Comment Filter” checkbox to limit the search results depending on whether they have Comments, and by the user that made the Comments.
- **Audited or Unaudited tag**: a red tag next to the publication’s details means that the publication has not been audited. A green tag next to the publication’s details means that the publication has been audited.
### Staff List

<table>
<thead>
<tr>
<th>UWA ID</th>
<th>Org Unit</th>
<th>Title</th>
<th>Name</th>
<th>First Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>D0000323</td>
<td>PSYCH</td>
<td>Prof</td>
<td>Hammond</td>
<td>Geoff</td>
<td>Winthrop Professor</td>
</tr>
<tr>
<td>D0000590</td>
<td>HUM</td>
<td>Prof</td>
<td>Melville-Jones</td>
<td>John</td>
<td>Winthrop Professor</td>
</tr>
<tr>
<td>D0001747</td>
<td>MATHS</td>
<td>Dr</td>
<td>Fowles</td>
<td>Neville</td>
<td>Senior Lecturer</td>
</tr>
<tr>
<td>D0001752</td>
<td>Centre for Water Research</td>
<td>Prof</td>
<td>Imberger</td>
<td>Jang</td>
<td>Professor</td>
</tr>
<tr>
<td>D0001789</td>
<td>PHYSICS</td>
<td>Prof</td>
<td>Blair</td>
<td>David</td>
<td>Winthrop Professor</td>
</tr>
<tr>
<td>D0002054</td>
<td>Pathology &amp; Lab Medicine</td>
<td>Prof</td>
<td>Harvey</td>
<td>Jennet</td>
<td>Winthrop Professor</td>
</tr>
<tr>
<td>D0002550</td>
<td>MUSIC</td>
<td>A/Prof</td>
<td>Symons</td>
<td>David</td>
<td>Associate Professor</td>
</tr>
</tbody>
</table>

**S** Only Show Current: toggle between displaying only currently employed and enrolled staff and students, or current and non-current staff and students.

**T** Filter by organisational unit or show all staff and students.

**U** Select the type of UWA staff or student you want to search for.

**V** Use the page number links to navigate through the search results.
2.3.4 Publication Details (the publication entry form)

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

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

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

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

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

BB Authors: all authors listed on a publication must be added to and correctly identified in the Authors section. See section 2.5.2 for information about how to use the Authors section.
### Bibliographic data
The data fields for the publication category will display in this section. Required fields are dark blue with red asterisks. Optional fields are light blue. Data must be entered in required fields, and data should be entered if it exists in optional fields.

### Select Journal
Click on Select Journal to search for the journal on the Minerva Journal List. Alternatively, you can start entering the journal title in the text box and select from the auto-suggestion list. See section 2.5.5 for more information about how to use this feature.

### Points
The points for the publication will be displayed in this section.

### Fields of Research
Use this section to select the appropriate FoRs and percentages for the publication. See section 2.5.16 for information about how to use this feature.

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

2.3.5 The Importer feature

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

HH Use the tick box to search only for publications with UWA bylines or for all publications.
II If you know the Scopus electronic ID, you can use it to search for the publication.
JJ Click “Show search fields” to display more search fields.
KK Search by:
  • Title: use a keyword or phrase from the title. Try to avoid using the full title or sections of the title that may be punctuated or spelled differently.
  • Journal: search by journal title only if you know how Scopus or Web of Knowledge hold the journal title. For example, you may not get any results if you search for “journal of resource economics” if the database holds the journal as “Resource Economics, Journal of”.
  • Year: enter a publication year. It is recommended that you use a Year to limit your search if you are otherwise searching only by author name.
  • Authors: you can search by surname, or by surname and first initial. Add the name information into the text boxes, and then click the green icon (KK) to add the author to the search criteria.
LL  Add author button: if you want to search by author name, enter the name information into the text boxes, and then click the green icon. This will add the author information to the “Authors” search field. You can search by multiple author names in this way.

MM  Import Search button: click the button to start the search. Searches may take a few minutes to complete.

NN  Search results display in the results table underneath the Import feature. Sort the results by clicking on the column headings. Click on Data or ID to import the publication details or just the electronic ID.

OO  Minerva checks its database to see if the publication is likely to have already been inputted. If it thinks that the publication already exists in Minerva, it displays the green arrow icon. Click on the icon to go to the publication entry to check if the publication has already been entered.

2.4  Add Publication and Duplicate Title Search

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

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

- **Title**: This is a required field. Enter a keyword or phrase. It is recommended that you put only part of the title in this field, to improve the chance of a match. Use a short chunk of the title, avoiding punctuation and words that could have alternative spellings.

- **Author**: search by one author’s last name. This is an optional field.

- **Year**: You can select a year focus your search. Use the CTRL key to select multiple years, for example one year either side of the publication year.

- **Publication**: This search field can be left blank. If you would like to search using Publication Title, enter the journal title or book title here.

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

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

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

If the publication is not on the list of **Existing Matches** and you are sure that it has not been previously entered, follow the **create a new publication entry** link to create a new entry.
2.5 Manual Data Entry

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

2.5.1 Publication Category

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

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

SPCs will be able to select from all publication categories. Individual users will be able to select from the non-audit categories only.

2.5.2 How to Enter Authors

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

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

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

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

- **UWA ID** is the author’s staff or student number, and is used to identify UWA staff and students on the publication entry. If the author has or had a staff or student number, enter it here. If they are wholly external to UWA and do not have a staff or student number, leave this blank.

- **Name** and **Initials** as they appear on the publication.

- **UWA Affiliation (at time of publication)**, identifies whether the author had a UWA affiliation at the time of the publication. If they were not affiliated with UWA at the time of the publication (no UWA byline and do not meet the requirements for an affiliation letter) but are now UWA staff, choose “No UWA Byline, is not UWA affiliated at time of publication”.

- **Author Type (at time of publication)** – choose the type of author they were at the time of publication, not necessarily as they are now. For example, if they were a PhD student when the article was published but are now a staff member, choose “STUDENT-POSTGRAD”. If they were not UWA-affiliated at the time of publication but are now UWA staff, leave Author Type blank because they did not have a UWA Author Type at the time of publication.

- **(>Add button** – click the Add button to add the author information to the Authors section. If you do not click the Add button, the author information will not be added to the publication entry.

### ADDING AUTHORS

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

**By UWA ID:**

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

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

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

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

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

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

EDITING AUTHOR DETAILS

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

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

Click on the green up or down arrow to move the author up or down the list.

Enter the authors on Minerva in the same order that they appear on the publication.

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

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

These authors:

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

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

### Authors

This publication has international authors

<table>
<thead>
<tr>
<th>UWA ID</th>
<th>Name</th>
<th>Initials</th>
<th>UWA Affiliation (at time of publication)</th>
<th>Author Type (at time of publication)</th>
</tr>
</thead>
<tbody>
<tr>
<td>10056349</td>
<td>Przywolnik</td>
<td>E.A.</td>
<td>UWA Byline</td>
<td>STAFF-Payroll</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>UWA Byline</td>
<td>STAFF-Honorary/Adjunct</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>UWA Byline</td>
<td>STUDENT-Undergraduate</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>UWA Byline</td>
<td>STUDENT-Postgraduate</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>UWA Byline</td>
<td>OTHER-UWA Byline</td>
</tr>
</tbody>
</table>

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

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

These authors:

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

To add an author in this category:

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

### Authors

This publication has international authors

<table>
<thead>
<tr>
<th>UWA ID</th>
<th>Name</th>
<th>Initials</th>
<th>UWA Affiliation (at time of publication)</th>
<th>Author Type (at time of publication)</th>
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<td>UWA Byline</td>
<td>STAFF-Payroll</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>UWA Byline</td>
<td>STAFF-Honorary/Adjunct</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>UWA Byline</td>
<td>STUDENT-Undergraduate</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>UWA Byline</td>
<td>STUDENT-Postgraduate</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>UWA Byline</td>
<td>OTHER-UWA Byline</td>
</tr>
</tbody>
</table>

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

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

These authors:

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

To add an author in this category:

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

### Authors

<table>
<thead>
<tr>
<th>UWA ID</th>
<th>Name</th>
<th>Initials</th>
<th>UWA Affiliation (at time of publication)</th>
<th>Author Type (at time of publication)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0005549</td>
<td>Przywolnik</td>
<td>E.A.</td>
<td>UWA Byline</td>
<td>STAFF-PAYROLL</td>
</tr>
<tr>
<td>0005549</td>
<td>Surname</td>
<td>F.I.</td>
<td>UWA Byline</td>
<td>OTHER-UWA BYLINE</td>
</tr>
<tr>
<td>0000002</td>
<td>Ermann</td>
<td>F.A.</td>
<td>UWA Byline</td>
<td>C</td>
</tr>
<tr>
<td>0000002</td>
<td>Ermann</td>
<td>F.A.</td>
<td>UWA Byline</td>
<td>C</td>
</tr>
<tr>
<td>0000002</td>
<td>Ermann</td>
<td>F.A.</td>
<td>UWA Byline</td>
<td>C</td>
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<tr>
<td>0000002</td>
<td>Ermann</td>
<td>F.A.</td>
<td>UWA Byline</td>
<td>C</td>
</tr>
</tbody>
</table>

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

(Largely corresponds to the old external authors.)

These authors:

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

To add an author in this category:

- Leave **UWAID** blank (if they have a UWAID, they should be added as a UWA staff member or student. See sections 2.5.2.2 and 2.5.2.4)
- Enter their **Name** and **Initials**
- Choose “No UWA Byline, is not UWA affiliated at time of publication” for **UWA Affiliation**
- Leave **Author Type** blank
- Click **Add**
You do not have to set **UWA Affiliation** to this value for external authors if the publication has been imported, only when manually entering the author details.

### 2.5.2.6 Generating Affiliation Letters

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

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

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

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

### 2.5.2.7 Adding Late or New UWA Authors

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

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

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

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

A title, particularly in some international or scientific publications, may include special characters, such as subscripts (eg H$_2$SO$_4$), characters outside of the Roman set (eg é or ß), or various other less usual characters. You can enter these special characters by going to an online Unicode map and copying and pasting the characters. Some examples are:

http://www.unicodemap.org/
http://www.atm.ox.ac.uk/user/iwi/charmap.html

2.5.4 Year

The Publication Year will default to 2015. You can change the Publication Year by entering a new value in the text box.

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

To enter a Late publication, change the Year to a value 2010-2014. Minerva will recognise the publication entry as a Late publication.

Collection Year and FFM Submission Year are automatically filled and used for Library purposes only.

2.5.5 Journal Details

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

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

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

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

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

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

2.5.7 Editors

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

2.5.8 Place of Publication

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

2.5.9 Number of Chapters in Book

Enter the total number of chapters contained in the book.

2.5.10 Page Numbers/Extent

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

Please ensure that page numbers are shown in the form 257-271 and not 257-71. If the article does not have page numbers, show the total number of pages, for example 1-15. If the publication has an article number instead of pagination, it can be entered in the page number field.

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

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

2.5.11 Type of Work

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

2.5.12 Editor of Conference Publication

Enter the name(s) of the editor(s) of the conference publication, not the conference convenors (although they may be the same people). Some conference publications
only list the organisation as the Editor. In these cases, use the organisation name.

2.5.13 Conference Name

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

2.5.14 Conference Publication Title

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

2.5.15 Conference Location

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

2.5.16 Field of Research (FoR) codes

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

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

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

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

2.5.17 Digital Object Identifier (DOI)

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

For example:

10.1000/182

2.5.18 Scopus and Thomson IDs

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

Using the Import function, you can search and import records from Scopus. Scopus only collects specific publication types, so this function will only work for journal articles and some conference publications, and only in particular research areas.

2.6.1 Search for Publication

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

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

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

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

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

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

2.6.2 Import Publication

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

If you are sure that the publication has not been previously entered, click on the **Data** link for that publication. Click **OK** to confirm the import, or **Cancel** to go back. When you confirm the import, Minerva will extract as much information as we have access to from Scopus and put it into the entry form. Minerva will also attempt to automatically match the authors with a UWA byline on the publication to UWA staff and HDR students.

Note for advanced users: clicking the **ID** link will only inject the external database’s unique publication ID into the Minerva publication entry form.

2.6.3 Checking the Imported Data

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

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

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

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

It is also important to note that the publication types used by Scopus are not exactly the same as the UWA publication categories. Please ensure that the publications that you import do in fact meet the publication criteria as set out in this manual. Please ensure that you change the publication category to the correct category after checking that the publication meets the criteria for that category.

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

2.6.4 Adding Missing Data

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

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

2.7 Comments

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

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

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

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

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

2.8 Saving the Data

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

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

2.9 Checking the Publication Entry

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

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

2.10 Searching for and Editing an Existing Entry

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

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

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

2.11 Document Upload

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

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

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

- **Full publication/output**: a complete copy of the publication or output, for example a PDF of the journal article. (Not required where record has been imported from Scopus)
- **Extract of publication/output**: for A1s and Creative Works where uploading the complete publication or output would be impracticable. See **Table A** for the
requirements for the extract of the publication or output.

- **Verification materials**: all the verification materials required for the publication category, for example proof of peer review.
- **Author Affiliation document**: the signed affiliation letters for each author who requires one.
- **Other**: any other materials that do not fit under the first four types.

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

Minerva will not allow you to Submit the publication entry until you have uploaded a full copy or extract of the publication, the verification materials, and all Affiliation Letters that are required. **Please ensure that you have uploaded all of the audit materials by the data entry deadline, 1 April 2016.**

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

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

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

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

### 2.12 Submitting a Publication Entry

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

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

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

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

When you have submitted all your school’s entries, please email the Library (pubqueries-research@uwa.edu.au) to let us know. We can then start the next stage of processing the
Before the data entry deadline, if you find that you need to do further work on a publication entry that has been Submitted, send an email to pubqueries-research@uwa.edu.au with details of the publication entry and we will unsubmit the publication for you. The Minerva ID is the best. Please note that we will not unsubmit Audited-Finalised publications, only Submitted publications. See section 2.7.1 for information about how to request updates to Audited-Finalised publications.

2.13 Audit

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

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

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

2.14 Finalising Publication Entries

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

2.15 Reporting bugs or problems using Minerva

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

For help with publications queries and using Minerva, contact the Library pubqueries-research@uwa.edu.au
Section B

Requirements for collection of

2015 data
3. DEFINITION OF RESEARCH

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

This definition of research is consistent with a broad notion of research and experimental development (R&D) as comprising creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise new applications.

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

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

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

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

- scientific and technical information services
- general purpose or routine data collection
- standardisation and routine testing
- feasibility studies (except into research and experimental development projects)
- specialised routine medical care
- commercial, legal and administrative aspects of patenting, copyright or licensing activities
- routine computer programming, systems work or software maintenance

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4. RESEARCH PUBLICATIONS – KEY REQUIREMENTS AND DEFINITIONS

4.1 Key Characteristics of Research Publications

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

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

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

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

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

4.2 General Requirements

Each publication must:

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

4.3 Author Affiliation

The author of the research publication 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 2015 (or earlier if that was when the research leading to the publication was conducted)

or

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

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

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

4.4 Apportioning Authors

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

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

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

Letters from authors, editors, creators, etc stating that a research publication was published in 2015 even though 2015 is not stated within or on the work as the year of publication, are not acceptable evidence of the year of publication. There are two exceptions:

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

The year of publication is normally the latest of the year indicated as published, printed or the
year of copyright. A publication with a 2016 copyright date can be reported in the 2015 collection, provided it has a publication date of 2015, and it is not counted again in the 2016 collection.

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

4.6 Expanded Year of Publication Definition

The Department of Education makes provision for inclusion of some 2014 publications in the submission of 2015 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 2014 publication date, was not published until after 30 June 2015. 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 2014 data collection; and
- contain a 2014 publication date,

may be included under this provision.

4.7 Peer Review

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

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

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

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

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

- there is a statement in the conference proceedings which shows that contributions are peer reviewed
- there is a statement or acknowledgement from the conference proceedings editor
which shows that contributions are peer reviewed

- a copy of a reviewer’s assessment relating to the conference paper.

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

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

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

### 4.8 Commercial Publisher

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

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

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

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

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

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

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

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

- Publishing units within faculties in universities (note the official publishing arm of a
university, such as RMIT Press is usually eligible, but the publishing arm within a centre, within a faculty in RMIT, may not be eligible); 

- Clearinghouses;
- Publishing arms of museums or galleries;
- Companies that are hired only to print or distribute a book, but bear no responsibility for the editing process or take no risk in choosing to publish; or
- Companies that publish books but sub-contract printing and/or distribution thus having no responsibility for the entire publishing process.

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

4.9 Foreign Language Publications

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

4.10 Format

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

4.11 Verification Material

HEPs must retain verification material to demonstrate that the publication meets the criteria against the category being reported. Details of individual publications counted and information verifying the classification of those publications must be retained by each HEP (and hence each UWA school if not uploaded to Minerva) for a minimum of three years to facilitate any audit that may be conducted by or on behalf of the Government.

For the purpose of ERA, details of individual publications and information verifying the classification of those publications must be retained by each school for the past seven years. For example, in 2016, the required material from the years 2009 to 2015 must be available.

A list of the verification material required by the Government for each category is provided in Section C, Table A.

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

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

- Clarification of the bibliographic information required per publication category
- Contents, preface, introduction and pages showing all bibliographic information
as appropriate, ISBN or ISSN, author(s), publisher and all dates referring to copyright, publication, printing and distribution

- Evidence indicating the author’s affiliation to the HEP
- All additional verification material requirements for the publication category.

4.12 Checklists

Use of the check lists at Tables A and B in Section C of this Manual is highly recommended.

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

Publication Categories

Verification and Audit Requirements
A BOOK

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

A1 Authored – research

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

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

The types of books that may meet the criteria include:

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

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

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

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

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

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

The Government Department will monitor and audit publications, as necessary, to ensure there is consistency of approach.
The UWA sub-categories for A1 books are as follows:

A1.1 A book which is of unusual length and scope. This category covers the very rare instance where a monograph embodies a decade and more of research and is a fundamental contribution to the discipline. To be considered within this category a book should normally comprise more than 300 pp, and the case must be specifically argued by the school.

A1.2 A substantial research monograph which embraces the research of several years, contains several substantial chapters and embodies original thematic ideas. The sum of the book must be more than the sum of the chapters. Books in this category will tend to fall within the range of 150-300 pp but both limits are negotiable.

A1.3 A monograph which contains several substantial chapters and embodies original thematic ideas; the sum of the book should be more than the sum of the chapters. Generally around 50-149 pp.

A1.4 A monograph which, though published as a separate entity, contains no more material than would be comprised in a large journal article (<50pp).

A2 Authored - other

(Creative works, such as novels, depending mainly upon the imagination of the author rather than upon a publicly accessible body of agreed fact, should not be listed under this heading. These are classified in Category F).

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

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

A3 Edited

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

A4 Revision/New edition

A book previously published or a collection of previously published articles either by the current author or editor, or by some previous author or editor, which has been brought up-to-date by the substantial addition or alteration of material.

A5 Privately published book

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

B1  Book Chapter (Commercial Publisher)

This category refers to a contribution, consisting substantially of new material, to an edited
compilation in which the material is subject to editorial scrutiny.

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

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

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

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

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

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

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

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

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

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

B2  Book Chapter (Private Publisher)

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

C JOURNAL ARTICLE

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

C1 Refereed article in a scholarly journal

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

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

- must meet the definition of research (see section 3) as amplified in the key characteristics of research publications (see section 4.1);
- must be published in a scholarly journal;
- must have been peer reviewed as defined in section 4.7 (but note that the fact an article has been peer reviewed does not automatically mean that it is eligible; the article must still meet the definition of research as well as all other criteria);
- must have an International Standard Serial Number (ISSN)
  - Some journals may be regularly published as separate volumes with an ISBN rather than an ISSN. Provided that the publication is clearly identified as an edition of a journal, and not a book, articles in such publications may be eligible if they meet all other criteria.
  - If an ISSN does not appear in the journal, external evidence such as an ISSN number being cited in an extract from an authoritative journal listing, such as the Scopus database [http://www.scopus.com/](http://www.scopus.com/) or the Thomson Reuters Master Journal List [http://ip-science.thomsonreuters.com/mjl/](http://ip-science.thomsonreuters.com/mjl/) or evidence that the journal is classified as refereed in Ulrich’s Knowledgebase [https://ulrichsweb.serialssolutions.com/](https://ulrichsweb.serialssolutions.com/) is sufficient to demonstrate the existence of the number;
- the author must be affiliated with the claiming HEP (see section 4.3).

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

- commentaries and communications of original research;
- research notes;
- letters to journals, provided that the letter satisfies the definition of research and the requirements above for journal articles;
- critical scholarly texts which appear in article form;
- articles reviewing multiple works or an entire field of research;
- invited papers in journals;
- articles in journals which are targeted to both scholars and professionals; and
- articles in a stand alone series.

The types of journal articles that do not meet the criteria include:

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

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

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

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

C2 Other contribution to refereed journal

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

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

A work of scholarship published in an unrefereed journal controlled by an editorial board.
Also an article such as a set of guidelines or summary of the state of knowledge in an area,
generally intended to inform practitioners in a professional field about current developments
in thinking or technology. Medical case histories are included in this category.

C4 Letter or note (NOT including book reviews)

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

D MAJOR REVIEW

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

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

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

Publications in this category refer to conference papers which are available for general circulation. The papers may appear in a number of different formats, eg a volume of proceedings, a special edition of a journal, a normal issue of a journal, a book or a monograph. Papers must be presented at conferences of national and/or international significance.

Exclude:

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

E1 Full written paper – peer reviewed

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

- must meet the definition of research (see section 3) as amplified in the key characteristics of research publications (see section 4.1);
- full written paper must be published. The paper may appear in a number of different formats, eg a volume of proceedings, a special edition of a journal, a normal issue of a journal, a book or a monograph, CD ROM or conference or organisational web site;
- must be peer reviewed (see section 4.7);
- must be presented at conferences, workshops or seminars of national or international significance;
- the author must be affiliated with the claiming HEP, as set out in section 4.3.

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

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

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

See requirements for peer review in section 4.7.

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

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

E2 Full written paper – non refereed proceedings

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

E3 Extract of paper

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

E4 Edited volume of conference proceedings

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

F CREATIVE WORKS

Research-based creative works that generate new knowledge and/or use existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings may be submitted under this category. All creative works must be original and previously unpublished.

All creative works submitted must be accompanied by a detailed ERA Research Statement articulating the research element(s) of the work. Guidelines for the submission of creative work as research outputs can be found in sections F1-F8, below.

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

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

Creative works performed, produced, or exhibited at a UWA venue may only be classified as Major or Standard if the performance, production or exhibition has been:

- externally reviewed by an independent expert
- independently produced by an entity assuming responsibility for the risk of producing, or
- demonstrates national or international significance.

**Major creative work – 5 points**

Creative work or portfolio of works of substantial length and/or complexity and/or significance.
A portfolio is a collection of individual items published or produced separately that are derived from the same underlying research endeavour but may not individually constitute a research output. The portfolio must be able to demonstrate coherent research content. The works must be a cohesive/thematic collection of the work of a single creator.

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

**Standard creative work – 1 point**

Creative work less than major, but involving one or more of the following: significance in terms of creative innovation, conceptual complexity or extension of the artist’s output.

Output types are as follows:

**F1 Original creative work – textual**

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

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

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

**F2 Original creative work – musical composition**

Compositions made publicly available in one of the following ways:

- published and offered for sale or hire by a recognised commercial publisher/organisation (including the Australian Music Centre)
- recorded (on CD, DVD, etc) for commercial distribution by an entity whose core business is producing creative recordings and distributing them for sale
- performed by a significant performing organization or individual

Significance and/or impact may be demonstrated by additional documentation. See Table A.

**F2.1 Major composition:** Musical composition or portfolio of compositions of substantial length, complexity and/or innovative significance. In the case of a portfolio, the works must be a cohesive/thematic collection of the work of a single creator.

**F2.2 Standard composition:** Composition, less than major, but involving significance in terms of creative innovation and/or conceptual complexity.

Performances of original compositions may be submitted under F6 (Live performance of creative work) where they meet the F6 criteria.
**F3 Original creative work – visual arts**

One or a collection of an artist's own original works exhibited for the first time in a recognised gallery or museum. This should be accompanied by a published catalogue identifying the individual works and the timing and location of the exhibition. The gallery or museum should be registered as a recognised public or commercial organisation.

Types of art works that may be eligible are:

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

Creative works exhibited at a UWA venue may only be classified as Major or Standard if the exhibition has been either:

- externally reviewed by an independent expert
- independently produced by an entity assuming responsibility for the risk of producing or
- demonstrates national or international significance

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

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

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

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

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

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

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

Creative works exhibited at a UWA venue may only be classified as Major or Standard if the exhibition has been either:

- externally reviewed by an independent expert
- independently produced by an entity assuming responsibility for the risk of producing or
- demonstrates national or international significance

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

**F4.1 Major design**

- Unbuilt design that wins an award, prize or commendation in an international two stage
design competition.
- Executed institutional-scale building that wins a design award, is exhibited in a
  recognised public or commercial gallery or is published in a peer-reviewed
  journal or a professional journal with a designated editor and a professionally
  recognised editorial board
- Executed domestic-scale building that wins an international design award.

F4.2 Standard design

- Unbuilt design that wins an award, prize or commendation in a one stage open design
  competition, or is published in a professional journal.
- Executed domestic scale building that wins a local design award, is exhibited in a
  recognised public or commercial gallery, or is published in a peer-reviewed
  journal or a professional journal with a designated editor and a professionally
  recognised editorial board.

F5 Original creative work – exhibition catalogue

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

Exhibition catalogue contributions at a UWA venue may only be classified as Major or
Standard if the exhibition has been either:

- externally reviewed by an independent expert
- independently produced by an entity assuming responsibility for the risk of producing
  or demonstrates national or international significance.

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

F5.1 Major exhibition catalogue

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

F5.2 Medium exhibition catalogue

Chapter-length contribution to a catalogue accompanying an exhibition in a nationally or
prestigious regionally recognised gallery or museum.

F6 Live performance of creative work

A live performance, or recording of a live performance, of a creative work, publicly performed
for the first time, where at least one UWA staff member is the performer, producer or plays a
significant leadership role. For this category, it is the actual performance that is eligible.

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

Multiple performances cannot be counted as multiple works where the performances are
repeated and do not introduce a new research component to the work. Multiple
performances may be counted as separately creative works where each subsequent
performance introduces a demonstrably new research component to the work that builds
upon the initial research component of the work.
The classification as Major or Standard depends also on the role of the performer, as well as the extent, complexity and significance of the performance.

Performances at a UWA venue may only be classified as Major or Standard if the performance has been either:

- externally reviewed by an independent expert
- independently produced by an entity assuming responsibility for the risk of producing or demonstrates national or international significance

Significance and/or impact may be demonstrated by documentation in the form of a recording of the performance, reviews, performance programs or other evidence.

**F6.1 Major performance**

Performance of a major new work, or a demonstrably new, innovative interpretation or production of a major existing work of substantial significance, complexity and/or length.

**F6.2 Standard performance**

Performance of a new work, or a demonstrably new innovative interpretation or production of an existing work.

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

**F7 Recorded/rendered creative work**

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

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

F7 contributions presented at a UWA venue may only be classified as Major or Standard if the exhibition has been either:

- externally reviewed by an independent expert
- independently produced by an entity assuming responsibility for the risk of producing or demonstrates national or international significance

Examples of Recorded/rendered creative works are:

- Film or video;
- Performances created specifically for a recorded medium;
- Inter-arts works, incorporating scholarship in other research areas;
- Digital creative works, including creative 3D models, games, digital outputs of design and architectural projects and of visual artworks
- Some web-based works and exhibitions (see also F8, Curated or produced exhibition or event).
Specific classifications of Major and Standard are in accordance with the generic creative output descriptors under F above.

F7.1 Major recorded/rendered creative work

Recording/rendering or portfolio of recordings of substantial length, complexity and/or innovative significance. In the case of a portfolio, the works must be a cohesive/thematic collection of the work of a single creator.

F7.2 Standard recorded/rendered creative work

Recording/rendering less than major, but involving one or more of the following:

- significance in terms of creative innovation
- conceptual complexity
- extension of the artist’s output

F8 Curated or produced exhibition or event

A substantial public exhibition or event, such as a festival, exhibition, or web-based exhibition, where the UWA staff member is the curator of the event/exhibition, rather than the creator of the displayed works. Exhibitions/events must include documentation of the research component.

Festivals must include a detailed program with dates and locations of events. Multiple events and exhibitions, for example a touring exhibition, may only be counted as one output. Recurring events, for example biennales or annual events, may be counted as separate outputs provided that the events are unique, and not just repeats of the previous events.

Examples of curated exhibitions or events are:

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

Exhibitions/events at a UWA venue may only be classified as Major or Standard if the exhibition has been either:

- externally reviewed by an independent expert
- independently produced by an entity assuming responsibility for the risk of producing or demonstrates national or international significance

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

F8.1 Major exhibition or event

Major curated exhibition/festival/event attracting national or international recognition involving a substantial body of work, with a high level of complexity and innovative significance.

F8.2 Standard exhibition or event

Curated exhibition/festival/event in a nationally or regionally recognised venue involving a body of work that demonstrates innovative significance.
Where they meet the criteria, scholarly catalogues written by UWA staff curators should be included as F5, original artworks or designs exhibited by UWA staff members should be included as F3 or F4, and performances by UWA staff members in a festival or event should be included as F6.

G  COMPUTER SOFTWARE

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

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

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

No longer in use – see category F4 above.

I  PATENT

This refers to patents on specific products or processes granted for the first time, either in Australia or in an overseas country. It does not include multiple rights for the same product or process, or applications for which no determination has been made on patent rights.

Include:

- a product or process for which a full patent has been granted
- a patent granted for the first time in the collection year.

Exclude:

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

J  (Old category no longer in use) CREATIVE WORKS

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

K  ENTRY IN ENCYCLOPAEDIA, ETC

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

K2  Other entry in a dictionary, encyclopaedia etc.

L  TECHNICAL REPORT

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

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

P PUBLIC POLICY REPORT

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

- be published, ie have been made publicly available, for the first time in the publication reference period
- meet the definition of research (see section 3);
- be in writing;
- include substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and a format which allows a reader to trace sources of the work through citations and footnotes;
- increase the stock of knowledge, and be more than just a compilation of existing work;
- be in a form that enables dissemination of knowledge; and,
- materially assist the relevant committee, inquiry, department or public policy debate, such as where a finding is generated, the staff member’s report is cited or otherwise acknowledged in the report or other output of the debate, committee, inquiry or department.
### Table A – Summary UWA Audit Verification Requirements

<table>
<thead>
<tr>
<th>Audited categories</th>
<th>Verification requirements</th>
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<tr>
<td><strong>Publication classification</strong></td>
<td><strong>Verification requirements</strong></td>
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| A1 BOOK (Authored research, commercial) | • Evidence indicating the author’s affiliation to UWA  
• Hardcopy of the book if in print, electronic copy of the book if online  
• Copies of contents, preface, introduction  
• Copies of pages showing all bibliographical information (ISBN, title, author(s), publisher, all dates referring to copyright, publication, printing and distribution)  
• Proof the book is published by a commercial publisher as defined in section 4.8, or peer reviewed as defined at section 4.7 |
| B1 BOOK CHAPTER (Commercial) | • Evidence indicating the author’s affiliation to UWA  
• Copy of the chapter  
• Copies of contents, preface, introduction  
• Copies of pages showing all bibliographical information (ISBN, book title, author(s), editor, publisher, all dates referring to copyright, publication, printing and distribution)  
• If new chapter in a revised edition, include contents page of previous edition to indicate that chapter is new  
• Proof the book is published by a commercial publisher as defined in section 4.8, or peer reviewed as defined at section 4.7 |
| C1 JOURNAL ARTICLE (Refereed article in a scholarly journal) | • Evidence indicating the author’s affiliation to UWA  
• Copy or offprint of article  
• Proof of peer reviewing as described in section 4.7  
• Copies of pages showing all bibliographical information (ISSN, journal title, author(s), all dates referring to copyright, publication, printing and distribution)  
• If an ISSN does not appear in the journal, external evidence such as an ISSN number being cited in an extract from Thomson Reuters Web of Knowledge Master Journal List, or being cited as ‘refereed’ in Ulrich’s Knowledgebase |
| E1 CONFERENCE PUBLICATION (Full written paper – refereed) | • Evidence indicating the author’s affiliation to UWA  
• Copy or offprint of full paper;  
• Copies of contents, preface, introduction;  
• Copies of pages showing all relevant bibliographical information (author(s), title and editor of conference proceedings, publisher, all dates referring to copyright, publication, printing and distribution);  
• Proof of peer reviewing as described in section 4.7.  
• Proof the conference is of national or international significance.  
• |
### F. CREATIVE WORK

#### F1.1 Research Statement Example

**RESEARCH BACKGROUND:** Though this book contains extensive newly written material, the first version was written when I was at university as a teenager. In many ways, it is the template model for my lifelong approach to literary forms — intense reading, extensive research before writing, and the drawing together of many threads of various discourses into a literary synthesis. The novel was ‘lost’ for over a decade before it was placed among my papers at the Australian National Library. When a publisher expressed an interest in receiving a publishable manuscript over a 150 pages were missing from the library copy, which I ‘back-engineered’ making the published novel a strange amalgamation of a teenager’s writing and that of a mature writer and researcher.

**RESEARCH CONTRIBUTION:** This was a work that evolved into a ‘life-project’, showing the inseparability of early literary practice and what comes later. In blending original poetry with narrative fiction, in using modernist techniques originated and developed in Dorothy Richardson, James Joyce, Samuel Beckett et al, and reworking them with ‘local content’ (Perth, the wheatbelt, Geraldton, as well as Europe), this was a relatively early attempt to create a different kind of Australian Novel. Later, in creating new text, I examined the politics of (self)-imitation and vicariousness in fiction.

**RESEARCH SIGNIFICANCE:** Some have considered this novel a unique document of fiction-creation. Nicholas Birns wrote in his introduction to the work: ‘There is a strong determination on the part of the adult recompositor to keep faith with the mentality of the adolescent male, to retain its integrity while jettisoning its certitudes. It is this insensate loyalty in the midst of buoyant amendment, that gives, to cite high Modernist touchstones strangely solicited by the very postmodern mixture of experimentation and fantasy, these ‘visions and revisions’ their complex yet genuine reach back to a primal ‘unimaginable zero summer’.

#### F1.2 Research Statement Example

**RESEARCH BACKGROUND:** This collaborative work, which connects my interest in diminishing the writer’s ‘self’ in favour of a collective, shared identity, is with Dr Drew Milne (Cambridge University), an innovative poet of renown. Milne has a long history of collaborative activity in text and music, and we discussed working together for over 15 years before coming together with this book-length poem. The poem departs from the film The Red Shoes to explore the socio-politics of the Cold War and what has followed. It draws on learning across many cultures and histories, and is underpinned by a ‘balance’ between reading and scholarship and practice/experience/place. Most vitally, the work explores the threats and impacts of the nuclear industry from civil to military, from mine to waste, in today’s world.

**RESEARCH CONTRIBUTION:** This work is committed to performative poetics and poetry as an active moment in time. It is concerned with presentation and articulation and is to be recorded (by us) as a CD. As it involves the blending of many socio-critical discourses, we consider it a prompt to discussion not only of its own ‘meanings’ and terms of creation, but of many other texts and poetics. Such works are repositories of two lives spent in research and practice around their art, and prompt critical discussion and response across a wide range of artistic and academic registers. In creating poetry in which very disparate issues such as dance and nuclear power form a synthesis, it is hoped that a different way of reading even the most familiar or benign texts might be achieved.

**RESEARCH SIGNIFICANCE:** This work was published by Veer (Birkbeck College’s Contemporary Poetics Research Centre) putting it within an active and current debate about the nature of poetry and poetics. Extracts were published in leading journals, and Jacket magazine published a manifesto piece written by Milne and myself on our working process and practice. New collaborative work is currently underway.

#### F2.1 Research Statement Example

**RESEARCH BACKGROUND:**

#### F2.2 Research Statement Example

**RESEARCH CONTRIBUTION:**

**RESEARCH SIGNIFICANCE:**

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**F. CREATIVE WORK**

**F1 Original Creative Work**

- Textual
  - The bibliographic and other details as specified on the proforma
  - Proof of publication and availability for sale by a recognised commercial publisher
  - Proof of expert/peer review
  - A copy of the creative work

**F1.1 Research Statement Example**

**RESEARCH BACKGROUND:**

**RESEARCH CONTRIBUTION:**

**RESEARCH SIGNIFICANCE:**

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**F1.2 Research Statement Example**

**RESEARCH BACKGROUND:**

**RESEARCH CONTRIBUTION:**

**RESEARCH SIGNIFICANCE:**

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**F2 Original Creative Work**

- Musical Composition
  - The bibliographic and other details as specified on the proforma
  - Proof of publication and availability for sale by a recognised commercial publisher or proof of being recorded for commercial distribution
  - A copy of the creative work

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F2.1 Research Statement Example

RESEARCH BACKGROUND: The traditional concerto format has had a strong presence in Western music since the classical era. The idea of a single instrument as a counterpoint to the many of the orchestra is still a valuable resource for a composer. The West Australian Symphony Orchestra commissioned Golden Years for its concertmaster. Taking elements of music the composer listened to when growing up, the work was a synthesis of classical, and pop music elements.

RESEARCH CONTRIBUTION: This resulting work is a large-scale (30min) three-movement concerto. Whilst originally wanting to avoid the traditional three-movement form, I discovered just how powerful and compelling a form it is. Getting the balance between the solo violin and orchestra was also crucial. The orchestration also includes a prominent accordion part.

RESEARCH SIGNIFICANCE: West Australian Symphony Orchestra premiered the work at the Perth Concert Hall with soloist Margaret Blades and conductor Otto Tausk in October 2013. Neville Cohn in the West Australian wrote: “If (Ledger’s) concerto doesn't make it into the international violin repertoire, I’d like to know why . . . The award-winning composer's concerto hasn't a dull moment and brims with ideas expressed in meaningful ways.” Golden Years was awarded the 2014 APRA/AMC Art Music Awards Work of the Year: Orchestral. The work is published by the Australian Music Centre: ISMN: 979-0-720128-69-6

F2.2 Research Statement Example

RESEARCH BACKGROUND: Since the advent of digital technology, composers and performers have had a vast array of sound manipulation techniques at their disposal, in a relatively small device. The commission was to compose a piece for vibraphone soloist could play the instrument and operate the technology without compromising either aspect.

RESEARCH CONTRIBUTION: Through the use of a foot-pedal, the performer is able to play the work and operate the electronic component. The foot-pedal scrolls through a number of scenes. Even though each scene is fixed in its location in the score, the software works in such a way that the effect is subtly different each time it’s played.

RESEARCH SIGNIFICANCE: Quickening was premiered by Callum Moncrieff (who commissioned the work) in 2010. It has been played by Paul Tanner at UWA (2013) and by Tim Constable at the Australian Festival of Chamber Music, Townsville (2013). The work is published by the Australian Music Centre: ISMN: 979-0-720128-69-6

F3 Original Creative Work – Visual Arts

- The bibliographic and other details as specified on the proforma
- Proof of the exhibition being the first exhibition of the material
- Proof of the gallery or museum being an independent public or commercial organisation
- A copy of the published catalogue for the exhibition
- When exhibited at a UWA venue works must have: external review by an independent expert, evidence that it has been independently produced by an entity assuming responsibility for the risk of producing or demonstrates national or international significance
- ERA research statement

F3.2 Research Statement Example

RESEARCH BACKGROUND: A research project that explored historical and contemporary technologies which attempted to engineer life from scratch; the project re-appropriated a protocell protocol published by Stephane Leduc in his 1911 Book The Mechanism of Life. Catts and Zurr’s project used contemporary technology of 3D printing. The project was presented at the Science Gallery at Trinity College, Dublin, Ireland in 2013. The Gallery is described as follows: “Science Gallery is a world first. A new type of venue where today's white-hot scientific issues are thrashed out …. A place where ideas meet and opinions collide. Since opening in 2008, over 1.7 million have visited it in Dublin - ranking us amongst the top ten free cultural attractions in Ireland.” The piece was part of the Grow Your Own exhibition that concerns with some of the potentially ground-breaking applications and uncertain implications of synthetic life.

RESEARCH CONTRIBUTION: The piece explored issues of cultural amnesia through historical and contemporary understanding of life and the technological project to create life from scratch – a field which is part of synthetic biology and referred to as protocell biology. The project advanced contemporary knowledge mainly through critical cultural analysis bridging these ideas and technologies with academics and the general public.

RESEARCH SIGNIFICANCE: The piece was part of a seminal exhibition that was set to explore technical, cultural, philosophical and ethical perspectives what it means to synthesise life and/or create the basic unit of life from scratch. The piece was chosen to be included in this framework due to its historical perspective and reflection as well as the use of 3D printing technologies, aesthetic strategies, and scholarly depth exploring life as engineering.
| F4 Original Creative Work – Design/Architectural | The bibliographic and other details as specified on the proforma  
| | Proof of a design award being received for the first time; or  
| | Proof of independent professional publication or review for the first time; or  
| | Proof of the exhibition being the first exhibition of the material and the gallery or museum being an independent public or commercial organisation and a copy of the published catalogue for the exhibition  
| | When exhibited at a UWA venue works must have: external review by an independent expert, evidence that it has been independently produced by an entity assuming responsibility for the risk of producing or demonstrates national or international significance  
| | ERA research statement |

**F4.1 Research Statement Example**

**RESEARCH BACKGROUND:** Grouped infill housing is dominated by the requirements of vehicular access, dwelling setbacks and programmed planning. Planning is rarely motivated by solar passive design and external spaces tend to be those left over, rather than key elements of a site. Houses tend not to be readily adaptable to the changing circumstances of occupants. The design of this grouped dwelling development sought to challenge these tendencies and conceive of a group of houses engaged with the realities of solar radiation, family, transport, change.

**RESEARCH CONTRIBUTION:** Utilising courtyards to balance communality and privacy, the design focuses on provision of a flexible planning model; multigenerational occupation, universal accessibility, home office adaptability and internal subdivision. Dual key adaptability and judicious servicing allow dwellings to divide if site density codes increase in the future. Designed to zero setbacks on southern boundaries to maximise solar access, building massing is arranged to avoid overshadowing and provide acoustic separation between living and sleeping areas. Vehicle and pedestrian entries are separated to enhance safety, security and legibility. Each dwelling is designed as a simple shell which can be tailored to owners’ requirements and facilitate multiple modes of occupation over time with only minor modifications.

**RESEARCH SIGNIFICANCE:** The houses are recognised for their innovative approach to site and internal planning, adherence to principles of environmental and social sustainability, and unusual palette of recycled and recyclable materials. Awards - AIA National Commendation for Multiple Residential Architecture 2012, AIA WA Harold Krantz Award for Multiple Residential Architecture 2012, AIA WA Walter Greenham Sustainable Award 2012 and BPN National Sustainability Award 2012. Published in Architecture Australia and New Suburban: reinventing the Family Home Australia and New Zealand (Thames&Hudson).

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**F4.2 Research Statement Example**

**RESEARCH BACKGROUND:** The Australian Bureau of Statistics predicts that Australia's current population of 22.3 million could grow to 62.2 million by 2101. There is currently no national urban and infrastructural plan for this growth. Indeed following consultation of Australia's entire current city planning frameworks, we found that a sum total of only 5.5 million people are accounted for. This research aimed to address the resettling of the 34.5 million 21st century Australians who are simply missing from the collective intelligence of the nation's planning. The research question driving this project was ‘where these people might live so that Australia remains ecologically resilient, socially amenable and economically productive’?

**RESEARCH CONTRIBUTION:** This research is innovative in that it tackles the issue of Australia's population growth at the national scale, and over an extended time frame (i.e. to 2101). Australia's forward planning typically occurs in a fragmented manner, planning occurring at the city or state scale, and generally over short time frames (i.e. to 2040 at best). Through this research a methodology has been developed to address how this scale of planning could be undertaken. This new knowledge has been disseminated to a broad public audience through the media - print, television and radio.

**RESEARCH SIGNIFICANCE:** Clear evidence of the excellence of this project was provided when it was awarded a commendation in the ‘CAPITHeticAL’ competition, managed by the Australian Institute of Architects, for a design for a hypothetical Australian capital city. There were over 1200 domestic and international entrants registered for the competition.
### F5 Original Creative Work – Exhibition Catalogue

- The bibliographic and other details as specified on the proforma
- A copy of the catalogue
- When exhibited at a UWA venue works must have: external review by an independent expert, evidence that it has been independently produced by an entity assuming responsibility for the risk of producing or demonstrates national or international significance
- ERA research statement

#### F5.2 Research Statement Example

**RESEARCH BACKGROUND:** The author is a leading authority on the lives and works of Walter Burley Griffin and Marion Mahony Griffin, widely lecturing and publishing on the subject. More broadly, his research focusses upon architecture and landscape as collective expressions of identity (be it place or nation), especially within the context of designed national capitals such as Canberra, New Delhi and Brasilia.

**RESEARCH CONTRIBUTION:** In 2002, his stature as a Griffins scholar led the National Archives of Australia (NAA) to invite him to contribute the major text to its catalogue for the exhibition A Vision Splendid: How the Griffins Imagined Australia's Capital. The essay investigated the production of and techniques employed to execute the Griffins’ exquisite renderings submitted in the international design competition for Canberra. In 2013, the NAA, seeking to commemorate Canberra's centenary, decided to publish a new edition of the publication and invited Vernon to revisit, revise and expand his essay to include research findings he had made in the interim. This publication is the outcome.

**RESEARCH SIGNIFICANCE:** That a Commonwealth cultural institution twice invited the author to contribute to one of its publications testifies to the esteem to which his scholarship is held. This also is endorsement of his scholarship’s quality.

### F6 Live Performance of Creative Work

- The bibliographic and other details as specified on the proforma
- A copy of the performance program and a review or supplementary material attesting to the performance’s existence, time and place
- Proof the performance has a UWA connection (UWA byline equivalent)
- When exhibited at a UWA venue works must have: external review by an independent expert, evidence that it has been independently produced by an entity assuming responsibility for the risk of producing or demonstrate national or international significance
- ERA research statement

#### F6.1 Research Statement Example

**RESEARCH BACKGROUND:** One of Verdi’s late opera’s ‘Otello’ is notable for a much larger sense of scale, particularly with the extensive and virtuosic choral writing for the opera chorus. This was the first time Otello had been seen and heard in Perth and was part of a tri national collaboration with 5 other opera companies-New Zealand Opera, Cape Town Opera, Opera Victoria, State Opera of South Australia and Queensland Opera.

**RESEARCH CONTRIBUTION:** Verdi’s use of harmonic colour reaches Wagnerian proportions and his use of major off stage brass bands is particularly notable. However, this production of Otello clearly shook off its traditional roots in a new production by Director, Simon Philips. Set on an aircraft carrier, with walls dropping open to reveal the sea or a helicopter, the set provided a suitably claustrophobic atmosphere to portray Otello’s emotional instability, Iago’s Nihilism and Desdemona’s fragility in a way that might seem more disturbingly realistic.

**RESEARCH SIGNIFICANCE:** This new production was premiered under the umbrella of the 2014 Perth International Arts Festival at His Majesty’s Theatre in Perth with West Australian Opera and WASO. *The West Australian* commented ‘The West Australian Opera Chorus under new Head of Chorus Joseph Nolan, have never sounded crisper, tighter, more focused or more powerful’ *The Australian* stated ‘the much-improved chorus sang with full bodied, well blended sound and were particularly impressive in the opening scene’
**F6.2 Research Statement Example**

**RESEARCH BACKGROUND:** This production continued my research explorations through performance into plays that work against naturalistic forms and juxtapose potentially very different performance styles and generic conventions. Pirandello’s 1921 play was performed with student actors at the Dolphin Theatre, UWA from 22-25 May, 2013. Unlike many productions over the past thirty years or so the aim was to stage the play uncut and not update its dialogue references or theatrical stage business to a contemporary context. The aim was towards enticing the audience into a more engaged encounter with the philosophical questions concerning identity and reality that Pirandello explores in the play.

**RESEARCH CONTRIBUTION:** One innovation was to highlight the commedia dell-arte physicality of Pirandello’s Italian theatre context of the 1920s. Another was in defamiliarising the performance style drawing on elements of Italian Futurist theatre experimentation. Another was to highlight the constant shifting between the tragic and comedic elements. These were deliberate tactics to present challenges to the audience in the play’s frequent juxtapositions of style, adding to my ongoing research into performance, especially in both Jacobean revenge tragedies and Howard Barker’s plays.

**RESEARCH SIGNIFICANCE:** The success of the production was evident in positive audience responses and in an external reviewer’s comment that the play was performed ‘in a way that clearly communicated the nature of Pirandello’s intended themes’. Trusting the text and keeping things ‘simple’ followed through into 2014 with a bare-stage uncut Dolphin Theatre production of Webster’s The White Devil, and a daytime New Fortune Theatre open-air production of a condensed Titus Andronicus. A paper on these themes in relation to these recent productions will be presented at the ANZAMEMS conference in Brisbane in July 2015.

<table>
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<td>• A copy of the recorded/rendered output</td>
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<td>• For a recording/rendering presented at UWA, works must have:</td>
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<td>external review by an independent expert, evidence that it has been independently produced by an entity assuming responsibility for the risk of producing or demonstrate national or international significance</td>
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<tr>
<td>• ERA research statement</td>
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**F7.1 Research Statement Example**

**RESEARCH BACKGROUND:** This research explores performance practices in a little-known body of repertoire composed in France between 1695 and 1739, when a new generation of musicians began to experiment with imported styles from Italy. It investigates aspects of instrumentation, ornamentation, articulation, tempi, phrasing, and texture, through the application of information found in relevant historical treatises, aiming to achieve a historically-informed blend of French and Italian styles in performance.

**RESEARCH CONTRIBUTION:** The work is innovative in investigating instrumental chamber music that represents a period of significant change in French music and its historically-informed performance. Consideration of textural effects through instrumentation choice is particularly notable, with two works performed without a chordal continuo instrument, and experimentation in a French work with the Italian practice of realising the bass line by a cello alone.

**RESEARCH SIGNIFICANCE:** This work has been distributed internationally by ABC Classics/Universal Music as output from the ARC Linkage French Baroque Music Project, and received critical acclaim from Australian and international reviewers. Lucy Robinson (Early Music, 2010) describes it as ‘a charming CD which succeeds in shedding light on some of the little-known gems of the French Baroque repertory.’ Ken Page (Limelight Magazine 2011) calls it a ‘top grade release from the ABC’ and says that ‘the notes are comprehensive and historically informative….’ Johan van Veen (MusicWeb International) writes that ‘the choice of composers also deserves applause as most of them appear infrequently on concert programmes and their music is not widely available on disc. The Ensemble Battistin is very fine and impresses with its impeccable technique and admirable sense of style.’ This work reaches international audiences through top international music outlets such as iTunes, Amazon, and Google Play.
7.2 Research Statement Example

RESEARCH BACKGROUND: The medium of Brass Band has been strongly associated with the ANZAC tradition since the beginning. Not only did Brass Bands play as the troops left our shores, as Military Units they performed in the Middle East and in every theatre of operation during the first world war. Ted Egan is one of Australia’s leading performers, and has a long and distinguished career as a musician and of public service, serving as the administrator of of the Northern Territory. His book, published by the commercial publisher “Wild Dingo Press” is aimed at the 100th commemoration of the ANZAC landings at Gallipolli, and includes recordings of works by Ted Egan and others about the Anzac traditions.

RESEARCH CONTRIBUTION: This project sought to recreate the ambiance, scoring and musical traditions of the brass band as both the background and foreground of the music of Ted Egan. The form of the music is that of a traditional march, including the opening phrase, a bass solo, and the recapitulation. The Bass Solo follows the normal traditions of the medium. It is rich in harmonic movement and technically demanding, requiring great facility from the performers. The solo itself is drawn as a kind of variation of the melodic material, and in the children’s choir version is replaced with ethereal voices to represent the departed members of the Anzac corps, both those who died in the field and those to have died since.

The scoring of the work, for traditional Brass Band instrumentation, blends the traditional conically shaped instruments with the cylindrical instruments to produce both a dark and strident tone. The portability of this instrumentation has made it popular for military organisations from the mid-19th century, though other European and American traditions would also include woodwind instruments for added projection.

The arrangement was developed by Ted Egan and Alan Lourens. Whilst ted offered the form and chords, the arrangement required more substance to make it appropriate for a band of the early twentieth century. The Bass solo, as performed on the band version, was written entirely by Dr. Lourens, who also directed the performances.

RESEARCH SIGNIFICANCE: This recording has published commercially by Wild Dingo Publications. The work has garnered the following reviews:

“Ted Egan has been writing and singing about the Anzacs for over forty years. He sang some of the songs here while they listened, and passed that strict test brilliantly. He writes now for their descendants, young and old, an even stricter test, and passes that easily. There is nothing like this splendid collection. It pays an original and memorable tribute to an extraordinary generation.”

“An illuminating X-ray of human wastage in war. Ted Egan’s superlative picture gives us a better insight into pointless sacrifice than the popular ‘glory of Gallipoli’ and ‘stuff of legend’ genre. The way Ted interweaves personal relationships into the wider narrative shows, yet again, what a humanist, and what a fine social and cultural historian, he is.”
Professor Colin Tatz, cultural historian, former director of the Australian Institute for Holocaust and Genocide Studies.

“Ted Egan’s The Anzacs 100 years On in Story and Song is a tour de force of Australia’s involvement in WW1, from the distress, agony and destruction to the achievements, bravery and heroics of the diggers and their great leaders, Monash and Chauvel. This is superb social and cultural history with a dose of realism when others, through ignorance or agendas, steer clear of the integrity of events. He sees history as it was rather than how he would like it to be. The bonus of excellent music (on an enclosed disc), an Egan forte, delivers an extra dimension to the sense of place and time.”
Professor Roland Perry AO, award-winning author of numerous acclaimed biographies, histories and fiction works, including Monash, the outsider who won a war, and The Australian Light Horse.
| **F8 Curated or Produced Exhibition or Event** | **• The bibliographic and other details as specified on the proforma**  
**• A copy of the exhibition/event program and a review or supplementary material attesting to the date, time and place of the exhibition or event**  
**• For an exhibition/event at UWA, works must have: external review by an independent expert, evidence that it has been independently produced by an entity assuming responsibility for the risk of producing or demonstrate national or international significance**  
**• ERA research statement** |
|---|---|
| **F8.1 Research Statement Example** | **RESEARCH BACKGROUND:** A major exhibition curated by Oron Catts, that presented some significant research done at, and commissioned by, SymbioticA. Part of the International Society for Electronic Arts (ISEA) which was held in Sydney. ISEA is the peak international electronic arts organisation fostering interdisciplinary academic discourse and exchange among culturally diverse organisations and individuals working with art, science and technology. The main activity of ISEA International is the annual International Symposium on Electronic Art (ISEA). &nbsp; Semipermeable (+) was selected as one of the three major exhibitions for the Sydney event and was presented at the Sydney Powerhouse.  
**RESEARCH CONTRIBUTION:** The exhibition was a thematic exploration of scientific and cultural notions of the semipermeable membrane, presenting twelve works that were researched and developed at SymbioticA. It included four new original artworks from leading Australian artists/artistic groups that were commissioned and presented for the first time in this exhibition. The exhibition advanced and presented new knowledge in the area of Biological art and Biodesign - the use of living biological matter for aesthetic and cultural discussion. The exhibition included a 36 page catalogue and curatorial essay by Catts.  
**RESEARCH SIGNIFICANCE:** Semipermeable+ presented for the first time a curated thematic exhibition dedicated to the research in Biological Arts contacted at SymbioticA as part of ISEA Festival. Demonstrating how Biological Arts is one of the major research areas in the interdisciplinary field of Art, Science and Technology. It presented SymbioticA at UWA as the leading research laboratory in this field. |
| **F8.2 Research Statement Example** | **RESEARCH BACKGROUND:** Christopher Vernon is a leading authority on the lives and works of Walter Burley Griffin and Marion Mahony Griffin, widely lecturing and publishing on the subject. More broadly, his research focusses upon architecture and landscape as collective expressions of identity (be it place or nation), especially within the context of designed national capitals such as Canberra, New Delhi and Brasilia.  
**RESEARCH CONTRIBUTION:** Vernon’s stature as a Griffins scholar led the National Library of Australia (NLA) to invite him to guest curate this exhibition and produce a related catalogue leaflet (NLA Bib ID: 6292555). The exhibition commemorated the centenary of our national capital’s foundation and investigated the Griffins’ vision for an Australian identity as expressed in the city’s design.  
**RESEARCH SIGNIFICANCE:** That a national cultural institution invited Vernon to curate the exhibition testifies to the esteem to which his scholarship is held. This also is endorsement of his scholarship’s quality. Moreover, the exhibition proved quite popular, receiving, according to the library’s statistics, 21,072 visitors in total. It was open for 93 days and received an average of 227 visitors a day. The exhibition also attracted a favourable overseas review in the Spectator. |
| **PUBLIC POLICY REPORT** | **• The bibliographic and other details as specified on the proforma**  
**• A copy of the report**  
**• Evidence that the report has materially assisted the relevant committee, inquiry, department, or public policy debate**  
**• Proof that the report was made publicly available** |
## Not for audit categories

These verification requirements are not required for audit purposes, but may be useful for schools to correctly classify publications in non-audit categories.

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<thead>
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<td><strong>A. BOOK</strong></td>
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| 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 CHAPTER**        |                           |
| B2 Book Chapter (Privately Published) | - Copy of the chapter  
- Photocopies of contents, preface, introduction, and all pages showing all bibliographical information (ISBN, book title, author(s), editor, publisher, all dates referring to copyright, publication, printing and distribution)  
- If new chapter in a revised edition, include contents page of previous edition to indicate that chapter is new |
| **C. JOURNAL ARTICLE**     |                           |
| 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 REVIEW**        |                           |
|                           | - The bibliographic details as specified on the proforma  
- A copy of the published review |
| **E. CONFERENCE PUBLICATION** |                           |
| E2 Full written paper – non refereed | - Audit not required  
- Audit not required |
| E3 Extract of paper        |                           |
| 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 |
| **G. COMPUTER SOFTWARE**   |                           |
|                           | - The software  
- The bibliographic details as specified on the proforma  
- Proof of commercial publisher or distributor imprint |
| **I. PATENT**              |                           |
|                           | - The bibliographic details as specified on the proforma  
- Proof of the patent being granted |
| **K. ENTRY IN ENCYCLOPAEDIA** |                           |
| K1 Substantial research contribution to dictionary or encyclopaedia | - A copy of the article  
- 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 |
**Table B – Categories Audit Checklist**

**BOOKS (A1)**

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<td>Published in 2015 as defined in sections 4.5 and 4.6</td>
<td>☐</td>
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<tr>
<td>Author(s) staff or student when research undertaken</td>
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<td>Major work of scholarship</td>
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<td>Has ISBN</td>
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<tr>
<td>Mainly previously unpublished material, making a substantial contribution to knowledge</td>
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<tr>
<td>Be published by a commercial publisher as defined in section 4.8 or if not published by a commercial publisher, must have been peer reviewed, as defined at section 4.7</td>
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**Verification**

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<tr>
<td>Evidence indicating research undertaken in author’s capacity as a staff member or student of the university</td>
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### Categories Audit Checklist

**BOOK CHAPTERS (B1)**

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<td><strong>Be bound or packaged and offered for sale</strong></td>
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<tr>
<td><strong>Evidence indicating research undertaken in author's capacity as a staff member or student of the university</strong></td>
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### Categories Audit Checklist

**JOURNAL ARTICLE (C1)**

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## Categories Audit Checklist

**CONFERENCE PUBLICATION (E1)**

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Section D

Extract of

UWA’s code of conduct

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

5. Authorship

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

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

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

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

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

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

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

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

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

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2 http://www.icmje.org/ [URL correct at the time the manual was compiled.]
3 http://www.legalservices.uwa.edu.au/iso/ip_res_contracts/2_ip_policy [URL correct at the time the manual was compiled.]