



THE UNIVERSITY OF
MELBOURNE

2008 Publications Collection Classification Guidelines

Version 1

For the collection and classification of 2008 University publications

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The University of Melbourne wishes to acknowledge the initial work done at the University of Western Australia in developing publication categories.

The publications data collection for the University of Melbourne is managed by the Research Performance Analysis Group, Melbourne Research Office.

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1. Introduction

The University of Melbourne annually collects data on all research publications published by staff and students of the University.

Publication details are collected via Themis. Departments have the option of either allowing researchers to enter their own publication details into Themis Research; having Publication Coordinators enter publication details on behalf of researchers; or a combination of these. Publication Coordinators must classify publications and store any evidence required (see 1.1.2). After entry and classification, the electronic records are then forwarded to Academic Liaison Officers and Heads of Departments for approval. The Research Performance Analysis Group (RPAG) of the Melbourne Research Office manage the collection.

The data provides the University with valuable information on the research activity of its staff. It uses the publication data as a key performance indicator in the analysis of research performance across departments and faculties and in benchmarking with other research intensive universities. Research publication data is also used in strategic planning and the allocation of internal and external funding resources.

1.1. Outcomes of the Collection

The publications collection produces a number of tangible outcomes that are very important to the University. These outcomes include:

- The annual *Research Report*, a comprehensive listing of the University of Melbourne research projects and publications that is published on the University web site at <http://www.research.unimelb.edu.au/rpag/reports/research/>
- The annual *Research Performance* book published on the University web site at <http://www.research.unimelb.edu.au/rpag/reports/performance/>
- As a key performance indicator used in the analysis of publications for benchmarking and policy formulation for the University.

The University uses the publications data as an important research performance indicator for individual faculties and for the University as a whole. Publications are one of the key performance indicators upon which the allocation of external funds from the Department of Education, Employment and Workplace Relations (DEEWR) are based. Publications, as a research key performance indicator, also contribute to the internal allocation of research funding.

1.1.1. Federal Government (DEEWR) Funding

The Commonwealth Department of Education, Employment and Workplace Relations (DEEWR) allocates research infrastructure funds based on research performance. These funds include the Institutional Grants Scheme (IGS). DEEWR bases the allocation of IGS funds on three component performance indicators: Research Income (60%), Research Higher Degree Student Load (30%) and Research Publications (10%).

In addition, publications are also a research performance indicator for the Research Training Scheme (RTS) that is designed for funding higher degree students. For a small component of RTS funding, DEEWR bases the allocation on three component performance indicators: Research Student Completions (50%), Research Income (40%) and Research Publications (10%).

The statistics generated from the publications collection by the Research Performance Analysis Group are used by DEEWR to allocate the University's share of the Institutional Grants Scheme (IGS) and Research Training Scheme (RTS).

1.1.2. Retention of Verification Evidence - Audit Purposes

DEEWR imposes a comprehensive and rigorous set of guidelines in the management of the publications collection. It is imperative that publications reported to DEEWR meet the criteria prescribed by DEEWR as they may be subject to internal and external audit.

Misclassification has led to a reduction in the University of Melbourne's IGS & RTS external funding allocation. The publications system has been designed to meet the internal and external audit requirements as much as possible. It is mandatory that for audit purposes, information verifying the classification of all DEEWR publications is retained in a central location at the department level for three years.

2. Groups Involved in the Collection

2.1. Researchers

Departments have the option of allowing researchers to enter their own publications data into the Themis Publications Module. Any publication that a researcher would like considered for either the DEEWR or non-DEEWR collections will still need to be classified and verified by a Publication Coordinator.

2.2. Publication Coordinators

A Publication Coordinator is nominated by each department in the University. Comprehensive training on classifying publications and the use of the online publications system is conducted annually by the Melbourne Research Office. It is strongly recommended that Publication Coordinators attend these training sessions each year.

The Publication Coordinator is responsible for:

- ensuring the collection of all publication data from department's academic staff and students;
- the classification of all publications (in collaboration with the Academic Liaison Officer);
- entering and/or checking the accuracy of all bibliographic data recorded in the publications system against the evidence; and
- the central storage of verification evidence for all department DEEWR publications, for each collection year. Information verifying the classification of DEEWR publications must be retained in departments for three years to facilitate any audit.

2.3. Academic Liaison Officers

An academic member of staff is nominated by each department in the University for the position of Academic Liaison Officer. Comprehensive training on classifying publications and the use of the publications system is conducted annually by the Melbourne Research Office. It is strongly recommended that Academic Liaison Officers attend these training sessions each year.

The role of the Academic Liaison Officer is to (i) provide expertise in the department in classifying publications and (ii) liaise with department academics in the process of collecting publications data. This position is crucial in helping to maintain the integrity and quality of the publications collection.

Academic Liaison Officers exercise their professional judgement and experience to provide quality control for all publications. Consequently, they are required to approve publications data submitted in the publications collection.

2.4 Head of Department

The Head of Department or delegate is required to certify publication records for audit purposes. Please note that departmental submissions will not be accepted for inclusion in either the DEEWR or non-DEEWR collections unless they have been certified electronically by the Head of Department or delegate.

3. Procedure for the Collection and Submission of Publication Entries

It is strongly recommended that all department academic staff and students either enter their publication details into the publications system and/or provide their publications to the department Publication Coordinator as soon as they are published. Staff and students submitting publications directly to their Publication Coordinator are encouraged to use publication collection proformas to ensure all relevant information is collected (see <http://www.research.unimelb.edu.au/rpag/datacollection/publications/proforma/>).

3.1. DEEWR Publication Submission Process

The due date for DEEWR publication records is **27 February 2009**.

All publication records that the department wishes to submit for the DEEWR collection must be complete, correct and certified by the Head of Department by this date.

Both the Academic Liaison Officer and Head of Department are required to certify records for audit purposes. Please note that departmental submissions will not be accepted unless they have been certified by the Head of Department or delegate.

Additional DEEWR category records and changes made to existing records after this date will not be included in the DEEWR submission.

3.2. Non-DEEWR Publication Submission Process

The due date for non-DEEWR publication records is **10 April 2009**.

All publication records that the department wishes to submit for the non-DEEWR collection must be complete, correct and certified by the Head of Department by this date.

Both the Academic Liaison Officer and Head of Department are required to certify records. Please note that departmental submissions will not be accepted unless they have been certified by the Head of Department or delegate.

Additional non-DEEWR category records and changes made to existing records after this date will not be included in the non-DEEWR submission.

4. DEEWR Publication Categories

The four DEEWR publication categories that comprise the research publications component of the IGS and RTS funding schemes for the University are:

- A1 Books - Authored - Research
- B1 Chapters in Research Books
- C1 Journal Articles - Refereed
- F1 Conference Publications - Full Written Paper - Refereed

Note: as it is not practical to conduct a full count of all research output, the DEEWR publications component is intended as a broad indicator only and is not a comprehensive count of all quality research output.

4.1. Key Characteristics of Research Publications

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

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

Each research publication can only be counted once. If, for example, a conference paper is published in conference proceedings and is subsequently included as a chapter in a book, it can be counted as a chapter or as a conference paper but not both.

4.2. General Criteria for Classification in the DEEWR Publication Categories

In addition to fulfilling specific criteria, publications included the four DEEWR categories must also fulfil the more general criteria applicable to all DEEWR categories. The general criteria are:

- year of publication
- author’s affiliation with the University
- definition of research activity
- foreign language publications
- electronic works

The general criteria applicable to more than one DEEWR category, **but not all** are:

- commercial publisher
- peer review

4.2.1. Year of Publication

The research must have been published in 2008 and **the date of publication must appear within or on the work being claimed**. Letters from authors, editors, creators, etc., stating that a work was published in 2008, even though no such date exists within the publication, is not acceptable evidence of year of publication.

An exception to this may apply for journal articles or conference publications that are produced on CD ROM or are web-based and no date exists within or on the publication. In these instances a letter from the editor of the journal or the conference organiser may be accepted to indicate the year published. Note that this applies only to works

If the publication does not contain a by-line, a footnote or statement in the publication indicating that the research was undertaken in the author's capacity as a staff member or student of "The University of Melbourne" will be sufficient.

Where institutional affiliation is not identified within a work, the following is required to prove the author's affiliation:

- 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 University (see appendix 1: author's affiliation certification);

AND

- (provided by the Melbourne Research Office in the case of external audit) either:
 - (a) 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 University in 2008 (or earlier if that was when the research leading to the publication was conducted); or
 - (b) an official extract from the University's staff or student list that lists the author.

Where a publication shows that an author has affiliation to more than one institution (e.g., Janet Harvey, Tutor in Economics, University of X; PhD student, University of Y), each Australian university named in that by-line can claim the publication at full value.

Adjunct fellows, honorary staff members and staff on leave are considered affiliated with a university if the university is identified in the by-line.

4.2.3. DEEWR Definition of Research Activity

For the purposes of this collection, the essential characteristic of research activity is that it leads to publicly verifiable outcomes which are open to peer appraisal.

Research and experimental development comprises:

- Creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise new applications⁽¹⁾.
- Any activity classified as research and experimental development is characterised by originality; it should have investigation as a primary objective and should have the potential to produce results that are sufficiently general for humanity's stock of knowledge (theoretical and/or practical) to be recognisably increased. Most higher education research work would qualify as research and experimental development.

Research includes pure basic research, strategic basic research, applied research and experimental development.

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

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

(1) OECD definition of research and development

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

- preparation for teaching;
- scientific and technical information services;
- general purpose or routine data collection;
- standardisation and routine testing;
- feasibility studies (except into research and experimental development projects);
- specialised routine medical care;
- commercial, legal and administrative aspects of patenting, copyright or licensing activities; or
- routine computer programming, systems work or software maintenance (research and experimental development into applications software, new programming languages and new operating systems would normally meet the definition of research).

4.2.4. 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 meets the criteria of the category against which it is being claimed. This includes evidence that the work meets the DEEWR definition of research.

4.2.5. Electronic Works

Electronic works are eligible to be counted, provided they meet all of the criteria of the publication category against which they are being claimed.

4.2.6. Commercial Publisher

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

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

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

For the purpose of this data collection, university and other self-supporting higher education institution presses are regarded as commercial publishers, provided that they have responsibility for the distribution of the publication and not only its printing.

Note that many of the books published by professional bodies do not report original research findings but report the results of evaluations, or repackage existing information for the benefit of professionals or practitioners. It is important that Publication Coordinators and Academic Liaison Officers assess these publications very carefully against the DEEWR definition of research (see 4.2.3. DEEWR definition of research activity) and only count those publications which report research activities.

The following sort of companies may **not** be eligible to be listed as a commercial publisher:

- Publishing units within faculties in universities (note: the official publishing arm of a university, such as Melbourne University Press is eligible, but the publishing arm within a faculty, centre or department 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
- Companies that publish books but sub-contract printing and/or distribution thus having no responsibility for the entire publishing process

Evidence:

Any of the following are acceptable as evidence:

- **Publisher is retrievable from the University of Melbourne's Themis Publications Module**
Publishers retrievable from the publications system have been reviewed, and verification evidence for these publishers is retained by the Research Performance Analysis Group. This is not intended to be a comprehensive list of all acceptable publishers.
- **Publisher is listed in the DEEWR Register of Acceptable Publishers**
See http://www.research.unimelb.edu.au/rpag/datacollection/publications/journals_publishers/ to access the DEEWR register of acceptable commercial publishers. This list is no longer maintained by DEEWR, but publishers already listed may be used. This is not intended to be a comprehensive list of all acceptable publishers.
- **Further evidence to support that the publisher meets the DEEWR definition of commercial publisher**
If a publisher is not included in either of these lists further evidence must be obtained to support that the core business is producing books and distributing them for sale. Such evidence may include: a letter from the publisher (see appendix 2: verification letter to publisher) and/or a statement from the organisation's website.

If a publisher is not retrievable from the University of Melbourne's Themis Publications Module, Publication Coordinators or researchers must provide evidence to the Research Performance Analysis Group so that the publisher's details can be entered into the system. The evidence must **clearly** demonstrate that the publisher meets the DEEWR definition of commercial publisher.

4.2.7. Peer Review

For the purposes of this collection, an acceptable peer review process is one that involves an independent, expert review.

The peer review process must involve assessment of the publication:

- in its entirety – not merely an abstract or extract;
- before publication; and
- by appropriately independent, qualified experts. Independent in this context means independent of the author.

Evidence:

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

- **The journal is retrievable from the University of Melbourne's Themis Publications Module**
Journals retrievable from the publications system have been reviewed, and verification evidence for these journals is retained by the Research Performance Analysis Group. This list is not intended to be a comprehensive list of all refereed journals.

- The journal is listed in one of the Institute for Scientific Information indexes
Go to <http://www.isinet.com/journals> - then click on the master journal list link
- The journal is classified as “refereed” in Ulrich’s International Periodicals Directory
You must log into Ulrich’s through the Library’s SuperSearch system.
- The journal is included in DEEWR’s Register of Refereed Journals
Go to http://www.research.unimelb.edu.au/rpag/datacollection/publications/journals_publishers/ to access the DEEWR register of refereed journals. This list is no longer maintained by DEEWR, but journals already listed may be used. This is not intended to be a comprehensive list of all refereed journals.
- 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 (see appendix 3: verification letter to journal editor or appendix 4: verification letter to conference editor/organiser)
- A copy of a referee’s assessment relating to the article

Note:

- A statement from an author that a publication was peer reviewed will not be accepted.
- The existence of a national or international advisory board is not sufficient evidence that all relevant publications are assessed by members of it.

If a refereed journal is not retrievable from the University of Melbourne’s Themis Publications Module, Publication Coordinators or researchers must provide the following details to the Research Performance Analysis Group

- (a) name of the journal;
- (b) **clear** evidence of peer review;
- (c) flyleaf details of the journal showing ISSN, publisher and place of publication.

Once received, the journal details will be entered into the system.

4.3. Specific Criteria for Classification of DEEWR Categories

4.3.1. A1 – Books – Authored – Research

Verification requirements for audit purposes (to be held for 3 years)

Items to retain:

1. **table of contents**

2. **flyleaf and/or other introductory pages** showing all bibliographic information: affiliation with University of Melbourne for author(s) being claimed; all author(s) of book; all dates referring to copyright, publications, printing and distribution; title of book; publisher; place of publication; ISBN *

3. **preface and introduction** this evidence is required so auditors can assess the work against the DEEWR definition of research activity. In some cases other relevant evidence, such as the first chapter of the book or a statement by an expert in the field, may be required

4. **translation for LOTE publications (languages other than English)** please note that it is not necessary to translate the entire publication, but only the relevant sections required for the verification of information to demonstrate that it meets all the criteria of the A1 DEEWR category

* **Additional evidence** may be required to prove **author(s) affiliation** with the University of Melbourne, and to show that the publisher is a recognised **commercial publisher** – for information on evidence required see 4.2.2. author's affiliation with the University of Melbourne and 4.2.6. commercial publisher

Checksheets are available from <http://www.research.unimelb.edu.au/rpag/datacollection/publications/proforma/>

A1 – Books – Authored – Research

To be included in this category the publication must meet the DEEWR definition of research (see 4.2.3. *DEEWR definition of research activity*) as amplified in the key characteristics of research publications (see 4.1. *key characteristics of research publications*) and:

- must be a major work of scholarship;
- must be mainly previously unpublished material, making a substantial contribution to knowledge;
- must be offered for sale (i.e. for hard copies - bound; for CD-ROMs - packaged; for electronic books - on subscription or fee basis);
- have an International Standard Book Number (ISBN);
- be written entirely by a single author, or by joint authors who share responsibility for the whole book (i.e. individual chapters are not attributed to different authors); and
- have been published by a commercial publisher, as defined in section 4.2.6. commercial publisher.

The types of books that may meet the criteria include:

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

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

The types of books that are unlikely to meet the criteria include:

- **textbooks** (possibly A5);
- **anthologies** unless incorporating critical scholarly text/annotations which is a major work of scholarship in its own right (possibly A6);
- **edited books** (possibly A2);
- **creative works** such as novels (possibly J11 or J6);
- **translations** unless accompanied by a critical scholarly text which is a major work of scholarship in its own right (possibly A4); and
- **revisions/new editions** (possibly A3).

4.3.2. B1 – Chapters in Research Books

Verification requirements for audit purposes (to be held for 3 years)

Items to retain:

1. **table of contents** showing total number of chapters in book; page numbers of chapter +
2. **flyleaf and/or other introductory** pages showing all bibliographic information: affiliation with University of Melbourne for author(s) of chapter being claimed; all author(s) of book chapter; editor(s) of book; all dates referring to copyright, publications, printing and distribution; title of book; publisher; place of publication; ISBN *
3. the **entire chapter** showing the title of the book chapter and the preface and introduction of the book. All of this evidence is required so auditors can assess the work against the DEEWR definition of research activity. In some cases other relevant evidence, such as a statement by an expert in the field may be required
4. **translation for LOTE publications (languages other than English)** please note that it is not necessary to translate the entire publication, but only the relevant sections required for the verification of information to demonstrate that it meets all the criteria of the B1 DEEWR category

* **Additional evidence** may be required to prove **author(s) affiliation** with the University of Melbourne, and to show that the publisher is a recognised **commercial publisher** – for information on evidence required see 4.2.2. author's affiliation with the University of Melbourne and 4.2.6. commercial publisher

+ **Additional evidence** may be required if the chapter is a new chapter in a revised edition. In this case, the table of contents of the previous edition will also be required (or the preface if it indicates that the chapter is new)

Checksheets are available from <http://www.research.unimelb.edu.au/rpag/datacollection/publications/proforma/>

B1 – Chapters in Research Books

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 the DEEWR definition of research (see 4.2.3. *DEEWR definition of research activity*) as amplified in the key characteristics of research publications (see 4.1. *key characteristics of research publications*) and:

- the book must be a major work of scholarship;
- the book must make a substantial contribution to knowledge;
- the book must be offered for sale (i.e. for hard copies - bound; for CD-ROMs - packaged; for electronic books - on subscription or fee basis);
- the book must have an International Standard Book Number (ISBN); and
- the book must have been published by a commercial publisher, as defined in section 4.2.6. commercial publisher.

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 undertaken by the editor and makes a substantial contribution to a defined area of knowledge;
- a critical scholarly text of chapter length, e.g. in music, medieval or classical texts; and
- critical reviews of current research.

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

The types of book chapters that are unlikely to meet the criteria include:

- chapters in **textbooks** (possibly B2);
- entries in **reference books** (possibly D4);
- chapters in **anthologies** unless incorporating critical scholarly text/annotations which is a major work of scholarship in its own right (excluded completely);
- **minor revisions** of chapters in edited books (excluded completely);
- **forewords** (excluded completely);
- **brief introductions** (excluded completely);
- **brief editorials** (excluded completely);
- **appendices** (excluded completely);
- chapters in **creative works** such as collections of short stories (possibly J6);
- chapters within book **translations** unless accompanied by a critical scholarly text which is a major work of scholarship in its own right (excluded completely).

Note:

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

Conference papers published in books which meet all criteria for category B1 as well as all criteria for category F1 may be counted in either (but NOT both). The verification requirements will be those applicable to the category in which the publication is counted.

4.3.3. C1 – Journal Articles – Refereed

Verification requirements for audit purposes (to be held for 3 years)

Items to retain:

1. the **entire article** showing all bibliographic information: affiliation with University of Melbourne for author(s) being claimed; all author(s) of journal article; all dates referring to copyright, publications, printing and distribution; title of journal; title of journal article; issue number of journal; volume number of journal; page numbers of journal article; publisher; place of publication, ISSN. (If some of this bibliographic information is not shown then photocopies of the flyleaf or other pages containing this information will need to be retained) *

2. **proof of peer review** for the journal (for details of evidence required see 4.2.7. peer review)

3. **translation for LOTE publications (languages other than English)** please note that it is not necessary to translate the entire publication, but only the relevant sections required for the verification of information to demonstrate that it meets all the criteria of the C1 DEEWR category

* **Additional evidence** may be required to prove **author(s) affiliation** with the University of Melbourne – for more information on evidence required see 4.2.2. author's affiliation with the University of Melbourne

Checksheets are available from <http://www.research.unimelb.edu.au/rpag/datacollection/publications/proforma/>

C1 – Journal Articles – Refereed

To be included in this category the journal article must meet the DEEWR definition of research (see 4.2.3. *DEEWR definition of research activity*) as amplified in the key characteristics of research publications (see 4.1. *key characteristics of research publications*) and must:

- be a substantial work of scholarship published in a scholarly journal;
- have been peer reviewed, as defined in section 4.2.7. peer review; and
- 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.

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;
- critical scholarly texts which appear in article form;
- articles reviewing multiple works or an entire field of research;
- invited papers in journals;
- articles in journals which are targeted to both scholars and professionals; and
- articles in a stand alone series.

The types of journal articles that are unlikely to meet the criteria include:

- **letters to the editor** (possibly C3 or C5);
- **case studies** (possibly C2 or C5);
- articles designed to **inform practitioners** on existing knowledge in a professional field (possibly C2 or C5);
- articles in **newspapers** and **popular magazines** (excluded completely);
- **editorials** (possibly C3);
- **book reviews** (possibly C3);
- **brief commentaries** and **communications** of original research (possibly C3 or C5); and
- **reviews** of art exhibitions, concerts and theatre productions (possibly C3).

Note:

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

Conference papers published in journals which meet all criteria for category C1 as well as all criteria for category F1 may be counted in either (but NOT both). The verification requirements will be those applicable to the category in which the publication is counted.

4.3.4. F1 – Conference Publications – Full Written Paper – Refereed

Verification requirements for audit purposes (to be held for 3 years)

Items to retain:

1. **table of contents, preface and introduction** of the conference publication
2. **flyleaf or other introductory pages** showing all bibliographic information: affiliation with University of Melbourne for author(s) being claimed; editor(s) of conference publication; all dates referring to copyright, publications, printing and distribution; title of conference publication; issue and volume number of conference publication (if applicable); conference name; date of conference; location of conference; publisher; place of publication; ISBN/ISSN (if applicable) *
3. the **entire paper** showing title of conference paper; all author(s) of conference paper; page numbers of conference paper. This evidence is also required so auditors can assess the work against the DEEWR definition of research activity. In some cases other relevant evidence, such as a statement by an expert in the field, or the preface/introduction may be required.
4. **proof of peer review** (for details of evidence required see 4.2.7. peer review)
5. **proof of national/international significance** of the conference
6. **proof of keynote status** (if applicable)
7. **translation for LOTE publications (languages other than English)** please note that it is not necessary to translate the entire publication, but only the relevant sections required for the verification of information to demonstrate that it meets all the criteria of the F1 DEEWR category

* **Additional evidence** may be required to prove **author(s) affiliation** with the University of Melbourne – for information on evidence required see 4.2.2. author's affiliation with the University of Melbourne

Checksheets are available from <http://www.research.unimelb.edu.au/rpag/datacollection/publications/proforma/>

F1 – Conference Publications – Full Written Paper – Refereed

To be included in this category the conference publication must meet the DEEWR definition of research (see 4.2.3. *DEEWR definition of research activity*) as amplified in the key characteristics of research publications (see 4.1. *key characteristics of research publications*) and must:

- be published. The papers may appear in a number of different formats, e.g. 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;
- be peer reviewed, as defined in section 4.2.7. peer review;
- be the full written version of the conference paper (not the abstract or extended abstract) and;
- be presented at conferences, workshops or seminars of national or international significance.

As meetings called “workshops” or “seminars” generally have lower status than meetings called “conferences”, you must be able to demonstrate clearly that they have national or international significance and include the evidence with the verification materials, as for any conference.

The types of conference publications that may meet the criteria include:

- Keynote addresses where all other papers for the conference are peer reviewed, and evidence is provided both of the keynote status of the address (e.g. contents page) and of the other contributions to the conference being peer reviewed (e.g. a statement in the introduction to proceedings indicating this).

The types of conference publications that are unlikely to meet the criteria include:

- Conference papers that appear only in a volume handed out to conference participants (excluded completely).

Note:

Conference papers published in books which meet all criteria for category B1 as well as all criteria for category F1 may be counted in either (but NOT both). The verification requirements will be those applicable to the category in which the publication is counted.

Conference papers published in journals which meet all criteria for category C1 as well as all criteria for category F1 may be counted in either (but NOT both). The verification requirements will be those applicable to the category in which the publication is counted.

5. Non-DEEWR Publication Categories

5.1. Non-DEEWR Publication Categories A : Books

General Criteria:

- The item must be published within the calendar year of collection;
- The author(s) being claimed must have been a staff member or student of The University of Melbourne when the research leading to the publication was carried out;
- The item must have an ISBN;
- Creative published works are excluded from these categories (possibly J11 or J6);
- It is not necessary for the book publisher to meet the DEEWR criteria of commercial publisher;
- The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these (see section 4.2.3.1.);
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

A2 Edited Books	<p>This category is used to claim for the editor(s) of a book consisting of contributions from a number of authors.</p> <p>Exclude:</p> <ul style="list-style-type: none"> • edited books that are not the 1st edition (possibly A3) • edited creative published work (excluded completely) • editorship of journals or conference publications (excluded completely)
A3 Revisions and/or New Editions	<p>This category is used to claim 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.</p> <p>Exclude:</p> <ul style="list-style-type: none"> • reprints that do not involve substantial additions or revisions (excluded completely) • revision/new edition of creative published work (possibly J6)
A4 Translated Books	<p>This category is used to claim for the translator(s) of a book authored by some other person.</p> <p>Exclude:</p> <ul style="list-style-type: none"> • short/minor translations not involving the translation of an entire book (excluded completely) • translations of a book where the translator is also the author, or where the translator has also written critical scholarly text which accompanies the translation and is a major work of scholarship in it's own right (possibly A1 or A6) • translated books that are not the 1st edition (excluded completely)
A5 Textbooks	<p>This category is used to claim for the author(s) of a textbook whose target readership is university students (undergraduate and postgraduate).</p> <p>Exclude:</p> <ul style="list-style-type: none"> • textbooks whose target readership is secondary, primary or pre-school students (excluded completely) • reading packs, lecture notes or practical notes (excluded completely) • textbooks that are not the 1st edition (possibly A3)
A6 Authored Books (Other)	<p>This category is used to claim for 'other' books written solely by the author(s) that cannot be classified within the A1 DEEWR book category or any of the non-DEEWR book categories (see above).</p> <p>Include:</p> <ul style="list-style-type: none"> • substantial research monographs published by university departments that are not likely to meet the DEEWR definition of commercial publisher • books published by private individuals or privately funded companies (i.e. vanity presses) that are not likely to meet the DEEWR definition of commercial publisher • annotated anthologies <p>Exclude:</p> <ul style="list-style-type: none"> • creative published works (possibly J11 or J6) • working papers, technical reports, discussion papers etc. published by university departments (possibly G4 or G5) • unpublished reports (excluded completely)

5.2. Non-DEEWR Publication Category B: Chapters in Books

General Criteria:

- The item must be published within the calendar year of collection;
- The author(s) being claimed must have been a staff member or student of The University of Melbourne when the research leading to the publication was carried out;
- The book must have an ISBN;
- Creative published works are excluded from this category (possibly J6);
- It is not necessary for the book publisher to meet the DEEWR criteria of commercial publisher;
- The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these (see section 4.2.3.1.);
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

<p>B2 Chapters in Books (Other)</p>	<p>This category is used to claim for chapters in an edited compilation in which the material is subject to editorial scrutiny.</p> <p>Include:</p> <ul style="list-style-type: none"> • chapters in books published by private individuals, university departments and privately funded companies (i.e. vanity presses) that are not likely to meet the DEEWR definition of commercial publisher • chapters in textbooks • chapters in major reports or government department publications that are not published by a publisher that meets the DEEWR definition of commercial publisher, and which appear in book format rather than report format (possibly G4) <p>Exclude:</p> <ul style="list-style-type: none"> • minor revisions of chapters in edited books (excluded completely) • chapters in textbooks whose target readership is secondary, primary or pre-school students (excluded completely) • brief introductions, forewords and editorials which do not consist of substantial scholarly text (excluded completely) • chapters in minor reports (excluded completely) • chapters in reference works (possibly D4) • chapters in creative published works (possibly J6) • chapter translations in translated books (excluded completely) • chapters in annotated anthologies (excluded completely) • appendices (excluded completely)
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5.3. Non-DEEWR Publication Categories C: Journal Articles

General Criteria:

- The item must be published within the calendar year of collection;
- The author(s) being claimed must have been a staff member or student of The University of Melbourne when the research leading to the publication was carried out;
- The journal must be a scholarly journal controlled by an editorial board but it does not necessarily have to meet the DEEWR criteria of peer review;
- Creative published works are excluded from this category (possibly J6);
- Include articles which are works of scholarship, not merely works of composition of a professional or even non-professional nature. The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these (see section 4.2.3.1.);
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

<p>C2 Unrefereed Journal Articles</p>	<p>This category is used to claim for non-peer reviewed works of scholarship published in a scholarly or professional journal controlled by an editorial board. Please note that the journal can either be peer reviewed according to DEEWR criteria or not peer reviewed.</p> <p>Include:</p> <ul style="list-style-type: none"> • articles designed to inform practitioners on existing knowledge in a professional field • case studies <p>Exclude:</p> <ul style="list-style-type: none"> • editorials, letters to the editor and book reviews (possibly C3) • non-scholarly, non-research articles (excluded completely) • articles in newspapers and popular magazines (excluded completely) • reviews of art exhibitions, concerts, theatre productions (possibly C3)
<p>C3 Unrefereed Letters or Notes</p>	<p>This category is used to claim for non-peer reviewed communications (including editorial commentary) published in a scholarly or professional journal controlled by an editorial board. Please note that the journal can either be peer reviewed according to DEEWR criteria or not peer reviewed.</p> <p>Include:</p> <ul style="list-style-type: none"> • commentaries and brief communications of original research that are not subject to peer review • editorials, letters to the editor and book reviews • reviews of art exhibitions, concerts, theatre productions <p>Exclude:</p> <ul style="list-style-type: none"> • non-scholarly, non-research articles (excluded completely) • articles in newspapers and popular magazines (excluded completely)
<p>C5 Other Refereed Contributions to Refereed Journals</p>	<p>This category is used to claim for peer reviewed research notes, commentaries and brief communications of original research that meet the DEEWR criteria of peer review but are not substantial works of scholarship in article form.</p> <p>Include:</p> <ul style="list-style-type: none"> • letters to the editor that are subject to peer review • critical scholarly texts that are subject to peer review but are not substantial works of scholarship in article form • contributions from journals that are peer reviewed, even if the journal does not have an ISSN <p>Exclude:</p> <ul style="list-style-type: none"> • letters to the journal Nature (possibly C1) • commentaries and brief/rapid communications that are substantial works of scholarship in article form (possibly C1)

5.4. Non-DEEWR Publication Category D: Reference Works

General Criteria:

- The item must be published within the calendar year of collection;
- The author(s) being claimed must have been a staff member or student of The University of Melbourne when the research leading to the publication was carried out;
- The item must have an ISBN;
- It is not necessary for the book publisher to meet the DEEWR criteria of commercial publisher;
- Creative published works are excluded from this category (possibly J6);
- The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these (see section 4.2.3.1.);
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

D4 Major Reference Works	<p>This category is used to claim for substantial research contributions to scholarly publications such as a dictionary, encyclopaedia, guideline manual or handbook.</p> <p>Include:</p> <ul style="list-style-type: none">• entire reference works written solely by the author(s)• substantial revisions/additions to previously published reference works <p>Exclude:</p> <ul style="list-style-type: none">• minor revisions/additions to previously published reference works (excluded completely)
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5.5. Non-DEEWR Publication Category F: Conference Publications

General Criteria:

- The item must be published within the calendar year of collection;
- The author(s) being claimed must have been a staff member or student of The University of Melbourne when the research leading to the publication was carried out;
- Conference papers need to be made widely available (not just handed to conference participants at the conference);
- The conference publication must be a scholarly publication controlled by an editorial board/editor(s);
- Creative published works are excluded from this category (possibly J6);
- The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these (see section 4.2.3.1.);
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

F2 Fully Written Unrefereed Conference Papers	<p>This category is used to claim for fully written conference papers which are not subject to peer review according to DEEWR criteria. The conference paper can be published in a number of different formats (i.e. a volume of proceedings, a special edition of a journal, a normal issue of a journal, a book or a monograph).</p> <p>Include:</p> <ul style="list-style-type: none">• fully written conference papers where the full paper has been published and not just the abstract or extract <p>Exclude:</p> <ul style="list-style-type: none">• published conference abstracts (excluded completely)
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5.6. Non-DEEWR Publication Categories G: Report/Working Papers

General Criteria:

- The item must be published within the calendar year of collection;
- The author(s) being claimed must have been a staff member or student of The University of Melbourne when the research leading to the publication was carried out;
- Report/working papers must be non-confidential;
- It is not necessary for the publisher to meet the DEEWR criteria of commercial publisher;
- Creative published works are excluded from this category (possibly J6);
- The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these (see section 4.2.3.1.);
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

<p>G4 Major Reports</p>	<p>This category is used to claim for major reports that are widely available in the public domain.</p> <p>Include:</p> <ul style="list-style-type: none"> • for example major evaluative and investigative government department reports <p>Exclude:</p> <ul style="list-style-type: none"> • reports that are only available internally (i.e. to other University of Melbourne departments) (possibly G5) • confidential reports (excluded completely) • unpublished reports (excluded completely) • a chapter or section of a major report (possibly B2, if substantial)
<p>G5 Minor Reports/ Working Papers</p>	<p>This category is used to claim for minor reports/working papers that are only available internally (i.e. to other University of Melbourne departments).</p> <p>Include:</p> <ul style="list-style-type: none"> • University department reports/working papers that are not disseminated widely outside the University including reports used to complement internal department seminars <p>Exclude:</p> <ul style="list-style-type: none"> • confidential reports/working papers (excluded completely) • unpublished reports/working papers (excluded completely) • a chapter or section of a minor report (excluded completely)

5.7. Non-DEEWR Publication Category I: Patents

General Criteria:

- This category refers to full patents (or equivalent) on specific products or processes granted for the first time, either in Australia or in an overseas country;
- The inventor being claimed must have been a staff member or student of The University of Melbourne when the research leading to the patent was carried out;
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

I1 Patents	<p>This category is used to claim for patents which must:</p> <ul style="list-style-type: none">(i) Be for a product or process for which a full patent (or its equivalent) has been granted;(ii) Be granted for the first time in 2008;(iii) Be either owned by the University, a commercial subsidiary, controlled entity or affiliated institution or the research leading to the patent must have been undertaken at The University of Melbourne;(iv) Not include multiple rights for the same product or process;(v) Not include applications for which no determination has been made on patent rights. <p>Include:</p> <ul style="list-style-type: none">• plant breeder rights
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5.8. Non-DEEWR Publication Categories Ji: Creative Published Works

General Criteria:

- This category refers to written original creative works that are publicly and commercially distributed;
- The item must be published within the calendar year of collection;
- The author(s) being claimed must have been a staff member or student of The University of Melbourne when the research leading to the creative work was carried out;
- The item must have an ISBN for published works;
- The item must be of at least 20 minutes in duration (where applicable);
- The item must make a scholarly and original contribution to creative work;
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

<p>J11 Major Original Creative Published Works</p>	<p>This category is used to claim for major written creative works that are:</p> <p>(i) Offered for sale; (ii) Published for the first time in 2008; (iii) Of at least 20 minutes in duration (where applicable);</p> <p>Include:</p> <ul style="list-style-type: none"> • novels • books of poetry • published play or film scripts • published scores of musical works <p>Exclude:</p> <ul style="list-style-type: none"> • reviews of art exhibitions, theatre productions, concerts etc (possibly C3)
<p>J6 Minor Original Creative Published Works</p>	<p>This category is used to claim for relatively brief or small-scale creative, scholarly published works which are bound separately or as part of a collection of works.</p> <p>Include:</p> <ul style="list-style-type: none"> • short stories • individual poems • published play or film scripts for production which are less than 20 minutes in duration • published scores of musical works with a duration of less than 20 minutes • substantial revisions/additions to previously published creative works <p>Exclude:</p> <ul style="list-style-type: none"> • reviews of art exhibitions, theatre productions, concerts etc (possibly C3) • articles in newspapers and popular magazines (excluded completely) • minor revisions/additions to previously published creative works (excluded completely) • concert performances and theatre productions (excluded completely)

5.9. Non-DEEWR Publication Categories Jii: Creative Recorded Works

General Criteria:

- The item must be published within the calendar year of collection;
- The author(s) being claimed must have been a staff member or student of The University of Melbourne when the research leading to the creative work was carried out;
- The item must make a scholarly and original contribution to creative work;
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

<p>J12 Major Original Creative Recorded Works</p>	<p>This category is used to claim for major recorded creative works that are:</p> <ul style="list-style-type: none"> (i) Offered for sale; (ii) Published for the first time in 2008; (iii) Of at least 20 minutes in duration; <p>Include:</p> <ul style="list-style-type: none"> • recordings of live music, theatre or dance performances • films, multimedia productions or sound productions <p>Exclude:</p> <ul style="list-style-type: none"> • live music, theatre or dance performances (excluded completely)
<p>J7 Minor Original Creative Recorded Works</p>	<p>This category is used to claim for relatively brief or small-scale creative, scholarly recorded works which are recorded separately or as part of a collection of works.</p> <p>Include:</p> <ul style="list-style-type: none"> • recorded music, theatre or dance performances which are less than 20 minutes in duration • recorded films, multimedia or sound productions which are less than 20 minutes in duration • substantial revisions/additions to previously recorded creative works <p>Exclude:</p> <ul style="list-style-type: none"> • minor revisions/additions to previously published recorded works (excluded completely) • live music, theatre or dance performances (excluded completely)

5.10. Non-DEEWR Publication Categories Jiii: Creative Exhibited Works

General Criteria:

- This category refers to curated individual exhibitions of original art or design;
- The item must be exhibited within the calendar year of collection, i.e. the first day of the exhibition must fall within the calendar year of collection;
- The exhibitor(s) being claimed must have been a staff member or student of The University of Melbourne when the research leading to the creative work was carried out;
- The exhibition must be held in a recognised independent public or commercial gallery or museum (i.e., an autonomous entity for which the core business is exhibiting creative works). The entity must contain a governing board, be a financial on-going concern and employ staff;
- The item must make a scholarly and original contribution to creative work;
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

<p>J13 Major Curated Individual Exhibitions of Original Art</p>	<p>This category is used to claim for an exhibition that:</p> <p>(i) Has been exhibited for the first time in 2008 (the first day of the exhibition must occur in 2008 even if the majority of the exhibition occurs in another year);</p> <p>(ii) Contains substantial collections of original work by an individual artist (or collaboration) exhibited for the first time in a recognised gallery or museum;</p> <p>(iii) Accompanied by a published catalogue identifying the individual designs, the name of the curator and the timing and location of the exhibition;</p> <p>(iv) Advertised in the arts or state or national press, or in professional journals</p> <p>Exclude:</p> <ul style="list-style-type: none"> • exhibitions which have more than one exhibitor (other than collaborations), even if one person is the main exhibitor (possibly J8)
<p>J8 Minor Exhibitions of Original Art/ Design</p>	<p>This category is used to claim for a collection of at least 3 original creative art/design works by an individual artist/designer (or collaboration) exhibited for the first time in a gallery or museum. These works should be individually listed in a published catalogue identifying the timing and location of the exhibition.</p> <p>Include:</p> <ul style="list-style-type: none"> • creative art/design works from exhibitions that exhibit works by more than one exhibitor • creative art/design works from exhibitions of an individual art/design exhibitor if it does not meet the criteria for the non-DEEWR category J13 • creative art/design exhibitions which are exhibited again, after it has been exhibited for the first time, but in a substantially different context <p>Exclude:</p> <ul style="list-style-type: none"> • creative art/design exhibitions which are exhibited at various locations after it has been exhibited the first time round. Only the very first exhibition can be considered (excluded completely) • creative art/design exhibitions which are exhibited again, after it has been exhibited for the first time, but in a slightly different context (excluded completely)

5.11. Non-DEEWR Publication Category M: Computer Software

General Criteria:

- The item must be published within the calendar year of collection;
- The software programmer(s) being claimed must have been a staff member or student of The University of Melbourne when the research leading to the computer software was carried out;
- It is not necessary for the distributor to meet the DEEWR criteria of commercial distributor;
- The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these (see section 4.2.3.1.);
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

<p>M5 Computer Software Products</p>	<p>This category is used to claim for innovative software products of commercial quality and offered for sale or distributed as shareware through a publisher or distributor</p> <p>Include:</p> <ul style="list-style-type: none"> • system software (i.e. low-level programs that interact with the computer at a very basic level such as operating systems, compilers and utilities for managing computer resources) • application software (i.e. software that performs a specific task or function such as word-processing, creation of spreadsheets, generation of graphics, facilitating email etc.) • multimedia products (i.e. products that mix text and graphics with additional features such as sound, motion/animation and video to produce advanced human-computer interactivity) • innovative software products designed primarily for undergraduate and postgraduate university students • innovative software products designed for scholars • computer software versions other than the 1st version only if significantly improved <p>Exclude:</p> <ul style="list-style-type: none"> • multimedia products with limited human interactive ability (possibly N4) • creative multimedia productions (possibly J12 or J7) • software designed primarily for secondary, primary or pre-school students (excluded completely)
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5.12. Non-DEEWR Publication Category N: Audio-Visual Recordings

General Criteria:

- The item must be published within the calendar year of collection;
- The author(s) being claimed must have been a staff member or student of The University of Melbourne when the research leading to the audio-visual recording was carried out;
- It is not necessary for the distributor to meet the DEEWR criteria of commercial distributor;
- The item must be a substantial work of scholarship involving pure basic research, strategic basic research, applied research or experimental development research, or a combination of these (see section 4.2.3.1.);
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

<p>N4 Audio-Visual Recordings</p>	<p>This category is used to claim for substantial and scholarly works presented in audio-visual form and offered for sale under the imprint of a publisher or distributor. It should cover the presentation of research findings and factual information.</p> <p>Include:</p> <ul style="list-style-type: none"> • ethnographic films – films that represent human cultures, using the medium to examine cultural specificity and variation (i.e. what people look like, where they live, how they move, what they think) • audio-visual presentations of dynamic research output such as fluid mechanics, robotics, visual motion, new surgery techniques, guides to collected sound recordings, conference presentations that have not already been counted within the F category (even if they qualify for inclusion under F it must be classified as either N4 or F1/F2 but NOT both) • substantial television documentaries that are based on research • audio-visual teaching material designed primarily for undergraduate and postgraduate university students <p>Exclude:</p> <ul style="list-style-type: none"> • television interviews of short duration that are research-based and not offered for sale (excluded completely) • creative audio-visual recordings (possibly J12 or J7) • audio-visual teaching material designed primarily for secondary, primary or pre-school students (excluded completely) • multimedia products (possibly M5)
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5.13. Non-DEEWR Categories R: Theses Passed or in Progress

R11 Theses Passed for Higher Degrees	<p>This category is used to claim for theses passed. Research Master, Doctor of Philosophy and Higher Doctorate are recorded here.</p> <p>Include:</p> <ul style="list-style-type: none">• students/staff enrolled in the University of Melbourne only <p>Exclude:</p> <ul style="list-style-type: none">• coursework or honours degrees• staff enrolled in other institutions
R12 Theses in Progress for Higher Degrees	<p>This category is used to claim for theses in progress. Research Master, Doctor of Philosophy and Higher Doctorate are recorded here.</p> <p>Include:</p> <ul style="list-style-type: none">• students/staff enrolled in the University of Melbourne only <p>Exclude:</p> <ul style="list-style-type: none">• coursework or honours degrees• staff enrolled in other institutions

Appendix 1 - Author's Affiliation Certification

2008 Publications Collection

Author's affiliation verification statement

I _____

(please print)

certify that the research leading to the publication of

was undertaken in my capacity as a staff member/student of the University of Melbourne.

Signed: _____ Date: _____

Appendix 2 - Verification Letter to Publisher

2008 Publications Collection

Letter to publisher regarding publishing practices

To the Managing Director of (*enter publisher's name*),

Re: (*enter author(s); year; title of book; publisher; place of publication; ISBN*)

The Australian Commonwealth Department for Education, Employment and Workplace Relations (DEEWR) annually collects data on research publications. A set of criteria are used to determine whether a publication can be included in the DEEWR submission – if it can be included, it attracts external government funding.

One of the DEEWR criteria used for books is whether it has been published by a commercial publisher. According to DEEWR, a recognised commercial publisher is an entity for which the core business is producing books and distributing them for sale (i.e. the publishing of books). Also, according to DEEWR, 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 will also be accepted as a commercial publisher.

As the Managing Director, could you please verify whether (*enter publisher's name*) meets these requirements. Also, DEEWR requires a statement demonstrating the Managing Director's link with the publisher name (this can be easily provided by your signature block in your reply email).

I would be most grateful if you could provide me with this information by selecting one of the statements below:

1). The **core** business of (*enter publisher's name*) is producing books and distributing them for sale (i.e. the publishing of books).

OR

2). Publishing is not the core business of (*enter publisher's name*) but there is a distinct organisational entity devoted to commercial publication and its publications are not completely paid for or subsidised by (*enter publisher's name*) (the parent organisation) or a third party.

OR

3). It is not the core business of (*enter publisher's name*) to produce books and distribute them for sale (i.e. the publishing of books).

Regards,

Name of Publication Coordinator

Publication Coordinator's Signature Block

Appendix 3 - Verification Letter to Journal Editor

2008 Publications Collection

Letter to journal editor for peer review evidence

To the editor of the journal (*enter journal name*),

Re: (*enter author(s); year; title of journal article; title of journal; volume, issue and page numbers*)

The Australian Commonwealth Department for Education, Employment and Workplace Relations (DEEWR) annually collects data on research publications. A set of criteria are used to determine whether a publication can be included in the DEEWR submission – if it can be included, it attracts external government funding.

One of the DEEWR criteria used for journal articles is whether it is published in a peer reviewed journal. As the journal editor of (*enter journal name*), could you please verify whether (*enter journal name*) is peer reviewed. Please note that an acceptable peer review process, according to DEEWR, is one that involves an independent, expert review. The peer review process must involve assessment of the publication (i) in its entirety – not merely an abstract or extract; (ii) before publication; and (iii) by appropriately independent, qualified experts. Independent in this context means independent of the author. Also, DEEWR requires a statement demonstrating the journal editor's link with the journal (this can be easily provided by your signature block in your reply email).

I would be most grateful if you could provide me with this information by selecting one of the statements below.

1). Articles within the journal (*enter journal name*) are peer reviewed. The peer review process involves assessment of the publication (i) in its entirety – not merely an abstract or extract; (ii) before publication; and (iii) by appropriately independent, qualified experts. Independent in this context means independent of the author.

OR

2). Articles within the journal (*enter journal name*) are not peer reviewed. The peer review process does not involve assessment of the publication (i) in its entirety – not merely an abstract or extract; (ii) before publication; and/or (iii) by appropriately independent, qualified experts. Independent in this context means independent of the author.

Regards,

Name of Publication Coordinator

Publication Coordinator's Signature Block

Appendix 4 - Verification Letter to Conference Editor/Organiser

2008 Publications Collection

Letter to conference editor/organiser for peer review evidence

To the editor/organiser of the conference (*enter conference name*),

Re: (*enter author(s); year; title of conference paper; title of conference publication; volume, issue and page numbers*)

The Australian Commonwealth Department for Education, Employment and Workplace Relations (DEEWR) annually collects data on research publications. A set of criteria are used to determine whether a publication can be included in the DEEWR submission – if it can be included, it attracts external government funding.

One of the DEEWR criteria used for conference papers is whether it is published in a peer reviewed conference publication. As the conference editor/organiser of (*enter conference name*), could you please verify whether papers within title of conference publication were peer reviewed. Please note that an acceptable peer review process, according to DEEWR, is one that involves an independent, expert review. The peer review process must involve assessment of the publication (i) in its entirety – not merely an abstract or extract; (ii) before publication; and (iii) by appropriately independent, qualified experts. Independent in this context means independent of the author. Also, DEEWR requires a statement demonstrating the conference editor's link with the conference (this can be easily provided by your signature block in your reply email).

I would be most grateful if you could provide me with this information by selecting one of the statements below.

1). Fully written conference papers within the conference publication for the conference (*enter conference name*) were peer reviewed. The peer review process involved assessment of the publication (i) in its entirety – not merely an abstract or extract; (ii) before publication; and (iii) by appropriately independent, qualified experts. Independent in this context means independent of the author.

OR

2). Fully written conference papers within the conference publication for the conference (*enter conference name*) were not peer reviewed. The peer review process did not involve assessment of the publication (i) in its entirety – not merely an abstract or extract; (ii) before publication; and/or (iii) by appropriately independent, qualified experts. Independent in this context means independent of the author.

Regards,

Name of Publication Coordinator

Publication Coordinator's Signature Block