2015
Publications Collection
Classification Guidelines

Version 1

For the Collection and Classification of 2015 University Research Publications
May 2015
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 and Innovation 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. The data collected is stored in an Ingres database that is web enabled and is accessible through the use of a web browser. Publication Coordinators and Academic Liaison Officers from each department collect and classify publications and forward their submission annually, to the Research Performance Analysis Group (RPAG) of the Melbourne Research and Innovation Office (MRIO), who manage the collection. The data provides the university with valuable information on the research activity of its staff and 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 both in paperback and on the university web site at http://www.research.unimelb.edu.au/research.report/index.html
- 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, both 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, Science and Training (HERD) are based. Publications, as a research key performance indicator, also contribute to the internal allocation of research funding.

1.1.1. Federal Government (HERDC) Funding

The Commonwealth Department of Education, Employment and Workplace Relations (HERDC) allocates research infrastructure funds based on research performance. These funds include the Institutional Grants Scheme (IGS). HERDC 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, HERDC 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 HERDC to allocate the University’s share of the Institutional Grants Scheme (IGS) and Research Training Scheme jobs (RTS).

1.1.2. Retention of Verification Evidence - Audit Purposes

HERDC imposes a comprehensive and rigorous set of guidelines in the management of the publications collection. It is imperative that publications reported to HERDC meet the criteria prescribed by HERDC 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 HERDC 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 HERDC or non-HERDC 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 within the university. Comprehensive training on classifying publications and the use of the online publications system is conducted annually by MRIO. Publication Coordinators are strongly recommended to attend these training sessions each year.

The Publication Coordinator is responsible for:

- the collection of all publication data from department academic staff and students;
- the classification of all publications against the hard evidence (in collaboration with the Academic Liaison Officer);
- entering and checking the accuracy of all bibliographic data recorded within the online publications system against the hard evidence;
- the central storage of verification evidence for all department HERDC publications, for each collection year (information verifying the classification of HERDC 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 within the university for the position of Academic Liaison Officer. Comprehensive training on classifying publications and the use of the online publications system is conducted annually by MRIO. Academic Liaison Officers are strongly recommended to attend these training sessions each year.

The role of the Academic Liaison Officer is to (i). Provide expertise within 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.

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 HERDC or non-HERDC collections.
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/performance/collect/publications/proformas).

3.1. HERDC Publication Submission Process

The due date for HERDC publication records is **05 March 2015**.

All publication records that the department wishes to submit for the HERDC 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 HERDC category records and changes made to existing records after this date will not be included in the HERDC submission.

3.2. Non-HERDC Publication Submission Process

The due date for non-HERDC publication records is **29 April 2015**.

All publication records that the department wishes to submit for the non-HERDC 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-HERDC category records and changes made to existing records after this date will not be included in the non-HERDC submission.
4. **HERDC Publication Categories**

The four HERDC 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 HERDC 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 within the HERDC Publication Categories**

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

- Year of Publication
- Author’s Affiliation with the University
- Definition of Research Activity
- Foreign Language Publications

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

- Commercial Publisher
- Peer Review
4.2.1 Year of Publication

The research must have been published in 2015 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 2015, 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 where no date exists within the work being claimed. A letter from an editor or conference organiser cannot override a date that is displayed within the work.

**Journal articles that are in preprint status** are not to be entered until they have been assigned a volume number or article number. As the year often changes between pre-print and post-print status it is important to create a publication for the year it has been assigned to a volume or article number.

A work published in 2012 cannot be counted as a 2015 publication, even if it is not received by the author or by libraries until 2015.

For **Published and Recorded Works**, the year of publication would normally be the **latest** of either:

- the nominal year (e.g. Australian Journal of Astrophysics December 2015);
- the year indicated as published (e.g. Australian Society of Marsupial Zoology Journal – "published February 2015");
- the year indicated as printed (e.g. A History of the Australian Red Cross – "printed February 2015");
- the year of copyright (e.g. Petrology – Vol 16 No 6 - © 2015).

**as shown within the publication itself.** (Nominal year, publishing year, year printed and year of copyright will not be shown in every case).

Copies of the pages showing the available publication details must be included in verification materials.

This means that if the first publication (e.g. Australian Journal of Astrophysics December 2015) is shown as having been published, printed or copyrighted in 2015, it cannot be counted in the current collection because the nominal year of publication has been overridden. It will have to be considered for the following collection of year 2015 publications.

4.2.2. **Author’s Affiliation with the University of Melbourne**

To prove the author’s affiliation, the publication must contain a by-line which identifies the University by stating “The University of Melbourne”. The by-line must be within or on the work being claimed (see figure 1 for an example of a by-line).

Please note that it is not necessary for the by-line or author affiliation to name a department, school or centre.
Monoclonal Antibodies by Somatic Cell

Christine M. Grimaldi and Deborah L. French

INTRODUCTION

Immunoglobulins or antibody molecules are synthesized by B-lymphocytes in response to a spectrum of biological macromolecules. Interestingly here, immunoglobulins or antibody molecules are synthesized by B-lymphocytes in response to a spectrum of biological macromolecules. Interestingly here, immunoglobulins or antibody molecules are synthesized by B-lymphocytes in response to a spectrum of biological macromolecules. Interestingly here, immunoglobulins or antibody molecules are synthesized by B-lymphocytes in response to a spectrum of biological macromolecules. Interestingly here, immunoglobulins or antibody molecules are synthesized by B-lymphocytes in response to a spectrum of biological macromolecules. Interestingly here, immunoglobulins or antibody molecules are synthesized by B-lymphocytes in response to a spectrum of biological macromolecules.

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Figure 1: Example of a By-line in a Journal Article

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 3: Author’s Affiliation Certification)*

AND

- 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 2012 (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. HERDC 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.

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).

\(^{(1)}\) OECD definition of research and development

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 HERDC definition of research.

4.2.6. Commercial Publisher

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

**Important note:**

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 HEP presses are also regarded as commercial publishers, provided that they have responsibility for distribution in addition to publication.

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 HERDC definition of research (see 5.2.3. HERDC 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 University of Melbourne Press is eligible, but the publishing arm within a faculty, centre or department may not be eligible).
- Clearinghouses
- Publishing arms of museums of 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 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 HERDC Register of Acceptable Publishers.
  
to access the HERDC register of acceptable commercial publishers. This list is no longer maintained by DISSR, but publishers already listed may be used. This is not intended to be a comprehensive list of all acceptable publishers.

- Further physical evidence to support that the publisher meets the HERDC definition of commercial publisher.

  If a publisher is not included in either of these lists further physical evidence must be retained 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 Online Publications System, Publication Coordinators must provide physical evidence to the Research Performance Analysis Group so that the publisher details can be entered into the system. The evidence must clearly demonstrate that the publisher meets the HERDC definition of commercial publisher.

4.2.7. Peer Review:

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

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

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

- the journal is listed on the ARC’s Excellence in Research for Australia (ERA) 2012 or 2010 journal lists
- the journal is listed in Thomson Reuters Web of Knowledge Master Journal List
- the journal is classified as ‘refereed’ in the Ulrich’s Knowledgebase
- 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 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 HERDC 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 HERDC 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 HERDC category

5. 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, or evidence of peer review – 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


A1 BOOKS - Authored – Research

To be included in this category the publication must meet the HERDC definition of research (see 4.2.3. HERDC 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;

- Has an International Standard Book Number (ISBN);

- Was 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

- Has been published by a commercial publisher, as defined in section 5.2.6. Commercial Publisher) or undergone a peer review process.
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 5.1. Key Characteristics of Research Publications.

The types of books that do not 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 J1.1 or J6);
- **translations** unless accompanied by a critical scholarly text which is a major work of scholarship in its own right (Possibly A4);
- **revisions/new editions** (Possibly A3).
5.3.2. 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 HERDC 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 HERDC 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/proform

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 HERDC definition of research (see 4.2.3. HERDC 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;
- the book must have an International Standard Book Number (ISBN); and
- published by a commercial publisher, as defined in section 5.2.6. Commercial Publisher) or undergone a peer review process.
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 do not meet the criteria include:

- chapters in textbooks (Possibly B2);
- entries in reference books (Possibly D4 if more than 4000 words in length);
- chapters in anthologies unless incorporating critical scholarly text/annotations which is a major work of scholarship in its own right (Excluded completely);
- revisions of chapters in edited books (Possibly B2);
- 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 5.2.7. Peer Review: (Applicable for C1 & F1 categories))
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 HERDC category

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/proform

C1 – JOURNAL ARTICLES – Refereed

To be included in this category the journal article must meet the HERDC definition of research (see 4.2.3. HERDC 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.
- Journal articles in preprint status are not to be entered until they have been assigned a volume number or article number. As the year often changes between pre-print and post-print status it is important to create a publication for the year it has been assigned to a volume or article number.
The types of journal articles that may meet the criteria include:

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

The types of journal articles that do not 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); or
- 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.
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.

* 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

F1 – CONFERENCE PUBLICATIONS – Full written paper – Refereed

To be included in this category the conference publication must meet the HERDC definition of research (see 4.2.3. HERDC Definition of Research Activity) as amplified in the key characteristics of research publications (see 5.1. 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-HERDC Publication Categories**

5.1 **Non-HERDC 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 J1.1 or J6);
- It is not necessary for the book publisher to meet the HERDC 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 5.2.3.1.);
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

| **A2** Edited Books | This category is used to claim for the editor(s) of a book consisting of contributions from a number of authors. **Exclude:**
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<tbody>
<tr>
<td></td>
<td>edited books that are not the 1&lt;sup&gt;st&lt;/sup&gt; edition (Possibly A3)</td>
</tr>
<tr>
<td></td>
<td>edited creative published work (Excluded completely)</td>
</tr>
<tr>
<td></td>
<td>editorship of journals or conference publications (Excluded completely)</td>
</tr>
</tbody>
</table>

| **A3** Revision and/or New Editions | 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. **Exclude:**
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<tr>
<td></td>
<td>reprints that do not involve substantial additions or revisions (Excluded completely)</td>
</tr>
<tr>
<td></td>
<td>revision/new edition of creative published work (Possibly J6)</td>
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</table>

| **A4** Translated Books | This category is used to claim for the translator(s) of a book authored by some other person. **Exclude:**
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<td></td>
<td>short/minor translations not involving the translation of an entire book (Excluded completely)</td>
</tr>
<tr>
<td></td>
<td>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 its own right (Possibly A1 or A6)</td>
</tr>
<tr>
<td></td>
<td>translated books that are not the 1&lt;sup&gt;st&lt;/sup&gt; edition (Excluded completely)</td>
</tr>
</tbody>
</table>

| **A5** Textbooks | This category is used to claim for the author(s) of a textbook whose target readership is university students (undergraduate and postgraduate). **Exclude:**
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<tbody>
<tr>
<td></td>
<td>textbooks whose target readership is secondary, primary or pre-school students (Excluded completely)</td>
</tr>
<tr>
<td></td>
<td>reading packs, lecture notes or practical notes (Excluded completely)</td>
</tr>
<tr>
<td></td>
<td>textbooks that are not the 1&lt;sup&gt;st&lt;/sup&gt; edition (Possibly A3)</td>
</tr>
</tbody>
</table>

| **A6** Authored Books (Other) | This category is used to claim for 'other' books written solely by the author(s) that cannot be classified within the A1 HERDC book category or any of the non-HERDC book categories (see above) **Include:**
<table>
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<tr>
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<tbody>
<tr>
<td></td>
<td>substantial research monographs published by university departments that are not likely to meet the HERDC definition of commercial publisher</td>
</tr>
<tr>
<td></td>
<td>books published by private individuals or privately funded companies (i.e. vanity presses) that are not likely to meet the HERDC definition of commercial publisher</td>
</tr>
</tbody>
</table>
|                             | annotated anthologies **Exclude:**
|                             | creative published works (Possibly J1.1 or J6) |
|                             | working papers, technical reports, discussion papers etc. published by university departments (Possibly G4 or G5) |
|                             | unpublished reports (Excluded completely) |
### 5.2. Non-HERDC 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 HERDC 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 5.2.3.1.);
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

<table>
<thead>
<tr>
<th>B2</th>
<th>Chapters in Books (Other)</th>
</tr>
</thead>
<tbody>
<tr>
<td>This category is used to claim for chapters in books consisting substantially of new material, to an edited compilation in which the material is subject to editorial scrutiny.</td>
<td></td>
</tr>
</tbody>
</table>

**Include:**
- substantial revisions/additions of chapters in edited books that are not the 1st edition
- chapters in books published by private individuals, university departments and privately funded companies (i.e. vanity presses) that are not likely to meet the HERDC 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 HERDC definition of commercial publisher, and which appear in book format rather than report format (Possibly G4)

**Exclude:**
- 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)
5.3. Non-HERDC 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 HERDC 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.

<table>
<thead>
<tr>
<th>C2 Unrefereed Journal Articles</th>
<th>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 HERDC criteria or non peer-reviewed.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Include:</strong></td>
<td>articles designed to inform practitioners on existing knowledge in a professional field</td>
</tr>
<tr>
<td></td>
<td>case studies</td>
</tr>
<tr>
<td><strong>Exclude:</strong></td>
<td>editorial, letters to the editor and book reviews (Possibly C3)</td>
</tr>
<tr>
<td></td>
<td>non-scholarly, non-research articles (Excluded completely)</td>
</tr>
<tr>
<td></td>
<td>articles in newspapers and popular magazines (Excluded completely)</td>
</tr>
<tr>
<td></td>
<td>reviews of art exhibitions, concerts, theatre productions (Possibly C3)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>C3 Unrefereed Letters or Notes</th>
<th>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 HERDC criteria or non peer-reviewed.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Include:</strong></td>
<td>commentaries and brief communications of original research that are not subject to peer review</td>
</tr>
<tr>
<td></td>
<td>editorial, letters to the editor and book reviews</td>
</tr>
<tr>
<td></td>
<td>reviews of art exhibitions, concerts, theatre productions</td>
</tr>
<tr>
<td><strong>Exclude:</strong></td>
<td>non-scholarly, non-research articles (Excluded completely)</td>
</tr>
<tr>
<td></td>
<td>articles in newspapers and popular magazines (Excluded completely)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>C5 Other Refereed Contribn’s to Refereed Journals</th>
<th>This category is used to claim for peer reviewed research notes, commentaries and brief communications of original research that meet the HERDC criteria of peer review but are not substantial works of scholarship in article form.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Include:</strong></td>
<td>letters to the editor that are subject to peer review</td>
</tr>
<tr>
<td></td>
<td>critical scholarly texts that are subject to peer review but are not substantial works of scholarship in article form</td>
</tr>
<tr>
<td></td>
<td>contributions from journals that are peer-reviewed, even if the journal does not have an ISSN</td>
</tr>
<tr>
<td><strong>Exclude:</strong></td>
<td>letters to the journal Nature (Possibly C1)</td>
</tr>
<tr>
<td></td>
<td>commentaries and brief/rapid communications that are substantial works of scholarship in article form (Possibly C1)</td>
</tr>
</tbody>
</table>
5.4. Non-HERDC 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 HERDC 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.

<table>
<thead>
<tr>
<th>D4 Major Reference Works</th>
<th>This category is used to claim for substantial research contributions to scholarly publications such as a dictionary, encyclopaedia, guideline manual or handbook.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Include:</td>
<td>• entire reference works written solely by the author(s)</td>
</tr>
<tr>
<td></td>
<td>• a single author(s) contribution to an edited reference work only if the contribution is greater than 4000 words in length</td>
</tr>
<tr>
<td></td>
<td>• a series of contributions to different sections of an edited reference work by the same author(s) which, in combination, are greater than 4000 words in length</td>
</tr>
<tr>
<td></td>
<td>• substantial revisions/additions to previously published reference works that is equivalent to a contribution of greater than 4000 words in length to a 1st edition reference work</td>
</tr>
<tr>
<td>Exclude:</td>
<td>• minor revisions/additions to previously published reference works (Excluded completely)</td>
</tr>
</tbody>
</table>
5.5. Non-HERDC Publication Category E: Editorship of Journal

**General Criteria:**
- The item(s) must be published within the calendar year of collection;
- A new record must be created for each year of editorship;

<table>
<thead>
<tr>
<th>E1 Editor</th>
<th>This category is used to claim for Editorships of journals.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><em>Include:</em> Cefined, Assoc and other Editorial Roles</td>
</tr>
<tr>
<td></td>
<td><em>Exclude:</em> Conference Editorships</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>E2 Editorial Board Member</th>
<th>This category is used to claim for memberships of Editorial Boards.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><em>A new record must be created for each year a person is a member of a Board.</em></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>E3 Guest Editor</th>
<th>This category is used to claim for Guest Editorship of a journal issue.</th>
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</thead>
<tbody>
<tr>
<td></td>
<td><em>A new record must be created for each Guest Editorship role.</em></td>
</tr>
</tbody>
</table>
5.6. Non-HERDC 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.

<table>
<thead>
<tr>
<th>F2 Fully Written Unrefereed Conference Papers</th>
</tr>
</thead>
<tbody>
<tr>
<td>This category is used to claim for fully written conference papers which are not subject to peer review according to HERDC 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).</td>
</tr>
<tr>
<td><strong>Include:</strong></td>
</tr>
<tr>
<td>• fully written conference papers where the full paper has been published and not just the abstract or extract</td>
</tr>
<tr>
<td><strong>Exclude:</strong></td>
</tr>
<tr>
<td>• published conference abstracts (Excluded completely)</td>
</tr>
</tbody>
</table>
5.7. Non-HERDC Publication Category 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 HERDC 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.

<table>
<thead>
<tr>
<th>G4 Major Reports</th>
<th>This category is used to claim for major reports that are widely available in the public domain.</th>
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</thead>
<tbody>
<tr>
<td>Include:</td>
<td>for example major evaluative and investigative government department reports</td>
</tr>
<tr>
<td>Exclude:</td>
<td>reports that are only available internally (i.e. to other University of Melbourne departments)</td>
</tr>
<tr>
<td></td>
<td>(Possibly G5)</td>
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<tr>
<td></td>
<td>confidential reports (Excluded completely)</td>
</tr>
<tr>
<td></td>
<td>unpublished reports (Excluded completely)</td>
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<td></td>
<td>a chapter or section of a major report (Possibly B2, if substantial)</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>G5 Minor Reports/Working Papers</th>
<th>This category is used to claim for minor reports/working papers that are only available internally (i.e. to other University of Melbourne departments).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Include:</td>
<td>university department reports/working papers that are not disseminated widely outside the University including reports used to complement internal department seminars</td>
</tr>
<tr>
<td>Exclude:</td>
<td>confidential reports/working papers (Excluded completely)</td>
</tr>
<tr>
<td></td>
<td>unpublished reports/working papers (Excluded completely)</td>
</tr>
<tr>
<td></td>
<td>a chapter or section of a minor report (Excluded completely)</td>
</tr>
</tbody>
</table>
5.8. Non-HERDC Publication Categories H: REFEREED DESIGNS

General Criteria:
- This category refers to major works in design disciplines such as architecture, creative arts, engineering and information technology;
- The item must have been awarded within the calendar year of collection (for awards);
- 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 (for exhibitions);
- The award recipient/exhibitor 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 (for exhibitions);
- The same item/work can only be counted once even if it meets requirements of more than one publication category.

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<tr>
<th>H11 Refereed Design Awards</th>
<th>This category is used to claim for major refereed design awards that are:</th>
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<tr>
<td></td>
<td>(i). Offered by national or international organisations in the field, e.g. the Royal Australian Institute of Architects;</td>
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<td></td>
<td>(ii). Of at least national standard, with entries welcomed from throughout Australia or internationally;</td>
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<td></td>
<td>(iii). Peer reviewed, as defined in section 4.2.7. Peer Review: (Applicable for C1 &amp; F1 categories);</td>
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<td></td>
<td>(iv). Must have been awarded in 2011.</td>
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<td></td>
<td><strong>Include:</strong></td>
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<tr>
<td></td>
<td>• awards that are received at the state or territory level or higher, e.g. if a major design award has both state and national winners, then, then both those who receive state or territory level awards and the national winner are eligible to be reported as part of this collection</td>
</tr>
<tr>
<td></td>
<td>• awards for software and fashion design as long as these designs satisfy all other criteria</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>H12 Major Curated Individual Exhibitions of Original Design</th>
<th>This category is used to claim for an exhibition that:</th>
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<tbody>
<tr>
<td></td>
<td>(i). Has been exhibited for the first time in 2011 (the first day of the exhibition must occur in 2011 even if the majority of the exhibition occurs in another year);</td>
</tr>
<tr>
<td></td>
<td>(ii). Be peer reviewed as defined in section 4.2.7. Peer Review: (Applicable for C1 &amp; F1 categories);</td>
</tr>
<tr>
<td></td>
<td>(iii). Contains substantial collections of original work by an individual designer exhibited for the first time in a recognised gallery or museum;</td>
</tr>
<tr>
<td></td>
<td>(iv). Accompanied by a published catalogue identifying the individual designs, the name of the curator and the timing and location of the exhibition;</td>
</tr>
<tr>
<td></td>
<td>(v). Advertised in either the industry press, professional journals or state or national newspapers.</td>
</tr>
<tr>
<td></td>
<td><strong>Exclude:</strong></td>
</tr>
<tr>
<td></td>
<td>• exhibitions which have more than one exhibitor, even if one person is the main exhibitor (Possibly J8)</td>
</tr>
</tbody>
</table>

Melbourne Research Office
5.9. Non-HERDC Publication Categories 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 | This category is used to claim for patents which must:
|            | (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 2011;
|            | (iii). Be either owned by the university, a commercial subsidy, 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.
|            | **Include:**
|            | • plant breeder rights |
5.10. Non-HERDC Publication Categories J: MAJOR ORIGINAL CREATIVE WORKS

General Criteria:
- This category refers to major written or recorded original creative works that are publicly and commercially distributed, and, to curated individual exhibitions of original art;
- The item must be published within the calendar year of collection (for published and recorded works);
- 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 (for exhibitions);
- The author(s)/exhibitor 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 published by a commercial publisher or distributor (for published and recorded works), as defined in section 4.2.6 Commercial Publisher: (Applicable for A1, B1, J1.1 & J1.2 categories);
- 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 (for exhibitions);
- The item must be of at least 20 minutes in duration (for published and recorded works);
- 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.

| J11 Major Original Creative Published Works | This category is used to claim for major written creative works that are:  
(i). Offered for sale;  
(ii). Published for the first time in 2002;  
(iii). Of at least 20 minutes in duration;  
(iv). Published by a commercial publisher as defined in section 4.2.6 Commercial Publisher: (Applicable for A1, B1, J1.1 & J1.2 categories) |
| Include:  
- novels  
- books of poetry  
- published play or film scripts  
- published scores of musical works  
| Exclude:  
- reviews of art exhibitions, theatre productions, concerts etc (Possibly C3) |
| J12 Major Original Creative Recorded Works | This category is used to claim for major recorded creative works that are:  
(i). Offered for sale;  
(ii). Published for the first time in 2002;  
(iii). Of at least 20 minutes in duration;  
(iv). Published by a commercial publisher as defined in section 4.2.6 Commercial Publisher: (Applicable for A1, B1, J1.1 & J1.2 categories) |
| Include:  
- recordings of live music, theatre or dance performances  
- films, multimedia productions or sound productions  
| Exclude:  
- live music, theatre or dance performances (Excluded completely) |
| J13 Major Curated Individual Exhibitions of Original Art | This category is used to claim for an exhibition that:  
(i). Has been exhibited for the first time in 2011 (the first day of the exhibition must occur in 2011 even if the majority of the exhibition occurs in another year);  
(ii). Contains substantial collections of original work by an individual artist exhibited for the first time in a recognised gallery or museum;  
(iii). Accompanied by a published catalogue identifying the individual designs, the name of the curator and the timing and location of the exhibition;  
(iv). Advertised in the arts or state or national press, or in professional journals |
| Exclude:  
- exhibitions which have more than one exhibitor, even if one person is the main exhibitor (Possibly J8) |
5.11. Non-HERDC Publication Categories J: MINOR ORIGINAL CREATIVE WORKS

General Criteria:
- The item must be published within the calendar year of collection (for published and recorded works);
- 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 (for exhibitions);
- The author(s)/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 item must have an ISBN (for published works);
- It is not necessary for the publisher to meet the HERDC criteria of commercial publisher or distributor (for published and recorded works);
- It is not necessary for the exhibiting gallery or museum to meet the HERDC criteria of recognised independent public or commercial gallery or museum;
- 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.

| J6 Minor Original Creative Published Works | 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. |
| Include: | - 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 |
| Exclude: | - 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) |

| J7 Minor Original Creative Recorded Works | 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. |
| Include: | - 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 |
| Exclude: | - minor revisions/additions to previously published recorded works (Excluded completely)  
- live music, theatre or dance performances (Excluded completely) |

| J8 Minor Exhibitions of Original Art/Design | This category is used to claim for a collection of at least 3 original creative art/design works by an individual artist/designer 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. |
| Include: | - 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 HERDC sub-categories H1.2 or J1.3  
- creative art/design exhibitions which are exhibited again, after it has been exhibited for the first time, but in a substantially different context |
| Exclude: | - 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) |
5.12. Non-HERDC 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 HERDC 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.

<table>
<thead>
<tr>
<th>M5 Computer Software Products</th>
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<tbody>
<tr>
<td>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</td>
</tr>
</tbody>
</table>

**Include:**
- 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 e-mail 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

**Exclude:**
- multimedia products with limited human interactive ability (Possibly N4)
- creative multimedia productions (Possibly J1.2 or J7)
- software designed primarily for secondary, primary or pre-school students (Excluded completely)
5.13. Non-HERDC 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 HERDC 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.

<table>
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<tr>
<th>N4 Audio - Visual Recordings</th>
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<tbody>
<tr>
<td>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.</td>
</tr>
</tbody>
</table>

**Include:**
- 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

**Exclude:**
- television interviews of short duration that are research-based and not offered for sale (Excluded completely)
- creative audio-visual recordings (Possibly J1.2 or J7)
- audio-visual teaching material designed primarily for secondary, primary or pre-school students (Excluded completely)
- multimedia products (Possibly M5)

General Criteria:
- The item must be performed 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 performance was carried out;
- For Live Performance of Creative Works research outputs, the actual public performance is what is claimed.
- The same item/work can only be counted once even if it meets requirements of more than one publication category.
- Live Performance includes the categories of Music, Play and Dance.

<table>
<thead>
<tr>
<th>P1 Major Performance</th>
<th>• New work or a demonstrably new or innovative interpretation or production of an existing work.</th>
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</thead>
<tbody>
<tr>
<td>P2 Minor Performance</td>
<td></td>
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</table>
### 5.15. Non-HERDC Categories R: THESES PASSED OR IN PROGRESS

| R11 Theses Passed for Higher Degrees | This category is used to claim for theses passed. Research Master, Doctor of Philosophy and Higher Doctorate are recorded here.  

**Include:**  
- students/staff enrolled in the University of Melbourne only  

**Exclude:**  
- coursework or honours degrees  
- staff enrolled in other institutions |

| R12 Theses in Progress for Higher Degrees | This category is used to claim for theses in progress. Research Master, Doctor of Philosophy and Higher Doctorate are recorded here.  

**Include:**  
- students/staff enrolled in the University of Melbourne only  

**Exclude:**  
- coursework or honours degrees  
- staff enrolled in other institutions |
Appendix 1 - Author’s Affiliation Certification

2015 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

2012 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, Science and Training (DISSR) annually collects data on research publications. A set of criteria are used to determine whether a publication can be included in the HERDC submission – if it can be included, it attracts external government funding.

One of the HERDC criteria used for books is whether it has been published by a commercial publisher. According to DISSR, 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 DISSR, 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, HERDC 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

2012 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, Science and Training (DISSR) annually collects data on research publications. A set of criteria are used to determine whether a publication can be included in the HERDC submission – if it can be included, it attracts external government funding.

One of the HERDC 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 DISSR, 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, HERDC 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

2012 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, Science and Training (DISSR) annually collects data on research publications. A set of criteria are used to determine whether a publication can be included in the HERDCsubmission – if it can be included, it attracts external government funding.

One of the HERDCriteria 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 DISSR, 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, HERDC 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