Document History

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<th>UON Reporting and Assessment of Publications</th>
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<td>Purpose</td>
<td>This guide is for all University of Newcastle staff and postgraduate students who publish and contains information about the publications review and assessment process for the annual Research Publications Collection.</td>
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<tr>
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<td>Research Support Services, University Library</td>
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Guide to UON Research Publications Collection

Your research outputs in NURO
Your research publications and outputs captured in NURO are reviewed and categorised for inclusion in the annual Research Publications collection where they inform your academic workload as part of the Performance Expectations Framework. This data is also used for University reporting including ERA and University rankings.

You can enter a wide range of publication and output types into NURO that populates your UON Researcher Web profile – a publicly available profile page showcasing your work.

Login to NURO regularly to review your publications to ensure they have been accurately and completely identified and to respond to requests from Library staff for additional information to ensure inclusion in the annual collection.

For reporting purposes, eligible publications are reviewed by Library staff and categorised as either:

- A1 – original research monograph
- B1 – original research, scholarly length chapter
- C1 – original research, peer reviewed journal article
- E1 – original research, peer reviewed, fully published conference paper
- J1 – major creative work

All publications auto-claimed in NURO (identified via your ORCID or Scopus ID) will be nominated for review by Library staff.

Manually entered records for Books, Chapters, Journal Articles and Conference Papers need to be marked as Category 1 by you when you create the manual record in NURO. This will move the publication record in NURO to the Nominated workflow for review by Library staff. Refer to the UON NURO User Guide on how to enter manual records for your outputs.

Important Dates
Deadline for submission of publications data and supporting information is 31 March each year for publications published in the current financial year. The collection closes on 30 June each year after which no further changes can be made. Missed and non-UON affiliated publications will be reviewed for ERA but not included in the annual collection.

- 2018 publications collection – closes 30 June 2019
- 2019 publications collection – closes 30 June 2020

Publications are assessed using the Higher Education Research Data Collection criteria (last released in 2015)
Tracking assessment of your publications
You can monitor the progress of the assessment of your publications in
NURO > Annual Collection > click My Nominations > My Publications
View publications by year

All Category 1 publications will be marked as Accepted for inclusion in the annual collection.

<table>
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<tr>
<th>Status in NURO</th>
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<tr>
<td>Accepted</td>
<td>This has been accepted as a Category 1 publication – A1, B1, C1, E1 or J1</td>
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<tr>
<td>Accepted (internal)</td>
<td>Used for J1 creative works only</td>
</tr>
<tr>
<td>Declined</td>
<td>This has been assessed as not a Category 1 publication or is not affiliated with UON in the author by-line</td>
</tr>
<tr>
<td>Under review</td>
<td>In progress – may be In press, or Library sourcing information</td>
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<tr>
<td>Nominated</td>
<td>Not yet assessed, in the Library workflow for assessment</td>
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<td>Not nominated</td>
<td>Will not be assessed for the annual collection unless Nominated</td>
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How do I respond to requests for information from the Library?
Library staff endeavour to source and identify all information to enable assessment of Category 1 for your nominated publications. In some instances, this information is not publically available and the Library may request this information from you e.g. evidence of peer review or where the Library does not have a subscription to a particular journal. Requests for Information are found at NURO > Annual Collection > Publications requiring attention

Requests for information from the Library appear as shown above. Please provide all information via the File Upload icon.

How do I upload files into NURO?
Files uploaded to NURO are only available to Library staff for the purpose of verification and assessment.

1. NURO > Annual Collection tab > click My Nominations > click Publications requiring attention
2. Click Provide Info to make a comment or
3. Click the File Upload icon to attach a file

Upload as many as 20 files to attach to a single publication record. File size limit of 5mb per file applies.

Supported formats include:
Can I appeal to change the publication category?

Appeals to review the publication category/status assigned to a publication can only be made within the current collection year ending June 30 each year e.g. the 2018 Annual Collection begins 1 July 2018 and finishes 30 June 2019. Appeals made after this date cannot be considered.

You will need to provide supporting evidence to demonstrate why the publication meets the criteria for a Category 1 for the relevant publication type e.g. peer review assessments, copy of the publication.

NURO > Annual Collection > click My Nominations > click Appeal > add comment

Provide evidence via file upload

Appeals may be referred to the Academic Review Panel chaired by the DVC Research and Innovation and the Assistant Deans, Research for each Faculty. Decisions by the Academic Review Panel are final.

Why was my publication declined?

The most common reasons publications are declined are because they do not meet the criteria for an A1, B1, C1, E1 or J1 publication/output, are not affiliated with UON in the publication by-line, are not peer reviewed, not reporting original research or not published.

Publications are also declined if there is insufficient information to enable assessment of a publication as Category 1.

Why is my publication marked Under Review?

Publications under review are awaiting further information such as evidence of peer review or for publications published online ahead of print – awaiting final bibliographic metadata.

In press publications

Journal articles classed as “in press”, “advance”, “early online” “online first” e-prints and pre-prints are not included for reporting until they are assigned a volume/issue number and final year of publication by the publisher. The final year of publication may be different from the year published online. For example, an article may be available online in 2018 but not assigned to a volume of a journal until 2019.

Library staff will mark in-press publications with the status of Under Review in NURO and accept them for the Research Publications Collection once they have been fully published with all bibliographic details (providing they meet all other criteria).
Can I include publications in languages other than English?
Publications in other languages can be included, providing the publication meets the key eligibility criteria and the criteria specified for the relevant publication category. The same verification evidence is required, in English, as for any other works. 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 is a major work of scholarship and meets the definition of research.

Conference papers published as journal articles or book chapters
The HERDC Specifications state that research can only be reported once, regardless of being published in multiple formats. Publications that have been substantially revised or report substantial original research may be eligible. You may be asked to provide further information to the Library and/or the publication may be referred to the Review Panel.

Publications Assessment - HERDC Publication Categories – what’s required for Category 1
Library staff apply the Australian government Higher Education Research Data Collection specifications to assess eligibility of all nominated publications and apply HERDC publication categories A1, B1, C1, and E1.

J1 Major Creative works are also included in the annual collection.

Key eligibility criteria for the Research Publications Collection
- All publications must meet the HERDC definition of research, including the key characteristics of research publications.
- All publications must clearly show evidence of year of publication or provide evidence of meeting the expanded year of publication criteria.
- At least one author must show affiliation to the University of Newcastle.
- Evidence of peer review is essential for journal articles and conference papers.
- Books and book chapters must meet HERDC definition of a commercial publisher to qualify.
- Publications may only be counted once (where a publication may be published in multiple formats e.g. a conference paper is subsequently published as a journal article).

What is the HERDC definition of research?
In general terms, the essential characteristic of research activity is that it leads to publicly verifiable outcomes which are open to peer appraisal.

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

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

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

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

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

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

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

**Key characteristics of research publications**

Under the [HERDC specifications](https://www.era.edu.au/), research publications are books, book chapters, journal articles and conference publications which meet the definition of research and are characterised by:

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

**Evidence of 2018 or 2019 shown as the Year of Publication**

For the purposes of these specifications, to be able to count research publications in the 2019 Research Publications Collection (for 2018 publications) and 2020 Research Publications Collection (for 2019 publications):

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UON Reporting and Assessment of Research Publications
Research Support Services, University Library
• The research must have been published in the 2018 or 2019 calendar year, and
• 2018 or 2019 must be stated as the year of publication within or on the work being claimed

What if my publication is not affiliated with the University of Newcastle?
Under the HERDC specifications, at least one author must be affiliated with the University of Newcastle in the author by-line on the publication.

Unaffiliated publications will be marked as declined for inclusion in the annual collection, but will still be visible on your researcher web profile and may be assessed for ERA. The Library no longer collects statements of affiliation for unaffiliated publications.

Evidence of peer review for journal articles and conference papers
For the purposes of this collection, an acceptable peer review process is one that involves an assessment or review of the publication in its entirety (not merely an abstract or extract) before publication by independent, qualified experts. “Independent” in this context means independent of the author.

Peer review is relevant for journal articles and conference publications. For books and book chapters, the concept of a commercial publisher is used as a surrogate test of quality in place of a peer review requirement.

How to meet the peer review requirement for journal articles
Library staff can assist with determining peer review status for most journal articles.

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

• the journal is listed on the ARC’s latest ERA journal list (not publicly available, Library staff will check)
• the journal is listed in Clarivate Analytics 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
• 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.

How to meet the peer review requirement for conference publications
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.

Note: A statement from an author that a publication was peer reviewed is not accepted.
Likewise, the existence of a national or international advisory board is not sufficient evidence that all relevant publications are assessed by members of it.

HERDC definition of a commercial publisher
A commercial publisher is an entity for which the core business is publishing 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.

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.

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, in addition to its printing.

What is the HERDC requirement for A1 Books?
To be included in this category the publication must meet the definition of research as defined in the general requirements for research publications and:

• Must be a major work of scholarship;
• Must be offered for sale
  o for hard copies, bound
  o for CD-ROMs, packaged
• Must have an International Standard Book Number (ISBN);
• Must be written entirely by a single author, or by joint authors who share responsibility for the whole book;
• Must have been published by a commercial publisher, or have been peer reviewed; and
• The author must be affiliated with the University of Newcastle.

The types of books that may meet the criteria include:

• Critical scholarly texts (e.g. music, medieval or classical texts)
• New interpretations of historical events
• New ideas or perspectives based on established research findings

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

• Textbooks
• Anthologies
• Edited books
• Creative works such as novels
• Books published by private individuals, university departments and privately funded companies, e.g. “vanity presses” that do not meet the HERDC commercial publisher criteria
• University departmental Working Papers, Technical Reports, Discussion Papers and the like (excluded completely)
• Government department publications
• Unpublished reports
• Translations of published books - unless they have a major demonstrable original research component
• Revisions or new editions

Note: Many of the books published by professional bodies do not report original research findings but report the results of evaluations, or repackage existing information for the benefit of professionals or practitioners. It is important that these publications are assessed very carefully against the definition of research.

What is the HERDC requirement for B1 Book chapters?
To be included in this category the publication must meet the definition of research as amplified in the key characteristics of research publications and:

• Must be offered for sale
  - for hard copies, bound
  - for CD-ROMs, packaged
• Must have an International Standard Book Number (ISBN)
• Must have been published by a commercial publisher
• The author must be affiliated with the University of Newcastle (as listed within the publication)

A book chapter may be included if it has been published previously as long as it constitutes substantial new knowledge and constitutes original research. The types of book chapters that may meet the criteria include:

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

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

• Chapters in textbooks
• Entries in reference books
• Anthologies
• Revisions of chapters in edited books
• Forewords
• Brief introductions, editorials or appendices
• Literary or creative pieces such as collections of short stories

What is the HERDC requirement for C1 Journal articles?
To be included in this category the journal article must meet the definition of research as amplified in the general requirements for research publications and:

• Must be published in a scholarly journal
• Must have been peer-reviewed. Note: the fact that an article has been peer reviewed does not automatically mean that it is eligible. The article must still meet the definition of research as well as all other criteria
• Must have an International Standard Serial Number (ISSN)
  - Some journals may be regularly published as separate volumes with an ISBN rather than an ISSN. Provided that the publication is clearly identified as an edition of a journal, and not a book, articles in such publications may be eligible if they meet all other criteria.
  - If an ISSN does not appear in the journal, external evidence such as an ISSN being cited in an extract from Ulrich’s or ISI’s directories is sufficient to demonstrate the existence of the number
• The author must be affiliated with the University of Newcastle (and there is evidence of this within the publication)

Note: Literature reviews
Where a literature review predominantly comprises of a summary of the current knowledge and findings of a particular research field or topic, and as such, does not include any critical assessment or report any new findings or original experimental work, then this publication type is unlikely to comply with the definition of research.

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

• Commentaries and communications of original research
• Research notes
• Letters to journals, provided that the letter satisfies the definition of research and the subsequent definitions for journal articles in this section
• Critical scholarly texts which appear in article form
• Articles reviewing multiple works or a substantial/systematic review of an entire field of research (and including additional original research from the author e.g. Cochrane Reviews)
• Invited papers in journals
• Articles in journals which are targeted to both scholars and professionals
• Articles in a standalone series

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

• Systematic review protocols and study protocols
• Letters to the editor that do not satisfy the definition of research and the subsequent definitions for journal articles in this section
• Case studies
• Articles designed to inform practitioners on existing knowledge in a professional field
• Articles in newspapers and popular magazines (excluded completely)
• Non-scholarly, non-research articles (excluded completely)
• Editorials
• Book reviews and reviews of research that do not meet the criteria above
• Brief commentaries and communications of original research
• Reviews of art exhibitions, concerts, theatre productions

What is the HERDC requirement for E1 Conference papers
To be included in this category the conference publication must meet the definition of research as amplified in the general requirements for research publications and:

• Must be published in full. 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
• Must be peer reviewed
• Must be presented at conferences, workshops or seminars of national or international significance
• The author must be affiliated with the University of Newcastle (and this is listed within the publication)

Exclusions
• Conference papers reviewed by an editorial board only, and not by peer review
• Conference papers accepted for presentation (and publication) on the basis of peer review of a submitted extract or abstract only
• Conference papers that are not made available for international circulation e.g. appearing only in a volume sold or handed out to conference participants (excluded completely)
• Conference papers presented at minor conferences, workshops or seminars that are not regarded as having national or international significance (excluded completely)
• Keynote and plenary addresses are not eligible. Full, published and peer reviewed keynotes/plenaries may be considered for an internal publication category
• Unpublished conference presentations

What are the requirements to demonstrate eligibility for a J1 Creative Work?

All category J works must be accompanied by a 250 word context statement that can be reviewed to ensure the output has a research component.

This category refers to major original creative works. The creative work must be a substantial creative or scholarly work, published or exhibited for the first time.

Include:

• Written works such as commercially published novels, volumes of poetry by a single author, published play or film scripts, scores of musical works of at least 20 minutes duration
• Recorded works such as commercially distributed recordings of live music; theatre or dance performances, films, multimedia or sound productions of at least 20 minutes duration
• Individual art exhibitions of original art – curated exhibitions of substantial works by an individual artist exhibited for the first time in a recognised gallery or museum

Exclude:

• reviews of art exhibitions, concerts, theatre productions, etc.
• any creative work which has already been counted in a previous collection or one which is already counted in this collection under another category, even if it qualifies for inclusion under Category J on a number of grounds, e.g. a play whose script is published and whose production is recorded for commercial distribution or an exhibition that is exhibited at various locations may only be counted once
• any published material whose date of publication is other than the Publication Year.
• exhibitions which have more than one exhibitor, even if one person is the main exhibitor
• exhibitions whose first day of exhibition does not occur in the collection year even if the majority of the exhibition does
• editing, compiling or curating of creative works
• live music, theatre or dance performances unless the performance is recorded for commercial distribution
• any creative work which has already been counted in a previous collection or one which is already counted in this collection under another category, even if it qualifies for inclusion under Category J on a number of grounds, e.g. a play whose script is published and whose production is recorded for commercial distribution or an exhibition that is exhibited at various locations may only be counted once
• any recorded material whose date of recording is other than the Publication Year

Questions about reporting and assessment of publications

Email publications@newcastle.edu.au

Senior Research Librarians are available to assist with any enquiries about the Publications Assessment process.

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If you are experiencing technical problems with the system, or require assistance accessing reports/publications data in NURO, please contact the Research Performance and Systems Unit rps@newcastle.edu.au