



University Library

# UWA Publications Manual

For the collection of research publications by current UWA staff

April 2019

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## 1 EXECUTIVE SUMMARY

Details of the University of Western Australia's research publications are collected annually for a number of purposes including Excellence in Research for Australia (ERA) and internal reporting. This document outlines the verification requirements for researchers and auditors for different publication types. It will assist authors and auditors to assign correct categories to new publications.

## 2 DEFINITION OF RESEARCH

### 2.1 Definition of Research Publications

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

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

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

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

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

Activities that **do not** support the conduct of research, and must be excluded, include:

- 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.

## 2.2 Definition of Peer Review

An acceptable peer review process is one that involves impartial and independent assessment or review of the research publication in its entirety before publication, conducted by independent, qualified experts. Independent in this context means independent of the author. Peer review is required for journal articles and conference publications. It is also required for books and book chapters that are not published by a commercial publisher (see section 2.3). For journal articles, any of the following are acceptable as evidence of peer review:

- The publication is categorised as an article in Scopus or Web of Science;
- The journal is listed in Thomson Reuters Web of Knowledge Master Journal List <http://ip-science.thomsonreuters.com/mjl/>;
- The journal is classified as 'refereed' in the Ulrich's Knowledgebase <https://ulrichsweb.serialssolutions.com/>;
- There is a statement in the journal which shows that contributions are peer reviewed;
- There is a statement or acknowledgement from the journal editor which shows that contributions are peer reviewed; and
- 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; and
- 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; and
- A copy of a reviewer's assessment relating to the book or book chapter.

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

## 2.3 Definition of a Commercial Publisher

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

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

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

University presses are regarded as commercial publishers, provided that they have responsibility for the distribution of the publication in addition to its printing.

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

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

Companies that may not be eligible could be:

- Publishing units within faculties in universities (note the official publishing arm of a university, such as RMIT Press is usually eligible, but the publishing arm within a centre, within a faculty in RMIT, may not be eligible);
- Clearinghouses;
- Publishing arms of museums or galleries;
- Companies that are hired only to print or distribute a book, but bear no responsibility for the editing process or take no risk in choosing to publish; or
- Companies that publish books but sub-contract printing and/or distribution thus having no responsibility for the entire publishing process.

## **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 merits the criteria of the category against which it is being claimed. This includes evidence that the work is a major work of scholarship and meets the definition of research.

## 2.5 Definition of an author

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

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

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

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

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

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

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

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

## 2.6 Key Characteristics of Research Publications

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

- Substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and provided in a format

which allows a reader to trace sources of the work, including through citations and footnotes;

- Originality (i.e. not a compilation of existing works);
- Veracity/validity through a peer review process (see section 2.2) or the quality control processes of a commercial publisher (see section 2.3);
- Increasing the stock of knowledge; and
- Being in a form that enables the dissemination of knowledge.

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

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

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

## **2.7 General Requirements**

Each publication must:

- Meet the definition of research (see section 2.1); and
- Only be counted once (E.g. if a conference paper is published in a 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).

## **2.8 Year of Publication**

The fundamental principles that underpin the publications data are:

- The publication is claimed in the appropriate year;
- The year of publication must be verifiable; and
- The publication is claimed only once.

The definition of 'published' in this context is the date the publication was released to its intended audience by the Publisher. Publications made available via personal websites such as Academia, ResearchGate etc. are not considered 'published'.

The year of publication is normally the latest of the year indicated as published, printed or the year of copyright.

### 3 PUBLICATION CATEGORIES: VERIFICATION AND AUDIT REQUIREMENTS

#### 3.1 A: Books

Every publication classified as a book (A1) or Book-Other must be a major work of scholarship, bound and offered for sale, have an International Standard Book Number (ISBN), and be published by a commercial publisher or be peer reviewed.

##### 3.1.1 A1: Authored book (ERA eligible)

*Research Repository Template Type: Book/ Report> Book*

A substantial research monograph which embodies the research of several years and contains several substantial chapters and original thematic ideas. The sum of the book must be more than the sum of the chapters. To be included in this category the publication must meet **all** of the following requirements:

- must meet the definition of research (see section 2) as amplified in the key characteristics of research publications;
- must be a major work of scholarship;
- must have an International Standard Book Number (ISBN);
- must be written entirely by a single author, or by joint authors who share responsibility for the whole book;
- must have been published by a commercial publisher, as defined in section 2.3, or if not published by a commercial publisher, must have been peer reviewed, as defined in section 2.2; and
- the author must be affiliated with the University of Western Australia

The types of books that may meet the criteria include:

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

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

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

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

Note that many of the books published by professional bodies do not report original



research findings but report the results of evaluations, or compile existing information for the benefit of professionals or practitioners. It is important that these publications are assessed very carefully against the definition of research provided and only those publications which are major works of scholarship and **report original research activities for the first time** are included.

The Government Department may monitor and audit publications, as necessary, to ensure there is consistency of approach.

### **3.1.2 A2: Authored book - Other**

*Research Repository Template Type: Book/ Report> Book*

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

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

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

### **3.1.3 A3: Edited Book**

*Research Repository Template Type: Book/ Report> Edited book/ Anthology*

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

### **3.1.4 A4: Revision/New edition**

*Research Repository Template Type: Book/ Report> Book*

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.

### **3.1.5 A5: Privately published book**

*Research Repository Template Type: Book/ Report> Book*

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

## 3.2 B: Book chapter

### 3.2.1 B1: Book Chapter (ERA eligible)

*Research Repository Template Type: Chapter in a Book/ Conference Paper>  
Chapter (peer reviewed)*

This category refers to a contribution, consisting substantially of new material, to an edited compilation in which the material is subject to editorial scrutiny. To be included in this category the publication must meet **all** of the following requirements:

- must meet the definition of research (see section 2) as amplified in the key characteristics of research publications (see section 2.4);
- must have an International Standard Book Number (ISBN);
- must have been published by a commercial publisher, as defined in section 2.3, or if not published by a commercial publisher, must have been peer reviewed, as defined at section 2.2 and
- the author must be affiliated with the University of Western Australia.

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

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

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

where the book meets the key characteristics set out in section 2.6.

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

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

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

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

### 3.2.2 B2: Book Chapter

*Research Repository Template Type: Chapter in a Book/Conference Paper > Chapter*

A chapter of an authored book or monograph that does not meet the criteria for B1. It also includes books that have been published privately, by a university school or by a government department or agency, without meeting the requirements for independent peer review.

## 3.3 C: Journal article

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

### 3.3.1 C1: Refereed article in a scholarly journal (ERA eligible)

*Research Repository Template: Type: Contribution to a journal > Article*

This category refers to a substantial work of scholarship published in a scholarly journal following a formal process of peer review, as defined at section 2.2.

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

- must meet the definition of research (see section 2) as amplified in the key characteristics of research publications;
- must be published in a scholarly journal;
- must have been peer reviewed as defined in section 2.2 (but note that the fact an article has been peer reviewed does not automatically mean that it is eligible. The article must still meet the definition of research as well as all other criteria);
- must have an International Standard Serial Number (ISSN);
  - some journals may be regularly published as separate volumes with an ISBN rather than an ISSN. Provided that the publication is clearly identified as an edition of a journal, and not a book, articles in such publications may be eligible if they meet all other criteria;
  - If an ISSN does not appear in the journal, external evidence such as an ISSN number being cited in an extract from an authoritative journal listing, such as the Scopus database <http://www.scopus.com/> or the Thomson Reuters Master Journal List <http://ip-science.thomsonreuters.com/mjl/> or evidence that the journal is classified as refereed in Ulrich's Knowledgebase <https://ulrichsweb.serialssolutions.com/> is sufficient to demonstrate the existence of the number.
- the author must be affiliated with the University of Western Australia.

Articles that **may meet the criteria** include:

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

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

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

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

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

Thomson Reuters Web of Knowledge Master Journal List or Ulrich's listing does not automatically allow all articles in such journals to be counted as a C1. Inclusion only indicates that the journal has been peer reviewed. All other requirements for the articles must also be met.

### **3.3.2 C2: Other contribution to refereed journal**

*Research Repository Template Type: Contribution to a journal > Literature review OR Review article*

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

Review articles that are not indexed by Scopus or Web of Science, commentaries, case studies and case reports may meet the criteria for this category.

### **3.3.3 C3: Non-refereed article (inc. article in a 'professional' journal)**

*Research Repository Template Type: Contribution to a specialist publication > Article*

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

### **3.3.4 C4: Letter, Editorial or Note (not including book reviews)**

*Research Repository Template Type: Contribution to a journal > Letter OR Editorial material OR Note*

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

## **3.4 D: Major review**

*Research Repository Template Type: Contribution to a journal > Review article*

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

Review articles that are indexed by Scopus and/or Web of Science are included in this category and will be classified as D. Non-indexed review articles meet the criteria for C2 above.

## **3.5 E: Conference publication**

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

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

The following are excluded in this category:

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

### 3.5.1 E1: Full written peer reviewed paper (ERA eligible)

*Research Repository Template Type: Chapter in a book/conference paper > Conference paper*

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

- must meet the definition of research (see section 2) as amplified in the key characteristics of research publications (see section 2.6);
- full written paper must be published. The paper may appear in a number of different formats (e.g. in a volume of proceedings, a special edition of a journal, a normal issue of a journal, a book or a monograph, or on a conference or organisational website);
- must be peer reviewed (see section 2.2);
- must be presented at conferences, workshops or seminars of national or international significance; and
- the author must be affiliated with the University of Western Australia.

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

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

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

See requirements for **peer review** in section 2.2.

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

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

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

### **3.5.2 E2: Full written paper non-refereed paper**

*Research Repository Template Type: Chapter in a Book/ Conference Paper> Conference Paper*

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

### **3.5.3 E3: Extract of paper**

*Research Repository Template Type: Contribution to Conference> Abstract*

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

### **3.5.4 E4: Edited volume of conference proceedings**

*Research Repository Template Type: Book/ Report> Anthology*

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

## **3.6 F: Creative works (All ERA eligible)**

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

All creative works submitted must be accompanied by a detailed ERA Research Statement (250 word limit) articulating the research element(s) of the work. Guidelines for the submission of creative work as research outputs can be found in sections F1-F8, below.



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

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

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

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

### **Major creative work – 5 points**

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

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

### **Standard creative work – 1 point**

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

#### **3.6.1 F1: Original creative work – textual (ERA eligible)**

*Research Repository Template Type: Book/ Report > Book*

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

**F1.1 Major creative textual work:** a creative textual work, such as a novel, a volume of creative non-fiction, a poetry collection, a short story collection, a dramatic work or play, or feature film script of substantial length, complexity and/or innovative significance.

**F1.2 Standard creative textual work:** a creative textual work, such as a novella, creative non-fiction chapter or essay, a long poem or poetic sequence, a short story, or a one-act play or short film script. Less than major, but involving significance in terms of creative innovation and/or conceptual complexity.



### 3.6.2 F2: Original creative work – musical composition (ERA eligible)

*Research Repository Template Type: Non-traditional research output > Composition*

Compositions made publicly available in one of the following ways:

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

Significance and/or impact may be demonstrated by additional documentation. See Appendix 1.

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

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

Performances of original compositions may be submitted under F6 (Live performance of creative work) where they meet the F6 criteria.

### 3.6.3 F3: Original creative work – visual arts (ERA eligible)

*Research Repository Template Type: Non-traditional research output > Digital or visual products*

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

Types of art works that may be eligible are:

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

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

- externally reviewed by an independent expert

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

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

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

**F3.2 Standard visual artwork:** Solo exhibition of artwork exhibited for the first time in a nationally or prestigious regionally recognised gallery or museum or illustration of a complete book published by a commercial publisher or peer review as defined by 2.2.

#### **3.6.4 F4: Original creative work – design/architectural (ERA eligible)**

*Research Repository Template Type: Non-traditional research output > Design*

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

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

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

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

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

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

##### **F4.1 Major design:**

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

#### **F4.2 Standard design:**

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

#### **3.6.5 F5: Original creative work – exhibition catalogue (ERA eligible)**

*Research Repository Template Type: Book/ Report > Other output OR Book/ Conference paper > Other chapter contribution*

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

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

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

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

**F5.1 Major exhibition catalogue:** Book-length catalogue with substantial critical commentary accompanying an exhibition in an internationally or nationally or prestigious regionally recognised gallery or museum.

**F5.2 Medium exhibition catalogue:** Chapter-length contribution to a catalogue accompanying an exhibition in a nationally or prestigious regionally recognised gallery or museum.

#### **3.6.6 F6: Live performance of creative work (ERA eligible)**

*Research Repository Template Type: Non-traditional research output > Performance*

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

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

Multiple performances cannot be counted as multiple works where the performances are repeated and do not introduce a new research component to the work. Multiple performances may be counted as separately creative works where

each subsequent performance introduces a demonstrably new research component to the work that builds upon the initial research component of the work.

The classification as Major or Standard depends also on the role of the performer, as well as the extent, complexity and significance of the performance.

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

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

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

**F6.1 Major performance:** Performance of a major new work, or a demonstrably new, innovative interpretation or production of a major existing work of substantial significance, complexity and/or length.

**F6.2 Standard performance:** Performance of a new work, or a demonstrably new innovative interpretation or production of an existing work.

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

Where a live performance was not recorded to meet ERA purposes, another identical performance, recorded at a different point in time, may be submitted instead.

### **3.6.7 F7: Recorded/rendered creative work (ERA eligible)**

*Research Repository Template Type: Non-traditional research output > Recorded/rendered creative work*

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

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

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

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

Examples of Recorded/rendered creative works are:

- Film or video;
- Performances created specifically for a recorded medium;
- Inter-art works, incorporating scholarship in other research areas;
- Digital creative works, including 3D models, games, digital outputs of design and architectural projects and of visual artworks;
- Print works in which the research component is demonstrated in the way which the contents of the work (photos, maps, etc.) have been represented and arranged; and
- Some web-based works and exhibitions (see also F8: Curated or produced exhibition or event).

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

**F7.1 Major recorded/rendered creative work:** Recording/rendering or portfolio of recordings of substantial length, complexity and/or innovative significance. In the case of a portfolio, the works must be a cohesive/thematic collection of the work of a single creator.

**F7.2 Standard recorded/rendered creative work:** Recording/rendering less than major, but involving one or more of the following:

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

### 3.6.8 F8: Curated or produced exhibition or event (ERA eligible)

*Research Repository Template Type: Non-traditional research output > Exhibition*

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

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

Examples of curated exhibitions or events are:

- Web-based exhibitions, where the internet is the medium for the exhibited works;

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

The types of curated or produced exhibitions or events that **do not meet** the criteria include:

- Exhibitions of student work, where the exhibited works are the result of a course of undergraduate/postgraduate study. However, original curated exhibitions or events containing student work may qualify for F8 if there is a substantial creative component contributed by the curator where new knowledge or creative outcomes are produced through the curation.

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

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

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

**F8.1 Major exhibition or event:** Major curated exhibition/festival/event attracting national or international recognition involving a substantial body of work, with a high level of complexity and innovative significance.

**F8.2 Standard exhibition or event:** Curated exhibition/festival/event in a nationally or regionally recognised venue involving a body of work that demonstrates innovative significance.

Where they meet the criteria, scholarly catalogues written by UWA staff curators should be included as F5, original artworks or designs exhibited by UWA staff members should be included as F3 or F4, and performances by UWA staff members in a festival or event should be included as F6.

### 3.7 G: Computer software

*Research Repository Template Type: Non-traditional research output > Software*

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

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

### **3.8 I: Patent**

*Research Repository Template Type: Patent > Patent*

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

Include:

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

Exclude:

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

### **3.9 K: Entry in encyclopaedia**

*Research Repository Template Type: Chapter in a Book/Conference paper > Entry for encyclopedia/dictionary*

**K1:** A substantial research contribution to a scholarly publication such as a dictionary, encyclopedia or reference book etc.

**K2:** Other entry in a dictionary, encyclopedia or reference book etc.

### **3.10 L: Technical report**

*Research Repository Template Type: Book/Report > Other output*

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

### **3.11 M: Other public output**

*Research Repository Template Type: Chapter in a Book/Conference paper > Other chapter contribution*

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

### **3.12 P: Research report (ERA eligible)**

*Research Repository Template Type: Book/Report > Other output*

A research report for an external body is a written research output commissioned or solicited by an external body such as a government department or private company. To be included in this category, the research report must meet all the following requirements:

- be published (i.e. have been made publicly available for the first time in the publication reference period);
- meet the definition of research (see section 2);
- include substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described, and a format which allows a reader to trace sources of the work through citations and footnotes;
- increase the stock of knowledge, and be more than just a compilation of existing work; and
- be in a form that enables dissemination of knowledge.

Sub-categories of research report for an external body are as follows:

Research output	Description
Public sector	A research report undertaken for an Australian, state, territory, local, foreign or international government body or organisation.
Industry	A research report undertaken for a company, industry organisation, industry peak body, or an employer/employee association.
Not-for-profit	A research report undertaken for a body or organisation operating in the not-for-profit sector.
Other	A research report undertaken for an organisation not covered by the above sub-categories.

The following examples are unlikely to be eligible for submission under this subcategory:

- Submissions to public inquiries and consultations, including government or parliamentary inquiries.
- Policy blogs or online commentaries/articles.
- Briefing notes.



## APPENDIX 1 –AUDIT CATEGORY VERIFICATION REQUIREMENTS

Audited categories	
Publication classification	Verification requirements
<b>A1 BOOK</b>	<ul style="list-style-type: none"> <li>• Evidence indicating the author’s affiliation to UWA</li> <li>• Hardcopy of the book if in print, electronic copy of the book if online</li> <li>• Copies of contents, preface, introduction</li> <li>• Copies of pages showing all bibliographical information (ISBN, title, author(s), publisher, all dates referring to copyright, publication, printing and distribution)</li> <li>• Proof the book is published by a commercial publisher as defined in section 2.3 or peer reviewed as defined at section 2.2</li> </ul>
<b>B1 BOOK CHAPTER</b>	<ul style="list-style-type: none"> <li>• Evidence indicating the author’s affiliation to UWA</li> <li>• Copy of the chapter</li> <li>• Copies of contents, preface, introduction</li> <li>• Copies of pages showing all bibliographical information (ISBN, book title, author(s), editor, publisher, all dates referring to copyright, publication, printing and distribution)</li> <li>• If new chapter in a revised edition, include contents page of previous edition to indicate that chapter is new</li> <li>• Proof the book is published by a commercial publisher as defined in section 2.3 or peer reviewed as defined at section 2.2</li> </ul>
<b>C1 JOURNAL ARTICLE (if not indexed by Scopus or WOS)</b>	<ul style="list-style-type: none"> <li>• Evidence indicating the author’s affiliation to UWA</li> <li>• Copy or offprint of article</li> <li>• Proof of peer reviewing as described in section 2.2</li> <li>• Copies of pages showing all bibliographical information (ISSN, journal title, author(s), all dates referring to copyright, publication, printing and distribution)</li> <li>• If an ISSN does not appear in the journal, external evidence such as an ISSN number being cited in an extract from Thomson Reuters Web of Knowledge Master Journal List, or being cited as ‘refereed’ in Ulrich’s Knowledgebase</li> </ul>
<b>D MAJOR REVIEW (if indexed by Scopus or WOS)</b>	<ul style="list-style-type: none"> <li>• No verification materials required unless specifically requested</li> </ul> <p>Please note, reviews that are not indexed by Scopus or WOS do not meet the criteria for D and do not attract SI points.</p>

	<b>E1 CONFERENCE PUBLICATION (if not indexed by Scopus or WoS)</b>	<ul style="list-style-type: none"> <li>• Evidence indicating the author's affiliation to UWA</li> <li>• Copy or offprint of full paper;</li> <li>• Copies of contents, preface, introduction;</li> <li>• Copies of pages showing all relevant bibliographical information (author(s), title and editor of conference proceedings, publisher, all dates referring to copyright, publication, printing and distribution);</li> <li>• Proof of peer reviewing as described in section 2.3</li> <li>• Proof the conference is of national or international significance.</li> </ul>
	<b>P RESEARCH REPORT</b>	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• A copy of the report</li> <li>• Proof that the report was made publicly available</li> <li>• Proof that the report was commissioned</li> <li>• ERA Research Statement (max. 250 words)</li> </ul>

<b>Creative Works Categories</b>	<b>F. CREATIVE WORK</b>	
	<p>F1 Original Creative Work – Textual</p>	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• Proof of publication and availability for sale by a recognised commercial publisher</li> <li>• Proof of expert/peer review</li> <li>• A copy of the creative work</li> <li>• Affiliation letter if not bylined to the "University of Western Australia"</li> <li>• ERA research statement (250 word limit)</li> </ul>
	<p><b>F1.1 Research Statement Example</b></p> <p><b>RESEARCH BACKGROUND:</b> Though this book contains extensive newly written material, the first version was written when I was at university as a teenager. In many ways, it is the template model for my lifelong approach to literary forms — intense reading, extensive research before writing, and the drawing together of many threads of various discourses into a literary synthesis. The novel was ‘lost’ for over a decade before it was placed among my papers at the Australian National Library. When a publisher expressed an interest in receiving a publishable manuscript over a 150 pages were missing from the library copy, which I ‘back-engineered’ making the published novel a strange amalgamation of a teenager’s writing and that of a mature writer and researcher.</p> <p><b>RESEARCH CONTRIBUTION:</b> This was a work that evolved into a ‘life-project’, showing the inseparability of early literary practice and what comes later. In blending original poetry with narrative fiction, in using modernist techniques originated and developed in Dorothy Richardson, James Joyce, Samuel Beckett et al, and reworking them with ‘local content’ (Perth, the wheatbelt, Geraldton, as well as Europe), this was a relatively early attempt to create a different kind of Australian Novel. Later, in creating new text, I examined the politics of (self)-imitation and vicariousness in fiction.</p> <p><b>RESEARCH SIGNIFICANCE:</b> Some have considered this novel a unique document of fiction-creation. Nicholas Birns wrote in his introduction to the work: ‘There is a strong determination on the part of the adult recompositor to keep faith with the mentality of the adolescent male, to retain its integrity while jettisoning its certitudes. It is this insensate loyalty in the midst of buoyant amendment, that gives, to cite high Modernist touchstones strangely solicited by the very postmodern mixture of experimentation and fantasy, these ‘visions and revisions’ their complex yet genuine reach back to a primal ‘unimaginable zero summer’.</p>	
<p><b>F1.2 Research Statement Example</b></p> <p><b>RESEARCH BACKGROUND:</b> This collaborative work, which connects my interest in diminishing the writer’s ‘self’ in favour of a collective, shared identity, is with Dr Drew Milne (Cambridge University), an innovative poet of renown. Milne has a long history of collaborative activity in text and music, and we discussed working together for over 15 years before coming together with this book-length poem. The poem departs from the film The Red Shoes to explore the socio-politics of the Cold War and what has followed. It draws on learning across many cultures and histories, and is underpinned by a ‘balance’ between reading and scholarship and practice/experience/place. Most vitally, the work explores the threats and impacts of the nuclear industry from civil to military, from mine to waste, in today’s world.</p> <p><b>RESEARCH CONTRIBUTION:</b> This work is committed to performative poetics and poetry as an active moment in time. It is concerned with presentation and articulation and is to be recorded (by us) as a CD. As it involves the blending of many socio-critical discourses, we consider it a prompt to discussion not only of its own ‘meanings’ and terms of creation, but of many other texts and poetics. Such works are repositories of two lives spent in research and practice around their art, and prompt critical discussion and response across a wide range of artistic and academic registers. In creating poetry in which very disparate issues such as dance and nuclear power form a synthesis, it is hoped that a different way of reading even the most familiar or benign texts might be achieved.</p> <p><b>RESEARCH SIGNIFICANCE:</b> This work was published by Veer (Birkbeck College’s Contemporary Poetics Research Centre) putting it within an active and current debate about the nature of poetry and poetics. Extracts were published in leading journals, and Jacket magazine published a manifesto piece written by Milne and myself on our working process and practice. New collaborative work is currently underway.</p>		

<p>F2 Original Creative Work – Musical Composition</p>	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• Proof of publication and availability for sale by a recognised commercial publisher or proof of being recorded for commercial distribution</li> <li>• A copy of the creative work</li> <li>• Affiliation letter if not bylined to the "University of Western Australia"</li> <li>• ERA research statement (250 word limit)</li> </ul>
<p><b>F2.1 Research Statement Example</b></p> <p><b>RESEARCH BACKGROUND:</b> The traditional concerto format has had a strong presence in Western music since the classical era. The idea of a single instrument as a counterpoint to the many of the orchestra is still a valuable resource for a composer. The West Australian Symphony Orchestra commissioned Golden Years for its concertmaster. Taking elements of music the composer listened to when growing up, the work was a synthesis of classical, and pop music elements.</p> <p><b>RESEARCH CONTRIBUTION:</b> This resulting work is a large-scale (30min) three-movement concerto. Whilst originally wanting to avoid the traditional three-movement form, I discovered just how powerful and compelling a form it is. Getting the balance between the solo violin and orchestra was also crucial. The orchestration also includes a prominent accordion part.</p> <p><b>RESEARCH SIGNIFICANCE:</b> West Australian Symphony Orchestra premiered the work at the Perth Concert Hall with soloist Margaret Blades and conductor Otto Tausk in October 2013. Neville Cohn in the West Australian wrote: "If (Ledger's) concerto doesn't make it into the international violin repertoire, I'd like to know why . . . The award-winning composer's concerto hasn't a dull moment and brims with ideas expressed in meaningful ways." Golden Years was awarded the 2014 APRA/AMC Art Music Awards Work of the Year: Orchestral. The work is published by the Australian</p>	
<p><b>F2.2 Research Statement Example</b></p> <p><b>RESEARCH BACKGROUND:</b> Since the advent of digital technology, composers and performers have had a vast array of sound manipulation techniques at their disposal, in a relatively small device. The commission was to compose a piece for vibraphone soloist could play the instrument and operate the technology without compromising either aspect.</p> <p><b>RESEARCH CONTRIBUTION:</b> Through the use of a foot-pedal, the performer is able to play the work and operate the electronic component. The foot-pedal scrolls through a number of scenes. Even though each scene is fixed in its location in the score, the software works in such a way that the effect is subtly different each time it's played.</p> <p><b>RESEARCH SIGNIFICANCE:</b> Quickening was premiered by Callum Moncrieff (who commissioned the work) in 2010. It has been played by Paul Tanner at UWA (2013) and by Tim Constable at the Australian Festival of Chamber Music, Townsville (2013). The work is published by the Australian Music Centre: ISMN: 979-0-720128-69-6</p>	
<p>F3 Original Creative Work – Visual Arts</p>	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• For exhibition- Proof of the exhibition being the first exhibition of the material</li> <li>• For exhibition- Proof of the gallery or museum being an independent public or commercial organisation</li> <li>• For exhibition- A copy of the published catalogue for the exhibition</li> <li>• When exhibited at a UWA venue works must have: external review by an independent expert, evidence that it has been independently produced by an entity assuming responsibility for the risk of producing or demonstrates national or international significance</li> <li>• For illustrated book- the book is produced by a commercial publisher or proof of peer review</li> <li>• ERA research statement (250 word limit)</li> <li>• Affiliation letter if not bylined to the "University of Western Australia"</li> </ul>

<b>F3.2 Research Statement Example</b>	
<p><b>RESEARCH BACKGROUND:</b> A research project that explored historical and contemporary technologies which attempted to engineer life from scratch; the project re-appropriated a protocell protocol published by Stephane Leduc in his 1911 Book <i>The Mechanism of Life</i>. Catts and Zurr’s project used contemporary technology of 3D printing. The project was presented at the Science Gallery at Trinity College, Dublin, Ireland in 2013. The Gallery is described as follows: “Science Gallery is a world first. A new type of venue where today’s white-hot scientific issues are thrashed out .... A place where ideas meet and opinions collide. Since opening in 2008, over 1.7 million have visited it in Dublin - ranking us amongst the top ten free cultural attractions in Ireland.” The piece was part of the Grow Your Own exhibition that concerns with some of the potentially ground-breaking applications and uncertain implications of synthetic life.</p> <p><b>RESEARCH CONTRIBUTION:</b> The piece explored issues of cultural amnesia through historical and contemporary understanding of life and the technological project to create life from scratch – a field which is part of synthetic biology and referred to as protocell biology. The project advanced contemporary knowledge mainly through critical cultural analysis bridging these ideas and technologies with academics and the general public.</p> <p><b>RESEARCH SIGNIFICANCE:</b> The piece was part of a seminal exhibition that was set to explore from technical, cultural, philosophical and ethical perspectives what it means to synthesise life and/or create the basic unit of life from scratch. The piece was chosen to be included in this framework due to its historical perspective and reflection as well as the use of 3D printing technologies, aesthetic strategies, and scholarly depth exploring life as engineering.</p>	
F4 Original Creative Work – Design/Architectural	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• Proof of a design award being received for the first time; or</li> <li>• Proof of independent professional publication or review for the first time; or</li> <li>• Proof of the exhibition being the first exhibition of the material and the gallery or museum being an independent public or commercial organisation and a copy of the published catalogue for the exhibition</li> <li>• When exhibited at a UWA venue works must have: external review by an independent expert, evidence that it has been independently produced by an entity assuming responsibility for the risk of producing or demonstrates national or international significance</li> <li>• ERA research statement (250 word limit)</li> <li>• Affiliation letter if not bylined to the “University of Western Australia”</li> </ul>

<b>F4.1 Research Statement Example</b>	
<p><b>RESEARCH BACKGROUND:</b> Grouped infill housing is dominated by the requirements of vehicular access, dwelling setbacks and programmed planning. Planning is rarely motivated by solar passive design and external spaces tend to be those left over, rather than key elements of a site. Houses tend not to be readily adaptable to the changing circumstances of occupants. The design of this grouped dwelling development sought to challenge these tendencies and conceive of a group of houses engaged with the realities of solar radiation, family, transport, change.</p> <p><b>RESEARCH CONTRIBUTION:</b> Utilising courtyards to balance communality and privacy, the design focuses on provision of a flexible planning model; multigenerational occupation, universal accessibility, home office adaptability and internal subdivision. Dual key adaptability and judicious servicing allow dwellings to divide if site density codes increase in the future. Designed to zero setbacks on southern boundaries to maximise solar access, building massing is arranged to avoid overshadowing and provide acoustic separation between living and sleeping areas. Vehicle and pedestrian entries are separated to enhance safety, security and legibility. Each dwelling is designed as a simple shell which can be tailored to owners' requirements and facilitate multiple modes of occupation over time with only minor modifications.</p> <p><b>RESEARCH SIGNIFICANCE:</b> The houses are recognised for their innovative approach to site and internal planning, adherence to principles of environmental and social sustainability, and unusual palette of recycled and recyclable materials. Awards - AIA National Commendation for Multiple Residential Architecture 2012, AIA WA Harold Krantz Award for Multiple Residential Architecture 2012, AIA WA Walter Greenham Sustainable Award 2012 and BPN National Sustainability Award 2012. Published in Architecture Australia and New Suburban: reinventing the Family Home Australia and New Zealand (Thames&amp;Hudson).</p>	
<b>F4.2 Research Statement Example</b>	
<p><b>RESEARCH BACKGROUND:</b> The Australian Bureau of Statistics predicts that Australia's current population of 22.3 million could grow to 62.2 million by 2101. There is currently no national urban and infrastructural plan for this growth. Indeed following consultation of Australia's entire current city planning frameworks, we found that a sum total of only 5.5 million people are accounted for. This research aimed to address the resettling of the 34.5 million 21st century Australians who are simply missing from the collective intelligence of the nation's planning. The research question driving this project was 'where these people might live so that Australia remains ecologically resilient, socially amenable and economically productive?'</p> <p><b>RESEARCH CONTRIBUTION:</b> This research is innovative in that it tackles the issue of Australia's population growth at the national scale, and over an extended time frame (i.e. to 2101). Australia's forward planning typically occurs in a fragmented manner, planning occurring at the city or state scale, and generally over short time frames (i.e. to 2040 at best). Through this research a methodology has been developed to address how this scale of planning could be undertaken. This new knowledge has been disseminated to a broad public audience through the media - print, television and radio.</p> <p><b>RESEARCH SIGNIFICANCE:</b> Clear evidence of the excellence of this project was provided when it was awarded a commendation in the 'CAPITHheticAL' competition, managed by the Australian Institute of Architects, for a design for a hypothetical Australian capital city. There were over 1200 domestic and international entrants registered for the competition.</p>	
<p>F5 Original Creative Work – Exhibition Catalogue</p>	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• A copy of the catalogue</li> <li>• When exhibited at a UWA venue works must have: external review by an independent expert, evidence that it has been independently produced by an entity assuming responsibility for the risk of producing or demonstrates national or international significance</li> <li>• ERA research statement (250 word limit)</li> <li>• Affiliation letter if not bylined to the "University of Western Australia"</li> </ul>

<p><b>F5.2 Research Statement Example</b></p> <p><b>RESEARCH BACKGROUND:</b> The author is a leading authority on the lives and works of Walter Burley Griffin and Marion Mahony Griffin, widely lecturing and publishing on the subject. More broadly, his research focusses upon architecture and landscape as collective expressions of identity (be it place or nation), especially within the context of designed national capitals such as Canberra, New Delhi and Brasília.</p> <p><b>RESEARCH CONTRIBUTION:</b> In 2002, his stature as a Griffins scholar led the National Archives of Australia (NAA) to invite him to contribute the major text to its catalogue for the exhibition A Vision Splendid: How the Griffins Imagined Australia's Capital. The essay investigated the production of and techniques employed to execute the Griffins' exquisite renderings submitted in the international design competition for Canberra. In 2013, the NAA, seeking to commemorate Canberra's centenary, decided to publish a new edition of the publication and invited Vernon to revisit, revise and expand his essay to include research findings he had made in the interim. This publication is the outcome.</p> <p><b>RESEARCH SIGNIFICANCE:</b> That a Commonwealth cultural institution twice invited the author to contribute to one of its publications testifies to the esteem to which his scholarship is held. This also is endorsement of his scholarship's quality.</p>	
<p>F6 Live Performance of Creative Work</p>	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• A digital recording of the live performance, or part thereof</li> <li>• A copy of the performance program and a review or supplementary material attesting to the performance's existence, time and place</li> <li>• Proof the performance has a UWA connection (UWA byline equivalent)</li> <li>• When exhibited at a UWA venue works must have: external review by an independent expert, evidence that it has been independently produced by an entity assuming responsibility for the risk of producing or demonstrate national or international significance</li> <li>• ERA research statement (250 word limit)</li> <li>• Affiliation letter if not bylined to the "University of Western Australia"</li> </ul>
<p><b>F6.1 Research Statement Example</b></p> <p><b>RESEARCH BACKGROUND:</b> One of Verdi's late opera's 'Otello' is notable for a much larger sense of scale, particularly with the extensive and virtuosic choral writing for the opera chorus. This was the first time Otello had been seen and heard in Perth and was part of a tri national collaboration with 5 other opera companies-New Zealand Opera, Cape Town Opera, Opera Victoria, State Opera of South Australia and Queensland Opera.</p> <p><b>RESEARCH CONTRIBUTION:</b> Verdi's use of harmonic colour reaches Wagnerian proportions and his use of major off stage brass bands is particularly notable. However, this production of Otello clearly shook off its traditional roots in a new production by Director, Simon Philips. Set on an aircraft carrier, with walls dropping open to reveal the sea or a helicopter, the set provided a suitably claustrophobic atmosphere to portray Otello's emotional instability, Iago's Nihilism and Desdemona's fragility in a way that might seem more disturbingly realistic.</p> <p><b>RESEARCH SIGNIFICANCE:</b> This new production was premiered under the umbrella of the 2014 Perth International Arts Festival at His Majesty's Theatre in Perth with West Australian Opera and WASO. <i>The West Australian</i> commented 'The West Australian Opera Chorus under new Head of Chorus Joseph Nolan, have never sounded crisper, tighter, more focused or more powerful' <i>The Australian</i> stated ' the much-improved chorus sang with full bodied, well blended sound and were particularly impressive in the opening scene'</p>	

<b>F6.2 Research Statement Example</b>	
<p><b>RESEARCH BACKGROUND:</b> This production continued my research explorations through performance into plays that work against naturalistic forms and juxtapose potentially very different performance styles and generic conventions. Pirandello's 1921 play was performed with student actors at the Dolphin Theatre, UWA from 22-25 May, 2013. Unlike many productions over the past thirty years or so the aim was to stage the play uncut and not update its dialogue references or theatrical stage business to a contemporary context. The aim was towards enticing the audience into a more engaged encounter with the philosophical questions concerning identity and reality that Pirandello explores in the play.</p> <p><b>RESEARCH CONTRIBUTION:</b> One innovation was to highlight the commedia dell-arte physicality of Pirandello's Italian theatre context of the 1920s. Another was in defamiliarising the performance style drawing on elements of Italian Futurist theatre experimentation. Another was to highlight the constant shifting between the tragic and comedic elements. These were deliberate tactics to present challenges to the audience in the play's frequent juxtapositions of style, adding to my ongoing research into performance, especially in both Jacobean revenge tragedies and Howard Barker's plays.</p> <p><b>RESEARCH SIGNIFICANCE:</b> The success of the production was evident in positive audience responses and in an external reviewer's comment that the play was performed 'in a way that clearly communicated the nature of Pirandello's intended themes'. Trusting the text and keeping things 'simple' followed through into 2014 with a bare-stage uncut Dolphin Theatre production of Webster's <i>The White Devil</i>, and a daytime New Fortune Theatre open-air production of a condensed <i>Titus Andronicus</i>. A paper on these themes in relation to these recent productions will be presented at the ANZAMEMS conference in Brisbane in July 2015.</p>	
F7 Recorded/Rendered Creative Work	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• A digital version of the recorded/rendered creative work</li> <li>• A copy of the recorded/rendered output</li> <li>• For a recording/rendering presented at UWA, works must have: external review by an independent expert, evidence that it has been independently produced by an entity assuming responsibility for the risk of producing or demonstrate national or international significance</li> <li>• ERA research statement (250 word limit)</li> <li>• Affiliation letter if not bylined to the "University of Western Australia"</li> </ul>
<b>F7.1 Research Statement Example</b>	
<p><b>RESEARCH BACKGROUND:</b> This research explores performance practices in a little-known body of repertoire composed in France between 1695 and 1739, when a new generation of musicians began to experiment with imported styles from Italy. It investigates aspects of instrumentation, ornamentation, articulation, tempi, phrasing, and texture, through the application of information found in relevant historical treatises, aiming to achieve a historically-informed blend of French and Italian styles in performance.</p> <p><b>RESEARCH CONTRIBUTION:</b> The work is innovative in investigating instrumental chamber music that represents a period of significant change in French music and its historically-informed performance. Consideration of textural effects through instrumentation choice is particularly notable, with two works performed without a chordal continuo instrument, and experimentation in a French work with the Italian practice of realising the bass line by a cello alone.</p> <p><b>RESEARCH SIGNIFICANCE:</b> This work has been distributed internationally by ABC Classics/Universal Music as output from the ARC Linkage French Baroque Music Project, and received critical acclaim from Australian and international reviewers. Lucy Robinson (<i>Early Music</i>, 2010) describes it as 'a charming CD which succeeds in shedding light on some of the little-known gems of the French Baroque repertory.' Ken Page (<i>Limelight Magazine</i> 2011) calls it a 'top grade release from the ABC' and says that 'the notes are comprehensive and historically informative....' Johan van Veen (<i>MusicWeb International</i>) writes that 'the choice of composers also deserves applause as most of them appear infrequently on concert programmes and their music is not widely available on disc. The Ensemble Battistin is very fine and impresses with its impeccable technique and admirable sense of style.' This work reaches international audiences through top international music outlets such as iTunes, Amazon, and Google Play.</p>	



## 7.2 Research Statement Example

**RESEARCH BACKGROUND:** The medium of Brass Band has been strongly associated with the ANZAC tradition since the beginning. Not only did Brass Bands play as the troops left our shores, as Military Units they performed in the Middle East and in every theatre of operation during the first world war.

Ted Egan is one of Australia's leading performers, and has a long and distinguished career as a musician and of public service, serving as the administrator of of the Northern Territory. His book, published by the commercial publisher "Wild Dingo Press" is aimed at the 100th commemoration of the ANZAC landings at Gallipoli, and includes recordings of works by Ted Egan and others about the Anzac traditions.

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

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

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

**RESEARCH SIGNIFICANCE:** This recording has published commercially by Wild Dingo Publications.

The fwork has garnered the following reviews:

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

Professor Bill Gammage AM, historian, adjunct Prof. ANU, author of *The Broken Years: Australian Soldiers in the Great War* and award-winning book, *The Biggest Estate on Earth: How Aborigines made Australia*.

"An illuminating X-ray of human wastage in war. Ted Egan's superlative picture gives us a better insight into pointless sacrifice than the popular 'glory of Gallipoli' and 'stuff of legend' genre. The way Ted interweaves personal re relationships into the wider narrative shows, yet again, what a humanist, and what a fine social and cultural historian, he is."

Professor Colin Tatz, cultural historian, former director of the Australian Institute for Holocaust and Genocide Studies.

"Ted Egan's *The Anzacs 100 years On in Story and Song* is a tour de force of Australia's involvement in WW1, from the distress, agony and destruction to the achievements, bravery and heroics of the diggers and their great leaders, Monash and Chauvel. This is superb social and cultural history with a dose of realism when others, through ignorance or agendas, steer clear of the integrity of events. He sees history as it was rather than how he would like it to be. The bonus of excellent music (on an enclosed disc), an Egan forte, delivers an extra dimension to the sense of place and time."

Professor Roland Perry AO, award-winning author of numerous acclaimed biographies, histories and fiction works, including *Monash, the outsider who won a war*, and *The Australian Light Horse*.

	F8 Curated or Produced Exhibition or Event	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• A copy of the exhibition/event program and a review or supplementary material attesting to the date, time and place of the exhibition or event</li> <li>• For an exhibition/event at UWA, works must have: external review by an independent expert, evidence that it has been independently produced by an entity assuming responsibility for the risk of producing or demonstrate national or international significance</li> <li>• ERA research statement (250 word limit)</li> <li>• Affiliation letter if not bylined to the "University of Western Australia"</li> </ul>
<p style="text-align: center;"><b>F8.1 Research Statement Example</b></p> <p><b>RESEARCH BACKGROUND:</b> A major exhibition curated by Oron Catts, that presented some significant research done at, and commissioned by, SymbioticA. Part of the International Society for Electronic Arts (ISEA) which was held in Sydney. ISEA is the peak international electronic arts organisation fostering interdisciplinary academic discourse and exchange among culturally diverse organisations and individuals working with art, science and technology. The main activity of ISEA International is the annual International Symposium on Electronic Art (ISEA). Semipermeable (+) was selected as one of the three major exhibitions for the Sydney event and was presented at the Sydney Powerhouse.</p> <p><b>RESEARCH CONTRIBUTION:</b> The exhibition was a thematic exploration of scientific and cultural notions of the semipermeable membrane, presenting twelve works that were researched and developed at SymbioticA. It included four new original artworks from leading Australian artists/artistic groups that were commissioned and presented for the first time in this exhibition. The exhibition advanced and presented new knowledge in the area of Biological art and Biodesign - the use of living biological matter for aesthetic and cultural discussion. The exhibition included a 36 page catalogue and curatorial essay by Catts.</p> <p><b>RESEARCH SIGNIFICANCE:</b> Semipermeable+ presented for the first time a curated thematic exhibition dedicated to the research in Biological Arts contacted at SymbioticA as part of ISEA Festival. Demonstrating how Biological Arts is one of the major research areas in the interdisciplinary field of Art, Science and Technology. It presented SymbioticA at UWA as the leading research laboratory in this field.</p>		
<p style="text-align: center;"><b>F8.2 Research Statement Example</b></p> <p><b>RESEARCH BACKGROUND:</b> Christopher Vernon is a leading authority on the lives and works of Walter Burley Griffin and Marion Mahony Griffin, widely lecturing and publishing on the subject. More broadly, his research focusses upon architecture and landscape as collective expressions of identity (be it place or nation), especially within the context of designed national capitals such as Canberra, New Delhi and Brasília.</p> <p><b>RESEARCH CONTRIBUTION:</b> Vernon's stature as a Griffins scholar led the National Library of Australia (NLA) to invite him to guest curate this exhibition and produce a related catalogue leaflet (NLA Bib ID: 6292555). The exhibition commemorated the centenary of our national capital's foundation and investigated the Griffins' vision for an Australian identity as expressed in the city's design.</p> <p><b>RESEARCH SIGNIFICANCE:</b> That a national cultural institution invited Vernon to curate the exhibition testifies to the esteem to which his scholarship is held. This also is endorsement of his scholarship's quality. Moreover, the exhibition proved quite popular, receiving, according to the library's statistics, 21,072 visitors in total. It was open for 93 days and received an average of 227 visitors a day. The exhibition also attracted a favourable overseas review in the Spectator.</p>		

<p>P Public policy ERA eligible Report</p>	<ul style="list-style-type: none"> <li>• The bibliographic and other details as specified on the proforma</li> <li>• Proof that it is publically available</li> <li>• Proof the commissioned or solicited by an external body</li> <li>• ERA research statement (250 word limit)</li> <li>• Affiliation letter if not bylined to the "University of Western Australia"</li> </ul>
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**P Example Research Statement**

**RESEARCH BACKGROUND:** The study was designed to address a public policy priority identified by the Australian Housing Urban Research Institute (AHURI). It evaluated the health and economic impact of five programs funded by the National Partnership on Homelessness (NPAH) that coupled housing and support. WA Department of Housing data for a cohort of 3383 formerly homeless people was linked to hospital data (eg ED presentations, inpatient admissions), and changes in health service use in the year after entry into public housing were examined.

**RESEARCH CONTRIBUTION:** The study is one of the first in Australia to link public housing, homelessness and hospital data, and received considerable media. It demonstrated that participants in the NPAH programs had the largest reductions in health service use (estimated cost saving of \$13,273 per person per year). The greatest change in hospitalisation was observed among participants in the NPAH mental health program; an estimated cost saving of nearly \$84 000/year/person). The research provides powerful evidence that the cost of delivering NPAH programs is far less than the costs borne by the health system when people are homeless.

**RESEARCH SIGNIFICANCE:** AHURI published and disseminated a summary of this research in its Research and Policy Bulletin series<sup>1</sup>. Findings were used by AHURI and peak homelessness organisations such Shelter WA have to advocate for the continuation of the NPAH funding to Australian jurisdictions; the federal government has since extended funding for NPAH. This research has also been cited in by the WA mental health peak body in its state election policy submission, and it has significant policy implications have been promoted by homelessness networks nationally and overseas.

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<sup>1</sup> [https://www.ahuri.edu.au/\\_data/assets/pdf\\_file/0015/10419/AHURI\\_RAP\\_Issue\\_215\\_The-economic-benefits-of-providing-public-housing-and-support-to-formerly-homeless-people.pdf](https://www.ahuri.edu.au/_data/assets/pdf_file/0015/10419/AHURI_RAP_Issue_215_The-economic-benefits-of-providing-public-housing-and-support-to-formerly-homeless-people.pdf)

## APPENDIX 2- NON-AUDIT CATEGORY

### Not for audit categories

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

Publication classification	Verification requirements
<b>A. BOOK</b>	
A2 Authored – other	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>The table of contents, flyleaf, preface or introduction where relevant to classification</li> </ul>
A3 Edited	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>The table of contents, flyleaf, preface or introduction where relevant to classification.</li> </ul>
A4 Revision/New Edition	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>The table of contents, flyleaf, preface, or introduction giving proof of substantial revisions where relevant to classification</li> </ul>
<b>B. BOOK CHAPTER</b>	
B2 Book Chapter (Privately Published)	<ul style="list-style-type: none"> <li>Copy of the chapter</li> <li>Photocopies of contents, preface, introduction, and all pages showing all bibliographical information (ISBN, book title, author(s), editor, publisher, all dates referring to copyright, publication, printing and distribution)</li> <li>If new chapter in a revised edition, include contents page of previous edition to indicate that chapter is new</li> </ul>
<b>C. JOURNAL ARTICLE</b>	
C2 Other contribution to a refereed journal	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>An offprint or photocopy of the article</li> <li>Proof of journal being refereed</li> </ul>
C3 Non refereed articles	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>An offprint or photocopy of the article</li> <li>Flyleaf with journal publication details</li> <li>Proof of an editorial board</li> </ul>
C4 Letter or note	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>An offprint or photocopy of the article</li> <li>Flyleaf with journal publication details</li> <li>Proof of an editorial board</li> </ul>
<b>E. CONFERENCE PUBLICATION</b>	
E2 Full written paper – non refereed	<ul style="list-style-type: none"> <li>Audit not required</li> </ul>
E3 Extract of paper	<ul style="list-style-type: none"> <li>Audit not required</li> </ul>
E4 Edited volume of conference proceedings	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>Proof of editorial responsibility</li> <li>The table of contents, flyleaf, preface or introduction of the proceedings where</li> </ul>
<b>G. COMPUTER SOFTWARE</b>	
	<ul style="list-style-type: none"> <li>The software</li> <li>The bibliographic details as specified on the proforma</li> <li>Proof of commercial publisher or distributor imprint</li> </ul>
<b>I. PATENT</b>	
	<ul style="list-style-type: none"> <li>The bibliographic details as specified on the proforma</li> <li>Proof of the patent being granted</li> </ul>
<b>K. ENTRY IN ENCYCLOPAEDIA</b>	
K1 Substantial research contribution to dictionary or encyclopaedia	<ul style="list-style-type: none"> <li>A copy of the article</li> <li>The bibliographic details as specified on the proforma</li> </ul>
K2 Other entry in dictionary, encyclopaedia	<ul style="list-style-type: none"> <li>Audit not required</li> </ul>

L. <b>TECHNICAL REPORT</b>	<ul style="list-style-type: none"><li>• A copy of the published report</li><li>• Bibliographic details of the publication</li></ul>
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