

PRO-FORMA Certification

A1 - BOOKS

Eligibility

1. Represents a major work of scholarship	<input type="checkbox"/>
2. Work is bound or packaged and offered for sale	<input type="checkbox"/>
3. Publication has ISBN number	<input type="checkbox"/>
4. Work is mainly previously unpublished material, making a substantial contribution to knowledge	<input type="checkbox"/>
5. Work produced by commercial publisher ¹	<input type="checkbox"/>

Verification Material Required

Contents, preface and introduction and pages showing all bibliographic information (ISBN, title, author(s), publisher, all dates referring to copyright and specifying 2007 as date of publication, publication, printing, distribution)	<input type="checkbox"/>
Evidence indicating research was undertaken in author's capacity as a staff member or student of the University (e.g. reference in Preface/acknowledgements)	<input type="checkbox"/>

Please provide the following:

* IRIS publication number (10 digits provided in IRIS when publication entered) _____

* Publication Short Title _____

* Staff Name _____

* By signing below you acknowledge that eligibility criteria have been met (see also 'Common Eligibility Requirements' - Appendix A) and that verification material is available and kept by you, and can be made available in the case of government audit

¹ A commercial publisher is an entity for which the core business is producing books and distributing them for sale.

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

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

PRO-FORMA Certification

B1 BOOK CHAPTERS

Eligibility

<p><u>The book must:</u> 1. Meet the eligibility criteria as per A1 above</p>	<input type="checkbox"/>
<p><u>The chapter must:</u> 2. Consist of substantially new material in an edited compilation in which the material is subject to editorial scrutiny²</p>	<input type="checkbox"/>
<p><u>The chapter must NOT fall into the following categories:</u> 3. Chapters in textbooks; entries in reference books; anthologies; revisions of chapters in edited books; forewords; brief introductions; brief editorials; appendices; literary or creative pieces such as collections of short stories; and translations.</p>	<input type="checkbox"/>

Verification Material Required

<p>Copy of the chapter</p>	<input type="checkbox"/>
<p>Contents, preface and introduction and pages showing all bibliographic information (ISBN, title, editor, authors, publisher, all dates referring to copyright and specifying 2007 as date of publication, publication, printing, distribution). If new chapter in revised edition, include also contents of previous edition if preface does not indicate that chapter is new.</p>	<input type="checkbox"/>
<p>Evidence indicating research undertaken in author's capacity as a staff member or student of the university (e.g. by-line)</p>	<input type="checkbox"/>

Please provide the following:

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* Publication Short Title _____

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² A book chapter may be included if it has been published previously as long as it constitutes **substantial new knowledge** and constitutes original research. The types of book chapters that may meet the criteria include

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

PRO-FORMA Certification
C1 – Journal Article

Eligibility

1. Published in a scholarly journal	<input type="checkbox"/>
2. Peer reviewed ³	<input type="checkbox"/>
3. Journal has an ISSN number	<input type="checkbox"/>
4. Article must NOT fall into the following categories: 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; reviews of art exhibitions; concerts; theatre productions.	<input type="checkbox"/>

Verification Material Required

The article or offprint of article/contribution	<input type="checkbox"/>
Pages showing all bibliographic information (journal title, dates where not provided in the article or offprint and specifying 2007 as date of publication,)	<input type="checkbox"/>
By-line or footnote or statement in publication indicating research undertaken in author's capacity as a staff member or student of the HEP	<input type="checkbox"/>
Evidence of peer review	<input type="checkbox"/>
Proof of invited status (if applicable)	<input type="checkbox"/>

Please provide the following:

* IRIS publication number (10 digits provided in IRIS when publication entered) _____

* Publication Short Title _____

* Staff Name _____

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³ For journal articles, any of the following are acceptable as evidence of peer review:

- the journal is listed in one of the Institute for Scientific Information indexes (www.isinet.com/journals)
- the journal is classified as 'refereed' in Ulrich's International Periodicals Directory (Volume 5 - Refereed Serials) or via Ulrich's web site www.ulrichsweb.com
- the journal is included in the department's Register of Refereed Journals (*no longer maintained*)
- there is a statement in the journal which shows that contributions are peer reviewed
- there is a statement or acknowledgement from the journal editor which shows that contributions are peer reviewed
- a copy of a reviewer's assessment relating to the article.

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

PRO-FORMA Certification
E1 – Conference Publication

Eligibility

1. Paper published in full ⁴ .	<input type="checkbox"/>
2. Paper has been peer reviewed (see ³ on previous page)	<input type="checkbox"/>
3. Paper presented at conference, workshop or seminar of national or international significance	<input type="checkbox"/>

Verification Material Required

The paper or offprint of paper	<input type="checkbox"/>
Contents, preface and introduction and pages showing all relevant bibliographic information (ISBN, title, editor, authors, publisher, dates specifying 2007 as date of publication)	<input type="checkbox"/>
Proof of national or international significance if not clearly shown in documents above	<input type="checkbox"/>
By-line or footnote or statement in publication indicating research undertaken in author's capacity as a staff member or student of the university	<input type="checkbox"/>
Evidence of peer review	<input type="checkbox"/>
Proof of keynote status (if applicable)	<input type="checkbox"/>

Please provide the following:

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* Publication Short Title _____

* Staff Name _____

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⁴ The papers may appear in a number of different formats, e.g. a volume of proceedings, a special edition of a journal, a normal issue of a journal, a book or a monograph, CD-ROM or conference or organisational web site (NB: doesn't include papers that appear only in a volume handed out to conference participants)
Keynote addresses and invited papers may be included where all other papers for the conference are peer reviewed.
HEPs must retain in verification material evidence of the keynote status of the address (e.g. contents page) and of other contributions to the conference being peer reviewed (e.g. a statement in the introduction to proceedings indicating this).

Appendix A - Common Eligibility Requirements

These conditions must be met for the entry of ANY DEST proxy publication
(A1 – Monograph/Book, B1 – Book Chapter, C1 – Refereed Journal Article, E1 – Refereed Conference Publication)
Please note that author(s) must have been a Macquarie staff or student when research was undertaken

1) Work must meet the definition of research (From HERDC Specifications)

Research comprises:

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

Activities that support research and meet this definition of research include:

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

Activities that do not support research must be excluded, such as:

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

2) Work must be published in 2007 (From HERDC Specifications)

The year of publication is the 2007 calendar year.

You can also include 2006 publications in their submission if the publications are those which:

- contain a 2006 publication, AND
- were published after the submission date for the 2006 data collection (after 30/06/2007).

You must be able to demonstrate (in the verification material that you maintain) that the publication was not produced until after the submission date for that year's publication return. i.e. that the publication, although containing a 2006 publication date, was not published until after 30 June 2007. A letter from the publisher will be considered sufficient verification material to support the claim.

To be able to count publications in the 2008 submission of Research Publications Returns-Return 2:

- the research must have been published in the 2007 calendar year, and
- 2007 must be stated as the year of publication within or on the work being claimed.

The definition of published in this context is the date the publication was released to its intended audience.

Letters from authors, editors, creators etc stating that a research publication was published in 2007, even though 2007 is not stated within or on the work as the year of publication, are not acceptable evidence of the year of publication. There are two exceptions:

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

Publications from 2005 and earlier years are not eligible to be included.

Full HERDC Specifications available at
http://www.dest.gov.au/sectors/research_sector/online_forms_services/higher_education_research_data_collection.htm