



Publications/Outputs Guidelines

All publications and outputs produced by University of Otago staff (including clinical, honorary, visiting, and emeritus staff) and students are recorded in the University's Research Outputs Database (ROD) for various uses by the University, divisions, departments, research groups/themes, and individual staff including:

- University of Otago annual reports
 - University of Otago citation lists
 - External accreditation processes
 - Divisional/Department reports
 - Department prospectuses
 - Department reviews
 - Department/Staff web pages
 - PBRF Assessment rounds
 - Funding applications
 - Institutional reviews
 - External reviews
- Citation lists and statistics can be provided in various styles for use in any of the above. For further information please email publications@otago.ac.nz
 - All publications/outputs are available for viewing at <https://www.otago.ac.nz/research/otago005115.html>
 - All publications recorded in the ROD require verification evidence for external auditing purposes.
 - The PBRF and Publications Office routinely sources many publications/outputs with University of Otago attributed authors, which are recorded in the ROD and automatically added to MyResearch profiles.
 - Outputs that occur on a regular basis will, where possible, be sourced and recorded each year, (eg major annual conferences, Departmental Working Paper Series).
 - For any additional publications/outputs please forward the required verification evidence and specify Quality Assurance status to the PBRF and Publications Office via email to publications@otago.ac.nz or internal mail. See the Publications/Outputs Category Descriptions table (pages 5-13) for specific evidence requirements.
 - All publications/outputs produced by an individual staff member in a given year will be recorded if that individual was an employee of the University of Otago at any time during that year. Eg if employment started in July 2016 any publications/outputs from January 2016 will be recorded and attributed to their University of Otago department.
 - Publications/outputs for the years before the staff member was employed by the University of Otago can also be recorded so that these are available for the staff member's personal use in PBRF rounds, webpage display etc. These records are not attributed to departmental citation lists or statistics, but still require verification evidence for external auditing purposes.
 - Many output types can be recorded – there are 29 publication/output categories available eg: Patents, Department Seminars and Research/Study Day presentations, Reports, Authored/Edited Books and Chapters, Conference posters/presentations and proceedings, Discussion Papers, Journal publications (articles/commentaries/editorials etc). 25 categories are PBRF-eligible categories.

Publications/Outputs Publication Year:

Name(s):
Department(s):

A1	Authored Book – Research
A2*	Authored Book – Other*
B1	Edited Book - Research
B2*	Edited Book – Other*
C1	Chapter in Book - Research
C2*	Chapter in Book – Other*
D1	Journal – Research Article
D2	Journal – Research Other
D3*	Journal – Professional & Other Non-Research Articles*
E1	Conference Contribution Published proceedings: Full paper
E2	Conference Contribution Published proceedings: Abstract
E3	Conference Contribution Editor of conference proceedings
E4	Conference Contribution Poster Presentation (not in published proceedings)
E5	Conference Contribution Verbal presentation and other Conference outputs (not in published proceedings)
F	Intellectual Property
G	Software
H	Commissioned Report for External Body
I	Performance
J	Composition/Musical Score
K	Design
L	Exhibition
M	Artefact/Object/Craftwork
N	Film/Digital Recording/CD-ROM
O	Creative Work
P	Working Paper/Discussion Paper/Technical Report
Q	Other – Please Specify
Q2	Guest Editor, Guest Section Editor
R1	Awarded Doctoral Degree
R2	Awarded Research Masters Degree

- **Quality Assured?**

(TEC PBRF definition)

Yes

No

- Tick if the Output is **Confidential**

- **Attach verification evidence** and submit to:

publications@otago.ac.nz

Evidence required for verification/audit:

All publications/outputs recorded in the University's Research Outputs Database must have supporting verification evidence, preferably from a primary source, to meet external auditing requirements.

Acceptable forms of verifying evidence could include:

- Photocopies/scans of the relevant pages from a journal, book or conference proceedings eg. presenter and presentation title listed on the conference programme or website that also shows the conference date and location
- DOI
- Printout/screenshot of the relevant details of a publication from a journal database, publisher's website or conference website
- Copy/scan of a certificate of presentation/attendance if provided by the conference organisers and showing the required details of the presentation
- As a rule of thumb, any information showing in a citation, must be showing in the evidence

NB: handwritten information (such as page numbers, or a publication date) is unable to be used, please supply a copy of the primary source information.

The evidence must include all of the details required for the category and be in a verifiable form but does not need to be an original. Originals supplied for evidence will be copied/scanned and returned.

The details required on verifying evidence vary for different output categories and are shown in the Publications/Outputs Category Descriptions Table – see pages 5-13.

Contact the PBRF and Publications Office if you have questions about the suitability of evidence or difficulties with the availability of evidence.

In extreme cases only, a signed letter from your HOD or other senior academic verifying the output may be accepted as evidence. Decisions regarding this will be made on a case-by-case basis, for further information on this, please contact Donna Hendry on 479 5391, or email publications@otago.ac.nz

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Publications/Outputs Category Descriptions Table

Cat Code	PBRF eligible	Category Name	Inclusions and Description	Evidence required for verification/audit
A1	Yes	Authored Book – Research Sub-categories: <ul style="list-style-type: none"> • Novel • Scholarly edition/Literary translation 	An Authored Book must be written entirely by a single author or by joint authors who share responsibility for the whole book. Outputs in this category must meet the PBRF definition of research and may include <ul style="list-style-type: none"> • Research Monographs • Textbooks based on significant research by the author(s) • Scholarly Editions • Revisions/New Editions of the above providing this includes substantial new research material • Novels/Poetry 	<ul style="list-style-type: none"> • Authors • Publication Year • Book Title • Editors (if applicable) • Publisher • Place Published • Page Numbers (first and last) • ISBN Number
A2	No	Authored Book - Other	Outputs in this category are not PBRF eligible and may include <ul style="list-style-type: none"> • Textbooks with no significant research input by the author(s) • Books published by private individuals and privately funded companies, eg. “vanity presses” • Non-refereed Government Department publications • Programme reports • Revisions/New Editions/Translations of all category A2 books and any category A1 books which do not include new material 	<ul style="list-style-type: none"> • As Above
B1	Yes	Edited Book - Research	The Edited Book category refers to the editing of a book in which individual chapters have been written by different authors. Outputs in this category must meet the PBRF definition of research and may include <ul style="list-style-type: none"> • Research Monographs • Textbooks where significant background research is required • Scholarly Editions • Translations of published books where the translation requires significant background research • Annotated Anthologies where research informs the annotations • Revisions/New Editions of the above providing this includes substantial new research material 	<ul style="list-style-type: none"> • Editors • Publication Year • Book Title • Publisher • Place Published • Page Numbers (first and last) • ISBN Number

Cat Code	PBRF eligible	Category Name	Inclusions and Description	Evidence required for verification/audit
B2	No	Edited Book – Other	<p>Outputs in this category are not PBRF eligible and may include</p> <ul style="list-style-type: none"> • Textbooks with no significant research content • Books published by private individuals and privately funded companies, eg. “vanity presses” • Non-refereed Government department publications • Programme reports • Translations of published books with no significant background research • Revisions/New Editions of all category B2 books and any category B1 books which do not include new material 	<ul style="list-style-type: none"> • As Above
C1	Yes	<p>Chapter in Book – Research</p> <p>Sub-categories:</p> <ul style="list-style-type: none"> • Case Study • Contribution • Encyclopedia/Dictionary Entry 	<p>The Book Chapter category refers to a contribution to an Edited Book.</p> <p>Outputs in this category must meet the PBRF definition of research and may include entries in</p> <ul style="list-style-type: none"> • Encyclopaedias and Reference Works • Research Monographs • Textbooks incorporating research content • Scholarly Editions • Translations of chapters where the translation requires significant background research • Revisions/New Editions providing this includes substantial new research material 	<ul style="list-style-type: none"> • Authors • Publication Year • Book Title • Chapter Title • Editors • Publisher • Place Published • Page Numbers (first and last) • ISBN Number
C2	No	<p>Chapter in Book – Other</p> <p>Sub-categories:</p> <ul style="list-style-type: none"> • Case Study • Contribution • Encyclopedia/Dictionary Entry 	<p>Outputs in this category are not PBRF eligible and may include entries in</p> <ul style="list-style-type: none"> • Textbooks with no significant research content • Books published by private individuals and privately funded companies • Non-refereed Government department publications • Translations of chapters with no significant background research • Revisions/New Editions of all category C2 chapters and any category C1 chapters which do not include new material 	<ul style="list-style-type: none"> • As Above

Cat Code	PBRF eligible	Category Name	Inclusions and Description	Evidence required for verification/audit
D1	Yes	Journal - Research Article	<p>Outputs in all Journal categories can include those in on-line journals as well as in print. Publications in this category must meet the PBRF definition of research and may include</p> <ul style="list-style-type: none"> • Full Research Articles – (which may include research-based articles in professional journals, also includes Research notes) • Major Reviews • Letters to Nature • Critical scholarly texts which appear in article form • Book Review Essays 	<ul style="list-style-type: none"> • Authors • Publication Year • Title of Article • Journal Name • Volume/Issue Number • Page Numbers (first and last) • DOI • ISSN Number • Web Address (if on-line journal)
D2	Yes	<p>Journal – Research Other</p> <p>Subcategories:</p> <ul style="list-style-type: none"> • Book Review • Case Study • Commentary • Editorial • Letter • Performance/Film /Composition Review • Professional Guidelines • Protocol/Method -ology • Review • Script Review 	<p>Outputs in this category must meet the PBRF definition of research and may include</p> <ul style="list-style-type: none"> • Commentaries and brief communications of original research • Editorials • Book Reviews • Letters to the Editor • Case Studies 	<ul style="list-style-type: none"> • As Above

Cat Code	PBRF eligible	Category Name	Inclusions and Description	Evidence required for verification/audit
D3	No	Journal – Professional and Other Non-Research Articles Subcategories: <ul style="list-style-type: none"> • Book Review • Case Study • Commentary • Editorial • Letter • Performance/Film /Composition Review • Professional Guidelines • Protocol/Method -ology • Review • Script Review 	Outputs in this category are non-research based and are not PBRF eligible and may include <ul style="list-style-type: none"> • Non-quality assured articles designed to inform a professional field • Reviews of art exhibitions, concerts or theatre productions • Case Studies • Editorials • Letters to the Editor • Book Reviews • Other non-research articles • Newspaper and Magazine articles • Consensus Statements/Professional Guidelines (unless contain new research) 	<ul style="list-style-type: none"> • As Above
E1	Yes	Conference Contribution – Published proceedings: Full paper	Outputs in this category must meet the PBRF definition of research and refers to <ul style="list-style-type: none"> • Full written papers that appear in published conference proceedings. The conference proceedings may be published in a number of formats such as <ul style="list-style-type: none"> - Volume of proceedings - Special or normal edition of a journal - Book or a monograph - CD-ROM - Web site 	<ul style="list-style-type: none"> • Authors • Publication Year • Title of Conference Paper • Title of Conference Proceedings or Journal or Monograph If Applicable: <ul style="list-style-type: none"> • Volume/Issue Number • Page Numbers (first and last) • DOI • ISSN/ISBN Number • Publisher/ Place Published • Web Address if on-line Proceedings

Cat Code	PBRF eligible	Category Name	Inclusions and Description	Evidence required for verification/audit
E2	Yes	Conference Contribution – Published proceedings: Abstract	<p>Outputs in this category must meet the PBRF definition of research and refers to</p> <ul style="list-style-type: none"> • Abstracts of papers that appear in published conference proceedings, including Posters. • Includes Extended abstracts. The qualifier [Extended abstract] will be added at the end of the title. <p>The conference proceedings may be published in a number of formats as in E1 above</p>	<ul style="list-style-type: none"> • As Above
E3	Yes	Conference Contribution – Editor of conference proceedings	<p>Outputs in this category must meet the PBRF definition of research and refers to</p> <ul style="list-style-type: none"> • Having editorial responsibility of a written conference proceedings for full papers or abstracts/posters <p>The conference proceedings may be published in a number of formats as in E1 above</p>	<ul style="list-style-type: none"> • Editors • Publication Year • Conference Proceedings Title • Publisher/Place Published • Page Numbers (first and last) • ISSN/ISBN Number • Web Address if on-line Proceedings
E4	Yes	Conference Contribution – Poster Presentation (not in published proceedings)	<p>Outputs in this category must meet the PBRF definition of research and refers to</p> <ul style="list-style-type: none"> • Poster presentations at a conference • Includes Departmental Research/Study Days and PhD colloquiums etc 	<ul style="list-style-type: none"> • Authors • Title of Poster • Name of Conference • Date/Year of Conference • Location of Conference
E5	Yes	Conference Contribution – Verbal presentation and other Conference outputs (not in published proceedings)	<p>Outputs in this category must meet the PBRF definition of research and may include</p> <ul style="list-style-type: none"> • Verbal presentations made at a conference including Keynote/Invited addresses • Other conference outputs not included in above conference categories eg Panel Members, Debate Participant • Includes Departmental Research/Study Days and PhD colloquiums etc • Excludes Sessions Chairs, moderators (RC instead in EP) 	<ul style="list-style-type: none"> • Author • Title of Presentation • Name of Conference • Date/Year of Conference • Location of conference • Type of participation (eg: Panel Member)

Cat Code	PBRF eligible	Category Name	Inclusions and Description	Evidence required for verification/audit
F	Yes	Intellectual Property	Outputs in this category must meet the PBRF definition of research and may include <ul style="list-style-type: none"> • Granted Patents (Excludes provisional patents) • Copyrights • Trademarks • Registered Design • Other 	<ul style="list-style-type: none"> • Developers • Title of IP • Date of acceptance of IP • Identifier (eg. Patent Number, etc)
G	Yes	Software	Outputs in this category must meet the PBRF definition of research and refers to <ul style="list-style-type: none"> • Innovative software products of commercial quality and offered for sale or distributed as shareware through a recognised publisher or distributor 	<ul style="list-style-type: none"> • Developers • Title of Software • Year Published • Publisher or Distributor
H	Yes	Commissioned Report for External Body <i>(category currently under review – see also P category)</i> Subcategories: <ul style="list-style-type: none"> • Edited Report • Report Contribution 	Outputs in this category must meet the PBRF definition of research and may include <ul style="list-style-type: none"> • Reports commissioned and funded by an external organisation • Peer reviewed Government Department, United Nations and non-governmental organisation publications 	<ul style="list-style-type: none"> • Authors • Publication Year • Title of Report • Name of Commissioning Body • Page Numbers (first and last) • Publisher/Place Published • ISBN Number (if applicable)
I	Yes	Performance	Outputs in this category must meet the PBRF definition of research and refers to works in the performing or media arts by a recognised leading performer (e.g. actor, musician, dancer, director, choreographer, designer, conductor or other creative artist). Performing Arts activities/events may include <ul style="list-style-type: none"> • Theatre productions (drama, dance, opera, music theatre) • Concerts and Recitals • Radio or other sound recordings or audio-visual recordings made for public access 	<ul style="list-style-type: none"> • Performers • Performance Dates/Year • Title of Performance • Venue • Any other available written evidence of performance (e.g. programme)
J	Yes	Composition/Musical Score	Outputs in this category must meet the PBRF definition of research and refers to <ul style="list-style-type: none"> • A composition qualifies as research when there is either a score or a recording (in the case of electronic music), or both. Music written for live performance should have evidence of both a score and a performance (e.g. recording, programme or review) 	<ul style="list-style-type: none"> • Composers • Year Published • Title of Composition

Cat Code	PBRF eligible	Category Name	Inclusions and Description	Evidence required for verification/audit
K	Yes	Design	<p>Outputs in this category must meet the PBRF definition of research and may include</p> <ul style="list-style-type: none"> • Fashion and Textile design • Graphic design • Visual communication design • Industrial/Product design • Interior design • Multimedia design • Illustration • Design history and critical theory 	<ul style="list-style-type: none"> • Designer • Year Published • Title of Design • Any other written or photographic evidence
L	Yes	Exhibition	<p>Outputs in this category must meet the PBRF definition of research and refers to</p> <ul style="list-style-type: none"> • Original works by an individual artist exhibited in a recognised gallery, museum, artist's book or electronic format 	<ul style="list-style-type: none"> • Artist • Dates/Year of Exhibition • Title of Exhibition • Venue • Any other written evidence of exhibition (e.g. catalogue)
M	Yes	Artefact/ Craftwork/ Object	<p>Outputs in this category must meet the PBRF definition of research and includes</p> <ul style="list-style-type: none"> • Artefacts • Objects • Craftwork 	<ul style="list-style-type: none"> • Suitable documentation should be provided
N	Yes	Film/Digital Recording/CD-ROM	<p>Outputs in this category must meet the PBRF definition of research and refers to</p> <ul style="list-style-type: none"> • Scholarly works presented in visual form which cover the presentation of research findings and factual information 	<ul style="list-style-type: none"> • Authors • Year of Publication • Title of Work • Any other available written evidence
O	Yes	Creative Work	<p>Outputs in this category are PBRF eligible and may include</p> <ul style="list-style-type: none"> • Novels • Poetry • Other creative written or audio visual work <p>[For non-PBRF eligible outputs see also A2, B2, C2, and D3]</p>	<ul style="list-style-type: none"> • Authors • Publication Year • Title of Work • Video or Audio Tape <p>If Applicable:</p> <ul style="list-style-type: none"> • Editors • Publisher/Place Published • Page Numbers (first and last) • DOI • ISBN Number

Cat Code	PBRF eligible	Category Name	Inclusions and Description	Evidence required for verification/audit
P	Yes	Working Papers; Discussion Papers; Technical Reports; <i>(category currently under review – see also H Commissioned Reports)</i> Sub-categories: <ul style="list-style-type: none"> • Edited report • Report contribution 	Outputs in this category must meet the PBRF definition of research and refers to <ul style="list-style-type: none"> • Research papers disseminated to encourage discussion and suggestions for revision before final publication in refereed journals or other outlets. These would normally be in a series produced by departments or research centres, often with an ISSN/ISBN number, and would be made widely available in paper-based or electronic form. • Includes arXiv, etc 	<ul style="list-style-type: none"> • Authors • Publication Year • Title of Paper • Page Numbers If Applicable: <ul style="list-style-type: none"> • Report to • Publisher/Place Published • ISSN/ISBN Number • DOI
Q	Yes	Other	This Category may include any outputs that meet the PBRF definition of research and are not categorised above Examples: <ul style="list-style-type: none"> • Curator • Factsheet • Government Submission • Public Lecture • Radio Broadcasts • Clinical Guidelines • Department Seminar • Exhibition Catalogue • Inaugural Professorial Lecture 	<ul style="list-style-type: none"> • Authors • Year of Publication/Output • Title of Work • Any other relevant details
Q2	Yes	Guest Editor; Guest Editors	Outputs in this category must meet the PBRF definition of research and refers to having guest editorial responsibility for a journal special issue or journal section. <ul style="list-style-type: none"> • Special issues will be entered as individual records with the qualifier [Special issue: Subtitle] • Journal Section will be entered with an appropriate qualifier eg[Music Section], [Book Review Section] • Excludes regular editorial work as a member of an editorial board (RC instead in EP) but regular editorials can be entered in the D2/D3 category 	<ul style="list-style-type: none"> • Authors • Publication Year • Journal Name • Journal Section Title • Volume/Issue Number(s) • ISSN Number If Applicable: <ul style="list-style-type: none"> • Page Numbers (first and last) • DOI • Web Address (if on-line journal)

Cat Code	PBRF eligible	Category Name	Inclusions and Description	Evidence required for verification/audit
R1	Yes	Awarded Doctoral Degree	Staff or students' own degree, not those they have supervised	<ul style="list-style-type: none"> • Authors • Year Awarded • Title of Degree • University at which awarded • Repository handle/URL
R2	Yes	Awarded Research Masters Degree	Staff or students' own degree, not those they have supervised	<ul style="list-style-type: none"> • Authors • Year Awarded • Title of Degree • University at which awarded • Repository handle/URL

Performance Based Research Fund (PBRF)

- The next PBRF assessment period is 1st January 2018 to 30th December 2023.
- For a research publication/output to be included in a PBRF eligible category it must meet the Tertiary Education Commission (TEC) PBRF Definition of Research - see page 15.
- Outputs can have a Quality Assurance (QA) status of either Yes or No. see pg. 16 for the TEC PBRF Definition of Quality Assurance. If the QA status is showing 'Not Specified' within your MyResearch profile, simply follow the prompts to specify either Yes or No as appropriate.
- 25 of the 29 University of Otago categories are PBRF eligible categories. They will be mapped to 15 TEC categories for the next PBRF round.
- Any research output produced during the assessment period can be selected as a Nominated Research Output (NRO) or Other Research Output (ORO), regardless of where you were employed and where the research was undertaken.
- All research outputs must be recorded in the University's Research Outputs Database so they are available for selection into your Evidence Portfolio (EP) via your MyResearch profile.
- All publications recorded in the ROD require verification evidence for external auditing purposes (TEC processes for PBRF).
- Conference contributions such as Conference Chairs, Session Chairs, Convenors, Moderators, and Facilitators are not recorded as research outputs, but can be included in the Research Contribution component of a PBRF Evidence Portfolio instead.
- Panel Discussions and Debates can be recorded and selected as publications/outputs if appropriate (eg research content not conference dinner entertainment!). These could also be included in the Research Contribution component.
- All NROs in the PBRF round will be required to be available electronically for panel evaluation. If your outputs are not already in an electronic format, it would be beneficial to ensure that they are. The PBRF and Publications Office is checking to ensure all outputs can be successfully submitted to TEC. You may be contacted to provide a full copy of a book or doctoral thesis etc if required.
- Research Contribution entries are also subject to audit as part of the TEC PBRF processes. You would be encouraged to have, or record, evidence available for entries that are harder to verify. You do not need to send these through to the PBRF and Publications Office unless requested, but please keep all verification of contributions on hand in case of audit.
- Contact the PBRF and Publications Office for any questions you have related to the PBRF assessment.

Contact Details:

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What counts as research in the 2018 PBRF Quality Evaluation?

The PBRF Definition of Research is intended to be a broad characterisation that includes original investigation in all domains, including that of a creative, professional or applied nature. The PBRF Quality Evaluation explicitly recognises that high-quality research is not restricted to theoretical inquiry alone but occurs across the full spectrum of original investigative activity.



The PBRF Definition of Research has been expanded to ensure that it better reflects applied, commercial and creative research.

PBRF Definition of Research

For the purposes of the PBRF, research is original, independent investigation undertaken to contribute to knowledge and understanding and, in the case of some disciplines, cultural innovation or aesthetic refinement.¹

Research typically involves inquiry of an experimental or critical nature driven by hypotheses or intellectual positions capable of rigorous assessment by experts in a given discipline.

Research includes work of direct relevance to the specific needs of iwi, communities, government, industry and commerce. In some disciplines, research may be embodied in the form of artistic works, performances or designs that lead to new or substantially improved insights. Research may include:

- › contributions to the intellectual underpinning of subjects and disciplines (for example, dictionaries and scholarly editions)²
- › the use of existing knowledge in experimental development to produce new or substantially improved, materials, devices, products, communications or processes
- › the synthesis and analysis of previous research to the extent that it is new and creative.

Research findings must be open to scrutiny or formal evaluation by experts within the field. This may be achieved through various forms of dissemination including, but not limited to, publication, manufacture, construction, public presentation, or provision of confidential reports.

Activities that are part of routine standard practice and do not embody original research are excluded, such as:

- › routine testing
- › data collection
- › preparation for teaching
- › the legal and administrative aspects of intellectual property protection and commercialisation activities.

¹ The term 'independent' does not exclude collaborative work.

² The term 'scholarly' is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.

Quality Assurance:

NB: If not already specified, the researcher/academic must specify whether each output is “Quality Assured” or not. This can be done within MyResearch

PBRF Definition of Quality Assurance

(from the TEC Performance-Based Research Fund Guidelines for tertiary education organisations participating in the 2018 Quality Evaluation, September 2017)

56 Guidelines for tertiary education organisations participating in the 2018 Quality Evaluation

Quality assurance

Each eligible research output included in the RO component must be classified as either quality assured or non-quality assured. Both quality-assured and non-quality-assured research outputs can be included in an EP.

A **quality-assured research output** is defined as any research output that successfully completed a formal quality-assurance process before its final version was first made available in the public domain.

This means the output has been subject to formal, independent scrutiny by those with the necessary expertise or skills or both, to assess its quality. This may include, for example, its rigour, logic, clarity, originality, intellectual significance, impact, applications and artistic merit.

Formal quality-assurance processes vary between different disciplinary areas and output types. They include, **but are not limited to:**

- › peer-review or refereeing processes undertaken by journals and book publishers
- › other review processes employed by editors, editorial committees or publishers
- › the selection of conference papers or abstracts and the refereeing of conference papers
- › review processes specific to Māori or Pacific research processes or methodologies
- › review processes undertaken by major galleries, museums and broadcasters
- › review processes employed by users of commissioned or funded research (including confidential research) including commercial clients and public bodies.

If the formal quality-assurance process is not standard within the discipline or for the type of output, then this should be explained in the Description section for the output.

A non-quality-assured research output is one that:

- › has not been subject to a quality-assurance process
- › is currently in the process of being quality assured
- › has been unsuccessful in completing a formal quality-assurance process (for example, it has been peer reviewed and rejected).

A non-quality-assured NRO may be subject to greater scrutiny by the panel than a quality-assured NRO.



Successful completion of the relevant quality-assurance processes is not an eligibility criterion for research outputs.

This means that, for example, a book that successfully completed a quality-assurance process by 31 December 2017, but was not available in its final form in the public domain until 30 March 2018, would not be eligible for inclusion in an EP (as either a quality-assured research output or a non-quality-assured research output). Panel-specific guidelines also include information on the expected quality-assurance processes for research outputs.

*For the 2018 Quality Evaluation, **granted patents** are considered to be quality-assured research outputs.*

*A research output can be reviewed in the public domain **after** it becomes available. However, this type of review does not mean that the research output is quality assured.*

*Staff members need to clearly differentiate between a **pre-publication or production review** that results from a formal quality-assurance process for a research output and a **post-publication or production review**.*

Post-publication or production reviews and invitations to review research outputs that are in the public domain can be submitted in the Research Contribution component of the EP.

