



Otago Publications/Outputs Guidelines

All publications and outputs produced by University of Otago staff (including clinical, honorary, visiting, and emeritus staff) and students are recorded centrally by the PBRF and Publications Office, for various uses by the university, divisions, departments, research groups/themes, and individual staff including:

- University of Otago annual reports
- University of Otago reference lists
- External accreditation processes
- Divisional/Department reports
- Department/Staff web pages
- Department prospectuses
- Quality Advancement Unit Reviews
- *PBRF Assessment rounds
- Funding applications
- Institutional reviews
- Promotion rounds
- External reviews

- Reference lists and spreadsheets can be provided in various forms for use in any of the above. For further information, please email publications@otago.ac.nz
- A searchable database of research publications/outputs is available (login access only) [here](#):
- All publications recorded in the University's Research Outputs database (ROD) are verified to meet external auditing requirements.
- The PBRF and Publications Office routinely sources, and records, many publications/outputs with University of Otago attributed authors. References are automatically added to MyResearch profiles, and are available for display on staff webpages (unless noted as confidential).
- Publications/Research Outputs that occur on a regular basis are, where possible, sourced and recorded each year (e.g. major annual conferences, IPLs) by the PBRF and Publications Office.
- For any additional publications/outputs please send verification evidence to the PBRF and Publications Office either via email to publications@otago.ac.nz or in the internal mail.
- As a rule of thumb, any information displayed in a reference must be available in the verifying evidence for auditing purposes - See the Category Descriptions table (pages 5-13) for more specific evidence requirements.
- Publications/outputs can be recorded from any year (regardless of employment/study status in any given year), so that references are available for use in *PBRF rounds, webpage displays, promotion rounds etc.
- 29 publication/output categories are available, 25 of which are *PBRF-eligible categories.

Need a publication recorded? Send your PDF or DOI link to us at publications@otago.ac.nz

(*PBRF: Performance-Based Research Fund)

Publications/Outputs Categories

Code (office Use only)	Category Name
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	Technical Report/Working Paper/Discussion Paper
Q	Other – Please Specify
Q2	Guest Editor, Guest Section Editor
R1	Awarded Doctoral Degree
R2	Awarded Research Master's Degree

*non-PBRF eligible category

Evidence required for verification/audit:

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

As a rule of thumb, any information displayed in a reference, must be available in the verifying evidence.

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

NB: handwritten information (such as page numbers, or a publication date) cannot be used for audit, 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 at 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	<p>Authored Book – Research</p> <p>Sub-categories:</p> <ul style="list-style-type: none"> Scholarly edition/Literary translation 	<p>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</p> <ul style="list-style-type: none"> Research Monographs Textbooks based on significant research by the author(s) Scholarly Editions Revisions/New Editions/Translations providing this includes substantial new research material 	<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	<p>Outputs in this category are not PBRF eligible and may include</p> <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, e.g. “vanity presses” Programme reports Revisions/New Editions/Translations which do not include substantial new material 	<ul style="list-style-type: none"> As Above
B1	Yes	Edited Book - Research	<p>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</p> <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 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” • Programme reports • Translations of published books with no significant background research • Revisions/New Editions which do not include substantial 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 • Translations of chapters with no significant background research • Revisions/New Editions which do not include substantial 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) • 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 • Reviews of art exhibitions, concerts or theatre productions • Case Studies • Editorials • Letters to the Editor • Book Reviews • Newspaper and Magazine articles • Consensus Statements/Professional Guidelines (providing this includes substantial new research) 	<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 (which do not include substantial 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 <p>Excludes Sessions Chairs, moderators etc</p>	<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 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 • 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 may include</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 • Curatorial work 	<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 may include</p> <ul style="list-style-type: none"> • Scholarly works presented in visual form which cover the presentation of research findings and factual information • Creative recordings/production, such as musical albums, films of creative practice 	<ul style="list-style-type: none"> • Authors • Year of Publication • Title of Work • Any other available written evidence

Cat Code	PBRF eligible	Category Name	Inclusions and Description	Evidence required for verification/audit
O	Yes	Creative Work	Outputs in this category are PBRF eligible and may include <ul style="list-style-type: none"> • Novels • Poetry • Other creative written or audio-visual work 	<ul style="list-style-type: none"> • Authors • Publication Year • Title of Work • Video or Audio recording If Applicable: <ul style="list-style-type: none"> • Editors • Publisher/Place Published • Page Numbers (first and last) • DOI • ISBN Number
P	Yes	Technical Report/ Working Paper/ Discussion Paper/ Sub-categories: <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"> • Research papers disseminated to encourage discussion and suggestions for revision before final publication in refereed journals or other outlets. 	<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"> • 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

Cat Code	PBRF eligible	Category Name	Inclusions and Description	Evidence required for verification/audit
Q2	Yes	Guest Editor; Guest Editors	<p>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.</p> <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 e.g.[Music Section], [Book Review Section] <p>Excludes:</p> <ul style="list-style-type: none"> • Special issues where the issue editor is the regular editor (but editorials can be entered in the D2/D3 category) • regular editorial work as a member of an editorial board 	<ul style="list-style-type: none"> • Authors • Publication Year • Journal Name • Journal Section Title • Volume/Issue Number(s) • ISSN Number <p>If Applicable:</p> <ul style="list-style-type: none"> • Page Numbers (first and last) • DOI • Web Address (if on-line journal)
R1	Yes	Awarded Doctoral Degree	Excludes honorary doctorates	<ul style="list-style-type: none"> • Authors • Year Awarded • Title of Degree • University/Institution at which awarded • Repository handle/URL
R2	Yes	Awarded Research Master's Degree	Excludes dissertations	<ul style="list-style-type: none"> • Authors • Year Awarded • Title of Degree • University/Institution at which awarded • Repository handle/URL

Performance-Based Research Fund (PBRF)

- The next PBRF assessment period is 1st January 2018 to 31st December 2025.
- 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 pages 15-16).
- Outputs can have a Quality Assurance (QA) status of either Yes or No (see pages 17-18 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 the appropriate TEC categories as prescribed for each PBRF round.
- Any PBRF-eligible research output produced during the assessment period can be used in a PBRF Evidence Portfolio regardless of: a) where you were employed at the time of the research, and b) where the research was undertaken.
- All research outputs must be recorded (centrally by the PBRF and Publications Office) in the University's Research Outputs Database (ROD) 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 (e.g. TEC processes for PBRF, University Annual Report audit).
- Conference contributions such as Conference Chairs, Session Chairs, Convenors, Moderators, and Facilitators are not recorded as research outputs, but can be included in the Contribution to the Research Environment (CRE) 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!).
- All publications/outputs in an EP are required to be available electronically for panel evaluation and/or audit. If your outputs are not already in an electronic format, it would be beneficial to ensure that they are. The PBRF and Publications Office will check 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.
- Contribution to the Research Environment and Research Activity entries are also subject to audit as part of the TEC PBRF processes. You are encouraged to have evidence available for all entries, particularly those that may be difficult to verify. You do not need to send this evidence through to the PBRF and Publications Office unless requested, but please keep all verification of contributions/activities 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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In principle decision

Based on the recommendations of the SRG, the TEC has agreed in principle the following PBRF Definition of Research:

For the purposes of the PBRF, research is defined as a process of investigation or inquiry leading to new, recovered, or reinterpreted knowledge or understanding which is effectively shared and capable of rigorous assessment by the appropriate experts.

In Aotearoa New Zealand our distinctive research cultures and environments draw on diverse ontological, epistemological, and methodological traditions of critical inquiry, experimentation, and knowledge-creation. This definition of research includes Māori ways of knowing, being, and conducting rangahau such as kaupapa Māori and mātauranga Māori; diverse Pacific ways of knowing, being, and conducting research; and work that embodies new insights of direct relevance to the specific needs of iwi, hapū, marae, communities, government, scholarship and teaching, industry, and commerce, which may be developed through collaborative and practice-led processes involving stakeholders from those constituencies.

Research can be an individual or collective process and may be embodied in the form of artistic works, performances, designs, policies, or processes that lead to novel or substantially improved insights.

For further clarification, research includes:

- › Activity that leads to scholarly books, journal articles, and other nationally and internationally published outputs and presentations that offer new, recovered, or reinterpreted knowledge;
- › Activity that leads to contributions to the intellectual underpinning of different ontologies and epistemologies, subjects, and disciplines (for example, dictionaries, scholarly editions, teaching materials that embody original research, or teaching practices or activities that produce original research);
- › Applications of existing knowledge to produce new or substantially improved materials, devices, products, designs, policies, granted patents, or creative outputs;
- › Re-centering and revitalisation of knowledge (for example, the study of raranga, whakapapa narratives, waiata composition, navigational knowledge, translation studies, historical or literary archival studies, or ecological research); and
- › The synthesis and analysis of previous research to the extent that the insights generated are new.

It does not include:

- › Routine testing and data collection lacking analysis, interpretation and/or evaluation;
- › Preparation for teaching that does not embody original research (for example, collation of existing research and research outputs into handbooks or textbooks where this does not embody new insights); or
- › The legal and administrative aspects of intellectual property protection and commercialisation activities.

In Principle decision

Based on the recommendations of the SRG, the TEC has agreed in principle that the following statements will sit in the Guidelines alongside the PBRF Definition of Research:

The new definition of research includes explicit reference to Māori ways of knowing, being, and conducting rangahau. Rangahau and knowledge of relevance to Māori communities, such as kaupapa Māori and mātauranga Māori, are essential components of Aotearoa New Zealand's distinctive research cultures. The Māori Knowledge and Development Panel-Specific Guidance has elaborated the ontologies, epistemologies, methodologies, knowledges and understandings which comprise Te Āo Māori. This elaboration applies across all Panels and will be used to determine whether EPs should be cross-referred.

The new definition of research includes explicit reference to diverse Pacific ways of knowing, being, and conducting research. Research and knowledge of relevance to Pacific communities are essential components of Aotearoa New Zealand's distinctive research cultures. The Pacific Research Panel-Specific Guidance has elaborated the topics, ontologies, epistemologies, methodologies, knowledges and understandings which make up Pacific research cultures. This elaboration applies across all Panels and will be used to determine whether EPs should be cross-referred.

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 2018 Quality Evaluation exercise)

(Example only: Will be updated once TEC releases the final 2026 PBRF Guidelines)

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.

