



Australian Government  
Australian Research Council

**DRAFT ERA SUBMISSION GUIDELINES:  
PHYSICAL, CHEMICAL AND EARTH  
SCIENCES (PCE) & HUMANITIES AND  
CREATIVE ARTS (HCA) CLUSTERS**

*Consultation*

*RESEARCH in the national interest - enabling the future*

Excellence in Research for Australia (ERA) Initiative

January 2009

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## Table of Contents

<b>1.</b>	<b>ERA OVERVIEW .....</b>	<b>6</b>
1.1.	Introduction .....	6
1.2.	Objectives.....	6
<b>2.</b>	<b>ERA SUBMISSION GUIDELINES.....</b>	<b>8</b>
2.1.	Structure of the Submission Guidelines .....	8
2.2.	Other ERA Documents .....	8
2.3.	Use of Information from ERA .....	8
2.4.	Further Assistance .....	9
<b>3.</b>	<b>KEY ELEMENTS .....</b>	<b>10</b>
3.1.	Definition of Research .....	10
3.2.	Comprehensiveness.....	10
3.3.	Unit of Evaluation and Reporting .....	11
3.3.1.	<i>Unit of Evaluation</i> .....	11
3.3.2.	<i>Units of Reporting</i> .....	11
3.3.3.	<i>Additional ERA information provided to institutions</i> .....	11
3.4.	Interdisciplinary and Multidisciplinary Research.....	12
3.5.	Role of Expert and Peer Review .....	12
3.5.1.	<i>Expert Review</i> .....	12
3.5.2.	<i>Peer Review</i> .....	12
3.6.	Low Volume – Non-assessable Units of Evaluation .....	14
3.7.	Reference Periods.....	14
<b>4.</b>	<b>ERA PROCESS .....</b>	<b>15</b>
4.1.	Submission .....	16
4.2.	Assignment.....	16
4.3.	Evaluation.....	16
4.4.	Distribution/Publication of Outcomes.....	16
4.5.	ERA Timeline for PCE and HCA Clusters.....	17
<b>5.</b>	<b>SUBMISSION DATA .....</b>	<b>18</b>
5.1.	Submission Components.....	18
5.2.	Background Statement .....	18
5.3.	Researcher Eligibility .....	19
5.3.1.	<i>Eligible Researcher Criteria</i> .....	19
5.3.2.	<i>Eligible Researcher Data</i> .....	21
5.3.2.1.	<i>Name and Alternative Names</i> .....	22
5.3.2.2.	<i>Staff Reference</i> .....	22
5.3.2.3.	<i>FTE Data</i> .....	22
5.3.2.4.	<i>FoR Assignment</i> .....	22
5.3.2.5.	<i>Academic Level</i> .....	22
5.3.2.6.	<i>Status</i> .....	23
5.3.2.7.	<i>Function</i> .....	23
5.4.	Research Outputs.....	24
5.4.1.	<i>Eligible Research Output Types: PCE and HCA Clusters</i> .....	24
5.4.1.1.	<i>Books-Authored Research</i> .....	24
5.4.1.2.	<i>Chapters in Research Book</i> .....	25
5.4.1.3.	<i>Journal Articles-Refereed, Scholarly Journal</i> .....	26
5.4.1.4.	<i>Conference Publications-Full Paper Refereed</i> .....	28
5.4.1.5.	<i>Other Research Outputs</i> .....	28

5.4.2.	<b>HCA-Specific Eligible Research Output Types: Creative Works</b> .....	29
5.4.2.1.	<i>Original (Creative) Works in the Public Domain</i> .....	29
5.4.2.2.	<i>Live Performance Works in the Public Domain</i> .....	29
5.4.2.3.	<i>Recorded (Performance) Public Works</i> .....	30
5.4.2.4.	<i>Curated or Produced Substantial Public Exhibitions, Events or Renderings</i> .....	30
5.4.3.	<b>Assignment of FoR Codes</b> .....	31
5.4.4.	<b>Research Outputs Reference Period</b> .....	31
5.4.4.1.	<i>The Date of Publication Rule</i> .....	31
5.4.4.2.	<i>Date of Publication Definition for Non-Traditional or Sensitive Outputs</i> .....	31
5.4.4.3.	<i>Revisions</i> .....	32
5.4.4.4.	<i>Reprints and Multiple Editions</i> .....	32
5.4.4.5.	<i>Exceptions</i> .....	32
5.4.4.6.	<i>Eligible Versions of Research Outputs for Review</i> .....	32
5.5.	<b>Esteem Measures</b> .....	33
5.5.1.	<b>Esteem Measures Apportionment</b> .....	34
5.5.2.	<b>Eligible Esteem Measures</b> .....	34
5.5.2.1.	<i>Editorial role (editor, member of editorial board) of A* or A ranked journals</i> .....	34
5.5.2.2.	<i>Contribution to a prestigious work of reference</i> .....	34
5.5.2.3.	<i>Curatorial role (head curator, membership of curatorial board) of a prestigious event</i> ....	35
5.5.2.4.	<i>Elected Fellowship of a Learned Academy (national/international)</i> .....	35
5.5.2.5.	<i>Recipient of a nationally competitive research fellowship</i> .....	36
5.5.2.6.	<i>Recipient of a prestigious prize or award (national/international)</i> .....	36
5.6.	<b>Research Income</b> .....	37
5.6.1.	<b>Eligible Income Category Types</b> .....	37
5.6.2.	<b>Research Income Reference Period</b> .....	37
5.6.3.	<b>Research Income Apportionment</b> .....	38
5.6.3.1.	<i>Australian Competitive Grants</i> .....	38
5.6.3.2.	<i>Other Public Sector Research Income</i> .....	38
5.6.3.3.	<i>Industry and Other Research Income</i> .....	38
5.6.3.4.	<i>CRC (Cooperative Research Centre) Research Income</i> .....	39
5.7.	<b>Applied Measures</b> .....	39
5.7.1.	<b>Applied Measures Apportionment</b> .....	39
5.7.2.	<b>Eligible Applied Measures</b> .....	39
5.7.2.1.	<i>Patents</i> .....	39
5.7.2.2.	<i>Registered designs</i> .....	40
5.7.2.3.	<i>Research commercialisation income</i> .....	41
6.	<b>OTHER MATTERS</b> .....	42
6.1.	<b>Sensitivity – Confidential or Sensitive Outputs</b> .....	42
6.1.1.	<i>Commercially sensitive research outputs</i> .....	42
6.1.2.	<i>Culturally sensitive research outputs</i> .....	42
6.1.3.	<i>Research for government agencies that has not been released to the public</i> .....	43
6.1.4.	<i>Australian Government security classified research outputs</i> .....	43
6.2.	<b>Managing Physical, Technical or Legal Limitations</b> .....	43
6.3.	<b>Privacy Complaints and Advice</b> .....	43
6.4.	<b>Freedom of Information</b> .....	44
6.5.	<b>Intellectual Property in ERA-Related Material</b> .....	44
6.6.	<b>Managing Copyright in Research Outputs</b> .....	45
6.6.1.	<i>Where copyright is owned by institutions</i> .....	45
6.6.2.	<i>Where copyright is owned by eligible researchers</i> .....	45
6.6.3.	<i>Where copyright is owned by third parties</i> .....	46
6.6.4.	<i>Further copyright advice to be issued</i> .....	46
6.7.	<b>Moral Rights</b> .....	46
7.	<b>SUBMISSION CERTIFICATION</b> .....	47
7.1.	<b>Certification Process</b> .....	47
7.2.	<b>Incomplete, False or Misleading Information</b> .....	48

<b>APPENDIX A: ELIGIBLE INSTITUTIONS.....</b>	<b>49</b>
<b>APPENDIX B: FIELD OF RESEARCH (FOR) CODES .....</b>	<b>50</b>
<b>APPENDIX C: DISCIPLINE MATRICES .....</b>	<b>52</b>
<b>APPENDIX D: RESEARCH THEMES.....</b>	<b>62</b>
<b>APPENDIX E: FORMAT OF RESEARCH STATEMENT FOR PEER REVIEW OF CREATIVE WORKS FOR THE HCA CLUSTER.....</b>	<b>63</b>
<b>APPENDIX F: LIST OF ABBREVIATIONS .....</b>	<b>65</b>
<b>APPENDIX G: GLOSSARY .....</b>	<b>66</b>

# 1. ERA Overview

## 1.1. Introduction

The Excellence in Research for Australia (ERA) initiative aims to identify and promote excellence across the full spectrum of research activity, including discovery and applied research, in Australia's higher education institutions. ERA reflects the Government's commitment to a transparent, streamlined approach to the evaluation of the quality of research undertaken in Australia's universities.

The Australian Research Council (ARC) has developed ERA in consultation with the National Health and Medical Research Council (NHMRC), with advice from the Department of Innovation, Industry, Science and Research (DIISR) and expert advice from the Indicators Development Group (IDG).

ERA will evaluate the quality of research undertaken in eligible higher education providers (henceforth 'institutions'). Institutions evaluated as part of ERA are those listed at **Appendix A**.

## 1.2. Objectives

The objectives of ERA are to:

1. establish an evaluation framework that gives government, industry, business and the wider community assurance of the excellence of research conducted in Australia's institutions;
2. provide a national stocktake of discipline-level areas of research strength and areas where there is opportunity for development in Australia's higher education institutions;
3. identify excellence across the full spectrum of research performance;
4. identify emerging research areas and opportunities for further development; and
5. allow for comparisons of Australia's research nationally and internationally for all discipline areas.

In order to achieve these objectives, ERA will undertake evaluations in each of eight clusters of disciplines. For evaluation purposes, 'disciplines' are defined as four-digit Fields of Research (FoR) as identified in the Australian and New Zealand Standard Research Classification (ANZSRC) except in cases of low-volume research activity (as specified in section 3.6), where disciplines may be re-defined as two-digit (rather than four-digit) FoR codes.

Research Evaluation Committees (RECs), comprising experienced, internationally-recognised experts, will evaluate the overall research performance of disciplines within institutions. These evaluations will be informed by four broad categories of indicators:

1. *Indicators of research quality*

Research quality is considered on the basis of ranked outlets, citation analysis and peer-reviewed Australian and international research income. Peer review is also incorporated where necessary.

2. *Indicators of research volume and activity*

Research volume and activity is considered on the basis of total research outputs and research income within the context of the eligible researcher profile.

3. *Indicators of recognition*

Indicators of recognition are considered on the basis of a range of esteem measures.

4. *Indicators of research application*

Applied research is considered on the basis of research commercialisation income and other applied measures.

## **2. ERA Submission Guidelines**

### **2.1. Structure of the Submission Guidelines**

These *Guidelines* include information on the rules for submission of material via ERA's supporting IT system, known as the System to Evaluate the Excellence of Research (SEER), including:

- an overview of ERA;
- eligibility requirements for material to be submitted for the Physical, Chemical and Earth Sciences (PCE) and the Humanities and Creative Arts (HCA) clusters ('Cluster One' and 'Cluster Two', respectively); and
- additional requirements for institutions participating in ERA.

### **2.2. Other ERA Documents**

These *Guidelines* should be read in conjunction with the following ERA documents:

- *ERA-SEER Technology Pack*, which includes technical documentation, Code Tables and XML schema related to the submission process. The *Technology Pack* includes the *ERA-SEER Technical Specifications* which outline requirements for ensuring that information is available to reviewers during the evaluation process.
- *ERA Evaluation Guidelines*, which outline how indicators and other proxies are considered as part of the evaluation and the process by which a REC arrives at judgements of the excellence of a discipline. These *Guidelines* will include evaluation information specific to each discipline cluster.

Supplementary information will also be provided in other documents as outlined in the following section. The ARC may provide further clarifying information on its website ([www.arc.gov.au/era](http://www.arc.gov.au/era)) and will provide this information to institutions as it becomes available.

### **2.3. Use of Information from ERA**

The ARC will publicly release outcomes of the evaluations for Clusters One and Two aggregated to the national level but not broken down to the level of individual institutions.

The ARC will also make available to individual institutions analyses of their own disciplines. These individual analyses will not be publicly released by the ARC but will be provided to the Department of Innovation, Industry, Science and Research (DIISR) to assist with the development of policy advice.

The Higher Education Research Data Collection (HERDC) process managed by DIISR will continue to inform research block grant allocations until such a time that the Government considers and implements any new mechanism. If in the future the Government decides to use information submitted as part of ERA and/or ERA

outcomes to inform block grants or other allocation mechanisms, ERA-sourced information will not be used in this manner without prior consultation with eligible institutions.

#### **2.4. Further Assistance**

Queries regarding ERA should be directed to the ERA Helpdesk at (02) 6287 6755 or email [era@arc.gov.au](mailto:era@arc.gov.au).

Queries regarding SEER should be directed to the SEER Helpdesk at (02) 6287 6755 or [seer@arc.gov.au](mailto:seer@arc.gov.au).

### 3. Key Elements

#### 3.1. Definition of Research

For the purposes of ERA, 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 is new and creative.

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 applications.’<sup>1</sup> This definition should be read as consistent with that used in the *Higher Education Research Data Collection Specifications*.<sup>2</sup>

This definition of research should be used by institutions when assessing the acceptability of research outputs for submission in ERA.

#### 3.2. Comprehensiveness

Over the full ERA process (e.g. clusters one to eight), institutions are required to submit information on all eligible researchers and items of research produced within specified reference periods.

For the purposes of the Cluster One and Two processes, institutions are required to submit information on all eligible researchers and items of research that have been produced within the four-digit FoR codes within each cluster (see **Appendix B** for the full list of Cluster One and Two four-digit FoR codes). For researchers or research items to be eligible for submission for the PCE or HCA clusters, only one assigned FoR needs to fall within these clusters.

Institutions must not be selective about the researchers or research items that are submitted, although they may be selective about the research outputs that are identified for ERA peer review for those disciplines where peer review has been identified in the *Discipline Matrix* (see **Appendix C**).

While these *Guidelines* are limited to the submission of material for Clusters One and Two, institutions must ensure that researchers or research items have no more than three four-digit FoR codes across all eight clusters of disciplines. The ARC will conduct an audit of all submission material following the completion of the eight cluster evaluations to identify the extent to which material was submitted for more than three four-digit FoR codes.

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<sup>1</sup> OECD (2002), *Frascati Manual: Proposed Standard Practice for Surveys on Research and Experimental Development*, Paris.

<sup>2</sup> [http://www.innovation.gov.au/ScienceAndResearch/programs\\_funding/Pages/highereducationresearchdatacollection.aspx](http://www.innovation.gov.au/ScienceAndResearch/programs_funding/Pages/highereducationresearchdatacollection.aspx)

### **3.3. Unit of Evaluation and Reporting**

#### **3.3.1. Unit of Evaluation**

The primary 'Unit of Evaluation' for ERA is the research discipline for each institution.

All ERA data collection will be at the four-digit level, regardless of the volume of an institution's research activity at that level. For some areas of research, however, it is recognised that there may not be sufficient research volume to undertake a valid analysis at the four-digit FoR level for a given institution.

In these instances, RECs may conduct analyses at the two-digit level where two-digit volumes are sufficient for evaluation. In the case of low volumes at the two-digit level, RECs will not undertake an evaluation of that two-digit discipline for that institution.

For the purposes of national reporting for a discipline, evaluations will be undertaken of disciplines aggregated across institutions at the two-digit and four-digit levels regardless of the volume of research at those levels within individual institutions. This information will not be identifiable at an institution level.

Additional detail on the approach under ERA to low-volume research activity is at section 3.6.

#### **3.3.2. Units of Reporting**

The units of reporting for ERA are disciplines within an institution, classified by four-digit FoR code except in low-volume cases where the two-digit level will apply.

The ARC will provide national reporting, which refers to the national performance of a discipline without referring to specific institutions, classified at the two- and four-digit FoR level.

#### **3.3.3. Additional ERA information provided to institutions**

Institutions may devise their own reporting codes that link components of their cluster submission to particular Institutional Units within the institution. Institutions may submit up to two Institutional Units with each research output or other research item.

Institutions may also use a set of predefined research themes to link components of their cluster submission. The set of allowable research themes is provided as a Code Table as part of the *ERA-SEER Technology Pack* and is listed in **Appendix D**.

When evaluations are completed, an institution may request the ARC to provide it with information to allow internal analyses of the institution's research performance based on the Institutional Units or research themes provided. In these cases the ARC will compile information for the components associated with an institution's nominated Institutional Units or research themes to allow institutions to develop their own reports.

The Institutional Unit or research theme information provided by the ARC will not include a separate evaluation outcome. Information aggregated in this way will not be provided to, or considered by, the RECs.

It is expected that, following the completion of all ERA cluster evaluations, it will be possible for institutions to compile information about, for example, an Institutional Unit in climate change research that has its research items submitted for evaluation under a variety of disciplines (e.g. environmental science and management, atmospheric sciences, law, soil sciences and demography) which span more than one cluster. In these cases, institutions are expected to be able to collate information derived from their submission material by Institutional Unit from all of the clusters.

### **3.4. Interdisciplinary and Multidisciplinary Research**

As ERA is a discipline-based research evaluation exercise, interdisciplinary and multidisciplinary research will be disaggregated based on its discipline components.

The ARC will have the capacity to identify profiles of interdisciplinary research which uses the FoR codes submitted with each research output, although this will not form part of the evaluation process.

As outlined above, institutions will be able to internally track interdisciplinary and multidisciplinary research by submitting up to two Institutional Unit code(s) and/or research themes to each research item.

### **3.5. Role of Expert and Peer Review**

#### **3.5.1. Expert Review**

ERA will use RECs to undertake expert review of relevant disciplines. Each REC will include internationally-recognised members with expertise in research evaluation and broad discipline expertise.

For the PCE cluster, quantitative information will provide the primary source for the provision of indicators in the evaluation process. The ERA evaluation process will use those quantitative indicators which are relevant for the discipline to inform expert review undertaken by RECs.

For the HCA cluster, while quantitative information will provide the main source for the provision of indicators in the evaluation process, it is expected that there will be greater emphasis on peer review (as outlined in the next section).

ERA indicators will be presented to RECs as both profile and trend data as allowable by the type of indicator, as well as discipline benchmarks where applicable.

#### **3.5.2. Peer Review**

It is acknowledged that full peer review will have already occurred on a significant majority of research outputs submitted for ERA and is already a condition of a

research output being considered as one of the four major research output types collected for HERDC (i.e. book, book chapter, journal article, and refereed conference publication). Similarly, competitive grant income submitted for ERA will have been awarded on the basis of full peer review.

Any peer review process that is conducted in ERA is therefore designed to avoid unnecessary duplication of effort.

Peer review will form an integral part of the ERA evaluation process. Peer review will not be used for the PCE cluster disciplines but will be used for the HCA cluster disciplines. While this will involve a sample of research outputs in relevant disciplines, any type of research output in those disciplines could be selected to form part of such a sample.

For disciplines where peer review is used, institutions are asked to identify a pre-determined proportion of their outputs for peer review. Where possible, these research outputs must be made available to the ARC for evaluation via an institutionally-supported repository.

The proportion of outputs required for ERA peer review may vary across disciplines where ERA peer review is undertaken. The standard proportion will be 20 per cent of all outputs at the four-digit FoR level; however this may vary across clusters and will be reflected in the *Discipline Matrix*.

To support the peer review of creative arts research outputs in particular, a statement identifying the research component of each HCA-specific eligible research output must be available in an institutionally-supported repository. 'Creative arts research outputs' refer to those discipline-specific eligible research output types listed at section 5.4.2. The statement must be a maximum of 250 words and should address the following categories:

1. Research Background
  - Field
  - Context
  - Research Question
2. Research Contribution
  - Innovation
  - New Knowledge
3. Research Significance
  - Evidence of Excellence

Further information on the Research Statement for Peer Review of Creative Works for the HCA Cluster is provided at **Appendix E** (see also section 5.4.2).

### **3.6. Low Volume – Non-assessable Units of Evaluation**

For disciplines where citation analysis is used, if the number of indexed journal articles for an institution's FoR is fewer than 50 in any two- or four-digit FoR, then no evaluation will be conducted of the FoR.

For disciplines where citation analysis is not used, no evaluation will be conducted of the FoR where it contains fewer than the equivalent of 20 submitted research outputs (with books given an effective weighting of 5:1 compared with other research outputs, over the six year period (see section 5.4.1.1)).

In these instances, those Units of Evaluation in the institution will be automatically treated as 'not assessed due to low volume'. This means that data submitted relating to research outputs, esteem measures, research income and applied indicators for that four-digit FoR will be collected, but will not be evaluated under ERA. All submission data will be included, however, when all ERA data is aggregated for national reporting.

### **3.7. Reference Periods**

Submission data for ERA will be collected for the following reference periods:

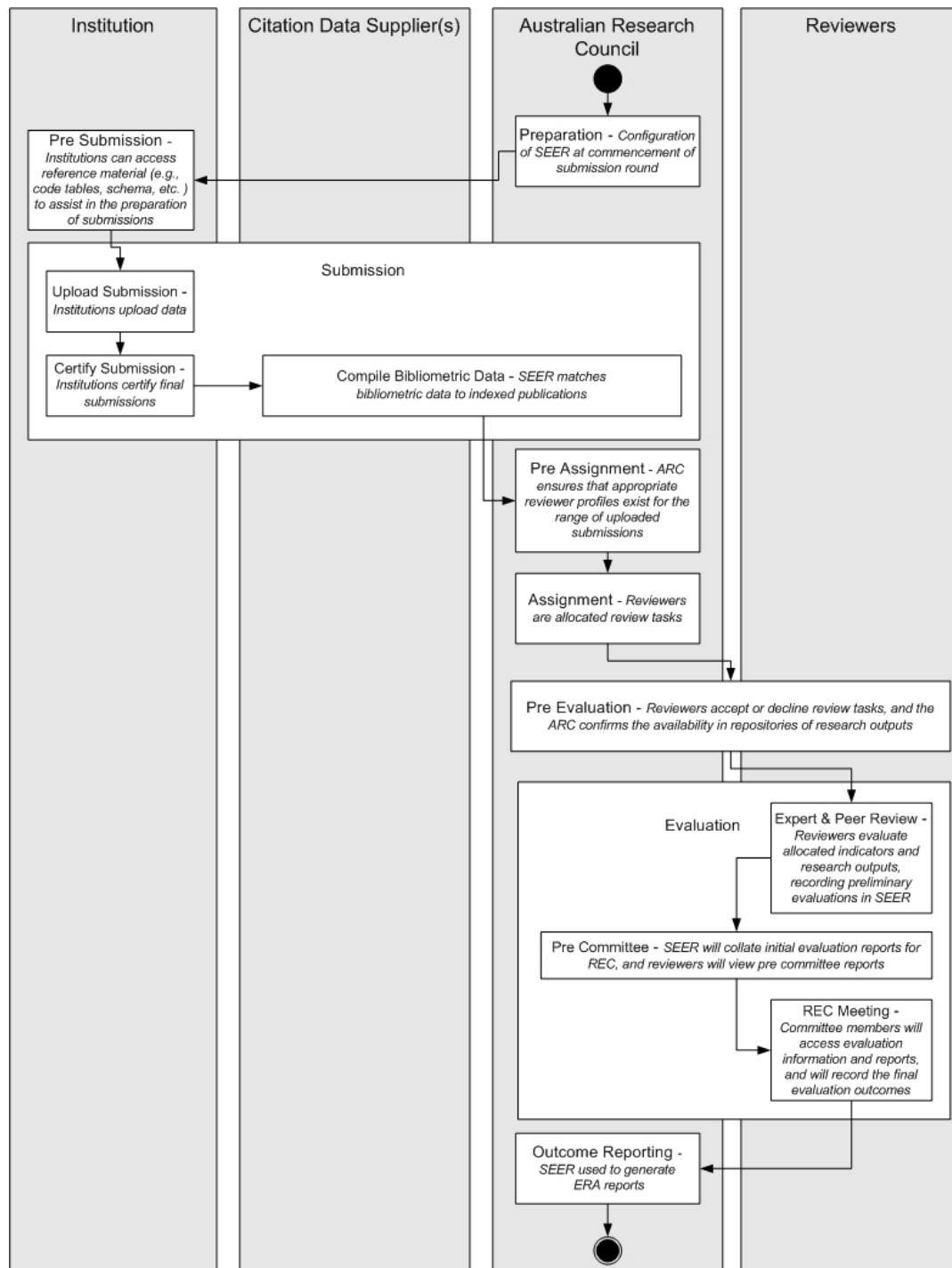
<b>Measure type</b>	<b>Reference Period</b>	<b>Years</b>
Research Outputs	1 January 2002 – 31 December 2007	6
Esteem Measures	1 January 2005 – 31 December 2007	3
Research Income	1 January 2005 – 31 December 2007	3
Applied Measures	1 January 2005 – 31 December 2007	3

Further details on the rules surrounding each of these reference periods are outlined in sections 5.4 to 5.7.

Data regarding eligible researchers is not collected for a reference period but based on a single staff census date, which is 31 March 2008 (see section 5.3.1).

## 4. ERA Process

The following diagram outlines the overall process of ERA and what will be expected of, and available to, institutions during each of the phases.



The four major phases of ERA are Submission, Assignment, Evaluation and Distribution/Publication of Outcomes. Each phase is described in more detail in the following sections. Further information on the evaluation phase will also be provided in the *ERA Evaluation Guidelines*.

#### **4.1. Submission**

When the ERA process commences for the PCE and HCA clusters, institutions will be given access to ERA's supporting IT system, SEER, to upload their cluster submission data. This data will be verified and validated by SEER to ensure that the data submitted aligns with these *Submission Guidelines* as well as the *ERA-SEER Technical Specifications*.

Once an institution's cluster submission data has been correctly submitted, the submission needs to be certified by the institution.

The ARC will then, where relevant, append bibliometric data including national and international benchmarks to the submission (i.e. citation information obtained from external citation data suppliers that have been contracted to provide the information).

#### **4.2. Assignment**

Once all bibliometric data has been appended, the ARC will commence breaking down the submissions into Units of Evaluation. Tasks will be assigned to expert reviewers and, where appropriate, peer reviewers.

#### **4.3. Evaluation**

RECs will undertake expert review of research items across all relevant indicators for each Unit of Evaluation. As part of this process, where appropriate, ERA peer review will be undertaken of a sample of research outputs. Each ERA peer reviewer will then provide outcomes for assigned components.

Each REC will then convene to consider the initial outcomes and agree final evaluation outcomes for the Units of Evaluation. Each REC will also consider the aggregated indicators and provide a report to the ARC at the national level for each discipline.

#### **4.4. Distribution/Publication of Outcomes**

The ARC will publicly release outcomes of the evaluations for Clusters One and Two aggregated to the national level.

The ARC will also make available to individual institutions analyses of their own disciplines.

In cases where institutions provide data that is coded to reflect certain research themes or Institutional Units, the ARC will provide those institutions with data allowing institutions to undertake their own analysis of their research themes or Institutional Units (see section 3.3.3).

#### 4.5. ERA Timeline for PCE and HCA Clusters

Phase	Activity	Start Date	End Date	Responsible
Submission	Submission Period (including lodgement of Cluster Submission Certification Statements)	20 April 2009	8 May 2009	Institutions
	Compile Bibliometrics	11 May 2009	29 May 2009	ARC and external citations supplier
Assignment	Assignment of units of evaluation to reviewers	1 June 2009	5 June 2009	ARC and REC Chair
Evaluation	Preliminary evaluation by reviewers	9 June 2009	3 July 2009	Reviewers
	RECs view all preliminary evaluations and aggregated indicator profiles prior to main evaluation meeting	6 July 2009	10 July 2009	ARC and RECs
	RECs meet to finalise recommended evaluation outcomes for the ARC	13 July 2009	24 July 2009	ARC and REC
Distribution/ Publication of Outcomes	Distribution of institutional reports and publication of national outcomes		14 August 2009	ARC

## **5. Submission Data**

### **5.1. Submission Components**

The main components of an ERA submission include:

- Background Statement(s);
- Eligible Researcher Data;
- Data on Research Outputs;
- Data on Esteem Measures;
- Data on Research Income; and
- Data on Applied Measures.

### **5.2. Background Statement**

Institutions may provide a succinct written Background Statement which outlines relevant contextual information about the research performance and development of the disciplines under consideration. The Background Statement enables institutions to provide appropriate context for the indicators and to identify any factors the institution feels the REC should be made aware of to enable an informed evaluation.

Background Statements should be provided only at the two-digit FoR level. For the PCE cluster, one Background Statement should be provided for the two-digit FoR codes below:

- Physical Sciences (02);
- Chemical Sciences (03); and
- Earth Sciences (04).

For the HCA cluster, one Background Statement should be provided for the two-digit FoR codes below:

- Built Environment and Design (12);
- Law and Legal Studies (18);
- Studies in Creative Arts and Writing (19);
- Language, Communication and Culture (20);
- History and Archaeology (21); and
- Philosophy and Religious Studies (22).

It is up to institutions to determine the extent to which they provide information in the Background Statement. However, institutions should confine the content of their statements to research-related information. Institutions may include information in the Background Statement under headings such as those outlined below:

- Overview: a brief outline of any background information relevant to the performance and development of the disciplines under consideration;
- Capacity: identification of any significant staff changes or resources over time;

- Environment: particularly support for Early Career Researchers and Higher Degree Research students, including how they have contributed to or assisted with the production of the research outputs submitted;
- Collaboration: across disciplines and/or with researchers at other institutions or agencies (both within Australia and overseas);
- Type: identification of whether the research undertaken by the disciplines would predominantly be considered either pure basic research, strategic basic research, applied research and/or experimental development; and
- Other: any other information the institution feels should be included to explain the data submitted and enable an informed evaluation.

Information provided in Background Statements should focus on activities undertaken during the six-year period from 1 January 2002 to 31 December 2007 rather than provide information about the future direction of the relevant disciplines. Any information on prospective activity will not be taken into account in the REC evaluations.

The Background Statement is limited to 10,000 characters for each two-digit FoR. Further detail on restrictions on the format in which the Background Statement should be provided are outlined in the XML schema of the *ERA-SEER Technology Pack*.

### **5.3. Researcher Eligibility**

#### **5.3.1. Eligible Researcher Criteria**

The following researcher eligibility criteria are to be used as the basis of determining whether a research output or esteem measure can be submitted as part of an institution's cluster submission:

- Research outputs – For institutions to submit information on a research output, the output must have one or more eligible researchers listed as an author either within (e.g. in the byline) or on the output being claimed. In addition to the researcher eligibility criteria, submitted research outputs must meet the other eligibility criteria for research outputs (see section 5.4).
- Esteem measures – For institutions to submit information on esteem measures, the measures must relate to one or more eligible researchers. In addition to the researcher eligibility criteria, submitted esteem measures must meet the other eligibility criteria (see section 5.5.2).

Please note that these researcher eligibility criteria are not relevant for research income, which for ERA is reported consistently with the HERDC approach (see section 5.6), nor for applied measures (see section 5.7).

To be eligible, researchers must meet **all** of criteria (a)-(c), as outlined below.

(a) *Staff Census Date*

Researchers must be affiliated (as defined at criterion (c) below) with the institution on the staff census date in order for their research outputs and esteem measures to be submitted.

For the first cycle of ERA, the staff census date is 31 March 2008.

(b) *Member of Staff*

Researchers must meet the following definition of a member of staff, which reflects the definition in the Higher Education Staff Data Collection (HESDC):

A 'member of staff' is defined as a person who performs duties for the institution or one of its controlled entities, and is either:

- (b)(i) A person employed by the institution or one of its controlled entities on a full-time, fractional full-time or casual basis; or
- (b)(ii) An employee of another institution who is working at the institution or one of its controlled entities as either:
  - 'visiting' staff; *or*
  - 'exchange' staff; *or*
  - 'seconded'; or
- (b)(iii) A person who works for the institution or one of its controlled entities on a regular basis but who receives no remuneration (e.g. members of religious denominations, unpaid visiting fellows).

Included in this definition of 'member of staff' are persons of the above types who are occupying temporary positions or who are conjoint appointees or clinical appointees or adjunct appointees. Also included are persons who are employees of the institution or one of its controlled entities and who are working in locations outside Australia.

Excluded from this definition of 'member of staff' are persons whose services are being provided to the institution or one of its controlled entities on a contract basis as an employee of another institution or organisation or as a self-employed person. Such persons may provide teaching services, consultancy services, programming services or other types of services.

For ERA purposes, terms used in criterion (b) will be interpreted consistently with HESDC definitions of those terms and with their usage in the HESDC definition of 'member of staff'.

(c) *Affiliation*

To be 'affiliated' with an institution for ERA purposes, the researcher must on the staff census date meet either criterion (c)(i) or criterion (c)(ii), as set out below.

The researcher must either:

- (c)(i) Be an employee of the institution, in accordance with criterion (b)(i) above;

or:

- (c)(ii) Meet criterion (b)(ii) or criterion (b)(iii) above; and also have a demonstrated publication association with the eligible institution within the research outputs reference period. A 'publication association' is demonstrated by an indication on or within a research output (e.g. in a byline) of the researcher's connection with an institution. Where a researcher meets criterion (c)(ii), only those of their research outputs which evidence a publication association may be submitted by an institution.

Researchers are not eligible if they do not meet criteria (a), (b) and (c). Research outputs on which they are listed may therefore not be included unless another researcher listed on the research output meets the above researcher eligibility criteria.

### **5.3.2. *Eligible Researcher Data***

As part of their submissions, institutions must provide the following data for eligible researchers:

- Name and Alternative Names;
- Staff Reference;
- FTE (if applicable);
- FoR (up to a maximum of three four-digit codes);
- Academic Level (Level A-E or Other Academic Level);
- Status (Employed or Other Status); and
- Function (Teaching and Research, Research Only, or Other Function).

Further information on each of the eligible researcher data elements is provided below.

Data should be provided for all eligible researchers who are affiliated with the institution at the census date, using the researcher eligibility criteria specified in section 5.3.

The data should include all those staff with the function of 'Research Only' or 'Teaching and Research' who meet the researcher eligibility criteria, regardless of whether they have produced any research outputs or have been associated with other research items during the relevant reference periods (i.e. staff who are expected to undertake research as part of their affiliation with the institution). It is not necessary to

provide data on staff with the function of 'Other' who have not produced and/or are not expected to undertake research as part of their affiliation with the institution.

#### *5.3.2.1. Name and Alternative Names*

The eligible researcher's current name should be provided as well as any alternative names under which they may have published during the reference period where their alternative name appears on a research output that is submitted for evaluation.

#### *5.3.2.2. Staff Reference*

The Staff Reference is a unique identifier given by the institution for each eligible researcher which allows them to be linked within the institution's submission to the relevant research outputs they have produced and their related esteem measures.

This reference will only be used for the purposes of linking research outputs to researchers and should have no relationship to any other number or ID used to identify researchers within institutions.

#### *5.3.2.3. FTE Data*

For ERA purposes, the FTE for those researchers who meet criterion (c)(i) of the researcher eligibility criteria (i.e. employees of the institution) should be based on their work contract, as defined in HESDC, as at the staff census date. Therefore, an employee who has a full-time work contract at the census date should be attributed an FTE of 1.00. An employee who has a fractional full-time work contract at the census date is expected to have an FTE of less than 1.00. The fraction represents the total number of agreed work hours for that researcher, where 1.00 represents normal work hours on a full-time contract. The FTE of a single researcher cannot exceed 1.00.

Eligible researchers who meet criterion (c)(ii) within the researcher eligibility criteria should not be assigned an FTE.

#### *5.3.2.4. FoR Assignment*

FoR assignment should describe the focus of the researcher's activities. An eligible researcher may be assigned up to a maximum of three FoR codes at the four-digit level. For researchers to be eligible for submission for the PCE or HCA clusters, only one assigned FoR needs to fall within these clusters. Percentage apportionments for each FoR code should also be identified. The total percentages applied for each individual must not exceed 100 per cent.

#### *5.3.2.5. Academic Level*

An eligible researcher's academic level is based on their academic salary classification, in accordance with the following levels (as used in HESDC):

- Level A;
- Level B;
- Level C;

- Level D; or
- Level E.

Those eligible researchers who cannot be assigned to one of the above levels should be identified as having an academic level of ‘Other’.

#### 5.3.2.6. *Status*

An eligible researcher’s status describes the basis on which the researcher is considered affiliated with the institution. For ERA purposes, an eligible researcher’s status can be described only as one of the following:

- Employed – affiliation on the basis of criterion (c)(i) of the researcher eligibility criteria (see section 5.3.1).
- Other – affiliation on the basis of criterion (c)(ii) of the researcher eligibility criteria (see section 5.3.1).

#### 5.3.2.7. *Function*

An eligible researcher’s function describes the general type of work which they have formally agreed with the institution to undertake. For ERA purposes, an eligible researcher’s function can be described only as Research Only, Teaching and Research, or Other, in accordance with the following definitions:

- Research Only – this function involves undertaking only research work or providing technical or professional research assistance, or the management and leadership of research staff and of staff who support research staff. There may be limited other work (e.g. participation in the development of postgraduate courses and supervision of postgraduate students). This definition is to be interpreted as having the same content as the HESDC definition of ‘A Research Only Function’.
- Teaching and Research – in addition to the activities undertaken in the Research Only function, this function also involves undertaking teaching and associated activities (including lecturing, group or individual tutoring, preparation of teaching materials, supervision of students, marking, and preparation for the foregoing activities), or the management and leadership of teaching staff and research staff and persons who support such staff. This definition is to be interpreted as having the same content as the HESDC definition of ‘A Teaching-and-Research Function’.
- Other Function – functions other than ‘Research Only’ or ‘Teaching and Research’. A researcher whose function is ‘Teaching Only’ who has produced a submitted research output should be described as ‘Other Function’. This definition is to be interpreted as having the same content as the combined HESDC definitions of ‘A Teaching Only Function’ and ‘An Other Function’.

## 5.4. Research Outputs

For institutions to submit information on a research output, the research output must meet all of the following criteria:

1. Meet the definition of research (as per section 3.1);
2. Have been published or brought into the public domain within the research outputs reference period (as per section 3.7);
3. Have one or more eligible researchers listed as an author of the research output (as per section 5.3.1); and
4. Be an eligible research output type (as per sections 5.4.1 and 5.4.2).

### 5.4.1. Eligible Research Output Types: PCE and HCA Clusters

For both the PCE and HCA clusters, the eligible research output types are:

- Books-Authored Research;
- Book-Chapters in Research Book;
- Journal Articles-Refereed, Scholarly Journal; and
- Conference Publications-Full Paper Refereed.

#### 5.4.1.1. Books-Authored Research

Institutions are required to submit information on all eligible books for each year of the research outputs reference period.

Eligible books are those that meet all of the following criteria, in addition to the criteria outlined in section 5.4:

- (a) Be a major work of scholarship;
- (b) Be offered for sale in the form of:
  - hard copies, bound,
  - CD-ROMs, packaged, and/or
  - e-books, on subscription or fee basis;
- (c) Have an International Standard Book Number (ISBN);
- (d) Be entirely written by a single author, or by joint authors who share responsibility for the whole book; and
- (e) Have been published by a commercial publisher.

The following types of books are likely to meet the eligibility criteria for the 'Book' output type:

- critical scholarly texts;
- new interpretations of historical events; and
- new ideas or perspectives based on established research findings.

Many of the books published by professional bodies do not report original research findings but report the results of evaluations, or repackage existing information for the benefit of professionals or practitioners. It is important that institutions assess these

outputs very carefully against the definition of research and only count those books for this output type which report research activities.

The following types of books are unlikely to meet the eligibility criteria for the 'Book' output type:

- textbooks;
- anthologies;
- edited books; and
- revisions or new editions.

Institutions are required to provide information on each book against the fields outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

#### 5.4.1.2. *Chapters in Research Book*

Institutions are required to submit information on all eligible book chapters for each year of the research outputs reference period.

Eligible book chapters are those that meet all of the following criteria, in addition to the criteria outlined in section 5.4:

- (a) be a contribution, consisting substantially of new material, to an edited compilation in which the material is subject to editorial scrutiny. A book chapter may be included if it has been published previously, provided it constitutes substantial new knowledge and constitutes original research;
- (b) be a chapter in a book that is offered for sale in the form of:
  - hard copies, bound,
  - CD-ROMs, packaged, and/or
  - e-books, on subscription or fee basis;
- (c) be a chapter in a book that has an International Standard Book Number (ISBN); and
- (d) be a chapter in a book that has been published by a commercial publisher.

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 following types of book chapters are likely to meet the eligibility criteria for the 'Book Chapter' output type:

- 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;
- critical scholarly text of chapter length; and
- critical review of current research.

The following types of book chapters are unlikely to meet the eligibility criteria for the 'Book Chapter' output type:

- chapters in textbooks;
- entries in reference books;
- anthologies;
- revisions of chapters in edited books;
- forewords;
- brief introductions;
- brief editorials; and
- appendices.

Institutions are required to provide information on each book chapter against the fields outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

#### 5.4.1.3. *Journal Articles-Refereed, Scholarly Journal*

Institutions are required to submit information on all eligible journal articles for each year of the research outputs reference period.

Eligible journal articles are those that meet all of the following criteria, in addition to the criteria outlined in section 5.4:

- (a) have been published in a scholarly journal;
- (b) have been peer reviewed. An acceptable peer review process is one that involves an assessment or review, before publication, of the research output in its entirety by independent, qualified experts. Independent in this context means independent of the author. A statement from an author that a research output was peer reviewed is not sufficient evidence; and
- (c) 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 output 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, institutions should be able to provide:
  - external evidence such as an ISSN number being cited in an extract from one of the Institute for Scientific Information indexes; ([www.isinet.com/journals](http://www.isinet.com/journals)); or
  - evidence that the journal is classified as 'refereed' in *Ulrich's International Periodicals Directory* (Volume 5 – Refereed Serials) or via Ulrich's website [www.ulrichsweb.com](http://www.ulrichsweb.com).

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

- the journal is indexed by one or more external citation suppliers;
- the journal is included in the ERA Journal Rankings;
- 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.

A statement from an author that a research output was peer reviewed is not sufficient evidence. The existence of a national or international advisory board is also not sufficient evidence that all relevant publications were assessed by its members. The following types of journal article are likely to meet the eligibility criteria for the 'Journal Article' output type:

- commentaries and communications of original research;
- research notes;
- letters to journals, provided that the letter satisfies the definition of research and the subsequent definitions for journal articles provided above;
- 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 stand alone series.

The following types of journal article are unlikely to meet the eligibility criteria for the 'Journal Article' output type:

- 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; and
- brief commentaries and communications of original research.

Institutions are required to provide information on each journal article against the fields outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

### *Indexed and Non-indexed Journal Articles*

There are two forms of the research output type 'journal article' – indexed and non-indexed.

An 'indexed journal article' will have a unique article identifier and will have been indexed by the citation data supplier. The number of indexed journal articles in an institution's cluster submission for a particular discipline will determine whether

citation analysis is applied, either at the four-digit FoR level or (if relevant) the two-digit FoR level. The ARC will provide details on the process of sourcing and applying unique article identifiers for indexed journal articles following the selection of citation provider(s) for the PCE and HCA clusters.

Non-indexed journal articles will not contribute to the number of articles that determine whether sufficient volume exists for citation analysis, whether at the four-digit or two-digit FoR level (see section 3.6).

#### *5.4.1.4. Conference Publications-Full Paper Refereed*

Institutions are required to submit information on all eligible peer-reviewed conference publications for each year of the research outputs reference period.

Eligible conference publications are those that meet all of the following criteria, in addition to the criteria outlined in section 5.4:

- (a) be published in full. The publications 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- or DVD-ROM or conference or organisational website;
- (b) be peer reviewed. For ERA purposes, an acceptable peer review process is one that involves an assessment or review, before publication, of the research output in its entirety by independent, qualified experts. Independent in this context means independent of the author. A statement from an author that a research output was peer reviewed is not sufficient evidence; and
- (c) be presented at conferences, workshops or seminars of national or international significance.

The types of conference publications that are unlikely to meet the criteria include papers that appear only in a volume handed out to conference participants.

Institutions are required to provide information on each conference publication against the fields outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

#### *5.4.1.5. Other Research Outputs*

Other types of research outputs may be considered eligible for other discipline clusters. Further information on which of these outputs are eligible will be outlined in future *Submission Guidelines* and in the *Discipline Matrix* for the disciplines in those clusters.

#### 5.4.2. HCA-Specific Eligible Research Output Types: Creative Works

For the HCA cluster, eligible research output types include the following creative works (in addition to the research output types outlines in section 5.4.1):

- Original (Creative) Works in the Public Domain;
- Live Performance Works in the Public Domain;
- Recorded (Performance) Public Works; and
- Curated or Produced Substantial Public Exhibitions, Events or Renderings.

For these research outputs which are selected for ERA peer review (i.e. those outputs that are part of the sample), a statement identifying the research component of the output must be available in the institutionally-supported repository where possible. Further details on the requirements for this Research Statement for Peer Review of Creative Works for the HCA Cluster are specified in section 3.5.2 and at **Appendix E**.

##### 5.4.2.1. Original (Creative) Works in the Public Domain

For Original (Creative) Works in the Public Domain, outputs include paintings, designs, compositions, choreography, plays, or pieces of writing that are in the public domain.

The exhibition of an original creative work can be used to demonstrate that the work is in the public domain but each instance of such an output can only be claimed once. That is, multiple exhibitions of the same work are not counted as multiple outputs. However institutions may nominate multiple research outputs that appeared in a single exhibition where each of those outputs meet the research output eligibility criteria.

Examples of the kinds of original creative works are provided in the following table:

Research Output	Description
Visual art work	A research output such as a painting, drawing, diagram, map, photographic image, sculpture, model or installation.
Textual work	Creative work(ing) that is not already included as a book or journal article such as a novel or art review.

##### 5.4.2.2. Live Performance Works in the Public Domain

For live performance research outputs, the actual public performance of the output is what is counted. A recording of the performance must be kept in the institutionally-supported repository as evidence and for peer review, but this can *only* be counted in recorded work below if the recording has a substantial research component on its own merit, for instance in terms of innovative use of microphones or sound processing.

Where possible, reviews of the performance that are in the public domain should also be kept in the repository as evidence of the output however these reviews will not be used for ERA peer review.

Examples of the kinds of live performance works are provided in the following table:

<b>Research Output</b>	<b>Description</b>
Music performance	New work or a demonstrably new or innovative interpretation or production of an existing work.
Multidisciplinary performance	Event combining theatre, dance, or music with non-performance disciplines and/or digital media.

#### 5.4.2.3. *Recorded (Performance) Public Works*

For recorded (performance) works, the recorded/rendered version is the research output and the research/creative element is in the recording itself rather than being a record of a performance (as performances fit into the ‘live performance works’ output type outlined in section 5.4.2.2). For a recorded work to be included, the act of recording- or rendering itself must have a substantial research component.

Examples of the kinds of recorded (performance) public works are provided in the following table:

<b>Research Output</b>	<b>Description</b>
Electronically presented work	Examples include creative computer 3D models or animation.
Interactive work	Examples include computer software, such as interactive computer-aided artwork.

#### 5.4.2.4. *Curated or Produced Substantial Public Exhibitions, Events or Renderings*

This research output type refers to outputs for which the curator is the author, rather than the artist. Where a curator is an eligible researcher, the curator may claim the exhibition or event as the research output.

This output type does not include the exhibition of original creative works which should be submitted under the research output type ‘original (creative) work in the public domain’ above.

Examples of the kinds of curated or produced substantial public exhibitions, events or renderings are provided in the following table:

<b>Research Output</b>	<b>Description</b>
Web-based exhibition	The curation and/or production of an internet website presenting a collection of creative works where the internet is the medium of the exhibited works.
Exhibition	The curation and/or production of a collection of creative works exhibited together for the first time in a recognised gallery or museum. This should be accompanied by a well researched publication that includes the time and location of the exhibition.
Festival	The curation of a festival bringing together innovative work or existing works in an innovative format or through a theme that provides new perspectives and/or experiences.

### **5.4.3. Assignment of FoR Codes**

Research outputs may be assigned to up to three four-digit FoR codes. For research outputs to be eligible for submission for the PCE or HCA clusters, only one assigned FoR needs to fall within these clusters.

Institutions are not required to identify the FoR code(s) for submitted journal articles published in journals included on the ERA journal ranking list (which, when released, will be available at [www.arc.gov.au/era](http://www.arc.gov.au/era)) as the ARC will automatically assign the appropriate FoR code(s).

For journal articles published in journals not included in the ERA journal ranking list, institutions must assign the FoR code(s) which most appropriately reflect the content of the research output.

### **5.4.4. Research Outputs Reference Period**

For a research output to be eligible for submission, the output must have been published within the research outputs reference period. For the purposes of ERA, 'published' is broadly defined to mean that the research output must have been published (in the case of traditional research outputs such as research publications) or brought into the public domain.

The research outputs reference period is defined as the six-year period from 1 January 2002 to 31 December 2007. Earlier or later outputs are not eligible to be included.

#### **5.4.4.1. The Date of Publication Rule**

The date of publication of a research output must appear on the output and/or in the information to be provided for each research output. Where the actual date of publication differs from the listed date of publication, institutions should be able to explain this variance on request by the ARC. This explanation is required for all submitted research outputs.

The date of publication is normally the earliest date indicated as published, printed or the year of copyright. The date of publication based on the DOI for an electronic publication may be used. Institutions should note that copyright dates or 'date last updated' which appear on web pages do not typically refer to a publication included on that page. Except where the date of publication is referred to by the DOI, web page dates should not be used as evidence of the date of publication.

#### **5.4.4.2. Date of Publication Definition for Non-Traditional or Sensitive Outputs**

For non-traditional outputs, it is necessary that this date, however derived, falls within the research outputs reference period.

In the case of sensitive outputs which may not be made public but which are nevertheless published (see section 6.1), the overarching definition of date of publication remains.

#### 5.4.4.3. *Revisions*

There may be some cases in which a research output was revised following the publication of the output (e.g. snapshots of research outputs on a website). A revised output is only acceptable if the institution can demonstrate that it meets all the eligibility criteria. A revision of a research output may not be included more than once.

#### 5.4.4.4. *Reprints and Multiple Editions*

Where there has been a reprint or new edition of a research output within the reference period and both versions are included, institutions are required to be able to state, on request by the ARC, how the reprint or new edition has contributed substantially new research.

Where there have been multiple prints or editions within the reference period, none of which constitute substantially more new research than the other, the institution may decide which edition or print is to be submitted. Institutions are responsible for ensuring that any revisions or reprints that occurred outside the reference period are not included as a research output.

#### 5.4.4.5. *Exceptions*

Where a research output was originally produced in a medium where no date of publication is stated within (e.g. in the byline) or on the output, a letter from an editor, conference organiser or publisher may be acceptable evidence to identify the date of publication. A letter cannot override a date of publication stated within the output. Institutions are required to be able to provide the letter on request by the ARC.

Provided no other date exists within or on the research output, the year an output was 'presented' may be acceptable evidence of the date of publication (e.g. to a conference in the case of a conference paper).

#### 5.4.4.6. *Eligible Versions of Research Outputs for Review*

Where the *Discipline Matrix* identifies that peer review will be used for a discipline, the ARC must have access to the 'final version' of each research output that is identified for review.

Where a research output is marked 'for review', the institution must make the research output available in an institutionally-supported repository. For the purposes of ERA, the following versions of a research output are eligible to be identified as 'for review':

- post-print (i.e. the final draft post-refereeing); or
- publisher-generated version for publication.

Post-prints are only eligible provided that they are the version that has been revised following the refereeing/peer review process and provided that the research output meets all the other criteria outlined in section 5.4.

Pre-prints of research outputs are not eligible to be identified as 'for review'. Unpublished/manuscript forms of a Publication are not eligible for submission as they do not meet the research output criteria outlined in section 5.4.<sup>3</sup>

Non-traditional research output types that are identified as 'for review' are eligible provided that the institution can demonstrate that it is the definitive version that was brought into the public domain within the reference period.

## **5.5. Esteem Measures**

ERA includes a number of measures of esteem that constitute recognition of the research quality of eligible researchers. Esteem measures are indications that a researcher is held in particularly high regard by peers in their discipline and/or by other well-qualified parties.

Esteem measures that are eligible for ERA embody a measure of prestige and are recognised by experts within the discipline as a highly desired, highly regarded form of accolade or acknowledgement.

Esteem measures included in ERA must also be linked to research quality rather than esteem that is based on teaching or engagement.

Esteem measures should only be reported for those researchers who meet the researcher eligibility criteria at section 5.3.

The esteem measures eligible for ERA are:

- Editorial role (editor, member of editorial board) of A\* or A ranked journals (defined list of journals);
- Contribution to a prestigious work of reference;
- Curatorial role (head curator, membership of curatorial board) of a prestigious event;
- Elected Fellowship of a learned academy (national/international);
- Recipient of a nationally competitive research fellowship; and
- Recipient of a prestigious prize or award.

The Esteem Measures Reference Period is 1 January 2005 – 31 December 2007.

The Esteem Measures that are applied for each discipline are outlined in the *Discipline Matrix* (see **Appendix C**).

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<sup>3</sup> For further guidance on versions of research outputs, see information at <http://www.sherpa.ac.uk/romeoinfo.html#colours>.

### **5.5.1. Esteem Measures Apportionment**

With the exception of *Editorial role (editor, member of editorial board) of A\* or A ranked journals* and *Recipient of a prestigious prize or award* (where the recipient is a department or institution), each esteem measure will be apportioned pro-rata according to the four-digit FoR code(s) assigned to the relevant researcher. As with research outputs, esteem measures will follow the researcher if, as of the staff census date, they have moved to a different institution from where the esteem was attained.

The FoR code(s) for an eligible *Editorial role* will be attributed based on the FoR code(s) of the journal (as identified in the ERA journal ranking list). If the journal is identified as multidisciplinary and/or mapped to a two-digit FoR code, the FoR code(s) will be derived from those assigned to the relevant researcher in line with other esteem measures.

Where the *Recipient of a prestigious prize or award* is a department or institution (rather than an individual researcher), institutions are required to identify the relevant FoR code(s). These esteem measures may be assigned to up to three four-digit FoR codes. For this esteem item to be eligible for submission for the PCE or HCA clusters, only one assigned FoR needs to fall within these clusters.

### **5.5.2. Eligible Esteem Measures**

#### **5.5.2.1. *Editorial role (editor, member of editorial board) of A\* or A ranked journals***

The esteem measure 'Editorial role' includes the roles of editor and/or member of an editorial board. Guest editors must not be included. Institutions are required to identify the kind of editorial role.

The esteem measure 'Editorial role' refers only to roles where the journal is ranked A\* or A on the Ranked Journal list.

Editorial roles for journals that are not on this list are not eligible to be included.

#### **5.5.2.2. *Contribution to a prestigious work of reference***

A prestigious work of reference is defined as one of the best in its field or subfield, characterised by a refereeing process and high scholarly standards that are equivalent to an A\* or A ranked journal. It is expected that most contributions will be of a very high quality. Collectively, the work is expected to be recognised as one of the best sources of references for the field or subfield, and would have authoritative status.

To be included in ERA, a contribution to a prestigious work of reference must be:

- specifically commissioned for inclusion in that work of reference;
- considered in advance (i.e. not included retrospectively); and
- in excess of 700 words (or non-text equivalent).

Examples of suitably prestigious works of reference include (but are not limited to) the *Oxford Companions* and the *Blackwell Companions*. Reference works that are lacking in a rigorous academic reviewing process are not included.

Institutions are required to identify contributions to prestigious works of reference consistent with these definitions. A review panel convened by the ARC and comprising relevant discipline experts will be called upon to verify that submissions are consistent with this definition.

#### 5.5.2.3. *Curatorial role (head curator, membership of curatorial board) of a prestigious event*

A curatorial role at a prestigious event is equivalent in prestige to the fulfilment of an editorial role at an A\* or A ranked journal and should be considered in the context of this comparison.

Typically, the output of A\* or A-ranked curated events will be characterised by a highly competitive international curatorial, judging or selection process and the highest professional standards. An example of such an event is a prestigious international biennale.

These events will sometimes have a designated series in which senior curators, judges or selectors solicit and appraise projects. In almost all cases, those researchers fulfilling curatorial roles will have disciplinary expertise and be internationally recognised in their fields.

Prestigious curated events will focus upon distinguished practitioners as participants. The events and works will have a highly significant impact on practice in the field, as evidenced through professional and/or scholarly publications, performances, recordings, broadcasts, forums and settings.

For the curatorial role esteem measure to be submitted for ERA, a researcher must fulfil the role of either head curator of an event or be a recognised, active, member of the curatorial board. Institutions are required to identify curatorships consistent with this definition (both in terms of the prestige of the event, and the extent of the curatorial role).

A review panel convened by the ARC and comprising relevant discipline experts will be called upon to verify that curatorships submitted by institutions for inclusion are consistent with the definitions of 'prestigious' and 'curatorship' in this context. It is possible that in subsequent rounds a defined list of prestigious events will be developed and institutions will be required to select from this list.

#### 5.5.2.4. *Elected Fellowship of a Learned Academy (national/international)*

For the purposes of this measure, 'Elected Fellowship' refers to Fellowships differentiated nationally and internationally.

Institutions may submit details regarding eligible researchers' Elected Fellowships to Learned Academies, national and international.

It is possible that in subsequent rounds a defined list of national and international Learned Academies will be developed and institutions will be required to select from this list.

#### 5.5.2.5. *Recipient of a nationally competitive research fellowship*

For the purposes of this measure ‘nationally competitive’ refers to a fellowship received from a program listed on the Australian Competitive Grants Register for the relevant year.

Fellowship programs must:

- have a highly competitive selection process;
- incorporate a strong element of peer review;
- be open to applicants from any state or territory;
- have a minimum tenure of two years full time equivalent; and
- be awarded to an individual.

Direct appointments to postdoctoral fellowships in the absence of an open application process are not eligible to be included.

The list of eligible schemes is provided as a Code Table as part of the *ERA-SEER Technology Pack*.

#### 5.5.2.6. *Recipient of a prestigious prize or award (national/international)*

Typically, a prestigious prize or award would be one of the best in its field or subfield and would be characterised by a refereeing process and high scholarly standards. These awards and prizes would be highly sought after by researchers and would be recognised nationally and internationally as representing excellence, and would have authoritative status. A competitive selection process involving rigorous peer review would typically occur as a precursor to the receipt of one such prize or award.

Institutions are required to identify prizes and awards consistent with this definition, separated into national and international. A review panel convened by the ARC and comprising relevant discipline experts will be called upon to verify that prizes and awards submitted by institutions for inclusion are consistent with the definition of prestige in this context.

Institutions are required to justify this inclusion as part of their submission. Justifications are limited to 1,000 characters, as outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

It is possible that in subsequent rounds a defined list of prizes and awards may be developed and institutions will be required to select from this list.

## **5.6. Research Income**

ERA uses research income to produce both measures of research activity and quality. In order for research income to be submitted, it must:

1. be an eligible income category type; and
2. meet the research income reference period requirements.

### **5.6.1. Eligible Income Category Types**

Research income data will be collected in alignment with the following categories collected as part of HERDC:

- Australian Competitive Grants (Category 1);
- Other Public Sector Research Income (Category 2);
- Industry and Other Research Income (Category 3):
  - Australian;
  - International A (Competitive, Peer-Reviewed Research Grant Income);
  - International B (Other Income); and
- Cooperative Research Centre Research Income (Category 4).

From 2007 for HERDC, institutions are required to disaggregate Industry and Other research income into three sub categories: international competitive, peer-reviewed income; and other income. For ERA, institutions must submit information on research income using these three subcategories for each year of the Research Income Reference Period as specified in section 5.6.2.

Research commercialisation income is separate from the abovementioned research income types and is addressed in section 5.7.2.3.

All research income must be reported at the four-digit FoR level. Research income must be assigned to a FoR based on the HERDC method (i.e. income received in the relevant year).

Information on the format in which this information must be submitted for ERA is outlined in the *ERA-SEER Technical Specifications*.

### **5.6.2. Research Income Reference Period**

For an institution to include research income, it must have been reported as part of HERDC for the relevant year of the research income reference period. The research income reference period for ERA is defined as the three-year period from 1 January 2005 to 31 December 2007.

Institutions are required to ensure that reporting of grant information from research income for one year does not occur for another year of the reference period.

It is recognised that the year a grant is awarded may differ from the year(s) income was received. Institutions may therefore include a grant where some or all of the income was received in the reference period.

### **5.6.3. Research Income Apportionment**

For each grant, research income may be apportioned across as many four-digit FoR codes as is relevant to the individual grant. Institutions may determine the percentage apportionment across the chosen FoR codes provided that the apportionment does not exceed the total amount received either within the institution or across more than one institution. For research income to be eligible for submission for the PCE or HCA clusters, only one assigned FoR needs to fall within these clusters.

#### **5.6.3.1. Australian Competitive Grants**

Institutions are required to submit only grant information on Australian Competitive Grants where it was submitted as part of HERDC for the relevant year of the research income reference period.

Institutions must submit research income received in this category by four-digit FoR code for each year of the research income reference period. The four-digit codes may change across years for an individual grant.

Institutions are required to provide information on each eligible grant as outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*. The list of eligible programs for the reference period is provided as a Code Table as part of the *ERA-SEER Technology Pack*.

#### **5.6.3.2. Other Public Sector Research Income**

Institutions must submit only Other Public Sector Research Income as part of ERA where it was submitted as part of HERDC for the relevant year.

Institutions must submit research income received in this category by four-digit FoR code for each year of the research income reference period.

Institutions are required to provide information on Other Public Sector Research Income as outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

#### **5.6.3.3. Industry and Other Research Income**

Institutions must submit only Industry and Other Research Income as part of ERA where it was submitted as part of HERDC for the relevant year.

Institutions are required to disaggregate all research income data in this category according to the following subcategories:

- Australian (Category 3i);
- International A (Competitive, Peer-reviewed Grant Income) (Category 3ii);
- International B (Other Income) (Category 3iii).

Institutions are required to submit research income received under this category by four-digit FoR code for each year of the research income reference period.

Institutions are required to provide information on Industry and Other Research Income as outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

#### *5.6.3.4. CRC (Cooperative Research Centre) Research Income*

Institutions are required to only submit CRC research income as part of ERA where it was submitted as part of HERDC for the relevant year.

Institutions are required to submit research income received in this category by four-digit FoR code for each year of the research income reference period.

Institutions are required to provide information on CRC Research Income as outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

## **5.7. Applied Measures**

Institutions may submit information against a range of applied measures. For the PCE and HCA clusters these comprise:

- Patents;
- Registered designs; and
- Research commercialisation income.

Institutions are required to be able to identify a clear link between the applied measure and the research that was undertaken to generate the measure.

Further details on each of these applied measures are provided below.

### *5.7.1. Applied Measures Apportionment*

Each applied measure maybe assigned to up to three four-digit FoR codes. Research commercialisation income may be apportioned across a maximum of up to three four-digit FoR codes and must not be double counted. Institutions may determine the percentage apportionment across the chosen FoR codes provided that the apportionment does not exceed the total amount received either within the institution or across more than one institution. For applied measures to be eligible for submission for the PCE or HCA clusters, only one assigned FoR needs to fall within these clusters.

### *5.7.2. Eligible Applied Measures*

#### *5.7.2.1. Patents*

As defined in relevant legislation, a patent is a right granted for any device, substance, method or process which is new, inventive and useful. It is legally enforceable and

gives the owner the exclusive right to commercially exploit the invention for the life of the patent.

Institutions may provide information on patents where the research behind the patent is clearly identifiable as meeting the definition of research.

ERA applied measures include Australian standard patents and their international equivalents, but not Australian innovation patents.

Eligible patents are those patents issued in the countries or of the types which appear in the Code Table provided as part of the *ERA-SEER Technical Specifications*.

These countries or types are:

- Australia (standard patents only);
- United States of America (USA);
- Europe – European Patent Office (EPO) issued only;
- Japan;
- Other International; and
- Triadic patents (i.e. a series of corresponding patents filed at the EPO, the United States Patent and Trademark Office (USPTO) and the Japan Patent Office (JPO), for the same invention by the same applicant or inventor).

Only patents which became enforceable within the applied measures reference period (1 January 2005 – 31 December 2007) are eligible. For Australian patents, this means that patents must have been sealed within that period.

Income generated from patents is to be included in ERA under research commercialisation income (see section 5.7.2.3), provided that the additional requirements pertaining to this measure are met.

#### 5.7.2.2. *Registered designs*

As defined in relevant legislation, a registered design is a right granted for new and distinctive designs. Once a registered design has been examined and certified, the owner has an exclusive right to use, license and/or sell the registered design, and to enforce it against an infringer. In this context design refers to features which, when applied to a product, render it unique in appearance. This may include shape, pattern or ornamentation.

Institutions may provide information on registered designs, provided that a clear link exists between the registered design and the related research (based on the ERA definition of research) and that the research behind the design is clearly identifiable as meeting the definition of research. Institutions are required to justify this inclusion as part of their submission. Justifications are limited to 1,000 characters, as outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

Only those registered designs which are certified within the applied measures reference period (1 January 2005 – 31 December 2007) will be eligible as ERA applied measures.

Income generated from registered designs, either via licensing or otherwise, is included in ERA under research commercialisation income (see section 5.7.2.3), provided that the additional requirements pertaining to this measure are met.

#### 5.7.2.3. *Research commercialisation income*

Institutions may provide information on research commercialisation income, which includes income resulting from intellectual property protection such as patents and subsequent licensing and royalties. Research commercialisation income earned by university-owned subsidiaries and spin-off companies is eligible for inclusion in ERA provided that it meets this definition.

Research commercialisation income does not include commercial income from other sources such as research contracts and consultancies (which is included in Industry and Other Research Income), commissioned works, student fees, the renting of space at universities or any other source.

Institutions are required to provide information on research commercialisation income as outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

## **6. Other Matters**

### **6.1. Sensitivity – Confidential or Sensitive Outputs**

Institutions are responsible for indicating the conditions in which it is both appropriate and inappropriate for a research output to be viewed for those outputs that may be peer reviewed. Where applicable, the sensitivity of the research output must be specifically identified as outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

The ARC will treat research outputs based on the type of sensitivity assigned to the output by the institution. Any disclosure of the output that exceeds the terms allowed by the institution will be treated as unauthorised.

Sensitive research outputs may include, but are not limited to:

- commercially sensitive research outputs;
- research outputs for Government agencies that have not been released to the public; or
- research outputs that are culturally sensitive.

Institutions are responsible for identifying the nature of the sensitivity, the damage that may flow if sensitivity is not maintained or respected, and the conditions under which the research outputs may be reviewed. The ARC will regard such publications as having been submitted and received in confidence and will maintain the sensitivity of the output, unless otherwise required by law.

Institutions are responsible for ensuring that any necessary permissions have been obtained from the organisation which commissioned the research output or from the researcher who conducted the research, as determined by the intellectual property arrangements in any commissioning contract or similar.

Institutions are responsible for ensuring that the information included in the cluster submission identifies the conditions in which it is inappropriate for RECs or peer reviewers to view a sensitive research output submitted by the institution as outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

#### ***6.1.1. Commercially sensitive research outputs***

A research output that is inherently confidential in nature may be included as part of a cluster submission provided the necessary permissions have been obtained.

#### ***6.1.2. Culturally sensitive research outputs***

A research output that is culturally sensitive may be included as part of a cluster submission provided the necessary permissions have been obtained.

### **6.1.3. Research for government agencies that has not been released to the public**

A research output that was produced for government agencies but which has not yet been released to the public may be included as part of a cluster submission, provided that all necessary permissions have been obtained and provided that it does not include information classified as either 'in-Confidence' or greater or 'Restricted' or greater. The report must have been published in the reference period even if not publicly released.

### **6.1.4. Australian Government security classified research outputs**

A research output that includes information classified in line with the *Australian Protective Security Manual 2005* as either 'in-Confidence' or greater or 'Restricted' or greater must not be included in a cluster submission.

## **6.2. Managing Physical, Technical or Legal Limitations**

For research outputs subject to ERA peer review, a statement of reasons must be provided in the cluster submission where the institution maintains that such a research output cannot be stored due to physical, technical or legal limitations of the institutionally-supported repository. For example, it may be that a research output cannot be physically stored in the repository, such as a book that is not available in digital form or the output file size exceeds that outlined in the *ERA-SEER Technical Specifications*. Another example concerns a research output that cannot be electronically stored where permission has not been obtained for it to be communicated online.

Institutions must identify the conditions under which such research outputs can be made available for ERA peer review. The ARC will handle requests for access to research outputs for the purposes of ERA peer review by RECs or peer reviewers. Following are some suggested means by which the research output may be provided:

- from an institution's library which has an agreement with another library (e.g. using inter-library loans, Document Delivery or equivalent processes, or the National Library of Australia);
- from a personal loan from the author; or
- by making the output available 'on site' to RECs or peer reviewers.

## **6.3. Privacy Complaints and Advice**

The ARC is bound, in administering ERA, by the provisions of the *Privacy Act 1988* ('Privacy Act'). Section 14 of the Privacy Act contains the Information Privacy Principles (IPPs) which prescribe the rules for handling personal information. In brief, the IPPs require that:

- personal information is collected in accordance with IPPs 1-3;
- suitable storage arrangements, including appropriate filing procedures, are in place;
- suitable security arrangements exist for all records containing personal information;

- access to a person's own personal information held by an organisation is made available to the person at no charge;
- records are accurate, up-to-date, complete and not misleading;
- where a record is found to be inaccurate, the correction is made;
- where a person requests that a record be amended because it is inaccurate, but the record is found to be accurate, the details of the request for amendment are noted on the record; and
- the personal information is only to be used for the purposes for which it was collected, or for other purposes where expressly allowed by IPP 10.

Complaints about breaches of privacy should be referred to:

The Privacy Contact Officer  
 Research Excellence Branch  
 Australian Research Council  
 GPO Box 2702  
 Canberra ACT 2601

Privacy complaints may also be emailed to [era@arc.gov.au](mailto:era@arc.gov.au).

Privacy complaints can be made directly to the Federal Privacy Commissioner. However the Commissioner prefers that the ARC be given an opportunity to deal with the complaint in the first instance.

#### **6.4. Freedom of Information**

All documents sent to the ARC with regard to ERA are subject to the *Freedom of Information Act 1982* ('FOI Act'). Unless a document falls under an exemption provision, it will be made available to the general public if requested under the FOI Act. Decisions regarding requests for access will be made by the ARC's authorised FOI decision-maker in accordance with the requirements of the FOI Act.

#### **6.5. Intellectual Property in ERA-Related Material**

The ARC does not assert or require ownership of any intellectual property that forms part of the material submitted by an institution as part of a cluster submission for ERA. However, where the intellectual property is owned by the institution or the institution has a right to sub-license, institutions are required to give an express licence to the ARC for the use of material submitted as part of ERA for the purposes of ERA. This requirement applies to the cluster submission itself rather than to research outputs (on which see section 6.6).

The Commonwealth of Australia, as represented by the ARC, retains the intellectual property in all materials created by the ARC for the purposes of ERA, or under the direction or control of the ARC, except where otherwise agreed.

## **6.6. Managing Copyright in Research Outputs**

The ARC is concerned to ensure that any requirements of the *Copyright Act 1968* (Cth) ('the Copyright Act') are complied with in the implementation of ERA.

ERA requires institutions to ensure that the ARC has appropriate access to certain research outputs falling within the ambit of cluster submissions in order to facilitate the ERA peer review process where applicable. Institutions must provide the ARC with access by:

- (a) storing outputs, whether in institutionally-supported repositories or through any form of linking or copying; and
- (b) subsequently enabling RECs or ERA-arranged peer reviewers to view, reproduce (e.g. copy or scan) and communicate research outputs through SEER and through institutionally-supported repositories in order to evaluate those research outputs for ERA purposes.

Where institutions do not own the copyright in research outputs, they will be required under ERA to place them in 'dark repositories' accessible only by ARC staff and ERA reviewers. Institutions must take appropriate measures to ensure that any other access to research outputs is not permitted.

The act of placing research outputs in a 'dark repository' is an example of doing acts (i.e. 'reproduction' and 'communication') comprised in the copyright of relevant materials. Other acts that institutions may foreseeably do in implementing ERA are also examples of acts comprised in the copyright (e.g. copying or scanning copies of a research output contained in a journal 'reproduction').

The ARC expects that the ERA process will have only minimal impact on the rights of copyright owners, given that ERA-linked access to research outputs will be limited to a small number of people and only involve negligible, if any, commercial loss. Nevertheless, institutions need to ensure that they comply with relevant provisions of the Copyright Act.

Further information on this matter will be contained in the final version of these *Guidelines* and/or in supplementary ARC advice to institutions. An outline of how copyright issues are expected to be addressed under ERA is outlined below.

### **6.6.1. Where copyright is owned by institutions**

Where an institution owns the copyright in research outputs, such research outputs must be made available to the ARC in the manner described in paragraphs (a) and (b) in section 6.6. For journal articles, book chapters and conference publications in cases where the research output is available in electronic form, this should take the form of storage in an institutionally-supported repository on an 'open access' basis.

### **6.6.2. Where copyright is owned by eligible researchers**

Where one or more eligible researchers own the copyright in relevant research outputs, then the researcher(s) should be encouraged to give permission for the

research output to be reproduced and communicated for the purposes of ERA. Journal articles, book chapters and conference publications should be stored in a repository on an open access basis.

In the absence of express consent on the part of eligible researchers, the position is as for ‘third party’ copyright owners as outlined in the following section.

In cases where depositing research outputs in an ‘open access’ repository was a condition of any funding which enabled the research to be undertaken, the eligible researcher/s’ compliance with that funding condition should mean that full public access to the research outputs exists irrespective of the ERA submission process.

#### **6.6.3. *Where copyright is owned by third parties***

The ARC is finalising arrangements to ensure appropriate management of copyright in ERA research outputs in cases where copyright is not owned by institutions (including where copyright is owned by eligible researchers whose express consent has not been obtained for research outputs to be reproduced and communicated for ERA purposes).

#### **6.6.4. *Further copyright advice to be issued***

The ARC will issue further advice regarding the copyright issues raised by ERA. This further advice may appear on the ERA website ([www.arc.gov.au/era](http://www.arc.gov.au/era)) and/or in the final version of these *Guidelines* and other future ERA documentation.

Note that the Vice-Chancellor’s Cluster Submission Certification Statement (see section 7) must state that institutions have complied with any supplementary ARC advice issued after these *Guidelines* but no longer than seven days before the deadline for lodging cluster submissions. The foreshadowed additional guidance regarding copyright issues is one example of such supplementary advice.

#### **6.7. *Moral Rights***

The ARC is concerned to ensure that moral rights under the Copyright Act are respected in the implementation of ERA.

## 7. Submission Certification

Institutions are required to certify each of their ERA cluster submissions.

The first stage of the certification involves the finalisation of a submission by the Pro/Deputy Vice-Chancellor, Research, or their delegate. The finalisation step will lock the submission so that no further changes can be made prior to certification by the Vice-Chancellor.

Institutions are responsible for collecting, validating and transmitting to the ARC all information in each cluster submission by the relevant due date. Institutions are also responsible for certifying that all information in cluster submissions is accurate and comprehensive.

### 7.1. Certification Process

Each institution's Vice-Chancellor or equivalent is required to provide a signed Cluster Submission Certification Statement for each cluster submission. No part of any cluster submission is eligible for consideration in the absence of such a statement.

Vice-Chancellors are not required to certify the accuracy of data that has been externally obtained and appended to their cluster submissions, in particular, citation information derived from external citations suppliers.

The Cluster Submission Certification Statement signed by the Vice-Chancellor or equivalent must certify that:

1. All information in the cluster submission is accurate and appropriately comprehensive;
2. The person signing the Cluster Submission Certification Statement has made all reasonable efforts to verify that the information submitted as part of the cluster submission is correct;
3. In compiling its cluster submission, the institution has complied with these *Guidelines* and the *ERA-SEER Technical Specifications*, including but not limited to provisions regarding copyright and access to research outputs (see section 6), and the need to retain certain material in case requested to supply it by the ARC;
4. In compiling its cluster submission, the institution has complied with any supplementary advice issued by the ARC after these *Guidelines* but no longer than seven days before the deadline for lodging cluster submissions;
5. In compiling its cluster submission, the institution has complied with relevant privacy requirements and that all individuals named in the cluster submission are aware of the uses to which the information may be put (including provision to RECs); and

6. The institution acknowledges and agrees that all information in its cluster submission may be used for policy development and program management other than for the purposes of ERA, from time to time as required, within the ARC and DIISR.

A pro forma Cluster Submission Certification Statement will be provided to institutions. The submission must be certified in accordance with the ERA timeline set out at section 4.5. Late Cluster Submission Certification Statements will be accepted only in exceptional circumstances considered by the ARC to be beyond the control of the institution. An institution must provide any evidence requested by the ARC to support its claim that failure to meet the deadline was for reasons beyond its control, and the ARC reserves the right to seek such additional evidence.

Evidence which might be considered includes proof of submission or posting of the Cluster Submission Certification Statement which clearly shows the time and date of submission or posting. The ARC's decision will be final as to whether exceptional circumstances existed beyond the control of the institution, and no correspondence will be entered into (other than to inform the institution of the decision).

While outcomes of the first cluster evaluations of ERA will not be published at an institution level, institutions should be aware that future cluster evaluations are expected to involve publication of national results. The ARC may also publish additional information not limited to the results (e.g. input information from cluster submissions) with an institution's consent.

The ARC will provide a proforma certification statement through SEER. The Submission must be certified through SEER no later than 5pm AEST, 22 May 2009. The hard-copy signed Certification Statement must arrive at the ARC no later than 5pm AEST, 29 May 2009.

Institutions must retain verification material for three years to facilitate any audit of research output data that may be conducted by the ARC.

## **7.2. Incomplete, False or Misleading Information**

Providing false or misleading information is a serious offence.

If the ARC considers that any information provided by an institution as part of their cluster submission is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide not to provide this information to the RECs or reviewers for consideration.

If it appears that any institution or person knowingly has provided false or misleading information, or knowingly has omitted any matter or thing without which the information is misleading, or it appears that any other criminal offence may have been committed, the ARC may investigate the matter with a view to prosecution under Commonwealth criminal law. The Commonwealth is committed to protecting its revenue, expenditure and property from any attempt, by members of the public, contractors, sub-contractors, agents, intermediaries or its own employees, to gain financial or other benefits by deceit.

## **Appendix A: Eligible Institutions**

Australian Catholic University  
Batchelor Institute of Indigenous Tertiary Education  
Bond University  
Central Queensland University  
Charles Darwin University  
Charles Sturt University  
Curtin University of Technology  
Deakin University  
Edith Cowan University  
Flinders University  
Griffith University  
James Cook University  
La Trobe University  
Macquarie University  
Melbourne College of Divinity  
Monash University  
Murdoch University  
Queensland University of Technology  
RMIT University  
Southern Cross University  
Swinburne University of Technology  
The Australian National University  
The University of Adelaide  
The University of Melbourne  
The University of New England  
The University of New South Wales  
The University of Newcastle  
The University of Notre Dame Australia  
The University of Queensland  
The University of Sydney  
The University of the Sunshine Coast  
The University of Western Australia  
University of Ballarat  
University of Canberra  
University of South Australia  
University of Southern Queensland  
University of Tasmania (incorporating Australian Maritime College)  
University of Technology, Sydney  
University of Western Sydney  
University of Wollongong  
Victoria University

## Appendix B: Field of Research (FoR) Codes

### Cluster One: Physical, Chemical and Earth Sciences – FoR Codes

Discipline	FoR
ASTRONOMICAL AND SPACE SCIENCES	0201
ATOMIC, MOLECULAR, NUCLEAR, PARTICLE AND PLASMA PHYSICS	0202
CLASSICAL PHYSICS	0203
CONDENSED MATTER PHYSICS	0204
OPTICAL PHYSICS	0205
QUANTUM PHYSICS	0206
OTHER PHYSICAL SCIENCES	0299
ANALYTICAL CHEMISTRY	0301
INORGANIC CHEMISTRY	0302
MACROMOLECULAR AND MATERIALS CHEMISTRY	0303
MEDICINAL AND BIOMOLECULAR CHEMISTRY	0304
ORGANIC CHEMISTRY	0305
PHYSICAL CHEMISTRY (INCL. STRUCTURAL)	0306
THEORETICAL AND COMPUTATIONAL CHEMISTRY	0307
OTHER CHEMICAL SCIENCES	0399
ATMOSPHERIC SCIENCES	0401
GEOCHEMISTRY	0402
GEOLOGY	0403
GEOPHYSICS	0404
OCEANOGRAPHY	0405
PHYSICAL GEOGRAPHY AND ENVIRONMENTAL GEOSCIENCE	0406
OTHER EARTH SCIENCES	0499

## Cluster Two: Humanities and Creative Arts – FoR Codes

<b>Discipline</b>	<b>FoR</b>
ARCHITECTURE	1201
DESIGN PRACTICE AND MANAGEMENT	1203
URBAN AND REGIONAL PLANNING	1205
OTHER BUILT ENVIRONMENT AND DESIGN	1299
LAW	1801
MAORI LAW	1802
OTHER LAW AND LEGAL STUDIES	1899
ART THEORY AND CRITICISM	1901
FILM, TELEVISION AND DIGITAL MEDIA	1902
JOURNALISM AND PROFESSIONAL WRITING	1903
PERFORMING ARTS AND CREATIVE WRITING	1904
VISUAL ARTS AND CRAFTS	1905
OTHER STUDIES IN CREATIVE ARTS AND WRITING	1999
COMMUNICATION AND MEDIA STUDIES	2001
CULTURAL STUDIES	2002
LANGUAGE STUDIES	2003
LINGUISTICS	2004
LITERARY STUDIES	2005
OTHER LANGUAGE, COMMUNICATION AND CULTURE	2099
ARCHAEOLOGY	2101
CURATORIAL AND RELATED STUDIES	2102
HISTORICAL STUDIES	2103
OTHER HISTORY AND ARCHAEOLOGY	2199
APPLIED ETHICS	2201
HISTORY AND PHILOSOPHY OF SPECIFIC FIELDS	2202
PHILOSOPHY	2203
RELIGION AND RELIGIOUS STUDIES	2204
OTHER PHILOSOPHY AND RELIGIOUS STUDIES	2299

## Appendix C: Discipline Matrices

### Cluster One: Physical, Chemical and Earth Sciences Discipline Matrix

FoR	DISCIPLINE	VOLUME AND ACTIVITY ANALYSIS			RANKED OUTLETS	
		Eligible researchers profiled by academic level	Research outputs by type	Proportion of total research outputs activity	Journals	Conferences
<b>02</b>	<b>Physical Sciences</b>					
0201	Astronomical and Space Sciences	✓	✓	✓	✓	✗
0202	Atomic, Molecular, Nuclear, Particle and Plasma Physics	✓	✓	✓	✓	✗
0203	Classical Physics	✓	✓	✓	✓	✗
0204	Condensed Matter Physics	✓	✓	✓	✓	✗
0205	Optical Physics	✓	✓	✓	✓	✗
0206	Quantum Physics	✓	✓	✓	✓	✗
0299	Other Physical Sciences	✓	✓	✓	✓	✗
<b>03</b>	<b>Chemical Sciences</b>					
0301	Analytical Chemistry	✓	✓	✓	✓	✗
0302	Inorganic Chemistry	✓	✓	✓	✓	✗
0303	Macromolecular and Materials Chemistry	✓	✓	✓	✓	✗
0304	Medicinal and Biomolecular Chemistry	✓	✓	✓	✓	✗
0305	Organic Chemistry	✓	✓	✓	✓	✗
0306	Physical Chemistry (incl. Structural)	✓	✓	✓	✓	✗
0307	Theoretical and Computational Chemistry	✓	✓	✓	✓	✗
0399	Other Chemical Sciences	✓	✓	✓	✓	✗
<b>04</b>	<b>Earth Sciences</b>					
0401	Atmospheric Sciences	✓	✓	✓	✓	✗
0402	Geochemistry	✓	✓	✓	✓	✗
0403	Geology	✓	✓	✓	✓	✗
0404	Geophysics	✓	✓	✓	✓	✗
0405	Oceanography	✓	✓	✓	✓	✗
0406	Physical Geography and Environmental Geoscience	✓	✓	✓	✓	✗
0499	Other Earth Sciences	✓	✓	✓	✓	✗

FoR	DISCIPLINE	CITATION ANALYSIS			INCOME			
		Relative citation impact	Centile analysis	Distribution of papers against relative citation rate bands	Category 1	Category 2	Category 3 (incl. sub-categories)	Category 4
<b>02</b>	<b>Physical Sciences</b>							
0201	Astronomical and Space Sciences	✓	✓	✓	✓	✓	✓	✓
0202	Atomic, Molecular, Nuclear, Particle and Plasma Physics	✓	✓	✓	✓	✓	✓	✓
0203	Classical Physics	✓	✓	✓	✓	✓	✓	✓
0204	Condensed Matter Physics	✓	✓	✓	✓	✓	✓	✓
0205	Optical Physics	✓	✓	✓	✓	✓	✓	✓
0206	Quantum Physics	✓	✓	✓	✓	✓	✓	✓
0299	Other Physical Sciences	✓	✓	✓	✓	✓	✓	✓
<b>03</b>	<b>Chemical Sciences</b>							
0301	Analytical Chemistry	✓	✓	✓	✓	✓	✓	✓
0302	Inorganic Chemistry	✓	✓	✓	✓	✓	✓	✓
0303	Macromolecular and Materials Chemistry	✓	✓	✓	✓	✓	✓	✓
0304	Medicinal and Biomolecular Chemistry	✓	✓	✓	✓	✓	✓	✓
0305	Organic Chemistry	✓	✓	✓	✓	✓	✓	✓
0306	Physical Chemistry (incl. Structural)	✓	✓	✓	✓	✓	✓	✓
0307	Theoretical and Computational Chemistry	✓	✓	✓	✓	✓	✓	✓
0399	Other Chemical Sciences	✓	✓	✓	✓	✓	✓	✓
<b>04</b>	<b>Earth Sciences</b>							
0401	Atmospheric Sciences	✓	✓	✓	✓	✓	✓	✓
0402	Geochemistry	✓	✓	✓	✓	✓	✓	✓
0403	Geology	✓	✓	✓	✓	✓	✓	✓
0404	Geophysics	✓	✓	✓	✓	✓	✓	✓
0405	Oceanography	✓	✓	✓	✓	✓	✓	✓
0406	Physical Geography and Environmental Geoscience	✓	✓	✓	✓	✓	✓	✓
0499	Other Earth Sciences	✓	✓	✓	✓	✓	✓	✓

FoR	DISCIPLINE	ESTEEM					
		Editorial role of A* or A ranked journal	Contribution to a prestigious work of reference	Curatorial role of a prestigious event	Recipient of a prestigious prize or award (national/international)	Recipient of a nationally competitive research fellowship	Elected Fellowship of a Learned Academy (national/international)
<b>02</b>	<b>Physical Sciences</b>						
0201	Astronomical and Space Sciences	✓	✗	✗	✗	✓	✓
0202	Atomic, Molecular, Nuclear, Particle and Plasma Physics	✓	✗	✗	✗	✓	✓
0203	Classical Physics	✓	✗	✗	✗	✓	✓
0204	Condensed Matter Physics	✓	✗	✗	✗	✓	✓
0205	Optical Physics	✓	✗	✗	✗	✓	✓
0206	Quantum Physics	✓	✗	✗	✗	✓	✓
0299	Other Physical Sciences	✓	✗	✗	✗	✓	✓
<b>03</b>	<b>Chemical Sciences</b>						
0301	Analytical Chemistry	✓	✗	✗	✗	✓	✓
0302	Inorganic Chemistry	✓	✗	✗	✗	✓	✓
0303	Macromolecular and Materials Chemistry	✓	✗	✗	✗	✓	✓
0304	Medicinal and Biomolecular Chemistry	✓	✗	✗	✗	✓	✓
0305	Organic Chemistry	✓	✗	✗	✗	✓	✓
0306	Physical Chemistry (incl. Structural)	✓	✗	✗	✗	✓	✓
0307	Theoretical and Computational Chemistry	✓	✗	✗	✗	✓	✓
0399	Other Chemical Sciences	✓	✗	✗	✗	✓	✓
<b>04</b>	<b>Earth Sciences</b>						
0401	Atmospheric Sciences	✓	✗	✗	✗	✓	✓
0402	Geochemistry	✓	✗	✗	✗	✓	✓
0403	Geology	✓	✗	✗	✗	✓	✓
0404	Geophysics	✓	✗	✗	✗	✓	✓
0405	Oceanography	✓	✗	✗	✗	✓	✓
0406	Physical Geography and Environmental Geoscience	✓	✗	✗	✗	✓	✓
0499	Other Earth Sciences	✓	✗	✗	✗	✓	✓

FoR	DISCIPLINE	APPLIED			
		Patents	Registered designs	Plant breeders' rights	Research commercialisation income
<b>02</b>	<b>Physical Sciences</b>				
0201	Astronomical and Space Sciences	✓	×	×	✓
0202	Atomic, Molecular, Nuclear, Particle and Plasma Physics	✓	×	×	✓
0203	Classical Physics	✓	×	×	✓
0204	Condensed Matter Physics	✓	×	×	✓
0205	Optical Physics	✓	×	×	✓
0206	Quantum Physics	✓	×	×	✓
0299	Other Physical Sciences	✓	×	×	✓
<b>03</b>	<b>Chemical Sciences</b>				
0301	Analytical Chemistry	✓	×	×	✓
0302	Inorganic Chemistry	✓	×	×	✓
0303	Macromolecular and Materials Chemistry	✓	×	×	✓
0304	Medicinal and Biomolecular Chemistry	✓	×	×	✓
0305	Organic Chemistry	✓	×	×	✓
0306	Physical Chemistry (incl. Structural)	✓	×	×	✓
0307	Theoretical and Computational Chemistry	✓	×	×	✓
0399	Other Chemical Sciences	✓	×	×	✓
<b>04</b>	<b>Earth Sciences</b>				
0401	Atmospheric Sciences	✓	×	×	✓
0402	Geochemistry	✓	×	×	✓
0403	Geology	✓	×	×	✓
0404	Geophysics	✓	×	×	✓
0405	Oceanography	✓	×	×	✓
0406	Physical Geography and Environmental Geoscience	✓	×	×	✓
0499	Other Earth Sciences	✓	×	×	✓

FoR	DISCIPLINE	ERA PEER REVIEW					% of outputs tagged for ERA peer review
		Journal articles	Books	Book chapters	Conference publications	Creative works	
<b>02</b>	<b>Physical Sciences</b>						
0201	Astronomical and Space Sciences	x	x	x	x	x	x
0202	Atomic, Molecular, Nuclear, Particle and Plasma Physics	x	x	x	x	x	x
0203	Classical Physics	x	x	x	x	x	x
0204	Condensed Matter Physics	x	x	x	x	x	x
0205	Optical Physics	x	x	x	x	x	x
0206	Quantum Physics	x	x	x	x	x	x
0299	Other Physical Sciences	x	x	x	x	x	x
<b>03</b>	<b>Chemical Sciences</b>						
0301	Analytical Chemistry	x	x	x	x	x	x
0302	Inorganic Chemistry	x	x	x	x	x	x
0303	Macromolecular and Materials Chemistry	x	x	x	x	x	x
0304	Medicinal and Biomolecular Chemistry	x	x	x	x	x	x
0305	Organic Chemistry	x	x	x	x	x	x
0306	Physical Chemistry (incl. Structural)	x	x	x	x	x	x
0307	Theoretical and Computational Chemistry	x	x	x	x	x	x
0399	Other Chemical Sciences	x	x	x	x	x	x
<b>04</b>	<b>Earth Sciences</b>						
0401	Atmospheric Sciences	x	x	x	x	x	x
0402	Geochemistry	x	x	x	x	x	x
0403	Geology	x	x	x	x	x	x
0404	Geophysics	x	x	x	x	x	x
0405	Oceanography	x	x	x	x	x	x
0406	Physical Geography and Environmental Geoscience	x	x	x	x	x	x
0499	Other Earth Sciences	x	x	x	x	x	x

## Cluster Two: Humanities and Creative Arts Discipline Matrix

FoR	DISCIPLINE	VOLUME AND ACTIVITY ANALYSIS			RANKED OUTLETS	
		Eligible researchers profiled by academic level	Research outputs by type	Proportion of total research outputs activity	Journals	Conferences
<b>12</b>	<b>Built Environment and Design</b>					
1201	Architecture	✓	✓	✓	✓	✗
1203	Design Practice and Management	✓	✓	✓	✓	✗
1205	Urban and Regional Planning	✓	✓	✓	✓	✗
1299	Other Built Environment and Design	✓	✓	✓	✓	✗
<b>18</b>	<b>Law and Legal Studies</b>					
1801	Law	✓	✓	✓	✓	✗
1802	Maori Law	✓	✓	✓	✓	✗
1899	Other Law and Legal Studies	✓	✓	✓	✓	✗
<b>19</b>	<b>Studies in Creative Arts and Writing</b>					
1901	Art Theory and Criticism	✓	✓	✓	✓	✗
1902	Film, Television and Digital Media	✓	✓	✓	✓	✗
1903	Journalism and Professional Writing	✓	✓	✓	✓	✗
1904	Performing Arts and Creative Writing	✓	✓	✓	✓	✗
1905	Visual Arts and Crafts	✓	✓	✓	✓	✗
1999	Other Studies in Creative Arts and Writing	✓	✓	✓	✓	✗
<b>20</b>	<b>Language, Communication and Culture</b>					
2001	Communication and Media Studies	✓	✓	✓	✓	✗
2002	Cultural Studies	✓	✓	✓	✓	✗
2003	Language Studies	✓	✓	✓	✓	✗
2004	Linguistics	✓	✓	✓	✓	✗
2005	Literary Studies	✓	✓	✓	✓	✗
2099	Other Language, Communication and Culture	✓	✓	✓	✓	✗
<b>21</b>	<b>History and Archaeology</b>					
2101	Archaeology	✓	✓	✓	✓	✗
2102	Curatorial and Related Studies	✓	✓	✓	✓	✗
2103	Historical Studies	✓	✓	✓	✓	✗
2199	Other History and Archaeology	✓	✓	✓	✓	✗
<b>22</b>	<b>Philosophy and Religious Studies</b>					
2201	Applied Ethics	✓	✓	✓	✓	✗
2202	History and Philosophy of Specific Fields	✓	✓	✓	✓	✗
2203	Philosophy	✓	✓	✓	✓	✗
2204	Religion and Religious Studies	✓	✓	✓	✓	✗
2299	Other Philosophy and Religious Studies	✓	✓	✓	✓	✗

FoR	DISCIPLINE	CITATION ANALYSIS			INCOME			
		Relative citation impact	Centile analysis	Distribution of papers against relative citation rate bands	Category 1	Category 2	Category 3 (incl. sub-categories)	Category 4
<b>12</b>	<b>Built Environment and Design</b>							
1201	Architecture	x	x	x	✓	✓	✓	✓
1203	Design Practice and Management	x	x	x	✓	✓	✓	✓
1205	Urban and Regional Planning	x	x	x	✓	✓	✓	✓
1299	Other Built Environment and Design	x	x	x	✓	✓	✓	✓
<b>18</b>	<b>Law and Legal Studies</b>							
1801	Law	x	x	x	✓	✓	✓	✓
1802	Maori Law	x	x	x	✓	✓	✓	✓
1899	Other Law and Legal Studies	x	x	x	✓	✓	✓	✓
<b>19</b>	<b>Studies in Creative Arts and Writing</b>							
1901	Art Theory and Criticism	x	x	x	✓	✓	✓	✓
1902	Film, Television and Digital Media	x	x	x	✓	✓	✓	✓
1903	Journalism and Professional Writing	x	x	x	✓	✓	✓	✓
1904	Performing Arts and Creative Writing	x	x	x	✓	✓	✓	✓
1905	Visual Arts and Crafts	x	x	x	✓	✓	✓	✓
1999	Other Studies in Creative Arts and Writing	x	x	x	✓	✓	✓	✓
<b>20</b>	<b>Language, Communication and Culture</b>							
2001	Communication and Media Studies	x	x	x	✓	✓	✓	✓
2002	Cultural Studies	x	x	x	✓	✓	✓	✓
2003	Language Studies	x	x	x	✓	✓	✓	✓
2004	Linguistics	x	x	x	✓	✓	✓	✓
2005	Literary Studies	x	x	x	✓	✓	✓	✓
2099	Other Language, Communication and Culture	x	x	x	✓	✓	✓	✓
<b>21</b>	<b>History and Archaeology</b>							
2101	Archaeology	x	x	x	✓	✓	✓	✓
2102	Curatorial and Related Studies	x	x	x	✓	✓	✓	✓
2103	Historical Studies	x	x	x	✓	✓	✓	✓
2199	Other History and Archaeology	x	x	x	✓	✓	✓	✓
<b>22</b>	<b>Philosophy and Religious Studies</b>							
2201	Applied Ethics	x	x	x	✓	✓	✓	✓
2202	History and Philosophy of Specific Fields	x	x	x	✓	✓	✓	✓
2203	Philosophy	x	x	x	✓	✓	✓	✓
2204	Religion and Religious Studies	x	x	x	✓	✓	✓	✓
2299	Other Philosophy and Religious Studies	x	x	x	✓	✓	✓	✓

FoR	DISCIPLINE	ESTEEM					
		Editorial role of A* or A ranked journal	Contribution to a prestigious work of reference	Curatorial role of a prestigious event	Recipient of a prestigious prize or award (national/international)	Recipient of a nationally competitive research fellowship	Elected Fellowship of a Learned Academy (national/international)
<b>12</b>	<b>Built Environment and Design</b>						
1201	Architecture	✓	✓	✓	✓	✓	✓
1203	Design Practice and Management	✓	✓	✓	✓	✓	✓
1205	Urban and Regional Planning	✓	✓	✓	✓	✓	✓
1299	Other Built Environment and Design	✓	✓	✓	✓	✓	✓
<b>18</b>	<b>Law and Legal Studies</b>						
1801	Law	✓	✓	x	✓	✓	✓
1802	Maori Law	✓	✓	x	✓	✓	✓
1899	Other Law and Legal Studies	✓	✓	x	✓	✓	✓
<b>19</b>	<b>Studies in Creative Arts and Writing</b>						
1901	Art Theory and Criticism	✓	✓	✓	✓	✓	✓
1902	Film, Television and Digital Media	✓	✓	✓	✓	✓	✓
1903	Journalism and Professional Writing	✓	✓	✓	✓	✓	✓
1904	Performing Arts and Creative Writing	✓	✓	✓	✓	✓	✓
1905	Visual Arts and Crafts	✓	✓	✓	✓	✓	✓
1999	Other Studies in Creative Arts and Writing	✓	✓	✓	✓	✓	✓
<b>20</b>	<b>Language, Communication and Culture</b>						
2001	Communication and Media Studies	✓	✓	x	✓	✓	✓
2002	Cultural Studies	✓	✓	x	✓	✓	✓
2003	Language Studies	✓	✓	x	✓	✓	✓
2004	Linguistics	✓	✓	x	✓	✓	✓
2005	Literary Studies	✓	✓	x	✓	✓	✓
2099	Other Language, Communication and Culture	✓	✓	x	✓	✓	✓
<b>21</b>	<b>History and Archaeology</b>						
2101	Archaeology	✓	✓	x	✓	✓	✓
2102	Curatorial and Related Studies	✓	✓	✓	✓	✓	✓
2103	Historical Studies	✓	✓	x	✓	✓	✓
2199	Other History and Archaeology	✓	✓	x	✓	✓	✓
<b>22</b>	<b>Philosophy and Religious Studies</b>						
2201	Applied Ethics	✓	✓	x	✓	✓	✓
2202	History and Philosophy of Specific Fields	✓	✓	x	✓	✓	✓
2203	Philosophy	✓	✓	x	✓	✓	✓
2204	Religion and Religious Studies	✓	✓	x	✓	✓	✓
2299	Other Philosophy and Religious Studies	✓	✓	x	✓	✓	✓

FoR	DISCIPLINE	APPLIED			
		Patents	Registered designs	Plant breeders' rights	Research commercialisation income
<b>12</b>	<b>Built Environment and Design</b>				
1201	Architecture	✓	✓	x	✓
1203	Design Practice and Management	✓	✓	x	✓
1205	Urban and Regional Planning	✓	✓	x	✓
1299	Other Built Environment and Design	✓	✓	x	✓
<b>18</b>	<b>Law and Legal Studies</b>				
1801	Law	x	x	x	✓
1802	Maori Law	x	x	x	✓
1899	Other Law and Legal Studies	x	x	x	✓
<b>19</b>	<b>Studies in Creative Arts and Writing</b>				
1901	Art Theory and Criticism	✓	✓	x	✓
1902	Film, Television and Digital Media	✓	✓	x	✓
1903	Journalism and Professional Writing	✓	✓	x	✓
1904	Performing Arts and Creative Writing	✓	✓	x	✓
1905	Visual Arts and Crafts	✓	✓	x	✓
1999	Other Studies in Creative Arts and Writing	✓	✓	x	✓
<b>20</b>	<b>Language, Communication and Culture</b>				
2001	Communication and Media Studies	x	x	x	✓
2002	Cultural Studies	x	x	x	✓
2003	Language Studies	x	x	x	✓
2004	Linguistics	x	x	x	✓
2005	Literary Studies	x	x	x	✓
2099	Other Language, Communication and Culture	x	x	x	✓
<b>21</b>	<b>History and Archaeology</b>				
2101	Archaeology	x	x	x	✓
2102	Curatorial and Related Studies	✓	✓	x	✓
2103	Historical Studies	x	x	x	✓
2199	Other History and Archaeology	x	x	x	✓
<b>22</b>	<b>Philosophy and Religious Studies</b>				
2201	Applied Ethics	x	x	x	✓
2202	History and Philosophy of Specific Fields	x	x	x	✓
2203	Philosophy	x	x	x	✓
2204	Religion and Religious Studies	x	x	x	✓
2299	Other Philosophy and Religious Studies	x	x	x	✓

FoR	DISCIPLINE	ERA PEER REVIEW					% of outputs tagged for ERA peer review
		Journal articles	Books	Book chapters	Conference publications	Creative works	
<b>12</b>	<b>Built Environment and Design</b>						
1201	Architecture	✓	✓	✓	✗	✓	20%
1203	Design Practice and Management	✓	✓	✓	✗	✓	20%
1205	Urban and Regional Planning	✓	✓	✓	✗	✓	20%
1299	Other Built Environment and Design	✓	✓	✓	✗	✓	20%
<b>18</b>	<b>Law and Legal Studies</b>						
1801	Law	✓	✓	✓	✗	✓	20%
1802	Maori Law	✓	✓	✓	✗	✓	20%
1899	Other Law and Legal Studies	✓	✓	✓	✗	✓	20%
<b>19</b>	<b>Studies in Creative Arts and Writing</b>						
1901	Art Theory and Criticism	✓	✓	✓	✗	✓	20%
1902	Film, Television and Digital Media	✓	✓	✓	✗	✓	20%
1903	Journalism and Professional Writing	✓	✓	✓	✗	✓	20%
1904	Performing Arts and Creative Writing	✓	✓	✓	✗	✓	20%
1905	Visual Arts and Crafts	✓	✓	✓	✗	✓	20%
1999	Other Studies in Creative Arts and Writing	✓	✓	✓	✗	✓	20%
<b>20</b>	<b>Language, Communication and Culture</b>						
2001	Communication and Media Studies	✓	✓	✓	✗	✓	20%
2002	Cultural Studies	✓	✓	✓	✗	✓	20%
2003	Language Studies	✓	✓	✓	✗	✓	20%
2004	Linguistics	✓	✓	✓	✗	✓	20%
2005	Literary Studies	✓	✓	✓	✗	✓	20%
2099	Other Language, Communication and Culture	✓	✓	✓	✗	✓	20%
<b>21</b>	<b>History and Archaeology</b>						
2101	Archaeology	✓	✓	✓	✗	✓	20%
2102	Curatorial and Related Studies	✓	✓	✓	✗	✓	20%
2103	Historical Studies	✓	✓	✓	✗	✓	20%
2199	Other History and Archaeology	✓	✓	✓	✗	✓	20%
<b>22</b>	<b>Philosophy and Religious Studies</b>						
2201	Applied Ethics	✓	✓	✓	✗	✓	20%
2202	History and Philosophy of Specific Fields	✓	✓	✓	✗	✓	20%
2203	Philosophy	✓	✓	✓	✗	✓	20%
2204	Religion and Religious Studies	✓	✓	✓	✗	✓	20%
2299	Other Philosophy and Religious Studies	✓	✓	✓	✗	✓	20%

## Appendix D: Research Themes

Water – a critical resource
Transforming existing industries
Overcoming soil loss, salinity and acidity
Reducing and capturing emissions in transport and energy generation
Sustainable use of Australia's biodiversity
Developing deep earth resources
Responding to climate change and variability
A healthy start to life
Ageing well, ageing productively
Preventive healthcare
Strengthening Australia's social and economic fabric
Breakthrough science
Frontier technologies
Advanced materials
Smart information use
Promoting an innovation culture and economy
Critical infrastructure
Understanding our region and the world
Protecting Australia from invasive diseases and pests
Protecting Australia from terrorism and crime
Transformational defence technologies
Indigenous-Themed Research

## Appendix E: Format of Research Statement for Peer Review of Creative Works for the HCA Cluster

For the HCA cluster, the following research output types can also be submitted:

- Original (Creative) Works in the Public Domain;
- Live Performances;
- Recorded (Performance) Works; and
- Curated or Produced Substantial Exhibitions, Events or Renderings.

For these research outputs which are selected for peer review, a statement identifying the research component of the output must be available in an institutionally-supported repository. The statement must be a maximum of 250 words and address the following categories:

1. Research Background
  - Field
  - Context
  - Research Question
2. Research Contribution
  - Innovation
  - New Knowledge
3. Research Significance
  - Evidence of Excellence

The following is an example of an acceptable visual arts research statement:

### ***Research Background:***

Current international developments in painting have identified the need to establish complex forms for representing identity in terms of facial expression. While this research recognises the significance of facial expression, it has overlooked the unstable nature of identity itself.

### ***Research Contribution:***

The paintings *Multiple Perspectives* by Y address the question of the unstable nature of identity as expressed in painterly terms through a study in unstable facial phenomenon using the philosophical concept of 'becoming'. In doing so it arrives at a new benchmark for the discipline in understanding visual identity, namely that identity is not bound to stable facial phenomena but, like other forms of meaning, is constantly undergoing change.

***Research Significance:***

The significance of this research is that it overcomes barriers for visually understanding the complex nature of identity and its expressive painterly possibilities. Its value is attested to by the following indicators: selection of the painting for inclusion in the Tier A international exhibition Documenta, Kassel, Germany; its inclusion as a case study in the renowned Courtauld Institute, University of London, *Issues in Contemporary Art* graduate seminar series; its being the subject of a chapter in the book *Identity Reframed* published by Thames and Hudson and authored by the renowned art historian Z; its forming part of a competitively funded ARC project.

When selecting outputs for ERA peer review, institutions should focus on those outputs with a substantial research component. Peer reviewers will only examine these outputs on the basis of the research component as specified in the research statement available in an institutionally-supported repository.

## Appendix F: List of Abbreviations

ACGR	Australian Competitive Grants Register
AEST	Australian Eastern Standard Time
ANZSRC	Australian and New Zealand Standard Research Classification
ARC	Australian Research Council
cpp	Citations per publication
CRC	Cooperative Research Centre
DIISR	Department of Innovation, Industry, Science and Research
DOI	Digital Object Identifier
ecr	Expected citation rate
EPO	European Patent Office
ERA	Excellence in Research for Australia
FOI	Freedom of Information
FoR	Field of Research (ANZSRC)
FTE	Full-Time Equivalent
HCA	Humanities and Creative Arts
HERDC	Higher Education Research Data Collection
HESDC	Higher Education Staff Data Collection
IDG	Indicators Development Group
IP	Intellectual property
IPPs	Information Privacy Principles
ISBN	International Standard Book Number
ISSN	International Standard Serial Number
JPO	Japan Patent Office
NHMRC	National Health and Medical Research Council
PBR	Plant Breeders' Right
PCE	Physical, Chemical and Earth Sciences
RBI	ReBased Index
REC	Research Evaluation Committee
SEER	System to Evaluate the Excellence of Research
USPTO	United States Patent and Trademark Office
XML	eXstensible Markup Language

## Appendix G: Glossary

Academic level	Academic classification level on the scale Level A - Level E (as referred to in the HESDC definition of 'classification type and level').
Applied measures	Applied measures are patents, registered designs, research commercialisation income, and plant breeders' rights.
Applied research	Has the meaning used in the Australian and New Zealand Standard Research Classification (ANZSRC), that is, 'original work undertaken primarily to acquire new knowledge with a specific application in view. It is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives'.
Australian (Category 3i)	A sub-category for ERA of HERDC research income Category 3, 'Industry and Other Research Income'.
Australian Competitive Grants	The type of research income addressed in HERDC research income 'category 1', that is, grants listed on the Australian Competitive Grants Register (ACGR) for the appropriate year(s).
Australian Competitive Grants Register (ACGR)	The listing maintained by the Department of Innovation, Industry, Science and Research of Australian competitive research grant schemes.
Authored research	See 'Book - Authored Research'
Background Statement	A statement which a submitting institution may choose to provide to outline relevant contextual information about the research performance and development of disciplines addressed in a cluster submission. Each Background Statement must be at the two-digit FoR level and no more than 10,000 characters in length.
Bibliometrics	As explained in the OECD <i>Frascati Manual</i> (2002), 'Bibliometric analysis uses data on numbers and authors of scientific publications and on articles and the citations therein (as well as the citations in patents) to measure the 'output' of individuals/research teams, institutions and countries, to identify national and international networks, and to map the development of new (multidisciplinary) fields of science and technology.'
Book - Authored Research	To qualify as an eligible research output for ERA purposes, a book must meet the criteria set out in section 5.4.1.1.
Book - Chapter in Research Book	To qualify as an eligible research output for ERA purposes, a book chapter must meet the criteria set out in section 5.4.1.2

Certification	Confirmation by institutions of, among other things, the accuracy and comprehensiveness of data contained in cluster submissions (see 'Cluster Submission Certification Statement').
Citation data supplier	External supplier of citation data for journals indexed by that supplier. ERA will use one citation data supplier for each discipline cluster to enable citation analysis and the compilation of bibliometrics data.
Citations per publication	A rate calculated by the ARC following analysis of each discipline's research output, using total publication and citation counts for the relevant discipline for each institution. The ARC will provide summaries of such data to Research Evaluation Committees.
Cluster	Grouping of disciplines for ERA purposes. Clusters are made up of related divisions (where 'divisions' are two-digit FoR codes), as grouped specifically for the ERA process. The June 2008 ERA Consultation Paper identified eight discipline clusters: <ul style="list-style-type: none"> <li>• Physical, Chemical and Earth Sciences (PCE),</li> <li>• Humanities and Creative Arts (HCA),</li> <li>• Engineering and Environmental Sciences (EE),</li> <li>• Social, Behavioural and Economic Sciences (SBE),</li> <li>• Mathematics, Information and Communication Sciences (MIC),</li> <li>• Biological Sciences and Biotechnology (BSB),</li> <li>• Biomedical and Clinical Research (BCR), and</li> <li>• Public and Allied Health and Health Services (PAHHS).</li> </ul>
Cluster One	The ERA cluster Physical, Chemical and Earth Sciences (PCE).
Cluster Submission	The totality of materials submitted by an institution to enable ERA evaluation of a specific cluster. Precise rules governing cluster submissions are as set out in advance in cluster-specific <i>ERA Submission Guidelines</i> , including guidance in the <i>Discipline Matrices</i> . Cluster submissions include metadata about research outputs but do not include the research outputs themselves.
Cluster Submission Certification Statement	Statement signed by an institution's Vice-Chancellor or equivalent to certify, among other things, the accuracy and comprehensiveness of data contained in the cluster submission.
Cluster Two	The ERA cluster Humanities and Creative Arts (HCA).

Commercial publisher	Has the same meaning as in the HERDC Specifications, namely, ‘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... [Higher Education Provider (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.’
Conference publications	To qualify as an eligible research output for ERA purposes, a conference publication must meet the criteria set out in section 5.4.1.4.
CRC research income	The type of research income addressed in HERDC research income Category 4, that is, research income received from CRCs in which the relevant institution is a core participant (i.e. a signatory to the CRC’s Commonwealth Agreement). See section 5.6.3.4.
Creative Works	The research output types addressed in section 5.4.2.
Curatorial role	To qualify as an ERA esteem measure, a curatorial role must meet the requirements set out in section 5.5.2.3.
Date of publication rule	See sections 5.4.4.1 and 5.4.4.2.
Design	Where not prefixed by ‘registered’, the term ‘design’ (e.g. in the context of creative works) has for ERA purposes its more general meaning.
Digital Object Identifier (DOI)	DOI is a standard for persistently identifying a piece of intellectual property on a digital network and associating it with related data, the metadata, in a structured extensible way. DOIs can be resolved through the DOI resolver at <a href="http://dx.doi.org">http://dx.doi.org</a> .
Discipline	Research area defined by a four-digit FoR (see also ‘four-digit FoR’, ‘Unit of Evaluation’ and ‘Field of Research’).
Discipline cluster	See ‘cluster’.
Discipline Matrix	Specification of which ERA indicators will be applied to which disciplines. The <i>Discipline Matrices</i> for disciplines in the PCE and HCA clusters are at Appendix C.
Division	The two-digit FoR level, that is, the level referred to as a ‘Division’ in the ANZSRC classification.
Editorial role	An editorial role, acknowledged in the journal, relating to that journal (not merely an article), as described in section 5.5.2.1. Such a role in relation to an A* or A ranked journal qualifies as an esteem measure for ERA purposes where this is stipulated in the relevant <i>Discipline Matrix</i> .

Eligible researcher	A researcher at an institution who meets the criteria specified at section 5.3.1 of these <i>Guidelines</i> .
Employed	For ERA purposes, the term ‘employed’ is used in the same sense as in the HESDC <i>Staff Data Collection Specifications</i> .
Employee	For ERA purposes, the term ‘employee’ is used in the same sense as in the HESDC <i>Staff Data Collection Specifications</i> .
ERA peer review	Peer review conducted as part of the ERA evaluation process.
Esteem measures	Indications that an individual is held in particularly high regard by peers in their discipline and/or by other well-qualified parties. The nature and mix of such indications will vary across disciplines. Examples may include: editorial roles at journals ranked A* or A; appointments as assessors of a country’s nationally competitive research grants; and plenary or keynote addresses at prestigious international conferences. See section 5.5.
Experimental development	Has the meaning used in the Australian and New Zealand Standard Research Classification (ANZSRC), that is, ‘systematic work, using existing knowledge gained from research or practical experience, which is directed to producing new materials, products, devices, policies, behaviours or outlooks; to installing new processes, systems and services; or to improving substantially those already produced or installed’.
Expert review	The overall ERA evaluation of disciplines in a cluster, which will be conducted by the relevant REC on the basis of a range of material (including quantitative indicators; peer review in certain circumstances; and supporting documentation to guide the REC’s interpretation of the data).
Field	Within the ANZSRC classification, the term ‘field’ refers to the 6-digit FoR (Field of Research) level. The term ‘field’ should be distinguished from ‘Field of Research’ or ‘FoR’. In ERA documentation, the term ‘field’ is often used in the more general sense of an area of interest or activity.
Fields of Research (FoR)	A hierarchical classification of fields of research set out in the Australian and New Zealand Standard Research Classification (ANZSRC).
Four-digit FoR	The middle level of the three hierarchical levels within ANZSRC Fields of Research. In ERA, this level defines a ‘discipline’ (except in cases of low-volume research activity, where the relevant level is the two-digit FoR level). An example of a four-digit FoR code is ‘0206 - Quantum Physics’. Within the ANZSRC classification, this level is referred to as a ‘Group’.
Full-time equivalence	See ‘Staff full-time equivalence’.

Function	The general type of work which an eligible researcher has formally agreed with an institution to undertake (Research Only; Teaching and Research; or Other Function). See section 5.3.2.7.
Group	The four-digit FoR level, that is, the level referred to as a 'Group' in the ANZSRC classification.
HERDC Specifications	Unless otherwise stated, the relevant version of this document is the 2008 <i>Higher Education Research Data Collection Specifications for the Collection of 2007 Data</i> .
Higher Education Research Data Collection (HERDC)	The annual research data collection exercise undertaken by the Department of Innovation, Industry, Science and Research (DIISR).
Higher Education Staff Data Collection (HESDC)	The annual staff data collection exercise undertaken by the Department of Education, Employment and Workplace Relations.
Humanities and Creative Arts (HCA)	One of the discipline clusters used for ERA purposes, also known as Cluster Two. The disciplines contained in this cluster are listed at Appendix B.
Indexed journal	A journal indexed by the citation data supplier whose services are being used for the relevant ERA cluster.
Indexed journal article	An article published in an indexed journal.
Indicators Development Group (IDG)	The advisory body on ERA indicators which was announced by Minister Kim Carr on 18 August 2008.
Industry and other research income	The type of research income addressed in HERDC research income Category 3, which must for ERA be disaggregated into three sub-categories. See sections 5.6.1 and 5.6.3.3. See also 'Australian (Category 3i)' 'International A (Competitive, Peer-reviewed Grant Income) (Category 3ii)'; and 'International B (Other Income) (Category 3iii)'.
Institutional Units	Units within an institution which have as their primary objective the undertaking of teaching-only functions, teaching-and-research functions or research-only functions. Such units are referred to by various names, such as 'schools' and 'departments'.
Institutionally-supported repository	Electronic repository supported by a submitting institution which will enable ERA assessors access to those research outputs which are subject to ERA peer review.
Institutions	Higher education providers eligible to participate in ERA, as listed at Appendix A of these <i>Submission Guidelines</i> .
International A (Competitive, Peer-reviewed Grant Income) (Category 3ii)	A sub-category for ERA of HERDC research income Category 3, 'Industry and Other Research Income'. See sections 5.6.1 and 5.6.3.3.
International B (Other Income) (Category 3iii)	A sub-category for ERA of HERDC research income Category 3, 'Industry and Other Research Income'. See sections 5.6.1 and 5.6.3.3.

Journal article	To qualify as an eligible research output for ERA purposes, a journal article must meet the criteria set out in section 5.4.1.3.
Journal rankings	See 'ranked outlets'.
Licensing	As defined in relevant legislation, licensing of rights 'gives the licensee the right to use (but not own) the rights'.
Live Performance	See section 5.4.2.2.
Member of staff	Has the meaning set out in section 5.3.1 at criterion (b).
Metadata	A record that contains data known about an information resource. Thus any data that refers to a discrete informational asset may be referred to as the metadata of that asset, for example, a bibliographic record of a journal article is a form of metadata describing that article.
Multidisciplinary	A research output with more than three four-digit FoR codes will be classified as multidisciplinary.
Nationally competitive research fellowship	Fellowship listed on the Australian Competitive Grants Register.
Non-traditional research outputs	Research outputs which do not take the form of published books, book chapters, journal articles or conference publications.
Open access repositories	Open access repositories provide free public access to research outputs via the Internet by holding either originals or digital duplicates of published articles.
Original (Creative) Work in the Public Domain	See section 5.4.2.1.
Other Function	Has the meaning set out under "Other Function" in section 5.3.2.7.
Other public sector research income	The type of research income addressed in HERDC research income Category 2, i.e. public sector research income other than Australian Competitive Grants. See section 5.6.3.2.
Outlet rankings	See 'Ranked outlets'.
Patent	As defined in relevant legislation, a patent is a right granted for any device, substance, method or process which is new, inventive and useful. It is legally enforceable and gives the owner the exclusive right to commercially exploit the invention for the life of the patent. ERA applied measures include Australian standard patents (but not Australian innovation patents) and equivalent patents issued overseas (see section 5.7.2.1).
Peer review	For the purposes of ERA, an acceptable peer review process is one that involves an assessment or review, before publication, of the research output in its entirety by independent, qualified experts. Independent in this context means independent of the author.

Physical, Chemical and Earth Sciences (PCE)	One of the discipline clusters used for ERA purposes, also known as Cluster One. The disciplines contained in this cluster are listed at Appendix B.
Plant breeders' rights	Proprietary rights held by breeders of certain new varieties of plants and fungi. As defined in relevant legislation, such rights are used to protect new varieties of plants by giving exclusive commercial rights to market a new variety or its propagating material. For ERA purposes, plant breeders' rights are those granted under the <i>Plant Breeder's Rights Act 1994</i> or under comparable overseas systems for the recognition of plant breeders' rights.
Publication association	Has the meaning specified at criterion (c)(ii) of section 5.3.1 of these <i>Submission Guidelines</i> .
Published	Published (in the case of traditional research outputs such as publications) or brought into the public domain in the case of non-traditional outputs.
Pure basic research	Has the meaning used in the Australian and New Zealand Standard Research Classification (ANZSRC), that is, 'experimental and theoretical work undertaken to acquire new knowledge without looking for long term benefits other than the advancement of knowledge'.
Ranked Journal List	A ranked list of journals consolidated by the ARC (see also 'ranked outlets'). For inclusion, a journal must be peer reviewed and have an ISSN.
Ranked journals	See 'Ranked outlets'.
Ranked outlets	Research outlets (such as journals, conference publications and publishers) which have been ranked into four tiers according to overall quality for a particular discipline. While the distribution of tiers will vary across disciplines, it is expected to approximate: Tier A* (top 50%); Tier A (next 15%); Tier B (next 30%); and Tier C (bottom 50%). For the first round of ERA, only ranked lists for journals and conference publications will be developed.
Ranked refereed conference publications	See 'Ranked outlets'.
Recorded (Performance) Public Work	See section 5.4.2.3.
Reference periods	The periods during which research outputs must have been published / brought into the public domain, research income reported under HERDC, esteem measures materialised, etc., in order for associated data to be included in ERA cluster submissions. ERA reference periods vary according to the research item. See section 3.7.
Registered design	A registered design is a design registered under the <i>Designs Act 2003</i> (where 'design' refers to the overall appearance of the product resulting from one or more visual features of the product). See also 'design'.

Research	For ERA purposes, the definition of research is as set out in section 3.1.
Research commercialisation income	Commercial returns via income and/or capital gains resulting from the commercialisation of research outputs, services and intellectual property. Under ERA, research commercialisation income is treated as an ‘applied measure’ rather than as ‘research income’ (see section 5.7.2.3).
Research component	The way in which a research output meets the ERA definition of research (see section 5.4.2).
Research Evaluation Committee (REC)	The cluster-specific committees which will undertake ERA evaluations. Each such committee will include internationally-recognised members with expertise in research evaluation and broad discipline expertise.
Research income	For ERA purposes, research income data will be collected in alignment with HERDC research income categories. See sections 5.6.1 and 5.6.3. See also: ‘Australian (Category 3i)’, ‘International A (Competitive, Peer-reviewed Grant Income) (Category 3ii)’ and ‘International B (Other Income) (Category 3iii)’.
Research item	Research items are research outputs, research income, esteem measures and applied measures.
Research Only (Function)	Has the meaning set out under “Research Only” in section 5.3.2.7.
Research outlet	The avenues or media in which an output appears, such as journal name, book publisher, theatre, art gallery, etc.
Research output	Research outputs include individual journal articles, book chapters, artistic performances, films, etc.
Research publication	Research publications include eligible books, book chapters, journal articles and/or conference publications which meet all criteria stipulated in relevant <i>ERA Submission Guidelines</i> .
Research Statement for Peer Review of Creative Works in the HCA Cluster	In relation to certain creative arts research outputs, a statement of no more than 250 words which must identify the research component of a research output (i.e. how it meets the ERA definition of ‘research’). See section 3.5.2 and Appendix E
Research theme	Institution-specific grouping of FoR codes representing multidisciplinary or interdisciplinary research endeavours. Institutions may choose to code the data they provide in ERA cluster submissions in accordance with such research themes, in which case the ARC will provide a reporting facility to enable institutions to analyse data for each research theme. See sections 3.3.3 and 3.4.
Reviewer	For ERA purposes, a reviewer is: (a) an expert reviewer; or (b) an ERA peer reviewer.

Sensitive research outputs	Sensitive research outputs include, but are not limited to: commercially sensitive research outputs; culturally sensitive research outputs; and research outputs which have been prepared for government agencies but not yet released to the public (see section 6.1).
Six-digit FoR	The lowest of the three hierarchical levels within ANZSRC Fields of Research. An example is '020603 - Quantum Information, Computation and Communication'. Within the ANZSRC classification, this level is referred to as a 'Field', but the longer term 'Field of Research' applies to all three levels.
Staff census date	In identifying eligibility of researchers, for the first cycle of ERA the census date is to be taken as at 31 March 2008.
Staff full-time equivalence (FTE)	Where applicable for ERA purposes, FTE is calculated as outlined in section 5.3.2.3.
Staff Reference	A unique identifier given by the institution for each eligible researcher enabling them to be linked, within an ERA cluster submission, to their research outputs and/or applied measures and/or esteem measures (see section 5.3.2.2).
Strategic basic research	Has the meaning used in the Australian and New Zealand Standard Research Classification (ANZSRC), that is, 'experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas in the expectation of practical discoveries. It provides the broad base of knowledge necessary for the solution of recognised practical problems'.
Teaching and Research (Function)	Has the meaning set out under "Teaching and Research" in section 5.3.2.7.
Traditional research outputs	Research outputs in the form of published books, book chapters, journal articles or conference publications.
Two-digit FoR	The highest of the three hierarchical levels within ANZSRC Fields of Research. An example is '02 - Physical Sciences'. Within the ANZSRC classification, this level is referred to as a 'Division'.
Unit of Evaluation	The research discipline, defined by for each eligible institution. The discipline is defined as the four-digit level except in cases of low-volume research activity, where the relevant level is the two-digit FoR level. See section 3.3.1
XML	eXtensible Markup Language: A text based specification used to promote interoperable exchange of data through standardised validation mechanisms and expression of data in a human-readable, self-describing manner.