Excellence in Research for Australia

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ARC

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What is ERA?

- ERA evaluates the quality of the research undertaken in Australian universities against national and international benchmarks.
- The outcomes (ratings) are determined and moderated by committees of distinguished researchers, drawn from Australia and overseas.
- The unit of evaluation is broadly defined as the Field of Research (FoR) within an institution based on the Australia and New Zealand Standard Research Classification (ANZSRC).
- The indicators used in ERA include a range of metrics such as citation profiles which are common to disciplines in the natural sciences, and peer review of a sample of research outputs which is more broadly common in the humanities and social sciences.
- ERA is a comprehensive collection. The data submitted by universities covers all eligible researchers and their research outputs.
<table>
<thead>
<tr>
<th>Volume and Activity</th>
<th>Publishing Profile</th>
<th>Citation Analysis</th>
<th>Peer Review</th>
<th>Esteem Measures</th>
<th>Research Income</th>
<th>Applied measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Staffing Profile</td>
<td>- Journal articles</td>
<td>- Centile Profile</td>
<td>- Peer review</td>
<td>- Editor of prestigious works of reference</td>
<td>- Category 1-4</td>
<td>- Patents</td>
</tr>
<tr>
<td>- Research Outputs</td>
<td>- Conference publications</td>
<td>- Relative Citation Impact (RCI) Classes</td>
<td></td>
<td>- Recipient of Category 1 Fellowship or Australia Council Grant or Fellowship</td>
<td></td>
<td>- Commercialisation Income</td>
</tr>
<tr>
<td></td>
<td>- Books</td>
<td>- RCI against world and Australian benchmarks</td>
<td></td>
<td>- Membership of statutory committee or Learned Academy</td>
<td></td>
<td>- Plant Breeder’s Rights</td>
</tr>
<tr>
<td></td>
<td>- Book Chapters</td>
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<td></td>
<td></td>
<td>- NHMRC Endorsed Guidelines</td>
</tr>
</tbody>
</table>

- FoR codes are apportioned to Journal articles from ERA Journal List or FoR of institution’s choice where content >66%.
- All other outputs and eligible researchers can be assigned and apportioned to up to 3 four-digit FoR codes of the institution’s choice.
- Eligible researchers must be employed on the census date to count towards ‘FTE’.
- Journal articles are apportioned against the FoR codes of the ERA Journal List, or institutions may assign to a journal article an FoR code outside of the ERA Journal List FoR code, if 66% or more of the journal article belongs to another FoR code.
- Only applies to journal articles.
- Low volume threshold is 50 apportioned indexed journal articles.
- The citation supplier for 2012 is Scopus.
- The citation census date is 1 March 2012.
- Applies to a range of outputs including journal articles, books, book chapters, non-traditional research outputs.
- Low volume threshold is 50 apportioned outputs (any type).
- Institutions nominate 30% of total output for a FoR for peer review.
- Applies to a range of outputs including journal articles, books, book chapters, non-traditional research outputs.
- Low volume threshold is 50 apportioned outputs (any type).
- Institutions nominate 30% of total output for a FoR for peer review.
- Each individual esteem measure can be apportioned up to 3 four-digit FoRs of the institution’s choice.
- Estee must be linked to an eligible researcher of the institution.
- Individual researchers cannot be identified through the esteem measures.
- Institutions can apportion each income item between as many four-digit FoRs as relevant.
- Number of grants is collected for Category 1 income only.
- FTE is used as a denominator for all Categories.
- Category 3 income is disaggregated into the 3 subcategories (Australian, International A and International B).
- Institutions can select up to 3 four-digit FoRs (apportioned) for each applied measure submitted, except for commercialisation income where there are no limits on the number of four-digit FoR codes submitted.
- Applied measures are linked to either the institution or individual eligible researchers.
Stages of Evaluation

Stage 1
REC Members evaluate assigned material and record preliminary evaluations in SEER

Stage 2A
REC Members are given access to the preliminary evaluation outcomes for 4-digit UoEs from other REC Members and Peer Reviewers’ evaluations for moderation. REC Members complete preliminary evaluation of 2-digit UoEs.

Stage 2B
REC Members are given access to the preliminary evaluation outcomes for 2-digit UoEs from other REC Members and Peer Reviewers’ evaluations for moderation.

Stage 2C
REC Members are given view only access to moderated 2- & 4-digit evaluations to prepare for Stage 3 meeting.

Stage 3
REC Members meet to finalise all UoE ratings

ERA National Report
The ERA rating scale

<table>
<thead>
<tr>
<th>Rating</th>
<th>Descriptor</th>
</tr>
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<tbody>
<tr>
<td>5</td>
<td>The Unit of Evaluation profile is characterised by evidence of outstanding performance <strong>well above world standard</strong> presented by the suite of indicators used for evaluation.</td>
</tr>
<tr>
<td>4</td>
<td>The Unit of Evaluation profile is characterised by evidence of performance <strong>above world standard</strong> presented by the suite of indicators used for evaluation.</td>
</tr>
<tr>
<td>3</td>
<td>The Unit of Evaluation profile is characterised by evidence of average performance <strong>at world standard</strong> presented by the suite of indicators used for evaluation.</td>
</tr>
<tr>
<td>2</td>
<td>The Unit of Evaluation profile is characterised by evidence of performance <strong>below world standard</strong> presented by the suite of indicators used for evaluation.</td>
</tr>
<tr>
<td>1</td>
<td>The Unit of Evaluation profile is characterised by evidence of performance <strong>well below world standard</strong> presented by the suite of indicators used for evaluation.</td>
</tr>
</tbody>
</table>
Reporting

*ERA National Report* includes:

- quality **ratings** for all assessed two- and four-digit UoEs
- aggregated **submission data** from institutions profiling national research effort and resourcing by discipline
- preliminary **analyses** of the national data

In addition, the ARC has provided institutions with:

- **aggregated indicator profiles** for each of their assessed units of evaluation
- **performance measures benchmarked** for each discipline to the rest of the Australian higher education sector and to ‘world’ performance where possible
- **raw citation information** for all submitted journal articles and constructed benchmarked citation profiles
ERA 2015
Public Consultation for ERA 2015

• Next round scheduled for 2015

• No review of FoR codes by ABS

• Public consultation on submission documentation closed in February
  • Draft ERA 2015 Submission Guidelines
  • Draft ERA-SEER 2015 Business Rules and Verification
  • Draft ERA-SEER 2015 Technical Specifications
  • Draft ERA 2015 Discipline Matrix
  • Draft ERA-SEER 2015 Technology Pack

• Public consultation on Journal and Conference Lists now closed

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### ERA 2015 Reference Periods

<table>
<thead>
<tr>
<th>Data Type</th>
<th>Reference Period</th>
<th>Years</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Outputs</td>
<td>1 January 2008–31 December 2013</td>
<td>6</td>
</tr>
<tr>
<td>Research Income</td>
<td>1 January 2011–31 December 2013</td>
<td>3</td>
</tr>
<tr>
<td>Applied Measures</td>
<td>1 January 2011–31 December 2013</td>
<td>3</td>
</tr>
<tr>
<td>Esteem Measures</td>
<td>1 January 2011–31 December 2013</td>
<td>3</td>
</tr>
<tr>
<td>Staff Eligibility Period</td>
<td>As at 31 March 2014</td>
<td></td>
</tr>
</tbody>
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Web: arc.gov.au  |  Email: era@arc.gov.au
Key proposed changes to ERA 2015

Conference List
• The conference list will be available to all disciplines
• Up to 3 FoR codes assigned to each conference name
• Must be academic/scholarly/peer reviewed conferences

No Rankings!!!
Conference List

Conference Series e.g.
Australian Software Engineering Conference

Conference Proceeding e.g.
Proceedings of the 21st Australian Software Engineering Conference

Conference Publication e.g.
The significance of learning style with respect to achievement, in first year programming students.

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Research report for an external body

A written research report commissioned or solicited by an external body such as a government department or private company.

To be eligible to be submitted, a research report must:

• meet the definition of research;
• not be eligible to be submitted as a traditional research output; and
• have been published or made publicly available during the reference period for research outputs.
Staff eligibility rule for less than 0.4 FTE

For staff who are employed at less than 0.4 FTE to be eligible to be submitted they must:

- be employed as ‘research only’ or ‘teaching and research’
- have at least one eligible research output associated with the submitting institution.
Peer review ‘ratings’

• Peer reviewers do not rate a unit of evaluation against the ERA rating scale – that is the role of the Committee, taking account of all indicators and reviewer reports.

It is proposed for ERA 2015 to:

• require that all ERA reviewers in peer review disciplines to report on the ‘proportions’ peer reviewed outputs broad scale ‘quality’ rating from ‘lowest’ to ‘highest’ quality and
• report these quality judgments to universities with the dashboard for each assessed UoE, together with a discipline average.
Reporting the peer review outcomes

This new report will provide universities with more detail for each peer reviewed unit of evaluation about:

- what the quality profile of the outputs is judged to be by individual reviewers
- how the judgments of all reviewers for this UoE align with judgments for all reviewers more broadly in the discipline

So what will it look like…..?
Example

% of reviewed output in each Tier by Reviewer and Discipline Average

- Tier 1
- Tier 2
- Tier 3
- Tier 4 - Highest Quality

Reviewer1
Reviewer2
Reviewer3
Reviewer4
Reviewer5
Reviewer6
Reviewer7
Reviewer8
Reviewer9

Discipline Average
Publisher list

• ERA 2012 requirement - each institution chose the name for publishers for books and book chapters
• Large degree of variation

| Thomson Reuters Lawbook Co. |
| Thomson LawBook Co. |
| Thomson Lawbook Co. |
| Thomson Lawbooks |
| Thomson Law Book Co |
| Thomson Lawbook |
| Thomson Reuters |
| Lawbook Co. |
| Lawbook Co. |
| Thompson Reuters |
| Thomsom Reuters |

• Standard publisher name list is currently being constructed by the ERA team from ERA 2012 data
• ERA 2015 - propose to use a list of valid publisher names for the submission of books and book chapters
Other proposed changes to ERA 2015

• Peer review research outputs must be in ERA repository

• Conference citation trial (*selected FoRs only*)

• Gender data (*not for evaluation*)

• Open access repository (*not for evaluation*)
Thank you