Excellence in Research for Australia

ERA 2010 and beyond
ARMS
15 September 2011
ERA – Old News

(Boring but Important)
Objectives of ERA

- Establish an **evaluation framework** that gives government, industry, business and the wider community assurance of the excellence of research conducted in Australia’s institutions;

- 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;

- Identify **excellence** across the full spectrum of research performance;

- Identify **emerging research areas** and opportunities for further development;

- Allow for **comparison** of Australia’s research nationally and **internationally** for all discipline areas.
ERA Development 2008-2010

• Several major rounds of consultation
• Indicator Development Group (specialist sub-groups)
• Ranked journals and conferences consultation
• Discipline specific indicators
• Full trial in 2009 of PCE and HCA
  – test of systems, processes
  – feedback from sector, RECs, peer reviewers
• Esteem indicators
• First full ERA evaluation in 2010
The ERA Unit of Evaluation

• The baseline - the Discipline in an institution = Four-digit Field of Research Code (ANZSRC) eg., 2101 Archaeology
• The higher perspective – the division in an institution = Two-digit Field of Research Code (ANZSRC) eg., 21 History and Archaeology
• The ERA Unit is not about the department nor the individual researcher
ERA 2010 Process Overview

<table>
<thead>
<tr>
<th>Volume &amp; Activity</th>
<th>Ranked Outlets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Citation Analysis</td>
<td>Esteem</td>
</tr>
<tr>
<td>Research Income</td>
<td>Applied Measures</td>
</tr>
</tbody>
</table>

Peer Review

International Benchmarks

Research Evaluation Committees

Web: arc.gov.au  |  Email: info@arc.gov.au
ERA 2010 outcomes: context

• ERA is a **retrospective** evaluation of research performance

• The ERA unit of evaluation is the discipline within the institution, **not** ........

• ERA does not rank institutions
ERA 2010 at a glance

• All 41 eligible institutions participated

• 2435 units of evaluation assessed at the two- and four-digit level

• Over 330,000 research outputs and 55,000 researchers represented
ERA – Myths

(Sigh!)
ERA Ratings by ERA 2010 Cluster

ERA 2010 Ratings by Cluster

- Public and Allied Health Sciences
- Mathematical, Information and Computing Sciences
- Biomedical and Clinical Research
- Engineering and Environmental Sciences
- Biotechnology and Biological Sciences
- Physical Chemical and Earth Sciences
- Humanities and Creative Arts
- Social, Behavioural and Economic Sciences

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ERA Ratings at ‘world standard and above’ by ERA 2010 Cluster

ERA 2010 Ratings at world standard and above (2 and 4 digit)

- Public and Allied Health Sciences
- Mathematical, Information and Computing Sciences
- Biomedical and Clinical Health Sciences
- Engineering and Environmental Sciences
- Biological and Biotechnological Sciences
- Physical, Chemical and Earth Sciences
- Social, Behavioural and Economic Sciences
- Humanities and Creative Arts

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Gaps

- Agriculture, Land and Farm Management
- Automotive Engineering
- Maritime Engineering
- Engineering Design
- Complementary and Alternative Medicine

Pockets

- Classical Physics
- Aerospace Engineering
- Transportation and Freight

Strong Applied Research

- Electrical and Electronic Engineering
- Crop and Pasture Protection
- Resources Engineering
- Materials Engineering
- Extractive Metallurgy
- Nursing

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ERA 2010 submissions*

- Institutional data submission smoother than Trial
- Institutional repositories generally functioned well
- Definition of research – still outputs being submitted which did not meet the definition in the view of the Committees; these are **not** eligible and should not be submitted
- Selection of peer review items – breadth of work in the 20%
- Supporting statements for NTROs and Portfolios

* You know you loved it....
ERA – New News
Beyond ERA 2010

- Extra SRE funding was contingent upon ERA 2010 participation

- ERA 2010 results have informed mission-based compact negotiations between the Government and institutions
Consultations for ERA 2012

• ERA Public Consultation (March -April 2011) – open consultation on issues including reporting, indicators, eligibility, discipline matrix
• Outreach sessions with institutions and peak bodies
• Detailed feedback from ERA 2010 REC members and peer reviewers
• Feedback from institutions on submission processes
• Comment period on draft Submission Guidelines and Discipline Matrix (July 2011)
Changes to journals and conferences

• Refined journal and conference indicator for ERA 2012
• Ranks will not be used, instead outputs profiled by most frequent journals and conferences in the UoE, with drilldowns available as in 2010
• ARC will still produce a journal list – will not include rankings but will include FoR codes for citation analysis
• Strong feedback that ranked lists were having negative consequences in the sector
• ARC analysis suggested a refined indicator would produce improved results while removing negative consequences
# The refined journal indicator

<table>
<thead>
<tr>
<th>University of X</th>
<th>1801</th>
<th>Law</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Journal Title</th>
<th>Papers</th>
<th>Contribution</th>
<th>Cumulative</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Journal of Law and Medicine</td>
<td>27</td>
<td>6%</td>
<td>6%</td>
</tr>
<tr>
<td>2. Public Law Review</td>
<td>27</td>
<td>6%</td>
<td>12%</td>
</tr>
<tr>
<td>3. Australian Journal of Administrative Law</td>
<td>24</td>
<td>5%</td>
<td>17%</td>
</tr>
<tr>
<td>4. Law in Context</td>
<td>18</td>
<td>4%</td>
<td>21%</td>
</tr>
<tr>
<td>5. Australian Journal of Family Law</td>
<td>15</td>
<td>3%</td>
<td>24%</td>
</tr>
<tr>
<td>6. Company and Securities Law Journal</td>
<td>12</td>
<td>3%</td>
<td>26%</td>
</tr>
<tr>
<td>7. Torts Law Journal</td>
<td>9</td>
<td>2%</td>
<td>28%</td>
</tr>
<tr>
<td>8. Contemporary Issues in Law</td>
<td>9</td>
<td>2%</td>
<td>30%</td>
</tr>
<tr>
<td>9. Law and Policy</td>
<td>9</td>
<td>2%</td>
<td>32%</td>
</tr>
<tr>
<td>10. International Journal of the Legal Profession</td>
<td>9</td>
<td>2%</td>
<td>34%</td>
</tr>
<tr>
<td>11. Australian Journal of Corporate Law</td>
<td>9</td>
<td>2%</td>
<td>36%</td>
</tr>
<tr>
<td>12. Australian Journal of Labour Law</td>
<td>9</td>
<td>2%</td>
<td>38%</td>
</tr>
<tr>
<td>13. Journal of Judicial Administration</td>
<td>9</td>
<td>2%</td>
<td>40%</td>
</tr>
<tr>
<td>14. Federal Law Review</td>
<td>9</td>
<td>2%</td>
<td>42%</td>
</tr>
<tr>
<td>15. Australian Journal of Legal Philosophy</td>
<td>6</td>
<td>1%</td>
<td>43%</td>
</tr>
<tr>
<td>16. Forensic Science International</td>
<td>6</td>
<td>1%</td>
<td>45%</td>
</tr>
<tr>
<td>17. Legal Theory</td>
<td>6</td>
<td>1%</td>
<td>46%</td>
</tr>
<tr>
<td>18. Revenue Law Journal</td>
<td>6</td>
<td>1%</td>
<td>47%</td>
</tr>
<tr>
<td>19. AIAL National Lecture Series on Administrative Law</td>
<td>6</td>
<td>1%</td>
<td>48%</td>
</tr>
<tr>
<td>20. Intertax: International tax review</td>
<td>6</td>
<td>1%</td>
<td>50%</td>
</tr>
</tbody>
</table>

Total: 465

Please note that this is not based on any university's submission to ERA 2010.
Interdisciplinary research (the dreaded ‘Claw-back’...)

• Journal articles with ≥66% content in a discipline can be apportioned to that discipline
• Approach was successfully trialled in 2010 for Mathematics
• Allows stronger recognition of interdisciplinary and applied research
• Aligns journals with other output types
Raising the threshold

- Low volume threshold for peer review disciplines raised to 50 apportioned weighted outputs (maintaining the 5:1 weighting for books)
- Threshold remains the same for citation analysis disciplines
- Aligns all disciplines at 50 outputs
- Recognises strong feedback from sector and from 2010 evaluators
- ERA units need sufficient volume
Low volume scenarios

In both cases, all outputs will be assessed at the two-digit level.
Eligibility of fractional staff

• Fractional staff: minimum 40% appointment at ERA census date
• Those below 40% can still submit with by-line or similar requirement (similar to existing approach for casuals)
• Addresses concern about ERA-driven “poaching”
• Recognises that in many cases those below 40% are legitimately employed – their outputs can still be submitted
• But... ≠ eligible fractional researcher
Other changes for ERA 2012

• Patents, plant breeder’s rights and registered designs assigned to individuals now eligible for submission
• Cluster structure revised in the light of information from ERA 2010
• Some adjustments to indicator sets used in the discipline matrix (e.g. ICT disciplines)
• Construction of the pool of outputs for peer review (30%)
ERA 2012 – still to do

• Recruitment of Research Evaluation Committees
• Expansion of peer reviewer pool
• Citation data provider has been announced – Scopus
• Submission and beyond!!
Further information

• Web: www.arc.gov.au/era

• Email: era@arc.gov.au

• Hotline: 02 6287 6755