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

![Graph showing ERA 2010 Ratings by Cluster.]
ERA Ratings at ‘world standard and above’ by ERA 2010 Cluster

[Bar chart showing ERA 2010 Ratings at world standard and above (2 and 4 digit) for various fields, including 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, and 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
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

## Example of the draft refined journal indicator for FoR 1801 for University X

<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. Interact: International tax review</td>
<td>6</td>
<td>1%</td>
<td>50%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>465</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*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