



Australian Government

Australian Research Council

Excellence in Research for Australia



ERA 2010 and beyond
Deakin University
1-2 June 2011

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

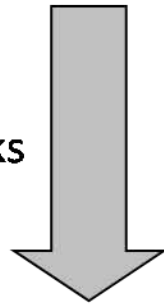
- The **baseline** - the Discipline in an institution = Four-digit Field of Research Code (ANZSRC) eg.,
2101 Archaeology
- The **higher perspective** – the division in an institution = Two-digit Field of Research Code (ANZSRC) eg.,
21 History and Archaeology
- The ERA Unit is not about the department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



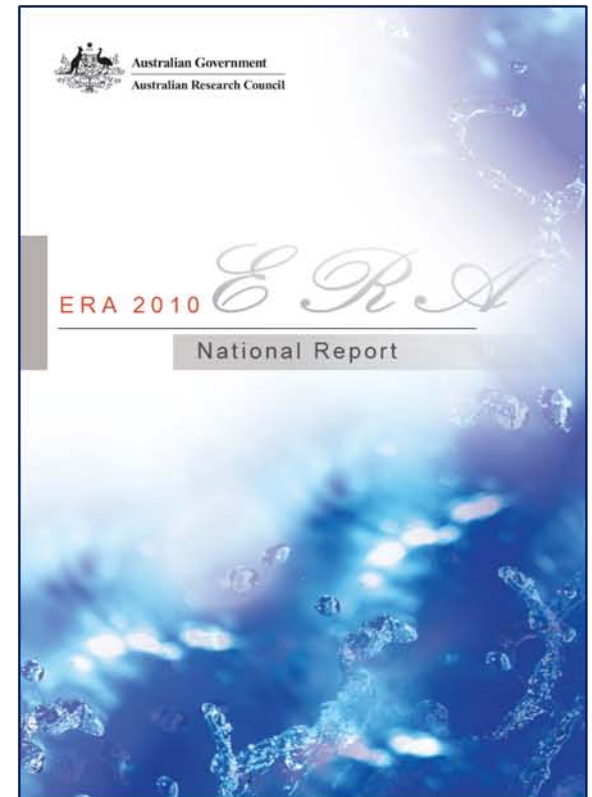
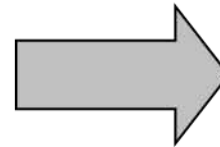
ERA 2010 Process Overview

Volume & Activity	Ranked Outlets
Citation Analysis	Esteem
Research Income	Applied Measures
Peer Review	

International Benchmarks



Research Evaluation
Committees



Why a matrix approach to indicators?

- Not all indicators are suitable for all disciplines
- Pick and choose what is right for each discipline
- The indicator suite must ensure comparable quality across a range of indicator types

ERA 2010 Reviewers

- Expert review and specialist disciplinary knowledge were essential – not a mechanical process
- 8 Research Evaluation Committees
- 149 Australian and international REC members
- 500+ Peer Reviewers from Australia and overseas
- REC members also conducted peer review

Stages of evaluation

- Every UoE evaluated by at least three REC members (plus peer reviewers)
- Independent evaluation in the first instance followed by exchange of views
- All evaluations were advice to the full Committee
- All UoEs discussed at the final evaluation meeting
- All final ratings decisions of the Committee as a whole

The ERA 2010 Rating Scale

Rating	Descriptor
5	The Unit of Evaluation profile is characterised by evidence of outstanding performance well above world standard presented by the suite of indicators used for evaluation.
4	The Unit of Evaluation profile is characterised by evidence of performance above world standard presented by the suite of indicators used for evaluation.
3	The Unit of Evaluation profile is characterised by evidence of average performance at world standard presented by the suite of indicators used for evaluation.
2	The Unit of Evaluation profile is characterised by evidence of performance below world standard presented by the suite of indicators used for evaluation.
1	The Unit of Evaluation profile is characterised by evidence of performance well below world standard presented by the suite of indicators used for evaluation.

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 2010 outcomes: context

- ERA is a **retrospective** evaluation of research performance: 2003-2008 for research outputs, 2006-2008 for other data
- The ERA unit of evaluation is the discipline within the institution, **not** individual researchers or institutional units
- ERA does not rank institutions or units; each UoE is evaluated on its merits against the rating scale

Reading the national results

86% of assessed UoEs received a rating at or above world standard (i.e. rating of 3 or above).

Of all assessed UoEs at the four-digit FoR code level (58 UoEs), the average rating is 3.4. See **Section 1** for two-digit FoR code average rating.

Mathematical, Information and Computing Sciences							
01 Mathematical Sciences							
% assessed UoEs rated at or above world standard 86%	FTEs	880		Esteem count(s)	106		Average National Rating 3.4
	Research outputs	8,659		Patent(s)	1		
	Research income \$	104,624,740		Research commer. income \$	22,368,469		
	UoEs assessed	58					
	Rating:	1	2	3	4	5	Total
	Distribution:	1	7	25	16	9	58

There were seven UoEs which received a rating of 2.

A total of 58 UoEs were assessed for Mathematical Sciences at the four-digit FoR code level.

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

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
- Several rounds of consultation on journals, indicators, processes
- ARC has reviewed feedback from the sector and from ERA 2010 reviewers

Consultations for ERA 2012

- ERA Public Consultation (11 March to 7 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

Changes for ERA 2012

- 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 journal and conference lists – will not include rankings but will include FoR codes
- Journal articles with $\geq 66\%$ content in a discipline can be apportioned to that discipline

Changes for ERA 2012 (cont.)

- Low volume threshold for PR disciplines raised to 50 apportioned weighted outputs (maintaining the 5:1 weighting for books)
- Fractional staff: minimum 40% appointment at census date, with ability for those below 40% to submit where affiliation is shown (e.g. through use of a by-line)
- Patents, plant breeder's rights and registered designs assigned to individuals now eligible for submission

Further information

- **Web:** www.arc.gov.au/era
- **Email:** era@arc.gov.au
- **Hotline:** **02 6287 6755**