



FREQUENTLY ASKED QUESTIONS

TECHNICAL ISSUES:

The Excellence in Research for Australia (ERA) initiative

Are there any 'known issues' in SEER that I need to look out for?

The following are known issues in SEER:

- SEER will not accept negative values in any of the research income categories. For the 2009 trial institutions should enter zero for any category where there has been negative return.
- The XML schema identifies "repositoryLink" as a mandatory data requirement for all outputs identified as available for peer review. However, not all such outputs will be available via electronic repository. The ARC allows a statement of reasons to be provided in these cases. Where an output identified as available for peer review does not have a repository location, institutions should enter a statement of reasons in the non-repository justification field. In the repository link field institutions should enter the value as "Not Available" and the link type as 1 or 2.
- A user cannot perform the "Finalise Submission" function using Apple's Safari or Google's Chrome browser.
- When a user re-verifies in IE 6 using the Back browser arrow, the following message is displayed: "The page cannot be displayed".

Are we to expect SEER systems outages?

If network or server maintenance is required, systems outages will not occur on Thursday evenings, as originally indicated in the *ERA-SEER Technical Specifications*, **but on Wednesday evenings**. Users will be alerted to outage times by means of a banner that will display on the SEER homepage.

More information about ERA is available at www.arc.gov.au > *research excellence*

If you have further questions about ERA, please contact the ERA Helpdesk on 02 6287 6755 or era@arc.gov.au



What new business rules have been implemented for HCA submissions?

For a list of ERA–SEER business rules refer to the *ERA–SEER Business Rules for HCA Submissions*, which is available on the ERA website at www.arc.gov.au > *Research Excellence* > *System to Evaluate the Excellence of Research (SEER)*

The following new business rules have been implemented or revised for HCA submissions:

ID	Expression	Error/Warning
BR008	Where an output is identified as sensitive, the type of sensitivity must be provided.	Error

BR008 has been revised and now includes seven sensitivity types to allow institutions to nominate more than one sensitivity type. The XML schema has also been updated accordingly. The sensitivity types available are:

- 1 = Commercially sensitive
- 2 = Culturally sensitive
- 3 = Non public
- 4 = Commercially sensitive and culturally sensitive
- 5 = Commercially sensitive and non public
- 6 = Culturally sensitive and non public
- 7 = Commercially sensitive, culturally sensitive and non public

ID	Expression	Error/Warning
BR042	Where a researcher is employed (employment status is "1") a total full time employment (FTE) value must be submitted.	Error

BR042 has been added. There is no corresponding change to the XML schema.

ID	Expression	Error/Warning
BR044	A creator published name must be submitted for each creator order in an output.	Error

BR044 has been added. There is no corresponding change to the XML schema.

ID	Expression	Error/Warning
BR046	A reference year within each research income item income years must only appear once in a submission to avoid potential duplicates.	Error

BR046 has been added. There is no corresponding change to the XML schema. Reference years within research income items should be submitted as per the examples below:



(eg HERDC Category 1: <seer:australianCompetitiveGrant>

```
<seer:australianCompetitiveGrant>
  <seer:incomeYears>
    <seer:incomeYear acgrCode="2005_03" referenceYear="2005"
      totalAmountReceived="50000">
      <seer:grantIncomeByDiscipline>
        <seer:valueByDiscipline apportionmentPerGroup="60"
          forGroupCode="1203"/>
      </seer:grantIncomeByDiscipline>
    </seer:incomeYear>
    <seer:incomeYear acgrCode="2006_02" referenceYear="2006"
      totalAmountReceived="10000">
      <seer:grantIncomeByDiscipline>
        <seer:valueByDiscipline apportionmentPerGroup="30"
          forGroupCode="1201"/>
        <seer:valueByDiscipline apportionmentPerGroup="20"
          forGroupCode="1205"/>
      </seer:grantIncomeByDiscipline>
    </seer:incomeYear>
    <seer:incomeYear acgrCode="2007_04" referenceYear="2007"
      totalAmountReceived="100000">
      <seer:grantIncomeByDiscipline>
        <seer:valueByDiscipline apportionmentPerGroup="50"
          forGroupCode="1904"/>
        <seer:valueByDiscipline apportionmentPerGroup="50"
          forGroupCode="1905"/>
      </seer:grantIncomeByDiscipline>
    </seer:incomeYear>
  </seer:incomeYears>
</seer:australianCompetitiveGrant>
```

<!-- eg HERDC Category 2: -->

```
<seer:otherPublicSectorIncome>
  <seer:otherIncomeYears>
    <seer:otherIncomeYear referenceYear="2005" totalAmountReceived="1000">
      <seer:incomeByDiscipline>
        <seer:valueByDiscipline apportionmentPerGroup="35"
          forGroupCode="0201"/>
        <seer:valueByDiscipline apportionmentPerGroup="10"
          forGroupCode="0202"/>
      </seer:incomeByDiscipline>
    </seer:otherIncomeYear>
    <seer:otherIncomeYear referenceYear="2006" totalAmountReceived="12000">
      <seer:incomeByDiscipline>
        <seer:valueByDiscipline apportionmentPerGroup="40"
          forGroupCode="0201"/>
        <seer:valueByDiscipline apportionmentPerGroup="50"
          forGroupCode="0202"/>
        <seer:valueByDiscipline apportionmentPerGroup="10"
          forGroupCode="0203"/>
      </seer:incomeByDiscipline>
    </seer:otherIncomeYear>
  </seer:otherIncomeYears>
</seer:otherPublicSectorIncome>
```



```

</seer:otherIncomeYear>
</seer:otherIncomeYears>
</seer:otherPublicSectorIncome>

```

How do I submit Category 1 income?

Below are XML examples for reporting Category 1 income items.

Scenario1: This example is for a grant project in the same program (Horticulture Australia Ltd Research and Development Program) across 3 years.

```

<seer:australianCompetitiveGrants>
  <seer:australianCompetitiveGrant>
    <seer:incomeYears>
      <seer:incomeYear acgrCode="FND2005_010" referenceYear="2005"
        totalAmountReceived="100000">
        <seer:grantIncomeByDiscipline>
          <seer:valueByDiscipline apportionmentPerGroup="40"
            forGroupCode="0201"/>
          <seer:valueByDiscipline apportionmentPerGroup="20"
            forGroupCode="0202"/>
          <seer:valueByDiscipline apportionmentPerGroup="10"
            forGroupCode="0203"/>
          <seer:valueByDiscipline apportionmentPerGroup="20"
            forGroupCode="0204"/>
          <seer:valueByDiscipline apportionmentPerGroup="10"
            forGroupCode="2299"/>
        </seer:grantIncomeByDiscipline>
        </seer:incomeYear>
      <seer:incomeYear acgrCode="FND2006_010" referenceYear="2006"
        totalAmountReceived="75000">
        <seer:grantIncomeByDiscipline>
          <seer:valueByDiscipline apportionmentPerGroup="50"
            forGroupCode="0204"/>
          <seer:valueByDiscipline apportionmentPerGroup="50"
            forGroupCode="0205"/>
        </seer:grantIncomeByDiscipline>
        </seer:incomeYear>
      <seer:incomeYear acgrCode="FND2007_011" referenceYear="2007"
        totalAmountReceived="75000">
        <seer:grantIncomeByDiscipline>
          <seer:valueByDiscipline apportionmentPerGroup="50"
            forGroupCode="0204"/>
          <seer:valueByDiscipline apportionmentPerGroup="50"
            forGroupCode="0205"/>
        </seer:grantIncomeByDiscipline>
        </seer:incomeYear>
    </seer:incomeYears>
  </seer:australianCompetitiveGrant>
</seer:australianCompetitiveGrants>

```



Scenario2: This example is for multiple grant projects in the same program ("ARC - Centres of Excellence") in a year or across multiple years

<!--The first grant for "ARC - Centres of Excellence" which go across 2 years-->

```
<seer:australianCompetitiveGrants>
  <seer:australianCompetitiveGrant>
    <seer:incomeYears>
      <seer:incomeYear acgrCode="FND2006_027" referenceYear="2006"
totalAmountReceived="100000">
        <seer:grantIncomeByDiscipline>
          <seer:valueByDiscipline apportionmentPerGroup="40"
forGroupCode="0201"/>
          <seer:valueByDiscipline apportionmentPerGroup="20"
forGroupCode="0202"/>
          <seer:valueByDiscipline apportionmentPerGroup="10"
forGroupCode="0203"/>
          <seer:valueByDiscipline apportionmentPerGroup="20"
forGroupCode="0204"/>
          <seer:valueByDiscipline apportionmentPerGroup="10"
forGroupCode="2299"/>
        </seer:grantIncomeByDiscipline>
      </seer:incomeYear>
      <seer:incomeYear acgrCode="FND2007_066" referenceYear="2007"
totalAmountReceived="75000">
        <seer:grantIncomeByDiscipline>
          <seer:valueByDiscipline apportionmentPerGroup="50"
forGroupCode="0204"/>
          <seer:valueByDiscipline apportionmentPerGroup="50"
forGroupCode="0205"/>
        </seer:grantIncomeByDiscipline>
      </seer:incomeYear>
    </seer:incomeYears>
  </seer:australianCompetitiveGrant>
</seer:australianCompetitiveGrants>
```

<!--The second grant under "ARC - Centres of Excellence" which is only a year grant-->

```
<seer:australianCompetitiveGrant>
  <seer:incomeYears>
    <seer:incomeYear acgrCode="FND2006_027" referenceYear="2006"
totalAmountReceived="100000">
      <seer:grantIncomeByDiscipline>
        <seer:valueByDiscipline apportionmentPerGroup="50"
forGroupCode="0203"/>
        <seer:valueByDiscipline apportionmentPerGroup="50"
forGroupCode="0205"/>
      </seer:grantIncomeByDiscipline>
    </seer:incomeYear>
  </seer:incomeYears>
</seer:australianCompetitiveGrant>
```

<!--The Third grant under "ARC - Centres of Excellence" which is only a year grant-->

```
<seer:australianCompetitiveGrant>
  <seer:incomeYears>
    <seer:incomeYear acgrCode="FND2006_027" referenceYear="2006"
totalAmountReceived="100000">
      <seer:grantIncomeByDiscipline>
        <seer:valueByDiscipline apportionmentPerGroup="50"
forGroupCode="0204"/>
        <seer:valueByDiscipline apportionmentPerGroup="50"
forGroupCode="0203"/>
      </seer:grantIncomeByDiscipline>
    </seer:incomeYear>
  </seer:incomeYears>
</seer:australianCompetitiveGrant>
```



```

        </seer:grantIncomeByDiscipline>
      </seer:incomeYear>
    </seer:incomeYears>
  </seer:australianCompetitiveGrant>
  <!--The Forth grant under FND2006-027 which is only a year grant-->
  <seer:australianCompetitiveGrant>
    <seer:incomeYears>
      <seer:incomeYear acgrCode="FND2006_027" referenceYear="2006"
        totalAmountReceived="100000">
        <seer:grantIncomeByDiscipline>
          <seer:valueByDiscipline apportionmentPerGroup="40"
            forGroupCode="0202"/>
          <seer:valueByDiscipline apportionmentPerGroup="20"
            forGroupCode=""/>
        </seer:grantIncomeByDiscipline>
      </seer:incomeYear>
    </seer:incomeYears>
  </seer:australianCompetitiveGrant>
</seer:australianCompetitiveGrants>

```

How do I submit income data where we do not have any income to report?

```

<!-- This section shows the sample data of research income-->
  <seer:researchIncomeItems>

    <!--Where there is no Australian Competitive Grant (Category 1) to report-->
    <seer:australianCompetitiveGrants>
      <seer:australianCompetitiveGrant>
        <seer:incomeYears/>
      </seer:australianCompetitiveGrant>
    </seer:australianCompetitiveGrants>

    <!-- Where there is no Other Public Sector Research Income (Category 2) sample data-->
    >
    <seer:otherPublicSectorIncome/>

    <!-- Where there is no Industry and Other Research Income (Category 3) sample data-->
    >
    <seer:industryAndOtherResearchIncome>
    <seer:internationalCompetitivePeerReview/>
    <seer:internationalOtherIncome/>
    <seer:australianIndustryAndOtherResearch/>
    </seer:industryAndOtherResearchIncome>

    <!-- Where there is no Research Centre Research Income (Category 4)-->

    <seer:crcResearchIncome/>
  </seer:researchIncomeItems>

```



How do I submit non-Category 1 income?

Below is an XML example for reporting non-Category 1 income items.

Please note: to submit multiple reference years (up to three) use the <seer:OtherIncomeYears> tag. SEER will not allow the <seer:otherIncomeYears> tag to be repeated in the XML.

```

<!--Example for the Other Public Sector Income -->
<seer:otherPublicSectorIncome>
  <seer:otherIncomeYears>
    <seer:otherIncomeYear referenceYear="2005" totalAmountReceived="171000">
      <seer:incomeByDiscipline>
        <seer:valueByDiscipline apportionmentPerGroup="5" forGroupCode="0306" />
        <seer:valueByDiscipline apportionmentPerGroup="36" forGroupCode="0406" />
      </seer:incomeByDiscipline>
    </seer:otherIncomeYear>
    <seer:otherIncomeYear referenceYear="2006" totalAmountReceived="302000">
      <seer:incomeByDiscipline>
        <seer:valueByDiscipline apportionmentPerGroup="2" forGroupCode="0306" />
        <seer:valueByDiscipline apportionmentPerGroup="19" forGroupCode="0406" />
        <seer:valueByDiscipline apportionmentPerGroup="26" forGroupCode="0601" />
      </seer:incomeByDiscipline>
    </seer:otherIncomeYear>
    <seer:otherIncomeYear referenceYear="2007" totalAmountReceived="962000">
      <seer:incomeByDiscipline>
        <seer:valueByDiscipline apportionmentPerGroup="2" forGroupCode="0201" />
        <seer:valueByDiscipline apportionmentPerGroup="10" forGroupCode="0204" />
        <seer:valueByDiscipline apportionmentPerGroup="68" forGroupCode="0205" />
        <seer:valueByDiscipline apportionmentPerGroup="0" forGroupCode="0301" />
        <seer:valueByDiscipline apportionmentPerGroup="1" forGroupCode="0306" />
      </seer:incomeByDiscipline>
    </seer:otherIncomeYear>
  </seer:otherIncomeYears>
</seer:otherPublicSectorIncome>

```

How do I report a nil value for Staff full-time equivalence (FTE)?

When reporting a nil value for staff full-time equivalence (FTE) do not include the 'totalFte' tag in your XML.



How do I tag articles in two-digit or multi-discipline journals for peer review?

You can tag articles published in two-digit or multi-discipline journals for peer review in the same way that you would tag articles published in journals that have been assigned four-digit FoR codes. The article will be reassigned up to three four-digit FoR codes through the ARC's journal reassignment process. After re-assignment, the inclusion of a reassigned article in a four-digit code may cause that four-digit code to exceed its 20 per cent limit on peer review items. The ARC will allow institutions to exceed the 20 per cent limit in these cases, and the article would be included in the pool of peer review items nominated for that four-digit code.

How will SEER access the RODA files in my repository for the HCA cluster?

When a research output is presented to a reviewer by SEER the URL will not link directly to the institution's repository. Instead it will link to the SEER application which will then perform the request on the institution's repository. On receipt of a response from the institution's repository SEER will re-write any links in the HTML response (it will not deal with links in any other media) so that the links refer back to SEER. SEER will then forward that updated response on to the reviewer.

Section 5.2.8 of the *ERA—SEER Technical Specifications* describes the role of authentication in accessing RODA files and secure repositories. The preferred method of authentication for SEER is basic authentication (RFC 22617). Repositories that are not able to support basic authentication are permitted to use IP-based access restrictions as all requests will be coming from the SEER application, not directly from the reviewer's web browser.

In the case of basic authentication when SEER encounters an HTTP 401 (Authentication Required) response to a request for a RODA file or metadata page, it will look up the credentials supplied by the institution and in accordance with the basic authentication (RFC 22617) specification will encode those credentials with a base 64 encoding and add an "Authorization" field to the HTTP GET request header and retry the request. Note that the base 64 encoding is required by the basic authentication (RFC 22617) specification and is not for the purpose of security as it is easily decoded. As mentioned in the Section 5.2.8 of the *ERA—SEER Technical Specifications*, all communications between SEER and institutionally supported repositories are required to employ SSL certificates to secure the communications.

How do I submit a research statement for peer review?

Currently the XML schema allows the institution to choose only two electronic link types. Link type 1 is for metadata and link type 2 is for a RODA file. However as ERA requires a research statement for peer review to be available via an institution's repository, it is recommended that institutions use the type 2 link for RODA files as the link to the research statement.

Last updated 22 July 2009