



Australian Government  
Australian Research Council

Physical, Chemical and Earth Sciences (PCE) and  
Humanities and Creative Arts (HCA) Clusters  
**ERA Submission Guidelines**

*ERA*

RESEARCH in the national interest - enabling the future

Excellence in Research for Australia

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# 1. ERA Overview

## 1.1. Introduction

The Excellence in Research for Australia (ERA) initiative aims to identify and promote excellence across the full spectrum of research activity, including discovery and applied research, in Australia's higher education institutions. ERA reflects the Government's commitment to a transparent, streamlined approach to the evaluation of the quality of research undertaken in Australia's universities.

The Australian Research Council (ARC) has developed ERA in consultation with the National Health and Medical Research Council (NHMRC), with advice from the Department of Innovation, Industry, Science and Research (DIISR) and expert advice from the Indicators Development Group (IDG).

ERA will evaluate the quality of research undertaken in eligible higher education providers (henceforth 'institutions'). Institutions evaluated as part of ERA are those listed at **Appendix A**.

## 1.2. Objectives

The objectives of ERA are to:

1. establish an evaluation framework that gives government, industry, business and the wider community assurance of the excellence of research conducted in Australia's institutions;
2. 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;
3. identify excellence across the full spectrum of research performance;
4. identify emerging research areas and opportunities for further development; and
5. allow for comparisons of Australia's research nationally and internationally for all discipline areas.

In order to achieve these objectives, ERA will undertake evaluations in each of eight clusters of disciplines as listed in **Appendix B**. For evaluation purposes, 'disciplines' are defined as four-digit Fields of Research (FoR) as identified in the Australian and New Zealand Standard Research Classification (ANZSRC) except in cases of low-volume research activity (as specified in section 3.6), where disciplines may be re-defined as two-digit (rather than four-digit) FoR codes.

Research Evaluation Committees (RECs), comprising experienced, internationally-recognised experts, will evaluate the overall research performance of disciplines within institutions. These evaluations will be informed by three broad categories of indicators:

1. *Indicators of research quality*

Research quality is considered on the basis of ranked outlets, citation analysis and peer-reviewed Australian and international research income. Peer review is also incorporated where necessary.

2. *Indicators of research volume and activity*

Research volume and activity is considered on the basis of total research outputs and research income within the context of the eligible researcher profile.

3. *Indicators of research application*

Applied research is considered on the basis of research commercialisation income and other applied measures.

## **2. ERA Submission Guidelines**

### **2.1. Structure of the Submission Guidelines**

These Guidelines contain an overview of ERA and information on the rules for submission of material for the ERA trial of Cluster One (Physical, Chemical and Earth Sciences (PCE)) and Cluster Two (Humanities and Creative Arts (HCA)), including:

- eligibility requirements;
- ERA's supporting information technology (IT) system, known as the System to Evaluate the Excellence of Research (SEER); and
- additional requirements for institutions participating in ERA.

### **2.2. Other ERA Documents**

These Guidelines should be read in conjunction with the following ERA documents:

- *ERA-SEER Technology Pack*, which includes technical documentation, Code Tables and XML schema related to the submission process. The Technology Pack includes the *ERA-SEER Technical Specifications* which outline requirements for ensuring that information is available to reviewers during the evaluation process.
- *ERA Evaluation Guidelines*, which outline how indicators and other proxies are considered as part of the evaluation in arriving at judgements of the excellence of a discipline. These Guidelines will include evaluation information specific to each discipline cluster.

Supplementary information will also be provided in other ERA documents. The ARC may provide further clarifying information on its website ([www.arc.gov.au/era/default.htm](http://www.arc.gov.au/era/default.htm)) and will provide this information to institutions as it becomes available.

### **2.3. Use of Information from ERA**

The ARC will publicly release outcomes of the evaluations for Clusters One and Two aggregated to the national level but not broken down to the level of individual institutions.

The ARC will also make available to individual institutions analyses of their own disciplines. These individual analyses will not be publicly released by the ARC but will be provided to DIISR to assist with the development of policy advice.

The Higher Education Research Data Collection (HERDC) process managed by DIISR will continue to inform research block grant allocations until such a time that the Australian Government considers and implements any new mechanism. If in the future the Government decides to use information submitted as part of ERA and/or

ERA outcomes to inform block grants or other allocation mechanisms, ERA-sourced information will not be used in this manner without prior consultation with eligible institutions.

#### **2.4. Further Assistance**

Queries regarding ERA should be directed to the ERA Helpdesk at (02) 6287 6755 or email [era@arc.gov.au](mailto:era@arc.gov.au).

Queries regarding SEER should be directed to the SEER Helpdesk at (02) 6287 6755 or email [seer@arc.gov.au](mailto:seer@arc.gov.au).

### 3. Key Elements

#### 3.1. Definition of Research

For the purposes of ERA, research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

This definition of research is consistent with a broad notion of research and experimental development (R&D) as comprising ‘creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise applications.’<sup>1</sup> This definition should be read as consistent with that used in the *Higher Education Research Data Collection Specifications*.<sup>2</sup>

This definition of research should be used by institutions when assessing the acceptability of research outputs for submission in ERA.

#### 3.2. Comprehensiveness

For the purposes of the Cluster One and Cluster Two trial, institutions are required to submit comprehensive information on eligible researchers and research items produced within the four-digit FoR codes within each cluster (see **Appendix B** for the full list of FoR codes for all clusters). For researchers or research items to be eligible for submission for the PCE or HCA clusters, only one of their assigned FoR codes needs to fall within these clusters.

Over the full ERA process in 2010 (i.e. clusters one to eight), institutions will be required to submit comprehensive information on eligible researchers and research items produced within specified reference periods.

Institutions must not be selective about the eligible researchers or research items that are submitted, although they may be selective about the research outputs that are identified for ERA peer review for those disciplines which are subject to peer review (according to the relevant *Discipline Matrix*, see **Appendix C**).

While these Guidelines are limited to the submission of material for Clusters One and Two, institutions must ensure that eligible researchers or research items have no more than three four-digit FoR codes across all eight clusters of disciplines, except for research income which may be apportioned across as many FoR codes as is relevant. The ARC will conduct an audit of all submission material following the completion of the eight cluster evaluations to identify the extent to which any relevant material was submitted for more than three four-digit FoR codes.

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<sup>1</sup> OECD (2002), *Frascati Manual Proposed Standard Practice for Surveys on Research and Experimental Development*, Paris.

<sup>2</sup> [http://www.innovation.gov.au/ScienceAndResearch/programs\\_funding/Pages/highereducationresearchdatacollection.aspx](http://www.innovation.gov.au/ScienceAndResearch/programs_funding/Pages/highereducationresearchdatacollection.aspx)

### **3.3. Unit of Evaluation and Reporting**

#### **3.3.1. Unit of Evaluation**

The primary 'Unit of Evaluation' for ERA is the research discipline for each institution.

All ERA data collection will be at the four-digit level, regardless of the volume of an institution's research activity at that level. For some areas of research, however, it is recognised that there may not be sufficient research volume to undertake a valid analysis at the four-digit FoR level for a given institution.

In these instances, RECs may conduct analyses at the two-digit level where two-digit volumes are sufficient for evaluation. In the case of low volumes at the two-digit level, RECs will not undertake an evaluation of that two-digit discipline for that institution.

For the purposes of national reporting for a discipline, evaluations will be undertaken of disciplines aggregated across institutions at the two-digit and four-digit levels regardless of the volume of research at those levels within individual institutions. This information will not be identifiable at an institution level.

Additional detail on the approach under ERA to low-volume research activity is at section 3.6.

#### **3.3.2. Units of Reporting**

The units of reporting for ERA are disciplines within an institution, classified by four-digit FoR code except in low-volume cases where the two-digit level will apply.

The ARC will provide national reporting, which refers to the national performance of a discipline without referring to specific institutions, classified at the two- and four-digit FoR level.

#### **3.3.3. Additional ERA Information Provided to Institutions**

Institutions may devise their own reporting codes that link components of their cluster submission to particular Institutional Units within the institution, such as academic organisation units, research centres, centres of excellence or departments. Institutions may submit up to two Institutional Units with each research output or other research item.

Institutions may also use up to two predefined research themes to link components of their cluster submission. The set of allowable research themes is provided as a Code Table as part of the *ERA-SEER Technology Pack* and is also at **Appendix D**.

The Institutional Unit or research theme information provided by the ARC will not include a separate evaluation outcome. Information aggregated in this way will not be provided to, or considered by, the RECs.

It is expected that, following the completion of all ERA cluster evaluations, it will be possible for institutions to compile information about, for example, an Institutional Unit in climate change research that has its research items submitted for evaluation under a variety of disciplines (e.g. environmental science and management, atmospheric sciences, law, soil sciences and demography) which span more than one cluster. In these cases, institutions are expected to be able to collate information derived from their submission material by Institutional Unit from all of the clusters.

The use of Institutional Units and research themes by institutions is optional. Institutions may choose to assign Institutional Units and research themes to one or more research outputs or other research items, or not at all.

### **3.4. Interdisciplinary and Multidisciplinary Research**

As ERA is a discipline-based research evaluation exercise, interdisciplinary and multidisciplinary research will be disaggregated based on its discipline components.

The ARC will have the capacity to identify profiles of interdisciplinary research based on the FoR codes submitted with research outputs having more than one FoR code. However, this will not form part of the evaluation process.

As outlined above, institutions will be able to internally recompile interdisciplinary and multidisciplinary research by submitting up to two Institutional Unit code(s) and/or up to two research themes for each research item.

### **3.5. Role of Expert and Peer Review**

#### **3.5.1. *Expert Review***

ERA will use RECs to undertake expert review of relevant disciplines. Each REC may include internationally-recognised members with expertise in research evaluation and broad discipline expertise.

For the PCE cluster, quantitative information will provide the primary source for the provision of indicators in the evaluation process. The ERA evaluation process will use those quantitative indicators which are relevant for the discipline to inform expert review undertaken by RECs.

For the HCA cluster, while quantitative information will provide the main source for the provision of indicators in the evaluation process, it is expected that there will be greater emphasis on peer review (as outlined in the next section).

ERA indicators will be presented to RECs as both profile and trend data as allowable by the type of indicator, and will be informed by discipline benchmarks where applicable.

#### **3.5.2. *Peer Review***

It is acknowledged that full peer review will have already occurred on a significant majority of research outputs submitted for ERA and is already a condition of a

research output being considered as one of the four major research output types collected for HERDC (i.e. book, book chapter, journal article, and refereed conference publication). Similarly, competitive grant income submitted for ERA will have been awarded on the basis of full peer review.

Any peer review process that is conducted in ERA is therefore designed to avoid unnecessary duplication of effort.

Peer review will not be used for the PCE cluster disciplines but will be used for all FoR codes within the HCA cluster as outlined in the *Discipline Matrix*.

For disciplines where peer review is used, institutions are asked to identify a set proportion of their outputs for peer review. Where possible, these research outputs must be made available to the ARC for evaluation via an institutionally-supported repository. This may not be possible where an output is not digitisable, or where the research output is commercially sensitive. For further information about managing such physical, technical or legal limitations see section 6.2.

The proportion of outputs required for ERA peer review may vary across disciplines where ERA peer review is undertaken. The standard proportion is 20 per cent of all outputs at the four-digit FoR level.

The 20 per cent of outputs must be selected for peer review for each FoR code subject to ERA peer review. The selection can be across any output type, for example all journal articles, or an equal spread across all output types, as long as that output type is indicated as acceptable for peer review in the *Discipline Matrix* for that FoR. It is irrelevant which eligible researchers the 20 percent relates to, for example all outputs may be attributable to one eligible researcher or outputs may be drawn from a representative sample across the whole discipline.

To support the peer review of creative works research outputs in particular, a statement identifying the research component of each research output must be available in an institutionally-supported repository. Eligible creative works research output types are listed at section 5.4.2. The required statement, known as the 'Research Statement for Peer Review of Creative Works', must be a maximum of 250 words and should address the following categories:

1. Research Background
  - Field
  - Context
  - Research Question
2. Research Contribution
  - Innovation
  - New Knowledge
3. Research Significance
  - Evidence of Excellence

Further information on the Research Statement for Peer Review of Creative Works is provided at **Appendix E** (see also section 5.4.2).

### **3.6. Low Volume—Non-assessable Units of Evaluation**

For disciplines where citation analysis is used, if the number of indexed journal articles for an institution's FoR is fewer than 50 in any two- or four-digit FoR, then no evaluation will be conducted for the FoR.

For disciplines where citation analysis is not used, no evaluation will be conducted for the FoR where it contains fewer than the equivalent of 20 submitted research outputs (with books given an effective weighting of 5:1 compared with other research outputs, over the six year period—see section 5.4.1.1).

In both of these instances, those units of evaluation in the institution will be automatically treated as 'not assessed due to low volume', and will be publicly reported as 'not assessed'. This means that data submitted relating to research outputs, research income and applied indicators for that four-digit FoR will be collected, but will not be evaluated under ERA.

All submission data will be included when all ERA data is aggregated for national reporting.

### **3.7. Reference Periods**

Submission data for ERA will be collected for the following reference periods:

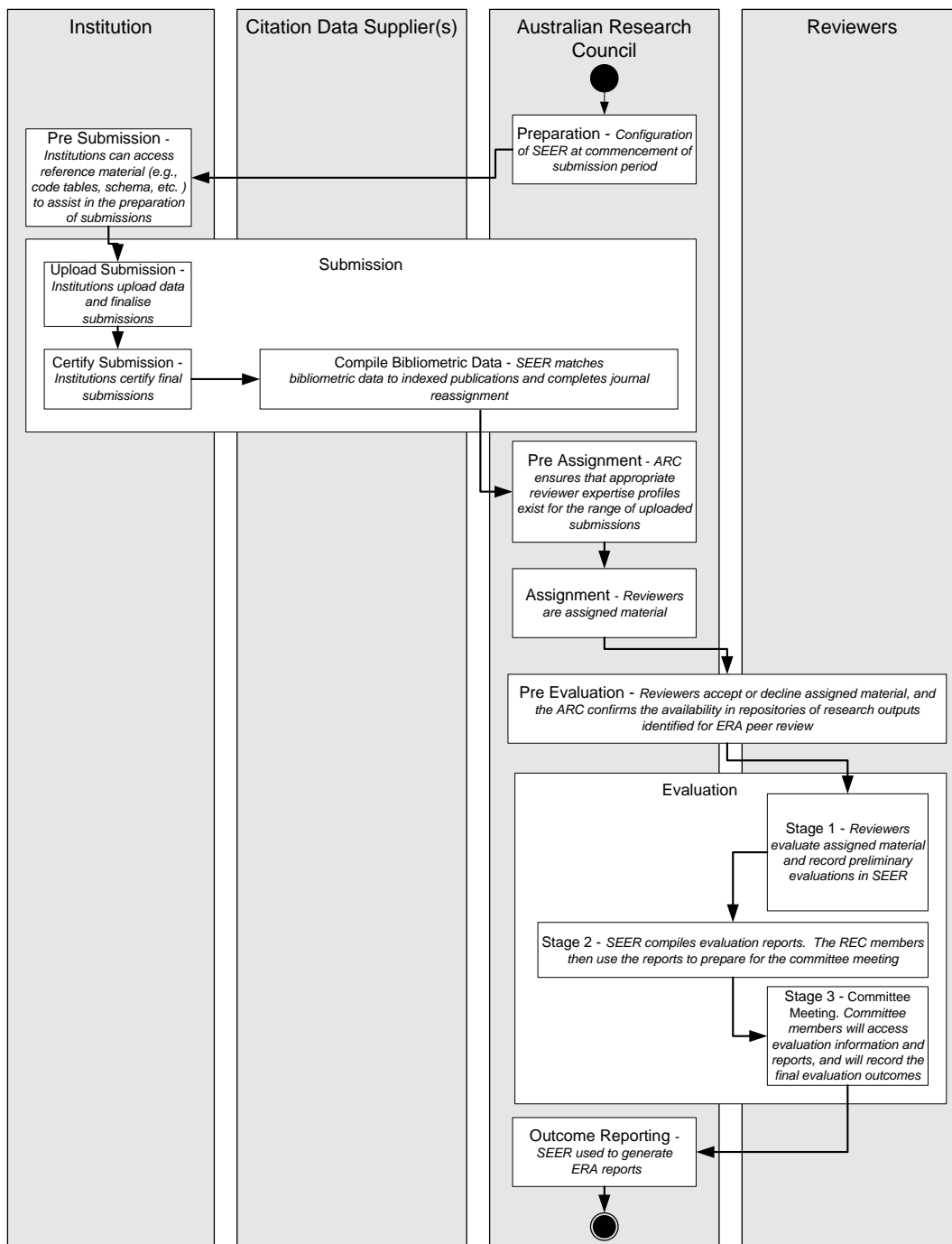
<b>Data Type</b>	<b>Reference Period</b>	<b>Years</b>
Research Outputs	1 January 2002–31 December 2007	6
Research Income	1 January 2005–31 December 2007	3
Applied Measures	1 January 2005–31 December 2007	3

Further details on the rules surrounding each of these reference periods are outlined in sections 5.4 to 5.6.

Data regarding eligible researchers is not collected for a reference period but based on a single staff census date, which is 31 March 2008 (see section 5.3.1).

## 4. ERA Process

The following diagram outlines the overall process of ERA and what will be expected of institutions at each point.



The four major phases of ERA are Submission, Assignment, Evaluation and Outcome Reporting. Each phase is described in more detail in the following sections. Further information on the evaluation stage will also be provided in the *ERA Evaluation Guidelines*.

#### **4.1. Submission**

When the ERA process commences for each of the PCE and HCA clusters, institutions will be given access to ERA's supporting IT system, SEER, to upload their cluster submission data. This data will be verified and validated by SEER to ensure that the data submitted aligns with these Guidelines as well as the *ERA-SEER Technology Pack*.

Once an institution's cluster submission data has been correctly submitted, the submission needs to be finalised and certified by the institution (see section 7).

In preparation for submission institutions are required to obtain for the PCE cluster a Scopus electronic identifier (EID) for each journal article published in a journal indexed by the citation data supplier, Elsevier, using the Scopus database. Elsevier will undertake the EID tagging for each institution. For EID tagging procedures refer to the ARC website [www.arc.gov.au/era/citation.htm](http://www.arc.gov.au/era/citation.htm).

The ARC will then append to the submission relevant bibliometric data. This will include journal reassignment where appropriate. For the PCE cluster, it will also involve the appending of citation information, including national and international benchmarks, obtained from the citation data supplier.

#### **4.2. Assignment**

Once all bibliometric data has been appended, the ARC will commence breaking down the submissions into units of evaluation. Material will then be assigned to expert reviewers and, where appropriate, peer reviewers.

#### **4.3. Evaluation**

RECs will undertake expert review of research items across all relevant indicators for each unit of evaluation, providing preliminary outcomes. As part of this process, where appropriate, ERA peer review will be undertaken of a sample of research outputs. Each ERA peer reviewer will then provide preliminary outcomes for assigned material.

REC members will then consider all the preliminary outcomes for their assigned material in preparation for the REC meeting, in addition to the indicators at the relevant two-digit level.

Each REC will then convene to consider the preliminary outcomes and agree final evaluation outcomes for each unit of evaluation. Each REC will also consider the aggregated indicators and provide a report to the ARC at the national level for each discipline.

#### **4.4. Outcome Reporting**

The ARC will publicly release outcomes of the evaluations for Clusters One and Two aggregated to the national level. The ARC will also make available to individual institutions analyses of their own disciplines.

While outcomes of the trial cluster evaluations of ERA will not be published at an institutional level, institutions should be aware that cluster evaluations to be undertaken in 2010 will involve publication of institutional results. The ARC may also publish additional information not limited to the results (e.g. input information from cluster submissions) with an institution's consent.

In cases where institutions provide data that is coded to reflect certain research themes or Institutional Units, the ARC will provide those institutions with data allowing institutions to undertake their own analysis of their research themes or Institutional Units (see section 3.3.3).

#### 4.5. ERA Timeline for PCE and HCA Clusters

Cluster One—Physical, Chemical and Earth Sciences:

Phase	Activity	Start Date	End Date	Responsible
Submission	Obtain Electronic Identifiers (EID)	2 March 2009	29 May 2009	Institutions and citation data supplier
	Submission Period (including electronic lodgement of Cluster Submission Certification Statements)	1 June 2009	3 July 2009	Institutions
	Lodgement of hard-copy Cluster Submission Certification Statements		10 July 2009	Institutions
	Compile Bibliometrics	6 July 2009	29 July 2009	ARC and citation data supplier
Assignment	Assignment of material to reviewers	30 July 2009	14 August 2009	ARC and REC Chair
Evaluation	Stage 1 - Preliminary evaluation by reviewers	17 August 2009	17 September 2009	Reviewers
	Stage 2 - REC views all preliminary evaluation outcomes and aggregated indicator profiles	18 September 2009	25 September 2009	ARC and REC
	Stage 3 - REC meets to finalise recommended evaluation outcomes	28 September 2009	2 October 2009	ARC and REC
Outcome Reporting	Distribution of institutional reports and publication of national outcomes		November 2009	ARC

Cluster Two—Humanities and Creative Arts:

<b>Phase</b>	<b>Activity</b>	<b>Start Date</b>	<b>End Date</b>	<b>Responsible</b>
Submission	Submission Period (including electronic lodgement of Cluster Submission Certification Statements)	3 August 2009	21 August 2009	Institutions
	Lodgement of hard-copy Cluster Submission Certification Statements		28 August 2009	Institutions
	Compile Bibliometrics	24 August 2009	4 September 2009	ARC
	Test Institutionally-supported Repositories	24 August 2009	4 September 2009	ARC
Assignment	Assignment of material to reviewers	7 September 2009	23 September 2009	ARC and REC Chair
Evaluation	Stage 1 - Preliminary evaluation by reviewers	24 September 2009	27 October 2009	Reviewers
	Stage 2 - REC views all preliminary evaluation outcomes and aggregated indicator profiles	28 October 2009	6 November 2009	ARC and REC
	Stage 3 - REC meets to finalise recommended evaluation outcomes	9 November 2009	13 November 2009	ARC and REC
Outcome Reporting	Distribution of institutional reports and publication of national outcomes		December 2009	ARC

Institutions are required to make the research outputs they have identified for ERA peer review available in institutionally supported repositories by the end of the submission period. This will enable the ARC to confirm accessibility prior to evaluation.

## **5. Submission Data**

### **5.1. Submission Components**

The main components of an ERA submission include:

- Background Statement(s);
- Eligible Researcher Data;
- Data on Research Outputs;
- Data on Research Income; and
- Data on Applied Measures.

### **5.2. Background Statement**

Institutions may provide a succinct written Background Statement which outlines relevant contextual information about the research performance and development of the disciplines under consideration. The Background Statement enables institutions to provide appropriate context for the indicators and to identify any factors the institution feels the REC should be made aware of to enable an informed evaluation.

Information provided in Background Statements should focus on activities undertaken during the six-year period from 1 January 2002 to 31 December 2007 rather than provide information about the future direction of the relevant disciplines. Any information on prospective activity will not be taken into account in the REC evaluations.

Background Statements should only be provided at the two-digit FoR level. For the PCE cluster, one Background Statement may be provided for each two-digit FoR code below:

- Physical Sciences (02);
- Chemical Sciences (03); and
- Earth Sciences (04).

For the HCA cluster, one Background Statement may be provided for each two-digit FoR code below:

- Built Environment and Design (12);
- Law and Legal Studies (18);
- Studies in Creative Arts and Writing (19);
- Language, Communication and Culture (20);
- History and Archaeology (21); and
- Philosophy and Religious Studies (22).

It is up to institutions to determine the extent to which they provide information in the Background Statement. However, institutions should confine the content of their statements to research-related information. Institutions may include information in the Background Statement under headings such as those outlined below:

- Overview—a brief outline of any background information relevant to the performance and development of the disciplines under consideration;
- Capacity—identification of any significant staff changes or resources over time;
- Environment—particularly support for Early Career Researchers and Higher Degree by Research (HDR) students, including how they have contributed to or assisted with the production of the research outputs submitted;
- Collaboration—across disciplines and/or with researchers at other institutions or agencies (both within Australia and overseas);
- Type—identification of whether the research undertaken by the disciplines would predominantly be considered either pure basic research, strategic basic research, applied research and/or experimental development; and
- Other—any other information the institution feels should be included to explain the data submitted and enable an informed evaluation.

The Background Statement is limited to 10 000 characters for each two-digit FoR. Refer to the *ERA–SEER Technical Specifications* for further detail on how the Background Statement should be provided.

### **5.3. Researcher Eligibility**

#### **5.3.1. Eligible Researcher Criteria**

The following researcher eligibility criteria are to be used as the basis of determining whether a research output can be submitted as part of an institution’s cluster submission.

For institutions to submit information on a research output, the output must have one or more eligible researcher(s) listed as an author or creator either within (e.g. in the byline) or on that output. In addition to the researcher eligibility criteria, submitted research outputs must meet the other eligibility criteria for research outputs (see section 5.4).

Please note that these researcher eligibility criteria are not relevant for research income, which for ERA is reported consistently with the HERDC approach (see section 5.5), nor for applied measures (see section 5.6).

Please also note that the FoR code(s) assigned to an eligible researcher do not determine the eligibility of their research outputs for a particular cluster (see section 5.3.2.4.)

To be eligible, researchers must meet **all** of criteria (a)–(c), as outlined below.

(a) *Staff Census Date*

Researchers must be affiliated (as defined at criterion (c) below) with the institution on the staff census date in order for their research outputs to be submitted.

For Cluster One and Cluster Two evaluations in 2009, the staff census date is 31 March 2008.

(b) *Member of Staff*

Researchers must meet the following definition of a member of staff, which reflects the definition in the Higher Education Staff Data Collection (HESDC):

A ‘member of staff’ is defined as a person who performs duties for the institution or one of its controlled entities, and is either:

- (b)(i) a person employed by the institution or one of its controlled entities on a full-time, fractional full-time or casual basis; or
- (b)(ii) an employee of another institution who is working at the institution or one of its controlled entities as either:
  - ‘visiting’ staff; *or*
  - ‘exchange’ staff; *or*
  - ‘seconded’; or
- (b)(iii) a person who works for the institution or one of its controlled entities on a regular basis but who receives no remuneration (e.g. members of religious denominations, unpaid visiting fellows).

Included in this definition of ‘member of staff’ are persons of the above types who are occupying temporary positions or who are conjoint appointees or clinical appointees or adjunct appointees. Also included are persons who are employees of the institution or one of its controlled entities and who are working in locations outside Australia.

Excluded from this definition of member of staff are persons whose services are being provided to the institution or one of its controlled entities on a contract basis as an employee of another institution or organisation or as a self-employed person. Such persons may provide teaching services, consultancy services, programming services or other types of services.

For ERA purposes, terms used in criterion (b) will be interpreted consistently with HESDC definitions of those terms and with their usage in the HESDC definition of member of staff.

(c) *Affiliation*

To be 'affiliated' with an institution for ERA purposes, the researcher must on the staff census date meet either criterion (c)(i) or criterion (c)(ii), as set out below.

The researcher must either:

- (c)(i) be an employee of the institution, in accordance with criterion (b)(i) above;

or:

- (c)(ii) meet criterion (b)(ii) or criterion (b)(iii) above; and also have a demonstrated publication association with the eligible institution within the research outputs reference period. A 'publication association' is demonstrated by an indication on or within a research output (e.g. in a byline) of the researcher's connection with an institution. Where a researcher meets criterion (c)(ii), only those of their research outputs which evidence a publication association may be submitted by an institution.

Higher Degree by Research (HDR) students are not eligible unless they are affiliated with the institution on the basis of criterion (c)(i).

Adjunct, honorary and emeritus researchers are eligible if they are affiliated with the institution on the basis of criterion (c)(ii).

Researchers are not eligible if they do not meet criteria (a), (b) and (c). Research outputs on which they are listed may therefore not be included unless another researcher listed on the research output meets the above researcher eligibility criteria.

### **5.3.2. *Eligible Researcher Data***

As part of their submissions, institutions must provide the following data for eligible researchers who have been assigned at least one FoR code within the relevant cluster:

- Name and Alternative Names;
- Staff Reference;
- FTE (if applicable);
- FoR (up to a maximum of three four-digit codes);
- Level (Level A-E or Other Level);
- Status (Employed or Other Status); and
- Function (Teaching and Research, Research Only, or Other Function).

Requirements for submission of the above data vary with the function of the eligible researcher. For eligible researchers with the function of 'Teaching and Research' or 'Research Only', eligible researcher data should be provided regardless of whether the researcher has produced any eligible research outputs. Data should be submitted for eligible researchers with the function of 'Other' only where the researcher has produced one or more eligible research outputs.

#### 5.3.2.1. *Name and Alternative Names*

The eligible researcher's current name should be provided as well as any alternative names under which they may have published during the reference period where their alternative name appears on a research output that is submitted for evaluation.

#### 5.3.2.2. *Staff Reference*

The Staff Reference is a unique identifier given by the institution for each eligible researcher which allows them to be linked within the institution's submission to the relevant research outputs they have produced.

This reference will only be used for the purposes of linking research outputs to researchers and should, for privacy reasons, have no relationship to any other number or ID used to identify researchers within institutions.

#### 5.3.2.3. *FTE Data*

For ERA purposes, FTE data should only be provided for those researchers who meet criterion (c)(i) of the researcher eligibility criteria (i.e. employees of the institution), *not* including casual employees.

FTE should be based on an employee's work contract, as defined in HESDC, as at the staff census date. Therefore, an employee who has a full-time work contract at the census date should be attributed an FTE of 1.00. An employee who has a fractional full-time work contract at the census date is expected to have an FTE of less than 1.00. The fraction represents the total number of agreed work hours for that researcher, where 1.00 represents normal work hours on a full-time contract. The FTE of a single researcher cannot exceed 1.00.

Casual employees and eligible researchers who meet criterion (c)(ii) within the researcher eligibility criteria should not be assigned an FTE. Instead of FTE, a headcount will be derived for these individuals and included in the eligible researcher profile used in ERA evaluations.

#### 5.3.2.4. *Assignment of FoR Codes for Eligible Researchers*

FoR assignment should describe the focus of the researcher's activities. An eligible researcher may be assigned up to a maximum of three FoR codes at the four-digit level. For researchers to be eligible for inclusion in the PCE or HCA clusters, only one assigned FoR needs to fall within the relevant cluster. Percentage apportionments for each FoR code should also be identified.

For researchers who are assigned FoR codes that are spread across multiple clusters, institutions must ensure that all eligible researcher data is reported consistently across each cluster. The total percentages applied for each eligible researcher across all eight clusters should equal 100 per cent.

While the ARC will accept submissions with eligible researcher data containing FoR codes in Clusters Three to Eight, this data will not be provided to RECs. The FoR

code(s) assigned to an eligible researcher do not determine the eligibility of their research outputs for a particular cluster. For example, if a researcher is coded to 0901 Aerospace Engineering and they have research outputs which appear in a journal only assigned to FoR 0201 Astronomical and Space Sciences, those outputs will be submitted to, and evaluated in, Cluster One (PCE). The researcher's data would not be submitted to Cluster One but to Cluster Three.

#### 5.3.2.5. *Level*

An eligible researcher's level is one of the following:

- based on their academic salary classification, in accordance with the following levels (as used in HESDC):
  - Level A,
  - Level B,
  - Level C,
  - Level D, or
  - Level E; or
- where an eligible researcher cannot be assigned to one of the above levels (e.g. general staff and academics occupying management positions), the researcher should be identified as having a level of 'Other'.

#### 5.3.2.6. *Status*

An eligible researcher's status describes the basis on which the researcher is considered affiliated with the institution. For ERA purposes, an eligible researcher's status can be described only as one of the following:

- Employed—affiliation on the basis of criterion (c)(i) of the researcher eligibility criteria (see section 5.3.1).
- Other—affiliation on the basis of criterion (c)(ii) of the researcher eligibility criteria (see section 5.3.1).

#### 5.3.2.7. *Function*

An eligible researcher's function describes the general type of work which they have formally agreed with the institution to undertake. For ERA purposes, an eligible researcher's function can be described only as Research Only, Teaching and Research, or Other, in accordance with the following definitions:

- Research Only—this function involves undertaking only research work or providing technical or professional research assistance, or the management and leadership of research staff and of staff who support research staff. There may be limited other work (e.g. participation in the development of postgraduate courses and supervision of postgraduate students). This definition is to be interpreted as having the same content as the HESDC definition of 'A

Research Only Function’.

- Teaching and Research—in addition to the activities undertaken in the Research Only function, this function also involves undertaking teaching and associated activities (including lecturing, group or individual tutoring, preparation of teaching materials, supervision of students, marking, and preparation for the foregoing activities), or the management and leadership of teaching staff and research staff and persons who support such staff. This definition is to be interpreted as having the same content as the HESDC definition of ‘A Teaching-and-Research Function’.
- Other Function—functions other than ‘Research Only’ or ‘Teaching and Research’. A researcher whose function is ‘Teaching Only’ who has produced a submitted research output should be described as ‘Other Function’. This definition is to be interpreted as having the same content as the combined HESDC definitions of ‘A Teaching Only Function’ and ‘An Other Function’.

#### **5.4. Research Outputs**

For institutions to submit information on a research output, the research output must meet all of the following criteria:

1. Meet the definition of research (as per section 3.1);
2. Have been published or brought into the public domain within the research outputs reference period (as per section 3.7);
3. Have one or more eligible researchers listed as an author of the research output (as per section 5.3.1); and
4. Be an eligible research output type (as per sections 5.4.1 and 5.4.2).

##### ***5.4.1. Eligible Research Output Types: PCE and HCA Clusters***

For the PCE and HCA clusters, the common eligible research output types are:

- Books—Authored Research;
- Book—Chapters in Research Book;
- Journal Articles—Refereed, Scholarly Journal; and
- Conference Publications—Full Paper Refereed.

Please see section 5.4.2 for HCA-specific eligible research output types which include the following creative works:

- Original Creative Works;
- Live Performance of Creative Works;
- Recorded/Rendered Creative Works; and
- Curated or Produced Substantial Public Exhibitions and Events.

#### 5.4.1.1. Books-Authored Research

Institutions are required to submit information on all eligible books for each year of the research outputs reference period.

Eligible books are those that meet all of the following criteria, in addition to the criteria outlined in section 5.4:

- (a) be a major work of scholarship;
- (b) be offered for sale in the form of:
  - o hard copies, bound,
  - o CD-ROMs, packaged, and/or
  - o e-books, on subscription or fee basis;
- (c) have an International Standard Book Number (ISBN);
- (d) be entirely written by a single author, or by joint authors who share responsibility for the whole book; and
- (e) have been published by a commercial publisher.

The following types of books are likely to meet the eligibility criteria for the 'Book' output type:

- critical scholarly texts;
- new interpretations of historical events; and
- new ideas or perspectives based on established research findings.

Many of the books published by professional bodies do not report original research findings but report the results of evaluations, or repackage existing information for the benefit of professionals or practitioners. It is important that institutions assess these outputs very carefully against the definition of research and only count those books for this output type which report research activities.

The following types of books are unlikely to meet the eligibility criteria for the 'Book' output type:

- textbooks;
- anthologies;
- edited books; and
- revisions or new editions.

Institutions are required to provide information on each book against the fields outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

#### 5.4.1.2. *Chapters in Research Book*

Institutions are required to submit information on all eligible book chapters for each year of the research outputs reference period.

Eligible book chapters are those that meet all of the following criteria, in addition to the criteria outlined in section 5.4:

- (a) be a contribution, consisting substantially of new material, to an edited compilation in which the material is subject to editorial scrutiny. A book chapter may be included if it has been published previously, provided it constitutes substantial new knowledge and constitutes original research;
- (b) be a chapter in a book that is offered for sale in the form of:
  - hard copies, bound,
  - CD-ROMs, packaged, and/or
  - e-books, on subscription or fee basis;
- (c) be a chapter in a book that has an International Standard Book Number (ISBN); and
- (d) be a chapter in a book that has been published by a commercial publisher.

A book chapter may be included if it has been published previously as long as it constitutes substantial new knowledge and constitutes original research.

The following types of book chapters are likely to meet the eligibility criteria for the 'Book Chapter' output type:

- scholarly introduction of chapter length to an edited volume, where the content of the introduction reports research and makes a substantial contribution to a defined area of knowledge;
- critical scholarly text of chapter length; and
- critical review of current research.

The following types of book chapters are unlikely to meet the eligibility criteria for the 'Book Chapter' output type:

- chapters in textbooks;
- entries in reference books;
- anthologies;
- revisions of chapters in edited books;
- forewords;
- brief introductions;
- brief editorials; and
- appendices.

Institutions are required to provide information on each book chapter against the fields outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

#### 5.4.1.3. *Journal Articles-Refereed, Scholarly Journal*

Institutions are required to submit information on all eligible journal articles for each year of the research outputs reference period.

Eligible journal articles are those that in addition to the criteria outlined in section 5.4, have been published in a scholarly journal listed in the ERA PCE and HCA Journal Lists (which are available at [www.arc.gov.au/era/indicators.htm](http://www.arc.gov.au/era/indicators.htm)). A journal's inclusion in these Lists means that the journal has been peer reviewed and has an International Standard Serial Number (ISSN).

An acceptable peer review process is one that involves an assessment or review, before publication, of the research output in its entirety by independent, qualified experts. Independent in this context means independent of the author.

Some journals may be regularly published as separate volumes with an ISBN rather than an ISSN. Provided that the output is clearly identified as an edition of a journal, and not a book, articles in such publications may be eligible if they meet all other eligibility criteria. If an ISSN does not appear in the journal, institutions should be able to provide:

- external evidence such as an ISSN number being cited in an extract from one of the Institute for Scientific Information indexes (<http://www.isinet.com/journals>) or Scopus (<http://www.scopus.com>);
- evidence that the journal is classified as 'refereed' in *Ulrich's International Periodicals Directory* (Volume 5 Refereed Serials) or via Ulrich's website <http://www.ulrichsweb.com>.

The following types of journal article are likely to meet the eligibility criteria for the 'Journal Article' output type:

- commentaries and communications of original research;
- research notes;
- letters to journals, provided that the letter satisfies the definition of research and the subsequent definitions for journal articles provided above;
- critical scholarly texts which appear in article form;
- articles reviewing multiple works or an entire field of research;
- invited papers in journals;
- articles in journals which are targeted to both scholars and professionals; and
- articles in a stand alone series.

The following types of journal article are unlikely to meet the eligibility criteria for the 'Journal Article' output type:

- letters to the editor;
- case studies;
- articles designed to inform practitioners on existing knowledge in a professional field;
- articles in newspapers and popular magazines;
- editorials;
- book reviews; and
- brief commentaries and communications of original research.

Institutions are required to provide information on each journal article against the fields outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

#### *Non-indexed and non-ranked Journal Articles*

There are two forms of the research output type 'journal article'—indexed and non-indexed.

An 'indexed journal article' will have a unique article identifier and will have been indexed by the citation data supplier. The number of indexed journal articles in an institution's cluster submission for a particular discipline will determine whether citation analysis is applied, either at the four-digit FoR level or (if relevant) the two-digit FoR level. For the PCE clusters only those articles appearing in indexed journals identified in the ERA PCE Journal List will inform the calculation of bibliometrics.

Institutions are required to obtain for the PCE cluster a Scopus electronic identifier (EID) for each journal article published in a journal indexed by Scopus. Scopus will undertake the EID tagging for each institution. For EID tagging procedures refer to the ARC website, [www.arc.gov.au/era/citation.htm](http://www.arc.gov.au/era/citation.htm).

Non-indexed journal articles will not contribute to the number of articles that determine whether sufficient volume exists for citation analysis, whether at the four-digit or two-digit FoR level (see section 3.6).

Articles not listed in the ERA PCE Journal List will not feature in bibliometric calculations.

#### *5.4.1.4. Conference Publications-Full Paper Refereed*

Institutions are required to submit information on all eligible peer-reviewed conference publications for each year of the research outputs reference period.

Eligible conference publications are those that meet all of the following criteria, in addition to the criteria outlined in section 5.4:

- (a) be published in full. The publications may appear in a number of different formats, e.g. a volume of proceedings, a special edition of a journal, a normal issue of a journal, a book or a monograph, CD- or DVD-ROM or conference or organisational website;
- (b) be peer reviewed. For ERA purposes, an acceptable peer review process is one that involves an assessment or review, before publication, of the research output in its entirety by independent, qualified experts. Independent in this context means independent of the author. A statement from an author that a research output was peer reviewed is not sufficient evidence; and
- (c) be presented at conferences, workshops or seminars of national or international significance.

The types of conference publications that are unlikely to meet the criteria include papers that appear only in a volume handed out to conference participants.

Institutions are required to provide information on each conference publication against the fields outlined in the ERA XML schema provided as part of the *ERA-SEER Technology Pack*.

#### **5.4.2. HCA-Specific Eligible Research Output Types: Creative Works**

For the HCA cluster, eligible research output types include the following creative works (in addition to the research output types outlined in section 5.4.1):

- Original Creative Works;
- Live Performance of Creative Works;
- Recorded/Rendered Creative Works; and
- Curated or Produced Substantial Public Exhibitions and Events.

To be eligible under this section, research outputs must have been made publicly available during the research outputs reference period. For those research outputs which are selected for ERA peer review (i.e. those outputs that are part of the sample), a statement identifying the research component of the output must be available in the institutionally-supported repository. Further details on the requirements for this Research Statement for Peer Review of Creative Works for the HCA Cluster are specified in section 3.5.2 and at **Appendix E**.

##### *5.4.2.1. Original Creative Works*

Research outputs are eligible as Original Creative Works only where the relevant eligible researcher is the creator of the creative work rather than, for example, the curator of an exhibition of creative works produced by others.

If an Original Creative Work is nominated for peer review, it may require additional documentation as part of the Research Statement for Peer Review of Creative Works for the HCA Cluster.

The exhibition of an Original Creative Work can be used to demonstrate that the work has been made publicly available but each instance of such an output can only be claimed once. To accommodate installation-based practices, exhibited creative works can be submitted as either:

- single items exhibited as individual creative works (equal to one research output); or,
- a group exhibited as a cohesive/thematic collection of a single creator's work (also equal to one research output).

Multiple exhibitions/performances of an Original Creative Work cannot be counted as multiple research outputs where the repeated showings/performances do not introduce a new research component to the work. For example, the works displayed in a touring exhibition can only be counted once. Multiple exhibitions/performances of an original creative work may be counted where each subsequent exhibition/performance introduces a new research component to the work that builds upon the initial research component of the Original Creative Work.

Sub-categories of Original Creative Works are as follows:

<b>Research Output</b>	<b>Description</b>
Visual art work	A research output such as a fine arts and crafts work, diagram, map, photographic image, sculpture or installation.
Design/Architectural work	Realised, constructed, fabricated or unrealised building and design projects. ‘Unrealised’ projects must have an output that provides evidence of the research involved.
Textual work	Written creative work that is not eligible to be submitted as a book or journal article such as a novel or art review. Exhibition catalogues and catalogue entries should be submitted in this sub-category.
Other	Other original creative works that do not fit the other output types.

#### 5.4.2.2. *Live Performance of Creative Works*

For Live Performance of Creative Works research outputs, the actual public performance is what is counted. If these research outputs are nominated for peer review then some form of supporting documentation, in addition to the Research Statement for Peer Review of Creative Works for the HCA Cluster, should be made available to facilitate the peer review process. Documentation may be in the form of a recording of the performance, reviews, performance programs or other material that the institution considers useful to the peer review process.

Sub-categories of the Live Performance of Creative Works research type are as follows:

<b>Research Output</b>	<b>Description</b>
Music	New work or a demonstrably new or innovative interpretation or production of an existing work.
Play	New work or a demonstrably new or innovative interpretation or production of an existing work.
Dance	New work or a demonstrably new or innovative interpretation or production of an existing work.
Other	Other new work or demonstrably new or innovative interpretations or productions of an existing work.

#### 5.4.2.3. *Recorded/Rendered Creative Works*

For recorded/rendered creative works the research component is contained within the recording/rendering. Simple documentations of live performances of creative works are not eligible to be submitted as this research output type, but may be submitted as supporting material under Live Performance of Creative Works (see section 5.4.2.2 above).

Sub-categories of Recorded/Rendered Creative Works are as follows:

<b>Research Output</b>	<b>Description</b>
Film/Video	Film or video.
Performance	Performances created specifically for a recorded medium.
Inter-arts	Recorded/rendered creative works, often experimental, produced in association with other researchers in other disciplinary fields.
Digital creative work	Creative 3D models, including digital outputs of architectural and design projects, computer programs, games and visual artworks.
Website/Web exhibition	These are eligible as recorded/rendered creative works if the eligible researcher is the creator of the creative works featured in the website. Curated web-based exhibitions of other people's creative works must be submitted as Curated or Produced Substantial Public Exhibitions and Events.
Other	Other recorded/rendered creative works not listed above.

#### 5.4.2.4. *Curated or Produced Substantial Public Exhibitions and Events*

The Curated or Produced Substantial Public Exhibitions and Events research output type is specifically aimed at research outputs produced by curators rather than artists (although exhibition catalogues written by curators should be submitted as Original Creative Works, in the 'Textual work' sub-category—see section 5.4.2.1 above).

Where a curator is an eligible researcher, the curator may claim exhibitions, festivals and other events as research outputs. Artists may claim exhibitions of their original creative works under the Original Creative Works research output type (section 5.4.2.1 above), where the exhibition of the creative works is used as evidence that those works have been made publicly available.

Multiple exhibitions/events cannot be counted as multiple research outputs where the repeated exhibitions/events do not introduce a new research component to the work. For example, a touring exhibition can only be counted once. Multiple exhibitions/events may be counted where each subsequent exhibition/event introduces a new research component to the work that builds upon the initial research component of the original exhibition/event.

Recurring exhibitions and events may be submitted. For example, the Biennale of Sydney is a recurring event with each occurrence being unique rather than a repeat of the previous occurrence.

Sub-categories of Curated or Produced Substantial Public Exhibitions and Events are as follows:

<b>Research Output</b>	<b>Description</b>
Web-based exhibition	The curation and/or production of an internet website presenting a collection of creative works where the internet is the medium of the exhibited works.
Exhibition/Event	The curation and/or production of a collection of creative works exhibited together for the first time, in that particular arrangement, in a recognised gallery, museum, or event. This should be accompanied by a well researched publication that includes the time and location of the exhibition.
Festival	The curation of a festival bringing together innovative work or existing works in an innovative format or through a theme that provides new perspectives and/or experiences.
Other	Curated or substantial public exhibitions and events that do not fit into the above output types.

#### **5.4.3. Assignment of FoR Codes for Eligible Research Outputs**

Research outputs may be assigned to up to three four-digit FoR codes. For research outputs to be eligible for submission for the PCE or HCA clusters, only one assigned FoR needs to fall within these clusters.

Institutions are not required to identify the FoR code(s) for submitted journal articles published in journals included in the ERA PCE and HCA Journal Lists as the ARC will automatically assign the appropriate FoR code(s).

Institutions are not required to provide percentage apportionments for each FoR code assigned to research outputs.

The FoR code(s) assigned to an eligible researcher do not determine the eligibility of their research outputs for a particular cluster. For example, if a researcher is coded to 0901 Aerospace Engineering and they have research outputs which appear in a journal only assigned to FoR 0201 Astronomical and Space Sciences, those outputs will be submitted to, and evaluated in, Cluster One (PCE). The researcher's data would not be submitted to Cluster One but to Cluster Three.

#### **5.4.4. Research Outputs Reference Period**

For a research output to be eligible for submission, the output must have been published within the research outputs reference period. For the purposes of ERA, 'published' is broadly defined to mean that the research output must have been published (in the case of traditional research outputs such as research publications) or brought into the public domain.

The research outputs reference period is defined as the six-year period from 1 January 2002 to 31 December 2007. Earlier or later outputs are not eligible to be included.

#### *5.4.4.1. The Date of Publication Rule*

The date of publication of a research output must appear on the output and/or in the information to be provided for each research output. Where the actual date of publication differs from the listed date of publication, institutions should be able to explain this variance on request by the ARC. This explanation is required for all submitted research outputs.

The date of publication based on the DOI for an electronic publication may be used. Institutions should note that copyright dates or 'date last updated' which appear on web pages do not typically refer to a publication included on that page. Except where the date of publication is referred to by the DOI, web page dates should not be used as evidence of the date of publication.

#### *5.4.4.2. Date of Publication Definition for Non-Traditional or Sensitive Research Outputs*

For non-traditional research outputs, it is necessary that this date, however derived, falls within the research outputs reference period.

In the case of sensitive research outputs which may not be made public but which are nevertheless published (see section 6.1), the overarching definition of date of publication remains.

#### *5.4.4.3. Revisions*

There may be some cases in which a research output was revised following the publication of the output (e.g. snapshots of research outputs on a website). A revised output is only acceptable if the institution can demonstrate that it meets all the eligibility criteria. A revision of a research output may not be included more than once.

#### 5.4.4.4. *Reprints and Multiple Editions*

Where there has been a reprint or new edition of a research output within the reference period and both versions are included, institutions are required to be able to state, on request by the ARC, how the reprint or new edition has contributed substantially new research.

Where there have been multiple prints or editions within the reference period, none of which constitute substantially more new research than the other, the institution may decide which edition or print is to be submitted. Institutions are responsible for ensuring that any revisions or reprints that occurred outside the reference period are not included as a research output.

#### 5.4.4.5. *Exceptions*

Where a research output was originally produced in a medium where no date of publication is stated within (e.g. in the byline) or on the output, a letter from an editor, conference organiser or publisher may be acceptable evidence to identify the date of publication. A letter cannot override a date of publication stated within the output. Institutions are required to be able to provide the letter on request by the ARC.

Provided no other date exists within or on the research output, the year an output was 'presented' may be acceptable evidence of the date of publication (e.g. to a conference in the case of a conference paper).

#### 5.4.4.6. *Eligible Versions of Research Outputs for Review*

Where the *Discipline Matrix* identifies that peer review will be used for a discipline, the ARC must have access to the 'final version' of each research output that is identified for review.

Where a research output is marked 'for review', the institution must where possible make the research output available in an institutionally-supported repository. For the purposes of ERA, the following versions of a research output are eligible to be identified as 'for review':

- post-print (i.e. the final draft post-refereeing); or
- publisher-generated version for publication.

Post-prints are only eligible provided that they are the version that has been revised following the refereeing/peer review process and provided that the research output meets all the other criteria outlined in section 5.4.

Pre-prints of research outputs are not eligible to be identified as 'for review'. Unpublished/manuscript forms of a publication are not eligible for submission as they do not meet the research output criteria outlined in section 5.4.<sup>3</sup>

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<sup>3</sup> For further guidance on versions of research outputs, see information at <http://www.sherpa.ac.uk/romeoinfo.html#colours>.

Non-traditional research output types that are identified as 'for review' are eligible provided that the institution can demonstrate that it is the definitive version that was brought into the public domain within the reference period.

## **5.5. Research Income**

ERA uses research income to produce both measures of research activity and quality. Institutions are required to submit information on all research income falling within eligible income category types.

In order for research income to be submitted, it must:

1. be an eligible income category type; and
2. meet the research income reference period requirements.

### **5.5.1. Eligible Income Category Types**

Research income data will be collected in alignment with the following categories collected as part of HERDC:

- Australian Competitive Grants (Category 1);
- Other Public Sector Research Income (Category 2);
- Industry and Other Research Income (Category 3):
  - Australian;
  - International A (Competitive, Peer-Reviewed Research Grant Income);
  - International B (Other Income); and
- Cooperative Research Centre Research Income (Category 4).

From 2007 for HERDC, institutions are required to disaggregate Industry and Other research income into three sub categories: Australian; International Competitive, Peer-Reviewed Income; and Other International Income. For ERA, institutions must submit information on research income using these three subcategories for each year of the Research Income Reference Period as specified in section 5.5.2.

Research commercialisation income is separate from the above mentioned research income types and is addressed in section 5.6.2.3.

All research income must be reported at the four-digit FoR level. Research income assigned to an FoR must be assigned to a relevant year based on the HERDC method.

Information on the format in which this information must be submitted for ERA is outlined in the *ERA–SEER Technical Specifications*.

### **5.5.2. Research Income Reference Period**

For an institution to include research income, it must have been reported as part of HERDC for the relevant year of the research income reference period. The research income reference period for ERA is defined as the three-year period from 1 January 2005 to 31 December 2007.

Institutions are required to ensure that reporting of grant information from research income for one year does not occur for another year of the reference period.

It is recognised that the year a grant is awarded may differ from the year(s) income was received. Institutions may therefore include a grant where some or all of the income was received in the reference period.

### **5.5.3. Research Income Apportionment**

Research income may be apportioned across as many four-digit FoR codes as is relevant. Institutions may determine the percentage apportionment across the chosen FoR codes provided that the apportionment does not exceed the total amount received either within the institution or across more than one institution, and that the total apportionment across clusters does not exceed 100 per cent.

#### **5.5.3.1. Australian Competitive Grants**

Institutions are required to submit only grant information on Australian Competitive Grants where it was submitted as part of HERDC for the relevant year of the research income reference period.

Institutions must submit each research grant received in this category by four-digit FoR code for each year of the research income reference period. The four-digit codes may change across years for an individual grant. For research income received in this category to be eligible for submission for the PCE or HCA clusters, only one assigned FoR code needs to fall within these clusters.

Institutions are required to provide information on each eligible grant as outlined in the ERA XML schema provided as part of the *ERA–SEER Technology Pack*. Australian Competitive Grants must be reported on an individual grant basis so that a total number of grants received can be derived from the submission. This only applies for Australian Competitive Grants. The list of eligible programs for the reference period is provided as a Code Table as part of the *ERA–SEER Technology Pack*.

#### **5.5.3.2. Other Public Sector Research Income**

Institutions must submit only Other Public Sector Research Income as part of ERA where it was submitted as part of HERDC for the relevant year.

Institutions must submit research income received in this category by four-digit FoR code for each year of the research income reference period.

Institutions are required to provide information on Other Public Sector Research Income as outlined in the ERA XML schema provided as part of the *ERA–SEER Technology Pack*.

#### 5.5.3.3. *Industry and Other Research Income*

Institutions must submit only Industry and Other Research Income as part of ERA where it was submitted as part of HERDC for the relevant year.

Institutions are required to disaggregate all research income data in this category according to the following subcategories:

- Australian (Category 3i);
- International A (Competitive, Peer-reviewed Research Grant Income) (Category 3ii);
- International B (Other Income) (Category 3iii).

Institutions are required to submit research income received under this category by four-digit FoR code for each year of the research income reference period.

Institutions are required to provide information on Industry and Other Research Income as outlined in the ERA XML schema provided as part of the *ERA–SEER Technology Pack*.

#### 5.5.3.4. *Cooperative Research Centre (CRC) Research Income*

Institutions are required to only submit CRC research income as part of ERA where it was submitted as part of HERDC for the relevant year.

Institutions are required to submit research income received in this category by four-digit FoR code for each year of the research income reference period.

Institutions are required to provide information on CRC Research Income as outlined in the ERA XML schema provided as part of the *ERA–SEER Technology Pack*.

## 5.6. **Applied Measures**

Institutions may submit information against a range of applied measures. For the PCE and HCA clusters these measures comprise:

- Patents;
- Registered designs; and
- Research commercialisation income.

Further details on each of these applied measures are provided below.

### **5.6.1. Applied Measures Apportionment**

Patents and registered designs may be assigned to up to three four-digit FoR codes. However research commercialisation income may be apportioned across as many four-digit FoR codes as is relevant and must not be double counted. Institutions may determine the percentage apportionment across the chosen FoR codes provided that the apportionment does not exceed the total amount received either within the institution or across more than one institution. For applied measures to be eligible for submission for the PCE or HCA clusters, only one assigned FoR needs to fall within these clusters.

### **5.6.2. Eligible Applied Measures**

#### **5.6.2.1. Patents**

As defined in relevant legislation, a patent is a right granted for any device, substance, method or process which is new, inventive and useful. It is legally enforceable and gives the owner the exclusive right to commercially exploit the invention for the life of the patent.

ERA applied measures include Australian standard patents and their international equivalents, but not Australian innovation patents.

Eligible patents are those patents issued in the countries or of the types which appear in the Code Table provided as part of the *ERA–SEER Technical Specifications*.

These countries or types are:

- Australia (standard patents only);
- United States;
- Europe—European Patent Office (EPO) issued only;
- Japan;
- Other International; and
- Triadic patents—i.e. a series of corresponding patents filed at the EPO, the United States Patent and Trademark Office (USPTO) and the Japan Patent Office (JPO), for the same invention by the same applicant or inventor.

Only patents which became enforceable within the applied measures reference period (1 January 2005–31 December 2007) are eligible. For Australian patents, this means that patents must have been sealed within that period.

Only patents that have been granted in the applied measures reference period to the institution, institution-owned subsidiaries, and/or spin-off companies that are associated with the institution are eligible.

Institutions may submit patents where the research behind the patent is clearly identifiable as meeting the definition of research. Institutions may be required to justify this inclusion on request by the ARC.

Income generated from patents is to be included in ERA under research commercialisation income (see section 5.6.2.3), provided that the additional requirements pertaining to this measure are met.

#### *5.6.2.2. Registered designs*

As defined in relevant legislation, a registered design is a right granted for new and distinctive designs. Once a registered design has been examined and certified, the owner has an exclusive right to use, license and/or sell the registered design, and to enforce it against an infringer. In this context design refers to features which, when applied to a product, render it unique in appearance. This may include shape, pattern or ornamentation.

Institutions may submit registered designs where the research behind the registered design is clearly identifiable as meeting the definition of research. Institutions may be required to justify this inclusion on request by the ARC.

Only those registered designs which are certified within the applied measures reference period (1 January 2005 – 31 December 2007) are eligible as ERA applied measures.

Income generated from registered designs, either via licensing or otherwise, is included in ERA under research commercialisation income (see section 5.6.2.3), provided that the additional requirements pertaining to this measure are met.

#### *5.6.2.3. Research commercialisation income*

Institutions may provide information on research commercialisation income, which includes income resulting from licences, options and assignments (LOAs), including running royalties, cashed-in equity and other types of income (see below for further detail). This includes only LOAs negotiated on full commercial terms, granting access to institutional intellectual property (patented or otherwise) in return for royalties or licence fees.

Research commercialisation income earned by institution-owned subsidiaries and spin-off companies is eligible for inclusion in ERA provided that the institution can account for this income in its audited financial statements.

Research commercialisation income does not include:

- commercial income from other sources such as research contracts and consultancies (which is included under section 5.5.3.3 Industry and Other Research Income), commissioned works, student fees, the renting of space at universities or any other source; or
- commercial income from CRCs (which is included under section 5.5.3.4 CRC Research Income)

LOA income does not include:

- Material Transfer Agreements (MTAs);
- research funding;
- patent expense reimbursement;
- a valuation of equity not cashed-in;
- trademark licensing royalties from university insignia;
- income received in support of the cost to make and transfer materials under MTAs; or
- LOAs generated as a result of work completed by CRCs.

## **6. Other Matters**

### **6.1. Sensitivity—Confidential or Sensitive Research Outputs**

Institutions are responsible for indicating the conditions in which it is both appropriate and inappropriate for a research output to be viewed for those outputs identified for ERA peer review. Where applicable, the sensitivity of the research output must be specifically identified as outlined in the ERA XML schema provided as part of the *ERA–SEER Technology Pack*.

The ARC will treat research outputs based on the type of sensitivity assigned to the output by the institution. Any disclosure of the output that exceeds the terms allowed by the institution will be treated as unauthorised.

Sensitive research outputs may include, but are not limited to:

- commercially sensitive research outputs; or
- research outputs that are culturally sensitive.

Institutions are responsible for identifying the nature of the sensitivity, the damage that may flow if sensitivity is not maintained or respected, and the conditions under which the research outputs may be reviewed. This requirement applies for all outputs, not just those identified for peer review. The ARC will regard such research outputs as having been submitted and received in confidence, and will maintain the sensitivity of the output unless otherwise required by law.

Institutions are responsible for ensuring that any necessary permissions have been obtained from the organisation which commissioned the research output or from the researcher who conducted the research, as determined by the intellectual property arrangements in any commissioning contract or similar.

Institutions are responsible for ensuring that the information included in the cluster submission identifies the conditions in which it is inappropriate for RECs or peer reviewers to view a sensitive research output submitted by the institution as outlined in the ERA XML schema provided as part of the *ERA–SEER Technology Pack*.

#### **6.1.1. *Commercially sensitive research outputs***

A research output that is inherently confidential in nature may be included as part of a cluster submission provided the necessary permissions have been obtained.

#### **6.1.2. *Culturally sensitive research outputs***

A research output that is culturally sensitive may be included as part of a cluster submission provided the necessary permissions have been obtained.

### **6.1.3. Australian Government security classified research outputs**

A research output that includes information classified in line with the *Australian Protective Security Manual 2005* as either ‘in-Confidence’ or greater, or ‘Restricted’ or greater must not be included in a cluster submission.

## **6.2. Managing Physical, Technical or Legal Limitations**

For research outputs identified by institutions for ERA peer review, a statement of reasons must be provided in the cluster submission where the institution maintains that such a research output cannot be stored due to physical, technical or legal limitations of the institutionally-supported repository. For example, it may be that a research output cannot be physically stored in the repository, such as a book that is not available in digital form; or the output file size may exceed the limit specified in the *ERA–SEER Technical Specifications*.

Institutions must identify the conditions under which such research outputs can be made available for ERA peer review. The ARC will handle requests from RECs for access to research outputs for the purposes of ERA peer review by RECs or peer reviewers. Following are some means by which a research output may be provided by institutions to the ARC in such circumstances:

- from an institution’s library which has an agreement with another library (e.g. using inter-library loans, Document Delivery or equivalent processes, or the National Library of Australia);
- from a personal loan from the author; or
- by making the output available ‘on site’ to RECs or peer reviewers.

## **6.3. Privacy Complaints and Advice**

The ARC is bound, in administering ERA, by the provisions of the *Privacy Act 1988* (‘Privacy Act’). Section 14 of the Privacy Act contains the Information Privacy Principles (IPPs) which prescribe the rules for handling personal information. In brief, the IPPs require that:

- personal information is collected in accordance with IPPs 1–3;
- suitable storage arrangements, including appropriate filing procedures, are in place;
- suitable security arrangements exist for all records containing personal information;
- access to a person’s own personal information held by an organisation is made available to the person at no charge;
- records are accurate, up-to-date, complete and not misleading;
- where a record is found to be inaccurate, the correction is made;

- where a person requests that a record be amended because it is inaccurate, but the record is found to be accurate, the details of the request for amendment are noted on the record; and
- the personal information is only to be used for the purposes for which it was collected, or for other purposes where expressly allowed by IPP 10.

Complaints about breaches of privacy should be referred to:

The Privacy Contact Officer  
 Research Excellence Branch  
 Australian Research Council  
 GPO Box 2702  
 Canberra ACT 2601

Privacy complaints may also be emailed to [era@arc.gov.au](mailto:era@arc.gov.au).

Privacy complaints can be made directly to the Federal Privacy Commissioner. However the Commissioner prefers that the ARC be given an opportunity to deal with the complaint in the first instance.

#### **6.4. Freedom of Information**

All documents sent to the ARC with regard to ERA are subject to the *Freedom of Information Act 1982* (FOI Act). Unless a document falls under an exemption provision, it will be made available to the general public if requested under the FOI Act. Decisions regarding requests for access will be made by the ARC's authorised FOI decision-maker in accordance with the requirements of the FOI Act.

#### **6.5. Intellectual Property in ERA-Related Material**

The ARC does not assert or require ownership of any intellectual property that forms part of the material submitted by an institution as part of a cluster submission for ERA. However, where the intellectual property is owned by the institution or the institution has a right to sub-license, institutions are required to give an express licence to the ARC for the use of material submitted as part of ERA for the purposes of ERA. This requirement applies to the cluster submission itself rather than to research outputs (on which see section 6.7).

The Commonwealth of Australia, as represented by the ARC, retains the intellectual property in all materials created by the ARC for the purposes of ERA, or under the direction or control of the ARC, except where otherwise agreed.

#### **6.6. Incomplete, False or Misleading Information**

Providing false or misleading information is a serious offence.

If the ARC considers that any information provided by an institution as part of their cluster submission is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide not to provide this information to the RECs or reviewers for consideration. If the ARC withholds an

institution's information from a REC it will advise the institution of this action and provide a statement of reasons.

If it appears that any institution or person knowingly has provided false or misleading information, or knowingly has omitted any matter or thing without which the information is misleading, or it appears that any other criminal offence may have been committed, the ARC may investigate the matter with a view to prosecution under Commonwealth criminal law. The Commonwealth is committed to protecting its revenue, expenditure and property from any attempt, by members of the public, contractors, sub-contractors, agents, intermediaries or its own employees, to gain financial or other benefits by deceit.

### **6.7. Managing Copyright in Research Outputs Identified for ERA Peer Review and Related Material**

Within this section, the term 'relevant material' means research outputs identified by institutions for ERA peer review and related material (such as reviews of live performances).

The ARC is concerned to ensure that any requirements of the *Copyright Act 1968* (Cth) ('the Copyright Act') are complied with in the implementation of ERA.

For disciplines subject to ERA peer review, ERA requires institutions to ensure that the ARC and RECs have appropriate access to relevant material in order to facilitate the ERA peer review process. Institutions must facilitate access by:

- (a) storing research outputs, whether in institutionally-supported repositories or through any form of linking or copying;
- (b) subsequently enabling RECs or ERA peer reviewers to view, reproduce (e.g. copy or scan) and communicate research outputs through SEER and through institutionally-supported repositories for ERA evaluation purposes; and
- (c) facilitating any copyright uses of the relevant research outputs required for ERA purposes in accordance with these Guidelines.

Where institutions do not own the copyright in relevant material, they will be required under ERA to place such relevant material in 'dark repositories' (i.e. repositories accessible only by ARC staff and ERA reviewers). Institutions must take appropriate measures to ensure that any other access to such relevant material is not permitted.

The act of placing research outputs in a 'dark repository' is an example of doing acts (i.e. 'reproduction' and 'communication') comprised in the copyright of relevant material. Other acts that institutions may foreseeably do in implementing ERA are also examples of acts comprised in the copyright (e.g. copying or scanning copies of a research output contained in a journal 'reproduction').

While the ARC expects that the ERA process will have only minimal impact on the rights of copyright owners, institutions are required to ensure that they comply with relevant provisions of the Copyright Act.

An outline of how copyright issues are expected to be addressed under ERA is outlined below. As noted in section 6.7.4, further information will be contained in supplementary ARC advice to institutions.

#### **6.7.1. *Where copyright is owned by institutions***

Where an institution owns the copyright in relevant material, the institution must provide the ARC and RECS with access to such relevant material, as described in section 6.7 above.

For journal articles, book chapters and conference publications in cases where the research output is available in electronic form, this should take the form of storage in an institutionally-supported repository on an ‘open access’ basis.

#### **6.7.2. *Where copyright is owned by eligible researchers***

Where one or more eligible researchers own the copyright in relevant material, then the researcher(s) should be encouraged to give permission for the relevant material to be used for the purposes of ERA so as to allow access to those outputs as described in section 6.7 above. The permission should allow journal articles, book chapters and conference publications, available in electronic form, to be stored in a repository on an ‘open access’ basis.

Where such eligible researchers do not expressly consent to access to relevant material being provided for ERA purposes in the manner described in section 6.7 above, copyright will be managed in accordance with section 6.7.3 below.

In cases where depositing research outputs in an ‘open access’ repository was a condition of any funding which enabled the research to be undertaken, eligible researchers’ compliance with that funding condition should mean that full public access to the research output(s) exists irrespective of the ERA submission process.

#### **6.7.3. *Where copyright is owned by third parties***

Where copyright in relevant material is not owned by institutions—including where copyright is owned by eligible researchers whose express consent has not been obtained for research outputs to be reproduced and communicated for ERA purposes—access to research outputs should still be provided in accordance with section 6.7 above. However, to prevent copyright infringement an authorisation under section 183 of the Copyright Act will need to be granted to institutions by the ARC (representing the Commonwealth).

Under section 183(1) of the Copyright Act, copyright will not be infringed by a person authorised in writing by the Commonwealth to do acts comprised in the copyright – provided that the acts are done for the services of the Commonwealth. However, in such circumstances the Commonwealth must both notify the copyright owner and be prepared to agree terms with the copyright owner for the doing of such acts.

Acting under section 183, the ARC (representing the Commonwealth) proposes to authorise each institution participating in ERA to do acts in the copyright of relevant material owned by third parties for the purposes of ERA. This authorisation will mean institutions participating in ERA may make all uses of relevant material owned by third parties that are necessary or convenient to enable institutions' participation in ERA.

The section 183 authorisation will be strictly limited to each institution's participation in ERA and will not extend to any uses of third party copyright in relevant material which are done for any purpose unrelated to the institution's participation in ERA.

The terms of the section 183 authorisation will be provided to institutions separately prior to the commencement of the HCA submission process. The terms of the authorisation (including payment to third party copyright owners of all uses which fall within the scope of the authorisation) will be managed by the ARC.

#### ***6.7.4. Further copyright advice to be issued***

The ARC will issue further advice regarding the copyright issues raised by ERA. This further advice may appear on the ARC website ([www.arc.gov.au/era/default.htm](http://www.arc.gov.au/era/default.htm)) and/or in the final version of these Guidelines and other future ERA documentation.

Note that the Vice-Chancellor's Cluster Submission Certification Statement (see section 7.1) must state that institutions have complied with any supplementary ARC advice issued after these Guidelines but no longer than 14 days before the deadline for lodging cluster submissions. The foreshadowed additional guidance regarding copyright issues is one example of such supplementary advice.

#### **6.8. Moral Rights**

The ARC is concerned to ensure that moral rights under the Copyright Act are respected in the implementation of ERA.

## 7. Submission Certification

Institutions are required to certify each of their ERA cluster submissions.

Institutions are responsible for collecting, validating and transmitting to the ARC all information in each cluster submission by the relevant due date. Institutions are also responsible for certifying that all information in cluster submissions is accurate and comprehensive. Certification takes the form of a signature, in both digital and hard copy form, of a Cluster Submission Certification Statement by the institution's Vice-Chancellor or equivalent.

The final pre-certification step involves the finalisation of the cluster submission by the Pro/Deputy Vice-Chancellor, Research, or his/her delegate. This finalisation step will lock the submission so that no further changes can be made prior to certification by the Vice-Chancellor.

### 7.1. Cluster Submission Certification Statement

Each institution's Vice-Chancellor or equivalent is required to provide a signed Cluster Submission Certification Statement for each of their ERA cluster submissions. No part of any cluster submission is eligible for consideration in the absence of such a statement.

Vice-Chancellors are not required to certify the accuracy of any data that has been externally obtained and appended to their cluster submissions, including data sourced from the citation data supplier.

The Cluster Submission Certification Statement signed by the Vice-Chancellor or equivalent must certify that:

1. All information in the cluster submission is accurate and appropriately comprehensive (although this certification does not extend to Scopus-derived Electronic Identifier (EID) tagging of indexed journal articles);
2. The person signing the Cluster Submission Certification Statement has made all reasonable efforts to verify that the information submitted as part of the cluster submission is correct, accurate, and sufficiently comprehensive;
3. In compiling its cluster submission, the institution has complied with:
  - (a) these Guidelines,
  - (b) the *ERA-SEER Technology Pack*, and
  - (c) any supplementary advice issued by the ARC after these Guidelines but no longer than 14 days before the deadline for lodging cluster submissions, including but not limited to applicable provisions regarding copyright, access to research outputs, and the need to retain certain material in case requested to supply it by the ARC;

4. In compiling its cluster submission, the institution has complied with relevant privacy requirements and ensured that all eligible researchers referred to in the cluster submission are aware of the inclusion in the cluster submission of relevant information and of its use in the ERA process (including provision to RECs);
5. The institution acknowledges and agrees that outcomes of the ERA evaluation of this cluster will be distributed and published in the manner described in these Guidelines (e.g. through the publication of national outcomes); and
6. The institution acknowledges and agrees that all information in its cluster submission may be used for policy development and program management other than for the purposes of ERA, from time to time as required, within the ARC and DIISR.

The Cluster Submission Certification Statement will also certify that the institution acknowledges and accepts identified ‘warnings’ provided by SEER. SEER warnings are designed to alert institutions to a range of issues which may benefit from special checking, such as the apparent existence of two or more researchers with an identical name.

The ARC will provide a proforma certification statement through SEER. Signature of the Cluster Submission Certification Statement must occur in both digital and hard copy form.

Cluster submission certification deadlines are as follows:

<b>Cluster submission</b>	<b>Deadline for electronic certification via SEER</b>	<b>Deadline for hard copy Cluster Submission Certification Statement to arrive at ARC</b>
PCE	5 pm AEST, 3 July 2009	5 pm AEST, 10 July 2009
HCA	5 pm AEST, 21 August 2009	5 pm AEST, 28 August 2009

Late Cluster Submission Certification Statements will be accepted only in exceptional circumstances considered by the ARC to be beyond the control of the institution. An institution must provide any evidence requested by the ARC to support its claim that failure to meet the deadline was for reasons beyond its control, and the ARC reserves the right to seek such additional evidence. Evidence which might be considered includes proof of submission or posting of the Cluster Submission Certification Statement which clearly shows the time and date of submission or posting. The ARC’s decision will be final as to whether exceptional circumstances existed beyond the control of the institution, and no correspondence will be entered into (other than to inform the institution of the decision).

## **Appendix A: Eligible Institutions**

Australian Catholic University  
Batchelor Institute of Indigenous Tertiary Education  
Bond University  
Central Queensland University  
Charles Darwin University  
Charles Sturt University  
Curtin University of Technology  
Deakin University  
Edith Cowan University  
Flinders University  
Griffith University  
James Cook University  
La Trobe University  
Macquarie University  
Melbourne College of Divinity  
Monash University  
Murdoch University  
Queensland University of Technology  
RMIT University  
Southern Cross University  
Swinburne University of Technology  
The Australian National University  
The University of Adelaide  
The University of Melbourne  
The University of New England  
The University of New South Wales  
The University of Newcastle  
The University of Notre Dame Australia  
The University of Queensland  
The University of Sydney  
The University of the Sunshine Coast  
The University of Western Australia  
University of Ballarat  
University of Canberra  
University of South Australia  
University of Southern Queensland  
University of Tasmania (incorporating Australian Maritime College)  
University of Technology, Sydney  
University of Western Sydney  
University of Wollongong  
Victoria University

## Appendix B: Field of Research (FoR) Codes

### Cluster One: Physical, Chemical and Earth Sciences (PCE)

Discipline	FoR
<b>PHYSICAL SCIENCES</b>	<b>02</b>
ASTRONOMICAL AND SPACE SCIENCES	0201
ATOMIC, MOLECULAR, NUCLEAR, PARTICLE AND PLASMA PHYSICS	0202
CLASSICAL PHYSICS	0203
CONDENSED MATTER PHYSICS	0204
OPTICAL PHYSICS	0205
QUANTUM PHYSICS	0206
OTHER PHYSICAL SCIENCES	0299
<b>CHEMICAL SCIENCES</b>	<b>03</b>
ANALYTICAL CHEMISTRY	0301
INORGANIC CHEMISTRY	0302
MACROMOLECULAR AND MATERIALS CHEMISTRY	0303
MEDICINAL AND BIOMOLECULAR CHEMISTRY	0304
ORGANIC CHEMISTRY	0305
PHYSICAL CHEMISTRY (INCL. STRUCTURAL)	0306
THEORETICAL AND COMPUTATIONAL CHEMISTRY	0307
OTHER CHEMICAL SCIENCES	0399
<b>EARTH SCIENCES</b>	<b>04</b>
ATMOSPHERIC SCIENCES	0401
GEOCHEMISTRY	0402
GEOLOGY	0403
GEOFYSICS	0404
OCEANOGRAPHY	0405
PHYSICAL GEOGRAPHY AND ENVIRONMENTAL GEOSCIENCE	0406
OTHER EARTH SCIENCES	0499

## Cluster Two: Humanities and Creative Arts (HCA)

<b>Discipline</b>	<b>FoR</b>
<b>BUILT ENVIRONMENT AND DESIGN</b>	<b>12</b>
ARCHITECTURE	1201
DESIGN PRACTICE AND MANAGEMENT	1203
URBAN AND REGIONAL PLANNING	1205
OTHER BUILT ENVIRONMENT AND DESIGN	1299
<b>LAW AND LEGAL STUDIES</b>	<b>18</b>
LAW	1801
MAORI LAW	1802
OTHER LAW AND LEGAL STUDIES	1899
<b>STUDIES IN CREATIVE ARTS AND WRITING</b>	<b>19</b>
ART THEORY AND CRITICISM	1901
FILM, TELEVISION AND DIGITAL MEDIA	1902
JOURNALISM AND PROFESSIONAL WRITING	1903
PERFORMING ARTS AND CREATIVE WRITING	1904
VISUAL ARTS AND CRAFTS	1905
OTHER STUDIES IN CREATIVE ARTS AND WRITING	1999
<b>LANGUAGE, COMMUNICATION AND CULTURE</b>	<b>20</b>
COMMUNICATION AND MEDIA STUDIES	2001
CULTURAL STUDIES	2002
LANGUAGE STUDIES	2003
LINGUISTICS	2004
LITERARY STUDIES	2005
OTHER LANGUAGE, COMMUNICATION AND CULTURE	2099
<b>HISTORY AND ARCHAEOLOGY</b>	<b>21</b>
ARCHAEOLOGY	2101
CURATORIAL AND RELATED STUDIES	2102
HISTORICAL STUDIES	2103
OTHER HISTORY AND ARCHAEOLOGY	2199
<b>PHILOSOPHY AND RELIGIOUS STUDIES</b>	<b>22</b>
APPLIED ETHICS	2201
HISTORY AND PHILOSOPHY OF SPECIFIC FIELDS	2202
PHILOSOPHY	2203
RELIGION AND RELIGIOUS STUDIES	2204
OTHER PHILOSOPHY AND RELIGIOUS STUDIES	2299

### Cluster Three: Engineering and Environmental Sciences (EE)

<b>Discipline</b>	<b>FoR</b>
<b>ENVIRONMENTAL SCIENCES</b>	<b>05</b>
ECOLOGICAL APPLICATIONS	0501
ENVIRONMENTAL SCIENCE AND MANAGEMENT	0502
SOIL SCIENCES	0503
OTHER ENVIRONMENTAL SCIENCES	0599
<b>ENGINEERING</b>	<b>09</b>
AEROSPACE ENGINEERING	0901
AUTOMOTIVE ENGINEERING	0902
BIOMEDICAL ENGINEERING	0903
CHEMICAL ENGINEERING	0904
CIVIL ENGINEERING	0905
ELECTRICAL AND ELECTRONIC ENGINEERING	0906
ENVIRONMENTAL ENGINEERING	0907
FOOD SCIENCES	0908
GEOMATIC ENGINEERING	0909
MANUFACTURING ENGINEERING	0910
MARITIME ENGINEERING	0911
MATERIALS ENGINEERING	0912
MECHANICAL ENGINEERING	0913
RESOURCES ENGINEERING AND EXTRACTIVE METALLURGY	0914
INTERDISCIPLINARY ENGINEERING	0915
OTHER ENGINEERING	0999
<b>BUILT ENVIRONMENT AND DESIGN</b>	<b>12</b>
BUILDING	1202
ENGINEERING DESIGN	1204

### Cluster Four: Social, Behavioural and Economic Sciences (SBE)

<b>Discipline</b>	<b>FoR</b>
<b>EDUCATION</b>	<b>13</b>
EDUCATION SYSTEMS	1301
CURRICULUM AND PEDAGOGY	1302
SPECIALIST STUDIES IN EDUCATION	1303
OTHER EDUCATION	1399
<b>ECONOMICS</b>	<b>14</b>
ECONOMIC THEORY	1401
APPLIED ECONOMICS	1402
ECONOMETRICS	1403
OTHER ECONOMICS	1499
<b>COMMERCE, MANAGEMENT, TOURISM AND SERVICES</b>	<b>15</b>
ACCOUNTING, AUDITING AND ACCOUNTABILITY	1501
BANKING, FINANCE AND INVESTMENT	1502
BUSINESS AND MANAGEMENT	1503
COMMERCIAL SERVICES	1504
MARKETING	1505
TOURISM	1506
TRANSPORTATION AND FREIGHT SERVICES	1507
OTHER COMMERCE, MANAGEMENT, TOURISM AND SERVICES	1599
<b>STUDIES IN HUMAN SOCIETY</b>	<b>16</b>
ANTHROPOLOGY	1601
CRIMINOLOGY	1602
DEMOGRAPHY	1603
HUMAN GEOGRAPHY	1604
POLICY AND ADMINISTRATION	1605
POLITICAL SCIENCE	1606
SOCIAL WORK	1607
SOCIOLOGY	1608
OTHER STUDIES IN HUMAN SOCIETY	1699
<b>PSYCHOLOGY AND COGNITIVE SCIENCES</b>	<b>17</b>
PSYCHOLOGY	1701
COGNITIVE SCIENCE	1702
OTHER PSYCHOLOGY AND COGNITIVE SCIENCES	1799

### Cluster Five: Mathematical, Information and Computing Sciences (MIC)

<b>Discipline</b>	<b>FoR</b>
<b>MATHEMATICAL SCIENCES</b>	<b>01</b>
PURE MATHEMATICS	0101
APPLIED MATHEMATICS	0102
NUMERICAL AND COMPUTATIONAL MATHEMATICS	0103
STATISTICS	0104
MATHEMATICAL PHYSICS	0105
OTHER MATHEMATICAL SCIENCES	0199
<b>INFORMATION AND COMPUTING SCIENCES</b>	<b>08</b>
ARTIFICIAL INTELLIGENCE AND IMAGE PROCESSING	0801
COMPUTATION THEORY AND MATHEMATICS	0802
COMPUTER SOFTWARE	0803
DATA FORMAT	0804
DISTRIBUTED COMPUTING	0805
INFORMATION SYSTEMS	0806
LIBRARY AND INFORMATION STUDIES	0807
OTHER INFORMATION AND COMPUTING SCIENCES	0899
<b>TECHNOLOGY</b>	<b>10</b>
COMMUNICATIONS TECHNOLOGIES	1005
COMPUTER HARDWARE	1006
NANOTECHNOLOGY	1007
OTHER TECHNOLOGY	1099

**Cluster Six: Biological and Biotechnological Sciences (BB)**

<b>Discipline</b>	<b>FoR</b>
<b>BIOLOGICAL SCIENCES</b>	<b>06</b>
BIOCHEMISTRY AND CELL BIOLOGY	0601
ECOLOGY	0602
EVOLUTIONARY BIOLOGY	0603
GENETICS	0604
MICROBIOLOGY	0605
PHYSIOLOGY	0606
PLANT BIOLOGY	0607
ZOOLOGY	0608
OTHER BIOLOGICAL SCIENCES	0699
<b>AGRICULTURAL AND VETERINARY SCIENCES</b>	<b>07</b>
AGRICULTURE, LAND AND FARM MANAGEMENT	0701
ANIMAL PRODUCTION	0702
CROP AND PASTURE PRODUCTION	0703
FISHERIES SCIENCES	0704
FORESTRY SCIENCES	0705
HORTICULTURAL PRODUCTION	0706
VETERINARY SCIENCES	0707
OTHER AGRICULTURAL AND VETERINARY SCIENCES	0799
<b>TECHNOLOGY</b>	<b>10</b>
AGRICULTURAL BIOTECHNOLOGY	1001
ENVIRONMENTAL BIOTECHNOLOGY	1002
INDUSTRIAL BIOTECHNOLOGY	1003
MEDICAL BIOTECHNOLOGY	1004

### Cluster Seven: Biomedical and Clinical Health Sciences (BCH)

<b>Discipline</b>	<b>FoR</b>
<b>MEDICAL AND HEALTH SCIENCES</b>	<b>11</b>
MEDICAL BIOCHEMISTRY AND METABOLOMICS	1101
CARDIOVASCULAR MEDICINE AND HAEMATOLOGY	1102
CLINICAL SCIENCES	1103
DENTISTRY	1105
IMMUNOLOGY	1107
MEDICAL MICROBIOLOGY	1108
NEUROSCIENCES	1109
ONCOLOGY AND CARCINOGENESIS	1112
OPHTHALMOLOGY AND OPTOMETRY	1113
PAEDIATRICS AND REPRODUCTIVE MEDICINE	1114
PHARMACOLOGY AND PHARMACEUTICAL SCIENCES	1115
MEDICAL PHYSIOLOGY	1116

### Cluster Eight: Public and Allied Health Sciences (PAH)

<b>Discipline</b>	<b>FoR</b>
<b>MEDICAL AND HEALTH SCIENCES</b>	<b>11</b>
COMPLEMENTARY AND ALTERNATIVE MEDICINE	1104
HUMAN MOVEMENT AND SPORTS SCIENCE	1106
NURSING	1110
NUTRITION AND DIETETICS	1111
PUBLIC HEALTH AND HEALTH SERVICES	1117
OTHER MEDICAL AND HEALTH SCIENCES	1199

## Appendix C: Discipline Matrices

### Cluster One: Physical, Chemical and Earth Sciences Discipline Matrix

FoR	DISCIPLINE	VOLUME AND ACTIVITY ANALYSIS			RANKED OUTLETS	
		Eligible researchers profiled by level	Research outputs by type	Proportion of total research outputs activity	Journals	Conferences
<b>02</b>	<b>Physical Sciences</b>					
0201	Astronomical and Space Sciences	✓	✓	✓	✓	✗
0202	Atomic, Molecular, Nuclear, Particle and Plasma Physics	✓	✓	✓	✓	✗
0203	Classical Physics	✓	✓	✓	✓	✗
0204	Condensed Matter Physics	✓	✓	✓	✓	✗
0205	Optical Physics	✓	✓	✓	✓	✗
0206	Quantum Physics	✓	✓	✓	✓	✗
0299	Other Physical Sciences	✓	✓	✓	✓	✗
<b>03</b>	<b>Chemical Sciences</b>					
0301	Analytical Chemistry	✓	✓	✓	✓	✗
0302	Inorganic Chemistry	✓	✓	✓	✓	✗
0303	Macromolecular and Materials Chemistry	✓	✓	✓	✓	✗
0304	Medicinal and Biomolecular Chemistry	✓	✓	✓	✓	✗
0305	Organic Chemistry	✓	✓	✓	✓	✗
0306	Physical Chemistry (incl. Structural)	✓	✓	✓	✓	✗
0307	Theoretical and Computational Chemistry	✓	✓	✓	✓	✗
0399	Other Chemical Sciences	✓	✓	✓	✓	✗
<b>04</b>	<b>Earth Sciences</b>					
0401	Atmospheric Sciences	✓	✓	✓	✓	✗
0402	Geochemistry	✓	✓	✓	✓	✗
0403	Geology	✓	✓	✓	✓	✗
0404	Geophysics	✓	✓	✓	✓	✗
0405	Oceanography	✓	✓	✓	✓	✗
0406	Physical Geography and Environmental Geoscience	✓	✓	✓	✓	✗
0499	Other Earth Sciences	✓	✓	✓	✓	✗

FoR	DISCIPLINE	CITATION ANALYSIS			INCOME			
		Relative citation impact	Centile analysis	Distribution of papers against relative citation rate bands	Category 1	Category 2	Category 3 (incl. sub-categories)	Category 4
<b>02</b>	<b>Physical Sciences</b>							
0201	Astronomical and Space Sciences	✓	✓	✓	✓	✓	✓	✓
0202	Atomic, Molecular, Nuclear, Particle and Plasma Physics	✓	✓	✓	✓	✓	✓	✓
0203	Classical Physics	✓	✓	✓	✓	✓	✓	✓
0204	Condensed Matter Physics	✓	✓	✓	✓	✓	✓	✓
0205	Optical Physics	✓	✓	✓	✓	✓	✓	✓
0206	Quantum Physics	✓	✓	✓	✓	✓	✓	✓
0299	Other Physical Sciences	✓	✓	✓	✓	✓	✓	✓
<b>03</b>	<b>Chemical Sciences</b>							
0301	Analytical Chemistry	✓	✓	✓	✓	✓	✓	✓
0302	Inorganic Chemistry	✓	✓	✓	✓	✓	✓	✓
0303	Macromolecular and Materials Chemistry	✓	✓	✓	✓	✓	✓	✓
0304	Medicinal and Biomolecular Chemistry	✓	✓	✓	✓	✓	✓	✓
0305	Organic Chemistry	✓	✓	✓	✓	✓	✓	✓
0306	Physical Chemistry (incl. Structural)	✓	✓	✓	✓	✓	✓	✓
0307	Theoretical and Computational Chemistry	✓	✓	✓	✓	✓	✓	✓
0399	Other Chemical Sciences	✓	✓	✓	✓	✓	✓	✓
<b>04</b>	<b>Earth Sciences</b>							
0401	Atmospheric Sciences	✓	✓	✓	✓	✓	✓	✓
0402	Geochemistry	✓	✓	✓	✓	✓	✓	✓
0403	Geology	✓	✓	✓	✓	✓	✓	✓
0404	Geophysics	✓	✓	✓	✓	✓	✓	✓
0405	Oceanography	✓	✓	✓	✓	✓	✓	✓
0406	Physical Geography and Environmental Geoscience	✓	✓	✓	✓	✓	✓	✓
0499	Other Earth Sciences	✓	✓	✓	✓	✓	✓	✓

FoR	DISCIPLINE	APPLIED			
		Patents	Registered designs	Plant breeders' rights	Research commercialisation income
<b>02</b>	<b>Physical Sciences</b>				
0201	Astronomical and Space Sciences	✓	✗	✗	✓
0202	Atomic, Molecular, Nuclear, Particle and Plasma Physics	✓	✗	✗	✓
0203	Classical Physics	✓	✗	✗	✓
0204	Condensed Matter Physics	✓	✗	✗	✓
0205	Optical Physics	✓	✗	✗	✓
0206	Quantum Physics	✓	✗	✗	✓
0299	Other Physical Sciences	✓	✗	✗	✓
<b>03</b>	<b>Chemical Sciences</b>				
0301	Analytical Chemistry	✓	✗	✗	✓
0302	Inorganic Chemistry	✓	✗	✗	✓
0303	Macromolecular and Materials Chemistry	✓	✗	✗	✓
0304	Medicinal and Biomolecular Chemistry	✓	✗	✗	✓
0305	Organic Chemistry	✓	✗	✗	✓
0306	Physical Chemistry (incl. Structural)	✓	✗	✗	✓
0307	Theoretical and Computational Chemistry	✓	✗	✗	✓
0399	Other Chemical Sciences	✓	✗	✗	✓
<b>04</b>	<b>Earth Sciences</b>				
0401	Atmospheric Sciences	✓	✗	✗	✓
0402	Geochemistry	✓	✗	✗	✓
0403	Geology	✓	✗	✗	✓
0404	Geophysics	✓	✗	✗	✓
0405	Oceanography	✓	✗	✗	✓
0406	Physical Geography and Environmental Geoscience	✓	✗	✗	✓
0499	Other Earth Sciences	✓	✗	✗	✓

FoR	DISCIPLINE	ERA PEER REVIEW					% of outputs tagged for ERA peer review
		Journal articles	Books	Book chapters	Conference publications	Creative works	
<b>02</b>	<b>Physical Sciences</b>						
0201	Astronomical and Space Sciences	x	x	x	x	x	-
0202	Atomic, Molecular, Nuclear, Particle and Plasma Physics	x	x	x	x	x	-
0203	Classical Physics	x	x	x	x	x	-
0204	Condensed Matter Physics	x	x	x	x	x	-
0205	Optical Physics	x	x	x	x	x	-
0206	Quantum Physics	x	x	x	x	x	-
0299	Other Physical Sciences	x	x	x	x	x	-
<b>03</b>	<b>Chemical Sciences</b>						
0301	Analytical Chemistry	x	x	x	x	x	-
0302	Inorganic Chemistry	x	x	x	x	x	-
0303	Macromolecular and Materials Chemistry	x	x	x	x	x	-
0304	Medicinal and Biomolecular Chemistry	x	x	x	x	x	-
0305	Organic Chemistry	x	x	x	x	x	-
0306	Physical Chemistry (incl. Structural)	x	x	x	x	x	-
0307	Theoretical and Computational Chemistry	x	x	x	x	x	-
0399	Other Chemical Sciences	x	x	x	x	x	-
<b>04</b>	<b>Earth Sciences</b>						
0401	Atmospheric Sciences	x	x	x	x	x	-
0402	Geochemistry	x	x	x	x	x	-
0403	Geology	x	x	x	x	x	-
0404	Geophysics	x	x	x	x	x	-
0405	Oceanography	x	x	x	x	x	-
0406	Physical Geography and Environmental Geoscience	x	x	x	x	x	-
0499	Other Earth Sciences	x	x	x	x	x	-

## Cluster Two: Humanities and Creative Arts Discipline Matrix

FoR	DISCIPLINE	VOLUME AND ACTIVITY ANALYSIS			RANKED OUTLETS	
		Eligible researchers profiled by level	Research outputs by type	Proportion of total research outputs activity	Journals	Conferences
<b>12</b>	<b>Built Environment and Design</b>					
1201	Architecture	✓	✓	✓	✓	✗
1203	Design Practice and Management	✓	✓	✓	✓	✗
1205	Urban and Regional Planning	✓	✓	✓	✓	✗
1299	Other Built Environment and Design	✓	✓	✓	✓	✗
<b>18</b>	<b>Law and Legal Studies</b>					
1801	Law	✓	✓	✓	✓	✗
1802	Maori Law	✓	✓	✓	✓	✗
1899	Other Law and Legal Studies	✓	✓	✓	✓	✗
<b>19</b>	<b>Studies in Creative Arts and Writing</b>					
1901	Art Theory and Criticism	✓	✓	✓	✓	✗
1902	Film, Television and Digital Media	✓	✓	✓	✓	✗
1903	Journalism and Professional Writing	✓	✓	✓	✓	✗
1904	Performing Arts and Creative Writing	✓	✓	✓	✓	✗
1905	Visual Arts and Crafts	✓	✓	✓	✓	✗
1999	Other Studies in Creative Arts and Writing	✓	✓	✓	✓	✗
<b>20</b>	<b>Language, Communication and Culture</b>					
2001	Communication and Media Studies	✓	✓	✓	✓	✗
2002	Cultural Studies	✓	✓	✓	✓	✗
2003	Language Studies	✓	✓	✓	✓	✗
2004	Linguistics	✓	✓	✓	✓	✗
2005	Literary Studies	✓	✓	✓	✓	✗
2099	Other Language, Communication and Culture	✓	✓	✓	✓	✗
<b>21</b>	<b>History and Archaeology</b>					
2101	Archaeology	✓	✓	✓	✓	✗
2102	Curatorial and Related Studies	✓	✓	✓	✓	✗
2103	Historical Studies	✓	✓	✓	✓	✗
2199	Other History and Archaeology	✓	✓	✓	✓	✗
<b>22</b>	<b>Philosophy and Religious Studies</b>					
2201	Applied Ethics	✓	✓	✓	✓	✗
2202	History and Philosophy of Specific Fields	✓	✓	✓	✓	✗
2203	Philosophy	✓	✓	✓	✓	✗
2204	Religion and Religious Studies	✓	✓	✓	✓	✗
2299	Other Philosophy and Religious Studies	✓	✓	✓	✓	✗

FoR	DISCIPLINE	CITATION ANALYSIS			INCOME			
		Relative citation impact	Centile analysis	Distribution of papers against relative citation rate bands	Category 1	Category 2	Category 3 (incl. sub-categories)	Category 4
<b>12</b>	<b>Built Environment and Design</b>							
1201	Architecture	x	x	x	✓	✓	✓	✓
1203	Design Practice and Management	x	x	x	✓	✓	✓	✓
1205	Urban and Regional Planning	x	x	x	✓	✓	✓	✓
1299	Other Built Environment and Design	x	x	x	✓	✓	✓	✓
<b>18</b>	<b>Law and Legal Studies</b>							
1801	Law	x	x	x	✓	✓	✓	✓
1802	Maori Law	x	x	x	✓	✓	✓	✓
1899	Other Law and Legal Studies	x	x	x	✓	✓	✓	✓
<b>19</b>	<b>Studies in Creative Arts and Writing</b>							
1901	Art Theory and Criticism	x	x	x	✓	✓	✓	✓
1902	Film, Television and Digital Media	x	x	x	✓	✓	✓	✓
1903	Journalism and Professional Writing	x	x	x	✓	✓	✓	✓
1904	Performing Arts and Creative Writing	x	x	x	✓	✓	✓	✓
1905	Visual Arts and Crafts	x	x	x	✓	✓	✓	✓
1999	Other Studies in Creative Arts and Writing	x	x	x	✓	✓	✓	✓
<b>20</b>	<b>Language, Communication and Culture</b>							
2001	Communication and Media Studies	x	x	x	✓	✓	✓	✓
2002	Cultural Studies	x	x	x	✓	✓	✓	✓
2003	Language Studies	x	x	x	✓	✓	✓	✓
2004	Linguistics	x	x	x	✓	✓	✓	✓
2005	Literary Studies	x	x	x	✓	✓	✓	✓
2099	Other Language, Communication and Culture	x	x	x	✓	✓	✓	✓
<b>21</b>	<b>History and Archaeology</b>							
2101	Archaeology	x	x	x	✓	✓	✓	✓
2102	Curatorial and Related Studies	x	x	x	✓	✓	✓	✓
2103	Historical Studies	x	x	x	✓	✓	✓	✓
2199	Other History and Archaeology	x	x	x	✓	✓	✓	✓
<b>22</b>	<b>Philosophy and Religious Studies</b>							
2201	Applied Ethics	x	x	x	✓	✓	✓	✓
2202	History and Philosophy of Specific Fields	x	x	x	✓	✓	✓	✓
2203	Philosophy	x	x	x	✓	✓	✓	✓
2204	Religion and Religious Studies	x	x	x	✓	✓	✓	✓
2299	Other Philosophy and Religious Studies	x	x	x	✓	✓	✓	✓

FoR	DISCIPLINE	APPLIED			
		Patents	Registered designs	Plant breeders' rights	Research commercialisation income
<b>12</b>	<b>Built Environment and Design</b>				
1201	Architecture	✓	✓	x	✓
1203	Design Practice and Management	✓	✓	x	✓
1205	Urban and Regional Planning	✓	✓	x	✓
1299	Other Built Environment and Design	✓	✓	x	✓
<b>18</b>	<b>Law and Legal Studies</b>				
1801	Law	x	x	x	✓
1802	Maori Law	x	x	x	✓
1899	Other Law and Legal Studies	x	x	x	✓
<b>19</b>	<b>Studies in Creative Arts and Writing</b>				
1901	Art Theory and Criticism	✓	✓	x	✓
1902	Film, Television and Digital Media	✓	✓	x	✓
1903	Journalism and Professional Writing	✓	✓	x	✓
1904	Performing Arts and Creative Writing	✓	✓	x	✓
1905	Visual Arts and Crafts	✓	✓	x	✓
1999	Other Studies in Creative Arts and Writing	✓	✓	x	✓
<b>20</b>	<b>Language, Communication and Culture</b>				
2001	Communication and Media Studies	x	x	x	✓
2002	Cultural Studies	x	x	x	✓
2003	Language Studies	x	x	x	✓
2004	Linguistics	x	x	x	✓
2005	Literary Studies	x	x	x	✓
2099	Other Language, Communication and Culture	x	x	x	✓
<b>21</b>	<b>History and Archaeology</b>				
2101	Archaeology	x	x	x	✓
2102	Curatorial and Related Studies	✓	✓	x	✓
2103	Historical Studies	x	x	x	✓
2199	Other History and Archaeology	x	x	x	✓
<b>22</b>	<b>Philosophy and Religious Studies</b>				
2201	Applied Ethics	x	x	x	✓
2202	History and Philosophy of Specific Fields	x	x	x	✓
2203	Philosophy	x	x	x	✓
2204	Religion and Religious Studies	x	x	x	✓
2299	Other Philosophy and Religious Studies	x	x	x	✓

FoR	DISCIPLINE	ERA PEER REVIEW					% of outputs tagged for ERA peer review
		Journal articles	Books	Book chapters	Conference publications	Creative works	
<b>12</b>	<b>Built Environment and Design</b>						
1201	Architecture	✓	✓	✓	✓	✓	20%
1203	Design Practice and Management	✓	✓	✓	✓	✓	20%
1205	Urban and Regional Planning	✓	✓	✓	✓	✓	20%
1299	Other Built Environment and Design	✓	✓	✓	✓	✓	20%
<b>18</b>	<b>Law and Legal Studies</b>						
1801	Law	✓	✓	✓	✗	✓	20%
1802	Maori Law	✓	✓	✓	✗	✓	20%
1899	Other Law and Legal Studies	✓	✓	✓	✗	✓	20%
<b>19</b>	<b>Studies in Creative Arts and Writing</b>						
1901	Art Theory and Criticism	✓	✓	✓	✗	✓	20%
1902	Film, Television and Digital Media	✓	✓	✓	✗	✓	20%
1903	Journalism and Professional Writing	✓	✓	✓	✗	✓	20%
1904	Performing Arts and Creative Writing	✓	✓	✓	✗	✓	20%
1905	Visual Arts and Crafts	✓	✓	✓	✗	✓	20%
1999	Other Studies in Creative Arts and Writing	✓	✓	✓	✗	✓	20%
<b>20</b>	<b>Language, Communication and Culture</b>						
2001	Communication and Media Studies	✓	✓	✓	✗	✓	20%
2002	Cultural Studies	✓	✓	✓	✗	✓	20%
2003	Language Studies	✓	✓	✓	✗	✓	20%
2004	Linguistics	✓	✓	✓	✗	✓	20%
2005	Literary Studies	✓	✓	✓	✗	✓	20%
2099	Other Language, Communication and Culture	✓	✓	✓	✗	✓	20%
<b>21</b>	<b>History and Archaeology</b>						
2101	Archaeology	✓	✓	✓	✗	✓	20%
2102	Curatorial and Related Studies	✓	✓	✓	✗	✓	20%
2103	Historical Studies	✓	✓	✓	✗	✓	20%
2199	Other History and Archaeology	✓	✓	✓	✗	✓	20%
<b>22</b>	<b>Philosophy and Religious Studies</b>						
2201	Applied Ethics	✓	✓	✓	✗	✓	20%
2202	History and Philosophy of Specific Fields	✓	✓	✓	✗	✓	20%
2203	Philosophy	✓	✓	✓	✗	✓	20%
2204	Religion and Religious Studies	✓	✓	✓	✗	✓	20%
2299	Other Philosophy and Religious Studies	✓	✓	✓	✗	✓	20%

## Appendix D: Research Themes

Water—a critical resource
Transforming existing industries
Overcoming soil loss, salinity and acidity
Reducing and capturing emissions in transport and energy generation
Sustainable use of Australia's biodiversity
Developing deep earth resources
Responding to climate change and variability
A healthy start to life
Ageing well, ageing productively
Preventive healthcare
Strengthening Australia's social and economic fabric
Breakthrough science
Frontier technologies
Advanced materials
Smart information use
Promoting an innovation culture and economy
Critical infrastructure
Understanding our region and the world
Protecting Australia from invasive diseases and pests
Protecting Australia from terrorism and crime
Transformational defence technologies
Indigenous research

## **Appendix E: Format of Research Statement for Peer Review of Creative Works for the HCA Cluster**

For the HCA cluster, the following research output types may be submitted:

- Original Creative Works;
- Live Performance of Creative Works;
- Recorded/Rendered Creative Works; and
- Curated or Produced Substantial Exhibitions or Events.

For these research outputs which are selected for peer review, a statement identifying the research component of the output must be available in an institutionally-supported repository. The statement must be a maximum of 250 words and address the following categories:

1. Research Background
  - Field
  - Context
  - Research Question
2. Research Contribution
  - Innovation
  - New Knowledge
3. Research Significance
  - Evidence of Excellence

The following is an example of an acceptable visual arts research statement:

### ***Research Background***

Current international developments in painting have identified the need to establish complex forms for representing identity in terms of facial expression. While this research recognises the significance of facial expression, it has overlooked the unstable nature of identity itself.

### ***Research Contribution***

The paintings *Multiple Perspectives* by Y address the question of the unstable nature of identity as expressed in painterly terms through a study in unstable facial phenomenon using the philosophical concept of 'becoming'. In doing so it arrives at a new benchmark for the discipline in understanding visual identity, namely that identity is not bound to stable facial phenomena but, like other forms of meaning, is constantly undergoing change.

### ***Research Significance***

The significance of this research is that it overcomes barriers for visually understanding the complex nature of identity and its expressive painterly possibilities. Its value is attested to by the following indicators: selection of the painting for inclusion in the international exhibition Documenta, Kassel, Germany; its inclusion as a case study in the renowned Courtauld Institute, University of London, *Issues in Contemporary Art* graduate seminar series; its being the subject of a chapter in the book *Identity Reframed* published by Thames and Hudson and authored by the renowned art historian Z; its forming part of a competitively funded ARC project.

When selecting outputs for ERA peer review, institutions should focus on those outputs with a substantial research component. Peer reviewers will only examine these outputs on the basis of the research component as specified in the research statement available in an institutionally-supported repository.

## Appendix F: List of Abbreviations

ACGR	Australian Competitive Grants Register
AEST	Australian Eastern Standard Time
ANZSRC	Australian and New Zealand Standard Research Classification
ARC	Australian Research Council
cpp	Citations per publication
CRC	Cooperative Research Centre
DIISR	Department of Innovation, Industry, Science and Research
DOI	Digital Object Identifier
ecr	Expected citation rate
EID	Electronic identifier
EPO	European Patent Office
ERA	Excellence in Research for Australia
FOI	Freedom of Information
FoR	Field of Research (ANZSRC)
FTE	Full-Time Equivalent
HCA	Humanities and Creative Arts
HDR	Higher Degree by Research student
HERDC	Higher Education Research Data Collection
HESDC	Higher Education Staff Data Collection
IDG	Indicators Development Group
IP	Intellectual property
IPPs	Information Privacy Principles
ISBN	International Standard Book Number
ISSN	International Standard Serial Number
JPO	Japan Patent Office
NHMRC	National Health and Medical Research Council
PBR	Plant Breeders' Right
PCE	Physical, Chemical and Earth Sciences
RBI	ReBased Index
REC	Research Evaluation Committee
SEER	System to Evaluate the Excellence of Research
USPTO	United States Patent and Trademark Office
XML	eXstensible Markup Language

## Appendix G: Glossary

Applied measures	Applied measures are patents, registered designs, research commercialisation income, and plant breeders' rights.
Applied research	Has the meaning used in the Australian and New Zealand Standard Research Classification (ANZSRC), that is, 'original work undertaken primarily to acquire new knowledge with a specific application in view. It is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives'.
Australian (Category 3i)	A sub-category for ERA of HERDC research income Category 3, 'Industry and Other Research Income'.
Australian Competitive Grants	The type of research income addressed in HERDC research income 'category 1', that is, grants listed on the Australian Competitive Grants Register (ACGR) for the appropriate year(s).
Australian Competitive Grants Register (ACGR)	The listing maintained by the Department of Innovation, Industry, Science and Research of Australian Competitive Research grant schemes.
Authored research	See 'Book—Authored Research'
Background Statement	A statement which a submitting institution may choose to provide to outline relevant contextual information about the research performance and development of disciplines addressed in a cluster submission. Each Background Statement must be at the two-digit FoR level and no more than 10 000 characters in length.
Bibliometrics	As explained in the OECD <i>Frascati Manual</i> (2002), 'Bibliometric analysis uses data on numbers and authors of scientific publications and on articles and the citations therein (as well as the citations in patents) to measure the 'output' of individuals/research teams, institutions and countries, to identify national and international networks, and to map the development of new (multidisciplinary) fields of science and technology.' For the purposes of ERA, bibliometrics also includes interaction with the citation data supplier to identify appropriate FoR codes for research outputs.
Book—Authored Research	To qualify as an eligible research output for ERA purposes, a book must meet the criteria set out in section 5.4.1.1.
Book—Chapter in Research Book	To qualify as an eligible research output for ERA purposes, a book chapter must meet the criteria set out in section 5.4.1.2

Cashed-in equity	Cashed-in equity is the amount received from cashing in equity holdings, resulting in a cash transfer to the institution (or its commercialisation company).
Certification	Confirmation by institutions of, among other things, the accuracy and comprehensiveness of data contained in cluster submissions (see 'Cluster Submission Certification Statement').
Citation analysis	Scrutiny of references contained in journal articles, including analysis of frequency and patterns.
Citation data supplier	External supplier of citation data for journals indexed by that supplier. ERA will use one citation data supplier for each discipline cluster to enable citation analysis and the compilation of bibliometrics data.
Citations per publication	A rate calculated by the ARC following analysis of each discipline's research output, using total publication and citation counts for the relevant discipline for each institution. ARC will provide summaries of such data to RECs.
Cluster	Grouping of disciplines for ERA purposes. Clusters are made up of related divisions (where 'divisions' are two-digit FoR codes), as grouped specifically for the ERA process. The June 2008 ERA Consultation Paper identified eight discipline clusters: <ol style="list-style-type: none"> <li>1. Physical, Chemical and Earth Sciences (PCE)</li> <li>2. Humanities and Creative Arts (HCA)</li> <li>3. Engineering and Environmental Sciences (EE)</li> <li>4. Social, Behavioural and Economic Sciences (SBE)</li> <li>5. Mathematics, Information and Computing Sciences (MIC)</li> <li>6. Biological and Biotechnological Sciences (BB)</li> <li>7. Biomedical and Clinical Health Sciences (BCH)</li> <li>8. Public and Allied Health Sciences (PAHS)</li> </ol>
Cluster One	The ERA cluster Physical, Chemical and Earth Sciences (PCE).
Cluster Submission	The totality of materials submitted by an institution to enable ERA evaluation of a specific cluster. Precise rules governing cluster submissions are as set out in advance in cluster-specific <i>ERA Submission Guidelines</i> , including guidance in the <i>Discipline Matrices</i> . Cluster submissions include metadata about research outputs but do not include the research outputs themselves.
Cluster Submission Certification Statement	Statement signed by an institution's Vice-Chancellor or equivalent to certify, among other things, the accuracy and comprehensiveness of data contained in the cluster submission.
Cluster Two	The ERA cluster Humanities and Creative Arts (HCA).

Commercial publisher	Has the same meaning as in the HERDC Specifications, namely, ‘an entity for which the core business is producing books and distributing them for sale. If publishing is not the core business of an organisation but there is a distinct organisational entity devoted to commercial publication and its publications are not completely paid for or subsidised by the parent organisation or a third party, the publisher is acceptable as a commercial publisher... [Higher Education Provider (HEP)] and other self-supporting HEP presses are also regarded as commercial publishers, provided that they have responsibility for the distribution of the publication, in addition to its printing.’
Conference publications	To qualify as an eligible research output for ERA purposes, a conference publication must meet the criteria set out in section 5.4.1.4.
CRC research income	The type of research income addressed in HERDC research income Category 4, that is, research income received from CRCs in which the relevant institution is a core participant (i.e. a signatory to the CRC’s Commonwealth Agreement). See section 5.5.3.4.
Creative Works	The research output types addressed in section 5.4.2.
Date of publication rule	See sections 5.4.4.1 and 5.4.4.2.
Design	Where not prefixed by ‘registered’, the term ‘design’ (e.g. in the context of creative works) has for ERA purposes its more general meaning.
Digital Object Identifier (DOI)	DOI is a standard for persistently identifying a piece of intellectual property on a digital network and associating it with related data, the metadata, in a structured extensible way. DOIs can be resolved through the DOI resolver at <a href="http://dx.doi.org">http://dx.doi.org</a> .
Discipline	Research area defined by a four-digit FoR (see also ‘four-digit FoR’, ‘Unit of Evaluation’ and ‘Field of Research’).
Discipline cluster	See ‘Cluster’.
Discipline Matrix	Specification of which ERA indicators will be applied to which disciplines. The <i>Discipline Matrices</i> for disciplines in the PCE and HCA clusters are at Appendix C.
Division	The two-digit FoR level, that is, the level referred to as a ‘Division’ in the ANZSRC classification.
Electronic identifier (EID)	Scopus-derived unique electronic identifier.
Eligible researcher	A researcher at an institution who meets the criteria specified at section 5.3.1 of these <i>Guidelines</i> .
Employed	For ERA purposes, the term ‘employed’ is used in the same sense as in the HESDC <i>Staff Data Collection Specifications</i> .

Employee	For ERA purposes, the term ‘employee’ is used in the same sense as in the HESDC <i>Staff Data Collection Specifications</i> .
Equity	Ownership interest in a company (e.g. stock and rights to receiving stock) by an institution or its commercialisation company.
ERA HCA Journal List	A ranked list of journals consolidated by the ARC (see also ‘ranked outlets’) for the HCA Cluster. For inclusion, a journal must be peer reviewed and have an ISSN.
ERA PCE Journal List	A ranked list of journals consolidated by the ARC (see also ‘ranked outlets’) for the PCE Cluster. For inclusion, a journal must be peer reviewed and have an ISSN.
ERA peer review	Review conducted of a sample of research outputs by RECs and peer reviewers as part of the ERA evaluation process.
ERA peer reviewer	Independent expert who undertakes ERA peer review of a sample of research outputs as part of the ERA evaluation process.
Experimental development	Has the meaning used in the ANZSRC, that is, ‘systematic work, using existing knowledge gained from research or practical experience, which is directed to producing new materials, products, devices, policies, behaviours or outlooks; to installing new processes, systems and services; or to improving substantially those already produced or installed’.
Expert review	The overall ERA evaluation of disciplines in a cluster, which will be conducted by the relevant REC on the basis of a range of material (including quantitative indicators; peer review in certain circumstances; and supporting documentation to guide the REC’s interpretation of the data).
Expert reviewer	A REC member who undertakes expert review (and possibly ERA peer review) as part of the ERA process.
Field	Within the ANZSRC classification, the term ‘field’ refers to the 6-digit FoR (Field of Research) level. The term ‘field’ should be distinguished from ‘Field of Research’ or ‘FoR’. In ERA documentation, the term ‘field’ is often used in the more general sense of an area of interest or activity.
Fields of Research (FoR)	A hierarchical classification of fields of research set out in the ANZSRC.

Four-digit FoR	The middle level of the three hierarchical levels within ANZSRC Fields of Research. In ERA, this level defines a 'discipline' (except in cases of low-volume research activity, where the relevant level is the two-digit FoR level). An example of a four-digit FoR code is '0206 - Quantum Physics'. Within the ANZSRC classification, this level is referred to as a 'Group'.
Full-time equivalence	See 'Staff full-time equivalence'.
Function	The general type of work which an eligible researcher has formally agreed with an institution to undertake (Research Only; Teaching and Research; or Other Function). See section 5.3.2.7.
Group	The four-digit FoR level, that is, the level referred to as a 'Group' in the ANZSRC classification.
HERDC Specifications	Unless otherwise stated, the relevant version of this document is the <i>2008 Higher Education Research Data Collection Specifications for the Collection of 2007 Data</i> .
Higher Education Research Data Collection (HERDC)	The annual research data collection exercise undertaken by the Department of Innovation, Industry, Science and Research (DIISR).
Higher Education Staff Data Collection (HESDC)	The annual staff data collection exercise undertaken by the Department of Education, Employment and Workplace Relations.
Humanities and Creative Arts (HCA)	One of the discipline clusters used for ERA purposes, also known as Cluster Two. The disciplines contained in this cluster are listed at Appendix B.
Indexed journal	A journal indexed by the citation data supplier whose services are being used for the relevant ERA cluster. The citation data supplier tracks citations of articles published in such a journal.
Indexed journal article	An article published in an indexed journal.
Indicators Development Group (IDG)	The advisory body on ERA indicators which was announced by Minister Kim Carr on 18 August 2008.
Industry and other research income	The type of research income addressed in HERDC research income Category 3, which must for ERA be disaggregated into three sub-categories. See sections 5.5.1 and 5.5.3.3. See also 'Australian (Category 3i)' 'International A (Competitive, Peer-reviewed Grant Income) (Category 3ii)'; and 'International B (Other Income) (Category 3iii)'.
Institutional Units	Units within an institution which have as their primary objective the undertaking of teaching-only functions, teaching-and-research functions or research-only functions. Such units are referred to by various names, such as 'schools' and 'departments'.

Institutionally-supported repository	Electronic repository supported by a submitting institution which will enable ERA reviewers access to those research outputs which are subject to ERA peer review.
Institutions	Higher education providers eligible to participate in ERA, as listed at Appendix A of these Guidelines.
International A (Competitive, Peer-reviewed Grant Income) (Category 3ii)	A sub-category for ERA of HERDC research income Category 3, 'Industry and Other Research Income'. See sections 5.5.1 and 5.5.3.3.
International B (Other Income) (Category 3iii)	A sub-category for ERA of HERDC research income Category 3, 'Industry and Other Research Income'. See sections 5.5.1 and 5.5.3.3.
Journal article	To qualify as an eligible research output for ERA purposes, a journal article must meet the criteria set out in section 5.4.1.3.
Journal rankings	See 'Ranked outlets'.
Level	Classification level on the scale Level A–Level E (in line with the HESDC definition of 'classification type and level').
Licensing	As defined in relevant legislation, licensing of rights 'gives the licensee the right to use (but not own) the rights'.
Live Performance of Creative Works	The ERA research output type addressed in section 5.4.2.2.
Member of staff	Has the meaning set out in section 5.3.1 at criterion (b).
Metadata	A record that contains data known about an information resource. Thus any data that refers to a discrete informational asset may be referred to as the metadata of that asset, for example, a bibliographic record of a journal article is a form of metadata describing that article.
Multidisciplinary	A research output with more than three four-digit FoR codes will be classified as multidisciplinary.
Non-traditional research outputs	Research outputs which do not take the form of published books, book chapters, journal articles or conference publications.
Not assessed	Not assessed due to low volume (see section 3.6).
Open access repositories	Open access repositories provide free public access to research outputs via the Internet by holding either originals or digital duplicates of published articles.
Original Creative Works	The ERA research output type addressed in section 5.4.2.1.
Other Function	Has the meaning set out under 'Other Function' in section 5.3.2.7.
Other public sector research income	The type of research income addressed in HERDC research income Category 2, i.e. public sector research income other than Australian Competitive Grants. See section 5.5.3.2.

Outlet rankings	See 'Ranked outlets'.
Patent	As defined in relevant legislation, a patent is a right granted for any device, substance, method or process which is new, inventive and useful. It is legally enforceable and gives the owner the exclusive right to commercially exploit the invention for the life of the patent. ERA applied measures include Australian standard patents (but not Australian innovation patents) and equivalent patents issued overseas (see section 5.6.2.1).
Peer review	For the purposes of ERA, an acceptable peer review process is one that involves an assessment or review, before publication, of the research output in its entirety by independent, qualified experts. Independent in this context means independent of the author.
Peer reviewer	Unless otherwise specified, has the same meaning as 'ERA peer reviewer'.
Physical, Chemical and Earth Sciences (PCE)	One of the discipline clusters used for ERA purposes, also known as Cluster One. The disciplines contained in this cluster are listed at Appendix B.
Plant breeders' rights	Proprietary rights held by breeders of certain new varieties of plants and fungi. As defined in relevant legislation, such rights are used to protect new varieties of plants by giving exclusive commercial rights to market a new variety or its propagating material. For ERA purposes, plant breeders' rights are those granted under the <i>Plant Breeder's Rights Act 1994</i> or under comparable overseas systems for the recognition of plant breeders' rights.
Publication association	Has the meaning specified at criterion (c)(ii) of section 5.3.1 of these Guidelines.
Published	Published (in the case of traditional research outputs such as publications) or brought into the public domain in the case of non-traditional outputs.
Pure basic research	Has the meaning used in the ANZSRC, that is, 'experimental and theoretical work undertaken to acquire new knowledge without looking for long term benefits other than the advancement of knowledge'.
Ranked journals	See 'Ranked outlets'.
Ranked outlets	Research outlets (such as journals, conference publications and publishers) which have been ranked into tiers according to overall quality for a particular discipline. While the distribution of tiers will vary across disciplines, for journals it is expected to approximate: Tier A* (top 50%); Tier A (next 15%); Tier B (next 30%); and Tier C (bottom 50%). For the first round of ERA, only ranked lists for journals will be used.
Recorded/Rendered Creative Works	The ERA research output type addressed in section 5.4.2.3.

Reference periods	The periods during which research outputs must have been published, research income reported under HERDC etc., in order for associated data to be included in ERA cluster submissions. ERA reference periods vary according to the research item. See section 3.7.
Registered design	A registered design is a design registered under the <i>Designs Act 2003</i> (where ‘design’ refers to the overall appearance of the product resulting from one or more visual features of the product). See also ‘design’.
Research	For ERA purposes, the definition of research is as set out in section 3.1.
Research commercialisation income	Commercial returns via income and/or capital gains resulting from the commercialisation of research outputs, services and intellectual property. Under ERA, research commercialisation income is treated as an ‘applied measure’ rather than as ‘research income’ (see section 5.6.2.3).
Research component	The way in which a research output meets the ERA definition of research (see section 5.4.2).
Research Evaluation Committee (REC)	The cluster-specific committees which will undertake ERA evaluations. Each such committee will include internationally-recognised members with expertise in research evaluation and broad discipline expertise.
Research income	For ERA purposes, research income data will be collected in alignment with HERDC research income categories. See sections 5.5.1 and 5.5.3. See also: ‘Australian (Category 3i)’, ‘International A (Competitive, Peer-reviewed Grant Income) (Category 3ii)’ and ‘International B (Other Income) (Category 3iii)’.
Research item	Research items are research outputs, research income, and applied measures.
Research Only (Function)	Has the meaning set out under ‘Research Only’ in section 5.3.2.7.
Research outlet	The avenues or media in which an output appears, such as journal name, book publisher, theatre, art gallery, etc.
Research output	Research outputs include individual journal articles, book chapters, artistic performances, films, etc.
Research publication	Research publications include eligible books, book chapters, journal articles and/or conference publications which meet all criteria stipulated in relevant <i>ERA Guidelines</i> .
Research Statement for Peer Review of Creative Works in the HCA Cluster	In relation to certain creative arts research outputs, a statement of no more than 250 words which must identify the research component of a research output (i.e. how it meets the ERA definition of ‘research’). See section 3.5.2 and Appendix E

Research theme	Institution-specific grouping of FoR codes representing multidisciplinary or interdisciplinary research endeavours based on the list at Appendix D. Institutions may choose to code the data they provide in ERA cluster submissions in accordance with such research themes, in which case the ARC will provide a reporting facility to enable institutions to analyse data for each research theme. See sections 3.3.3, 3.4 and Appendix D.
Reviewer	For ERA purposes, a reviewer is: (a) an expert reviewer; or (b) an ERA peer reviewer.
Round	For the complete set of eight ERA disciplinary clusters, the full ERA process (from submission to reporting of outcomes).
Running royalties	Royalties earned on the sale of products.
Scopus	The software product used by Elsevier, the citation data supplier for the PCE cluster. See sections 4.1 and 5.4.1.3.
Sensitive research outputs	Sensitive research outputs include, but are not limited to: commercially sensitive research outputs and culturally sensitive research outputs (see section 6.1).
Six-digit FoR	The lowest of the three hierarchical levels within ANZSRC Fields of Research. An example is '020603 Quantum Information, Computation and Communication'. Within the ANZSRC classification, this level is referred to as a 'Field', but the longer term 'Field of Research' applies to all three levels.
Staff census date	In identifying eligibility of researchers, for the first round of ERA the census date is to be taken as at 31 March 2008.
Staff full-time equivalence (FTE)	Where applicable for ERA purposes, FTE is calculated as outlined in section 5.3.2.3.
Staff Reference	A unique identifier given by the institution for each eligible researcher enabling them to be linked, within an ERA cluster submission, to their research outputs and/or applied measures (see section 5.3.2.2).
Strategic basic research	Has the meaning used in the ANZSRC, that is, 'experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas in the expectation of practical discoveries. It provides the broad base of knowledge necessary for the solution of recognised practical problems'.
Teaching and Research (Function)	Has the meaning set out under 'Teaching and Research' in section 5.3.2.7.
Traditional research outputs	Research outputs in the form of published books, book chapters, journal articles or conference publications.

Two-digit FoR	The highest of the three hierarchical levels within ANZSRC Fields of Research. An example is '02 Physical Sciences'. Within the ANZSRC classification, this level is referred to as a 'Division'.
Unit of Evaluation	The research discipline, defined by for each eligible institution. The discipline is defined as the four-digit level except in cases of low-volume research activity, where the relevant level is the two-digit FoR level. See section 3.3.1
XML	eXtensible Markup Language: A text based specification used to promote interoperable exchange of data through standardised validation mechanisms and expression of data in a human-readable, self-describing manner.