



# Australian Research Council

## Excellence in Research for Australia

University of Tasmania visit  
Humanities and Creative Arts





# Objectives of ERA

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.





# ERA Documents

- ERA Submission Guidelines
- ERA Evaluation Guidelines
- HCA discipline matrix
- ERA Indicator Principles
- ERA Indicator Benchmark Methodology





# ERA Clusters

Cluster 1	Physical, Chemical and Earth Sciences
<b>Cluster 2</b>	<b>Humanities and Creative Arts</b>
Cluster 3	Engineering and Environmental Sciences
Cluster 4	Social, Behavioural and Economic Sciences
Cluster 5	Mathematics, Information and Computing Sciences
Cluster 6	Biological and Biotechnological Sciences
Cluster 7	Biomedical and Clinical Health Research
Cluster 8	Public and Allied Health Sciences



# Research Codes



Australian Government  
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- RFCDs codes revised by Australian Bureau of Statistics
- Now ANZSRC codes – both grants and ERA

## Two digit codes

- Eg., 21 history and archaeology

## Four digit codes

- eg., 2103 Historical studies

## Six digit codes

- Eg., 210302 Asian History





# ANZSRC – Two digit codes

- 01 Mathematical Sciences
- 02 Physical Sciences
- 03 Chemical Sciences
- 04 Earth Sciences
- 05 Environmental Sciences
- 06 Biological Sciences
- 07 Agricultural and Veterinary Sciences
- 08 Information and Computing Sciences
- 09 Engineering
- 10 Technology
- 11 Medical and Health Sciences
- 12 Built Environment and Design
- 13 Education
- 14 Economics
- 15 Commerce, Management, Tourism and Services
- 16 Studies in Human Society
- 17 Psychology and Cognitive Sciences
- 18 Law and Legal Studies
- 19 Studies in Creative Arts and Writing
- 20 Language, Communication and Culture
- 21 History and Archaeology
- 22 Philosophy and Religious Studies





# ANZSRC – Four digit codes Humanities

<b>LANGUAGE STUDIES</b>	<b>2003</b>
<b>LITERARY STUDIES</b>	<b>2005</b>
<b>LINGUISTICS</b>	<b>2004</b>
<b>CULTURAL STUDIES</b>	<b>2002</b>
<b>COMMUNICATION AND MEDIA STUDIES</b>	<b>2001</b>
<b>OTHER LANGUAGE, COMMUNICATION AND CULTURE</b>	<b>2099</b>
<b>HISTORICAL STUDIES</b>	<b>2103</b>
<b>ARCHAEOLOGY</b>	<b>2101</b>
<b>CURATORIAL AND RELATED STUDIES</b>	<b>2102</b>
<b>OTHER HISTORY AND ARCHAEOLOGY</b>	<b>2199</b>
<b>PHILOSOPHY</b>	<b>2203</b>
<b>APPLIED ETHICS</b>	<b>2201</b>
<b>RELIGION AND RELIGIOUS TRADITIONS</b>	<b>2204</b>
<b>HISTORY AND PHILOSOPHY OF SPECIFIC FIELDS</b>	<b>2202</b>
<b>OTHER PHILOSOPHY AND RELIGIOUS STUDIES</b>	<b>2299</b>
<b>LAW</b>	<b>1801</b>
<b>OTHER LAW AND LEGAL STUDIES</b>	<b>1899</b>
<b>OTHER STUDIES IN HUMAN SOCIETY</b>	<b>1699</b>





# ANZSRC – Four digit codes Creative Arts

<b>PERFORMING ARTS AND CREATIVE WRITING</b>	<b>1904</b>
<b>VISUAL ARTS AND CRAFTS</b>	<b>1905</b>
<b>FILM, TELEVISION AND DIGITAL MEDIA</b>	<b>1902</b>
<b>JOURNALISM AND PROFESSIONAL WRITING</b>	<b>1903</b>
<b>ART THEORY AND CRITICISM</b>	<b>1901</b>
<b>OTHER STUDIES IN CREATIVE ARTS AND WRITING</b>	<b>1999</b>
<b>ARCHITECTURE</b>	<b>1201</b>
<b>URBAN AND REGIONAL PLANNING</b>	<b>1205</b>
<b>DESIGN PRACTICE AND MANAGEMENT</b>	<b>1203</b>
<b>OTHER BUILT ENVIRONMENT AND DESIGN</b>	<b>1299</b>





# ERA timeframe

- Trials in 2009 for two Clusters only
  - HCA submissions open and closes August 2009
  - HCA Evaluation in September to October
  - HCA REC final meeting in November
  - Outcomes by December 2009
- Full ERA process in 2010 (will include PCE and HCA again)





# ERA Update - consultation

In 2008:

- ERA Consultation Paper
- Indicators Development Group
- Humanities and Creative Arts Sub Groups
- PCE Working Group
- Visits to agencies in overseas countries that have undertaken research evaluations





## 2009 - Latest focus points for ERA

- Workshops on other six clusters and indigenous studies and the subsequent plan to release of draft matrices
- Development of esteem indicators
- Ranked refereed conference publications (tiered)
- Finalising the journal rankings lists for other Clusters – expert consultation
- Research Evaluation Committees for PCE and HCA being established



# ERA: Lessons learned



- Time needed to adjust thinking to the new approach – even in international context.
- Senior administrators and research offices understand the new approach, researchers are taking some time to get up to speed.
- Workshops held with researchers have shown that once they understand, there is strong support for the approach.
- Competing agendas between researchers, research disciplines and university administrators
  - Retrospective data collection challenging
  - Overemphasis on some indicators (e.g. journal rankings) by sector



# ERA: Lessons learned (cont.)



Australian Government

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- Esteem indicators are a good example of the tensions the ARC has to deal with but...
  - Researchers tend to favour their inclusion
  - Universities see them as adding unnecessary complexity to the submission process
  - Problems of robustness and fitting the indicator principles
  - Will they add anything to the evaluation process?
  - More to come on esteem





# Evaluation – the Unit to be assessed

- What is the ERA Unit of Evaluation?
- What is **not** a Unit of Evaluation?





# Level of Evaluation in ERA

Level of evaluation	Comparison
National	Performance against Australian average
Two-digit FoR	High-level discipline performance
Four-digit FoR*	Detailed discipline performance

\* The detail of the six-digit codes is essential when considering the four-digit FoRs





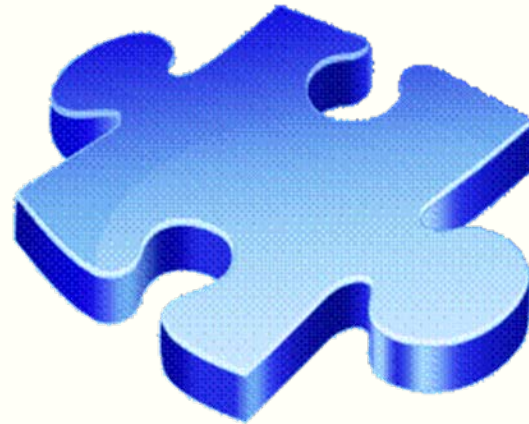
# The ERA approach

- Note submission guidelines for guidance on eligibility
- All research outputs must be submitted
- Journal articles are mapped by **journal FoR** assignment
- Non-journal outputs may be assigned to up to three FoRs
- Institutions may tag research outputs with two institutional codes and two research theme codes





# Overview of evaluation and processes





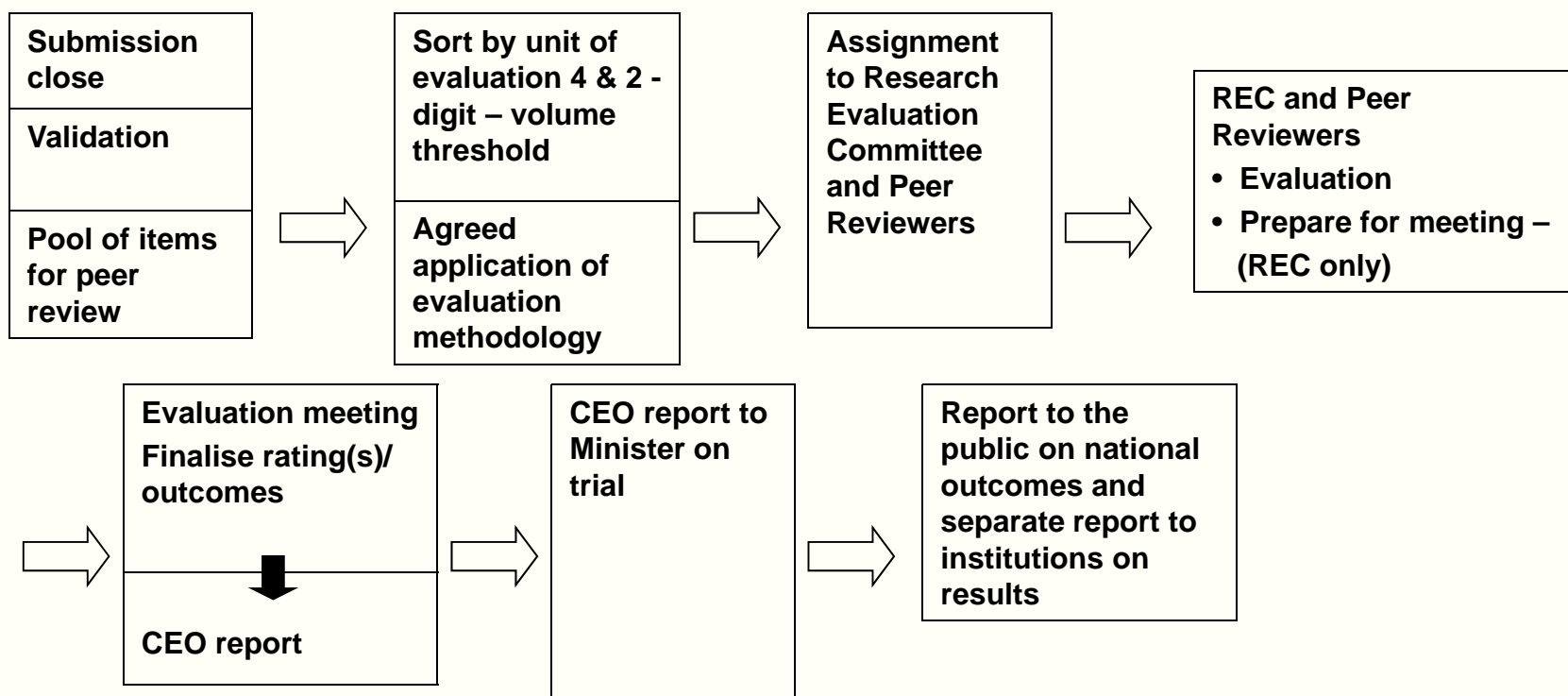
# Overview of ERA Evaluation

## Key Documents

## Submission Guidelines

## Indicator Benchmark Methodology

## Evaluation Guidelines





# The Discipline Matrix

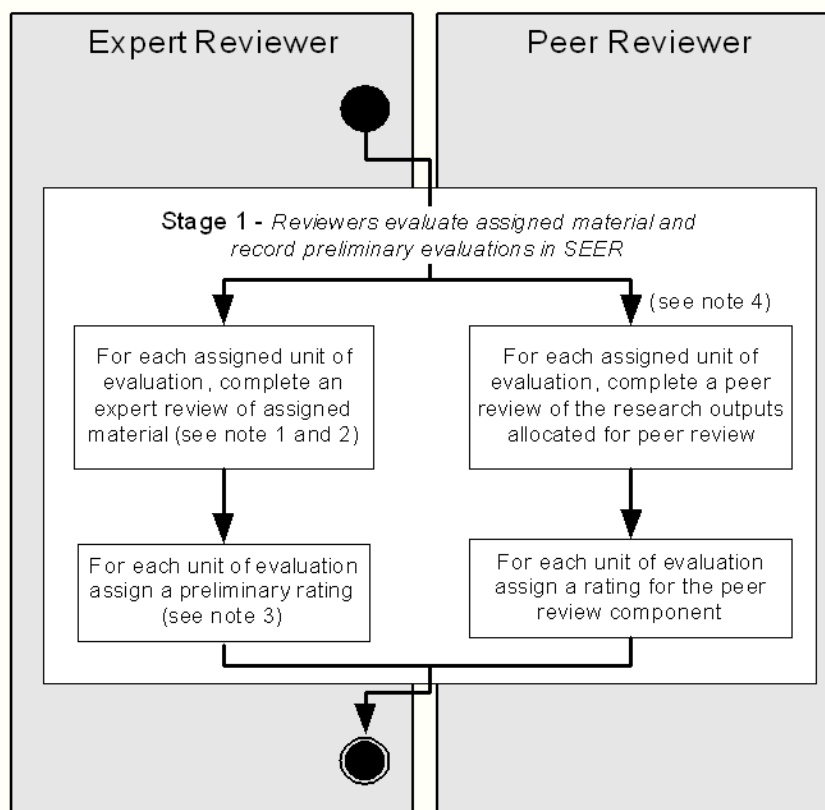
	Volume and Activity Analysis				Ranked outlets		Citation Analysis			Income			
	Eligible researchers profiled by Academic Level	Research Publication outputs by type	Proportion of total publication activity	Proportion of indexed journal articles with international co-authors	Journals	Refereed Conference Publications	Citations per paper against Australian and world Benchmarks	Centile analysis	Distribution of papers against relative citation rate bands	Category 1	Category 2	Category 3 (including sub-categories)	Category 4
<b>02 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 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 Earth Sciences</b>													
0401	Atmospheric Sciences	✓	✓	✓	✓	☐	✓	✓	✓	✓	✓	✓	✓
0402	Geochemistry	✓	✓	✓	✓	☐	✓	✓	✓	✓	✓	✓	✓
0403	Geology	✓	✓	✓	✓	☐	✓	✓	✓	✓	✓	✓	✓
0404	Geophysics	✓	✓	✓	✓	☐	✓	✓	✓	✓	✓	✓	✓
0405	Oceanography	✓	✓	✓	✓	☐	✓	✓	✓	✓	✓	✓	✓
0406	Physical Geography and Environmental Geoscience	✓	✓	✓	✓	☐	✓	✓	✓	✓	✓	✓	✓
0499	Other Earth Sciences	✓	✓	✓	✓	☐	✓	✓	✓	✓	✓	✓	✓





# Three stages to evaluation

- Stage 1- page 20



#### Notes:

1. For disciplines where peer review is an indicator, an expert reviewer will normally also perform peer review as part of their review.

2. Assigned material may include ranked journals, citation analysis and other supporting material, for example, research income profiles.

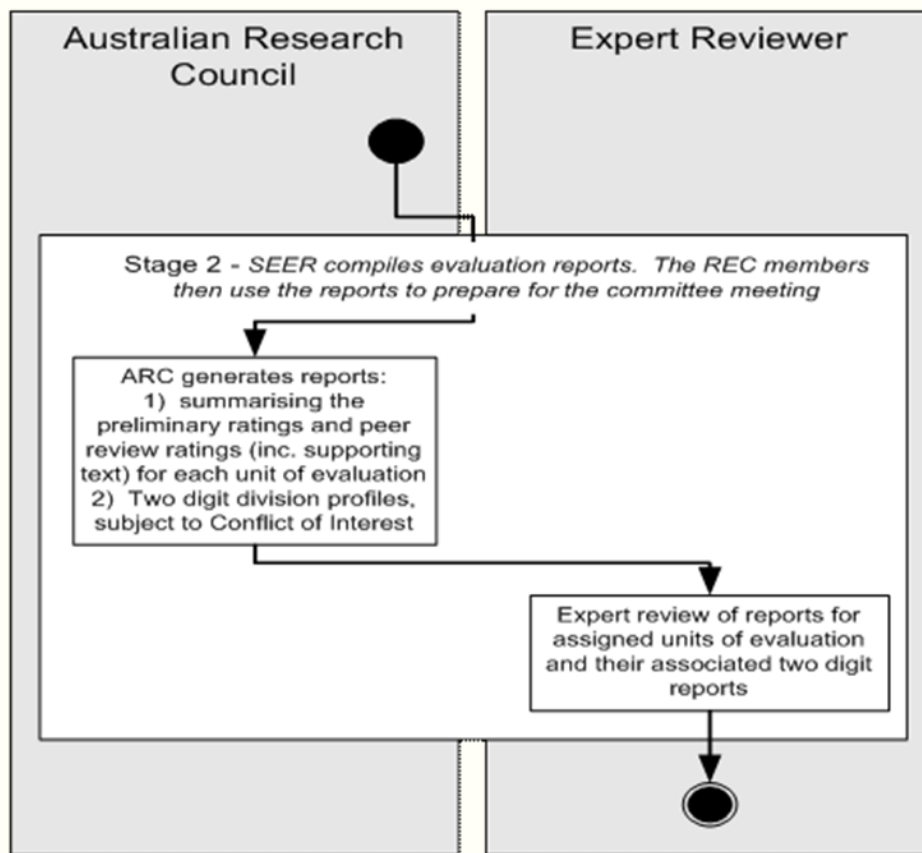
3. If an expert reviewer also completes peer review for a unit of evaluation, there is still only one preliminary rating given for that unit of evaluation. Peer review in this context does not get rated separately.

4. Not all units of evaluation will have a peer review component. Please refer to the Discipline Matrix for the relevant disciplines.



# Three stages to evaluation

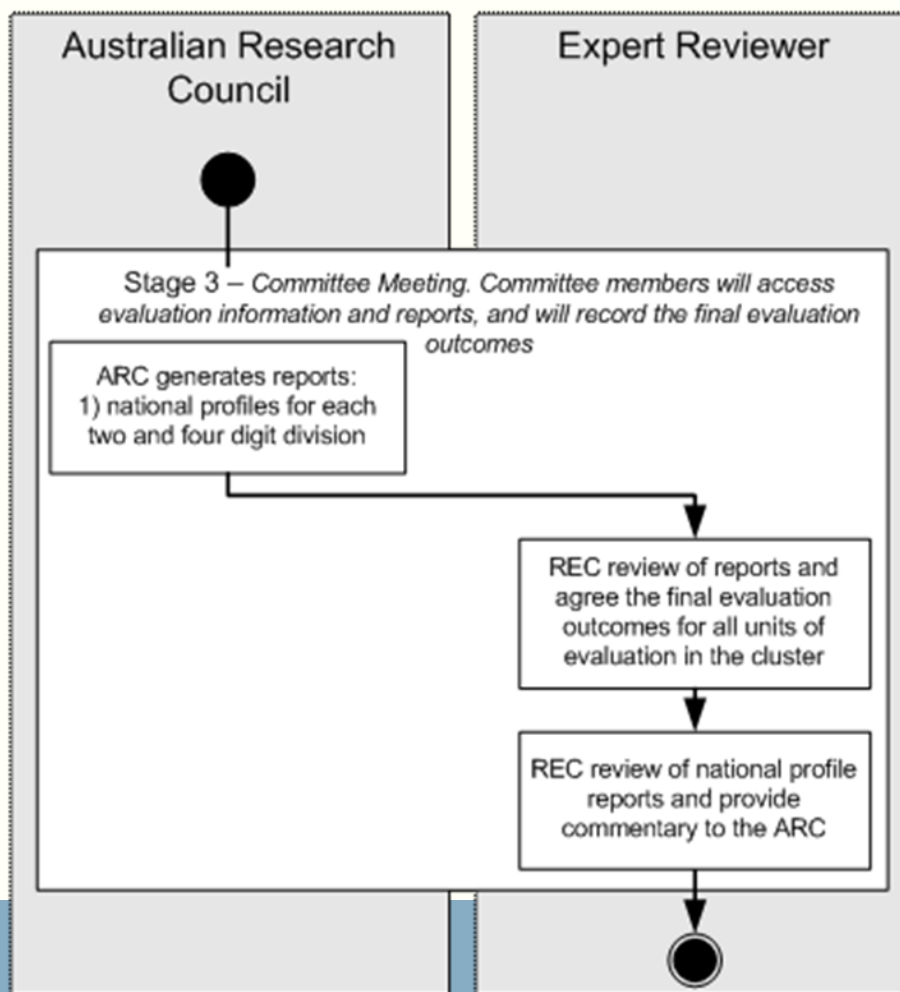
- Stage 2- page 32





# Three stages to evaluation

- Stage 3- page 34



# HCA – Evaluation



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## Outputs

Ranked Journals

Peer Review

## Supporting Information

Volume and Activity – outputs and people

HERDC Research Income

Applied Indicators – Registered Designs,  
Patents and Commercialisation income

Two- digit background statement





# Low volume thresholds

- It is recognised that for some disciplines there may not be sufficient research volume to undertake a valid analysis at the four-digit level
- In these instances, the ARC will undertake quantitative analysis at the two-digit level
- All outputs will contribute to the national analysis and benchmarks





# Evaluation guidelines

- ERA Evaluation Guidelines – working document for the trial in 2009
- Contents focus on: role and responsibilities of RECS and Peer Reviewers, outline of evaluation processes, and the rating scale





# The Rating Scale

- On page 19 of ERA Evaluation Guidelines
- Ratings are 1 to 5 (5 the highest)
- In order to achieve a rating at a particular point on the scale, the majority of **output** from the Unit of Evaluation will normally be expected to meet the standard for that rating point.





# The ERA “Dashboard”

- A series of quantitative profiles presented to a Research Evaluation Committee as proxies of quality for a Unit of Evaluation.
- Examples of the quantitative profiles are in the Evaluation Guidelines





# Key Indicators on ERA Dashboard





## Ranked Outlets

- Journals - compared with Australian institutions and international benchmarks (where relevant)
- Ranked Refereed Conference Publications (*under development for other Clusters – not HCA*)



# Peer Review



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- Institutions select up to 20% of outputs from Units of Evaluation – Four and Two-digit (+ low volume ) Units
- The REC select a representative sample from the 20% for peer review at Four and/or Two-digit levels.
- Considerations of research component of research outputs
- REC Members undertake peer review of outputs, supported by Peer Reviewers (external experts)
- peer review is one “indicator” on the Dashboard
- Peer Reviewers evaluate research quality based on sample of outputs.





# Other Supporting Information

- Volume and Activity – output types and people (FTE and headcount)
- HERDC Income Categories 1- 4 - *Income* - reported across all categories as interpreted as per the HERDC specifications, and compared against Australian benchmarks
- Standard patents sealed
- Research commercialisation income
- Registered Designs
- Two-digit background statement





# Interdisciplinary Research

- ERA is a discipline-based evaluation
- Re-assignment of Two-digit and multi-disciplinary outputs
- Discipline Profile and its use
- Institutional tools (not part of evaluation)





# Field of Research Re-Assignment

## DIVISION 20 LANGUAGE, COMMUNICATION AND CULTURE

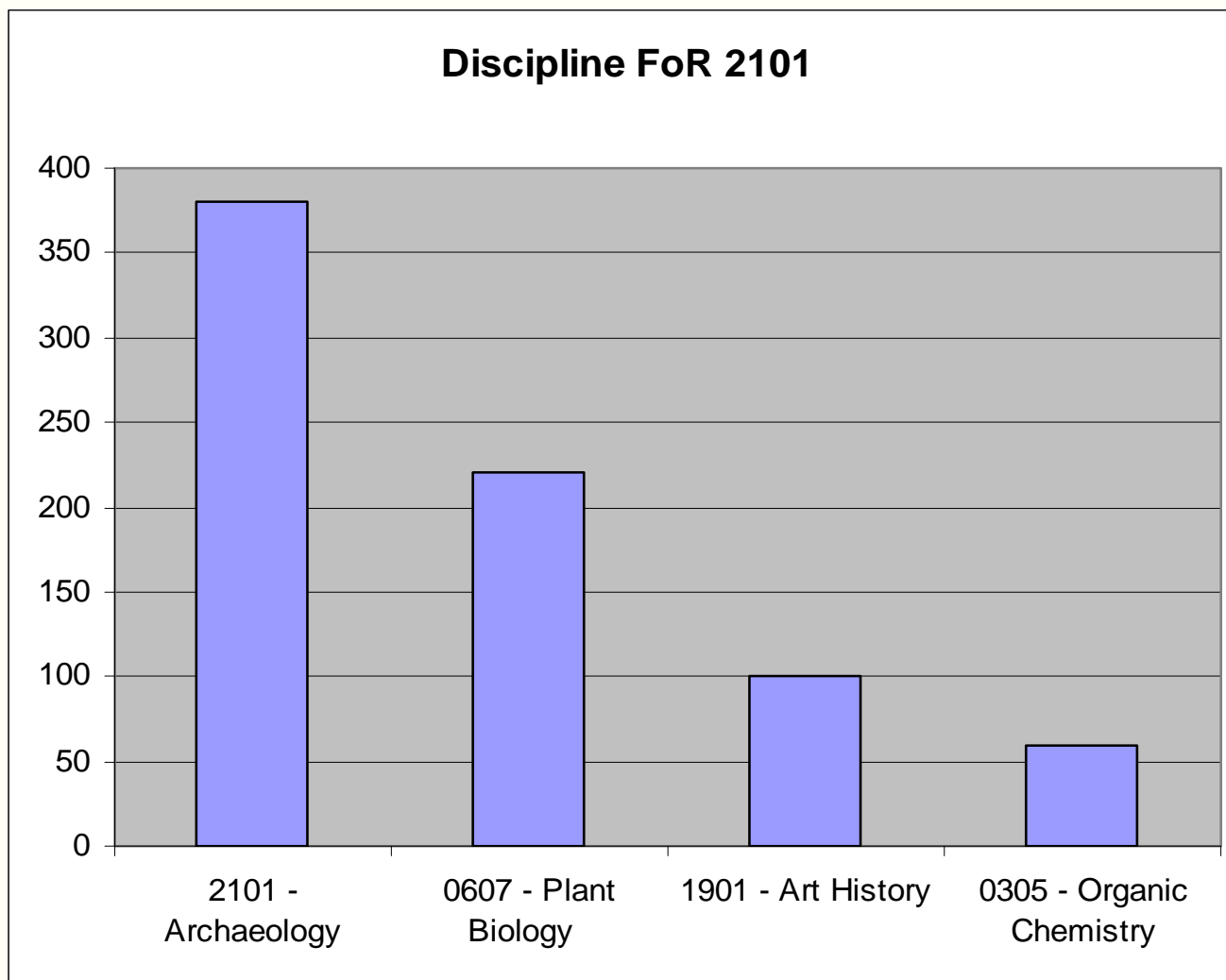
2001 Communication and Media Studies	34
2002 Cultural Studies	47
2003 Language Studies	16
2004 Linguistics	83
2005 Literary Studies	46
2099 Other Language, Communication and Culture	38

*63 General Language, Communication and Culture articles to be re-assigned by the ARC*





# Discipline Profile and its use – 4-digit





# Institutional Tools

- Institutions may tag research outputs with two institutional codes and two research theme codes
- This will assist in recompiling data
- The tagging will not be used for ERA evaluation purposes





# ARC – outcomes of trial

- institutional reports
- a national outcomes report
- After trial for PCE and HCA – review of process and outcomes
- Lessons learned will inform the full evaluation in 2010

