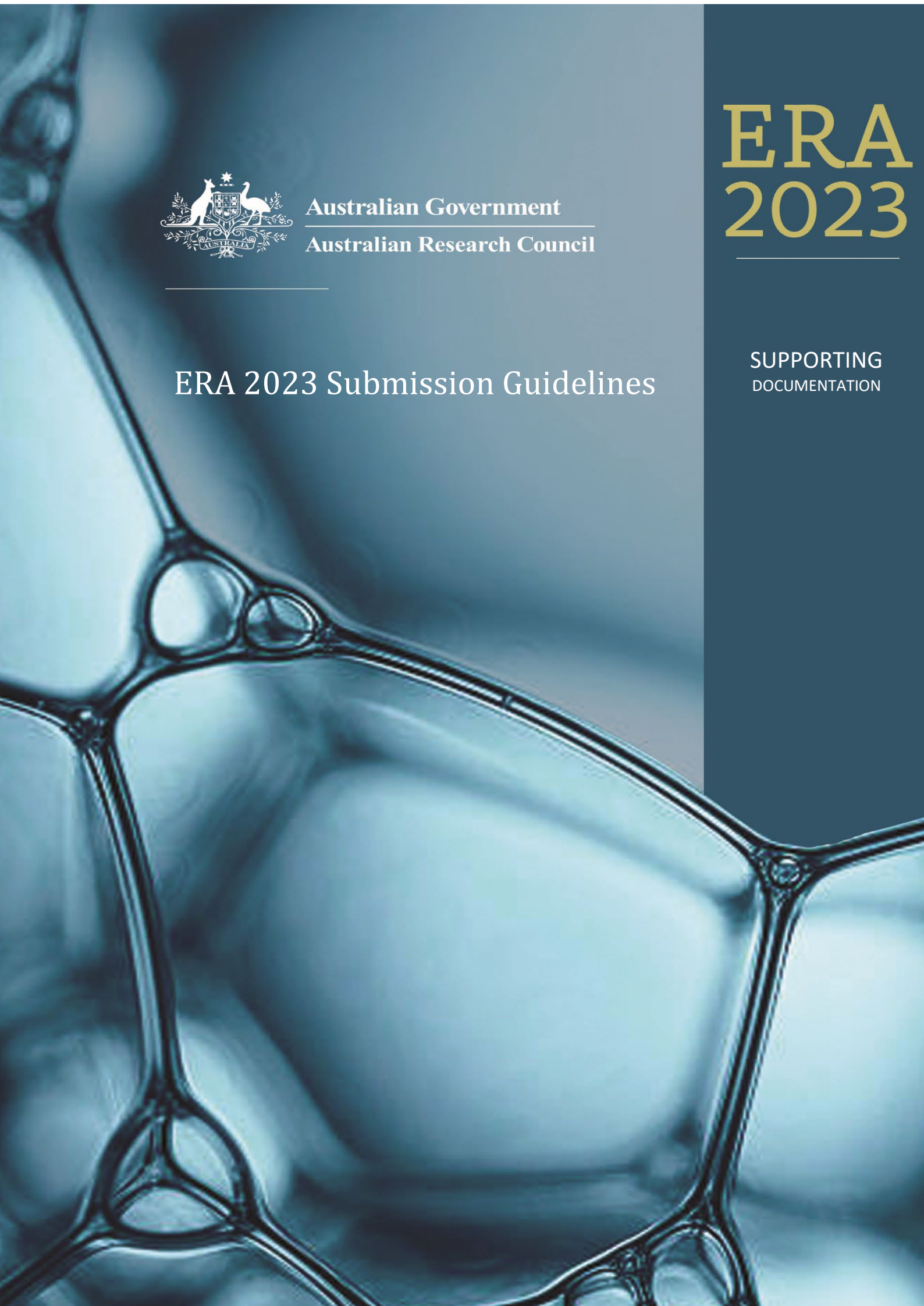

Australian Government
Australian Research Council

ERA 2023

ERA 2023 Submission Guidelines

SUPPORTING
DOCUMENTATION

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1. ERA overview

1.1 Introduction

The Australian Research Council (ARC) is responsible for administering Excellence in Research for Australia (ERA), Australia's national research evaluation framework. ERA aims to identify and promote excellence across the full spectrum of research activity, including discovery, experimental and applied research within Australian higher education institutions.

ERA 2023 will evaluate the quality of the research undertaken in eligible higher education providers ('institutions'). Institutions evaluated as part of ERA are those listed at Appendix A – Eligible institutions.

1.2 Objectives

The objectives of ERA are:

1. **Promoting Excellence:** Rigorously assess research quality to promote pursuit of excellence across all fields and all types of research.
2. **Informing Decisions:** Provide a rich and robust source of information on university research excellence and activity to inform and support the needs of university, industry, government, and community stakeholders.
3. **Demonstrating Quality:** Provide government and the public with evidence of the quality of research produced by Australia's universities.
4. **Enabling Comparisons:** Allow for comparisons between Australian universities and against world standard for all discipline areas.

1.3 Use of ERA information

The ARC will publish outcomes of the evaluations for all disciplines at the four-digit and two-digit Field of Research (FoR) level. Information published will include outcomes at an institutional and national level. The ARC will also make additional information available to individual institutions with respect to the evaluation of the disciplines within their institutions. Select submitted data from ERA 2023 submissions will also be published (refer to section 6.2).

The Tertiary Education Quality and Standards Agency (TEQSA) will have regard to ERA results when assessing the research quality requirements for Australian Universities under the Higher Education Standards Framework.

1.4 Documentation

Institutions should read the *ERA 2023 Submission Guidelines* in conjunction with the following documents, provided on the ARC website – www.arc.gov.au > ERA > ERA 2023

- The *ERA SEER 2023 Business Rules and Verification* – this provides information to institutions about the system checks that SEER (System to Evaluate the Excellence of Research) will perform against institution submission data for ERA.
- The *ERA SEER 2023 Technical Specifications* – this provides technical requirements and information for institutions on preparing and submitting ERA 2023 submissions.
- The *ERA 2023 Discipline Matrix* – this provides information on the indicator applicability for each discipline. This information is provided as a table in Microsoft Excel format.

- The *ERA 2023 Submission Journal List* – this provides a list of eligible journals and the FoRs assigned to them for ERA 2023. This information is provided as a table in Microsoft Excel format.
- The *ERA 2023 Submission Conference List* – this provides a lookup table for the conference publication outlets. This information is provided as a table in Microsoft Excel format.
- *ERA 2023 Submission Publisher List* – this provides publisher look up tables for books and book chapters. This information is provided as tables in Microsoft Excel format.

1.5 Submission Phase Timeline

Stage	Start Date	Deadline	Responsible
Submission	6 March 2023	31 March 2023	Institutions
Data integrity	3 April 2023	27 April 2023	ARC, with institutions
XML Certification	28 April 2023	3 May 2023	Institutions

NOTE – The ARC's web-based application for ERA, System to Evaluate the Excellence of Research (SEER) will be open for university submission testing between Monday 20 February 2023 and Sunday 5 March 2023. During this time, limited ARC support will be available to universities. Full support will start with the opening of submissions on 6 March 2023.

1.6 Definitions

1.6.1 Fields of research

The Fields of Research (FoRs) used in ERA are defined by the Australian and New Zealand Standard Research Classification (ANZSRC) 2020, which categorises research according to common knowledge domains and/or methodologies used in research. ERA uses the FoRs at the four-and two-digit level.

1.6.2 Research

ERA defines research as the creation of new knowledge and/or the use of existing knowledge in a new and creative way to generate new concepts, methodologies, inventions and understandings. This could include the 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 comprising *"creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge"*[1]

[1] OECD (2015), Frascati Manual: Guidelines for Collecting and Reporting Data on Research and Experimental Development, Paris (Page 28).

1.6.3 Disciplines

ERA defines disciplines as four-digit and two-digit FoRs, as identified in the (ANZSRC) 2020. The 2020 classification includes the new FoR Division – 45 Indigenous studies.

Institutions submit data for ERA at the four-digit FoR level. The ARC calculates indicators at the four-digit and two-digit FoR levels based on the data each institution submits. The ARC combines this information to create four-digit and two-digit Units of Evaluation (UoE). See section 3.2 for more information. For the full list of disciplines and FoR codes see the *ERA 2023 Discipline Matrix*.

1.6.4 Indicators

In ERA, Research Evaluation Committees (RECs) evaluate and rate UoEs. RECs consist of experienced, internationally recognised experts. Two broad categories of indicators inform their evaluations:

1. **Indicators of research quality**
   Research quality is considered based on citation analysis or ERA peer review (3.6).
2. **Indicators of research activity**
   Research activity indicators provide context for the evaluation of a UoE. Research activity is considered based on research outputs and research income within the context of the profile of eligible researchers.

1.7 Provision of additional information

The ARC will provide any further information regarding the ERA 2023 processes on its website www.arc.gov.au > ERA > ERA 2023. The ARC will provide this information to the nominated ERA Liaison Officers within institutions as it becomes available.

The ARC will provide information about the ERA 2023 citation data supplier and about how to obtain unique output identifiers on the ARC website – www.arc.gov.au > ERA > ERA 2023.

1.8 Further assistance

Please direct queries regarding ERA to the ERA helpdesk by phone during Canberra business hours at (02) 6287 6755 or via email: era@arc.gov.au

2. Key changes to the submission guidelines for ERA 2023

There have been some changes to the ERA submission guidelines since ERA 2018. These changes are largely in response to the recommendations of the ERA EI Review and the adoption of the ANZSRC 2020. A summary of both the ERA EI Review and ANZSRC 2020 are provided below followed by a list of the specific changes for ERA 2023.

NOTE – the changes listed below are also relevant to the *ERA-SEER 2023 Business Rules and Verification*, *ERA-SEER 2023 Technical Specifications* and other ERA documentation. Institutions need to refer to these documents when preparing their ERA submission.

2.1 ERA EI Review

In 2020-2021, the Australian Research Council (ARC) conducted a comprehensive review of Excellence in Research for Australia (ERA) and the Engagement and Impact (EI) assessment. The purpose of the review was to enable the ARC to:

- simplify and streamline the programs
- take advantage of recent developments in technology and big data
- ensure the programs continue to reflect world's best practice
- respond to the ongoing needs of the university sector, government, and the public for a robust evaluation of Australian university research quality, impact, and engagement.

Several of the review recommendations are incorporated into ERA 2023 and are outlined in sections 2.3 and 2.4.

2.2 ANZSRC 2020

There have been significant updates across all components of ANZSRC between the 2008 and 2020 iterations of the classification. These include:

- updates to Fields of Research (FoRs)
- introduction of FoR 45 Indigenous studies.

The ANZSRC 2020 four- and two-digit codes will be used in ERA 2023.

2.3 Data collection

Aboriginal and Torres Strait Islander research

- For ERA 2023, the addition of 'Indigenous Status' for researchers as an optional field (4.3.2.4).
- Removal of the Aboriginal and Torres Strait Islander Research flag for research outputs due to inclusion of new FoR 45 Indigenous Studies.

Member of staff definition

- For ERA 2023, a member of staff is a person who performs duties for the institution or one of its Australian-based controlled entities (4.3.1.1.2)

Research income (4.5)

- Research income refers to the income data reported under the Higher Education Research Data Collection (HERDC), conducted by the Department of Education Skills and Employment (DESE). The HERDC Specifications refer to categories of income as Research and Development (R&D). For the purposes of the collection of this income data for ERA, the ERA documents and SEER refer to this as research income.
- The Australian Competitive Grants Register (ACGR) is no longer maintained by DESE and the research income collection for ERA has been streamlined to align with DESE requirements.
- Category 1 Australian Competitive Grants research income data is collected at the category level.
- Grant ID data is no longer required.
- The proportion of grant completed in the reference period is no longer required.
- Category 3 Industry and Other research income data is collected at the category level.

Applied Measures

- Applied Measures are no longer required for ERA 2023. These include:
  - Plant breeder's rights
  - Patents
  - Registered designs
  - Research commercialisation income
  - NHMRC endorsed guidelines.

Sensitivity flag

For ERA 2023, the cultural sensitivity flag has been removed. In its place, a broader sensitivities flag has been included (6.1.1). The flag is intended to assist REC members, reviewing peer review research outputs in the 30% peer review sample, to identify, before reading a research output, if sensitivities potentially relevant to them are present. To assist in describing the sensitivity, the *ERA 2023 Technical Specifications* includes a list of attributes for universities to select from. For sensitivities not covered by attributes 1 to 5, other sensitivities may be added using attribute 6.

The attributes are:

1. Indigenous/First Nations people should be aware that this output contains images, voices and/or names of deceased persons.
2. Indigenous/First Nations people should be aware that this output is about women's business.
3. Indigenous/First Nations people should be aware that this output is about men's business.
4. Assessors should be aware that this output contains content related to any of the following: violence, family or domestic violence, self-harm, sexual assault, suicide, family child removal, refugee experiences, war survivor experiences or other traumatic experiences that may be distressing or harmful to some people.
5. Assessors should be aware that this output contains content with explicit language, hate speech, nudity or sexuality, drug use which may be confronting and potentially distressing to some people.
6. Sensitive note other – free text.

Repositories

For ERA 2023, the following file types are no longer acceptable:

- Microsoft PowerPoint (i.e. .ppt)
- Microsoft Word documents with embedded macros (i.e. .docm)
- Microsoft Excel files (i.e. .xls etc.)

All communications between SEER and institutionally supported repositories must occur over HTTPS (Hypertext Transfer Protocol Secure) and with encryption support TLS 1.2 (Transport Layer Security 1.2).

The size of individual files within the institution repositories has been increased to 200MB in ERA 2023 from 30 MB in previous ERA rounds.

Institutions are required to perform adequate virus scanning[2] on all repository files with an updated virus-scanner, prior to making them available for upload by reviewers.

Further information is available in *ERA-SEER 2023 Technical Specifications*.

2.4 Action on false/misleading data

Clarification regarding ability for the ARC to act on incorrect coding or false/misleading data (6.8)

- Where the ARC believes that any part of an institution's submission does not fully comply with the ERA 2023 submission documentation or any other part of the ERA methodology, the ARC may take any action it considers necessary to maintain the integrity of the ERA data and processes. This includes, but is not limited to, removing part, or all, of a submission from evaluation or not providing a rating for relevant UoE(s) and requesting an audit of the submission data. A further change in ERA 2023 is that RECs may request that UoEs, or research outputs, be excluded where significant miscoding has occurred. RECs will also be able to request a recalculation of citation profiles in the case of UoEs evaluated using the citation analysis methodology.

2.5 Response to the impact of the COVID-19 pandemic

The ARC understands this is a difficult time for universities and their researchers. The impact of the COVID-19 pandemic on research activities may differ across disciplines and universities due to the range of government health measures imposed, and differences in local outbreak severity and jurisdictional responses.

To assist with any difficulties faced by researchers in producing research outputs, a temporary measure is being implemented for ERA 2023. The requirement for the 30% ERA peer review sample to be a representative sample of research output types (3.6) has been waived. The requirement that the peer review sample must be drawn from a representative sample of the institution's eligible researchers for a four-digit FoR remains. Where relevant, universities may also explain the impact of the pandemic on a discipline in the explanatory statement (4.2).

[2] 'Adequate virus scanning refers to any virus scanner that utilises updated signature files.

3. Key elements of ERA

3.1 Meet the definition of research

Institutions must ensure that all research outputs meet the definition of research (1.6.2). The ARC may exclude outputs that do not meet this definition of research (see also 6.8). If institutions include outputs that do not meet the definition of research, this may adversely affect the ratings the RECs assign during the evaluation process.

3.2 Unit of evaluation

The Unit of Evaluation (UoE) for ERA is the FoR at the institution. ERA evaluates research at the four-digit and/or two-digit FoR level at an institution if a UoE meets the low volume threshold (3.3).

3.3 Low volume threshold

To ensure that ERA evaluates meaningful levels of data, there is a low volume threshold for each UoE.

For FoRs evaluated using citation analysis, the threshold is 50 apportioned indexed journal articles (see 4.4.8.3 for more information on indexed journals). If the number of apportioned indexed journal articles over the six-year output reference period is less than 50 in any four-digit or two-digit FoR at an institution, then that FoR at that institution will not be evaluated.

NOTE – the number must be 50 or greater. For example, 49.9 will not be rounded up to 50 and meet the low volume threshold.

For FoRs that are evaluated using peer review, the threshold is the equivalent of 50 weighted apportioned research outputs, books have a weighting of 5:1 compared to other research outputs. If the number of weighted apportioned research outputs over the six-year output reference period is less than 50 in any four-digit or two-digit FoR at an institution, then ERA will not evaluate that FoR at that institution. This is the only time in ERA that books count as more than one output.

Appendix C provides further examples to explain the low volume threshold.

When an FoR at an institution does not meet the low volume threshold, that UoE will not be evaluated and will be reported publicly as 'not assessed'. However, institutions must submit all data at the four-digit FoR level (see section 3.4 on comprehensiveness).

3.4 Comprehensiveness

Institutions must submit all information for all eligible researchers and all eligible research items produced within the ERA 2023 reference periods. Institutions must submit this information even when it relates to UoEs which do not meet the low volume threshold (3.3 contains further information on the low volume threshold).

3.5 Evaluation of interdisciplinary and multidisciplinary research

ERA will evaluate interdisciplinary and multidisciplinary research within their component FoRs.

To facilitate the evaluation of interdisciplinary and multidisciplinary research, institutions may assign up to three four-digit FoR codes to eligible researchers and research outputs. Where institutions have assigned multiple FoR codes to researchers or research outputs, they must give a percentage apportionment of that assignment for each FoR code (4.4.3.2). For a research output, the apportionment must reflect the content of the output.

Institutions should not base coding decisions on university structures, such as bringing together the research output of an inter/multidisciplinary research centre within an institution. For a researcher, the apportionment should reflect the FoRs in which the researcher is active. In recognising that researchers may undertake research outside of the usual focus of their activities, the FoR codes assigned to an eligible researcher do not determine the assignment of FoR codes to outputs authored by that researcher (4.3.2.7 and 4.4.3).

Institutions can assign journal articles with significant content from a particular FoR to that FoR, regardless of which FoR codes the journal in the *ERA 2023 Submission Journal List* has assigned to it (4.4.3.1).

NOTE – this may be particularly relevant for Indigenous studies research outputs where the journal in which the output is published may not have been assigned an Indigenous studies code.

3.6 ERA citation analysis and peer review

ERA evaluations are conducted by expert reviewers from Australia and overseas. Peer review and citation analysis both provide information to help reviewers in their decisions.

ERA uses citation profile analysis as an indicator of research quality in disciplines where there are sufficient outputs in indexed peer-reviewed journals to allow robust citation analysis.

In disciplines with more diverse outputs, journal citation analysis may not be sufficiently robust. In those disciplines, peer review of a sample of outputs across all output types is the indicator used.

The *ERA 2023 Discipline Matrix* lists which indicator (either peer review or citation analysis) is used for each FoR in ERA.

For ERA, the peer review process involves review by experts of a sample of the research outputs submitted rather than review of all submitted outputs.

Institutions must nominate a sample of 30% of their submitted outputs for peer review for each four-digit FoR. Institutions choose which research outputs to nominate for peer review. However, institutions must draw the peer review sample from a representative sample of the institution's eligible researchers for that four-digit FoR.

In acknowledgment of the COVID-19 pandemic and its impact since early 2020, the requirement that the 30% peer review sample must be representative of the submitted research output types has been waived (2.5) for ERA 2023.

For calculating the 30% peer review sample, all outputs have equal weighting in peer review. That is, books have the same weighting as journal articles and count as one item.

The institution must identify the FoR code(s) in which the research output is nominated for peer review. Where a research output has multiple four-digit FoR codes assigned, institutions may nominate in which of the four-digit codes (one or more) they wish the output to be peer reviewed.

The peer review sample for a two-digit FoR is made up of the samples from the four-digit FoRs that sit within the two-digit FoR. This includes low volume four-digit FoRs. The ARC will collate the two-digit peer review sample. Institutions do not need to nominate items for peer review at the two-digit level.

Institutions must make all research outputs nominated for ERA peer review available to the ARC in digital format via an institutionally supported repository (6.3). In addition, a statement identifying the research component of the output (Appendix D) must accompany each non-traditional research output (NTRO) (4.4.9).

3.7 Reference periods

The ARC will collect submission data for ERA 2023 for the following reference periods:

Data type	Reference period	Years
Research outputs	1 January 2016 – 31 December 2021	6
Research income	1 January 2019 – 31 December 2021	3
Staff Census Date	As at 31 March 2022	–

4.4.5 and 4.5.2 have additional information on the rules for the reference periods.

Data for eligible researchers is based on a single census date – 31 March 2022.

4. ERA Submission data

4.1 Submission components

The main components of an ERA submission include:

- explanatory statements at 4.2
- eligible researcher data at 4.3
- data on research outputs at 4.4
- data on research income at 4.5

This section details the eligibility criteria and data requirements for each of these components. Data requirements summary tables are located as follows:

- for eligible researchers at Appendix E
- for research outputs:
  - books – authored research at Appendix F1
  - chapters in research books at Appendix F2
  - journal articles – refereed, scholarly journals at Appendix F3
  - conference publications – full paper refereed at Appendix F4
  - NTRO types at Appendix F5.

4.2 Explanatory statements

The ARC requires institutions to submit brief written statements to accompany their data. The purpose of these statements is to provide context for the data institutions submit within each two-digit FoR. Explanatory statements enable institutions to identify additional factors (such as any apparent anomalies or unusual patterns in the data) that REC members may need to consider in making an informed evaluation.

The focus of the explanatory statements must be limited to research activities that took place in the six-year research outputs reference period from 1 January 2016 to 31 December 2021. Although statements must address the two-digit FoR, they may also provide explanations for the corresponding four-digit FoRs, as REC members will view the explanatory statements alongside both levels of data. Information and claims contained within the statements must align with the associated submission data.

Explanatory statements may include the following components:

- Overview – a brief outline of background information relevant to the performance and development of the FoR under consideration. This could include a description of research focus, and trends or shifts in research focus, within the two-digit FoR.
- Publication profile – a description of research strengths (including those underrepresented by the indicators) and an explanation of discipline-specific publishing trends (e.g., those that would come about from a particular applied or regional focus).
- Capacity and environment – a profile of staffing, including any significant changes in overall staff or resources over time, and the effect of the staffing profile on research activity. This includes identification of any significant changes in overall staff or resources over time, and

the effect of the staffing profile on research activity. Additionally, a description of research group compositions and information on how early career researchers and higher degree by research (HDR) students have contributed to the production of the research outputs submitted.

- Spectrum of activity – the range of research activity, including fundamental research, strategic research, applied research, experimental development and information about interdisciplinary trends.
- Other – any other information that further explains the research activity undertaken and enables an informed evaluation. This may include additional factors not captured in the submission (such as awards/prizes, collaborations).

Explanatory statements must not include data that appears elsewhere in the submission, references to individual researchers (where possible), and embedded links, tables or figures.

Explanatory statements must not include additional metrics. For example, download count, social media data or citation count.

Institutions must provide one explanatory statement for each two-digit FoR that meets the low volume threshold. Each statement has a limit of two pages for the components outlined above, Arial 11 point, with no images, charts or links to external information and must be uploaded as a machine-readable PDF.

Impact of the COVID-19 pandemic – explanatory statement addendum

In recognition of the impacts of the COVID-19 pandemic for ERA 2023, if the discipline at the institution has been impacted by the pandemic during the reference period, the impact can be described. When describing these impacts, institutions should outline the specific implications for the UoEs covered by the explanatory statement. The information should include the challenges experienced, the effects on research capacity, changes in publication profile of affected UoEs, and the relevant years in the reference period.

An additional page has been added to the explanatory statement. The third page is limited to outlining the impacts of the COVID-19 pandemic and **must not** exceed 250 words. Like the main explanatory statement, it must be in Arial 11 point, with no images, charts or links to external information. It must not contain data that appears elsewhere in the submission, references to individual researchers (where possible) or additional metrics.

If an Explanatory Statement and addendum do not meet the requirements as stated in 4.2, ARC staff will remove it and request the institution submit a corrected version. Corrected versions must be submitted prior to the closing date for submission. Refer to the *ERA SEER 2023 Technical Specifications* for further detail on how to submit explanatory statements.

4.3 Researchers

4.3.1 Eligible researcher criteria

NOTE – If staff are eligible, institutions must report them in their ERA submission.

This section sets out the researcher eligibility criteria for ERA. Institutions must use these criteria to determine the eligibility of research outputs for submission.

A flowchart overview of the eligibility criteria is shown in Figure 1 for illustrative purposes. The flowchart shows how researcher and research output eligibility interact for FTE staff, and for casual and other-employed staff. Further explanation of researcher eligibility and worked examples are in the following sections and at Appendix E.

For information on preparing submissions, see section 5.2.1. A summary of all data requirements for eligible researchers is at Appendix E.

4.3.1.1 Key eligibility criteria for researchers

To be eligible, researchers must meet the criteria for:

- ERA staff census date
- ERA definition of a member of staff
- ERA definition of affiliation

Only if these criteria are met, are the researcher's research outputs eligible for ERA, noting that each research output must also meet the eligibility criteria relevant for the output type.

4.3.1.1.1 Staff census date

Researchers must be affiliated with the institution on the staff census date. For ERA 2023, the staff census date is **31 March 2022**. The staff census provides a snapshot of staff members' employment status and function on that date. For example, if an FTE staff member was employed between 1 April 2021 and 30 March 2022 at 0.6 FTE but moved to 0.3 FTE on 31 March, their FTE for the purpose of ERA is 0.3.

4.3.1.1.2 Definition of a member of staff

Institutions must read this section in conjunction with the following section **'4.3.1.1.3 Definition of affiliation'.**

The following definition aligns with the definition of member of staff specified for the Higher Education Staff Data Collection (HESDC)[3].

Definition

A member of staff is a person who performs duties for the institution or one of its Australian-based controlled entities[4] and is:

[3] see HESDC glossary for 'Member of Staff'

[4] A 'controlled entity' is as defined by Section 50AA of the *Corporations Act 2001.* In previous ERA rounds, wholly owned foreign entities were eligible. In ERA 2023, the definition has been revised to only include controlled entities within Australia.

(a) A person employed by the institution or one of its Australian-based controlled entities on a full-time or fractional full-time basis

OR

(b) A person employed by the institution or one of its Australian-based controlled entities on a casual basis

OR

(c) An employee of another institution who is working at the institution or one of its Australian-based controlled entities as:

- visiting staff
- exchange staff
- seconded staff

OR

(d) A person who works for the institution or one of its Australian-based controlled entities on a regular basis but receives no payment (e.g. unpaid visiting fellows).

Note – the employment status for members of staff (a) – (d) is described in section 4.3.2.9.

Inclusions

This definition includes:

- staff in the above categories who are in temporary positions or are conjoint, clinical or adjunct appointees
- employees of the institution or one of its Australian-based controlled entities who work outside Australia.

Exclusions

This definition excludes:

- employees of another institution or organisation providing services to the institution on a contract basis
- self-employed workers
- HDR students, unless they meet the staff eligibility criteria.

4.3.1.1.3 Definition of affiliation

Institutions must read this section in conjunction with the above section **'4.3.1.1.2 Definition of a member of staff'**.

Definition

To be 'affiliated' with an institution for the purpose of ERA, the researcher on the staff census date must either:

(e) be an employee in accordance with criterion (a) above and: be either full-time or fractional full-time at or above 0.4; or fractional full-time below 0.4 with a demonstrated publication association within the research outputs reference period

OR

(f) be an employee in accordance with criterion (b) above; and have a demonstrated publication association with the institution within the research outputs reference period

OR

(g) meet criterion (c) or criterion (d) above; and have a demonstrated publication association with the institution within the research outputs reference period.

4.3.1.1.4 Specific researcher eligibility

Several staff classifications have additional rules governing their eligibility, such as staff on leave without pay (LWOP) (4.3.1.2), and staff employed at less than 0.4 FTE (4.3.1.3).

4.3.1.2 Staff on LWOP

If a member of staff is on paid leave, their current duties are those for the job they would be doing if not on leave. Generally, staff on LWOP who **do not** have current duties will not be eligible researchers for ERA.

There are two major exceptions to the LWOP rule:

- If another Australian institution engages the staff member who is on LWOP, they may meet the ERA eligibility criteria. If this is the case, the other Australian institution may submit their research outputs.
- Staff who are on LWOP because of illness/other personal circumstances, who the institution normally employs. The arrangement of leave must be a formal arrangement with the institution and the institution must be able to provide the ARC with the evidence if asked, i.e., approved leave application.

4.3.1.3 Staff employed at less than 0.4 FTE

This section only applies to members of staff employed at an institution on the census date at less than 0.4 full-time equivalent (FTE) who are eligible under (a) above. It **does not** apply to members of staff who are eligible under (b), (c) or (d) above.

Staff employed at less than 0.4 FTE with 'research only' or 'research and teaching' functions (4.3.2.10) must be included in the staff data.

Staff employed at less than 0.4 FTE with the employment function of 'other' (4.3.2.10) must be included in the staff data if they published during the reference period and have at least one by-line to the submitting institution.

4.3.1.4 Demonstrating a publication association

This section applies to all research output types, including traditional outputs and NTROs.

A publication association is demonstrated in the form of the name or logo of the submitting institution on or within an eligible research output (e.g., in a by-line) at the time of publication, which clearly links the submitting institution to the eligible researcher being submitted to ERA.

Universities will be asked to provide evidence of a by-line to the submitting institution where it could be expected that a by-line exists (e.g., journal articles). Only if a by-line is not available on an output, or the published version of the by-line is incorrect, can institutions demonstrate a publication association by:

- Providing a statement from the author that says they are the author of the research output, and the output was published while the author was employed at the institution claiming the research output

AND

- providing a statutory declaration from the Director of Human Resources (or equivalent) that says the author was a member of staff, as defined in 4.3.1.1.2 and was employed by the institution when the research output was published.

Institutions are not required to include such evidence with their submission data; however, the institution must provide the ARC with the evidence when asked. A copy of the Commonwealth of Australia Statutory Declaration Template can be found at Appendix G.

NOTE – A single statutory declaration can cover more than one author at a particular institution if the same conditions apply to more than one author. The statutory declaration does, however, need to include the names of each author the declaration applies to.

Staff employed <0.4 FTE

While staff employed on <0.4 FTE can have all their eligible research outputs claimed by the institution that employed them on the ERA 2023 census date, there must be evidence that at least one research output was published while the staff member was employed at the institution. If there is no evidence provided, the staff member's research outputs are not eligible for ERA. Staff data must still be submitted.

Staff employed on a casual basis or other-employed

For staff employed on a casual basis or other-employed, only research outputs with a by-line to the institution claiming the research output can be submitted to ERA.

Institutions are not required to include such evidence with their submission data; however, the institution must provide the ARC with the evidence when asked. A copy of the Commonwealth of Australia Statutory Declaration Template can be found at Appendix G.

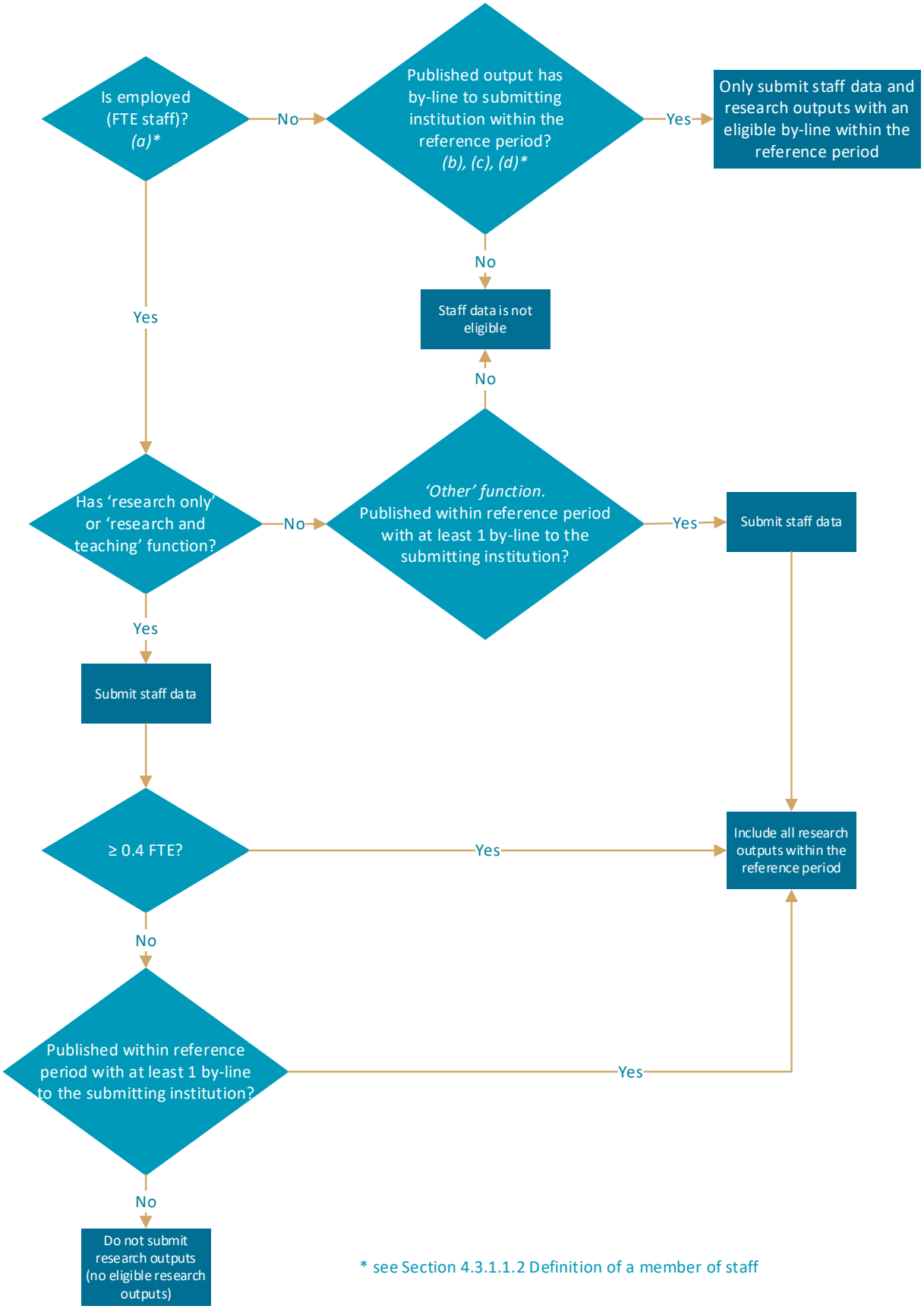

Figure 1: Flowchart showing the eligibility of researchers and required data to be submitted.

4.3.2 Eligible researcher data

The eligible researcher data institutions are to provide as part of their submission are:

- name and alternative names
- gender
- staff reference
- Indigenous status (optional)
- ORCID (if known by the university, must be supplied)
- FTE (if applicable)
- FoR (to a maximum of three four-digit codes)
- employment level (level E–A, Vice-Chancellor, Deputy Vice-Chancellor, Non-academic staff-senior executive, Higher Education Worker' – levels 1–10)
- employment status ('employed', 'employed on casual basis', or 'other-employed')
- employment function ('teaching and research', 'research only', or 'other function')[5].

NOTE – Individual staff data is not used during the ERA evaluation nor do assessors have access to this information. Data such as gender, Indigenous status, employment status, level and function, may be reported at an aggregate level in the ERA National Report.

Appendix E provides a summary of information institutions must submit for each eligible researcher.

4.3.2.1 Name and alternative names

This is the current full name of the eligible researcher and any alternative names used by the researcher on research outputs submitted for evaluation.

4.3.2.2 Gender

Institutions must provide the gender of the eligible researcher as 'male', 'female', or 'X' (indeterminate/intersex/unspecified). The ARC will not use this information in the ERA evaluation process nor provide it to peer reviewers or REC members. The ARC will use de-identified aggregated gender data for internal analysis and external reporting only.

4.3.2.3 Staff reference

This is a unique identifier created and allocated by the institution to each eligible researcher for the purposes of ERA. Its only use is to link researchers to relevant research outputs within an institution's submission.

4.3.2.4 Indigenous Status

This is an optional field in the staff data to identify whether a staff member identifies as being of Aboriginal and/or Torres Strait Islander descent. The ARC will not use this information in the ERA evaluation process nor provide it to peer reviewers or REC members. The ARC will use de-identified aggregated Indigenous status data for internal analysis and external reporting only.

[5] For the purpose of ERA 'teaching only' staff fall under the 'Other' category for employment function.

4.3.2.5 ORCID

An ORCID is a voluntary unique digital identifier for researchers[6]. If a researcher has an ORCID iD and has provided it to the institution, it must be included in the institution's submission.

4.3.2.6 FTE data

Institutions only supply FTE data for affiliated researchers who are employed by the institution or one of its controlled entities on a full-time or fractional full-time basis. That is, they meet criterion (a) of the researcher eligibility criteria (4.3.1.1.2).

Institutions must calculate FTE based on the work contract as defined in HESDC, as at the staff census date. See below for more information:

- An employee who has a full-time work contract at the census date must be attributed an FTE of 1.0.
- An employee who has a fractional full-time work contract at the census date will have an FTE of less than 1.0.
- The fraction represents the total number of agreed work hours for that researcher, where 1.0 represents normal work hours on a full-time contract.
- The FTE of a single researcher for a single institution cannot exceed 1.0.

Institutions are not required to assign an FTE for eligible researchers who do not meet criterion (a) of the researcher eligibility criteria (4.3.1.1.2).

Institutions are not required to assign an FTE to eligible affiliated researchers who meet criterion (b), (c) or (d) of the researcher eligibility criteria (4.3.1.1.2). Instead of FTE, the ARC will derive a headcount for these individuals to include in the eligible researcher profile used in ERA evaluations.

4.3.2.7 Assignment of FoR codes to eligible researchers

FoR assignment must represent the focus of the activities of the researcher. Institutions may assign a maximum of three FoR codes to researchers at the four-digit level and can apportion codes for each eligible researcher. The total of the apportioned percentages must equal 100% and the minimum assigned to a single FoR is 10%.

The FoR codes assigned to an eligible researcher do not determine the FoR assignment of the research outputs of that researcher.

4.3.2.8 Employment level

The level of an eligible researcher is one of the following, based on the HESDC classifications:

- Level A, B, C, D, or E – based on their academic salary classification, in accordance with the levels used in HESDC.
- 'Vice-Chancellor' (HESDC code 001)
- 'Deputy Vice-Chancellor' (HESDC code 005)
- 'Non-academic staff' – senior executive (HESDC code 220)
- 'Higher Education Worker' – levels 1–10 (HESDC codes 201–210)

[6] www.orcid.org

If a staff member holds multiple appointments within an institution, the institution should choose the most applicable level. A level must be provided for staff whose status is 'other-employed' (4.3.2.9) if they are on an employment level corresponding with the levels used in HESDC.

4.3.2.9 Employment status

An eligible researcher's status follows from their eligibility as a member of staff at the institution. The status determines which of the staff member's research outputs the institution can include as part of their submission.

For the purposes of ERA, the status of an eligible researcher is one of the following only:

- employed on a full-time or fractional full-time basis – see (a)
- employed on a casual basis – see (b)
- other-employed, e.g. seconded or unpaid – see (c) and (d).

Refer to the researcher eligibility criteria in 4.3.1.1 for more detail.

4.3.2.10 Employment function

The function of an eligible researcher describes the general type of work that a staff member has formally agreed with the institution to undertake.

Institutions must assign eligible researchers to one of the following functions only:

- Research only – research only work, 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, such as participation in the development of postgraduate courses and supervision of postgraduate students. This definition is consistent with the HESDC definition of a 'research only' function.
- Teaching and research – in addition to the activities undertaken in the research only function, this 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 people who support such staff. This definition is consistent with the HESDC definition of a 'teaching and research' function.
- Other – functions other than 'research only' or 'teaching and research'. Institutions must classify a researcher whose function is 'teaching only' who has produced one or more submitted research outputs as 'other'. This definition is consistent with the combined HESDC definitions of a 'teaching only' function and an 'other function'.

In the case of a staff member holding multiple functions within an institution, the institution should choose the most applicable function to submit.

4.4 Research outputs

4.4.1 Overarching eligibility criteria

NOTE – If research outputs are eligible, institutions must submit them.

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

- the definition of research (1.6.2)
- was published or made publicly available within the research outputs reference period (3.7 and 4.4.5)
- have one or more eligible researchers listed as author(s) or creator(s) either within or on that research output e.g. in the by-line (4.3.1)
- be an eligible research output type (4.4.2, 4.4.8 and 4.4.9).

When including research outputs in their ERA submissions, institutions must comply with the rules regarding:

- the assignment and apportionment of FoR codes to research outputs (4.4.3) including that the FoR code assignment reflects the content of the research output
- the treatment of revisions, reprints and multiple editions (4.4.6)
- eligible versions for ERA peer review (4.4.7).

4.4.2 List of eligible research output types

There are four types of traditional research outputs, detailed in section 4.4.8. These are:

- journal articles – refereed, scholarly journal
- books – authored research
- chapters in research books – authored research
- conference publications – full paper refereed.

For some FoRs (as per the *ERA 2023 Discipline Matrix*), the following NTROs are also eligible, detailed in section 4.4.9:

- original creative works (4.4.9.2)
- live performance of creative works (4.4.9.3)
- recorded/rendered creative works (4.4.9.4)
- curated or produced substantial public exhibitions and events (4.4.9.5)
- research reports for an external body (4.4.9.6)
- portfolio (4.4.9.7).

4.4.2.1 Open access policy

Institutions are required to state whether a research output is openly accessible. For the purpose of ERA 2023, 'openly accessible' is as per the ARC Open Access Policy (www.arc.gov.au > Policies and Strategies > Open Access Policy) (see below).

Open Access or Openly Accessible – refers to the availability of research outputs via the internet, such that any user can find, freely access, read, download, copy, distribute, print, search, link, crawl, mine

and otherwise use and reuse the research outputs both manually and using automated tools. Any use or reuse is subject to full and proper attribution, and usually will have an appropriate licence, such as any of the options available through the Creative Commons suite of licences and should not infringe any copyrights to third-party material included in the research output.

The ARC will use open access data for reporting and analysis purposes only. Data will not form part of the ERA research quality evaluation process and the ARC will not make it available to peer reviewers or RECs.

4.4.3 Assignment and apportionment of FoR codes for eligible research outputs

4.4.3.1 Assignment

Institutions must assign at least one and a maximum of three four-digit FoR codes to each research output.

When assigning four-digit FoR codes to research outputs, institutions must ensure that the codes assigned directly represent the research content of the output. In determining the assignment of FoR codes, institutions must be fully aware of the descriptions of four-digit FoRs in the ANZSRC, including the notes on exclusions and the relevant underlying six-digit codes. The assignment of FoR codes to a research output must reflect the content of the output. That is, research outputs *must not* be assigned to an FoR code for any reason other than the code directly represents the research content of the research output.

Noting the above, in the case of journal articles, institutions must assign only those FoR codes identified for the journal as per the *ERA 2023 Submission Journal List*. The following exceptions apply:

- In the case of articles published in journals where there is a two-digit FoR code in the ERA 2023 Journal List, institutions may assign to the article any relevant four-digit FoR codes from within the two-digit FoR code identified for that journal.
- In the case of articles in multidisciplinary (MD) journals, institutions may assign any relevant four-digit FoR codes to the article.
- In the case of journal articles which have significant research content (66% or more) that is directly described by a particular four-digit FoR code, institutions may assign that four-digit FoR code to the article. Institutions can make that assignment even if the ERA 2023 Submission Journal List does not assign that four-digit FoR code to the journal in which the article was published (the reassignment exception).
- In the case of journal articles which have Indigenous Studies research content (20% or more) that is directly described by a particular four-digit FoR code within 45 Indigenous Studies, institutions may assign a four-digit 45 Indigenous Studies code to the article. Institutions can make that assignment even if the ERA 2023 Submission Journal List does not assign that four-digit FoR code to the journal in which the article was published (the Indigenous Studies reassignment exception). Assignment of Indigenous Studies code(s) is not included in Business rules BR059 – Assignment of Journal Two-Digit FoR Codes or BR113 – Reassignment of FoR Codes. The 20% rule is enforced across all FoR codes under BR049 – Research Output Apportionments.[7]

[7] See *ERA-SEER 2023 Business Rules and Verification*

NOTE – Business Rule 132 (BR132) – Reassignment Exception for Journal Outputs will generate a warning in SEER if more than 40% of apportioned journal articles in a UoE use the reassignment exception. Indigenous Studies (FoR 45) is exempt from this rule.

4.4.3.2 Apportionment

Institutions must use percentages to apportion the four-digit FoR codes assigned to a research output that has more than one FoR assigned to it. The apportionment must be within the range of 20% – 100% for research. The apportionment must add to a total of 100%.

The only exception to this is where an institution has assigned an FoR code to a journal article under the reassignment exception (4.4.3.1). The apportionment for that code must be 66% – 100%. For 45 Indigenous studies four-digit codes, the apportionment for that code must be 20% – 100%.

4.4.4 Institutional submission notes

Institutions may devise their own institutional reporting notes that link components of their submission to particular institutional units within the institution. These can include academic organisation units, research centres, centres of excellence or departments.

Institutions may submit up to two institutional submission notes for each research output. The use of institutional submission notes is optional, and institutions can use them to capture their own internal identifiers, for example internal research output identifiers.

Following completion of the ERA evaluation, institutions can use these notes to compile information about, for example, an institutional unit in 'climate change research' that had its research outputs submitted for evaluation under a variety of FoRs (e.g. environmental science and management, atmospheric sciences, law, soil sciences and demography).

NOTE – Institutional submission notes are not used by the ARC as part of the ERA evaluation and are optional for institutions.

4.4.5 Research outputs reference period

A research output must be published within the research output reference period to be eligible for submission. ERA broadly defines 'published' to mean the publication of traditional research outputs (4.4.8). In the case of NTROs, 'published' refers to a research output being publicly available (4.4.9).

For ERA 2023 the research outputs reference period is the six-year period from 1 January 2016 to 31 December 2021 inclusive. Research outputs published or made publicly available outside of the reference period are not eligible for submission.

4.4.5.1 The date of publication rule

The date of publication of a research output must appear on the research output and/or in the information provided for each research output. Where the actual date of publication differs from the listed date of publication, institutions must explain this variance if asked by the ARC. For indexed journal articles, the publication year used by the citation provider will determine whether the output is within the reference period. If it is not, it cannot be submitted as an indexed journal article.

Where an institution knows the digital object identifier (DOI) of an output, institutions must submit the DOI for that output.

4.4.5.2 Exceptions

Where a research output was originally produced in a medium where there is no date of publication stated within 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 research output. Institutions must provide the letter on request by the ARC.

If no other date exists within or on the research output, the year a research output was 'first available' or 'first presented' may be acceptable evidence of the date of publication. For example, if presented to a conference in the case of a conference paper.

4.4.6 Treatment of revisions, reprints, and multiple editions

NOTE – The reference period for research outputs for ERA 2023 overlaps with the reference period for research outputs for ERA 2018. For ERA 2023, institutions must submit outputs from 1 January 2016 - 31 December 2016 that they already submitted for ERA 2018 from staff who were eligible for ERA 2018 and are eligible for ERA 2023.

4.4.6.1 Revisions

There may be cases where there is a revision of a research output after the publication of the output. For example, an updated version of a web-based NTRO. Institutions can only submit a revised research output if it meets all the relevant eligibility criteria and contains substantial new research content. Institutions must demonstrate, on request by the ARC, new research content for revisions.

This requirement applies to submissions of research outputs for all ERA rounds and across all ERA reference periods. For example, institutions cannot submit a journal article submitted in ERA 2018 in a revised, or updated, form for ERA 2023 unless the revision includes substantial new research content 1.6.2. See for the definition of research.

4.4.6.2 Revisions across research output types

Institutions must not submit the same research in more than one research output type, unless there is substantial new research content (see 1.6.2 for the definition of research).

This applies for traditional outputs and NTROs. This requirement applies to submissions of research outputs for all ERA rounds and across all ERA reference periods.

Institutions may need to demonstrate, on request by the ARC, new research content for corresponding research outputs in different research output categories.

See 4.4.9 for additional information on multiple exhibitions/performances.

4.4.6.3 Reprints and multiple editions

Institutions may only submit a reprint when there is substantially new research content. Where there has been a reprint or new edition of a research output and both versions are included in an institution's submission for any ERA round, institutions may need to demonstrate, on request by the ARC, new research content for the reprint or new edition See section 1.6.2 for the definition of research.

4.4.7 Eligible versions of research outputs for ERA peer review

The ARC requires electronic access to each research output nominated for ERA peer review. Institutions must ensure this access is directly to the output and not first to a 'landing page'.

Institutions can nominate the following versions of traditional research outputs for ERA peer review:

- Accepted manuscript – the version which has been submitted for publication, accepted for publication, peer reviewed and revised. It is the final version as prepared by the author.

- Version of record – the version as published in its final format. This serves as the definitive version and includes any changes made to the accepted manuscript, such as pre-publication copyediting, typesetting and proofreading.

For NTROs, institutions must be able to demonstrate to the ARC on request that the submitted version is the definitive version. The submitted version can also be a version of record made publicly available in the reference period.

Institutions must ensure that they derive any digital copies they intend to store in the repository from the definitive version of an output.

4.4.8 Traditional research output types

The eligible research output types common to all FoRs are:

- books – authored research
- chapters in research books – authored research
- journal articles – scholarly, peer reviewed journal
- conference publications – full paper refereed.

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. The term '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.

4.4.8.1 Books – authored research

Institutions must submit information on all eligible books for each year of the reference period.

To be eligible, books must meet all the following criteria, and the criteria outlined at 4.4.1:

- be a major work of scholarship
- be offered for sale, or available through open access, in any form of:
  - hard copies, bound
  - audio/video files packaged
  - e-books, including openly accessible scholarly books
- have an International Standard Book Number (ISBN)
- be written by a single author, or by joint authors who share responsibility for the whole book
- be published by a commercial publisher.

If a book is only available online, and not published commercially, institutions can only report the book if it has been through an acceptable peer review process and otherwise meets the relevant eligibility criteria.

The types of 'Book' research output **likely** to meet the eligibility criteria are:

- critical scholarly texts
- new interpretations of historical events
- 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 and

practitioners. It is important that institutions assess these outputs very carefully against the definition of research and include only those books which report research activities.

The types of 'Book' research output **unlikely** to meet the eligibility criteria are:

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

Within some FoRs, these types of books may be eligible for submission as NTROs, see section 4.4.9.

For the submission of books, institutions are required to select an ERA Publisher ID from the *ERA 2023 Submission Publisher List.* The list includes an 'other' category for institutions to select if the publisher does not appear on the list.

Summary of data requirements for books – Appendix F1.

NOTE – Where an institution has submitted a book as a research output, no individual chapters from that same book can be submitted to ERA.

4.4.8.2 Chapters in research books – authored research

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

To be eligible, book chapters must meet all the following criteria, in addition to the criteria outlined in section 4.4.1:

- 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
- be a chapter in a book that is offered for sale, or available through open access, in any of the forms of:
  - hard copies, bound
  - audio/video files, packaged
  - e-books, including openly accessible scholarly books
- be a chapter in a book that has an ISBN
- be a chapter in a book published by a commercial publisher.

If a book chapter is only available online, and not published commercially, institutions can only report the book chapter if it has been through an acceptable peer review process and otherwise meets the relevant eligibility criteria.

The types of 'Book Chapter' research output **likely** to meet the eligibility criteria are:

- scholarly introduction to an edited volume of a chapter in length, 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
- critical review of current research.

The types of 'Book Chapter' research output **unlikely** to meet the eligibility criteria are:

- chapters in textbooks
- entries in reference books
- anthologies
- revisions of chapters in edited books
- forewords
- brief introductions
- brief editorials
- chapters in books either not published by a commercial publisher or offered for sale
- appendices.

For some FoRs, these types of chapters may be eligible for submission as NTROs, see section 4.4.9.

For the submission of chapters in research books, institutions are required to select an ERA Publisher ID from the *ERA 2023 Submission Publisher List*. The list includes an 'other' category for institutions to select if the publisher does not appear on the list.

Summary of data requirements for chapters in research books – Appendix F2.

NOTE – Where an institution has submitted a book as a research output, no chapters from that same book can be submitted to ERA. Where a book is written by a single author, or by joint authors who share responsibility for the whole book, the book should be submitted as a book not as individual book chapters.

4.4.8.3 Journal articles

Institutions must submit information on all eligible journal articles for each year of the reference period.

Eligible journal articles are those published in a scholarly peer reviewed journal listed in the *ERA 2023 Submission Journal List*, in addition to the criteria outlined in 4.4.1. To be included in the *ERA 2023 Submission Journal List* a journal must have:

- been active during the reference period
- been through an acceptable peer review process
- published original research
- been a scholarly publication
- an International Standard Serial Number (ISSN).

Institutions cannot submit articles from journals not listed in the *ERA 2023 Submission Journal List*. For some FoRs, an article may be eligible for submission as an NTRO, see section 4.4.9.

The types of 'Journal Article' research output **likely** to meet the eligibility criteria are:

- commentaries and communications of original research
- research notes
- critical scholarly texts that appear in article form
- articles reviewing multiple works or an entire FoR
- invited papers in journals
- articles in journals targeted to both scholars and professionals

- articles in a standalone series.

The types of 'Journal Article' research output **unlikely** to meet the eligibility criteria are:

- 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
- brief commentaries and brief communications of original research.

Indexed journal articles and non-indexed journal articles

For the purposes of ERA, journal articles are either indexed or non-indexed.

An 'indexed journal article' is an article published in a journal that the ERA 2023 citation provider has indexed as of the ERA 2023 citation census date and that has a unique output identifier. The citation provider supplies the unique output identifier during the article tagging process. See 'Unique output identifier tagging - indexed journals only' section below.

A 'non-indexed journal article' is an article published in a journal which is on the *ERA 2023 Submission Journal List* but which the citation provider does not index and therefore does not have a unique output identifier.

In FoRs that do not use citation analysis (see the *ERA 2023 Discipline Matrix*), all journal articles are non-indexed for the purposes of ERA and therefore do not require a unique identifier from the citation provider.

For citation analysis FoRs, non-indexed journal articles and other research output types do not contribute to the number of articles that determine whether the institution's submission meets the low volume threshold.

For institutions to submit articles in FoRs using citation analysis, they must provide a unique output identifier for each indexed journal article they include in the submission.

4.4.8.3.1 Unique output identifier tagging – indexed journal articles only

The citation provider will communicate directly with institutions regarding the tagging of journal articles with unique output identifiers. It is the responsibility of institutions to work with the citation provider within the specified tagging period and to check the accuracy of the tagged outputs. As part of the tagging service, the citation provider will return metadata to institutions for each tagged journal article. This will allow institutions to verify that the citation provider tagged the correct journal article and will improve the accuracy of the citation count and the university's citation profile in ERA.

Only those journal articles indexed by the citation provider on or before the citation census date that have a unique identifier supplied by the citation provider will be validated successfully by SEER and contribute to the volume count for a UoE for the purposes of determining whether the UoE meets the low volume threshold.

4.4.8.3.2 Data validation – indexed journal articles only

The ARC will do validation checks on submitted journal articles, which the *ERA 2023 Technical Specifications* details.

Institutions use the metadata returned by the citation provider for submission purposes. The ARC will validate the data for journal articles submitted by institutions against the dataset provided by the citation provider to the ARC for ERA 2023.

4.4.8.3.3 Year published versus year available

For non-indexed journal articles, either the year published or year available must be within the ERA 2023 research output reference period.

For indexed journal articles, if there is a discrepancy in journal article publication dates between an institution's data and the citation provider's data, the citation provider's dataset will be used to determine the eligibility of that journal article.

Summary of data requirements for journal articles – Appendix F3.

4.4.8.4 Conference publications – full paper refereed

Institutions are required to submit information on all eligible peer reviewed conference publications for each year of the research output reference period. Conference publications may also be published as journal articles. In cases, where a conference publication and a journal article contain substantially the same content only one can be submitted to ERA (4.4.6).

To be eligible, conference publications must meet all the following criteria, in addition to the criteria outlined in 4.4.1:

- be published in full – the publication 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, digitally on conference or organisational website
- have been through an acceptable peer review process (see section 4.4.8)
- have been presented at a conference, workshop or seminar of national or international significance.

The types of 'conference publication' research output **unlikely** to meet the eligibility criteria are:

- participation in discussions as a panel member
- poster presentations
- facilitation of workshops at conferences
- abstracts of conference publications.

For the submission of conference publications, institutions are required to select the ERA Conference ID from a predetermined conference series list developed by the ARC. The list includes an 'other' category for institutions to select if the conference publication was not presented at a conference on the *ERA 2023 Submission Conference List*.

NOTE – Conferences on the *ERA 2023 Submission Conference List* do not have FoR codes assigned to them.

Summary of data requirements for conference publications – Appendix F4.

4.4.9 NTROs

Eligible research output types include the following NTRO types:

- original creative works
- live performance of creative works
- recorded/rendered creative works

- curated or produced substantial public exhibitions and events
- research reports for an external body
- portfolio.

To be eligible, NTROs must have become available publicly during the ERA 2023 research output reference period. Institutions should refer to the *ERA 2023 Discipline Matrix* to establish which NTRO types are applicable to which discipline.

Institutions may submit a portfolio of items as a single NTRO. A portfolio contains items that alone may not represent research but combined demonstrate coherent research content (4.4.9.7).

4.4.9.1 Research statement for ERA peer review of NTROs

Where institutions nominate NTROs for ERA peer review, they must provide a statement as part of their submission that identifies the research component of each such research output.

The requirements for the 'research statement for ERA peer review of NTROs' are set out in Appendix D – Content of research statement for ERA peer review of NTROs.

Appendix F5 provides a summary of data requirements for NTROs.

4.4.9.2 Original creative works

For research outputs to be eligible as original creative works, the relevant eligible researcher must be the creator of the creative work, rather than, for example, the curator of an exhibition of creative works produced by others.

Institutions must provide digital documentation of any original creative works submitted for ERA peer review, as well as the associated research statements. These must be available via the institution's digital repository.

Institutions can use the exhibition of an original creative work to demonstrate that the work is publicly available but can only claim each instance of such a research output once. Institutions can submit exhibited creative works as either:

- a single item exhibited as an individual creative work (equal to one research output)
- a portfolio of works exhibited as a cohesive/thematic collection of the work of a single creator (also equal to one research output).

Sub-categories of original creative works are as follows:

Research Output	Description
Visual artwork	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.
Textual work	Written research outputs that are not eligible for submission as traditional research outputs, such as novels, art reviews, exhibition catalogues and catalogue entries, scholarly editions and scholarly translations.
Other	Original creative works that do not fit the other research output types.

4.4.9.3 Live performance of creative works

For live performance of creative works, institutions claim the actual public performance for ERA peer review. A digital recording of the live performance, or part thereof, must be available via the institution's digital repository, in addition to the research statement for ERA peer review of NTROs.

Sub-categories of the live performance of creative works research output type are as follows:

Research output	Description
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 live performance of creative works not listed above. New work or demonstrably new or innovative interpretation or production of an existing work.

4.4.9.4 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 without a research component are not eligible for submission. However, institutions may submit the documentation as supporting material under live performance of creative works. A digital version of the recorded/rendered creative work, in addition to the research statement for ERA peer review of NTROs, must be available via the institutionally supported repository (6.3).

Sub-categories of recorded/rendered creative works are as follows:

Research output	Description
Audio/visual recording	Research outputs presented in an audio-visual format, such as films, documentaries, or audio-visual presentations.
Performance	Performances (in music, dance, theatre, etc.) 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	Digital creative works, including creative 3D models, digital outputs of architectural and design projects, computer programs, games and visual artworks.
Website/web-based exhibition	These are eligible as recorded/rendered creative works if the eligible researcher is the creator of the creative works featured on the website. Curated web-based exhibitions of the creative work of others must be submitted as curated or produced substantial public exhibitions and events.

Research output	Description
Other	Other recorded/rendered creative works not listed above.

4.4.9.5 Public exhibitions and events

The public exhibitions and events research output type aims to capture research undertaken by producers and curators, rather than artists. To be eligible, the exhibition and events must be substantial in nature. Institutions must submit exhibition catalogues as original creative works, in the 'textual work' subcategory (4.4.9.2).

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, where the exhibition of the creative works is used as evidence that those works are publicly available.

Institutions cannot count multiple exhibitions/events as multiple research outputs where the repeated exhibitions/events do not introduce a new research component to the work. For example, institutions can only count a touring exhibition once. Institutions may count multiple exhibitions/events 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.

Institutions may submit recurring exhibitions and events. 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:

Research Output	Description
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 creative works exhibited in a recognised gallery, museum or similar venue, to show new works or a different arrangement of works.
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 sub-categories of the curated or produced substantial public exhibitions and events research output type.

Institutions must make digital evidence of the public exhibitions and events research, in addition to the research statement for ERA peer review of NTROs, available via the institutionally supported repository (6.3).

4.4.9.6 Research reports for an external body

A research report for an external body is a written research output commissioned or solicited by an external body such as a government department or private company.

Sub-categories of research report for an external body are as follows:

Portfolios are eligible for submission in this subcategory only within FoRs flagged with 'other NTRO' (see the *ERA 2023 Discipline Matrix*).

Research output	Description
Public sector	A research report undertaken for an Australian, state, territory, local, foreign or international government body or organisation.
Industry	A research report undertaken for a company, industry organisation, industry peak body, or an employer/employee association.
Not-for-profit	A research report undertaken for a body or organisation operating in the not-for-profit sector.
Other	A research report undertaken for an organisation not covered by the above sub-categories.

The following examples are **unlikely** to be eligible for submission under this subcategory:

- Submissions to public inquiries and consultations, including government or parliamentary inquiries.
- Policy blogs or online commentaries/articles.
- Briefing notes.

In some cases, the above items may be eligible as part of a portfolio. Institutions must only submit items that are publicly available (see 6.1 on sensitive publications).

4.4.9.7 Portfolio

A portfolio is a collection of research outputs that institutions submit as a single NTRO. It is made up of research outputs from the same underlying research endeavour that on their own may not meet the definition of research, but when collected together have coherent research content. All items within the portfolio must fall within the ERA reference period.

4.5 Research income

Institutions must submit information on all research income that falls within eligible income category types. Research income is suitable for submission if it:

- is in an eligible research income category type (4.5.4)
- meets the research income reference period requirements (3.7 and 4.5.2).

The ARC will collect research income data in line with the following categories collected as part of the Higher Education Research Data Collection (HERDC):

- Australian competitive grant income (category 1)
- other public sector research income (category 2)
- industry and other research income (category 3):
- Cooperative Research Centre (CRC) research income (category 4).

Institutions must submit data for each year of the research income reference period as specified in 4.5.2.

Institutions must report all research income at the four-digit FoR level. Institutions must assign research income to a relevant year based on the HERDC method. The *ERA SEER 2023 Technical Specifications* outlines the format in which institutions must submit this information for ERA.

4.5.1 Negative or zero income

The overarching principle for reporting all categories of research income, including categories 1 to 4, is to not report zero or negative amounts from the reference period.

Institutions must deduct individual negative amounts for specific years in their calculations. The remaining total is what institutions report in their ERA submission. Where the remaining total is zero or negative institutions must not report income for that category.

Please refer to the *ERA SEER 2023 Technical Specifications* for further instructions on submitting negative income.

4.5.2 Research income reference period

Institutions can only include research income that they reported as part of HERDC for the relevant year of the research income reference period. The research income reference period for ERA is the three-year period from 1 January 2019 to 31 December 2021 inclusive.

4.5.3 Assignment and apportionment of FoR codes for research income

Institutions must assign to each item of research income as many four-digit FoR codes as are relevant. FoR assignment must represent the focus of the research funded by the income.

For each item of research income, institutions must determine the apportionment of the FoR codes assigned to the item. The apportionment between each FoR code must total 100% for each item of research income.

The four-digit FoR code may change across years for an individual item of research income. Therefore, institutions must submit information for each item of research income received by the four-digit FoR code that applies for each year of the research income reference period. This applies to items of research income in all categories detailed below.

4.5.4 Eligible research income category types

For all income category types, income is submitted at the highest category level and apportioned to the appropriate FoR(s). There are no sub-categories required and individual grant income data is not required.

Institutions are required to provide information as outlined in the ERA XML schema provided as part of the *ERA SEER 2023 Technology Pack.*

Detailed information on what institutions must submit against each income category is at Appendix H.

4.5.4.1 Australian competitive grants

Institutions must only submit Australian competitive grants income that they submitted as part of HERDC for the relevant year.

4.5.4.2 Other public sector research income

Institutions must only submit other public sector research income that they submitted as part of HERDC for the relevant year.

4.5.4.3 Industry and other research income

Institutions must only submit industry and other research income that they submitted as part of HERDC for the relevant year.

4.5.4.4 CRC research income

Institutions must only submit CRC research income that they submitted as part of HERDC for the relevant year. Institutions should note that CRC research income is collected through HERDC on a calendar year basis.

5. ERA submission process

5.1 Overview of the ERA 2023 submission process

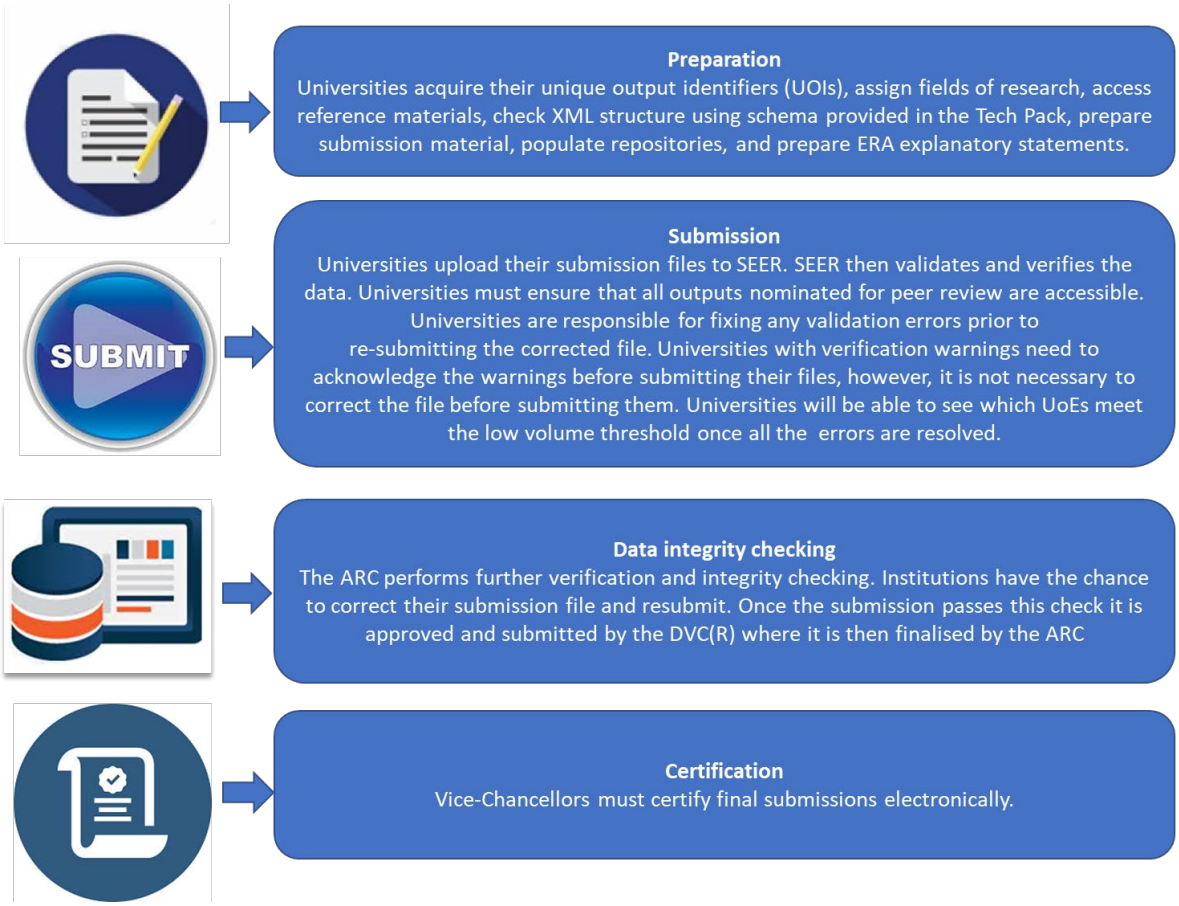

Figure 2: Stages of the ERA2023 submission

5.2 Stages of the ERA submission process

The major stages of the ERA submission process are preparation, submission, data integrity checking and certification.

5.2.1 Research output preparation

5.2.1.1 Tagging

As ERA is a comprehensive evaluation, institutions must submit all eligible research outputs to the ARC. Journal articles that institutions submit for citation analysis require a unique output identifier. To acquire unique output identifier tags for research outputs, institutions must participate in the unique output identifier tagging process with the citation provider (see www.arc.gov.au > ERA > ERA 2023 for more information on the tagging process). Institutions must submit all outputs that require citation analysis for tagging. Institutions may choose to submit all outputs for tagging if that is simpler.

5.2.1.2 Electronic repositories

Institutions must populate their digital repositories with research outputs in FoRs using ERA peer review (4.4.7). Institutions must complete this preparatory stage prior to submission commencing.

NOTE – Adobe flash is not supported by SEER for institution repositories. Institutions will need to use web standards such as HTML 5, SVG and JavaScript.

5.2.1.3 XML Validations

Institutions must use the XML Schema provided as part of the ERA 2023 Technology Pack to prepare and validate their XML syntax. This is to ensure that all data formatting complies with the ERA 2023 XML Schema prior to the ERA submission stage opening.

5.2.2 ERA data stages

The ARC ICT system, the System to Evaluate the Excellence of Research (SEER) handles all the submitted data from institutions. SEER will be open for university testing, two weeks prior to submission, formally opening on 6 March 2023. SEER, along with ARC staff, will validate and verify the submission data to ensure submissions align with these guidelines, the *ERA 2023 Technical Specifications,* the *ERA XML Schema* and *ERA-SEER 2023 Business rules and verifications*.

There are three stages in the submission process involving data upload and checking. Institutions must meet the deadline for each stage, as outlined in section 1.5. However, they may complete the tasks for each stage before the deadline for that stage, and in the case of the submission stage, may proceed to the data integrity checking stage without waiting for its start date. The certification stage requires permission from the ARC before progression. While institutions can test their submissions in the two weeks prior to submission phase opening, institutions cannot commence the formal submission stage prior to its opening on 6 March 2023.

5.2.2.1 ERA submission stage

Institutions will upload submission files in SEER, which in turn validates and verifies them. Validation ensures that a submission file meets the technical requirements. SEER will not accept a file with validation errors. Institutions must fix any validation errors and resubmit a corrected file.

SEER will then verify that the data contained in the file meets ERA business rules. SEER may return a file to the institution with verification errors or verification warnings. Institutions must fix verification errors before a submission can progress in SEER, but verification warnings do not stop the institution from progressing to the next stage. However, the institution may decide to fix the data that caused the warnings and must acknowledge that it accepts any remaining warning messages before it can finalise its submission.

Using the submission data from each institution, SEER will create UoEs for each two and four-digit FoRs. The institution will be able to view the UoE details including which UoEs meet the low volume threshold.

Institutions must also provide through SEER the authentication details for each repository in their submission. They are also responsible for ensuring that SEER can access the research outputs marked for peer review using these details, and that this access be uninterrupted throughout the submission and evaluation process. The ARC requires institutions to maintain this access until the ARC advises it is no longer necessary. The ARC recommends that institutions verify that at least one of each file type is accessible and correctly rendered through SEER prior to submitting the XML file for the data integrity checking stage. There may be significant delays in submission if file types are not checked and then fail. In addition, REC members and peer reviewers will not be able to include material in their evaluation of the UoE if they cannot access it.

The submission stage is complete for an institution when it is satisfied that the submission data is correct.

5.2.2.2 ERA data integrity checking stage

Once an institution submits its data, ARC staff run further verification and integrity checking on the contents of the submission. The ARC will return submissions to the institution if it detects any issues, so that the institution can correct those issues and resubmit, again following the process in the submission stage. Issues may include, but are not limited, to any warning messages that the institution has acknowledged as acceptable in the previous stage.

If the submission passes the integrity check, the ARC will accept the data. The Deputy Vice Chancellor (Research) or equivalent will finalise the submission at the end of this stage. Institutions can ask the ARC to return their data at any point during this stage if they become aware of issues or errors in the content.

5.2.2.3 Certification stage

The final stage of the submission process is certification in SEER by the institution's Vice-Chancellor, or equivalent.

6. Other matters

6.1 Security and sensitivity

All research outputs submitted to ERA must be publicly available. Therefore, institutions must not submit commercially sensitive outputs that are not publicly available.

6.1.1 Research outputs with sensitive content

The ARC acknowledges that some submitted research outputs may have sensitive content.

Institutions may include such research outputs in their submission but for the 30% peer review sample institutions must specifically identify and advise the ARC of the nature of the sensitivity of the research output.

The sensitivity flag is intended to assist REC members reviewing research outputs to identify where sensitivities potentially relevant to them are present without reading the research output.

Institutions are responsible for ensuring that the information included in the submission identifies the conditions under which ERA reviewers may view a potentially sensitive research output submitted by the institution (as outlined in the ERA XML schema that is provided as part of the *ERA SEER 2023 Technology Pack*).

Institutions are responsible for ensuring they have obtained any necessary permission from the organisation which commissioned the research output, or from the researcher who conducted the research, as defined in the intellectual property arrangements in any commissioning contract or similar legally binding arrangement.

6.1.2 Australian Government security classified research outputs

A research output that includes information classified in the Australian Protective Security Framework as either 'PROTECTED', 'SECRET' or 'TOP SECRET', **must not be included in an ERA submission.**

6.2 Publication of data

The ARC is committed to ensuring the ERA evaluation is as open and transparent as possible. To facilitate this the ARC may publish select submitted data from ERA 2023 submissions. Such data may include, but is not limited to, research output metadata including FoR code apportionment. FoR code apportionment of research outputs in UoEs with ≤10.0 FTE staff will not be published. The ARC may access and aggregate the data from each institution for public use. Institutions participating in the ERA process acknowledge their agreement to the publication of this data.

6.3 Managing physical or technical limitations

Where an institution has nominated a research output for ERA peer review, it must be stored in an institutionally supported repository in digital form.

The ARC must have electronic access to the research output in the repository. This access must be directly to the output. That is, a link must not go to a 'landing page' that then contains a direct link to the output.

Where the output file size exceeds the limit specified in the *ERA SEER 2023 Technical Specifications*, institutions can split the research output file into two or more files with corresponding repository links. For details on how to preserve viewing order across multiple files and information on file titles, please see the *ERA SEER 2023 Technical Specifications*.

Where it is impractical to digitise the entire research output, institutions can digitise and store relevant parts of the research output. In such cases, the digitised content must be sufficient to enable peer reviewers to make robust judgements on the quality of the output. For example:

- Where a book is not available in digital form, the cover page, introduction or first chapter, index (as appropriate), and other relevant sections of the book (sufficient for a robust evaluation of the work) must be digitised and stored in the institutional repository.
- In the case of an NTRO such as artworks or sculptures, some digital form (for example, scanning, audio, or video) is required for ERA peer review. The peer reviewer will review NTROs in conjunction with the relevant research statement for peer review of NTROs (Appendix D). The combination of the digital form and the research statement must be sufficient for the peer reviewer to make a judgement of the quality of the research.

6.4 Privacy complaints and advice

The ARC in administering ERA must comply with the provisions of the *Privacy Act 1988* (Cth) ('Privacy Act').

Institutions should refer complaints about breaches of privacy to:

The Privacy Contact Officer

Australian Research Council

GPO Box 2702

Canberra ACT 2601

Institutions can email privacy complaints to privacy@arc.gov.au.

Institutions can make privacy complaints directly to the Office of the Australian Information Commissioner. However, the Commissioner prefers that institutions give the ARC an opportunity to deal with the complaint first.

6.5 Freedom of information

All documents sent to the ARC with regard to ERA are subject to the *Freedom of Information Act 1982* (Cth) ('FOI Act'). An authorised FOI decision maker makes decisions regarding requests for access in accordance with the requirements of the FOI Act.

Institutions should refer FOI requests to:

The FOI Contact Officer

Australian Research Council

GPO Box 2702

Canberra ACT 2601

Institutions may also email FOI requests to foi@arc.gov.au.

6.6 Managing copyright

The ARC wishes to ensure that the implementation of ERA complies with any requirements of the *Copyright Act 1968* (Cth) (the 'Copyright Act').

6.6.1 Managing copyright in research outputs nominated for ERA peer review and related material

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

For FoRs subject to ERA peer review, institutions must ensure that the ARC and ERA reviewers have appropriate access to relevant material to facilitate the ERA peer review process. Institutions must facilitate access by:

- storing research outputs in institutionally supported repositories in digital form
- enabling RECs or ERA peer reviewers to view research outputs through the System to Evaluate the Excellence of Research (SEER) and through institutionally supported repositories for ERA evaluation purposes
- facilitating any copyright uses of the relevant research outputs required for ERA purposes in accordance with the ERA 2023 Submission Guidelines.

Where institutions do not own the copyright of relevant material, they will be required under ERA to ensure access to such relevant material for ARC staff and ERA reviewers using one of the following methods:

- Placing the relevant material in repositories accessible only by ARC staff and ERA reviewers (in addition to staff of institutions responsible for maintaining repositories). Institutions must ensure that no others can access such relevant material.
- Arranging links to the relevant material via publishers' platforms.

Other acts that institutions may foreseeably perform in implementing ERA are also examples of acts comprised in the copyright of the relevant material (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 minimal impact on the rights of copyright owners, institutions must ensure that they comply with the relevant provisions of the Copyright Act.

6.6.1.1 Where copyright is owned by institutions

Where an institution owns the copyright in relevant material, the institution must provide the ARC and ERA reviewers with access to such relevant material, as described in section 6.6.1.

6.6.1.2 Where copyright is owned by eligible researchers

Where one or more eligible researcher(s) own the copyright in relevant material, then the researcher(s) should be encouraged to give permission for the use of that material for the purposes of ERA to allow access to it as described in section 6.6.1. The permission must allow relevant research outputs, where available in electronic form, to be stored in an institutionally supported repository in digital form (6.3).

Where such eligible researchers do not expressly consent to the provision of access to relevant material for ERA purposes in the manner described in 6.6.1, the ARC will manage copyright in accordance with 6.6.1.3.

Where depositing research outputs in an 'open access' repository was a condition of any funding which enabled the research to be undertaken, full public access to the research output(s) must exist, irrespective of the ERA submission process, as a result of the eligible researcher complying with that funding condition.

6.6.1.3 Where copyright is owned by third parties

Where copyright in relevant material is not owned by institutions, access to relevant material must still be provided in accordance with section 6.6.1.This includes where copyright is owned by eligible researchers whose express consent has not been obtained for research outputs to be used (e.g. reproduced and communicated) for ERA purposes. To prevent copyright infringement, the ARC will grant an authorisation under section 183(1) of the Copyright Act to institutions (representing the Commonwealth).

The Copyright Act provides that the Commonwealth or a State does not infringe copyright by anything done "for the services of the Commonwealth or a State" (section 183). This means that governments can use copyright material, including books, periodicals, music, broadcasts and videos, for government purposes.

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. A notice to copyright owners is available on the ARC copyright page (www.arc.gov.au>Policies and Strategies>Copyright Statement).

Acting under section 183(1), the ARC (representing the Commonwealth) will authorise each institution participating in ERA to do acts in the copyright of relevant material owned by third parties for the purposes of ERA. The ARC will issue the authorisation separately; the *ERA 2023 Submission Guidelines* does not form the authorisation. This authorisation means that an institution participating in ERA may make all uses of relevant material owned by third parties that are necessary or convenient to enable it to participate in ERA.

The section 183(1) authorisation is strictly limited to each institution's participation in ERA and does not extend to any uses of third-party copyright in relevant material done for any purpose(s) unrelated to the institution's participation in ERA.

6.7 Intellectual property

The ARC does not claim ownership of any intellectual property that forms part of any material submitted by an institution for ERA.

However, where an institution owns intellectual property or the institution has a right to sublicense, institutions must give an express licence to the ARC for the use of material in ERA submissions. The ARC may use this material from time to time as required, for the purposes of ERA and for policy development and program management other than for ERA purposes.

This requirement to give an express licence applies to the submission itself rather than to research outputs (6.6).

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

6.8 Incomplete, false or misleading information

If the ARC considers that any information provided by an institution as part of its submission is incomplete or inaccurate, or contains false or misleading information, the ARC will, in the first instance, contact the institution to resolve the issue prior to taking further action. If the ARC identifies any issues prior to submission closing, institutions will be able to explain and/or correct any data anomalies in their submission. If an issue occurs in the evaluation stages, the institutions may provide an explanation, but will not be able to change their submission. This explanation may be provided to the relevant REC(s).

The ARC may in its absolute discretion take any action it considers necessary to maintain the integrity of the ERA process. This includes but is not limited to:

- withholding this information from RECs or other ERA reviewers
- removing part or all of a submission from evaluation after the RECs have received the information and, in the case of disciplines evaluated using citation analysis, recalculating citation profiles.
- investigating the matter with a view to prosecution under Commonwealth law.

If the ARC withholds such information from a REC, it will advise the institution of this action and provide a statement of reasons. The ARC may also potentially provide a status of "not rated" to affected units of evaluation. If the ARC deems any part of a UoE incomplete, inaccurate, false or misleading as described above, the ARC may remove the entire UoE.

The ARC reserves the right to audit a submission if it considers that any information provided by an institution as part of its submission is incomplete or inaccurate or contains false or misleading information.

6.9 Certification

Institutions are required to certify their ERA submissions.

Institutions are responsible for collecting, validating, and transmitting to the ARC all information in their submissions by the due date. Institutions are also responsible for certifying that all information in submissions is accurate and comprehensive. Certification takes the form of a signature, in digital form, of a submission certification statement by the Vice-Chancellor or equivalent of the institution.

The final pre-certification step involves the finalisation of the submission at the submission stage of the submission process (5.2.2.3). This finalisation step will lock the submission so that institutions can make no further changes prior to data integrity checks by the ARC. Following the resolution of any data integrity issues identified by the ARC, the Vice-Chancellor or equivalent must certify the submission.

6.9.1 Certification statement

The Vice-Chancellor or equivalent of each institution must provide a signed certification statement in electronic form. No part of any submission is eligible for ERA evaluation in the absence of such a statement. Vice-Chancellors or equivalents are not required to certify the accuracy of any data obtained externally and appended to their submissions by the ARC, including data sourced from the citation data supplier.

The certification statement signed by the Vice-Chancellor or equivalent must certify that:

Accuracy and comprehensiveness

1. All information in the submission is accurate and appropriately comprehensive (not extending to the citation data provider sourced unique identifier tagging component of indexed journal articles or to electronic repository links).
2. The person signing the certification statement has made all reasonable efforts to verify that the information submitted as part of the submission is correct, accurate, and sufficiently comprehensive.

Compliance with ERA requirements

3. In compiling its submission, the institution has complied with:
    - these ERA 2023 Submission Guidelines ('the submission guidelines')

- the ERA SEER 2023 Technology Pack ('the technology pack')
- the terms of the Commonwealth's authorisation of the institution under section 183(1) of the Copyright Act 1968 (Cth) that will be issued separately, and the accompanying document: ERA Copyright Issues: Supplementary ARC Advice Accompanying Section 183(1) Authorisation of an Institution
- any supplementary advice issued by the ARC after the publication of the submission guidelines and the technology pack but no fewer than 14 days before the deadline for certification of submissions.

Privacy

4. In compiling its submission, the institution has complied with relevant privacy requirements and taken reasonable steps to ensure awareness of the inclusion in the submission of relevant information and of its use in the ERA process (including provision to RECs and other ERA reviewers) on the part of:
   - all eligible researchers referred to in the submission who maintain any continuing affiliation with the institution and
   - to the maximum extent feasible, all eligible researchers referred to in the submission who no longer maintain an affiliation with the institution.

Granting of express licence

5. Consistent with the requirement set out at section 6.7 of the submission guidelines, the institution grants to the ARC a permanent, irrevocable, non-exclusive licence to reproduce, combine with other material, or otherwise use the material submitted as part of ERA. This applies in all cases where the institution either owns, or has the right to sub-license, the relevant intellectual property in that material.

This express licence extends to material in the submission itself, but not to the contents of research outputs. It authorises the Commonwealth's use of material in the ERA submission, from time to time as required, for the purposes of ERA and for policy development and program management other than for ERA purposes.

Publication of ERA data

6. In compiling its submission, the institution understands that in supporting the Commonwealth's requirement for open and transparent data, the ARC may publish select submitted data from ERA 2023 submissions. Such data may include, but is not limited to, research output metadata and FoR code apportionment.

Matters acknowledged, accepted and agreed to by institution

7. The institution acknowledges and agrees that the Commonwealth of Australia, as represented by the ARC, retains the intellectual property in all materials created for the purposes of ERA by the ARC, or under the direction or control of the ARC, except where the ARC and the institution have agreed otherwise (see section 6.7 of the submission guidelines).
8. The institution acknowledges and agrees that outcomes of the ERA evaluation will be distributed and published in the manner described in the submission guidelines.
9. The institution acknowledges and agrees that the Commonwealth may use all information in its submission for the purposes described at paragraph 5 above.
10. In relation to relevant data items, the institution acknowledges and accepts any warnings provided by the System to Evaluate the Excellence of Research (SEER) which are outlined in

'Appendix A – SEER Warnings', which is generated as an appendix to the certification statement. 'Appendix A – SEER Warnings' forms an integral part of that statement.

11. The institution acknowledges and agrees that the ARC may take any action it considers necessary to maintain the integrity of the ERA data and processes. This includes but is not limited to removing part or all of a submission from evaluation or not providing a rating for relevant unit(s) of evaluation. The ARC may do this where the ARC forms the view that any part of an institution's submission does not fully comply with the ERA 2023 submission documentation or any other part of the ERA methodology, as determined by the ARC. The institution also acknowledges and agrees that the ARC may take such action at any time before, during or after the ERA process.

The SEER warnings referred to in paragraph 10 alert institutions to a range of issues which may benefit from special checking, such as the apparent existence of two or more eligible researchers with an identical name. Such warnings appear in 'Appendix A – SEER Warnings', which lists any warnings associated with the verification process that arise from legitimate discrepancies between the submission and the SEER business rules. The Vice-Chancellor or equivalent is required in this part of the certification statement to indicate that such discrepancies are legitimate and do not reflect problems with the submission of the institution. If this is not the case, institutions need to rectify the problems highlighted by the warnings before proceeding to the certification stage.

6.9.2 Transmission to ARC of certification statement

The ARC will provide a pro forma certification statement through SEER. Signature of the certification statement must occur in digital form.

Submission certification deadline for ERA is:

Deadline for electronic certification via SEER
5.00 pm AEST, 3 May 2023

The ARC will only accept late certification statements 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. The ARC reserves the right to seek additional evidence.

The decision of the ARC will be final as to whether exceptional circumstances existed beyond the control of the institution. The ARC will not enter into correspondence on this issue (other than to inform the institution of the decision).

Appendices

Appendix A – Eligible institutions

An eligible institution is one that meets the criteria of a 'Higher Education Provider' under the *Higher Education Support Act 2003* and is listed as a Table A or B provider. A list of eligible institutions is given below.

Australian Catholic University
Batchelor Institute of Indigenous Tertiary Education
Bond University
Central Queensland University
Charles Darwin University
Charles Sturt University
Curtin University
Deakin University
Edith Cowan University
Flinders University
Federation University Australia
Griffith University
James Cook University
La Trobe University
Macquarie University
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
Torrens University Australia
University of Canberra
University of Divinity
University of South Australia
University of Southern Queensland
University of Tasmania (incorporating Australian Maritime College)
University of Technology Sydney
University of the Sunshine Coast
University of Wollongong
Victoria University
Western Sydney University

Appendix B – Abbreviations

Abbreviation	Expanded Abbreviation
AEST	Australian Eastern Standard Time
ANZSRC	Australian and New Zealand Standard Research Classification
ARC	Australian Research Council
CRC	Cooperative Research Centre
DOI	Digital Object Identifier
ERA	Excellence in Research for Australia
FOI	Freedom of Information
FoR	Field of Research (ANZSRC)
FTE	Full-time Equivalent
HDR	Higher Degree by Research (student)
HERDC	Higher Education Research Data Collection
HESDC	Higher Education Staff Data Collection
ISBN	International Standard Book Number
ISMN	International Standard Music Number
ISSN	International Standard Serial Number
LWOP	Leave without pay
MD	Multidisciplinary
NTRO	Non-Traditional Research Output
ORCID	Open Researcher and Contributor ID
REC	Research Evaluation Committee
SEER	System to Evaluate the Excellence of Research
UoE	Unit of Evaluation
XML	eXstensible Markup Language

Appendix C – Low volume threshold

Below is an example of FoR apportionment for a book and a journal article.

	FoR A % apportionment	FoR B % apportionment	Number of outputs FoR A	Number of outputs FoR B
Book*	40	60	2	3
Journal article	50	50	0.5	0.5

*Books have a weighting of 5:1 compared to other research outputs when calculating the low volume threshold.

The ARC combines outputs from the entire four-digit FoR within a two-digit FoR at the two-digit level for evaluation. This means that an institution could meet the threshold for a two-digit FoR when it doesn't meet the threshold for any four-digit FoR. The table below gives a simple example.

	Four-digit FoR 4904	Four-digit FoR 4901	Four-digit FoR 4903	Total combined to two-digit FoR 49
Number of outputs	20	25	15	60
Meets threshold?	No	No	No	Yes

If the combined number is under 50, it is not rounded up and none of the FoRs at four or two-digit will meet the threshold. The table below gives a simple example.

	Four-digit FoR 4904	Four-digit FoR 4901	Four-digit FoR 4903	Total combined to two-digit FoR 49
Number of outputs	20.2	5.3	24.4	49.9
Meets threshold?	No	No	No	No

Appendix D – Contents of research statement for ERA peer review of Non-Traditional Research Outputs

For each NTRO nominated for ERA peer review, institutions must provide a statement identifying the research component of the output. REC members and ERA peer reviewers will evaluate NTROs selected for ERA peer review in the context of the research component as identified in the research statement. The statement must be no more than 2000 characters including spaces (around 250 words) and cannot contain any embedded links. Research statements need to address the following categories:

Research background

- Field
- Context
- Research aim

Research contribution

- Innovation
  - Note – for Indigenous studies consider how innovation is considered from an Indigenous perspective
- New knowledge

Research significance

- Evidence of excellence
  - Note – for Indigenous studies consider to what extent the research output incorporates Indigenous methods and perspectives, and to what extent the research was Indigenous-led

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 FoR 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.
- It being the subject of a chapter in the book Identity Reframed published by Thames and Hudson and authored by the renowned art historian Z.
- It forms part of a competitively funded ARC project.

Appendix E – Summary of data requirements for eligible researchers

The sections below provide a summary of information institutions submit for each eligible researcher. See also Figure 1 at 4.3.1.

FTE staff

FTE staff are defined as a 'member of staff' under (a) in section 4.3.1.1.2.

'Research Only', and 'Research and Teaching' staff who are employed at ≥ 0.4 FTE on the staff census date, staff data must be submitted along with all eligible research outputs within the reference period.

For 'Research Only' and 'Research and Teaching' staff employed at < 0.4 FTE on the staff census date**,** staff data must be submitted. If there is at least one by-line to the submitting institution published within the reference period, all eligible research outputs, regardless of whether there is a by-line to the submitting institution, must be submitted.

For FTE staff with the function 'Other' employed on the staff census date**,** the eligibility does not depend upon whether they are employed at ≥ 0.4 FTE or < 0.4 FTE. In all cases, they are only eligible for ERA if they have published at least one output with a by-line to the submitting institution. If they have a by-line to the submitting institution, then staff data must be submitted and all eligible research outputs within the reference period must be submitted regardless of whether there is a by-line to the submitting institution or not.

Casual and Other-Employed Staff (includes LWOP exceptions)

Casual (defined as a 'member of staff' under (b) in section 4.3.1.1.2) and Other-Employed staff (defined as a 'member of staff' under (c) and (d) in section 4.3.1.1.2), employed on the staff census date, must have at least one published research output within the reference period by-lined to the submitting university to be included in an institution's staff data collection. *Only* eligible research outputs published in the reference period that have a by-line to the submitting university can be included in ERA.

Select Worked Examples

Example 1

Professor Beta moved in June 2017 from University Y to University Z. Professor Beta is employed at 1.0 FTE by University Z and was a full-time researcher ('research only' function) on the ERA staff census date. They have published extensively in the ERA reference period with by-lines to University Y and, since late 2017 to University Z.

ERA requirements: University Z can claim Professor Beta as their staff member. For Professor Beta, University Z would submit all staff data and all eligible research outputs within the reference period including those research outputs from Professor Beta's time at University Y.

Example 2

Dr Theta has been employed full-time by University B with the employment function 'teaching only' since June 2018. Despite this, Dr Theta has published joint research outputs (with a University B by-line) while employed at University B. Dr Theta was previously employed as 'research and teaching' during the reference period at University M.

ERA requirements: Dr Theta, who was 'teaching only' at University B on the staff census date, has published a research output with a by-line to University B. University B must submit staff data on Dr Theta and all eligible research outputs within the reference period from Dr Theta's time at University B and University M. Dr Theta's research outputs from their time at University M are eligible to be submitted by University B.

Example 3

Emeritus Professor Omega has an honorary appointment with University K and works unpaid for University K one day a week since January 2019. Emeritus Professor Omega has published research during the ERA reference period with a by-line to University K.

ERA requirements: Emeritus Professor Omega's was at university K on the staff census date and has the employment status is 'other-employed'. While unpaid, their Employment Level is equivalent to Level E – Professor. University K must submit staff data for Emeritus Professor Omega and all research outputs with a by-line to University K during the reference period.

Data Elements for staff data collection

Table 1: List of data elements for staff data

Staff data to include (where applicable)	
Last name	Required
Honorific	Required if applicable
First name	Required
Middle name	Required if applicable
Alternative name(s)	Required if applicable
Gender	Required
Indigenous Status	Optional
Staff reference	Required
ORCID	Required if provided to the institution
FTE	Required for Employed staff (FTE staff) Not required for staff employed on a casual basis or other-employed.
FoR (max. of three four-digit codes)	Required
Employment Level (4.3.2.8)	Required

Appendix F – Summaries of research output data requirements

F1 Summary of data requirements for books – authored research

Outlined in the following table is a summary of information institutions must submit for each book.

Data Item	Requirement to include for each book
Staff creator(s)	Required for all authors who are eligible researchers
Creator(s)	Required to list all authors of the book
Title	Required
Place of publication	Required
ERA publisher ID	Required (selected from the ERA 2023 Submission Publisher List)
Publisher other	Optional
Year published	Required
Year available	Optional
DOI	Optional
ISBN	Required
Extent	Optional
Edition	Optional – required if a revision
Translated	Optional
Contains sensitive content	Optional
Sensitive handling note	Required if output contains sensitive content
Electronic location	Required if nominated for ERA peer review
Available in an open access repository	Required (Yes/No)
Four-digit FoR code assignment	Required (a maximum of three)
Four-digit FoR code apportionment	Required

Data Item	Requirement to include for each book
Nominated FoR code for peer review	Optional (a maximum of three)
Institutional submission note(s)	Optional
Is revision	Optional

F2 Summary of data requirements for chapters in research books

Outlined in the following table is a summary of information institutions submit for each book chapter.

Data Item	Requirement to include for each book chapter
Staff creator(s)	Required for all authors who are eligible researchers
Creator(s)	Required to list all authors of the book chapter
Editor(s)	Required to list all editors of the book
Title of the book chapter	Required
Title of the book	Required
Place of publication	Required
ERA publisher ID	Required (selected from the *ERA 2023* Submission Publisher List)
Publisher other	Optional
Year published	Required
Year available	Optional
DOI	Optional
ISBN	Required
Extent	Optional
Edition	Optional
Translated	Optional
Contains sensitive content	Optional
Sensitive handling note	Required if output contains sensitive content
Electronic location	Required if nominated for ERA peer review
Available in open access repository	Required (Yes/No)
Four-digit FoR code assignment	Required (a maximum of three)

Data Item	Requirement to include for each book chapter
Four-digit FoR code apportionment	Required
Nominated FoR Code for peer review	Optional (a maximum of three)
Institutional submission note(s)	Optional

F3 Summary of data requirements for journal articles – refereed, scholarly journals

The following table summarises information institutions submit for each journal article.

Data Item	Requirement to include for each journal article
Staff creator(s)	Required for all authors who are eligible researchers
Creator(s)	Required to list all authors of the journal article
Article title	Required
Journal title	Required
Place of publication	Optional
Year published	Required
Year available	Optional
DOI	Optional
Volume	Optional
Issue	Optional
ISSN	Required (supplied by the ERA 2023 Submission Journal List)
Extent	Optional
Translated	Optional
Contains sensitive content	Optional
Sensitive handling note	Required if output contains sensitive content
Electronic location	Required if nominated for ERA peer review
Available in open access repository	Required (Yes/No)
Unique output identifier	Required for indexed journal articles
ERA journal ID	Required (supplied by the ERA 2023 Submission Journal List)
Four-digit FoR code assignment	Required (identified by the *ERA 2023 Submission Journal List* or selected by the institution in the following circumstances only two-digit journals, multidisciplinary journals, or journal articles

Data Item	Requirement to include for each journal article
	with significant content (66%) not represented in the pre-assigned FoRs within the *ERA 2023 Submission Journal List*.) For 45 Indigenous Studies' underlying four-digit codes, the apportionment for that code must be 20% – 100%
Four-digit FoR code apportionment	Required
Nominated FoR code for peer review	Optional (a maximum of three)
Institutional submission note(s)	Optional

F4 Summary of data requirements for conference publications – full paper refereed

The following table summarises the information that institutions are required to submit for each conference publication.

Data Item	Requirement to include for each conference publication
Staff creator(s)	Required for all authors who are eligible researchers
Creator(s)	Required to list all authors of conference publication
Conference paper title	Required
Conference outlet title	Required
ERA conference ID	Required (selected from the ERA 2023 Submission Conference List)
Conference other	Optional
Conference venue	Required
Publisher of conference publication	Required
ISSN	Optional
ISBN	Optional
Place of publication	Optional
Year published	Required
Year available	Optional
DOI	Optional
Issue	Optional
Volume	Optional
Extent	Optional
Translated	Optional
Contains sensitive content	Optional
Sensitive handling note	Required if output contains sensitive content

Data Item	Requirement to include for each conference publication
Electronic location	Required if nominated for ERA peer review
Available in open access repository	Required (Yes/No)
Four-digit FoR code assignment	Required (a maximum of three)
Four-digit FoR code apportionment	Required
Nominated FoR code for peer review	Optional (a maximum of three)
Institutional submission note(s)	Optional

F5 Summary of data requirements for NTROs

The following table is a summary of information institutions must submit for each NTRO type.

Data Item	Requirement to include for each NTRO
Staff creator(s)	Required for all authors who are eligible researchers
Creator(s)	Required to list all authors of the output
Title	Required
Place of publication	Required
Publisher	Optional
Year published or year publicly available	Required
Year presented	Optional
DOI	Optional
Standard number	Optional (e.g. International Standard Music Number (ISMN))
Issue	Optional
Volume	Optional
Extent	Optional
Translated	Optional
Contains sensitive content	Optional
Sensitive handling note	Required if output contains sensitive content
NTRO category	Required
Media	Required if available (e.g. interactive video installation, website)
Notes	Required if available (e.g. include venue name and type, venue commissioner, role of creator).
Electronic location	Required if nominated for ERA peer review
Large repository file	Optional

Data Item	Requirement to include for each NTRO
Available in open access repository	Required (Yes/No)
Four digit FoR code assignment	Required
Four-digit FoR code apportionment	Required (a maximum of three)
Nominated FoR code for peer review	Optional (a maximum of three)
Institutional submission note(s)	Optional
Portfolio name	Required for items that are part of a portfolio
Portfolio number	Required for items that are part of a portfolio
Research statement	Required if nominated for ERA peer review (in the case of portfolios, only one statement can be submitted)

Appendix G – Commonwealth of Australia Statutory Declaration

Commonwealth of Australia

STATUTORY DECLARATION

Statutory Declarations Act 1959

1 *Insert the name, address and occupation of person making the declaration*

I,[1]

make the following declaration under the *Statutory Declarations Act 1959:*

2 *Set out matter declared to in numbered paragraphs*

2

I understand that a person who intentionally makes a false statement in a statutory declaration is guilty of an offence under section 11 of the *Statutory Declarations Act 1959*, and I believe that the statements in this declaration are true in every particular.

3 *Signature of person making the declaration*

3

4 [Optional: email address and/or telephone number of person making the declaration]

4

5 Place

6 Day

7 Month and year

Declared at [5] on [6] of [7]

Before me,

8 Signature of person before whom the declaration is made (see over)

8

9 Full name, qualification and address of person before whom the declaration is made (in printed letters)

9

10 [Optional: email address and/or telephone number of person before whom the declaration is made

10

Note 1 A person who intentionally makes a false statement in a statutory declaration is guilty of an offence, the punishment for which is imprisonment for a term of 4 years — see section 11 of the *Statutory Declarations Act 1959*.

Note 2 Chapter 2 of the *Criminal Code* applies to all offences against the *Statutory Declarations Act 1959* — see section 5A of the *Statutory Declarations Act 1959*.

A statutory declaration under the *Statutory Declarations Act 1959* may be made before–

(1) a person who is currently licensed or registered under a law to practise in one of the following occupations:

Architect	Chiropractor	Dentist
Financial adviser	Financial Planner	Legal practitioner
Medical practitioner of the *Migration Act 1958*	Midwife	Migration agent registered under Division 3 of Part 3
Nurse	Occupational therapist	Optometrist
Patent attorney	Pharmacist	Physiotherapist
Psychologist	Trade marks attorney	Veterinary surgeon

(2) a person who is enrolled on the roll of the Supreme Court of a State or Territory, or the High Court of Australia, as a legal practitioner (however described); or

(3) a person who is in the following list:

Accountant who is:

a) a fellow of the National Tax Accountants' Association; or
b) a member of any of the following:
    i. Chartered Accountants Australia and New Zealand;
    ii. the Association of Taxation and Management Accountants;
    iii. CPA Australia;
    iv. the Institute of Public Accountants

Agent of the Australian Postal Corporation who is in charge of an office supplying postal services to the public

APS employee engaged on an ongoing basis with 5 or more years of continuous service who is not specified in another item in this list

Australian Consular Officer or Australian Diplomatic Officer (within the meaning of the *Consular Fees Act 1955*)

Bailiff

Bank officer with 5 or more continuous years of service

Building society officer with 5 or more years of continuous service

Chief executive officer of a Commonwealth court

Clerk of a court

Commissioner for Affidavits

Commissioner for Declarations

Credit union officer with 5 or more years of continuous service

Employee of a Commonwealth authority engaged on a permanent basis with 5 or more years of continuous service who is not specified in another

item in this list

Employee of the Australian Trade and Investment Commission who is:

(a) in a country or place outside Australia; and

(b) authorised under paragraph 3 (d) of the *Consular Fees Act 1955*; and

(c) exercising the employee's function at that place

Employee of the Commonwealth who is:

(a) at a place outside Australia; and

(b) authorised under paragraph 3 (c) of the *Consular Fees Act 1955*; and

(c) exercising the employee's function at that place

Engineer who is:

a) a member of Engineers Australia, other than at the grade of student; or
b) a Registered Professional Engineer of Professionals Australia; or
c) registered as an engineer under a law of the Commonwealth, a State or Territory; or
d) registered on the National Engineering Register by Engineers Australia

Finance company officer with 5 or more years of continuous service

Holder of a statutory office not specified in another item in this list

Judge

Justice of the Peace

Magistrate

Marriage celebrant registered under Subdivision C of Division 1 of Part IV of the *Marriage Act 1961*

Master of a court

Member of the Australian Defence Force who is:

a) an officer
b) a non-commissioned officer within the meaning of the *Defence Force Discipline Act 1982* with 5 or more years of continuous service
c) a warrant officer within the meaning of that Act

Member of the Australasian Institute of Mining and Metallurgy

Member of the Governance Institute of Australia Ltd

Member of:

a) the Parliament of the Commonwealth
b) the Parliament of a State
c) a Territory legislature
d) a local government authority

Minister of religion registered under Subdivision A of Division 1 of Part IV of the *Marriage Act 1961*

Notary public, including a notary public (however described) exercising functions at a place outside

a) the Commonwealth
b) the external Territories of the Commonwealth

Permanent employee of the Australian Postal Corporation with 5 or more years of continuous service who is employed in an office providing postal services to the public

Permanent employee of

a) a State or Territory or a State or Territory authority
b) a local government authority

with 5 or more years of continuous service, other than such an employee who is specified in another item of this list

Person before whom a statutory declaration may be made under the law of the State or Territory in which the declaration is made

Police officer

Registrar, or Deputy Registrar, of a court

Senior executive employee of a Commonwealth authority

Senior executive employee of a State or Territory

SES employee of the Commonwealth

Sheriff

Sheriff's officer

Teacher employed on a permanent full-time or part-time basis at a school or tertiary education institution

Appendix H – data requirements for research income categories

Data item for inclusion	Income type			
	Australian competitive grant research income	**Other public sector research income**	**industry and other research income**	**CRC research income**
Total amount received	Yes	Yes	Yes	Yes
Reference year	Yes	Yes	Yes	Yes
Four-digit FoR code assignment	Yes (as many as are relevant)	Yes (as many as are relevant)	Yes (as many as are relevant)	Yes (as many as are relevant)
Four-digit FoR code apportionment	Yes	Yes	Yes	Yes