



**Australian Government**  
**Australian Research Council**

---

**EI 2018**  
SUBMISSION GUIDELINES

---

Front cover image credits:

Biologic cell (colourful), iStock.com/ © dreaming2004

Blue ink, iStock.com/ © Pathathai Chungyam

Top view of inside a green plant, iStock.com/ © Zaharov

Deep blue silky smoke background, iStock.com/ © Storman

ISBN: 978-0-9943687-7-5 (online) © Commonwealth of Australia 2017

All material presented in this publication is provided under a Creative Commons Attribution 3.0 Australia licence [www.creativecommons.org](http://www.creativecommons.org)>Share your work>[Licensing considerations](#) with the exception of the Commonwealth Coat of Arms, the Australian Research Council (ARC) logo, images, signatures and where otherwise stated. For the avoidance of doubt, this means this licence only applies to material as set out in this document. The details of the relevant licence conditions are available on the Creative Commons website as is the full legal code for the CC BY 4.0 licence [www.creativecommons.org](http://www.creativecommons.org)>Share your work>[Licensing considerations](#). Requests and enquiries regarding this licence should be addressed to ARC Legal Services on +61 2 6287 6600.

# Table of contents

Table of contents	3
1. EI overview	6
1.1 Introduction	6
1.2 Objectives	6
1.3 Disciplines	7
1.4 UoA	8
1.5 Assessments	8
1.6 Use of EI 2018 information	8
1.7 Documentation	8
1.8 Timeline	9
1.9 Definitions	10
1.10 Provision of additional information	11
1.11 Further assistance	11
2. Key elements of EI	12
2.1 Low volume threshold	12
2.2 Reference periods	12
3. EI submission data	13
3.1 Submission components	13
3.2 FoR code assignment	14
3.2.1 Use of ERA 2018 submission data in EI 2018	14
3.2.2 Engagement	14
3.2.3 Impact	14
3.3 Engagement submission	14
3.3.1 Engagement narrative	15
3.3.2 Engagement indicator data	16
3.3.2.1 Cash support from research end-users (specified HERDC Category 1 and HERDC Categories 2, 3, and 4)	16
3.3.2.2 Total HERDC income per FTE	17
3.3.2.3 Proportion of specified HERDC Category 1 grants to all HERDC Category 1 grants	17
3.3.2.4 Research commercialisation income	17

3.3.2.5 Co-supervision of HDR students	18
3.3.2.6 Engagement indicator explanatory statement	18
3.4 Impact submission	19
3.4.1 Preparing the impact studies	19
3.4.2 Two-digit FoR impact studies	20
3.4.3 Interdisciplinary impact studies	20
3.4.4 Aboriginal and Torres Strait Islander research impact studies	20
4. EI submission process	22
4.1 Overview of the EI 2018 submission process	22
4.2 Stages of the EI submission process	23
4.2.1 Data submission stage	23
4.2.2 Data integrity checking stage	23
4.2.3 Certification stages	23
5. Other matters	24
5.1 Security and sensitivity	24
5.1.1 Culturally sensitive submissions	24
5.1.2 Commercially sensitive submissions	24
5.1.3 Australian Government security classified submissions	25
5.2 Publication of data	25
5.3 Privacy complaints and advice	25
5.4 Freedom of information	25
5.5 Intellectual property	26
5.6 Incomplete, false or misleading information	26
5.7 Certification	27
5.7.1 Certification statement	27
5.7.2 Transmission to ARC of certification statement	28
Appendices	30
Appendix A—Eligible institutions	30
Appendix B—Abbreviations	31
Appendix C—Engagement narrative template	32
Appendix D—Summary of data items required for engagement indicators	33
Appendix D1—Data items for engagement indicators	33
Appendix D2—Engagement indicator explanatory statement template	34

Appendix E—Specified HERDC Category 1 grants	35
Appendix F—Examples of additional quantitative information for the engagement narrative	44
Appendix G—Impact studies	46
Appendix G1—Two-digit FoR impact study template	46
Appendix G2—Interdisciplinary impact study template	48
Appendix G3—Aboriginal and Torres Strait Islander research impact study template	50
Appendix H—Request not to be assessed for impact	53

# 1. EI overview

## 1.1 Introduction

In December 2015, as part of its National Innovation and Science Agenda (NISA), the Government announced the development of a national Engagement and Impact (EI) assessment, which will examine how universities are translating their research into economic, environmental, social and other benefits.

EI 2018 aims to create incentives for greater collaboration between universities and industry, as well as other research end-users.

EI 2018 is a companion exercise to Excellence in Research for Australia (ERA) 2018, and data collected for ERA 2018 forms part of the EI 2018 assessment. See [3.2.1](#) for a summary of areas of overlap between EI 2018 and ERA 2018. Institutions eligible to participate in EI 2018 are those listed at [Appendix A](#).

## 1.2 Objectives

The objectives of EI are to:

- provide clarity to the Government and Australian public about how their investments in university research translate into tangible benefits beyond academia
- identify institutional processes and infrastructure that enable research engagement
- promote greater support for the translation of research impact within institutions for the benefit of Australia beyond academia
- identify the ways in which institutions currently translate research into impact.

### 1.3 Disciplines

EI assesses the engagement and impact arising from research undertaken in Australian institutions, by discipline.

EI defines disciplines as two-digit Fields of Research (FoR) as identified in the Australian and New Zealand Standard Research Classification (ANZSRC) [www.abs.gov.au](http://www.abs.gov.au) >Statistics>by Classifications>[Australian and New Zealand Standard Research Classification](http://www.abs.gov.au), with the following modifications:

- FoR 11 Medical and Health Sciences is divided to form two separate disciplines—the Biomedical and Clinical Sciences, and the Public and Allied Health Sciences—for engagement and impact.
  - Biomedical and Clinical Sciences has the following four-digit FoRs:
    - 1101 Medical Biochemistry and Metabolomics
    - 1102 Cardiovascular Medicine and Haematology
    - 1103 Clinical Sciences
    - 1105 Dentistry
    - 1107 Immunology
    - 1108 Medical Microbiology
    - 1109 Neurosciences
    - 1112 Oncology and Carcinogenesis
    - 1113 Ophthalmology and Optometry
    - 1114 Paediatrics and Reproductive Medicine
    - 1115 Pharmacology and Pharmaceutical Sciences
    - 1116 Medical Physiology
  - Public and Allied Health Sciences has the following four-digit FoRs:
    - 1104 Complementary and Alternative Medicine
    - 1106 Human Movement and Sports Science
    - 1110 Nursing
    - 1111 Nutrition and Dietetics
    - 1117 Public Health and Health Services
    - 1199 Other Medical and Health Sciences
- Aboriginal and Torres Strait Islander research is treated as its own Unit of Assessment (UoA) for impact.
- There is also an interdisciplinary UoA for impact.

## 1.4 UoA

The UoA for EI is the two-digit FoR as defined by ANZSRC at the institution. The assessment treats interdisciplinary impact and Aboriginal and Torres Strait Islander research as separate UoAs. See [1.3](#) for more information.

## 1.5 Assessments

In EI 2018, assessment panels made up of a mix of experts from academia and research end-users assess and rate UoAs. The assessments are divided into two broad categories:

- *Engagement qualitative statements and indicators*  
Panels consider research engagement activity based on an engagement narrative, a small suite of quantitative indicators, and an indicator explanatory statement.
- *Impact studies*  
Panels consider research impact and the institution's approach to impact based on qualitative impact studies that detail the impact, the research associated with the impact, and the approach to impact.

## 1.6 Use of EI 2018 information

The ARC will publish outcomes of the assessments for all assessable UoAs. The ARC will publish information that details outcomes at an institutional and national level. Submitted data from EI 2018 submissions may also be published (refer to sections [5.2](#) and [5.7.1](#)).

## 1.7 Documentation

Institutions should read the *EI 2018 Submission Guidelines* in conjunction with the following documents, provided on the ARC website at [www.arc.gov.au](http://www.arc.gov.au)>NISA Measures>Engagement and Impact Assessment> [Engagement and Impact Assessment information page](#).

- The *EI-SEER 2018 Technical Specifications*—this provides technical requirements and information for institutions on preparing and submitting EI 2018 submissions.
- The *EI 2018 Discipline Matrix*—this provides information on the indicator applicability for each discipline. This information is provided as a table in Microsoft Excel format.
- The *EI 2018 Framework* document—this outlines the framework for the EI 2018 assessment, including the methodology and indicators for EI 2018.



## 1.8 Timeline

Submission of EI 2018 narrative and data components occurs after ERA 2018 submission.

Phase	Stage	Start Date	Deadline	Responsible
Submission	Submission	16 May 2018	15 June 2018	Institutions
	Data integrity checking	18 June 2018	22 June 2018	ARC, with institutions
	Certification	25 June 2018	27 June 2018	Institutions

## **1.9 Definitions**

### **Research**

Research is 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 is the same definition used for ERA. It 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” as defined in the ARC funding rules.

### **Aboriginal and Torres Strait Islander research**

Aboriginal and Torres Strait Islander research means that the research (as defined above) significantly:

- relates to Aboriginal and Torres Strait Islander peoples, nations, communities, language, place, culture or knowledges and/or
- is undertaken with Aboriginal and Torres Strait Islander peoples, nations, or communities.

### **Engagement**

Research engagement is the interaction between researchers and research end-users outside of academia, for the mutually beneficial transfer of knowledge, technologies, methods or resources.

### **Impact**

Research impact is the contribution that research makes to the economy, society, environment or culture, beyond the contribution to academic research.

### **Research end-user**

A research end-user is an individual, community or organisation external to academia that will directly use or directly benefit from the output, outcome or result of the research.

Examples of research end-users include governments, businesses, non-governmental organisations, communities and community organisations.

Specific exclusions of research end-users are:

- publicly funded research organisations (CSIRO, AIMS, ANSTO, NMI, DSTO etc.)
- other higher education providers (including international universities)
- organisations that are affiliates, controlled entities or subsidiaries (such as Medical Research Institutes) of a higher education provider
- equivalents (international or domestic) of the above exclusions.

## **Higher degree by research (HDR)**

An HDR is a Research Doctorate or Research Masters. A Research Doctorate means a Level 10 Doctoral Degree (Research) qualification as described in the Australian Qualifications Framework and a Research Masters means a Level 9 Masters Degree (Research) qualification as described in the Australian Qualifications Framework. Professional Doctorates may be included but only where at least two-thirds of the qualification is research.

## **FoRs**

The FoRs are categories of research methodology in the ANZSRC. They include major fields of research investigated by national research institutions and organisations, and emerging areas of study.

### ***1.10 Provision of additional information***

The Australian Research Council (ARC) will provide any further information regarding the EI 2018 processes on its website ([www.arc.gov.au](http://www.arc.gov.au)>NISA Measures>Engagement and Impact Assessment > [Engagement and Impact Assessment information page](#).) The ARC will provide this information to the nominated EI liaison officers within institutions as it becomes available.

### ***1.11 Further assistance***

Please direct queries regarding EI 2018 to the EI helpdesk by phone during Canberra business hours at (02) 6287 6755 or via email: [ARC-EI@arc.gov.au](mailto:ARC-EI@arc.gov.au).

## 2. Key elements of EI

### 2.1 Low volume threshold

In EI 2018 the low volume threshold is 150 weighted apportioned outputs (1 book counts as 5) based on an institution's relevant two-digit FoR submission to ERA 2018. Institutions that meet the low volume threshold must submit both engagement data and impact information for that UoA. If an institution considers that a UoA falling below the low-volume threshold has sufficient evidence for assessment in engagement or impact, it can choose to opt-in to either engagement or impact assessments.

The ARC acknowledges that for some UoAs there may be no impact or insufficient impact to report, for example if the majority of research outputs within the UoA are primarily basic or fundamental research, or the research area at the institution is too new. If an institution meets the low volume threshold in a UoA, but also meets the above criteria the institution must submit a statement to that effect in the place of an impact study for that UoA.

The statement must include the reason why the institution will not be able to provide an impact study for the UoA, a description of the strategy the institution will put in place for that discipline to participate in future rounds of the impact assessment, and the timeframe in which the institution expects to participate for that discipline in future EI impact assessment rounds. Such statements will be treated as a request not to be assessed. Where the ARC determines that the request not to be assessed meets the criteria outlined above, the UoA will not be assessed for impact and will be report as 'requested not to be assessed'.

The low volume threshold does not apply to the interdisciplinary and Aboriginal and Torres Strait Islander research impact studies. Institutions may opt-in for either or both.

### 2.2 Reference periods

The ARC collects submission data for EI 2018 for the following reference periods.

Data type	Reference period	Years
Impact study	1 January 2011–31 December 2016	6
Associated research	1 January 2002–31 December 2016	15
Engagement	1 January 2014–31 December 2016	3

While a reference period is not specified for approach to impact, the approach must be retrospective and within the context of the impact study.

## 3. EI submission data

### 3.1 Submission components

The main components of an EI submission include:

*Engagement:*

- engagement narrative at [3.3.1](#)
- engagement indicator data:
  - cash support from research end-users (specified HERDC Category 1 and HERDC Categories 2, 3, and 4) at [3.3.2.1](#)
  - HERDC research income per FTE at [3.3.2.2](#)
  - specified HERDC Category 1 grants (proportion of HERDC Category 1) at [3.3.2.3](#)
  - research commercialisation income at [3.3.2.4](#)
  - engagement indicator explanatory statement at [3.3.2.6](#)
- additional engagement data collection
  - co-supervision of HDR students at [3.3.2.5](#).

*Impact studies:*

- two-digit FoR impact study at [3.4.2](#)
- interdisciplinary impact study at [3.4.3](#)
- Aboriginal and Torres Strait Islander research impact study at [3.4.4](#).

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

- For engagement:
  - a guide to preparing the engagement narrative at [3.3.1](#)
  - engagement narrative template at [Appendix C](#)
  - summary of data requirements for engagement indicators at [Appendix D1](#)
  - list of specified HERDC Category 1 grants at [Appendix E](#)
  - engagement indicator explanatory statement template at [Appendix D2](#)
  - examples of additional quantitative information for the engagement narrative at [Appendix F](#)
- For impact:
  - A guide to preparing the impact studies at [3.4.1](#).
  - two-digit FoR impact study template at [Appendix G1](#)
  - interdisciplinary impact study template at [Appendix G2](#)

- Aboriginal and Torres Strait Islander research impact study template at [Appendix G3](#)

## **3.2 FoR code assignment**

### **3.2.1 Use of ERA 2018 submission data in EI 2018**

The ARC derives the following data for EI 2018 from ERA 2018 data:

- HERDC income:
  - specified Category 1 income by grant and the FoR code assignments
  - Category 2 to 4 income and the FoR code assignments
- total FTE and the FoR code assignments
- research commercialisation income and the FoR code assignments.

### **3.2.2 Engagement**

Most engagement data for EI 2018 is derived from ERA, and therefore has FoR codes assigned already. Two of the indicators—cash support from end-users and co-supervision of HDR students—require institutions to submit additional data for each UoA. In determining the FoR assignment for this additional data, institutions must consider the descriptions of the two-digit FoRs in the ANZSRC including the notes on exclusions and the relevant underlying four-digit and six-digit FoR codes.

Institutions must ensure that the additional data required for EI 2018 for each UoA relates specifically to the UoA and does not overlap or duplicate data in other UoAs.

### **3.2.3 Impact**

Institutions must assign a primary two-digit FoR code to each two-digit FoR impact study and can add up to two additional FoR codes.

For interdisciplinary impact studies, institutions must nominate at least two or up to three two-digit FoR codes.

For Aboriginal and Torres Strait Islander research impact studies, the primary field of research is Aboriginal and Torres Strait Islander research. Institutions may assign up to three additional two-digit FoR codes as relevant.

The FoR code(s) should describe the overall content of the impact study.

Institutions must also assign additional FoR codes to the associated research. This provides context only. The impact study will only be assessed in the primary FoR code assigned to the overall impact study.

## **3.3 Engagement submission**

The submission for the engagement assessment includes an engagement narrative which describes the engagement activities of the UoA, quantitative information (engagement

indicators), an engagement indicator explanatory statement to further describe the indicators, and additional indicators, if supplied. The use of a combination of qualitative statements and metric indicators for engagement allows maximum flexibility in the methodology to accommodate differences across different disciplines.

Assessment panels make a holistic judgement about the performance of a UoA, and can focus on aspects of the qualitative statements or indicators that are particularly relevant for different disciplines.

The data component required for the engagement assessment is largely derived from information submitted for ERA 2018. Further information on the data required for each indicator is at [Appendix D](#). Where necessary, institutions must supply additional data for calculating the engagement indicators.

When preparing their submissions, institutions must ensure the engagement activity they refer to falls within the reference period ([2.2](#)). This applies to the engagement narrative, engagement indicator explanatory statement and additional indicator data.

Please refer to the *EI–SEER 2018 Technical Specifications* for information on submitting the engagement narrative, the engagement indicator data, and engagement indicator explanatory statement.

### **3.3.1 Engagement narrative**

#### **Content guidance**

Institutions should use the engagement narrative to describe the engagement activities of the UoA. This can include:

- the purpose of the engagement
- how the UoA engaged with research end-users for mutual benefit
- the duration and extent of the engagement activities.

Institutions use this narrative to describe their engagement activities, strategy and/or objectives. Institutions can select examples for the engagement narrative that were collaborative in nature, but must make their role clear. Similarly, researchers need not have been present for the entirety of a project, or at its conclusion, in order for institutions to detail their involvement in activities described in the engagement narrative.

Institutions can include any qualitative or quantitative information in their narrative.

[Appendix F](#) provides a list of examples, but institutions are not limited to these.

Note that where institutions provide additional quantitative information, the ARC may investigate whether it is feasible to develop this into an indicator for subsequent EI rounds, after 2018.

Engagement narratives must not contain hyperlinks, as this would circumvent the character limit. References to specific external media or publications are allowed where appropriate.

#### **Style and clarity**

It is important for the engagement narrative to be written in such a way that the evidence of engagement activities beyond academia is clear. The voice of the engagement narrative should be consistent, even if multiple authors have contributed to the content. Institutions should avoid exaggerated or aspirational claims. Engagement submissions are assessed by panels of experts comprising academics and research end-users, but it is possible that some panel members will be unfamiliar with specific technical terminology. For this reason, institutions should favour less complex language where possible.

### 3.3.2 Engagement indicator data

This section details the data required for each engagement indicator.

EI 2018 assesses four engagement indicators:

- Cash support from research end-users (specified HERDC Category 1 and Categories 2, 3, and 4).
- HERDC research income (specified Category 1 and Categories 2, 3, and 4) per FTE.
- Proportion of specified HERDC Category 1 grants to total HERDC Category 1
  - grant amount
  - number of grants.
- Research commercialisation income.

The ARC is collecting data on co-supervision of HDR students, but will not assess this data.

In addition, institutions may use the engagement indicator explanatory statement to describe the link between the engagement activity of the UoA and the indicator data for each indicator, see section [3.3.2.6](#).

[Appendix D](#) provides a summary of ERA 2018 data used for EI 2018 and additional data institutions must submit for the engagement indicators.

For further information on data submission, refer to the *EI-SEER 2018 Technical Specifications*.

#### **3.3.2.1 Cash support from research end-users (specified HERDC Category 1 and HERDC Categories 2, 3, and 4)**

This indicator captures cash contributions from research end-users (see definition of research end-user in [1.9](#)). Institutions report cash contributions from research end-users against a specified list of HERDC Category 1 grants and any relevant funding in HERDC Categories 2, 3 (i, ii, iii only), and 4 by FoR code (see [Appendix E](#) and [Appendix D1](#)).

This indicator focuses on the amount of cash support that research end-users have provided to institutions for research.

Institutions must report separate funding totals for cash support from research end-users by FoR code within the engagement reference period ([2.2](#)).



### **3.3.2.2 Total HERDC income per FTE**

This indicator is the total income per FTE reported against a list of specified funding schemes from HERDC Category 1 and HERDC Categories 2, 3 (i, ii, iii only) or 4 (see [Appendix E](#) and [Appendix D1](#)).

No new data is required for submission by institutions for the HERDC income or FTE. The ARC derives this data from ERA 2018 research income and FTE submission data.

### **3.3.2.3 Proportion of specified HERDC Category 1 grants to all HERDC Category 1 grants**

This indicator focuses on the mix of HERDC Category 1 funding arising from specified HERDC Category 1 grants (end-user sponsored) and all HERDC Category 1 grants.

This indicator includes two separate calculations:

- The proportion of the number of specified HERDC Category 1 grants to the number of all HERDC Category 1 grants.
- The proportion of the income from specified HERDC Category 1 grants to the income of all HERDC Category 1 grants.

No new data is required for submission by institutions for this indicator. The ARC derives this data from ERA 2018 submission data. [Appendix E](#) lists the specified HERDC Category 1 grants.

### **3.3.2.4 Research commercialisation income**

This indicator is the total research commercialisation income for the UoA.

As in ERA 2018, research commercialisation income is defined as income from:

- institution-owned subsidiaries
- spinoff companies
- licences, options and assignments (LOA).

LOA for inclusion must be negotiated on full commercial terms, granting access to institutional intellectual property (patents, designs, PBR and trademarks) in return for royalties or licence fees.

LOA include:

- running royalties
- cashed in equity.

LOA do not include:

- material transfer agreements (MTA), including income received to cover costs of making and transferring materials under MTA

- patent expense reimbursement from licensees
- research funding
- a valuation of equity not cashed in
- trademark licensing royalties from university insignia.

Research commercialisation income does not include:

- commercial income from research contracts and consultancies, commissioned works, student fees, rents or any other source
- Cooperative Research Centre (CRC) research income.

This indicator is only applicable to the two-digit FoRs identified as having research commercialisation income as an indicator in the *EI 2018 Discipline Matrix*.

No new data is required for submission by institutions. This indicator uses ERA 2018 submission data. ERA collects research commercialisation income at the four-digit FoR level. Four-digit FoR data is rolled up to the two-digit level for EI 2018.

### **3.3.2.5 Co-supervision of HDR students**

The ARC is collecting but not assessing data on end-user co-supervision of Higher Degree Research (HDR) students. If an institution has this data, they must supply it for EI 2018. The institution is to report the co-supervision of HDR students where at least one supervisor is a representative of research end-users as per the definition of engagement ([1.9](#)).

Institutions should calculate the number of co-supervised HDR students based on the number of students enrolled on the census date (31 March 2017) by FoR (not Field of Education) code. Institutions must use the Higher Education Student Data Collection (HESDC) data, as reported to the Department of Education and Training, as the basis for their calculations regarding HDR data for EI 2018.

The rationale for this data collection is to let institutions know well in advance that this information will form part of the mandatory data collection for assessment as an indicator in future EI rounds. In order to prepare for future EI rounds, institutions should look at the ongoing capture of HDR information by FoR code and develop clear policy directions on end-user co-supervision of HDR students. The ARC will develop further details on the data collection of this indicator in consultation with other government departments that collect HDR data, to minimise the burden to institutions for subsequent EI rounds, after 2018.

### **3.3.2.6 Engagement indicator explanatory statement**

Institutions should use the engagement indicator explanatory statement to provide context or further explanation for the indicators, for example, describing the connections established with research end-users that relate to the indicator data. Institutions should ensure the additional context provides a clear explanation of the link between the engagement indicator and the engagement activity of the UoA. Institutions can also use the engagement indicator explanatory statement to explain any anomalies in the data.

Engagement indicator explanatory statements must not contain hyperlinks, as this would circumvent the character limit. References to specific external media or publications are allowed where appropriate.

### **3.4 Impact submission**

The submission for the impact assessment includes qualitative information in the form of impact studies, supplemented with quantitative information if relevant. For each impact study submitted, institutions must submit details of the following:

- the impact of the research
  - the associated research
- the approach to impact.

Impact and approach to impact are rated separately.

See [1.9](#) for the definition of impact.

Impact submissions include:

- one two-digit FoR impact study for each two-digit UoA that meets the low volume threshold (except two for FoR 11, which is divided into Biomedicine and Clinical Medicine, and Public and Allied Health)
- one optional interdisciplinary impact study
- one optional Aboriginal and Torres Strait Islander research impact study.

The impact study templates are at [Appendix G1](#) (two-digit FoR), [Appendix G2](#) (interdisciplinary) and [Appendix G3](#) (Aboriginal and Torres Strait Islander research).

Please refer to the *EI-SEER 2018 Technical Specifications* for information on how to submit impact studies.

#### **3.4.1 Preparing the impact studies**

##### **Content guidance**

The description of the impact should be driven by explicit evidence, for example cost-benefit analysis, or adoption of public policy that leads to changes in behaviour. Institutions should not focus on expected outcomes, but rather choose an example for which they can provide tangible evidence within the reference period. Each impact study has a 150 word summary of the impact, which needs to be simple and clear, as it will be used to convey the impact of the research to the general community.

In the approach to impact, institutions have an opportunity to explain their role in facilitating the delivery of impact. Descriptions of institutional support may include general information, but should also include information about mechanisms that relate to the specific impact examples, and to the UoA more broadly. Institutions can select impact examples that involved collaboration with other universities, but must make their role clear. Similarly, researchers need not have been present for the entirety of a project, or at its conclusion, in

order for institutions to include their involvement in the impact study. Although there is not a reference period for the approach to impact, the content must be retrospective and within the context of the research and impact.

Impact studies must not contain hyperlinks, as this would circumvent the character limit. References to specific external media or publications are allowed where appropriate.

### **Style and clarity**

It is important for the impact studies to be clear and written in such a way that the evidence of both impact and approach to impact is salient and well connected. The voice in the impact study should be consistent, even if multiple authors have contributed to the content.

Institutions should avoid exaggerated and aspirational claims. Impact studies are assessed by panels of experts; both academics and research end-users, but it is possible that some panel members will be unfamiliar with specific technical terminology, and so institutions should favour less complex language where possible.

### **3.4.2 Two-digit FoR impact studies**

See section [2.1](#) for further information on when institutions must submit an impact study.

Institutions must submit an impact study for each two-digit FoR that meets the low volume threshold, and may choose to submit impact studies for FoRs that do not meet the low volume threshold. Institutions must assign a primary FoR code that best describes the overall content of the impact study, which will become the UoA. Additional FoR codes may also be assigned, as relevant.

For further information, please refer to the two-digit FoR impact study template in [Appendix G1](#).

### **3.4.3 Interdisciplinary impact studies**

Institutions may choose to submit one interdisciplinary impact study. Interdisciplinary impact studies should be used where the impact is so broad that it cannot be described by a primary FoR code. An interdisciplinary impact study should relate clearly to all of the FoR codes assigned to it. These codes assist in assigning the interdisciplinary impact studies to an appropriate panel for assessment.

For further information, please refer to the interdisciplinary impact study template in [Appendix G2](#).

### **3.4.4 Aboriginal and Torres Strait Islander research impact studies**

Institutions may choose to submit an impact study on Aboriginal and Torres Strait Islander research. Although both the two-digit FoR impact studies and interdisciplinary impact studies allow institutions to flag Aboriginal and Torres Strait Islander content, this impact study must focus on Aboriginal and Torres Strait Islander research impact. Where relevant, the impact study should demonstrate the ways in which Aboriginal and Torres Strait Islander leadership and governance arrangements were integrated into the activities and processes throughout all stages; from the initial research, through translation, to the impact itself. A key element of this is demonstrating Indigenous-led principles which embody the right to self-determination

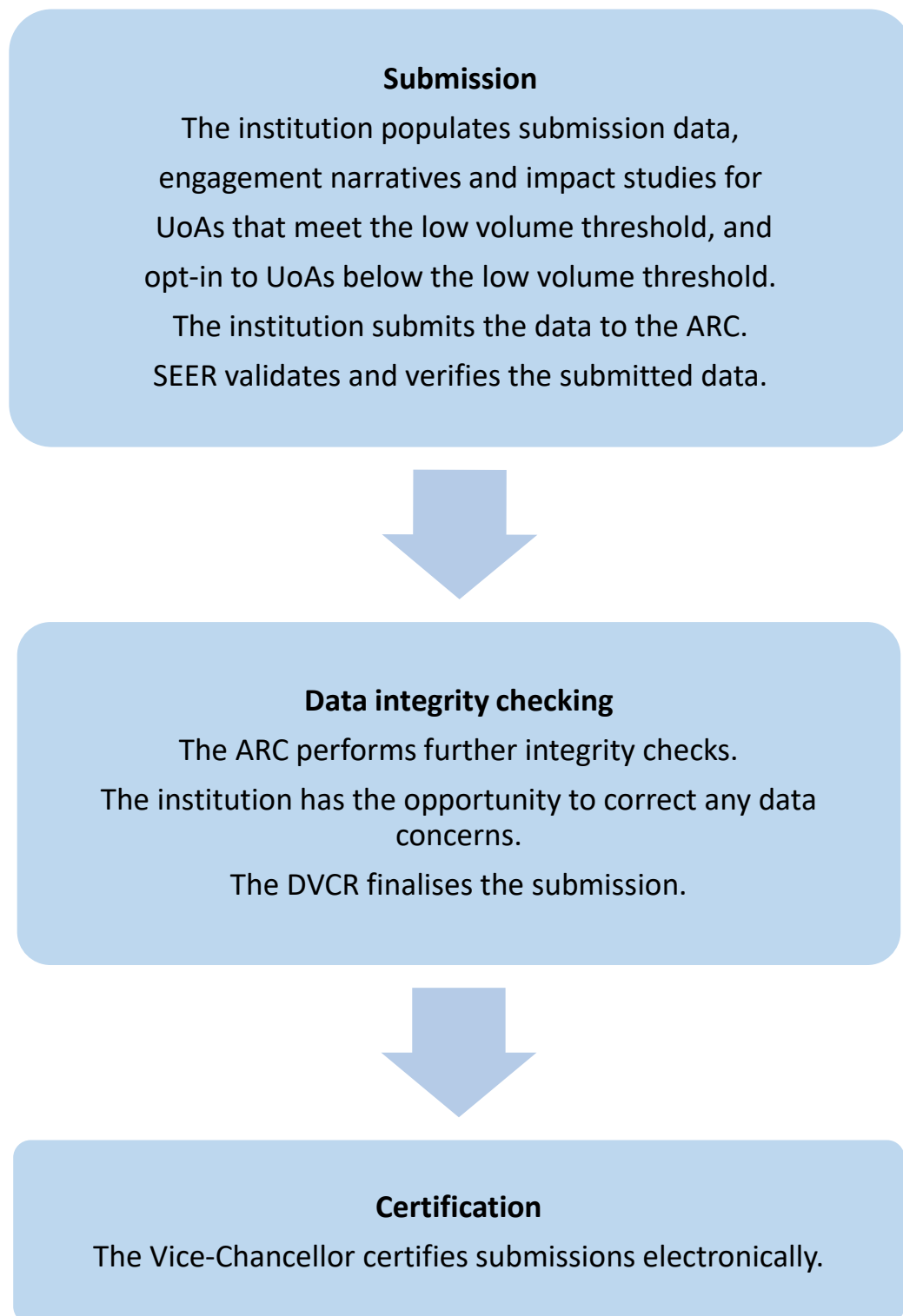
as articulated in the *United Nations Declaration on the Rights of Indigenous Peoples* (of particular note, articles 3, 4, 19 and 31).

The Aboriginal and Torres Strait Islander research impact study does not have to be associated with any particular FoR, although institutions may identify additional FoRs associated with the impact study. Additional FoR codes assigned to studies assist in the assignment of appropriate assessors.

For further information, please refer to the Aboriginal and Torres Strait Islander research impact study template in [Appendix G3](#).

## 4. EI submission process

### 4.1 Overview of the EI 2018 submission process



## **4.2 Stages of the EI submission process**

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

The ARC ICT system, the System to Evaluate the Excellence of Research (SEER) handles all the submitted data from institutions. Access to SEER opens when the first submission stage commences. The ARC validates and verifies the submission data to ensure it aligns with these guidelines, and the *EI-SEER 2018 Technical Specifications*.

Institutions must meet the deadlines for each of the three stages, as outlined in section [1.8](#). However, they may complete the tasks for each stage before that stage's deadline and in the case of the submission stage, may proceed to the data integrity checking stage without waiting for its start date. Both subsequent stages require permission from the ARC in order to proceed. Institutions cannot commence the submission stage prior to its opening on 16 May 2018.

### **4.2.1 Data submission stage**

Institutions populate submission data for both engagement and impact in SEER, through web forms (except data derived from ERA 2018 submissions, which are submitted during the ERA submission process). Institutions have access to the ERA-derived indicator data in SEER. Some of the fields in the forms are mandatory and it is only once institutions populate these that they can submit within SEER.

During this stage, the institution can opt-in to any UoAs that may not meet the low volume threshold.

SEER allows the institution to save an incomplete UoA but does not allow submission of the UoA to the ARC until completion of the UoA (that is, all mandatory data is populated).

Once the institution has completed its submission to the ARC, no further changes can be made to the data unless the ARC has sent it back to the institution to update.

### **4.2.2 Data integrity checking stage**

Once an institution submits the forms, ARC staff run further verification and integrity checking on the contents of the submission. The ARC returns submissions to the institution if it detects any errors, so that the institution can correct those errors and resubmit, again following the process in the submission stage. The ARC will not comment on the quality of the submission, as this is the responsibility of the institution. As most of the validation is via web form this stage allows ARC staff to ensure that the institution has correctly completed the submission.

If the submission passes the integrity check, the ARC accepts the data. The DVCR finalises 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.

### **4.2.3 Certification stages**

The final part of the submission process is certification in SEER by the institution's Vice-Chancellor, or equivalent. The certification confirms that EI statements and data are correct.

## 5. Other matters

### 5.1 Security and sensitivity

Institutions should note when preparing their engagement narratives and impact studies that the ARC may make this information publicly available following the completion of the EI 2018 assessment. The institutions are responsible for indicating the conditions under which it is appropriate or inappropriate for the information to be viewed by ARC staff and EI reviewers.

Where applicable, the sensitivity of the information must be specifically identified as outlined in the Engagement and Impact template.

The ARC will treat the information in accordance with the type of sensitivity assigned to the UoA by institutions.

Sensitive information may include:

- commercially sensitive and/or
- culturally sensitive.

Institutions are responsible for identifying the nature of the sensitivity, the damage that may flow if sensitivity is not maintained or respected, and the conditions under which the information may be reviewed by EI assessors.

Institutions are responsible for ensuring they have obtained any necessary permission from individuals and groups to use their names in submissions. In addition, institutions are responsible for ensuring they have obtained any necessary permission from individuals and groups to use content that describes their involvement in the engagement and/or impact described.

Institutions are responsible for ensuring that the information included in the submission identifies the conditions under which EI assessors may view a sensitive submission submitted by the institution (as outlined in the *EI–SEER 2018 Technical Specifications*), and the conditions under which it can be made publicly available. See section [5.2](#) for more information.

#### 5.1.1 Culturally sensitive submissions

The ARC acknowledges that some information submitted may be culturally sensitive.

Institutions may include culturally sensitive items in their submission, as long as they specifically identify and advise the ARC of the cultural sensitivity of the submission and provide instructions for handling, as required.

#### 5.1.2 Commercially sensitive submissions

The ARC acknowledges that some information submitted may be commercially sensitive.

Institutions may include commercially sensitive items in their submission, as long as they specifically identify and advise the ARC of the commercial sensitivity of the submission and provide instructions for handling, as required.



### **5.1.3 Australian Government security classified submissions**

Information classified in line with the Australian Protective Security Manual as either 'In-Confidence' or greater, or 'Restricted' or greater, **must not be included**.

## **5.2 Publication of data**

The ARC is committed to ensuring the EI assessment is as open and transparent as possible. To facilitate this the ARC may publish select submitted data from EI 2018 submissions, including the engagement narrative, impact studies and any requests not to be assessed for impact, and information regarding non-submission. The ARC may access and aggregate the data from each institution for public use. Institutions participating in the EI process acknowledge their agreement to the publication of narrative information and EI data.

See [5.1.1](#) and [5.1.2](#) for additional information on culturally and/or commercially sensitive submissions.

## **5.3 Privacy complaints and advice**

The ARC in administering EI 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](mailto: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.

## **5.4 Freedom of information**

All documents sent to the ARC with regard to EI 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](mailto:foi@arc.gov.au).

## ***5.5 Intellectual property***

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

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 EI submissions. The ARC may use this material from time to time as required, for the purposes of EI and for policy development and program management other than for EI purposes.

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

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

## ***5.6 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 anomalies in their submission.

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

- withholding information from EI assessors
- removing part or all of a submission from assessment after the EI assessors have received the information
- investigating the matter with a view to prosecution under Commonwealth law.

If the ARC withholds such information from EI assessors, 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 assessment. If the ARC deems any part of a UoA incomplete, inaccurate, false or misleading as described above, the ARC may remove the entire UoA, for engagement, impact or both where appropriate.

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

## 5.7 Certification

Institutions must certify their EI 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. 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 (4.2.3). This finalisation step locks 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.

### 5.7.1 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 EI assessment in the absence of such a statement.

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

#### *Accuracy*

1. All information in the submission is accurate.
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 and accurate.

#### *Compliance with EI requirements*

3. In compiling its submission, the institution has complied with:
  - these *EI 2018 Submission Guidelines* (“the submission guidelines”);
  - the *EI-SEER 2018 Technical Specifications*;
  - any supplementary advice issued by the ARC after the publication of the submission guidelines and the technical specifications but no fewer than 14 days before the deadline for lodging submissions.

#### *Privacy and permissions*

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 EI process (including provision to EI assessors) on the part of:
  - all individuals or groups of individuals referred to in the submission who maintain any continuing affiliation with the institution and
  - to the maximum extent feasible
  - all individuals or groups of individuals referred to in the submission who no longer maintain an affiliation with the institution,

and, where relevant, obtained the necessary permissions for the inclusion of information about individuals or organisations.

#### *Granting of express licence*

5. Consistent with the requirement set out at section [5.5](#) 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 EI. 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. It authorises the Commonwealth's use of material in the EI submission, from time to time as required, for the purposes of EI and for policy development and program management other than for EI purposes.

#### *Publication of EI 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 EI 2018 submissions. Such data may include the engagement narrative, the impact studies and any requests not to be assessed.

#### *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 EI by the ARC, or under the direction or control of the ARC, except where the ARC and the institution have agreed otherwise (see section [5.5](#) of the submission guidelines).
8. The institution acknowledges and agrees that outcomes of the EI assessment 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 the request not to be assessed in impact, the institution acknowledges and accepts any warnings provided by SEER.
11. The institution acknowledges and agrees that the ARC may take any action it considers necessary to maintain the integrity of the EI data and processes. This includes but is not limited to removing part or all of a submission from assessment, or not providing a rating for a relevant UoA. The ARC may do this where it forms the view that any part of an institution's submission does not fully comply with the EI 2018 submission documentation or any other part of the EI 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 EI process.

### **5.7.2 Transmission to ARC of certification statement**

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

Certification deadline for EI submissions is:

Deadline for electronic certification via SEER
<b>5 pm AEST, 27 June 2018</b>

The ARC only accepts 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 is 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***

Australian Catholic University  
Batchelor Institute of Indigenous Tertiary Education  
Bond University  
Central Queensland University  
Charles Darwin University  
Charles Sturt University  
Curtin University of Technology  
Deakin University  
Edith Cowan University  
Flinders University  
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  
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 Wollongong  
Victoria University  
Western Sydney University

## ***Appendix B—Abbreviations***

ACGR	Australian Competitive Grants Register
AEST	Australian Eastern Standard Time
AIMS	Australian Institute of Marine Science
ANSTO	Australian Nuclear Science and Technology Organisation
ANZSIC	Australian and New Zealand Standard Industrial Classification
ANZSRC	Australian and New Zealand Standard Research Classification
ARC	Australian Research Council
ARENA	Australian Renewable Energy Agency
CRC	Cooperative Research Centre
CSIRO	Commonwealth Scientific and Industrial Research Organisation
DSTO	Defence Science and Technology Organisation
EI	Engagement and Impact
ERA	Excellence in Research for Australia
FOI	Freedom of Information
FoR	Field of Research (ANZSRC)
HDR	Higher Degree by Research (student)
HERDC	Higher Education Research Data Collection
HESDC	Higher Education Student Data Collection
LOA	Licences, Options and Assignments
MRI	Medical Research Institute
MTA	Material transfer agreements
NHMRC	National Health and Medical Research Council
NISA	National Innovation and Science Agenda
NMI	National Measurement Institute
PCT	Patent Cooperation Treaty
SEER	System to Evaluate the Excellence of Research
UoA	Unit of Assessment

## Appendix C—Engagement narrative template

Institutions should use the engagement narrative template to describe the engagement activities of the UoA. Institutions may also provide additional quantitative information in the engagement narrative where they consider the engagement indicators do not fully describe the engagement activity of the UoA. Institutions can include any qualitative or quantitative information in their narrative. Institutions should consult section [3.3.1](#) for specific advice on writing the engagement narrative. The engagement narrative must not contain hyperlinks, as this would circumvent the character limit. References to specific external media or publications are allowed where appropriate.

[Appendix F](#) provides a list of examples of quantitative information that may be included. Institutions are not limited to the examples in the list.

<b>Submitting Institution (pre populated):</b>
<b>Unit of Assessment (pre populated):</b>
<b>Sensitivities</b> <ul style="list-style-type: none"><li>● commercially sensitive; and/or</li><li>● culturally sensitive.</li></ul>
<b>Sensitivities description(1500 character maximum):</b>
<b>Engagement narrative (7000 character maximum)</b> <p><b>Institutions should use this template to describe:</b></p> <ul style="list-style-type: none"><li>● How the UoA engaged with parties, outside of academia, during the reference period (see Section <a href="#">2.2</a> of this document) for the mutual benefit of the institution researchers and research end-users.</li><li>● The purpose of engagement, describing what the institution was trying to achieve through the engagement.</li><li>● The duration and extent of the engagement activities.</li></ul>
<b>Institutions can provide additional indicator information</b> (can be added up to 4 times) Provide information about any additional quantitative indicators <b>not</b> captured elsewhere in this narrative that are relevant to the engagement narrative and have specific data to support them. <ul style="list-style-type: none"><li>● name of indicator (100 characters)</li><li>● data for indicator (200 characters)</li><li>● brief description of indicator and how it is calculated (300 characters).</li></ul>



## **Appendix D—Summary of data items required for engagement indicators**

### **Appendix D1—Data items for engagement indicators**

<b>Data item</b>	<b>Data requirement</b>
<b>Cash support from research end-users (specified HERDC Category 1 and Categories 2, 3, and 4)*</b>	
Cash amount from research end-users for the UoA for specified HERDC Category 1 schemes/Category 2, 3, 4 income	New data from institutions
<b>Total HERDC income per FTE*</b>	
HERDC Category 1 income from specified Category 1 schemes/total Category 2, 3, 4 income	ERA 2018 submission data
FTE	ERA 2018 submission data
<b>Proportion of specified HERDC Category 1 grants to all HERDC Category 1 grants*</b>	
Number of specified HERDC Category 1 grants for the UoA	ERA 2018 submission data
Number of HERDC Category 1 grants for the UoA	ERA 2018 submission data
Income from specified HERDC Category 1 grants for the UoA	ERA 2018 submission data
Income from HERDC Category 1 grants for the UoA	ERA 2018 submission data
<b>Research commercialisation income</b>	
Total research commercialisation income for the UoA	ERA 2018 submission data
<b>HDR co-supervision (optional)</b>	
Number of co-supervised HDR students for the UoA	New data from institutions

\*Relevant HERDC categories and schemes

See [Appendix E](#) for a list of the specified HERDC Category 1 grants. All Income from HERDC Categories 2, 3 (i, ii, iii), 4 with the following exceptions:

- HERDC Category 3(i)—subcategory of 'Australian' income—HDR fees for domestic students are not considered to be research income or research end-user funding for the EI assessment.
- HERDC Category 3—subcategory 'International C—HDR fees for international students' **are not** considered to be research income or research end-user funding for the EI assessment.

## Appendix D2—Engagement indicator explanatory statement template

Institutions should use the engagement indicator explanatory statement template to provide context for the indicators.

**Unit of Assessment (pre populated):**

---

**Engagement indicator explanatory statement (4500 character maximum)**

**Institutions should use this template to provide context for the following indicators:**

- Cash support from research end-users (specified HERDC Category 1 and Categories 2, 3, and 4)
- Total HERDC income per FTE
- Proportion of specified HERDC Category 1 grants to all HERDC Category 1 grants
- Research commercialisation income

## Appendix E—Specified HERDC Category 1 grants

Specified HERDC Category 1 grants were selected if they had an end-user funded component and/or directly benefited an end-user.

Code	Scheme	Funding organisation
FND2014_024	National Taxonomy Research Grant Program (research grants only)	Australian Biological Resources Study
FND2015_022	National Taxonomy Research Grant Program (research grants only)	Australian Biological Resources Study
FND2016_021	National Taxonomy Research Grant Program (research grants only)	Australian Biological Resources Study
FND2014_095	Australian Coal Association Research Program	Australian Coal Research Limited
FND2015_100	Australian Coal Association Research Program	Australian Coal Research Limited
FND2016_105	Australian Coal Association Research Program	Australian Coal Research Limited
FND2014_071	Innovation and Efficiency RD&E Open Call	Australian Egg Corporation Limited
FND2015_076	Innovation and Efficiency RD&E Open Call	Australian Egg Corporation Limited
FND2016_080	Innovation and Efficiency RD&E Open Call	Australian Egg Corporation Limited
FND2014_072	Research and Development Call for Applications	Australian Grape and Wine Authority
FND2015_077	Research and Development Call for Applications	Australian Grape and Wine Authority
FND2016_081	Research and Development Call for Applications	Australian Grape and Wine Authority
FND2014_098	Alternatives & Fundamentals Program	Australian National Low Emissions Coal Research and Development Limited
FND2015_103	Alternatives & Fundamentals Program	Australian National Low Emissions Coal Research and Development Limited
FND2016_108	Alternatives & Fundamentals Program—EXPIRED	Australian National Low Emissions Coal Research and Development Limited
FND2014_099	ANZCA Research Grants Program	Australian and New Zealand College of Anaesthetists

<b>Code</b>	<b>Scheme</b>	<b>Funding organisation</b>
FND2015_104	ANZCA Research Grants Program	Australian and New Zealand College of Anaesthetists
FND2016_109	ANZCA Research Grants Program	Australian and New Zealand College of Anaesthetists
FND2014_073	Research and Innovation Open Tenders	Australian Pork Limited
FND2015_078	Research and Innovation Open Tenders	Australian Pork Limited
FND2016_082	Research and Innovation Open Tenders	Australian Pork Limited
FND2014_011	Linkage Projects	Australian Research Council
FND2015_011	Linkage Projects	Australian Research Council
FND2016_011	Linkage Projects	Australian Research Council
FND2014_074	Call for Proposals On-Farm R&D, Off-Farm R&D	Australian Wool Innovation Ltd
FND2015_079	Call for Proposals On-Farm R&D, Off-Farm R&D	Australian Wool Innovation Ltd
FND2016_083	Call for Proposals On-Farm R&D, Off-Farm R&D	Australian Wool Innovation Ltd
FND2014_102	R&D Project Funding Rounds	Brown Coal Innovation Australia
FND2015_107	R&D Project Funding Rounds	Brown Coal Innovation Australia
FND2014_030	Priority-driven Collaborative Cancer Research Scheme	Cancer Australia
FND2015_028	Priority-driven Collaborative Cancer Research Scheme	Cancer Australia
FND2016_029	Priority-driven Collaborative Cancer Research Scheme	Cancer Australia
FND2014_031	Support for Cancer Clinical Trials—Existing National Cooperative Oncology Groups	Cancer Australia
FND2015_029	Support for Cancer Clinical Trials—Existing National Cooperative Oncology Groups	Cancer Australia
FND2016_030	Support for Cancer Clinical Trials—Existing National Cooperative Oncology Groups	Cancer Australia

<b>Code</b>	<b>Scheme</b>	<b>Funding organisation</b>
FND2015_080	Open Call Research and Development Projects	Cotton Research and Development Corporation
FND2016_084	Open Call Research and Development Projects	Cotton Research and Development Corporation
FND2014_076	Research and Development Grants	Dairy Australia
FND2015_081	Research and Development Grants	Dairy Australia
FND2016_085	Research and Development Grants	Dairy Australia
FND2014_104	Dairy Innovation Research Grants	Dairy Innovation Australia Limited
FND2015_109	Dairy Innovation Research Grants—EXPIRED	Dairy Innovation Australia Limited
FND2016_115	Dairy Innovation Research Grants—EXPIRED	Dairy Innovation Australia Limited
FND2014_001	Carbon Farming Futures—Filling the Research Gap	Department of Agriculture
FND2015_001	Carbon Farming Futures—Filling the Research Gap	Department of Agriculture
FND2016_001	Carbon Farming Futures - Filling the Research Gap—EXPIRED	Department of Agriculture
FND2014_002	Centre of Excellence for Biosecurity Risk Analysis (CEBRA)	Department of Agriculture
FND2015_002	Centre of Excellence for Biosecurity Risk Analysis (CEBRA)	Department of Agriculture
FND2016_002	Centre of Excellence for Biosecurity Risk Analysis (CEBRA)	Department of Agriculture
FND2014_018	Marine and Tropical Sciences Research Facility (MTSRF)—EXPIRED	Department of the Environment
FND2014_019	Commonwealth Environment Research Facilities (CERF) —EXPIRED	Department of the Environment
FND2014_020	National Environmental Research Program (NERP)	Department of the Environment
FND2015_018	National Environmental Research Program (NERP) —EXPIRED	Department of the Environment

<b>Code</b>	<b>Scheme</b>	<b>Funding organisation</b>
FND2014_021	National Environmental Science Programme (NESP) (excluding Emerging Priorities)	Department of the Environment
FND2015_019	National Environmental Science Programme (NESP) (excluding Emerging Priorities)	Department of the Environment
FND2016_018	National Environmental Science Programme (NESP) (excluding Emerging Priorities)	Department of the Environment
FND2014_027	Australian Development Research Awards	Department of Foreign Affairs and Trade
FND2015_025	Australian Development Research Awards—EXPIRED	Department of Foreign Affairs and Trade
FND2014_029	Preventative Health Research Grants Program (formerly under the Australian National Preventative Health Agency)	Department of Health - National Drug Law Enforcement Research Fund (NDLERF)
FND2015_027	Preventative Health Research Grants Program (formerly under the Australian National Preventative Health Agency)	Department of Health, National Drug Law Enforcement Research Fund (NDLERF)
FND2014_061	Australia-India Strategic Research Fund (AISRF)	Department of Industry and Science
FND2015_067	Australia-India Strategic Research Fund (AISRF)	Department of Industry and Science
FND2016_070	Australia-India Strategic Research Fund (AISRF)	Department of Industry, Innovation and Science
FND2014_062	Australia-China Science and Research Fund (ACSRF)	Department of Industry and Science
FND2015_068	Australia-China Science and Research Fund (ACSRF)	Department of Industry and Science
FND2016_071	Australia-China Science and Research Fund (ACSRF)	Department of Industry, Innovation and Science
FND2016_072	Global Innovation Linkages (GIL)	Department of Industry, Innovation and Science
FND2014_068	Homelessness Research Partnership Agreements – EXPIRED	Department of Social Services
FND2014_079	Industry Partnership Agreement Programme	Fisheries Research and Development Corporation

<b>Code</b>	<b>Scheme</b>	<b>Funding organisation</b>
FND2015_084	Industry Partnership Agreement Programme	Fisheries Research and Development Corporation
FND2016_088	Industry Partnership Agreement Programme	Fisheries Research and Development Corporation
FND2016_086	Open Call Funding Round (formerly Annual Open Call Funding Round)—EXPIRED	Fisheries Research and Development Corporation
FND2014_078	Tactical Research Fund	Fisheries Research and Development Corporation
FND2015_083	Tactical Research Fund	Fisheries Research and Development Corporation
FND2016_087	Tactical Research Fund—EXPIRED	Fisheries Research and Development Corporation
FND2014_077	Annual Open Call Funding Round	Fisheries Research and Development Corporation
FND2015_082	Annual Open Call Funding Round	Fisheries Research and Development Corporation
<hr/>		
FND2014_080	Research and Development Scheme	Forest and Wood Products Australia Ltd
FND2015_085	Research and Development Scheme	Forest and Wood Products Australia Ltd
FND2016_089	Research and Development Funding Program (formerly Research and Development Scheme)	Forest and Wood Products Australia Ltd
<hr/>		
FND2014_106	Innovation Program	Gardiner Foundation
FND2015_111	Innovation Program	Gardiner Foundation
FND2016_117	Innovation Program—EXPIRED	Gardiner Foundation
<hr/>		
FND2014_081	Meeting Market Requirements	Grains Research and Development Corporation (GRDC)
FND2014_082	Protecting Your Crop (excluding Integrating Crop Protection Training Project)	Grains Research and Development Corporation (GRDC)
FND2014_083	Improving Crop Yields	Grains Research and Development Corporation (GRDC)

<b>Code</b>	<b>Scheme</b>	<b>Funding organisation</b>
FND2015_086	Research and Development Programs: R&D Open Tender, Multi-stage Tenders and Expressions of Interest (research projects only)	Grains Research and Development Corporation (GRDC)
FND2016_090	Research and Development Programs: R&D Open Tender, Multi-stage Tenders and Expressions of Interest (research and development projects only)	Grains Research and Development Corporation (GRDC)
FND2014_108	Health Services Research Grants Program	HCF Research Foundation
FND2015_113	Health Services Research Grants Program	HCF Research Foundation
FND2016_119	Health Services Research Grants Program	HCF Research Foundation
FND2014_084	Industry Call	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2015_087	Industry Call	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2016_091	Industry Call—EXPIRED	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2014_085	General Call	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2015_088	General Call	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2016_092	General Call—EXPIRED	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2014_086	Horticultural Transformational Funding Call	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2015_089	Horticultural Transformational Funding Call	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2016_093	Horticultural Transformational Funding Call	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2014_087	R&D Strategic Investment Funding Call	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2015_090	R&D Strategic Investment Funding Call	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)



<b>Code</b>	<b>Scheme</b>	<b>Funding organisation</b>
FND2016_094	R&D Strategic Investment Funding Call	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2014_088	Sweeter Citrus Program	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2015_091	Sweeter Citrus Program	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2016_095	Sweeter Citrus Program	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2015_092	Matched Levy Funded Investment Pool and Strategic Co-investment Pool open procurements only (excluding expression of interest procurements)	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
FND2016_096	Matched Levy Funded Investment Pool and Strategic Co-investment Pool open procurements only (excluding expression of interest procurements)	Horticulture Innovation Australia Limited (formerly Horticulture Australia Limited)
<hr/>		
FND2014_089	MLA Research Program, Human Nutrition Research Program Strategic and Applied Research Funding (Producer Demonstration Sites and Research Organisation Funding only)	Meat and Livestock Australia
FND2015_093	MLA Research Program, Human Nutrition Research Program Strategic and Applied Research Funding (Producer Demonstration Sites and Research Organisation Funding only)	Meat and Livestock Australia
FND2016_097	MLA Research Program Annual Call for research and development projects only	Meat and Livestock Australia
FND2016_098	MLA Research Program Open Tenders/Expression of Interest for research and development projects only	Meat and Livestock Australia
<hr/>		
FND2014_069	National Vocational Education and Training Research (NVETR) Program (formerly National Vocational Education and Training Research and Evaluation Program (NVETRE))	National Centre for Vocational Education Research
FND2015_074	National Vocational Education and Training Research (NVETR) Program (formerly National Vocational Education and Training Research and Evaluation Program (NVETRE))	National Centre for Vocational Education Research

<b>Code</b>	<b>Scheme</b>	<b>Funding organisation</b>
FND2016_078	National Vocational Education and Training Research (NVETR) Program (formerly National Vocational Education and Training Research and Evaluation Program (NVETRE))—EXPIRED	National Centre for Vocational Education Research
FND2014_036	Partnership Projects	National Health and Medical Research Council
FND2015_034	Partnership Projects	National Health and Medical Research Council
FND2016_035	Partnership Projects	National Health and Medical Research Council
FND2014_060	Development Grants	National Health and Medical Research Council
FND2015_058	Development Grants	National Health and Medical Research Council
FND2016_055	Development Grants	National Health and Medical Research Council
FND2014_126	Environmental Research Program	New South Wales Office of Environment and Heritage, New South Wales Environment Trust
FND2015_132	Environmental Research Program	New South Wales Office of Environment and Heritage, New South Wales Environment Trust
FND2016_139	New South Wales Environment Trust - Environmental Research Program	New South Wales Office of Environment and Heritage, New South Wales Environment Trust
FND2014_016	OLT Fellowships	Office for Learning and Teaching (OLT)
FND2015_016	OLT Fellowships	Office for Learning and Teaching (OLT)
FND2016_016	OLT Fellowships	Office for Learning and Teaching (OLT)
FND2014_017	OLT Grants (including Innovation and Development, Seed Projects, and Strategic Priority Projects)	Office for Learning and Teaching (OLT)
FND2015_017	OLT Grants (including Innovation and Development, Seed Projects, and Strategic Priority Projects)	Office for Learning and Teaching (OLT)
FND2016_017	OLT Grants (including Innovation and Development, Seed Projects, and Strategic Priority Projects)	Office for Learning and Teaching (OLT)
FND2014_127	Pfizer Australia Research Fellowships—EXPIRED	Pfizer Australia

<b>Code</b>	<b>Scheme</b>	<b>Funding organisation</b>
FND2014_090	Open Call Research and Development Projects	Rural Industries R&D Corporation
FND2015_094	Open Call Research and Development Projects	Rural Industries R&D Corporation
FND2016_099	Open Call Research and Development Projects	Rural Industries R&D Corporation
<hr/>		
FND2014_091	Open Call Research and Development Projects	Sugar Research Australia
FND2015_095	Open Call Research and Development Projects	Sugar Research Australia
FND2016_100	Open Call Research and Development Projects	Sugar Research Australia
<hr/>		
FND2014_136	Project Grants	The Garnett Passe & Rodney Williams Memorial Foundation
FND2015_141	Project Grants	The Garnett Passe & Rodney Williams Memorial Foundation
FND2016_148	Project Grants—EXPIRED	The Garnett Passe & Rodney Williams Memorial Foundation
FND2014_137	Conjoint Grant	The Garnett Passe & Rodney Williams Memorial Foundation
FND2015_142	Conjoint Grant	The Garnett Passe & Rodney Williams Memorial Foundation
FND2016_149	Conjoint Grant	The Garnett Passe & Rodney Williams Memorial Foundation
<hr/>		
FND2014_070	Centre of Excellence for International Finance and Regulation (One-off open tender)	The Treasury
FND2015_075	Centre of Excellence for International Finance and Regulation (One-off open tender)	The Treasury
FND2016_079	Centre of Excellence for International Finance and Regulation (One-off open tender) — EXPIRED	The Treasury

## ***Appendix F—Examples of additional quantitative information for the engagement narrative***

**NOTE**—This is **NOT** an exhaustive list. This list includes examples which may not be relevant for all disciplines. Institutions may provide other additional quantitative information where relevant. It is **NOT** compulsory to include additional quantitative information in the engagement narrative.

- Mobility of researchers (i.e. researchers employed or placed outside academia, and/or research end-user employees that are employed or placed within academia)
- Patents granted, PCT applications, triadic patents
- Citations in patents to traditional research outputs
- HDR students in internships/placements
- HDR student employment destinations
- Repeat business with industry
- Start-up/spin-out companies
- Co-authorship of research outputs with research end-users
- Co-funding of research outputs with research end-users
- In-kind support from end-users
- Licencing agreements
- Confidentiality agreements
- Number of contracts for research, consulting, expert witness and testing
- Number of licences, assignments and options
- Established networks and relationships with research users
- Number of different clients with contracts worth greater than a threshold value
- Evidence of significant institutional partnerships—e.g. Sydney Health Partners; various global research consortia, OECD, World Bank, World Health Organisation, UN, UNESCO
- Philanthropy linked to research support and in-kind support
- Book sales
- Serving on external advisory boards
- Consultations with community groups, professional/practice organisations, government bodies
- Consultation with/advice to Government
- Expert witness in court cases
- Contributions/submissions to public enquiries on industry-research related issues
- Public lectures, seminars, open days, school visits

- Presentations to practitioner communities
- Connections to cultural institutions, seminars/workshops, internships and engagement with the public
- Support for cultural events/institutions—e.g. Writers' Festivals, Film Festivals, Vivid Sydney, etc.
- Co-designing and collaborating on performances and exhibitions
- Mentoring external research partners
- Involving users at all stages of the research, including working with user stakeholder and participatory groups
- Memoranda of Understanding (MOU)/Agreements
- Collect data around performance and the different types of public activities in which researchers generally report their work to the community or use their research capacity to further the work of community organisations
- Event participation statistics (public lectures, cultural events, exhibitions, etc.)
- Outreach activities (public lectures, policy engagements, media engagements, community events)
- Media coverage of exhibitions and new works
- Modification of traditional 'commercialisation' metrics such as 'spin-offs' to capture arts entrepreneurship such as setting up galleries, ensembles, groups and other professional practice entities
- Metrics which capture social media activity
- Any other indicator

## Appendix G—Impact studies

See section [2.1](#) for further information on when institutions must submit an impact study.

Institutions should consult section [3.4.1](#) for specific advice on writing the impact studies. It is important that Part A remains focused on the specific impact and the evidence of its benefits, while Part B clearly demonstrates how the institutions facilitated the realisation of the impact. Impact studies must not contain hyperlinks, as this would circumvent the character limit. References to specific external media or publications are allowed where appropriate.

### Appendix G1—Two-digit FoR impact study template

<b>Title:</b>
<b>Unit of Assessment:</b> This is the primary FoR code that relates to the overall content of the impact study.
<b>Additional FoR codes:</b> Identify up to two additional two-digit FoRs that relate to the overall content of the impact study.
<b>Socio-Economic Objective (SEO) Codes:</b> Choose from the list of two-digit SEO codes any that are relevant to the impact study.
<b>Australian and New Zealand Standard Industrial Classification (ANZSIC) Codes:</b> Choose from the list of two-digit ANZSIC codes that are relevant to the impact study.
<b>Keywords:</b> List up to 10 keywords related to the impact described in Part A.
<b>Sensitivities</b> <ul style="list-style-type: none"><li>• commercially sensitive; and/or</li><li>• culturally sensitive.</li></ul>
<b>Sensitivities description:</b> Please describe any sensitivities in relation to the impact study that need to be considered, including any particular instructions for ARC staff or assessors, or for the impact study to be made publicly available after EI 2018.
<b>Aboriginal and Torres Strait Islander research flag:</b> Is this impact study associated with Aboriginal and Torres Strait Islander content? <b>NOTE</b> —institutions may identify impact studies where the impact, associated research and/or approach to impact relates to Aboriginal and Torres Strait Islander peoples, nations, communities, language, place, culture and knowledges and/or is undertaken with Aboriginal and Torres Strait Islander peoples, nations, and/or communities.
<b>Science and Research Priorities:</b> Identify whether the impact study is related to the <a href="#">Science and Research Priorities</a> . If so, choose from the lists provided in SEER.
<b>PART A—IMPACT</b>
<b>1. Summary of the impact</b> (maximum 800 characters) Briefly describe the specific impact in simple, clear English. This will enable the general community to understand the impact of the research.
<b>2. Beneficiaries</b> List up to 10 beneficiaries related to the impact study.

### 3. Countries in which the impact occurred

Choose from the ABS list of countries as many as relate to the location of impact.

### 4. Details of the impact (maximum 6000 characters)

Provide a narrative that clearly outlines the research impact. The narrative should explain the relationship between the associated research and the impact. It should also identify the contribution the research has made beyond academia, including:

- who or what has benefitted from the results of the research (this should identify relevant research end-users, or beneficiaries from industry, the community, government, wider public etc.)
- the nature or type of impact and how the research made a social, economic, cultural, and/or environmental impact
- the extent of the impact (with specific references to appropriate evidence, such as cost-benefit-analysis, quantity of those affected, reported benefits etc.)
- the dates and time period in which the impact occurred.

**NOTE**—the narrative must describe only impact that has occurred within the reference period, and must not make aspirational claims.

### 5. Associated research (maximum 1500 characters)

Briefly describe the research that led to the impact presented for the UoA. The research must meet the definition of research (1.9). The description should include details of:

- what was researched
- when the research occurred
- who conducted the research and what is the association with the institution.

### 6. FoR of associated research

Up to three two-digit FoRs that best describe the associated research.

### 7. References (up to 10 references, 350 characters per reference)

This section should include a list of up to 10 of the most relevant research outputs associated with the impact.

## PART B—APPROACH TO IMPACT

### 1. Summary of the approaches to impact (maximum 800 characters)

This section should summarise the strategies (detailed in section 2 below) implemented by the institution, its colleges, faculties, groups, departments, and/or centres for achieving the impact described in Part A.

### 2. Approach to impact (maximum 6000 characters)

This section should provide a narrative that explains how the institution facilitated the realisation of the impact described in Part A. The information provided must be from the period between the research and the impact. Evidence throughout the narrative should relate to the impact described in Part A.

It can include details of:

- support provided by the institution, its faculties, colleges, groups, departments, and/or centres for researchers to affect positive impact
- how that support was implemented by the research area
- how researchers interacted and engaged with research end-users or beneficiaries
- evidence of reviewing impact processes and outcomes during the period
- evidence of how mechanisms of translation were integrated into research practices
- human resources policies, initiatives and strategies
- financial or other resources made available to facilitate the realisation of the impact
- other strategies used in relation to this UoA that aided in the realisation of the impact.

## PART C—ADDITIONAL IMPACT INDICATOR INFORMATION

(can be added up to 4 times)

Provide information about any indicators not captured above that are relevant to the impact study, for example return on investment, jobs created, improvements in quality of life years (QALYs).

Additional indicators should be quantitative in nature and include:

- name of indicator (100 characters)
- data for indicator (200 characters)
- brief description of indicator and how it is calculated (300 characters).

## Appendix G2—Interdisciplinary impact study template

**NOTE**—Institutions must ensure that the FoR codes identified in the interdisciplinary study are all relevant and justify using the interdisciplinary study type.

<b>Title:</b>
<b>Unit of Assessment:</b> Interdisciplinary
<b>FoR codes:</b> Identify up to three two-digit FoRs that relate to the overall content of the impact study.
<b>Socio-Economic Objective (SEO) Codes:</b> Choose from the list of two-digit SEO codes any that are relevant to the impact study.
<b>Australian and New Zealand Standard Industrial Classification (ANZSIC) Codes:</b> Choose from the list of two-digit ANZSIC codes that are relevant to the impact study.
<b>Keywords:</b> List up to 10 keywords related to the impact described in Part A.
<b>Sensitivities:</b> <ul style="list-style-type: none"><li>• commercially sensitive; and/or</li><li>• culturally sensitive.</li></ul>
<b>Sensitivities:</b> Please describe any sensitivities in relation to the impact study that need to be considered, including any particular instructions for ARC staff or assessors.
<b>Aboriginal and Torres Strait Islander research flag:</b> Is this impact study associated with Aboriginal and Torres Strait Islander research? <b>NOTE</b> —institutions may identify impact studies where the impact, associated research and/or approach to impact relates to Aboriginal and Torres Strait Islander peoples, nations, communities, language, place, culture and knowledges and/or is undertaken with Aboriginal and Torres Strait Islander peoples, nations, and/or communities..
<b>Science and Research Priorities:</b> Identify whether the impact study is related to the <a href="#">Science and Research Priorities</a> . If so, choose from the lists provided in SEER.
<b>PART A—IMPACT</b>
<b>1. Summary of the impact</b> (maximum 800 characters) Briefly describe the specific impact in simple, clear, plain English. This will enable the general community to understand the impact of the research.
<b>2. Beneficiaries</b> List up to 10 beneficiaries related to the impact study.



### 3. Countries in which the impact occurred

Choose from the ABS list of countries as many as relate to the location of impact.

### 4. Details of the impact (maximum 6000 characters)

Provide a narrative that clearly illustrates the relationship between the associated research and the positive effects it brought about. The narrative should identify the contribution the research has made beyond academia, including:

- who or what has benefitted from the results of the research (this should identify relevant research end-users, or beneficiaries from industry, the community, government, wider public etc.)
- the nature or type of impact and how the research made a social, economic, cultural, and/or environmental impact
- the extent of the impact (with specific references to appropriate evidence, such as cost-benefit-analysis, quantity of those affected, reported benefits etc.)
- the dates and time period in which the impact occurred
- the ways in which the impact relates to the identified FoR codes.

**NOTE**—the narrative must describe only impact that has occurred within the reference period, and must not make aspirational claims.

### 5. Associated research (maximum 1500 characters)

Briefly describe the research that led to the impact presented for the UoA. The research must meet the definition of research (1.9). The description should include details of:

- what was researched
- when the research occurred
- who conducted the research and what is the association with the institution.

### 6. FoR of associated research

Up to three two-digit FoRs that best describe the associated research.

### 7. References (up to 10 references, 350 characters per reference)

This section should include a list of up to 10 of the most relevant research outputs associated with the impact.

## PART B—APPROACH TO IMPACT

### 1. Summary of the approaches to impact (maximum 800 characters)

This section should summarise the strategies (detailed in section 2 below) implemented by the institution, its colleges, faculties, groups, departments, and/or centres described in Part A.

### 2. Approach to impact (maximum 6000 characters)

This section should provide a narrative that explains how the institutions facilitated the realisation of the impact described in Part A. The information provided must be from the period between the research and the impact. Evidence throughout the narrative should relate to the impact described in Part A.

It can include details of:

- support provided by the institution, its faculties, colleges, groups, departments, and/or centres for researchers to affect positive impact
- how that support was implemented by the research area
- how researchers interacted and engaged with research end-users or beneficiaries
- evidence of reviewing impact processes and outcomes during the period
- evidence of how mechanisms of translation were integrated into research practices
- human resources policies, initiatives and strategies
- financial or other resources made available to facilitate the realisation of the impact
- other strategies used in relation to this UoA that aided in the realisation of the impact.

## PART C—ADDITIONAL IMPACT INDICATOR INFORMATION

(can be added up to 4 times)

Provide information about any indicators not captured above that are relevant to the impact study, for example return on investment, jobs created, improvements in quality of life years (QALYs).

Additional indicators should be quantitative in nature and include:

- name of indicator (100 characters)
- data for indicator (200 characters)
- brief description of indicator and how it is calculated (300 characters).

## Appendix G3—Aboriginal and Torres Strait Islander research impact study template

Where relevant, institutions should include specific evidence of how Aboriginal and Torres Strait Islander leadership and governance arrangements were integrated into the activities and processes detailed in all aspects of the impact study. Where relevant, the impact study should reference key documents and policies such as ethics standards and guidelines (e.g., *NHMRC Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research*; *Australian Institute of Aboriginal and Torres Strait Islander Studies Guidelines for Ethical Research in Australian Indigenous Studies*; and *The Australia Council for the Arts, Indigenous Cultural Protocols for Producing Indigenous Australian Music, Writing, Visual Arts, Media Arts and Performing Arts*.)

<b>Title:</b>
<b>Unit of Assessment:</b> Aboriginal and Torres Strait Islander research
<b>FoR codes:</b> (optional) Identify up to three two-digit FoRs that relate to the overall content of the impact study.
<b>Socio-Economic Objective (SEO) Codes:</b> Choose from the list of two-digit SEO codes any that are relevant to the impact study.
<b>Australian and New Zealand Standard Industrial Classification (ANZSIC) Codes:</b> Choose from the list of two-digit ANZSIC codes that are relevant to the impact study.
<b>Keywords:</b> List up to 10 keywords related to the impact described in Part A.
<b>Sensitivities:</b> <ul style="list-style-type: none"><li>● commercially sensitive; and/or</li><li>● culturally sensitive.</li></ul>
<b>Sensitivities description:</b> Please describe any sensitivities in relation to the impact study that need to be considered, including any particular instructions for ARC staff or assessors.
<b>Science and Research Priorities:</b> Identify whether the impact study is related to the <a href="#">Science and Research Priorities</a> . If so, choose from the lists provided in SEER.

## PART A—IMPACT

### 1. **Summary of the impact** (maximum 800 characters)

Briefly describe the specific impact in simple, clear, plain English. This will enable the general community to understand the impact of the research.

### 2. **Beneficiaries**

List up to 10 beneficiaries related to the impact study. (E.g. communities, schools etc.)

### 3. **Details of the impact** (maximum 6000 characters)

Provide a narrative that clearly illustrates the relationship between the associated research and the positive effects it brought about. The narrative should identify the contribution the research has made beyond academia, including:

- who or what has benefitted from the results of the research (this should identify relevant research end-users, or beneficiaries from industry, the community, government, wider public etc.)
- the nature or type of impact and how the research made a social, economic, cultural, and/or environmental impact
- the extent of the impact (with specific references to appropriate evidence, such as cost-benefit-analysis, quantity of those affected, reported benefits etc.)
- the dates and time period in which the impact occurred
- where relevant, evidence of how Aboriginal and Torres Strait Islander ethical research guidelines were integrated into the research activities and processes detailed in the impact study

**NOTE**—the narrative must describe only impact that has occurred within the reference period, and must not make aspirational claims.

### 4. **Associated research** (maximum 1500 characters)

Briefly describe the research that led to the impact presented for the UoA. The research must meet the definition of research (1.9). The description should include details of:

- what was researched
- when the research occurred
- who conducted the research and what is the association with the institution
- details of any Aboriginal and Torres Strait Islander people or communities who were consulted throughout the research.

### 5. **FoR of associated research**

Up to three two-digit FoRs that best describe the associated research.

### 6. **References** (up to 10 references, 350 characters per reference)

This section should include a list of up to 10 of the most relevant research outputs associated with the impact.

## PART B—APPROACH TO IMPACT

### 1. **Summary of the approaches to impact** (maximum 800 characters)

This section should summarise the strategies (detailed in section 2 below) implemented by the institution, its colleges, faculties, groups, departments, and/or centres for achieving the impact described in Part A.

**2. Approach to impact** (maximum 6000 characters)

This section should provide a narrative that explains how the institutions facilitated the realisation of the impact described in Part A. The information provided must be from the period between the research and the impact. Evidence throughout the narrative should relate to the impact described in Part A and should connect the institution's Aboriginal and Torres Strait Islander policies with the impact.

It can include details of:

- support provided by the institution, its faculties, colleges, groups, departments, and/or centres for researchers to affect positive impact
- how that support was implemented by the research area
- how researchers interacted and engaged with research end-users or beneficiaries
- evidence of reviewing impact processes and outcomes during the period
- evidence of how mechanisms of translation were integrated into research practices
- human resources policies, initiatives and strategies
- financial or other resources made available to facilitate the realisation of the impact
- other strategies used in relation to this UoA that aided in the realisation of the impact
- any targeted efforts to engage with Aboriginal and Torres Strait Islander communities, groups, or people.

**PART C—ADDITIONAL IMPACT INDICATOR INFORMATION**

(can be added up to 4 times)

Provide information about any indicators not captured above that are relevant to the impact study, for example return on investment, jobs created, improvements in quality of life years (QALYs).

Additional indicators should be quantitative in nature and include:

- name of indicator (100 characters)
- data for indicator (200 characters)
- brief description of indicator and how it is calculated (300 characters).

## **Appendix H—Request not to be assessed for impact**

Institutions must submit to be assessed in a UoA if they meet the low volume threshold. However, an institution can request not to be assessed for impact in any UoA, despite meeting the low volume threshold.

If the institution has a compelling reason for not being able to put together an impact study, the institution may request not to be assessed in the impact assessment component of EI for a particular UoA. In this situation, the institution must select from one of the two reasons they should not be assessed for impact in that UoA. The possible reasons are:

- the discipline mainly focuses on fundamental research and not impact beyond academia or
- the discipline is new to the institution and researchers in this discipline have not had sufficient time to have an impact beyond academia.

In addition to the reason provided above the institution must also provide a description of the strategy it will put in place for that discipline to participate in future rounds of the impact assessment, and the timeframe in which it expects to participate for that discipline in future EI impact assessment rounds.

By providing the information above, the institution is requesting not to be assessed for impact for that UoA. Therefore, the institution will not need to provide information required within the impact study form. However, the UoA will still be assessed for the engagement component.

<b>Unit of Assessment</b>
<b>Reason not to be assessed</b> Choose from the list the reason why the institution is requesting not to be assessed for impact in this UoA.
<b>Future plan (1800 characters)</b> A description of the strategy the institution will put in place for that discipline to participate in future rounds of the impact assessment, and the timeframe in which it expects to participate for that discipline in future EI impact assessment rounds.