

**EI-SEER 2018**

TECHNICAL SPECIFICATIONS

**ERA 2015 SUBMISSION GUIDELINES**

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# EI Overview

## 1.1 Purpose of the technical specifications

These *EI–SEER 2018 Technical Specifications* (‘Technical Specifications’) are provided for eligible higher education providers (‘institutions’) who are making submissions as part of the 2018 Engagement and Impact Assessment (EI 2018). The *EI 2018 Submission Guidelines* address the policies and rules related to submissions.

The *EI 2018 Submission Guidelines* provide an overview of, and specify the process and information requirements for EI submissions. These Technical Specifications build upon the *EI 2018 Submission Guidelines* to provide technical instructions for institutions preparing and making submissions.

The information and communications technology (ICT) platform that supports the implementation of EI is a module within the System to Evaluate Excellence in Research (SEER), referred to as the Engagement and Impact (EI) module in this document. These Technical Specifications relate specifically to institutions’ interaction with the EI module.

This document addresses:

* submission data requirements
* mechanisms of system interaction
* relevant technologies related to interactions with the ICT platform.

## 1.2 Target audience

This is a detailed document meant for institution research office staff managing the EI data and submission process.

## 1.3 Structure of the technical specifications

[Section 1](#_EI_Overview)—EI Overview—outlines the purpose, structure and scope of the document; the nature of submissions; and the role of the ICT interface during the submission phase.

[Section 2](#_EI_Technology_technology)—EI Technology Platform—outlines the submission process and submission components.

[Section 3](#_Submission_dData)—Submission Data Structure—describes the submission data structures and any business rules around the submission process.

[Appendix A](#_Appendix_A:_Glossary)—contains a glossary of technical terms.

[Appendix B](#_Appendix_B:_List)—contains a list of Socio-Economic Objective (SEO) codes.

[Appendix C](#_Appendix_C:_Industry)—contains a list of industry classification codes.

## 1.4 Nature of submissions

Institutions are required to access submission functionality through the SEER web interface and populate online web forms. Institutions submit completed web forms via the SEER web interface.

Institutions must prepare their submissions using the following resources:

* *EI 2018 Submission Guidelines*
* *EI–SEER 2018 Technical Specifications*
* *EI 2018 Discipline Matrix.*

## 1.5 Role of the EI module during submission

During the submission phase (16 May–15 June 2018), the role of the EI module is to enable institutions to:

* access the required information by Unit of Assessment (UoA)
* complete online forms, which are classified by UoA
* submit completed forms to the ARC.

## 1.6 The EI module institution user

The ‘institution users’ of the EI module are:

***ERA Research Office Staff***

Institution employees responsible for managing their institution’s EI submission process. The ERA Research Office Delegate role must assign this role.

***ERA Research Office Delegate***

The ARC assigns the role of Research Officer Delegate and will allow the institution user to perform the same functionality as ERA Research Office Staff as well as the additional ability to approve the Research Office Staff role within their own institution. The ERA Research Office Delegate role will also be able to request the ARC to approve new ERA/EI related role(s) for users within their institution. The approval of the roles other than ERA Research Office Staff will be actioned by appropriate ARC staff. The ERA Research Office Delegate can also remove all ERA/EI roles from their staff with no approval required from the ARC.

**NOTE**—The ERA Research Office Delegate will not be able to assign RMS related roles to institutional staff unless the ERA Research Office Delegate also has "Research Office Delegate" assigned to their profile.

***ERA Signatory***

This role is for the Pro/Deputy Vice-Chancellor, Research (or equivalent) only. The role is responsible for finalising their institution’s ERA/EI submission. If the ARC has any high level concerns about an institution’s submission, they will raise them directly with this user. Institutions must not delegate this role. If this is an issue, institutions must contact the ARC to discuss before a change to this role can be approved in SEER.

***ERA Certifier***

This role is for a Vice Chancellor (or equivalent) only. The role is responsible for certifying that all information in submissions is accurate and comprehensive. Certification takes the form of a signature, in digital form, of a submission Certification Statement by the Vice-Chancellor or equivalent of the institution. Institutions must not delegate this role. If this is an issue, institutions must contact the ARC to discuss before a change to this role can be approved in SEER.

## 1.7 Scope of the technical specifications

**In Scope**

This document covers the following areas:

* data content and structures required for EI submission
* institution system interfaces
* mechanisms of data transfer
* system security
* SEER user interface availability and support procedures.

**Out of scope**

The following are out of scope for this document:

* policy matters and rules related to EI submissions
* guides to underlying standards and technologies
* methods for aggregating/preparing submission information within institution IT tools
* processes or workflows not directly supported by the EI module.

## 1.8 Disclaimer

These Technical Specifications provide information for interoperating with the EI module in SEER. They do not provide institutions with IT systems implementation instructions. Institutions are responsible for their respective systems development and data gathering to meet the requirements of these specifications. The Australian Government accepts no responsibility for any loss, damage, liability or expense incurred by any institution resulting from any use of these Technical Specifications for any purpose.

# EI technology platform

## 2.1 Summary

The EI module within SEER is the information technology platform that facilitates the implementation of the EI 2018 process (described in the *EI 2018 Submission Guidelines*). Institutions access the EI module via a web-based user interface and the module maintains the data and business logic relevant to the submission. Figure 1 (below) shows an overview of EI module and its interactions with external systems/users.

Figure 1: The EI module Functional Overview



The EI module accepts submissions from institutions when institutions complete the online forms.

Key parties to the operation of the platform include:

* institutions—institutions eligible for participation in EI 2018 as detailed in Appendix A of the *EI 2018 Submission Guidelines*
* the ARC.

## 2.2 EI submission process

The EI submission process has three stages (see Figure 2, EI Process Overview). Each of these stages has a deadline that institutions must meet (see *EI 2018 Submission Guidelines*, section 4). However, institutions may perform the tasks required for each stage prior to the deadline for that stage. Where an institution has completed the tasks required for one stage, it may proceed to the next stage without waiting for the stated start date for that subsequent stage.

### 2.2.1 Stages

**Submission**

* The first stage of the EI submission process opens on 16 May 2018 and closes at 5pm AEST on 15 June 2018 AEST.
* Institutions will be able to log into SEER and complete their submissions directly into the online interface. The web forms will provide some basic data validation as appropriate to each data field. Once an institution is satisfied that the data included in its submission is correct, the institution can then notify the ARC that their submission is ready for the data integrity checking stage. To do this, Research Officers must log on to SEER to submit each UoA to the ARC. At this stage, the submission will no longer be editable by the institution unless the ARC has sent it back to the institution.
* The institutions are required to submit in all UoA that meet the low volume threshold. SEER will count any parts of the forms missing data as zero. This includes the request not to be assessed, which is submitted as part of the impact study form for the UoA.

**Data integrity checking**

* Once an institution submits the forms, the ARC will review the data submitted during the submission stage. If the ARC sees that there is a need for further clarification, it will contact the institution for more information. This may result in the ARC returning the submitted data back to the institution for correction.
* If the submission passes the integrity check, the ARC accepts the submission.
* The institution’s ERA Signatory (Pro/Deputy Vice-Chancellors, Research, or their equivalent) is required to log on to SEER to indicate that the institution’s submission, following the data integrity check, is valid. Finalisation of the submission following verification marks the end of the data integrity checking stage.

**Certification**

* The institution’s ERA Certifier (Vice-Chancellor or equivalent) is required to log on to SEER to certify that the institution’s EI submission is valid and finalised. Electronic certification of a finalised submission marks the end of Certification.

**Figure 2 (below) outlines the overall submission process for EI 2018.**

Figure 2: EI Process Overview

## 2.3 EI submission components

The main components of a submission (as per *EI 2018 Submission Guidelines*) are:

* narrative in relation to engagement
  + engagement narrative
* engagement indicators
  + data for engagement indicators
  + engagement indicator explanatory statement
* impact studies which may include additional quantitative information
  + one two-digit FoR impact study for each two-digit UoA that meets the low volume threshold. Institutions can also opt-in if they do not meet the low volume threshold
  + one optional interdisciplinary impact study
  + one optional Aboriginal and Torres Strait Islander research impact study.

Online forms contain system imposed limits/validation.

## 2.4 System security

SEER is only accessible to authenticated users. An institution’s ERA Research Office Delegate will have an individual user account (‘ERA Research Office Delegate’ account). A user account consists of a username and password combination, which is required to log on to SEER (via a web form login page). The Research Office Delegate is then responsible for creating supplementary user accounts within their institution’s SEER system. Each user account will be associated with only one institution and is only able to access data related to that institution.

Any users who have a current user profile in ARC systems (such as RMS or SEER) can use the same account credentials to access the EI module in SEER. However, the ERA Research Office Delegate and the individual user must ensure that they has obtained the correct user role for EI purposes. For the purpose of EI submission, at a minimum, each institution must have one ERA Research Office staff, one ERA Signatory and one ERA Certifier (see section [1.6](#_1.6_The_EI) for the EI module institution user summaries).

User password security remains the responsibility of individual users. SEER user accounts are ongoing for the duration of the submission period, although the ARC may disable or revoke individual user accounts if concerns over system security or misuse arise.

All network communications with the SEER user interface are secured for confidentiality using the Secure Sockets Layer (SSL) protocol. Storage and processing of transactions within SEER is unsecured. SEER only allows for the processing of UNCLASSIFIED transactions, and **cannot** be used to process information classified as PROTECTED or above by the Australian Government.

## 2.5 Service availability

**SEER**

SEER will operate 24 hours a day, seven days a week during the submission period. The full submission period from submission to certification is from 16 May 2018–27June 2018.

**EI Helpdesk**

The ARC provides helpdesk support for participating institutions before and during the submission period during normal Canberra business hours. Institutions should direct any queries in relation to EI to the EI Helpdesk on (02) 6287 6755 or email [ARC-EI@arc.gov.au](mailto:ARC-EIPilot@arc.gov.au)

**Institutional Contact Officers**

Institutions are also required to provide the contact name and details of the Institutional Research Officer (if that person is not the institution’s nominated EI Liaison Officer), with whom the ARC can speak regarding the institution’s EI submission.

## 2.6 Supported browsers

Table 1: List of supported browsers

| **Browser** | **Version** | **Level of Support** |
| --- | --- | --- |
| Internet Explorer | Current release | Fully Supported |
| Google Chrome | Current release—automatic update must not be disabled | Fully Supported |
| All other browsers and versions | ARC applications should work in any browser or version not fully supported, however as testing is restricted to those above, they are not guaranteed to function | |
| Mobile Devices (tablets, mobile phones, etc.) | While ARC applications are not supported on mobile devices they should work if the device has internet connectivity and is capable of running a browser | |

# Submission data structure

This is a conceptual description of the submission data structures required for EI 2018 using the engagement and impact modules.

Data submitted to the engagement and impact modules comprises online forms. The forms clearly state the requirements throughout the submission process, including the requirements for data type and data length.

Please note that the concept ‘Required’ outlined below relates to the technical requirements of the data structure. Please refer to the *EI 2018 Submission Guidelines* for the policy requirements related to the submission of mandatory or optional data, as well as more detail about the relationship between the data and the indicators.

The use of ‘research end-users’ is taken from the *EI 2018 Submission Guidelines*, which states that it includes ‘industry, Government, non-government organisations, communities, and community organisations’.

## 3.1 Engagement narrative and indicators

The ARC provides a web form for additional indicator information and for the narrative components of the engagement information.

### 3.1.1 Engagement narrative

The narrative component for the engagement activities that are not already included in the engagement indicators.

|  |  |  |  |
| --- | --- | --- | --- |
| **Data item** | **Data requirement** | **Format** | **Description** |
| Unit of assessment | **Pre-populated** | Prepopulated base on the UoA selected | Primary two-digit field of research code that best describes the overall content of the impact study |
| Sensitivities | Optional | Drop down list | Select one or more of;   * commercially sensitive; and/or * culturally sensitive. |
| Sensitivities description | Optional | Text field (1500 characters) | Describe any sensitivities that need to be considered in the Engagement narrative, including any particular instructions for assessors |
| Engagement narrative | **Required** | Text field (7000 characters) | Describes the engagement activities of the UoA and additional indicators. |

### 3.1.2 Additional engagement indicators

Up to four quantitative indicators that are not already included in the engagement indicators in section [3.1.1](#_3.1.1_Engagement_Indicators).

|  |  |  |  |
| --- | --- | --- | --- |
| **Data item** | **Data requirement** | **Format** | **Description** |
| Name | **Required** | Text field with maximum of 100 characters | A short name for the indicator |
| Indicator Data | **Required** | Text field with maximum of 200 characters | Data for the indicator |
| Indicator Description | **Required** | Text field with maximum of 300 characters | Brief description of the indicator and how it is calculated |

### 3.1.3 Engagement Indicators

|  |  |  |  |
| --- | --- | --- | --- |
| **Data item** | **Data requirement** | **Format** | **Description** |
| Field of Research code (Unit of Assessment) | **Pre-populated** | Prepopulated base on the UoA selected | Two-digit FoR codes for the UoA |

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

The institution will need to provide the amount of cash support from end-users for all the income received in each individual grant for Category 1. Institutions can view the specific information of the grant reported in ERA 2018 on the screen for context, and to assist the institution in identifying each grant correctly.

For Categories 2, 3i, 3ii, 3iii and 4, the cash support from end-user only is required for each reference year.

|  |  |  |  |
| --- | --- | --- | --- |
| **Specified Category 1 (each specified grant)** | | | |
| **Data item** | **Data requirement** | **Format** | **Description** |
| Grant ID | Provided by ARC | Text | The grant ID submitted to the ARC for ERA 2018 |
| **Cash support from end-user for specified HERDC Category 1 income (for each year)** | | | |
| **Data item** | **Data requirement** | **Format** | **Description** |
| ACGR Code | Provided by ARC | Text | The ACGR Code related to the grant within a reference year for the UoA |
| Reference year | Provided by ARC | Text | The reference year of income being reported for the UoA |
| Total amount for the UoA for Specified HERDC Category 1 for the reference year | Provided by ARC | Full dollar amount (rounded) | The total amount received for the UoA as submitted in ERA 2018 |
| Total cash amount from research end-users in the reference year, to this grant specifically | **Required** | Full dollar amount (rounded) | Cash contribution to the grant from research end-users, which is part of this grant for the reference year. |
| **Cash support from end-user for HERDC Category 2 income (for each year)** | | | |
| **Data item** | **Data requirement** | **Format** | **Description** |
| Reference year | Provided by ARC | Text | The reference year of the income being reported for the UoA |
| Total amount for the UoA for Specified HERDC Category 2 for the reference year | Provided by ARC | Full dollar amount (rounded) | The total amount received for the UoA as submitted in ERA 2018 |
| Total cash amount from research end-users for the UoA for HERDC Category 2 | **Required** | Full dollar amount (rounded) | Cash contribution to the grant from research end-users which is part of HERDC Category 2 income |
| **Cash support from end-user for HERDC Category 3i income (for each year)** | | | |
| **Data item** | **Data requirement** | **Format** | **Description** |
| Reference year | Provided by ARC | Text | The reference year of the income being reported for the UoA |
| Total amount for the UoA for Specified HERDC Category 3i for the reference year | Provided by ARC | Full dollar amount (rounded) | The total amount received for the UoA as submitted in ERA 2018 |
| Total cash amount from research end-users for the UoA for HERDC Category 3i | **Required** | Full dollar amount (rounded) | Cash contribution to the grant from research end-users which is part of HERDC Category 3i income |
| **Cash support from end-user for HERDC Category 3ii income (for each year)** | | | |
| **Data item** | **Data requirement** | **Format** | **Description** |
| Reference year | Provided by ARC | Text | The reference year of the income being reported for the UoA |
| Total amount for the UoA for Specified HERDC Category 3ii for the reference year | Provided by ARC | Full dollar amount (rounded) | The total amount received for the UoA as submitted in ERA 2018 |
| Total cash amount from research end-users for the UoA for HERDC Category 3ii | **Required** | Full dollar amount (rounded) | Cash contribution to the grant from research end-users which is part of HERDC Category 3ii income |
| **Cash support from end-user for HERDC Category 3iii income (for each year)** | | | |
| **Data item** | **Data requirement** | **Format** | **Description** |
| Reference year | Provided by ARC | Text | The reference year of the income being reported for the UoA |
| Total amount for the UoA for Specified HERDC Category 3iii for the reference year | Provided by ARC | Full dollar amount (rounded) | The total amount received for the UoA as submitted in ERA 2018 |
| Total cash amount from research end-users for the UoA for HERDC Category 3iii | **Required** | Full dollar amount (rounded) | Cash contribution to the grant from research end-users which is part of HERDC Category 3iii income |
| **Cash support from end-user for HERDC Category 4 income (for each year)** | | | |
| **Data item** | **Data requirement** | **Format** | **Description** |
| Reference year | Provided by ARC | Text | The reference year of the income being reported for the UoA |
| Total amount for the UoA for Specified HERDC Category 4 for the reference year | Provided by ARC | Full dollar amount (rounded) | The total amount received for the UoA as submitted in ERA 2018 |
| Total cash amount from research end-users for the UoA for HERDC  Category 4 | **Required** | Full dollar amount (rounded) | Cash contribution to the grant from research end-users which is part of HERDC Category 4 income |

#### 3.1.3.2 Total HERDC income per FTE

Institutions can view this indicator during submission and requires no additional data from institutions. SEER will display this indicator in a single table with all HERDC income categories.

|  |  |  |  |
| --- | --- | --- | --- |
| **Data item** | **Data requirement** | **Format** | **Description** |
| Total HERDC Category 1 income from specified Category 1 schemes | Provided by ARC | Full dollar amount (rounded) | ERA 2018 submission data |
| Total HERDC Category 2 income | Provided by ARC | Full dollar amount (rounded) | ERA 2018 submission data |
| Total HERDC Category 3i income | Provided by ARC | Full dollar amount (rounded) | ERA 2018 submission data |
| Total HERDC Category 3ii income | Provided by ARC | Full dollar amount (rounded) | ERA 2018 submission data |
| Total HERDC Category 3iii income | Provided by ARC | Full dollar amount (rounded) | ERA 2018 submission data |
| Total HERDC Category 4 income | Provided by ARC | Full dollar amount (rounded) | ERA 2018 submission data |
| Total FTE | Provided by ARC | Number | ERA 2018 submission data |
| Total HERDC Category 1 income (from specified Category 1 schemes) per FTE | Provided by ARC | Number | Calculated field |
| Total HERDC Category 2 income per FTE | Provided by ARC | Number | Calculated field |
| Total HERDC Category 3i income per FTE | Provided by ARC | Number | Calculated field |
| Total HERDC Category 3ii income per FTE | Provided by ARC | Number | Calculated field |
| Total HERDC Category 3iii income per FTE | Provided by ARC | Number | Calculated field |
| Total HERDC Category 4 income per FTE | Provided by ARC | Number | Calculated field |

#### 3.1.3.3 Proportion of specified HERDC Category 1 grants to all HERDC Category 1 grants

Institutions can view this indicator during submission and requires no additional data from institutions.

|  |  |  |  |
| --- | --- | --- | --- |
| **Data item** | **Data requirement** | **Format** | **Description** |
| Number of specified HERDC Category 1 grants for the UoA | Provided by ARC | Number | ERA 2018 submission data |
| Total number of HERDC Category 1 grants for the UoA | Provided by ARC | Number | ERA 2018 submission data |
| Proportion of number of specified HERDC Category 1 grants to total number of HERDC Category 1 grants | Provided by ARC | Number | Calculated field |
| Income from specified HERDC Category 1 grants for the UoA | Provided by ARC | Full dollar amount (rounded) | ERA 2018 submission data |
| Total income from HERDC Category 1 grants for the UoA | Provided by ARC | Full dollar amount (rounded) | ERA 2018 submission data |
| Proportion of income from specified HERDC Category 1 grants to total income of HERDC Category 1 grants | Provided by ARC | Number | Calculated field |

#### 3.1.3.4 Research commercialisation income

Institutions can view this indicator during submission and requires no additional data from institutions.

|  |  |  |  |
| --- | --- | --- | --- |
| **Data item** | **Data requirement** | **Format** | **Description** |
| Total research commercialisation income | Provided by ARC | Full dollar amount (rounded) | ERA 2018 submission data |

#### 3.1.3.5 HDR co-supervision

An institution must report the number of HDR students that have been co-supervised with end-users. This is only used for data collection and does not form part of the assessment in EI 2018.

|  |  |  |  |
| --- | --- | --- | --- |
| **Data item** | **Data requirement** | **Format** | **Description** |
| Number of co-supervised HDR students | **Required** | Number | HDR students with a research end-user supervisor |

#### 3.1.3.6 Engagement indicator explanatory narrative

The narrative component that describes the indicator data.

|  |  |  |  |
| --- | --- | --- | --- |
| **Data item** | **Data requirement** | **Format** | **Description** |
| Engagement indicator explanatory narrative | **Required** | Text field (4500 characters) | Provides context or further explanation for the indicators |

## 3.2 Impact studies

Institutions submit the content for the impact studies via a web form. The institutions also have an option to submit an interdisciplinary impact study and an Aboriginal and Torres Strait Islander research impact study, as specified in the *EI 2018 Submission Guidelines.* Institutions submit one form for each FoR-based, interdisciplinary, or Aboriginal and Torres Strait Islander research impact study.

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, even though they meet the low volume threshold. In this situation, the institution must submit a statement that clearly describes the reason they should not be assessed for impact in that UoA. See *EI 2018 Submission Guidelines* for more information.

For a full list of the SEO codes for the “SEO Code” Field name, see [Appendix B](#_Appendix_B:_List)of this document. Institutions can search and view SEO codes down to a six-digit level but can only select two-digit codes.

### 3.2.1 Two-digit FoR impact study template, descriptions and formatting information

| **Field name** | **Required** | **Format** | **Description** |
| --- | --- | --- | --- |
| Title | **Required** | Text field (250 characters) | Title of the impact study |
| Unit of assessment | **Pre-populated** | Prepopulated base on the UoA selected | Primary two-digit field of research code that best describes the overall content of the impact study |
| Additional FoR codes | Optional | Selected from all two-digit field of research codes | The institution can select up to 2 other two-digit field of research codes that best describe the overall content of the impact study |
| SEO codes | **Required** | Searchable text field (see Appendix B in this document or the information box above input field for list of codes) | Add SEO code(s) relevant to the impact study (no maximum) |
| ANZSIC codes | **Required** | Searchable text field (see Appendix C in this document or the information box above input field for list of codes) | Add ANZSIC code(s) relevant to the impact study (no maximum) |
| Keywords | **Required** | Up to 10 single or multiple words response | Add up to 10 keywords that represent an overview of the impact study |
| Sensitivities | Optional | Drop down list | Select one or more of;   * commercially sensitive; and/or * culturally sensitive. |
| Sensitivities description | Optional | Text Fields (500 characters) | Describe any sensitivities that need to be considered in the impact study, including any particular instructions for assessors |
| Aboriginal and Torres Strait Islander research flag | **Required** | Boolean (yes or no options) | The institution can flag if the impact study is related to Aboriginal and Torres Strait Islander research. |
| Science and Research Priorities | **Required** | Boolean (yes or no options) | Does this impact study fall within one of the Science and Research Priorities? |
| **If “Yes” to Science and Research Priorities:** | | | |
| Priority list | **Required** | Drop down menu list of priorities | Choose Science and Research Priorities as are relevant to the impact study |
| Practical Research Challenge list | **Required** | Drop down menu list of practical research challenges | Choose Practical Research Challenges as are relevant to the previous priority |
| **Part A—Impact** | | | |
| Summary of the impact | **Required** | Text field (800 characters) | Briefly describe the specific impact in simple, clear English |
| Beneficiaries | **Required** | Up to 10 single or multiple words response | Add up to 10 beneficiaries relevant to the impact study |
| Countries in which the impact occurred | Optional | Unlimited options taken from ABS list |  |
| Details of the impact | **Required** | Text field (6000 characters) |  |
| Associated research | **Required** | Text field (1500 characters) |  |
| FoR of associated research | **Required** | Selected from all two-digit field of research codes | The institution can select up to 3 two-digit field of research codes that best describe the associated research |
| References | **Required** | Text field (350 characters per reference) | Add bibliographic details of up to 10 research outputs that demonstrate the association of the research to the impact study |
| **Part B—Approach to impact** | | | |
| Summary of the approaches to impact | **Required** | Text field (800 characters) |  |
| Approach to impact | **Required** | Text field (6000 characters) |  |
| *(Optional)* **Part C—Additional impact indicator information** | | | |
| Name | **Required** | Text field with maximum of 100 characters | A short name for the indicator |
| Indicator data | **Required** | Text field with maximum of 200 characters | Data for the indicator |
| Indicator description | **Required** | Text field with maximum of 300 characters | Brief description of the indicator and how it is calculated |

### 3.2.2 Interdisciplinary impact template, descriptions and formatting information

| **Field name** | **Required** | **Format** | **Description** |
| --- | --- | --- | --- |
| Title | **Required** | Text field (250 characters) | Title of the impact study |
| FoR codes | **Required** | Selected from all two-digit field of research codes | The institution can select up to 3 two-digit field of research codes that best describe the overall content of the impact study |
| SEO codes | **Required** | Searchable text field (see Appendix B in this document or the information box above input field for list of codes) | Add SEO code(s) relevant to the impact study (no maximum) |
| ANZSIC codes | **Required** | Searchable text field (see Appendix C in this document or the information box above input field for list of codes) | Add ANZSIC code(s) relevant to the impact study (no maximum) |
| Keywords | **Required** | Up to 10 single or multiple words response | Add up to 10 keywords that represent an overview of the impact study |
| sensitivities | Optional | Drop down list | Select one or more of;   * commercially sensitive; and/or * culturally sensitive. |
| Sensitivities | Optional | Text Fields (500 characters) | Describe any sensitivities that need to be considered in the impact study, including any particular instructions for assessors |
| Aboriginal and Torres Strait Islander research flag | **Required** | Boolean (yes or no options) | The institution can flag if the impact study is related to Aboriginal and Torres Strait Islander research. |
| Science and Research Priorities | **Required** | Boolean (yes or no options) | Does this impact study fall within one of the Science and Research Priorities? |
| **If “Yes” to Science and Research Priorities:** | | | |
| Priority list | **Required** | Drop down menu list of priorities | Choose Science and Research Priorities as are relevant to the impact study |
| Practical Research Challenge list | **Required** | Drop down menu list of practical research challenges | Choose Practical Research Challenges as are relevant to the previous priority |
| **Part A—Impact** | | | |
| Summary of the impact | **Required** | Text field (800 characters) | Briefly describe the specific impact in simple, clear English |
| Beneficiaries | **Required** | Up to 10 single or multiple words response | Add up to 10 beneficiaries relevant to the impact study |
| Countries in which the impact occurred | Optional | Unlimited options taken from ABS list |  |
| Details of the impact | **Required** | Text field (6000 characters) |  |
| Associated research | **Required** | Text field (1500 characters) |  |
| FoR of associated research | **Required** | Selected from all two-digit field of research codes | The institution can select up to 3 two-digit field of research codes that best describe the associated research |
| References | **Required** | Text field (350 characters per reference) | Add bibliographic details of up to 10 research outputs that demonstrate the association of the research to the impact study |
| **Part B—Approach to impact** | | | |
| Summary of the approaches to impact | **Required** | Text field (800 characters) |  |
| Approach to impact | **Required** | Text field (6000 characters) |  |
| *(Optional)* **Part C—Additional impact indicator information** | | | |
| Name | **Required** | Text field with maximum of 100 characters | A short name for the indicator |
| Indicator data | **Required** | Text field with maximum of 200 characters | Data for the indicator |
| Indicator description | **Required** | Text field with maximum of 300 characters | Brief description of the indicator and how it is calculated |

### 3.2.3 Aboriginal and Torres Strait Islander research impact template, descriptions and formatting information

| **Field name** | **Required** | **Format** | **Description** |
| --- | --- | --- | --- |
| Title | **Required** | Text field (250 characters) | Title of the impact study |
| FoR codes | Optional | Selected from all two-digit field of research codes | The institution can select up to 3 two-digit field of research codes that best describe the overall content of the impact study |
| SEO codes | **Required** | Searchable text field (see Appendix B in this document or the information box above input field for list of codes) | Add SEO code(s) relevant to the impact study (no maximum) |
| ANZSIC codes | **Required** | Searchable text field (see Appendix C in this document or the information box above input field for list of codes) | Add ANZSIC code(s) relevant to the impact study (no maximum) |
| Keywords | **Required** | Up to 10 single or multiple words response | Add up to 10 keywords that represent an overview of the impact study |
| sensitivities | Optional | Drop down list | Select one or more of;   * commercially sensitive; and/or * culturally sensitive. |
| Sensitivities description | Optional | Text Fields (500 characters) | Describe any sensitivities that need to be considered in the impact study, including any particular instructions for assessors |
| Science and Research Priorities | **Required** | Boolean (yes or no options) | Does this impact study fall within one of the Science and Research Priorities? |
| **If “Yes” to Science and Research Priorities:** | | | |
| Priority list | **Required** | Drop down menu list of priorities | Choose Science and Research Priorities as are relevant to the impact study |
| Practical Research Challenge list | **Required** | Drop down menu list of practical research challenges | Choose Practical Research Challenges as are relevant to the previous priority |
| **Part A—Impact** | | | |
| Summary of the impact | **Required** | Text field (800 characters) | Briefly describe the specific impact in simple, clear English |
| Beneficiaries | **Required** | Up to 10 single or multiple words response | Add up to 10 beneficiaries relevant to the impact study |
| Details of the impact | **Required** | Text field (6000 characters) |  |
| Associated research | **Required** | Text field (1500 characters) |  |
| FoR of associated research | **Required** | Selected from all two-digit field of research codes | The institution can select up to 3 two-digit field of research codes that best describe the associated research |
| References | **Required** | Text field (350 characters per reference) | Add bibliographic details of up to 10 research outputs that demonstrate the association of the research to the impact study |
| **Part B—Approach to impact** | | | |
| Summary of the approaches to impact | **Required** | Text field (800 characters) |  |
| Approach to impact | **Required** | Text field (6000 characters) |  |
| *(Optional)* **Part C—Additional impact indicator information** | | | |
| Name | **Required** | Text field with maximum of 100 characters | A short name for the indicator |
| Indicator data | **Required** | Text field with maximum of 200 characters | Data for the indicator |
| Indicator description | **Required** | Text field with maximum of 300 characters | Brief description of the indicator and how it is calculated |

### 3.2.4 Non-assessed impact UoAs

This section only applies to UoAs in which the institution has requested to not be assessed.

|  |  |  |
| --- | --- | --- |
| **Field name** | **Format** | **Description** |
| Flag UoA as non-assessed for impact | Boolean | Whether the institution wishes to flag the impact study for this UoA as non-assessed |
| Rationale text | Dropdown list | A selection from the predefined list of reasons why the impact study should not be be assessed |
| Future strategic plan | Text field (1800 characters) | The strategies the institution will put in place for this UoA to participate in future rounds of the impact assessment |

# Appendices

## Appendix A: Glossary of Technical Terms

|  |  |
| --- | --- |
| **Term** | **Description** |
| Information and Communications Technology (ICT) | A catchall term that incorporates a variety of communications devices or applications, with an emphasis on providing technological solutions and unifying technological platforms. |
| System to Evaluate Excellence in Research for Australia (SEER) | The ICT system use for research evaluation and assessment for ERA, and EI. |
| Secure Sockets Layers (SSL) | A protocol developed by Netscape for transmitting private documents via the internet. SSL works by using a private key to encrypt data that are transferred over the SSL connection. Both Mozilla Firefox and Internet Explorer support SSL and many web sites use the protocol to obtain confidential user information, such as credit card numbers. By convention, URLs that require an SSL connection start with https: instead of http: |
| Uniform Resource Locator  (URL) | A global identifier for a network-retrievable document. |

## Appendix B: List of SEO Codes

81 DEFENCE

82 PLANT PRODUCTION AND PLANT PRIMARY PRODUCTS

83 ANIMAL PRODUCTION AND ANIMAL PRIMARY PRODUCTS

84 MINERAL RESOURCES (EXCL. ENERGY RESOURCES)

85 ENERGY

86 MANUFACTURING

87 CONSTRUCTION

88 TRANSPORT

89 INFORMATION AND COMMUNICATION SERVICES

90 COMMERCIAL SERVICES AND TOURISM

91 ECONOMIC FRAMEWORK

92 HEALTH

93 EDUCATION AND TRAINING

94 LAW, POLITICS AND COMMUNITY SERVICES

95 CULTURAL UNDERSTANDING

96 ENVIRONMENT

97 EXPANDING KNOWLEDGE

## Appendix C: Industry classification codes

01—Agriculture

02—Aquaculture

03—Forestry and Logging

04—Fishing, Hunting and Trapping

05—Agriculture, Forestry and Fishing Support Services

06—Coal Mining

07—Oil and Gas Extraction

08—Metal Ore Mining

09—Non-Metallic Mineral Mining and Quarrying

10—Exploration and Other Mining Support Services

11—Food Product Manufacturing

12—Beverage and Tobacco Product Manufacturing

13—Textile, Leather, Clothing and Footwear Manufacturing

14—Wood Product Manufacturing

15—Pulp, Paper and Converted Paper Product Manufacturing

16—Printing (including the Reproduction of Recorded Media)

17—Petroleum and Coal Product Manufacturing

18—Basic Chemical and Chemical Product Manufacturing

19—Polymer Product and Rubber Product Manufacturing

20—Non-Metallic Mineral Product Manufacturing

21—Primary Metal and Metal Product Manufacturing

22—Fabricated Metal Product Manufacturing

23—Transport Equipment Manufacturing

24—Machinery and Equipment Manufacturing

25—Furniture and Other Manufacturing

26—Electricity Supply

27—Gas Supply

28—Water Supply, Sewerage and Drainage Services

29—Waste Collection, Treatment and Disposal Services

30—Building Construction

31—Heavy and Civil Engineering Construction

32—Construction Services

33—Basic Material Wholesaling

34—Machinery and Equipment Wholesaling

35—Motor Vehicle and Motor Vehicle Parts Wholesaling

36—Grocery, Liquor and Tobacco Product Wholesaling

37—Other Goods Wholesaling

38—Commission-Based Wholesaling

39—Motor Vehicle and Motor Vehicle Parts Retailing

40—Fuel Retailing

41—Food Retailing

42—Other Store-Based Retailing

43—Non-Store Retailing and Retail Commission-Based Buying and/or Selling

44—Accommodation

45—Food and Beverage Services

46—Road Transport

47—Rail Transport

48—Water Transport

49—Air and Space Transport

50—Other Transport

51—Postal and Courier Pick-up and Delivery Services

52—Transport Support Services

53—Warehousing and Storage Services

54—Publishing (except Internet and Music Publishing)

55—Motion Picture and Sound Recording Activities

56—Broadcasting (except Internet)

57—Internet Publishing and Broadcasting

58—Telecommunications Services

59—Internet Service Providers, Web Search Portals and Data Processing Services

60—Library and Other Information Services

62—Finance

63—Insurance and Superannuation Funds

64—Auxiliary Finance and Insurance Services

66—Rental and Hiring Services (except Real Estate)

67—Property Operators and Real Estate Services

69—Professional, Scientific and Technical Services (Except Computer System Design and Related Services)

70—Computer System Design and Related Services

72—Administrative Services

73—Building Cleaning, Pest Control and Other Support Services

75—Public Administration

76—Defence

77—Public Order, Safety and Regulatory Services

80—Preschool and School Education

81—Tertiary Education

82—Adult, Community and Other Education

84—Hospitals

85—Medical and Other Health Care Services

86—Residential Care Services

87—Social Assistance Services

89—Heritage Activities

90—Creative and Performing Arts Activities

91—Sports and Recreation Activities

92—Gambling Activities

94—Repair and Maintenance

95—Personal and Other Services

96—Private Households Employing Staff and Undifferentiated Goods- and Service-Producing Activities of Households for Own Use