

ERA Submission 2009

Overview

- On 26 Feb 2008, the Minister for Innovation, Industry, science and Research announced plans for a new research quality and evaluation system (ERA – Excellence in Research for Australia).
- The ERA initiative has been developed by the ARC and NHMRC with an expected implementation during 2009/2010.

Overview

■ Objectives :

- ☞ establish assurance of the excellence of research conducted in Australia's institutions;
- ☞ provide national stocktake of discipline-levels areas of research strength and areas where there is an opportunity to develop;
- ☞ identify excellence across the full spectrum of research performance;
- ☞ identify emerging research areas and allow for comparison and benchmarking nationally and internationally

ERA Indicators

■ Indicators of research Quality

Evaluated on the basis of:

- ☞ ranked outlets (journals),
- ☞ citation analysis,
- ☞ peer-review and
- ☞ peer-reviewed Australian and international research income

■ Indicators of research volume and activity

- ☞ Total research outputs and research income within the context of eligible researcher profiles

ERA Indicators

- **Indicators of recognition**

- ☞ Esteem Measures

- **Indicators of Research Applications**

- ☞ Research Commercialization Income

Main Components of Submission

- Unit of Evaluation – 4-digit FoR level
- Units of Reporting - 4-digit FoR level / 2-digit FoR level (low volume)
- Submission Components
 - ☞ Background Statement
 - ☞ Eligible Researcher Data
 - ☞ Data on Research Outputs
 - ☞ Data on Esteem Measures
 - ☞ Data on Research Income and
 - ☞ Data on Applied Measures

Background Statement

- will outline relevant contextual information about the research performance and development of disciplines under consideration.
- should be provided at the **2-digit FoR** (Field of Research) level
- Should be limited to **10 000** characters for each 2-digit FoR

- For the HCA cluster Background Statements are needed for:
 - ☞ Build Environment and Design (12)
 - ☞ Law and Legal studies (18)
 - ☞ Studies in Creative Arts and Writing (19)
 - ☞ Language, Communication and Culture (20)
 - ☞ History and Archaeology (21)
 - ☞ Philosophy and Religious Studies

What will the Research Office (RO) Provide?

- A template for the Background Statement (included in presented documents) and general instructions on ARC requirements.
- RO can provide data and statistics on collaborations through publications and grants

What do Academic Units need to do?

- Assign Senior Academic(s)/possible expert(s) in the discipline with a wide knowledge of discipline research groups and their activity at the ANU to write a background statement.
- Submit the Background Statement to the Research Office by 1 April 2009

Example of Background Statement Template

BACKGROUND STATEMENT

CLUSTER: Humanities and Creative Arts

TWO-DIGIT FOR: 21 History and Archaeology

Overview: *A Brief outline of any background information relevant to the performance and development of the disciplines under consideration*

Capacity: *Identification of any significant staff changes or resources over time*

Environment: *Particular support for Early Career Researchers and Higher Degree Research students, including how they have been contributed to or assisted with the production of the research outputs*

Collaboration: *Across disciplines and/or with researchers at the other institutions or agencies both within Australian and overseas*

Type: *Identification of whether the research undertaken by disciplines would predominantly be considered either as pure basic research, strategic basic research, applied research and/or experimental development*

Other: *Any other information the institution feels should be included to explain the data submitted and enable an informed evaluation*

Eligible Researcher Data

- Staff Census Date: 31 March 2008
- Member of the Staff:
 - ☞ Employed
 - ☞ Employee of another institution but working as: “Visiting”, “Exchange” or “Seconded”
 - ☞ Unpaid Staff
- Affiliation : researcher is employed or has a “publication association” through a byline

What will the Research Office Provide?

- The RO has established the list of all eligible researchers (academics and others) as per the census date
- data on all academic staff and all “other” staff who are publishing will be submitted to the ARC
- RO DOES NOT have data on affiliates

What do Academic Units need to do?

- identify affiliates who were at the ANU on the census date
- provide a list to the Research Office by 10/03/2009

Data on Research Outputs (1 Jan 2002 - 31 Dec 2007)

- For the HCA cluster eligible research output types are:
 - ☞ Books - authored research A1 & EXT1
 - ☞ Book - chapters in research book B1& EXTB1
 - ☞ Journal Articles - refereed, scholarly journal C1& EXTC1
 - ☞ Conference Publications - full paper refereed E1 & EXTE1

Data on Research Outputs (1 Jan 2002 - 31 Dec 2007)

Additional not collected by HERDC

Creative Works:

- ☞ Original (Creative) Work in the Public Domain
- ☞ Live Performance Works in the Public Domain
- ☞ Recorded (Performance) Public Works
- ☞ Curated or Produced Substantial Public Exhibitions, events or Renderings
- ☞ Statement of research

What will the Research Office Do?

- Provide a list of all Eligible Research Outputs for each four-digit FoR code
- Work with Academic Units to identify additional creative works (not presently collected) and record them in ARIES
- Work with DOI to upload research outputs for peer review into the repository

What do Academic Units need to do?

- Encourage academic staff in their area to check FoR codes and the apportionment of FoR codes on their publications, and identify if any publications are missing and to notify their Publication Officers
- Choose the best 20% of total research output for each four-digit FoR for peer review
- Submit the list of best research outputs for peer review to the Research Office
- Notify the Research Office if there is any sensitive or confidential material that needs special handling
- Assist the RO to find copies of outputs for the repository

What do Academic Units need to do?

- For Creative Works selected for Peer Review a statement identifying the research component of the output must be submitted (maximum 250 words)
- A sample from the ERA Submission Guidelines can be provided
- THEME codes if necessary (to be confirmed)

Data on Esteem Measures (1 Jan 2005-31 Dec 2007)

- Esteem Measures eligible for ERA:
 - ☞ Editorial role (editor/member of board) of A* and A journals
 - ☞ Contribution to a prestigious work of reference
 - ☞ Curatorial role (head curator, member of board) of a prestigious event
 - ☞ Elected Fellowships of a learned academy (nationally/internationally)
 - ☞ Recipient of a nationally competitive fellowship
 - ☞ Recipient of a prestigious prize and award

- Esteem measures follow a researcher if, as of the staff census date, they have moved to a different institution

- **Esteem measures are not presently collected at the ANU**

What will Research Office Provide?

- provide a template and instructions for academics to fill in
- provide a list of all esteem measures for each 4-digit unit of assessment and provide it to the group leaders for checking and consideration
- enter esteem data into ARIES

What do Academic Units need to do?

- Encourage academics to respond to the data request from the Research Office
- Group Leaders to cross check data before upload to ARIES

Data on Research Income and Data on Applied Measures

- Research Office will extract relevant information from ARIES and reports from our Patent Attorneys.

What do Academic Units need to do?

- Nothing 😊

ARC Timetable

Phase	Activity	Start Date	End Date	Responsible
Submission	Submission Period (including lodgement of Cluster Submission Certification Statements)	20 April 2009	8 May 2009	Institutions
	Compile Bibliometrics	11 May 2009	29 May 2009	ARC and external citations supplier
Assignment	Assignment of units of evaluation to reviewers	1 June 2009	5 June 2009	ARC and REC Chair
Evaluation	Preliminary evaluation by reviewers	9 June 2009	3 July 2009	Reviewers
	RECs view all preliminary evaluations and aggregated indicator profiles prior to main evaluation meeting	6 July 2009	10 July 2009	ARC and RECs
	RECs meet to finalise recommended evaluation outcomes for the ARC	13 July 2009	24 July 2009	ARC and REC
Distribution/ Publication of Outcomes	Distribution of institutional reports and publication of national outcomes		14 August 2009	ARC

ANU Timetable

1. Eligible Researcher Data	1/03/2009 - List of affiliates
2. Data on Research Outputs	10/03/2009 - 20% for peer review
3. Data on Esteem Measures	10/03/2009 - Esteem Measures Survey 15/03/2009 - RO to compile esteem measures list 20/03/2009 Team Leaders to cross check the list and return it by 27/3/09
4. Data on Research Income	No Action Required
5. Data on Applied Measures	No Action Required
6. Background Statement	1/04/2009 - Background Statement to RO

For more information please

- visit the ANU ERA website:

http://www.anu.edu.au/ro/ORMD/ERA/ERA_index.php

Email: ERA@anu.edu.au

- or the ARC ERA website:

<http://www.arc.gov.au/era/default.htm>

- or contact the ANU ERA Project Office:

Beverley Payne x 54182 or

Milica Symul x 59569

ERA at ANU

- Questions ?