



Australian
National
University

THE AUSTRALIAN NATIONAL UNIVERSITY PUBLICATIONS COLLECTION USER GUIDE CATEGORIES IN ARIES

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Introduction

The Australian National University (ANU) collects information on a wide variety of research outputs published by staff, students and visitors. ANU uses the data collection for many purposes, ranging from management reports, budgetary predictions, internal assessment, ANU Researchers web site, academic promotions, College annual reports and department web sites.

In 2009 the Australian Government introduced a data collection called Excellence in Research for Australia (ERA). Publications information is recorded in ARIES, a web based database. All publications should be recorded in ARIES, regardless of whether they are eligible for ERA or not. This user guide explains the coding for the different publication categories and the eligibility requirements for the ERA collection.

Types of Publications

All research outputs may be collected, regardless of whether the underlying research was carried out at ANU or elsewhere. Publications are classified according to type of publication (called a category), and whether the underlying research was carried out here or elsewhere.

The publication categories include:

- Books
- Book Chapters
- Journal Articles
- Conference Papers
- Reference Work
- Computer Software
- Inventions
- Creative Work
- Reports
- Translations
- Legal Case
- Map
- Newspaper/Magazine Articles
- Thesis
- Audio visual Material

Publications Collections Officers in Research Schools and Centres are responsible for the following aspects of the data collection:

1. Collect publications information

The task of the departmental Publications Collection Officers is to ensure that publications from all staff, students and visiting fellows are entered in the ANU's publications database (ARIES). Publications information can be gathered from many sources. RSD staff regularly upload publication information from commercial databases and may have entered a lot of items published by your area. Staff from other departments in ANU also add publications where there is collaboration. Collect information about additional publications not in ARIES. Regularly remind staff, students and visiting fellows of the need to report their research publications and the procedure for doing so. Other sources of information are Scopus (for items missed in the automatic uploads), Web of Knowledge, Trove, ANU ePress and the ANU Library.

2. Collect evidence of the publication

Assemble electronic copies of publications and supporting documentation. Download them from the web or scan paper copies and save the documents in pdf format. The evidence or verification material required for each category is listed in the following sections of this Guide. This evidence is uploaded into ARIES.

Foreign Language Publications

Foreign language publications are eligible to be counted for ERA. The same evidence is required, in English, as for any other publication. It is not necessary to translate the entire publication, but all relevant sections required for the verification of information to demonstrate that it meets the criteria of the category against which it is being claimed should be translated. This includes evidence that the work meets the definition of research.

3. Evaluate publication eligibility for ERA

Evaluate each publication to determine whether it meets the *ERA Specifications*. Contact Research Services Division (RSD) staff at publications.collection@anu.edu.au for help with any concerns or clarifications. The publications section of RSD web site contains useful resources and information updates at <http://researchservices.anu.edu.au/ore/publications/>

The eligibility rules for each category are listed in the following sections of this Guide.

4. Enter publication in ARIES

Enter publications not already in the ARIES database. Publications already in ARIES do not need to be entered a second time, but you may need to enter additional information.

5. Collect author affiliation statements if required

Authors must be affiliated with ANU to be eligible for ERA. The author's affiliation is normally stated on the published item. If an affiliation isn't shown in the publication (by-line or contributors' information) the authors need to complete and sign an 'affiliation statement' or confirm their affiliation via an email showing their electronic signature.

6. Respond to requests from Research Services staff

RSD staff may request additional information about publications. Please respond as quickly as possible. You will also routinely receive listings of the publications entered for your department which you can distribute to staff to check for completeness and accuracy.

ERA Eligibility Requirements

ERA eligibility criteria:

- The item must report original scholarly research, not previously published,
- The item must be published within the calendar year of collection,
- The author/s being claimed must have been affiliated with the ANU when the research leading to the publication was carried out, and
- The item/work may only be counted once for ERA even if it meets the requirements of more than one category.

Definition of Research

Research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes. This definition of research encompasses pure and strategic basic research, applied research and experimental development. Applied research is original investigation undertaken to acquire new knowledge but directed towards a specific, practical aim or objective (including a client-driven purpose).

Activities that support the conduct of research and therefore meet the definition of research include:

- professional, technical, administrative or clerical support staff directly engaged in activities essential to the conduct of research
- management of staff who are either directly engaged in the conduct of research or are providing professional, technical, administrative or clerical support or assistance to those staff
- the activities and training of HDR students enrolled
- the development of HDR training and courses
- the supervision of students undertaking HDR training and courses
- research and experimental development into applications software, new programming languages and new operating systems (this would normally meet the definition of research)

Activities that do not support the conduct of research must be excluded, such as:

- scientific and technical information services
- general purpose or routine data collection
- standardisation and routine testing
- feasibility studies (except into research and experimental development projects)
- specialised routine medical care
- commercial, legal and administrative aspects of patenting, copyright or licensing activities
- routine computer programming, systems work or software maintenance

Year of Publication

The research must have been published in the ERA year. **The date or proof of publication must appear within or on the work being claimed.** Letters from authors, editors, creators etc. stating that a work was published in a particular year, even though no such date exists within the publication, are not acceptable evidence of year of publication. The year of publication for conference papers is based on the year the paper is published in the proceedings not necessarily the year of the conference.

An exception to this may apply for journal articles or conference papers that are produced on CD Rom or are web-based where no date exists within or on the publication. In these instances a letter from the editor of the journal or the conference organiser may be accepted to indicate the year published. Note that this applies only to works where no date exists within the work being claimed. A letter from an editor or conference organiser cannot override a date that is displayed within the work.

The year of publication would normally be the **earliest** of the nominal year, the year indicated as published, the year indicated as printed or the year of copyright. However for online journal articles, the publication date of that article online is accepted as the ERA year.

Author Affiliation

Institutional affiliation must be identified by one of the methods below:

- within or on the work being claimed or
- where institutional affiliation is not identified within a work, the university must obtain a statement from the author indicating that he or she undertook the research leading to the publication in his or her capacity as a staff member or student of the university.

Where a publication shows that an author has affiliation to more than one institution (example, Janet Harvey, Tutor in Economics, University of X, PhD student, University of Y), each Australian university named in that by-line can claim the publication at full value. Adjunct fellows, honorary staff members and staff on leave are considered affiliated with a university if the university is identified in the by-line.

Measures of Quality

The measure of quality for books and book chapters is that the publisher must meet the ERA definition of a commercial publisher. For conference papers and journal articles the measure of quality is that the individual paper or article must be peer reviewed prior to publication.

Commercial Publisher

A commercial publisher is an entity for which the core business is producing books and distributing them for sale. If publishing is not the core business of an organisation but there is a distinct organisational entity devoted to commercial publication and its publications are not completely paid for or subsidised by the parent organisation or a third party, the publisher is acceptable as a commercial publisher.

Peer Review

For the purposes of ERA an acceptable peer review process is one that involves an assessment or review of the research publication in its entirety by independent, qualified experts before publication. Independent in this context means independent of the author.

For journal articles, any of the following is acceptable as evidence:

- the journal is listed on the ERA 2018 journal list,
- the journal is listed in Thomson Reuters Web of Knowledge Master Journal List (<http://ip-science.thomsonreuters.com/cgi-bin/jrnlist/jlsearch.cgi?PC=MASTER>),
- the journal is classified as 'refereed' in the Ulrich's Knowledgebase (www.ulrichsweb.com)
- there is a statement in the journal which shows that contributions are peer reviewed,
- there is a statement or acknowledgement from the journal editor which shows that contributions are peer reviewed or
- a copy of a reviewer's assessment relating to the article.

Note:

- RSD maintain a list of peer reviewed journals and conferences within ARIES. Authors and publication collection officers need to provide evidence when the journal is not in ARIES or has no peer review status indicated.
- a statement from an author that a publication was peer reviewed will not be accepted.
- the existence of a national or international advisory board is not sufficient evidence that all relevant publications are assessed by members of it.

Electronic Works

Electronic works are eligible to be counted, provided they meet all of the criteria of the publications category against which they are being claimed.

Publications not in English

Evidence is required for each item claimed, so it is important that sufficient detail is copied from the publication and attached electronically to the record in ARIES so that it can be verified and approved.

The evidence is required to be translated into English for all categories in ARIES, this is including the ones not counted for ERA.

This is to ensure that the correct information is being entered and that it can be verified and approved.

Please Note: If there is no English translation of the following, it will not be ERA eligible and will not be verified and approved.

You should provide the following evidence in English:

- pages showing the title, author/s, ISBN/ISSN, DOI, publisher, place of publication, edition and all dates referring to copyright
- page showing the affiliation of the author/s with ANU
- the Table of Contents and List of contributors
- the Preface/Foreword/Introduction (required for books)
- Abstract and/or introduction of the claimed work

Save the evidence as a PDF and upload to the ARIES publication record.

Please refer to the publications collections process on page 4. Point 2: Collect Evidence of the publication – Foreign Language Publications.

BOOKS

A BOOKS

- A book which meets the criteria for ERA should be classified as A1.
- If a book does not meet ERA requirements, enter the publication in ARIES as one of the other 'A' categories (A2 - A5).
- If the research underpinning the publication was not done at ANU enter the publication as an external 'A' category (ExtA1 - ExtA4).

Evidence Required:

The Whole Book

- Publication Year
- Author Affiliation
- Publication/Book Title
- Total Number of Pages
- Series Title (only if part of a Series)
- DOI (if provided)
- Peer-review
- Book Details (ISBN, Publisher, Edition, Volume etc.)
- Documents: PDF of published book - all pages (cover to cover)

A1

Authored book meeting ERA requirements

- written solely by the author/s
- must be a substantial work of scholarship
- must have an ISBN
- published by organisations meeting the ERA definition of a commercial independent publisher
- be offered for sale in any form of: hard copies, CD-ROMs, e-books –on a subscription or fee basis.
- academics are the target audience

Books that may meet this criteria:

- critical scholarly texts (for example music, medieval or classical texts)
- new interpretations of historical events
- new ideas or perspectives based on established research findings

Books that are unlikely to meet this criteria:

- textbooks (possibly category A2)
- anthologies (possibly category A2 or category A4)
- edited books (category A4)
- creative works such as novels (category J)
- translations (category P)
- revision/new editions (category A3)
- reference work - manuals, handbooks (category D or category A4 if edited)

<p>A2</p>	<p>Authored book not ERA -eligible</p> <ul style="list-style-type: none"> • written solely by the author/s • must be a substantial work of scholarship • published by organisations which do not meet the ERA definition of a commercial independent publisher. This may include university departments, research institutions e.g. UN, UNESCO, OECD, WHO, vanity presses and privately funded companies or • where the intent does not meet the criteria of scholarly research for ERA e.g. textbooks <p>Books that may meet this criteria:</p> <ul style="list-style-type: none"> • research monographs published by university departments • textbooks (consisting mainly of new combinations of existing knowledge or updating of a body of established knowledge) aimed primarily at a university audience • books published by university departments, research institutions, privately funded companies and vanity presses • annotated anthologies • exhibition catalogues <p>Books that are unlikely to meet this criteria:</p> <ul style="list-style-type: none"> • creative works e.g. novels - depends on the imagination of the author (category J) • evaluative/investigative government department publications (category K) • university Working Papers, Technical Reports, Discussion Papers etc. (category K) • textbooks aimed at secondary, primary or pre-school students (category A5) • translations without scholarly interpretation or short/minor translations not involving the translation of an entire book (category P2) • translations of published books where the translator is also the author, or where the translator has also written critical scholarly text which accompanies the translation and is a major work of scholarship (possibly category A1 or category P1) • translated books that are not the 1st edition (category P5)
<p>A3</p>	<p>Authored book, revision or new edition</p> <ul style="list-style-type: none"> • A book previously published • a collection of previously published articles either by the current author or editor, or by previous author or editor • has been brought up-to-date by the substantial addition or alteration of material. <p>Books that are unlikely to meet this criteria:</p> <ul style="list-style-type: none"> • reprints that do not involve substantial addition or revisions (category A5) • revisions/new editions of creative published work (category J)

A4	<p>Edited book</p> <p>This category is for the editor/s of a book consisting of contributions from a number of authors. We require a PDF of entire book cover to cover if it is the 1st edition, all other editions only need the front matter to be uploaded to ARIES.</p> <p>Books that may meet this criteria:</p> <ul style="list-style-type: none"> • reference books • a monograph or • a short series of volumes consisting of contributions from a number of authors. <p>Books that are unlikely to meet this criteria:</p> <ul style="list-style-type: none"> • edited creative published works (category J) <p>Additional Evidence Required (Only if Editor is also claiming individual Book Chapters):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Documents: Only require PDF of Front pages not the whole book (Book Cover, Copyright details, Publisher details, Table of Contents, List of Contributors, Editor Information, and the Introduction/Preface/Foreword or Chapter 1 if there is no Introduction/Preface/Foreword)
A5	<p>Authored Book not meeting other criteria</p> <p>A published book which does not meet the criteria for other book categories</p> <ul style="list-style-type: none"> • Introduction/Conclusion/Preface/Foreword
A99	<p>Book imported from Scopus / other database</p> <p>RSD staff import publications from external databases into ARIES. Completion of the record is required. The A99 category is to be changed another A category once the record has been updated.</p>
ExtA1	<p>ERA authored book not researched at ANU</p> <p>Meets the requirements for ERA, except that the research by the author was done elsewhere.</p>
ExtA2	<p>Authored book, not ERA, not done at ANU</p> <p>Does not meet the requirements for ERA, and the research by the author was done elsewhere. For A3 and A5 that are external – please categorise as ExtA2.</p>
ExtA4	<p>Edited book not researched at ANU</p> <p>Book was edited while the author was not at ANU.</p>

BOOK CHAPTERS

B BOOK CHAPTERS

- A chapter which meets the criteria for ERA should be classified as B1.
- If a book chapter does not meet ERA requirements, enter the publication in ARIES as one of the other 'B' categories (B2 - B5). If the research underpinning the publication was not done at ANU enter the publication as an external 'B' category (ExtB1 - ExtB3).

Evidence Required:

- Publication Year
- Title of Chapter
- Author Affiliation
- Title of Book
- Page Numbers
- DOI (if provided)
- Peer-review
- Book Details (ISBN, Publisher, Edition, Volume etc.)
- Documents: PDF of chapter and front pages of book (Book Cover, Copyright details, Publisher details, Table of Contents, List of Contributors, Editor Information, and the Introduction/Preface/Foreword or Chapter 1 etc.)

B1

Chapter meeting ERA requirements

- written solely by the author/s
- must be a substantial work of scholarship
- must have an ISBN
- published by organisations which meet the ERA definition of a commercial independent publisher
- be in a book that is offered for sale in any form of: hard copies, CD-ROMs, e-books –on a subscription or fee basis.
- academics are the target audience

Book chapters that may meet this criteria:

- a scholarly introduction of chapter length to an edited volume, where the content of the introduction reports research and makes a substantial contribution to a defined area of knowledge
- a critical scholarly text of chapter length
- critical reviews of current research
- a new interpretation of historical events or
- a new idea or perspective based on established research findings.

Book chapters that are unlikely to meet this criteria:

- textbooks and entries in anthologies (category B2)
- reference book entry - encyclopaedia/dictionary/handbook/guide (category D)
- revisions of chapters in edited books (category B3)
- forewords, appendices, brief introductions, conclusions, editorials (category B5)
- creative works such as collections of short stories (category J4)
- translations without scholarly interpretations (category B5 or category P)

B2	<p>Chapter not eligible for ERA</p> <ul style="list-style-type: none"> written solely by the author/s published by organisations which do not satisfy the ERA definition of a commercial independent publisher. This may include university departments, research institutions e.g. UN, UNESCO, OECD, WHO, vanity presses and privately funded companies <p>Book chapters that may meet this criteria:</p> <ul style="list-style-type: none"> textbooks (consisting mainly of new combinations of existing knowledge or updating of a body of established knowledge to make it more readily accessible) aimed primarily at a university audience forewords, introductions, editorials (Possibly B5) works already published independently as journal articles or as conference proceedings entries in creative works such as collections of short stories, depending mainly upon the imagination of the author rather than upon a publicly accessible body of agreed fact (possibly category J) entries in evaluative and investigative government department publications entries in translations or in annotated anthologies (unless accompanied by a critical scholarly text which is a major work, they may be categorised as B1)
B3	<p>Revised book chapter</p> <p>Book chapters that may meet this criteria:</p> <ul style="list-style-type: none"> revisions of chapters in edited books
B5	<p>Published chapter not meeting other criteria</p> <p>A published chapter in a book which does not meet the criteria for other B categories.</p> <ul style="list-style-type: none"> Brief Introduction/Conclusion/Preface/Foreword/Appendices/Editorials
B99	<p>Book chapter imported from Scopus / other database</p> <p>RSD staff import publications from external databases into ARIES. Completion of the record is required. The B99 category is to be changed another B category once the record has been updated.</p>
ExtB1	<p>ERA chapter not researched at ANU</p> <p>Meets the requirements for ERA, except that the research by the author was done elsewhere.</p>
ExtB2	<p>Non ERA chapter not researched at ANU</p> <p>Does not meet the requirements for ERA and the research by the author was done elsewhere. For B5 that are external – please categorise as ExtB2.</p>
ExtB3	<p>Revised chapter not researched at ANU</p> <p>Revised chapter, research by the author was done elsewhere.</p>

JOURNAL ARTICLES

C JOURNAL ARTICLES

- An article which meets the criteria for ERA should be classified as C1.
- If a journal article does not meet ERA requirements enter the article in ARIES with one of the other 'C' categories (C2 - C5). If the research underpinning the publication was not done at ANU enter the publication as an external 'C' category (ExtC1 - ExtC4).

Evidence Required:

- Publication Year
- Title of Article
- Author Affiliation
- Title of Journal
- Volume
- Issue
- Page Numbers
- DOI
- Journal Details (ISSN, Referee status, Publisher etc.)
- Documents: PDF of Article

C1

Journal article meeting ERA requirements

- written solely by the author/s
- must be a substantial work of scholarship
- in a refereed scholarly journal which has an ISSN

Journal articles that may meet this criteria:

- commentaries and communications of original research
- research notes
- letters to journals, provided that the letter satisfies the definition of research
- critical scholarly texts which appear in article form
- articles reviewing multiple works or an entire field of research
- invited papers to journals
- articles in journals which are targeted to both scholars and professionals
- article in a stand-alone series

Journal articles that are unlikely to meet this criteria:

- letters to the editor (category C5)
- case studies (category C5)
- articles designed to inform practitioners on existing knowledge in a professional field (category C5)
- articles in newspapers and magazines (category N)
- editorials and book reviews (category C5)
- brief commentaries and communications of original research (category C5)
- reviews of art exhibitions, concerts, theatre productions (category C5)

C2	<p>Non-refereed article in scholarly journal</p> <ul style="list-style-type: none"> • non-refereed work of scholarship published in a scholarly or professional journal controlled by an editorial board <p>Journal articles that may meet this criteria:</p> <ul style="list-style-type: none"> • articles that are sets of guidelines or summaries of the state of knowledge in an area generally intended to inform practitioners in a professional field • medical case histories <p>Journal articles that are unlikely to meet this criteria:</p> <ul style="list-style-type: none"> • editorials (category C5) • letters to the editor (category C5) • book reviews (category C5) • non-scholarly, non-research articles (category C5) • articles in newspapers and popular magazines (category N) • translations (category P)
C3	<p>Refereed letter, note etc. in scholarly journal</p> <ul style="list-style-type: none"> • it is a refereed communication (including editorial commentary) and • it is published in a scholarly or professional journal controlled by an editorial board. <p>Journal articles that may meet this criteria include:</p> <ul style="list-style-type: none"> • a commentary or brief communication of original research not subject to peer review <p>Journal articles that are unlikely to meet this criteria:</p> <ul style="list-style-type: none"> • a non-scholarly, non-research article (possibly include it in category C5) • article in a newspaper or magazine (possibly include it in category N). • letters to the editor that are subject to peer review (unless eligible for category C1) • critical scholarly texts that are subject to peer review but are not substantial works of scholarship • contributions to journals that are peer reviewed if the journal has no ISSN • book reviews and review articles (category C5)
C4	<p>Editor of scholarly journal</p> <ul style="list-style-type: none"> • a journal is edited by members of staff in which one or more members of institutional staff are identified as having editorial responsibility for an ongoing series
C5	<p>Non-refereed short journal contribution</p> <p>A published journal article which does not meet the criteria for other C categories</p>

C99	<p>Journal article imported from Scopus / other database</p> <p>RSD staff import publications from external databases into ARIES. Completion of the record is required. The C99 category is to be changed another C category once the record has been updated.</p>
ExtC1	<p>ERA journal article not researched at ANU</p> <p>Meets the requirements for ERA, except that the research by the author was done elsewhere.</p>
ExtC2	<p>Journal article not ERA, not at ANU</p> <p>Does not meet the requirements for ERA and the research by the author was done elsewhere. For C3 and C5 that are external – please categorise as ExtC2.</p>
ExtC4	<p>Editor of journal, not done at ANU</p> <p>Journal was edited while the author was not at ANU.</p>

REFERENCE WORKS

D	<p>REFERENCE WORKS</p> <ul style="list-style-type: none"> • Items which meet all the criteria for ERA should be classified as A1 or B1. • Online entries that have their own DOI and Pages numbers do not require the front matter of the encyclopaedia if there is no print version. <p>Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Publication Year <input type="checkbox"/> Title of Entry <input type="checkbox"/> Author Affiliation <input type="checkbox"/> DOI <input type="checkbox"/> Page Numbers <input type="checkbox"/> Title of Reference Work <input type="checkbox"/> Book Details (ISBN, Publisher, Edition, Volume etc.) <input type="checkbox"/> Documents: PDF of Entry and front pages of the publication it appears in
D1	<p>Entry in prestigious reference work</p> <p>This category is used to claim for substantial research contributions to scholarly publications such as dictionaries, encyclopaedia, guidelines, manuals and handbooks. It is not necessary for the publisher to meet the ERA criteria of a commercial publisher.</p> <p>Reference works that may meet this criteria:</p> <ul style="list-style-type: none"> • a single author's contribution to an edited reference work • a series of contributions to different sections of an edited reference work by the same author/s • substantial revisions/additions to previously published reference works • bibliographies and annotated bibliographies <p>Reference works that are unlikely to meet this criteria:</p> <ul style="list-style-type: none"> • entire reference works written solely by the author/s (category A2) • editor/s reference work (category A4) • minor revisions/additions to previously published reference works
D2	<p>Entry in minor reference work</p> <p>Minor review or entry in an encyclopaedia, dictionary, manual or handbook</p>
ExtD1	<p>Entry in major work, not researched at ANU</p> <p>Research by the author not done at ANU.</p>
ExtD2	<p>Entry in reference work, not researched at ANU</p> <p>Research by the author not done at ANU.</p>

CONFERENCE PAPER

E	<p>CONFERENCE PAPERS</p> <ul style="list-style-type: none"> • A conference paper which meets the criteria for ERA should be classified as E1. • If a conference paper does not meet ERA requirements, you should enter it in ARIES with one of the other 'E' categories (E2 - E5). If the research underpinning the publication was not done at ANU enter the publication as an external 'E' category (ExtE1 - ExtE4). <p>Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Publication Year <input type="checkbox"/> Title of Conference Paper <input type="checkbox"/> Author Affiliation <input type="checkbox"/> Name of Conference <input type="checkbox"/> Page Numbers <input type="checkbox"/> Peer-review <input type="checkbox"/> DOI <input type="checkbox"/> Conference Details (ISBN, Editor, Edition, Publisher, Date of Conference etc.) <input type="checkbox"/> Documents: PDF of Conference Paper
E1	<p>Conference paper meeting ERA requirements</p> <ul style="list-style-type: none"> • written solely by the author/s • substantial work of scholarship • entire paper must be refereed and published • conference of national or international significance <p>Conference papers that are unlikely to meet this criteria:</p> <ul style="list-style-type: none"> • abstracts (category E3) • a handout (category E5) • a poster presentation (category E3)
E2	<p>Written version of conference presentations</p> <ul style="list-style-type: none"> • it is a written version of a conference presentation • it is a non-refereed/peer reviewed paper and • it was subsequently published <p>Conference papers that are unlikely to meet this criteria:</p> <ul style="list-style-type: none"> • papers presented at workshops, minor seminars and conferences not regarded as having national significance (category E5) • papers presented at conferences but not subsequently published (category E5) • abstracts (category E3)

E3	<p>Abstract or extract of paper</p> <ul style="list-style-type: none"> extracts or synopses of conference papers that will not subsequently be published <p>Conference papers that may meet this criteria:</p> <ul style="list-style-type: none"> poster papers abstracts
E4	<p>Edited conference proceedings</p> <ul style="list-style-type: none"> edited volume of conference proceedings in which one or more members of university staff are identified as having editorial responsibility for the proceedings <p>Conferences that are unlikely to meet this criteria:</p> <ul style="list-style-type: none"> edited volumes in which the university staff member is on the editorial advisory board but is not one of the listed editors of the volume (exclude completely)
E5	<p>Conference paper not meeting other criteria</p> <p>A conference publication does not meet the criteria for other E categories</p>
E99	<p>Conference paper from Scopus / other database</p> <p>RSD staff import publications from external databases into ARIES. Completion of the record is required. The E99 category is to be changed another E category once the record has been updated.</p>
ExtE1	<p>ERA Conference paper, not done at ANU</p> <p>Meets the requirements for ERA, except that the research by the author was done elsewhere.</p>
ExtE2	<p>Conference paper not ERA, not done at ANU</p> <p>Does not meet the requirements for ERA and the research by the author was done elsewhere. For E3 and E5 that are external – please categorise as ExtE2.</p>
ExtE4	<p>Edited conference proceedings, not at ANU</p> <p>Conference was edited while the author was not at ANU.</p>

OTHER CATEGORIES

G	<p>COMPUTER SOFTWARE Software – Computer Program</p> <p>Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Publication Year <input type="checkbox"/> Title of Software <input type="checkbox"/> Author Affiliation <input type="checkbox"/> Catalogue Number (if provided) <input type="checkbox"/> Version (if provided) <input type="checkbox"/> Distribution Medium <input type="checkbox"/> Commercial Distributor <input type="checkbox"/> Documents: URL/DOI to software on distributor’s page and PDF of software/program manual
G1	<p>Computer program, innovative, commercial</p> <ul style="list-style-type: none"> • innovative software products of commercial quality • offered for sale or distributed as shareware through a recognised publisher or distributor <p>Include:</p> <ul style="list-style-type: none"> • system software (low-level programs that interact with the computer at a very basic level such as operating systems, compilers and utilities for managing computer resources) • application software (software that performs a specific task or function such as word-processing, creation of spreadsheets, generation of graphics, facilitating email, etc.) • innovative software products designed for scholars • computer software versions other than the first version only if significantly improved <p>Exclude:</p> <ul style="list-style-type: none"> • multimedia products with limited human interactive ability (see category F) • creative multimedia productions (see category J)
G2	<p>Computer program, not commercial (including open source)</p> <ul style="list-style-type: none"> • innovative software products designed primarily for undergraduate and postgraduate university students • software designed primarily for secondary, primary or pre-school students
ExtG1	<p>Software not developed at ANU</p> <p>Work not done while the author was at ANU.</p> <ul style="list-style-type: none"> <input type="checkbox"/> In Notes Tab: Research conducted at (Institution’s Name) by (Author’s Name) prior to commencement at ANU.

	<p>I INVENTION</p> <p>General criteria:</p> <ul style="list-style-type: none"> • This category refers to full patents (or equivalent) on specific products or processes granted for the first time, either in Australia or overseas • The inventor being claimed must have been a staff member or student of the ANU when the research leading to the patent was carried out <p>Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Publication Year <input type="checkbox"/> Author Affiliation <input type="checkbox"/> Documents: PDF of Patent <input type="checkbox"/> No External Category available, Research by the author not done at ANU – In Notes Tab: Research conducted at (Institution’s Name) by (Author’s Name) prior to commencement at ANU
I2	<p>Granted Patent</p> <p>This category is used to claim for patents which must:</p> <ul style="list-style-type: none"> • be for a product or process for which a full patent (or its equivalent) has been granted • be granted for the first time in the nominated year • be either owned by the University, a commercial subsidiary, controlled entity or affiliated institution or the research leading to the patent must have been undertaken at the ANU • not include multiple rights for the same product or process • not include applications for which no determination has been made on patent rights <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Year Patent granted <input type="checkbox"/> Name of Invention <input type="checkbox"/> Patent number <input type="checkbox"/> Country of registration <input type="checkbox"/> Patent family <input type="checkbox"/> Registered owner
I5	<p>Provisional patent</p> <p>Application for a provisional patent for an invention.</p> <p>Include:</p> <ul style="list-style-type: none"> • Patent Applications <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Title of Patent <input type="checkbox"/> Date registered <input type="checkbox"/> Publication/Application number <input type="checkbox"/> Country application lodged

I6

Plant Breeder's Rights

Plant breeder's rights (PBRs) are proprietary rights held by breeders of new varieties of plants and fungi. These rights are legally enforceable and give exclusive commercial rights to market a new variety or its propagating material for the duration of the PBR.

PBRs are granted where a new variety of plant can be demonstrated:

- to be distinct from any other existing variety of common knowledge
- to be uniform and stable
- not to have been sold outside the allowable period
- to have a suitable name.

For ERA purposes, PBRs are those granted under the Plant Breeder's Rights Act 1994 (Cth) or their international equivalents, as listed in international PBR equivalents below:

- Countries or intergovernmental organisations listed as Members of the International Union for the Protection of New Varieties of Plants (UPOV), or assessed by IP Australia as having legislation compliant with the UPOV Convention.
- The Plant Patent and Utility Patent systems of the United States of America (as far as they apply to plant varieties).

PBRs are only eligible for inclusion in ERA when:

- the PBR was issued during the applied measures reference period
- the PBR is granted. Provisional PBR are not eligible
- the PBR was granted to an eligible researcher, institution, an institution-owned subsidiary, and/or a spinoff company associated with the institution
- the research behind the PBR meets the definition of research

Institutions must include income generated from eligible PBRs under research commercialisation income (4.6.2.4).

Institutions must submit PBRs issued in multiple jurisdictions separately for each country or type. Institutions must identify those PBRs that are essentially the same PBRs registered in more than one country using a family name created by the institution.

Where institutions submit individual PBRs that do not relate to any other submitted PBRs, the PBRs family name must be the same as the individual PBRs name.

Additional Evidence Required:

- PBR Family Name
- PBR Name
- PBR number
- Year Enforceable
- Country of Registration

<p>I7</p>	<p>Registered Design</p> <p>A right granted for new and distinctive designs. Once a registered design has been examined and certified, the owner has an exclusive right to use, license and/or sell the registered design, and to enforce it against an infringer. In this context design refers to features which, when applied to a product, render it unique in appearance. This may include shape, pattern or ornamentation.</p> <p>To be eligible, registered designs must have been granted in the applied measures reference period to an eligible researcher, the institution, an institution-owned subsidiary and/or a spinoff company that is associated with the institution.</p> <p>Institutions may submit registered designs where the research behind the registered design is clearly identifiable as meeting the definition of research. The ARC may request the submitting institution to justify this inclusion.</p> <p>Income generated from registered designs, either via licensing or otherwise, must be included in ERA under research commercialisation income (4.6.2.4) provided that the additional requirements pertaining to this measure are met.</p> <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Registered Design Name <input type="checkbox"/> Registration Date <input type="checkbox"/> Registered Design number <input type="checkbox"/> Registry Organisation
<p>I8</p>	<p>NHMRC Endorsed Guidelines</p> <p>Institutions can include guidelines endorsed by the National Health and Medical Research Council (NHMRC) in their submission. NHMRC endorsed guidelines include those on population health, clinical practice, and ethics. Such guidelines may be produced by groups external to the NHMRC, or else developed by NHMRC with the assistance of expert working groups.</p> <p>To be eligible for inclusion in ERA, NHMRC guidelines must:</p> <ul style="list-style-type: none"> • meet the definition of research (1.8) • be published by the NHMRC within the applied measures reference period • have one or more eligible researchers listed as an author and/or contributor (4.3.1). <p>NHMRC endorsed guidelines follow the eligible researcher(s) named on the guidelines. If the researcher was at one institution at the time of publication and at another at the staff census date (31 March 2017), only the latter institution can include the guidelines in their submission.</p> <p>Institutions can submit guidelines with multiple eligible authors from the one institution only once. Where authors are from different institutions, each institution can submit the guidelines.</p> <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Guideline Name <input type="checkbox"/> Date Published

J CREATIVE WORK: Non-Traditional Eligible Research Output Types (ERA only)

To be eligible, NTROs must have become available publicly during the ERA 2018 research output reference period. Institutions should refer to the ERA 2018 Discipline Matrix to establish which NTRO types are applicable to which discipline.

Institutions may submit a portfolio of items as a single NTRO. A portfolio contains items that alone do not represent research, but combined demonstrate coherent research content (4.4.9.7). In peer review disciplines, institutions must submit a 30 per cent sample of NTROs for peer review (3.6).

Sub-categories of Original Creative works are as follows:

- Original Creative Works;
- Live Performance of Creative Works;
- Recorded/Rendered Creative Works;
- Curated or Produced Substantial Public Exhibitions and Events;
- and Portfolio

Creative Work: Evidence Required (Documentation – Uploaded to ARIES)

- Visual documentation (Image/s of each individual Creative work)
- Audio-visual material (MP3/URL of each individual audio-visual Creative work)
- Support Material (Exhibition invitation/ticket/program, exhibition catalogue, reviews, gallery press release etc.)
- URL (links to gallery and/or exhibition website, artist’s personal website etc.)
- URL link to digital recording in ANU repository
- PDF of Research Statement (Background, Contribution, and Significance)

Evidence Required (for work not done at ANU):

- No External Category available, Research by the author not done at ANU –
In Notes Tab: Research conducted at (Institution’s Name) by (Author’s Name) prior to commencement at ANU

Creative works not ERA eligible (Category J _ n)

- Creative works that have no evidence of peer review (No Research Statement, and incorrect/missing evidence and/or support material)

CREATIVE WORK PORTFOLIO: (multiple works for ERA)

Original creative work portfolio

Original creative work portfolio
Collection of individual works meeting ERA Specifications

Evidence Required:

- Publication Year
- Portfolio Title
- Author Affiliation
- Portfolio number
- Individual works
- ERA Extent

CREATIVE WORKS: Original work

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

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

Institutions can use the exhibition of an original creative work to demonstrate that the work is publicly available, but can only claim each instance of such a research output once.

Institutions can submit exhibited creative works as either:

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

Evidence Required:

- Publication Year
- Title
- Author Affiliation
- Description of Work
- Portfolio name (Required for items that are part of a portfolio)
- Portfolio number (Required for items that are part of a portfolio)
- Publisher
- Place of Publication
- Supporting Documentation

CREATIVE WORKS: Original work

J1	<p>Visual art work ERA eligible</p> <p>A research output such as a fine arts and crafts work, diagram, map, photographic image, sculpture or installation which meets ERA specifications.</p> <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Title of Exhibition <input type="checkbox"/> Date work first exhibited <input type="checkbox"/> Name of exhibition curator <input type="checkbox"/> Venue, City and Country of Exhibition <input type="checkbox"/> Extent of work dimensions <input type="checkbox"/> Number of works or pieces <input type="checkbox"/> ERA Extent
J1n	<p>Visual art work not ERA eligible</p> <p>A research output such as a fine arts and crafts work, diagram, map, photographic image, sculpture or installation which does not meet ERA specifications.</p>

J2	<p>Design/architectural work ERA eligible</p> <p>A research output such as architectural or engineering design that is realised, constructed, fabricated or unrealised building and design projects which meets ERA specifications.</p> <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Number in accession register <input type="checkbox"/> Extent of work dimensions
J2n	<p>Design/architectural work not ERA eligible</p> <p>A research output such as architectural or engineering design which does not meet ERA specifications.</p>
J3	<p>Textual work ERA eligible</p> <p>A research output such as written creative work that is not eligible to be submitted as a book or journal article, such as a novel, collection of poems, short stories or art review which meets ERA specifications. Exhibition catalogues and catalogue entries may be submitted in this sub-category.</p> <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> ISBN or ISSN <input type="checkbox"/> Number of Pages
J3n	<p>Textual work not ERA eligible</p> <p>A research output such as a novel or collection of poems which does not meet ERA specifications.</p>
J4	<p>Other original creative work ERA eligible</p> <p>Other original creative works that do not fit the other research output types. For example, scholarly editions, scholarly translations and public policy reports may be submitted under this category, provided they meet the relevant eligibility criteria, including meeting the definition of research.</p> <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Extent of work: Length, no. of movements, acts etc
J4n	<p>Other original creative work not ERA eligible</p> <p>Other original creative works which do not meet ERA specifications.</p>

<p>CREATIVE WORKS: Live Performance</p> <p>For Live Performance of Creative Works, the actual public performance is what is claimed.</p> <p>For live performance of creative works, institutions claim the actual public performance for ERA peer review. A digital recording of the live performance, or part thereof, must be available via the institution's digital repository, in addition to the research statement for ERA peer review of NTROs.</p> <p>Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Publication Year <input type="checkbox"/> Publication Title <input type="checkbox"/> Author Affiliation <input type="checkbox"/> Venue, City and Country of Performance <input type="checkbox"/> Description of work <input type="checkbox"/> Extent of work - performance length, # performers <input type="checkbox"/> Portfolio name (Required for items that are part of a portfolio) <input type="checkbox"/> Portfolio number (Required for items that are part of a portfolio) <input type="checkbox"/> Publisher <input type="checkbox"/> Place of Publication <input type="checkbox"/> ERA Extent 	
<p>CREATIVE WORKS: Live Performance</p>	
<p>J5</p>	<p>Music ERA eligible</p> <p>New work or a demonstrably new or innovative interpretation or production of an existing work which meets ERA specifications.</p> <p>Include:</p> <ul style="list-style-type: none"> • Live Orchestra/Choir/Opera Performances <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Date of Premiere <input type="checkbox"/> Type of Work
<p>J5n</p>	<p>Music not ERA eligible</p> <p>Work or a demonstrably new or innovative interpretation or production of an existing work which does not meet ERA specifications.</p>
<p>J6</p>	<p>Play ERA eligible</p> <p>New work or a demonstrably new or innovative interpretation or production of an existing work which meets ERA Specifications.</p> <p>Include:</p> <ul style="list-style-type: none"> • Musical or Theatre Performance <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Date first performed

J6n	<p>Play not ERA eligible</p> <p>Work or a demonstrably new or innovative interpretation or production of an existing work which does not meet ERA Specifications.</p>
J7	<p>Dance ERA eligible</p> <p>New work or a demonstrably new or innovative interpretation or production of an existing work which meets ERA Specifications.</p> <p>Additional Evidence Required:</p> <p><input type="checkbox"/> Date first performed</p>
J7n	<p>Dance not ERA eligible</p> <p>Work or a demonstrably new or innovative interpretation or production of an existing work which meets ERA Specifications.</p>
J8	<p>Other performance ERA eligible</p> <p>Other Live Performance of Creative Works not listed above. New work or demonstrably new or innovative interpretation or production of an existing work meeting ERA Specifications.</p> <p>Additional Evidence Required:</p> <p><input type="checkbox"/> Date first performed</p>
J8n	<p>Other performance ERA eligible</p> <p>Other live performance not meeting ERA Specifications.</p>

CREATIVE WORKS: Recorded or Rendered work

For Recorded/Rendered Creative Works, the research component is contained within the recording/rendering. Simple documentations of live performances of creative works without a research component are not eligible for submission. However, institutions may submit the documentation as supporting material under live performance of creative works. A digital version of the recorded/rendered creative work, in addition to the research statement for ERA peer review of NTRs, must be available via the institutionally supported repository (6.3).

For Documentaries, non-creative work and the News (See Category F)

Evidence Required:

- Publication Year
- Publication Title
- Author Affiliation
- Description of Work
- Date of Recording/Release
- Catalogue number
- Duration in Minutes
- Portfolio name (Required for items that are part of a portfolio)
- Portfolio number (Required for items that are part of a portfolio)
- Publisher
- Place of Publication
- ERA Extent

CREATIVE WORKS: Recorded or Rendered work

J9	<p>Film, video ERA eligible</p> <p>Film or video meeting ERA Specifications.</p> <p>Include:</p> <ul style="list-style-type: none"> • Creative film or video <p>Exclude:</p> <ul style="list-style-type: none"> • Film and videos that are documentaries or non-creative (See Category F)
J9n	<p>Film, video not ERA eligible</p> <p>Film or video not meeting ERA Specifications.</p>
J10	<p>Recorded performance ERA eligible</p> <p>Recorded performance (in music, dance, theatre, etc.) that have been created specifically for a recorded medium meeting ERA Specifications.</p>
J10n	<p>Recorded performance ERA eligible</p> <p>Recorded performance (in music, dance, theatre, etc.) that have been created specifically for a recorded medium not meeting ERA Specifications.</p>

<p>J11</p>	<p>Inter-arts ERA eligible</p> <p>Recorded/rendered creative works, often experimental, produced in association with other researchers in other disciplinary fields meeting ERA Specifications.</p> <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Extent of work
<p>J11n</p>	<p>Inter-arts not ERA eligible</p> <p>Recorded/rendered creative works, often experimental, produced in association with other researchers in other disciplinary fields not meeting ERA Specifications.</p>
<hr/>	
<p>J12</p>	<p>Digital creative work ERA eligible</p> <p>Digital creative works, including creative 3D models, including digital outputs of architectural and design projects, computer programs, games and visual artworks meeting ERA Specifications.</p> <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Distribution Medium <input type="checkbox"/> Extent of work
<p>J12n</p>	<p>Digital creative work not ERA eligible</p> <p>Digital creative works, including creative 3D models, including digital outputs of architectural and design projects, computer programs, games and visual artworks not meeting ERA Specifications.</p>
<hr/>	
<p>J13</p>	<p>Website/Web exhibition ERA eligible</p> <p>Recorded/rendered creative works meeting ERA Specifications. These are eligible as recorded/rendered creative works if the eligible researcher is the creator of the creative works featured in the website. Curated web based exhibitions of the creative work of others must be submitted as Curated or Produced Substantial Public Exhibitions and Events.</p> <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Website URL
<p>J13n</p>	<p>Website/Web exhibition not ERA eligible</p> <p>Recorded/rendered creative works not meeting ERA Specifications.</p>
<hr/>	
<p>J14</p>	<p>Other recorded or rendered work ERA eligible</p> <p>Other recorded or rendered work meeting ERA Specifications.</p>
<p>J14n</p>	<p>Other recorded or rendered work not ERA eligible</p> <p>Other recorded or rendered work not meeting ERA Specifications.</p>

CREATIVE WORKS: Curated exhibition or event

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

Where a curator is an eligible researcher, the curator may claim exhibitions, festivals and other events as research outputs. Artists may claim exhibitions of their original creative works under the original creative works research output type, where the exhibition of the creative works is used as evidence that those works are publicly available.

Institutions cannot count multiple exhibitions/events as multiple research outputs where the repeated exhibitions/events do not introduce a new research component to the work. For example, institutions can only count a touring exhibition once. Institutions may count multiple exhibitions/events where each subsequent exhibition/event introduces a new research component to the work that builds upon the initial research component of the original exhibition/event.

Institutions may submit recurring exhibitions and events. For example, the Biennale of Sydney is a recurring event with each occurrence being unique rather than a repeat of the previous occurrence.

Evidence Required:

- Publication Year
- Title
- Author Affiliation
- Description
- Extent of Work
- Portfolio name (Required for items that are part of a portfolio)
- Portfolio number (Required for items that are part of a portfolio)
- Publisher
- Place of Publication

CREATIVE WORKS: Curated exhibition or event

J15

Web-based exhibition ERA eligible

The curation and/or production of an internet website presenting a collection of creative works where the internet is the medium of the exhibited works meeting ERA Specifications.

Additional Evidence Required:

- Type of Work
- URL of Exhibition
- Date website launched

J15n

Web-based exhibition not ERA eligible

The curation and/or production of an internet website presenting a collection of creative works where the internet is the medium not meeting ERA Specifications.

J16	<p>Exhibition or event ERA eligible</p> <p>The curation and/or production of a collection of creative works exhibited together for the first time, in that particular arrangement, in a recognised gallery, museum, or event meeting ERA Specifications. This should be accompanied by a well-researched publication that includes the date and location of the exhibition.</p> <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Venue, City and Country of Exhibition <input type="checkbox"/> Date exhibition opened <input type="checkbox"/> Number of Works in Exhibition
J16n	<p>Exhibition or event not ERA eligible</p> <p>The curation and/or production of a collection of creative works exhibited together for the first time, in that particular arrangement, in a recognised gallery, museum, or event not meeting ERA Specifications.</p>
J17	<p>Festival ERA eligible</p> <p>The curation of a festival bringing together innovative work or existing works in an innovative format or through a theme that provides new perspectives and/or experiences. Organisation of a festival meeting ERA Specifications.</p> <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Venue, City and Country of Festival <input type="checkbox"/> Date Festival Commenced
J17n	<p>Festival ERA eligible</p> <p>The curation of a festival bringing together innovative work or existing works in an innovative format or through a theme that provides new perspectives and/or experiences. Organisation of a festival not meeting ERA Specifications.</p>
J18	<p>Other curated event ERA eligible</p> <p>Curated or substantial public exhibitions and events that do not fit into the above sub-categories of the Curated or Produced Substantial Public Exhibitions and Events research output type meeting ERA Specifications.</p>
J18n	<p>Other curated event not ERA eligible</p> <p>Curated or substantial public exhibitions and events that do not fit into the above sub-categories of the Curated or Produced Substantial Public Exhibitions and Events research output type not meeting ERA Specifications.</p>

K REPORTS

A research report for an external body is a written research output commissioned or solicited by an external body such as a government department or private company. Reports/working papers must be non-confidential.

Exclude:

- confidential reports (exclude completely)
- unpublished reports (exclude completely)

Evidence Required:

- Publication Year
- Report Title
- Author Affiliation
- Organisation commissioning report
- Publisher
- Place of publication
- DOI/URL
- Page Range
- ISBN or ISSN
- Documents: PDF of Report

K1

Reports, working & discussion papers published

This category is used to claim for major reports that are widely available in the public domain.

K1a: Public Sector Report ERA Eligible –

Research report undertaken for an Australian, state, territory, local, foreign or international government body or organisation.

K1b: Industry Report ERA Eligible –

Research report undertaken for a company, industry organisation, industry peak body, or an employer/employee association.

K1c: Not for Profit Report ERA Eligible –

Research report undertaken for a body or organisation operating in the not-for-profit sector.

K1d: Other Report ERA Eligible –

A research report undertaken for an organisation not covered by the above sub-categories.

Include:

- major evaluative and investigative government department reports
- reviews of existing practices

Exclude:

- reports that are only available internally (possibly category K2)
- confidential reports (exclude completely)
- unpublished reports and submissions (exclude completely)
- a chapter or section of a major report (possibly category B2, if substantial)

K2	<p>Minor reports available internally</p> <p>This category is used to claim for minor reports/working papers that are only available internally (to other ANU departments).</p> <p>Include:</p> <ul style="list-style-type: none"> • university department reports/working papers that are not disseminated widely outside the university including reports used to complement internal department seminars <p>Exclude:</p> <ul style="list-style-type: none"> • confidential reports/working papers (exclude completely) • unpublished reports/working papers (exclude completely) • a chapter or section of a minor report working papers (exclude completely) • in briefs (see category N)
K99	<p>Report imported from Scopus / other database</p> <p>RSD staff import publications from external databases into ARIES. Completion of the record is required. The K99 category is to be changed another K category once the record has been updated.</p>
ExtK1	<p>Report, not researched at ANU - Report where work was not done at ANU</p> <p>ExtK1a: Public Sector Report ERA Eligible – Research report undertaken for an Australian, state, territory, local, foreign or international government body or organisation.</p> <p>ExtK1b: Industry Report ERA Eligible – Research report undertaken for a company, industry organisation, industry peak body, or an employer/employee association.</p> <p>ExtK1c: Not for Profit Report ERA Eligible – Research report undertaken for a body or organisation operating in the not-for-profit sector.</p> <p>ExtK1d: Other Report ERA Eligible – A research report undertaken for an organisation not covered by the above sub-categories.</p> <p>Evidence Required (for work not done at ANU):</p> <ul style="list-style-type: none"> • In Notes Tab: Research conducted at (Institution’s Name) by (Author’s Name) prior to commencement at ANU

<p>P TRANSLATIONS</p> <p>Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Publication Year <input type="checkbox"/> Publication Title <input type="checkbox"/> Author Affiliation <input type="checkbox"/> Original Language <input type="checkbox"/> Language of translated work <input type="checkbox"/> Documents: PDF of translation <input type="checkbox"/> No External Category available, Research by the author not done at ANU – In Notes Tab: Research conducted at (Institution’s Name) by (Author’s Name) prior to commencement at ANU 	
<p>P1</p>	<p>Translation, substantial critical commentary</p> <ul style="list-style-type: none"> • translation with substantial critical commentary which is not ERA eligible • must be a substantial work of scholarship • may be published by organisations which do not satisfy the ERA definition of a commercial independent publisher. This may include university departments, research institutions e.g. UN, UNESCO, OECD, WHO, vanity presses and privately funded companies <p>Exclude:</p> <ul style="list-style-type: none"> • translations with minimal or no scholarly interpretation (category P2) • short/minor translations not involving the translation of an entire book (category P5) • translations of published books where the translator is also the author • translations where the translator has also written critical scholarly text which accompanies the translation and is a major work of scholarship in its own right (possibly category A1 or category A2) • translated books that are not the 1st edition (category P5)
<p>P2</p>	<p>Translation with minimal critical commentary</p> <ul style="list-style-type: none"> • translation of a book with minimal critical commentary • must be a substantial work of scholarship • may be published by organisations which do not satisfy the ERA definition of a commercial independent publisher. This may include university departments, research institutions, vanity presses
<p>P5</p>	<p>Translation not meeting other criteria</p> <p>A published, publicly available translation that does not meet the criteria of the other P categories</p> <ul style="list-style-type: none"> • translation of a complex website into a second language

OTHER CATEGORIES		
Legal case	L1	<p>Legal case</p> <p>Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Publication Year <input type="checkbox"/> Title of Case <input type="checkbox"/> Author Affiliation <input type="checkbox"/> Court hearing the case <input type="checkbox"/> City and Country <input type="checkbox"/> Documents: case brief <input type="checkbox"/> No External Category available, Research by the author not done at ANU – In Notes Tab: Research conducted at (Institution’s Name) by (Author’s Name) prior to commencement at ANU
Map	M1	<p>Map</p> <p>Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Publication Year <input type="checkbox"/> Title of Map <input type="checkbox"/> Author Affiliation <input type="checkbox"/> Name of publication in which map appeared <input type="checkbox"/> City and Country of publication <input type="checkbox"/> Date of publication <input type="checkbox"/> Documents: PDF of Map and Publication Evidence <input type="checkbox"/> No External Category available, Research by the author not done at ANU – In Notes Tab: Research conducted at (Institution’s Name) by (Author’s Name) prior to commencement at ANU
Thesis	T1	<p>Thesis</p> <p>Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Publication Year <input type="checkbox"/> Title of Thesis <input type="checkbox"/> Author Affiliation <input type="checkbox"/> Date Thesis Submitted <input type="checkbox"/> Date thesis approved by Academic Board <input type="checkbox"/> Total Number of Pages <input type="checkbox"/> Documents: PDF of Thesis <input type="checkbox"/> No External Category available, Research by the author not done at ANU – In Notes Tab: Research conducted at (Institution’s Name) by (Author’s Name) prior to commencement at ANU

OTHER CATEGORIES		
Audio visual material	F1	<p>Audio visual: documentary or non-creative work</p> <p>This category is for Documentaries and non-creative work.</p> <ul style="list-style-type: none"> • For creative multimedia productions (See Category J) <p>Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Publication Year <input type="checkbox"/> Title of audiovisual recording <input type="checkbox"/> Author Affiliation <input type="checkbox"/> Catalogue Number (if provided) <input type="checkbox"/> Commercial Distributor <input type="checkbox"/> Date of Recording/Release <input type="checkbox"/> Format/Type of A/V <input type="checkbox"/> Series Title/Name of Series (if part of a series) <input type="checkbox"/> Documents: Upload the audio visual material (URL Link to publication on the distributor/publisher page) and/or upload a PDF of the documentation that goes with the audio visual material (e.g. DVD = PDF/JPEG of DVD Cover etc.) <input type="checkbox"/> No External Category available, Research by the author not done at ANU – In Notes Tab: Research conducted at (Institution’s Name) by (Author’s Name) prior to commencement at ANU <p>Include:</p> <ul style="list-style-type: none"> • Podcast • CD and DVD • Webinar • Video • Film • Radio Documentary • News • Interviews <ul style="list-style-type: none"> – Only if the interview is focused solely on the ANU member/s current project or new research. –or if the ANU author is the interviewer/reporter. <p>Exclude:</p> <ul style="list-style-type: none"> • creative multimedia productions (See Category J) • Creative Film/Video (Category J9) • Creative Recorded Performance (Category J10) • Radio/TV Interviews and News, where an ANU author is there as an expert to make a statement/comment/opinion on the current topic etc. or is only mentioned, however is not a speaker in the audio-visual material and is not an author of the publication (exclude completely)

OTHER CATEGORIES		
Newspaper or magazine article	N1	<p>Newspaper or magazine article</p> <p>This category is for Newspapers, Magazine articles and News articles.</p> <p>Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Publication Year <input type="checkbox"/> Title of Article <input type="checkbox"/> Author Affiliation <input type="checkbox"/> Title of newspaper or magazine - (publisher/distributor) <input type="checkbox"/> Issue (online, if publication is published online only) <input type="checkbox"/> Date of Publication <input type="checkbox"/> City and Country of Publication <input type="checkbox"/> Pages numbers (online, if publication is published online only) <input type="checkbox"/> DOI/URL <input type="checkbox"/> Documents: PDF of Article and URL link to publication <input type="checkbox"/> No External Category available, Research by the author not done at ANU – In Notes Tab: Research conducted at (Institution’s Name) by (Author’s Name) prior to commencement at ANU <p>Include:</p> <ul style="list-style-type: none"> • Newspapers • Magazines • Forums/Blogs that have evidence of research and references • ‘In Briefs’ <p>Exclude:</p> <ul style="list-style-type: none"> • Articles that are not written by an ANU author • Articles that the ANU author is mentioned in, but is not the author of the publication <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Blogs will require a research statement from the author <input type="checkbox"/> Most articles under this category do not have an author affiliation included in the publication <p style="text-align: center;">And</p> <ul style="list-style-type: none"> <input type="checkbox"/> Some articles do not even have an author’s name on the publication <p>Therefore, evidence of author affiliation is required for the publication to be claimed.</p>

OTHER CATEGORIES		
Other Research output not elsewhere defined	O1	<p>Other Research output not elsewhere defined</p> <p>This category is for publications not defined elsewhere. In ARIES for the publication title, please put the publication type followed by the title (e.g. ESSAY - Playing Beatie Bow)</p> <ul style="list-style-type: none"> • Biographies published in a reference work (See Category D) • News related Blogs (See Category N) • Book Reviews and Newsletters that are published in a Journal (See Category C) <p>Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Publication Year <input type="checkbox"/> Publication Title <input type="checkbox"/> Author Affiliation <input type="checkbox"/> Commissioned by <input type="checkbox"/> DOI/URL <input type="checkbox"/> City and Country of publication <input type="checkbox"/> Documents: PDF of Publication and necessary support material <input type="checkbox"/> No External Category available, Research by the author not done at ANU – In Notes Tab: Research conducted at (Institution’s Name) by (Author’s Name) prior to commencement at ANU <p>Include:</p> <ul style="list-style-type: none"> • Biographies • Forums, Discussions, Debates, Blogs • Book Reviews • Briefings • Cabinet Records • Commission Appearances, Standing Committee • Essays • Flyers, Pamphlets, Fact Sheets • Guides • Newsletters • Occasional Papers • Overviews • Presentations, Seminars (Require evidence) • Proposals • Websites <p>Exclude:</p> <ul style="list-style-type: none"> • Unpublished work (exclude completely) • Interviews where an ANU author is mentioned, however did not write the article (exclude completely) <p>Additional Evidence Required:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Require a research statement from the author

Summary of Publication Categories

Category	Publication	ERA
A1	Authored book meeting ERA requirements	*
A2	Authored book not ERA -eligible	
A3	Authored book, revision or new edition	
A4	Edited book	
A5	Authored book not meeting other criteria	
A99	Book imported from Scopus / other Database	
ExtA1	ERA authored book not researched at ANU	*
ExtA2	Authored book, not ERA, not done at ANU	
ExtA4	Edited book not researched at ANU	
B1	Chapter meeting ERA requirements	*
B2	Chapter not eligible for ERA	
B3	Revised book chapter	
B5	Published chapter not meeting other criteria	
B99	Chapter imported from Scopus / other Database	
ExtB1	ERA chapter not researched at ANU	*
ExtB2	Non ERA chapter not researched at ANU	
ExtB3	Revised chapter not researched at ANU	
C1	Journal article meeting ERA requirements	*
C2	Non refereed article in scholarly journal	
C3	Letter, note etc. in scholarly journal	
C4	Editor of scholarly journal	
C5	Non-refereed short journal contribution	
C99	Article imported from Scopus / other Database	
ExtC1	ERA journal article not researched at ANU	*
ExtC2	Journal article not ERA, not at ANU	
ExtC4	Editor of journal, not done at ANU	
D1	Entry in prestigious reference work	
D2	Entry in minor reference work	
ExtD1	Entry in major work, not researched at ANU	
ExtD2	Entry in ref work, not researched at ANU	
E1	Conference paper meeting ERA requirements	*
E2	Written version of conference presentation	
E3	Abstract or extract of paper	
E4	Edited conference proceedings	
E5	Conference paper not meeting other criteria	
E99	Conference paper created from Scopus upload	
ExtE1	ERA Conference paper, not done at ANU	*
ExtE2	Conference paper not ERA, not done at ANU	
ExtE4	Edited conference proceedings, not at ANU	
F1	Audio visual: documentary or non-creative work	
G1	Computer program, innovative, commercial	
G2	Computer program, not commercial	
ExtG1	Computer program not developed at ANU	
I2	Granted Patent	*
I5	Provisional patent	
I6	Plant Breeder's Rights	*
I7	Registered design	*
I8	NHMRC endorsed guidelines	*

J1	Visual art work ERA eligible	*
J1n	Visual art work not ERA eligible	
J2	Design/architectural work ERA eligible	*
J2n	Design/architectural work not ERA eligible	
J3	Textual work ERA eligible	*
J3n	Textual work not ERA eligible	
J4	Other original creative work ERA eligible	*
J4n	Other original creative work not ERA eligible	
J5	Music ERA eligible	*
J5n	Music not ERA eligible	
J6	Play ERA eligible	*
J6n	Play not ERA eligible	
J7	Dance ERA eligible	*
J7n	Dance not ERA eligible	
J8	Other performance ERA eligible	*
J8n	Other performance not ERA eligible	
J9	Film, video ERA eligible	*
J9n	Film, video not ERA eligible	
J10	Recorded Performance ERA eligible	*
J10n	Recorded Performance not ERA eligible	
J11	Inter-arts ERA eligible	*
J11n	Inter-arts not ERA eligible	
J12	Digital creative work ERA eligible	*
J12n	Digital creative work not ERA eligible	
J13	Website/Web exhibition ERA eligible	*
J13n	Website/Web exhibition not ERA eligible	
J14	Other recorded or rendered work ERA eligible	*
J14n	Other recorded or rendered work not ERA eligible	
J15	Web-based exhibition ERA eligible	*
J15n	Web-based exhibition not ERA eligible	
J16	Exhibition or Event ERA eligible	*
J16n	Exhibition or Event not ERA eligible	
J17	Festival ERA eligible	*
J17n	Festival not ERA eligible	
J18	Other curated event ERA eligible	*
J18n	Other curated event not ERA eligible	
-	Original creative work portfolio	*
K1a	Public Sector Report ERA Eligible	*
K1b	Industry Report ERA Eligible	*
K1c	Not for Profit Report ERA Eligible	*
K1d	Other Report ERA Eligible	*
ExtK1a	Public Sector Report Not Researched at ANU	*
ExtK1b	Industry Report Not Researched at ANU	*
ExtK1c	Not for Profit Report Not Researched at ANU	*
ExtK1d	Other Report Not Researched at ANU	*
K2	Minor reports available internally	
K99	Report imported from Scopus / other Database	
L1	Legal case	
M1	Map	
N1	Newspaper / magazine article	

O1	Other Research output not elsewhere defined	
P1	Translation, substantial critical commentary	
P2	Translation with minimal critical commentary	
P5	Translation not meeting other criteria	
T1	Thesis	

APPENDIX

Blogs

Blogs/Forums are not currently classified as research by the Australian Research Council (ARC) and therefore should not be added into our current research management system. If an author believes that the material they have published on a blog site is **'original research'** according to the ARC's definition, it can be entered as a Non-Traditional Research Output (NTRO) if accompanied by a suitable research statement.

NTRO Peer Review

There are four main avenues for peer review:

- Print or electronic critical or scholarly essays, articles, reviews, conference papers, etc, acknowledging the output and written by peers
- Recognition through short-listing, prizes, awards, or honours, reviewed and judged by a panel of peers
- Commissioning through a peer review process
- Competitively funded grant schemes

Research Statement

Research statements need to address the following categories:

Research background

- Field
 - Context
 - Research aim
- What is the work?
 - Overview of the field/context in which the work operates
 - What is the research aim? What supports/reinforces the research

Research contribution

- Innovation
- New knowledge

Research contribution needs to be demonstrated either by evidence of the advancement or extension of knowledge or by innovation.

New Knowledge

The creation of works that advance or extend knowledge within and/or beyond a relevant field of research (rather than solely extending the knowledge of the individual researcher). The output has enhanced, or is likely to enhance, knowledge, thinking, understanding, and/or practice in the relevant field. The work has developed new ideas or new data, and/or initiated new methods and forms of expression. The output demonstrates intellectual precision and/or systematic method and/or formal integrity.

Innovation

Work exhibiting a high degree of originality, challenging conventions.

Research significance

- Evidence of excellence
- Peer review

Research significance needs to be demonstrated either by evidence of research excellence or by peer review.

Evidence of Excellence

The formal quality of assurance processes associated with the publication of traditional research outputs, like the involvement of recognised commercial book publishers, are frequently unavailable for non-traditional research outputs. To ensure that only quality non-traditional research outputs are reported, various other indicators of research excellence are used.

Evidence of Peer Review

Peer review and peer impact are more difficult to measure for NTROs, in part because of the multivalent structure of many of the disciplined fields, where academic, public service, and commercial sectors interact and merge imperceptibly. Moreover, peer review can occur both before and after the work is made publically available.

Creative Work Portfolio

Portfolio Number

In ARIES, for the portfolio number please put the ERA submission year, followed by the school initials, author initials, then the portfolio number pertaining to the author.

Example:

School Initials: SA (School of Art) or SM (School of Music)

Author Initials: JS (John Smith)

Portfolio Number pertaining to the author: 1st portfolio = 01,
 2nd portfolio = 02,
 3rd portfolio = 03,
 4th portfolio = 04 and so on

Portfolio Number = SA.JS.01

Creative Work Portfolio

Individual Works

In Aries, there is one way of entering individual works for a portfolio.

This is by creating separate entries in ARIES per individual work and link to portfolio by portfolio number and ARIES System Pub ID#.

Individual Works: 3 (3 = Total number of Individuals works)
 u1029610xPUB323; u1029610xPUB132; u1029610xPUB332 (Pub ID#)