University of New England's Non-Traditional Research Outputs (NTROs) Guidelines

Contents

Revision History

Version	Author	Approved	Issue Date	Changes
Draft V 0.1	Eleanor Colla, Kim Harris, Kristal Spreadborough	Allison Brown	20190730	Original draft.
Draft V 0.2	Eleanor Colla, Kim Harris, Kristal Spreadborough	Allison Brown	20191010	Post academic and professional staff input.
Draft V 0.3	Eleanor Colla, Kim Harris, Kristal Spreadborough	Library Leadership Team	20191120	Post more academic and professional staff input.

Table of internal and external documents

Internal Documents	External Documents
	Example research statement http://thinkspace.csu.edu.au/mabbot12/research-statement/research-statement-example/

1   Forward

These guidelines are particularly concerned with Non-Traditional Research Outputs (NTROs) that are eligible for Excellence in Research for Australia (ERA) reporting. They are provided for UNE researchers wishing to submit their NTROs to RUNE.

These guidelines are to be read, where applicable, in conjunction with:

- University of New England's Guidelines to indexing publications in Research UNE for the Excellence in Research for Australia https://www.une.edu.au/library/home/UNEGuidelinesERA; and
- University of New England's Repository Guidelines https://www.une.edu.au/library/home/UNEGuidelinesRUNE.

2   NTROs and NTRO Portfolios

A NTRO is a creative work, curated or produced event/exhibition, external report, or portfolio arising from a creator's/curator's research that is often not documented via a conventional publication format. These outputs constitute research as defined by the Australian Research Council (ARC) (ERA Submission Guidelines 2018, Section 1.8). These NTRO Guidelines are a summary of NTRO eligibility requirements for ERA, as well as a summary of the review process for NTROs.

Eligible NTROs must have been published during the relevant ERA reference period. For a NTRO to be defined as published it must be made publicly available, either through a commercial publisher or in an alternative format.

NTROs fall under the following categories:

- Original Creative Works;

- Live Performance of Creative Works;

- Recorded/Rendered Creative Works;

- Curated or Produced Substantial Public Exhibitions and Events;

- Research Reports for an External Body; and

- Portfolios.

A portfolio of items may be submitted as a single NTRO. A portfolio consists of multiple outputs from the same underlying research endeavour. These outputs may collectively meet the

definition of research, even if they do not fulfil the criteria individually. As with individual NTROs, all items in the portfolio must fall within the ERA reference period.

3 Eligibility for ERA

In general, each unique NTRO or NTRO portfolio counts as one research output. To be eligible for ERA, all NTROs must meet UNE's definition of Research. UNE takes its definition of Research from the ARC, who defines Research as "the creation of new knowledge and/or the use of existing knowledge in a new and creative way to generate new concepts, methodologies, inventions and understandings. This could include the synthesis and analysis of previous research to the extent that it is new and creative" (ERA Submission Guidelines 2018, Section 1.8, https://www.arc.gov.au/file/3781/download?token=Wq9o-CbM). Pure and strategic research, applied research, and experimental development are all considered to be included in this definition of research. This is in line with the Organisation for Economic Co-operation and Development (OECD) definition which states that research and experimental development (R&D) is "creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge" (OECD, 2015, Frascati Manual: Guidelines for Collecting and Reporting Data on Research and Experimental Development, p. 28, Paris, https://dx.doi.org/10.1787/9789264239012-en).

Each NTRO category has its own set of requirements that must be met to qualify for ERA reporting. Supporting documentation attached to the record should provide evidence of how the output meets these requirements. For all NTRO categories, evidence of the research output must be documented and captured electronically. For more information on the requirements for each category see Appendix A in this document. This documentation and set of requirements are used by the Faculties to conduct their NTRO review process.

NTROs are subject to the same eligibility requirements that apply to Traditional Research Outputs (TRO). As part of ERA 2018 preparations, each NTRO was reviewed and assigned a Research Quality Standard rating. These ratings are used to determine which works will be included in the University's ERA submission. The Research Quality Standard ratings are as follows:

- A: Research quality that is world-leading in terms of originality, significance and rigour;

- B: Research quality that is recognised internationally in terms of originality, significance and rigour;

- C: Research quality that is recognised nationally in terms of originality, significance and rigour; and

- N: No evidence of research quality, or a weakly articulated research statement.

Disciplines assessed by citation analysis (i.e. those that are not assessed by peer review) can only claim outputs from the NTRO category Research Reports for an External Body.

4   Supporting Documentation

All NTROs submitted to RUNE must be accompanied by a research statement in accordance with ERA requirements (ERA Submission Guidelines 2018, 4.4.9.1 & Appendix F). Each research statement should not exceed 2000 characters (including spaces), cannot include embedded hyperlinks, and must include the following information on the NTRO's:

- Research background, including: field, context and research question;

- Research contribution, including: innovation and new knowledge; and

- Research significance, including: evidence of excellence.

Here is **an example** of a research statement.
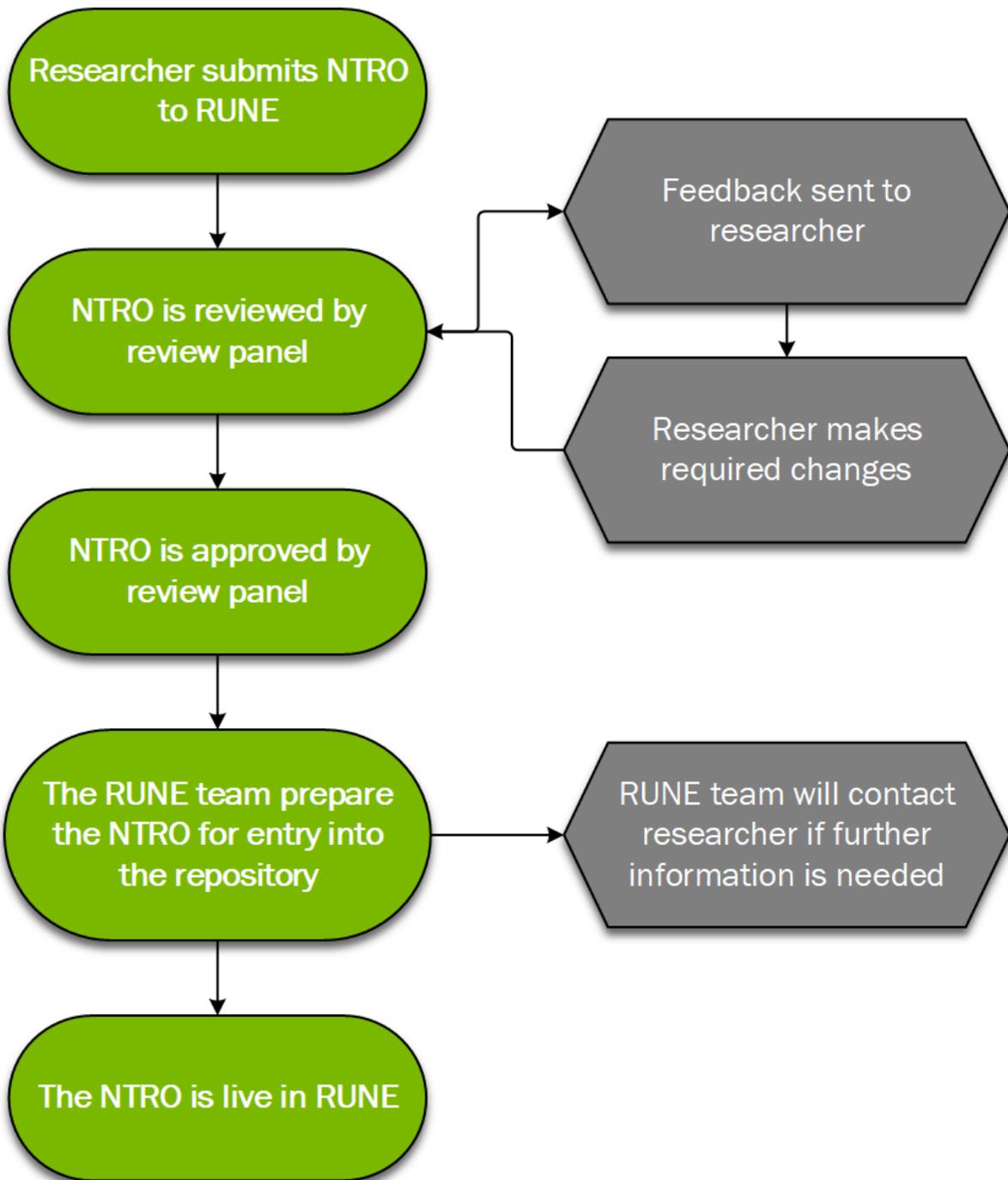
Digital documentation of the NTRO must also be available for the research output to be eligible for ERA.

ERA peer reviewers and evaluation committees assess the quality of NTROs in the context of the research component as identified in the output's Research Statement. Any NTRO that does not meet the definition of research stipulated by the ARC will be excluded from ERA assessment.

5   UNE's NTRO Review Process

The following flow chart demonstrates the NTRO review process from the submission stage to the record being approved for entry into RUNE. NTROs, like TROs, must be submitted to RUNE to be eligible for ERA reporting.

```
┌──────────────────────┐
│ Researcher submits    │
│ NTRO to RUNE          │
└──────────────────────┘
           │
           ▼
┌──────────────────────┐         ┌──────────────────────┐
│ NTRO is reviewed by   │────────▶│ Feedback sent to      │
│ review panel          │         │ researcher            │
└──────────────────────┘         └──────────────────────┘
           │       ▲                         │
           │       │                         ▼
           │       │              ┌──────────────────────┐
           │       └──────────────│ Researcher makes      │
           │                      │ required changes      │
           ▼                      └──────────────────────┘
┌──────────────────────┐
│ NTRO is approved by   │
│ review panel          │
└──────────────────────┘
           │
           ▼
┌──────────────────────┐         ┌──────────────────────┐
│ The RUNE team prepare │────────▶│ RUNE team will contact│
│ the NTRO for entry    │         │ researcher if further │
│ into the repository   │         │ information is needed │
└──────────────────────┘         └──────────────────────┘
           │
           ▼
┌──────────────────────┐
│ The NTRO is live in   │
│ RUNE                  │
└──────────────────────┘
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6 NTRO Categories

6.1 Original Creative Works

For this NTRO category the eligible researcher is the creator of the work, rather than a curator or supervisor. Exhibited creative works can be submitted as a single output or as a portfolio of works created by the individual researcher. For more information on ERA specific requirements for original creative works see Appendix A in this document.

→ Visual art work

A research output such as a fine arts and crafts work, diagram, map, photographic image, sculpture, or installation.

→ Design/ Architectural work

Realised, constructed, fabricated or unrealised building and design projects.

→ Textual (Written) work

Written creative works that are not eligible to be submitted as TROs e.g. novels, art reviews, scholarly editions, scholarly translations, exhibition catalogues, catalogue entries, notated musical work and published scores.

→ Other

Other original creative works that are not Live Performances of Creative Works, Recorded/Rendered Creative Works, Curated or Produced Substantial Public Exhibitions and Events, or Research Reports for an External Body.

6.2 Live Performance of Creative Works

For this NTRO category the actual public performance is what is being claimed. For more information on ERA specific requirements for live performances of creative works see Appendix A in this document.

→ Music

→ Play

→ Dance

→ Other live performances of creative works that are not music, a play or dance.

These works must be new or demonstrate a new or innovative interpretation or production of an existing work.

6.3   Recorded/Rendered Creative Works

For this NTRO category the research component is contained within the recording/rendering. Recorded/rendered creative works that are not available digitally and that do not have a research component are not eligible for submission. For more information on ERA specific requirements for recorded/rendered creative works see Appendix A in this document.

→ Audio/Visual Recording

Research outputs presented in an audio-visual format, such as films, documentaries or audio-visual presentations.

→ Performance

Performances (in music, dance, theatre, etc.) that have been created specifically for a recorded medium.

→ Inter-arts

Recorded/rendered creative works, often experimental, produced in association with other researchers in other disciplinary fields.

→ Digital creative work

Digital creative works, including creative 3D models, digital outputs of architectural and design projects, computer programs, games and visual artworks.

→ Website/Web based exhibition

These are eligible as recorded/rendered creative works if the eligible researcher is the creator of the creative works featured 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.

→ Other

Other recorded/rendered creative works not listed above.

6.4   Curated or Produced Substantial Public Exhibitions and Events

This NTRO category is specifically aimed at research outputs created by producers and curators, rather than artists. Where a producer or curator is an eligible researcher, they may claim exhibitions, festivals and other public events as research outputs under this category. Institutions may count multiple exhibitions/events provided that each subsequent exhibition/event introduces a new research component to the work that builds upon the initial research component of the original exhibition/event. For more information on ERA specific requirements for curated or produced substantial public exhibitions and events see Appendix A in this document.

$\rightarrow$ Web based exhibition

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

$\rightarrow$ Exhibition/Event

The curation and/or production of a collection of creative works exhibited together for the first time, in that particular arrangement, in a gallery, museum, or event recognised by peers in the discipline. This should be accompanied by a well-researched publication, such as a catalogue created by the curator of the exhibition, which includes the date and location of the exhibition.

$\rightarrow$ Festival

The curation of a festival bringing together innovative work, or existing works in an innovative format or through a theme that provides new perspectives and/or experiences.

$\rightarrow$ Other

Curated or substantial public exhibitions and events that do not fit into the above sub-categories.

6.5 Research Reports for an External Body

These are defined as 'a written research output commissioned or solicited by an external body such as a government department or private company' (ERA Submission Guidelines 2018, 4.4.9.6). To be eligible, the report must:

- Meet the ARC's definition of research;
- Not be eligible to be submitted as a traditional research output; and
- Have been published or made publicly available during the ERA reference period.

$\rightarrow$ Public Sector

A research report that has been undertaken for an Australian, state, territory, local, foreign or international government body or organisation.

$\rightarrow$ Industry

A research report that has been undertaken for a company, industry organisation, industry peak body, or an employer/employee association.

$\rightarrow$ Not-For-Profit

A research report that has been undertaken for a body or organisation operating in the not-for-profit sector.

→ Other

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

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

- Submissions to public inquiries and consultations, including government or parliamentary inquiries;

- Policy blogs or online commentaries/articles; and

- Briefing notes.

In some cases, the above items may be eligible as part of a portfolio. Institutions must only submit items that are publicly available.

Appendix A - ERA Requirements for NTRO Categories

Original Creative Works

General Requirements	Additional Requirements			
	Visual Art Work	**Design/Architectural Work**	**Textual Work**	**Other**
Publication year	Title of exhibition	Number in accession register	ISBN or ISSN	Extent of work/length/number of movements or acts etc.
Title	Date work first exhibited	Extent of work dimensions	Number of pages	
Author affiliation	Name of exhibition curator			
Description of work	Venue, city and country of exhibition			
Portfolio name (if part of a portfolio)	Extent of work dimensions			
Portfolio number (if part of a portfolio)	Number of works of pieces			
Publisher	Extent			
Place of publication				
Supporting documentation				

Live Performance of Creative Works

General Requirements	Additional Requirements			
	Music	Play	Dance	Other
Publication year	Date of premiere	Date first performed	Date first performed	Date first performed
Title	Type of work			
Author affiliation				
Venue, city and country of Performance				
Description of work				
Extent of work- performance length, number of performers				
Portfolio name (if part of a portfolio)				
Portfolio number (if part of a portfolio)				
Publisher				
Place of publication				
Extent				

Recorded/Rendered Creative Works

General Requirements	Additional Requirements					
	Audio/Visual Recording	**Performance**	**Inter-arts**	**Digital Creative Work**	**Website/Web-based Exhibition**	**Other**
Publication year			Extent of work	Distribution medium	Website URL	
Title				Extent of work		
Author affiliation						
Description of work						
Date of recording/release						
Catalogue number						
Duration in minutes						
Portfolio name (if part of a portfolio)						
Portfolio number (if part of a portfolio)						
Publisher						
Place of publication						
Extent						

Curated or Produced Substantial Public Exhibitions and Events

General Requirements	Additional Requirements			
	Web-based Exhibition	**Exhibition/Event**	**Festival**	**Other**
Publication year	Type of work	Venue, city and country of exhibition	Venue, city and country of festival	
Title	URL of exhibition	Date exhibition opened	Date festival commenced	
Author affiliation	Date website launched	Number of works in exhibition		
Description				
Extent of work				
Portfolio name (if part of a portfolio)				
Portfolio number (if part of a portfolio)				
Publisher				
Place of publication				