



Charles Sturt
University

Charles Sturt University Research Productivity Index (RPI) Guide

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Version/Amendment Control

Version Number	Date	Version/Amendment Description	Requested/Approved By	Actioned
V1.0	01/07/2020	Initial RPI Guide	Requested by ADR, Mark Morrison; Approved by Academic Senate	
V1.1	21/08/2023	Draft RPI Guide – incorporate RPI Sub-committee prototype feedback [unpublished]	Amendments requested by RPI Sub-committee;	Karen Sinclair; Lynne Creasy
V1.2	22/8/2023	Draft RPI Guide – incorporate RPI Sub-committee prototype feedback [unpublished]	Amendments requested by RPI Sub-committee;	Karen Sinclair; Lynne Creasy
V1.3	30/8/2023	Draft RPI Guide – major document restructure [unpublished]	Karen Sinclair	Karen Sinclair; Lynne Creasy Helen Stephens, Dale Curran, Lauren Ware
V1.4	08/12/2023	Draft RPI Guide – feedback from RPI Advisory Panel and DPC	Karen Sinclair	Karen Sinclair Helen Stephens, Dale Curran, Lauren Ware
V2.0	08/02/2024	Revised RPI Guide for URC review	Modifications to inform development of new tool. Endorsed by URC with minor changes 23/02/24	Karen Sinclair, Helen Stephens
V3.0	20/09/2024	Amendments to RPI Guide V2 – as approved by URC: 1. A2 Creative Works and A2.2.1 Outlet and reach levels.	Requested by Creative Works Assessment Panel; endorsed by RPI Advisory Panel.	Lynne Creasy, Dale Curran, Lauren Ware
	11/04/2025	2. B2 Research Engagement.	Requested and endorsed by RPI Advisory Panel.	
	06/06/2025	Minor administrative amendment: CRO Support information update.	Requested by Library Services, approved by PVCR(PG).	
	01/07/2025	Minor administrative amendment: Creative works research statements	Requested by Creative Works Assessment Panel; approved by PVCR(PG).	

1. Introduction

The Research Productivity Index (RPI) was developed as a measure that could identify research performance across a number of domains, including research impact and engagement, as well as drive research productivity and quality, and enhance research performance culture within Charles Sturt University.

The RPI Tool was designed with a number of goals, including:

- Visualising individual and organisational unit measures for research performance
- Improving the University's research culture through encouraging collaboration, team building and mentoring
- Encouraging multi-disciplinary research, where appropriate
- Improving the quality of research outputs and impacts
- Supporting the University's research strategy

There are two key purposes to the RPI - identifying research active for *Eligible for Principal Supervision of Higher Degree by Research Candidates* and evaluating *Minimum Research Performance Expectation* by academic level. Research activities recorded through CRO (Pure) and Research Master provide the data for calculating Category A and Category B points.

Category A activities (research outputs, creative works, grant income and commissioned reports) are the basis for both purposes. Category A points are used to (1) provide evidence for one of the criteria for *Eligible for Principal Supervision of Higher Degree by Research Candidates* and (2) contribute to research performance monitoring and benchmarking for academics A – E.

Category B activities (supervision, engagement, impact, collaboration and mentoring) can contribute towards Minimum Research Performance Expectation goals.

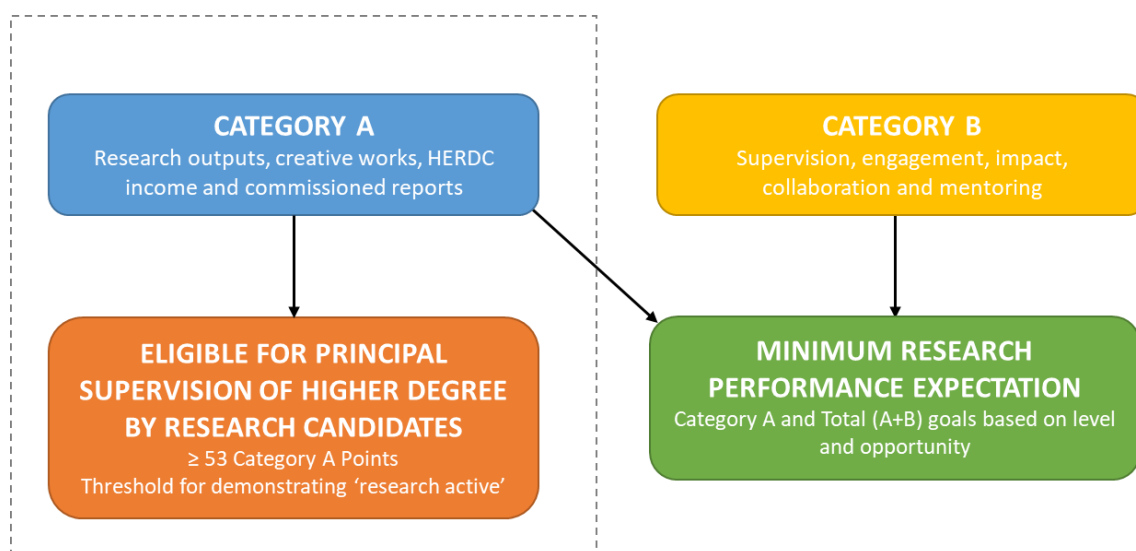


Figure 1. The RPI Prototype was implemented in late 2020 and included Category A and *Eligible for Principal Supervision of Higher Degree by Research Candidates* (formerly “Research Active”). The full RPI Tool will add Category B and Minimum Research Performance Expectation in 2024.

2. Guiding Principles for the Development of the Research Productivity Index

The following **guiding principles** were developed by the RPI Sub-Committee based on information collected in the 2018 staff survey and insights gained from the benchmarking study ([details of the study are available in Appendix D](#)).

1. Develop a clear and transparent tool to define and measure research performance that can be reported on a yearly basis and across a defined time period.
2. Measures of research performance activity are diverse and flexible enough to be applied across disciplines.
3. Use an online system to capture a broad range of research performance activity and outcomes, including engagement and impact, where simple and efficient processes for data capture and verification are implemented.
4. Research performance activity and outcomes includes qualitative and quantitative measures of engagement, and specific quantitative measures of impact.
5. Individual expectations for research performance recognises type of academic appointment and opportunity, equitably addressing circumstances which impact on research performance including fractional appointments, extended periods of leave, early career or commencing researchers, secondments or other relevant circumstances.
6. Incorporate a realistic reference period which takes into account research and publication lifecycles.
7. Expectations for minimum research performance will be differentiated according to academic levels A-E using a combination of qualitative (including quality-based) and quantitative assessments. Information on research productivity by academic level should be reported each year based on the data received, to assist with assessing academic performance.
8. Expectations will be benchmarked against comparable universities, recognising Charles Sturt University's differential allocation of time for research.
9. The tool used to assess research performance will encourage collaboration, particularly multidisciplinary collaboration.
10. Establish a tool intended to be an information source to reliably inform *inter alia*:
 - a) providing evidence of research impact and engagement;
 - b) research activity necessary for HDR supervision (defined as '*Eligible for Principal Supervision of Higher Degree by Research Candidates*'); and
 - c) performance management.

3. RPI Reference Period and Points

RPI points are aggregated across a four-year calendar year reference period, which is rolled over every July/August. The timing of the rollover is due to the availability of various data, including the HERDC research income data and external journal ranking lists.

At the rollover, the first year of the reference period is dropped and the next, more recent year is picked up. For example, at the rollover in July/August 2024, the reference period will move from 2019-2022 to 2020-2023, i.e. 2019 will be dropped and 2023 picked up.

When a calendar year drops out of the RPI reference period, so will the associated points for those outcomes or activities. For example, points awarded in 2019 will not be counted when the reference period rolls into 2020-2023.

The RPI allocates points across a wide range of research activities. This allows flexibility in the types of research activities that can be recognised. There is no expectation for an academic to earn points for all types of research activity.

The RPI contains two categories: Category A and Category B:

- Category A includes publications, creative works, grants (HERDC eligible income) and commissioned reports.
- Category B includes supervision of higher degrees by research completions, engagement, impact, collaboration, and leadership and mentoring.

Category A Points have been separated from Category B for two key reasons:

- Evaluating Category A activities (publications, creative works and research income) provides evidence for the [Higher Education Standards Framework \(Threshold Standards\) 2021, \(refer 4.2.3 Research Training\)](#) requirement that principal supervisors are *“active in research or publishing in, or otherwise making original contributions to, a relevant field or discipline,”*
- Category A activities align with the types of data reported for the Excellence in Research Australia assessments to date.

4. Principal Supervision of Higher Degree by Research Candidates

The TEQSA Higher Education Standards Framework (Threshold Standards) 2021, requires that each higher degree research student has a “principal supervisor who holds a doctoral degree, or has equivalent research experience, and who is active in research and publishing in, or otherwise making original contributions to, a relevant field or discipline.”¹

These TEQSA requirements are reflected in the criteria used to register supervisors on the Charles Sturt University Supervisors Register, held by the Office of Research Services and Graduate Studies.

Eligible for Principal Supervision of Higher Degree by Research Candidates (formerly known as “Research Active”) indicates whether a staff member has achieved an RPI score of 53 or more Category A points. The requirement of a minimum of 53 RPI points relates to Category A research outputs/grant income within the current four-year reference period. Meeting this threshold demonstrates activity “in research and publishing in, or otherwise making original contributions to, a relevant field or discipline.”

Staff without a research allocation will still receive RPI points and may be recognised as *Eligible for Principal Supervision of Higher Degree by Research Candidates*.

The RPI tool uses a *Doctoral Qualification* to indicate whether a staff member has completed a doctoral degree. This information is provided by the Division of People and Culture (DPC).

Career interruptions and determination of *Eligible for Principal Supervision of Higher Degree by Research Candidates*

The time period used for the calculation of *Eligible for Principal Supervision of Higher Degree by Research Candidates* reflects the current reference period. However, this may be adjusted where there are eligible career interruptions for consecutive periods, between 6 and 24 months.

Evidence for career interruptions must be provided with the start and end dates specified. Career interruptions for personal leave, maternity and parental leave are typically approved. Interruptions for any other reason will be considered on a case-by-case basis.

The adjustment to the time period will involve moving back the starting point of the reference period by the length of the approved career interruption. An adjustment will be for a single period that is a minimum of 6 months in duration (unless otherwise approved). Adjustments to the time period for the calculation of *Eligible for Principal Supervision of Higher Degree by Research Candidates* will be approved by the [Director, Research Services](#).

Once the adjustment is approved, the new period is determined, RPI points are recalculated manually, and the staff member will be advised whether they meet the *Eligible for Principal Supervision of Higher Degree by Research Candidates* threshold of 53 or more Category A points.

Please note that the RPI tool resets the *Eligible for Principal Supervision* status at the annual rollover in July/August. If an adjustment is still required in the new reference period, a new request must be submitted by the researcher.

¹ Higher Education Standards Framework (Threshold Standards) 2021, 4.2 Research Training, 3a.

5. Opportunity Weighting and Minimum Research Performance Expectations

Opportunity Weighting

A research workload is allocated for the academic year and is intended that it be appropriately balanced across semesters, so that staff conduct research all year round and not just during a single session.

Staff with a standard Charles Sturt University research allocation (as outlined in the Enterprise Agreement) will receive an opportunity weighting of 1.0, which means that there is no adjustment to their minimum research performance expectations ([see Table 1](#)).

The standard research allocation for each applicable year, within the opportunity weighting calculation, will be adjusted to align with the Enterprise Agreement.

Staff without a research allocation (for example, teaching and professional staff, adjuncts) will still receive RPI points, but will have their opportunity weighting set to zero, and are not subject to *minimum research performance expectations*.

Staff who take approved extended leave (> 6 months) within a calendar year will have their opportunity weighting for the year reduced to zero.

Staff who are allocated more or less than the standard allocations of time for research will have their opportunity weightings adjusted accordingly ([see examples in Appendix A](#)).

Staff undertaking Higher Degrees by Research

Staff who are undertaking Higher Degrees by Research and are supported through the Charles Sturt University Workload Support Scheme will have their opportunity weighting adjusted for each semester the higher degree is undertaken. That is, if a staff member is supported for one semester, their opportunity weighting will be halved for that year; if they are supported for the whole year, their opportunity weighting is reduced to 0, for that year. The adjustment will provide a corresponding reduction in RPI minimum expectations for each year of HDR study, provided satisfactory progress² has been achieved.

Calculating opportunity weighting

The opportunity weighting is equal to the sum of a staff member's full-time equivalent research fraction in each of the years during the reference period, divided by a standard full-time equivalent research workload across the reference period.

The opportunity weighting is then applied to the minimum research performance expectations (MRPE; [see MRPE section below](#)).

What this means in practice is:

- Where staff have received the standard research allocation (as per the staff agreement), for each year during the reference period, their opportunity weighting will equal one and their MRPE will correspond to the points in Table 1.
- If a staff member receives a higher than standard research allocation across the reference period their opportunity weighting will be more than one, and their MRPE will be higher than the points in Table 1.
- If a staff member receives a lower than a standard research allocation their opportunity weighting will be less than one and their MRPE will be lower than the points in Table 1.

Where there have been variations to a standard research allocation in a specific year during the reference period, the percentage of time allocated to research will be determined based on 1% of research time equalling 17.25 hours of annual workload.

Examples of the calculation and application of opportunity weightings are shown in [Appendix A](#).

² "Satisfactory progress is made toward completion, relative to the agreed goals set by the Principal Supervisor and Head of School/Director, evidenced in part through the HDR Annual Progress Reports". See: [Academic Staff Higher Degree by Research Workload Support Scheme Guidelines](#)

How information on research workload will be collected

Information on research workload will be taken from the Academic Workload Manager program. This information will be used to calculate the opportunity weighting for each staff member.

Staff not identified in the Academic Workload Manager may have their details (FTE, research allocation and leave taken) submitted directly to RPI team via their Head of School, Centre/Institute Director.

Minimum Research Performance Expectations

The RPI contains two categories of points: [Category A](#) and [Category B](#).

Category A includes publications, creative works, grants (HERDC eligible income) and commissioned reports.

Category B includes activities such as higher degrees by research (HDR) completions, engagement, impact, collaboration, and leadership and mentoring.

Academic staff are expected to achieve minimum expectations for both Category A and for the total points achieved. Total Points at each level can be earned through any combination of Category A and Category B points. There are no minimum requirements for Category B.

The expectations in Table 1 are for staff who have received a standard research loading (as per the Enterprise Agreement) over the full reference period. For staff whose research allocation varies from the standard or have fractional appointments, the minimum research expectations will be adjusted accordingly through their [opportunity weighting](#).

The differential minimum performance expectations by level have been benchmarked both [across the sector, and against similar universities](#), and allow for the standard Charles Sturt University research allocation.

Table 1. Minimum Research Performance Expectations *over the four-year reference period* by academic level.

	Minimum Total Points	Minimum Category A Points
Level A	53	27
Level B	80	53
Level C	133	80
Level D	213	120
Level E	293	160

Please note that the RPI score is a key input into the Employee Development and Review Scheme (EDRS) when assessing satisfactory staff research performance. Consistent with existing processes, contextual factors, including data lag, will be considered when interpreting RPI scores during EDRS.

6. Category A Points

A1. Publications

Points for publications will not be divided by the number of researchers, except where there are 20 or more authors involved in a publication, in which case authors will receive 40% of the standard points awarded. Publication data are sourced from CRO (Pure) as entered by researchers and verified by the Research Office.

Publication Type	Points
Q1 journal article	30
Q2 journal article	20
Q3 or Q4 journal article	10
Unranked journal article (included in Charles Sturt Journal Ranking List)	5
Quality books (excluding edited books – see B5.7)	150
Standard books (excluding edited books – see B5.7)	100
Book chapter in a Quality edited book	30
Book chapter in a Standard edited book	20
Conference (peer reviewed, full conference papers):	
<u>Computing and IT disciplines</u>	
A* ranked	30
A ranked	15
B ranked	10
Other; Maximum 2 conference papers per year; points for 2019-2021 papers only	5
<u>All other disciplines</u>	
Maximum 2 conference papers per year; points for 2019-2021 papers only	5

Note: the ratings for books are currently under review to create a scale more equivalent to journals.

Journal articles

The Charles Sturt Journal Quartile Rankings are generated each year. Previously appearing as separate, yearly lists, the RPI tool will merge these into a single journal list with all years, journals and rankings included.

Journal quality (Q1, Q2, Q3/Q4 and unranked) will be determined through the following steps:

Journal list

Journals listed on the 2018 ERA Journal List were the foundation of the first journal list. Journals on the 2023 ERA list with a SCIMAGO Q1 or Q2 ranking have been added. Approved recommended journals have also been added. The future of ERA, at time of publication of this RPI Guide, is unknown. This process may require adaptation.

Journals on the Charles Sturt Journal Quartile Ranking list for previous years are included.

Rankings

Rankings are sourced from multiple datasets: SCIMAGO, ABDC, APSA, CORE and discipline lists, such as Theology. The most recent datasets will be downloaded from each of these sources prior to the RPI rollover, each year. The rankings relate to the journals published in the year prior. For example, SCIMAGO released their 2022 journal rankings in April/May 2023.

These datasets will be inserted into the RPI, and rankings applied to journals on the journal list. Rankings determined in previous years do not change.

Charles Sturt Journal Quartile Ranking List

The year is added to the Charles Sturt Journal Quartile Rankings list. It encompasses the journal list and each of the dataset rankings for a journal (on the list) published in the year prior. Ranking is achieved by identifying the highest rank across all datasets, for each journal.

Adding recommended journals

Staff can make recommendations for new and quality journals to be included using the Journal Recommendation form on the RPI webpage.

Journal recommendations will be forwarded to the Associate Dean Research (ADR) of a staff members' Faculty for review, with final approval to be given by the Pro-Vice Chancellor Research (Performance and Governance) (PVC(RPG)). The staff member will be advised of the outcome, and approved journals will be included on the journal list.

Journal discipline lists will be forwarded to the Associate Dean Research (ADR) of the discipline's Faculty for review, with final approval to be given by the Pro-Vice Chancellor Research (Performance and Governance). The recommending staff will be advised of the outcome, and the discipline list will be included as a dataset.

Where there is a disagreement, the list will be reviewed by the RPI Advisory Panel.

Recommended journals with a Q1 or Q2 SCIMAGO ranking will be automatically added to the journal list.

Recommended journals are added across all years that a rank can be determined.

Rankings for recommended journals are sourced from the same datasets and relate to the journal's rank in the year it was published, or as recommended by the ADR and PVC(RPG).

Books and book chapters

The Charles Sturt list of Publishers is a single, ongoing list. Staff may submit a Publisher Recommendation form to add a publisher or revise the ranking.

A publisher recommendation will be forwarded to the Associate Dean Research (ADR) of a staff members' Faculty for review, with final approval to be given by the Pro-Vice Chancellor Research (Performance and Governance). The staff member will be advised of the outcome, and an approved publisher will be included on the publisher list. A publisher will be given a Standard or Quality ranking.

Entries in CRO (Pure) reference publishers, which are uniquely identified with a CRO ID. A publisher's CRO ID is cross referenced to the Charles Sturt list of Publishers. If identified on the publisher list, the rank will be Standard or Quality. If a publisher's CRO ID is not identified on the Charles Sturt list of Publishers, then it is ranked "Not on Publishers list".

The Charles Sturt list of Publishers used in the RPI tool will be made available via the [RPI website](#).

Conferences

[Computing and IT disciplines points for peer-reviewed full conference papers](#) will be based on CORE ranking lists. The number of conference papers in Computing and IT will not be capped, apart from those ranked as "other" where the limit will be two conferences.

Other discipline conferences are included for 2019, 2020 and 2021 only. Peer-reviewed full conference papers attract 5 RPI points each, with a maximum of two per year.

Conference papers which are then written up and published as eligible journal articles or book chapters will attract the appropriate RPI publication points. Journal and book chapter points may replace conference points and will depend upon the quality of the conference paper versus the quality of the publication. Determination will be based on whichever is the greater number of RPI points.

A2. Creative Works

Scope of Work	Points
Major	70
Substantial	15
Minor	3
Outlet and reach	Points
Major	30
Substantial	11
Minor	2

Creative works are assessed by a specialist panel bi-annually and are awarded index points for both scope and outlet/reach. For creative works to generate index points they must meet the [ARC definition of research](#) through attaining each of the following elements:

1. The work must meet the [eligibility criteria](#).
2. Be recorded in CRO in an eligible creative works category, including:
 - a. an original creative work;
 - b. a live performance of a creative work or creative works;
 - c. recorded/rendered creative works;
 - d. curated or produced substantial public exhibitions and events; or
 - e. portfolio of creative output.
3. Be publicly available through, for example, exhibition, performance or publication;
4. Have demonstrable reach – the work must have an audience or readership;
5. Be submitted with a Creative Works Research Statement;
6. Include evidence of peer review – all creative works must have been commissioned, competitively selected, or be able to otherwise provide evidence of external peer review;
7. The claimant must be the author/creator/curator of the research.

The following are examples of types of outputs generally not considered creative works:

- Podcasts when the content is not creative (that is, interview format). Radio plays and other forms of creative productions may be eligible if determined by the Creative Works Assessment Panel.
- Recorded versions of speeches, presentations, conference abstracts that are simply recorded versions (that is, not creative content).
- Websites that do not have a curatorial component.
- Resources developed for educational purposes.

The research statement is a critical document for an output's research contribution to be explained and understood by internal and external reviewers. Each subcategory of Creative Works has its own research statement template. When a Creative Work research output is added to CRO, a Data Quality Team member will email the submitting staff member with a research statement to complete. Alternatively, a research statement can be obtained by emailing researchoutputs@csu.edu.au.

Points for outputs can only be claimed once unless new research components have been introduced to the work, which will need to be explained in the Creative Works Research Statement. Additional points cannot be claimed for repeat performances across time or across locations, apart from points awarded under reach.

Some projects may generate a number of outputs with a common research question, such as a group art exhibition in which the curator's own work is included. Creative works that are part of the same research project and/or are made publicly available through the same outlet should be assessed as a portfolio to prevent the duplication of points awarded for Outlet and Reach. At the discretion of the Creative Works Assessment Panel, outputs may be considered individually if their research statement sufficiently outlines the unique contribution the creative work makes to the larger research program and field of research in which it is located.

Creative works must have a demonstrable research context/background and level of creative involvement aimed at creating new knowledge to be eligible. This requirement should be addressed through the research statement, under "Research background". Outputs that draw on an academic's professional knowledge, technical skills and/or experience but do not have an original research component are best described as professional practice or public engagement and are unlikely to be accepted by the panel as creative works.

Creative works published as academic journal articles cannot also be submitted as creative works, unless new research components have been introduced to the work, which will need to be explained in the Creative Works Research Statement.

Recommendations to the PVC(R)(PG) regarding the final determination of index points allocated to a creative work will be made by the Creative Works Assessment Panel. Below is a guide for allocating index points to creative works. Index points are allocated for each section and then totalled (see above in this section).

A2.1 Scope of work

Creative works are categorised as either major, substantial, or minor as outlined below.

A2.1.1 Major creative work

Characteristics of a major creative work include:

- Major output.
- Accredited or acknowledged sole, lead or major role in the production of a major output or body of work.
- The published output exhibits more than one of the following attributes:
 - a high degree of complexity and/or sophistication in structure, scope or scale;
 - novel or highly innovative concepts, methodologies, approaches, repertoire, interrelationships;
 - a high degree of cultural significance;
 - a high degree of influence on peers in the field.

Includes works such as individual exhibitions, a feature film/ documentary, a musical or theatrical production, individual performances, architecture and design, novels, books of poetry, anthologies and web-based exhibitions. May also include major creative works developed through multidisciplinary collaboration which combine skill and research.

A2.1.2 Substantial creative work

A substantial creative work will have the following characteristics:

- Be very similar to a major work but typically the extent, duration and scope of the work is likely to be smaller;
- Accredited or acknowledged sole, lead or significant role in the production of a substantial output or body of work;
- The publicly available output exhibits at least one of the following attributes:
 - a moderate degree of complexity and /or sophistication in structure or scale;
 - the synthesis or extension of existing concepts, methodologies, approaches, repertoire and/or artistic or intellectual inter-relationships;
 - a moderate degree of cultural significance;
 - a moderate degree of influence on peers in the field.

A2.1.3 Minor creative work

A minor work is normally a research output of lesser scope that still makes a contribution to the field. Includes works such as individual artworks, photo essays, photo books, artist books, creative prose work, catalogue essays, short stories, poems, a segment of a musical or theatrical production, or participation in an exhibition or performance. May also include minor creative works developed through multidisciplinary collaboration which combine skill and research, such as group performances and group exhibitions.

A2.2 Outlet and reach

Creative works attract index points depending on the level of peer review they were subject to, as determined by the venue, publisher or outlet they were produced for ([see section above for points](#)).

A2.2.1 Outlet and reach levels

Major: Works that have one or more of the following characteristics:

- Works that have been commissioned, or funded by a distinguished public or private body or selected through a competitive process and made publicly available through exhibition, quality publishers or outlets of national or international standing, including:
 - Events, exhibitions, concerts, productions, competitions, or festivals;
 - Academic, commercial or not-for-profit institutions; or
 - Commercial presses, galleries, museums, theatres, broadcasters, film distributors, record labels, or public spaces.
- Acquisition by a public or private collection that is subject to national or international peer review.
- Recognition of work by inclusion in a school or university curriculum.
- Invitation to repeat exhibitions/performances.
- Anthologisation.

Substantial: Works that have been commissioned or selected through a competitive process and made publicly available through:

- Regional-level events, exhibitions, concerts, productions, competitions, or festivals
- Academic, commercial or not-for-profit institutions; or commercial presses, galleries, museums, broadcasters, film studios, record labels, or public spaces;
- Charles Sturt University venues of substantial standing such as the CSU Playhouse, HR Gallop Gallery, 2MCE Radio; or
- Online publications, excluding websites described under A2.2.2 Ineligible outlets.

Typically, will not be subject to repeat; or only subject to limited repeat exhibitions/performances.

Minor: Works that have been commissioned or selected/reviewed and made publicly available through minor publishers or outlets of local standing, including:

- Local events, exhibitions, concerts, productions, competitions, or festivals
- Local councils and the public spaces that they manage;
- Minor publishers, broadcasters, film studios, record labels
- Work presented at Charles Sturt University outlets or equivalent, such as libraries, conference centres, hallways, etc, if there is evidence of peer review and selection processes and it is part of an event that includes outside participation or the output is publicly distributed

A2.2.2 Ineligible outlets

The following forms of dissemination are not considered as meeting the requirements for an eligible creative work outlet:

- Self-published works, for example, publication of a selection of an artist's or designer's work on their internet homepage, or through publishers which require payment for publication of the work, or where the output has only been made available via free hosting services such as YouTube
- Exhibition in studio, domestic settings, private spaces, or by artist-run initiatives, unless the research statement provides a strong argument for the impact and significance of the works and rationale for the location used
- Web versions of conventional exhibitions, and web-based exhibitions with no curatorial component

A2.2.3 Peer review evidence

Creators of creative works are required to provide evidence of peer review, commissioning or competitive selection of their work ([see Appendix A for examples](#)). This may take the form of:

- a statement explaining the selection process, including the names of the selection panel
- an authorised copy of the written submission that accompanied the commission bid, if one was required; and/or a copy of the criteria set by the commissioning agent or organisation
- an authorised copy of the official comments provided by the commissioning agent/panel to the successful recipient
- evidence of peer review in the form of a published commentary and/or detailed statements by qualified experts who had access to the output.

Peer review may also be evidenced by the following, and this may also provide support for allocation of a relevant level weighting where there is a new outlet or the outlet has not yet established a reputation:

- Independent substantial representations, critical or scholarly essays, articles, conference papers, or reviews of the creative work written by experts/peers in the field and published (in print or online) in either:
 - academic journals or professional publications;
 - by commercial publishers;
 - by commercial or not-for-profit bodies.
- Involvement of highly distinguished personnel in a leading role (as actor, performer, director, artist, designer, architect, etc);
- Invitation to perform/exhibit at heritage or historical sites, provided that the event is well documented and evidence is shown of editorial endorsement by a professional curator or festival director;
- the commissioning or funding of the work/exhibition/performance by a competitive and/or peer-review process;
- awards, prizes, honours, short-listings, etc., judged by a panel of peers.

For creative works published online, evidence of significant visitation or sharing via social media may also justify an increased weighting for outlet and reach if website analytics from the publisher can be provided.

A3. Grants (total HERDC eligible income across all research grants per year)

Total HERDC eligible income	RPI Points
Chief Investigator	$\$/1000 * 0.25 * \text{Grant}$ FoR Weighting
Co-investigator, Post Doctoral Fellow, PostDoc	$\$/1000 * 0.20 * \text{Grant}$ FoR Weighting

Grants data is sourced from Research Master and the annual HERDC research income submission.

Eligible Income

Points for successful grants (HERDC eligible income, reportable by Charles Sturt University) will be awarded to those staff who are listed as Chief Investigator, Co-investigators, Post Doctoral Fellow and PostDoc in a grant. All staff involved must demonstrate clearly defined roles in the project. Points for grants will not be divided by the number of academic staff involved who are eligible to receive points.

Index points are awarded based on total external research grant income received per year. This is defined as HERDC eligible income that is reportable by Charles Sturt University (that is, this is the share of a research grant received by Charles Sturt University and that can be reported as external research grant income received by the University). It must be based on yearly reportable income (received amount per year).

Income from multiple grants will be summed for each staff member to determine total external grant income received per year. The source of the external grant (i.e. HERDC sub-category) will not affect index points awarded.

A grant with a negative HERDC eligible income amount will have the negative amount set to zero for that year.

Grant FoR Weighting

Income will be weighted by national two-digit Field of Research (FoR) averages. Weights for each FoR code are presented in [Appendix C](#). The 2008 two-digit FoR code weightings have been transferred to the 2020 two-digit FoR codes and determined for new or changed codes.

Grant FoR codes, percentages and weightings are used to determine the Grant FoR Weighting.

Example:

A grant for \$25,000 has three FoR codes: 30 at 40%, 31 at 40% and 40 at 20%.

FoR code 30 weighting: $0.4 * 40\% = 0.16$

FoR code 31 weighting: $0.7 * 40\% = 0.28$

FoR code 40 weighting $0.85 * 20\% = 0.17$

Summed for Grant FoR Weighting $= 0.61$

Chief Investigator receives:

$\$25 * 0.25 * 0.61 = 4$ RPI points

Co-Investigator receives:

$\$25 * 0.2 * 0.61 = 3$ RPI points

Note that personal FoR codes are no longer used in this calculation.

Points are not allocated for unsuccessful grants.

A4. Commissioned reports including confidential publications

Report Type	Points
Major report	20
Minor report	10

Reports data are sourced from CRO (Pure) as entered by authors and verified by the Research Office.

Reports may be commissioned by government, industry, community organisations, NGO's and/or trade unions. To be eligible for RPI points, researchers must be a named author of the report.

Points for publications will not be divided by the number of researchers, except where there are 20 or more academic participants involved in a publication, academic staff will receive 40% of the standard points awarded.

Please note, consultancy work is considered [Outside Professional Activity](#) and not research, therefore points are not allocated for consultancy work.

Major reports are 30 pages or more in length (not including references and appendices).

Minor reports are less than 30 pages or less in length.

To be eligible for RPI points, as well as inclusion in external assessments, reports must meet the following criteria:

- meet the [definition of research](#);
- have been commissioned and involve an external contract;
- have been made publicly available where permissible. Sensitive reports will also be accepted and assessed for inclusion in the internal collection; and
- contain a Charles Sturt University [author affiliation](#), where appropriate.

7. Category B Points

B1. HDR completions

Completion Type	Points
Timely Doctoral completion – principal supervisor	50
Timely Doctoral completion – co-supervisor	40
Doctoral completion – principal supervisor	30
Doctoral completion – co-supervisor	20
Timely Masters by research completion – principal supervisor	25
Timely Masters by research completion – co-supervisor	20
Masters by research completion – principal supervisor	15
Masters by research completion – co-supervisor	10

HDR completions data are sourced from Research Master.

Points are awarded to both principal and co-supervisors (at the time of completion) for each Charles Sturt University HDR candidate in the year of completion only.

Additional points are awarded for **timely Doctoral completion** (see definition in [Appendix B](#)).

Similarly, additional points are also awarded for **timely Masters completion** (see definition in [Appendix B](#)).

To be *Eligible for Principal Supervision of Higher Degree by Research Candidates*, a number of criteria must be met (full details available on the [Supervision Register](#)). One of the key criteria for principal supervision is demonstrating that the supervisor is active in research; this is met when staff achieve a minimum of 40 Category A points. Co-supervisors are not required to meet this criterion.

See [Appendix A](#) for Doctoral student completion examples.

B2. Research engagement

Research Engagement Type	Points
Engagement	Up to 50
Memberships	10 (pro rata)
Participation with industry/CRC	5
Specialist publications	5

Research Engagement data are sourced from:

- Research Master (Participation with industry/CRC)
- CRO (Pure) as entered by researchers and verified by the Research Office

Points are awarded for research engagement activities with research end-users. End-users may be government, community and not-for-profit organisations, industry and other individuals or organisations.

Engagement case studies are assessed and awarded points for engagement activity which is informed by a researcher's own research work. A case study provides researchers with the opportunity to discuss how their research relates to the engagement activity, their role in the activity, the purpose of the engagement and any outcomes arising.

Engagement activities may include but are not limited to any of the following:

- Chairing or editing conference proceedings
- Submission to end-user consultations or inquiries, which are noted or cited in an outcomes or recommendations report, for example:
 - Law reform submissions that are noted in the main body of the final Law Commission report.
 - Submissions to government inquiries or Royal Commissions that are published or noted in the final report.
 - Submissions to a local Council that is tabled and recorded in meeting minutes.
- Publication of an external policy, set of procedures, standards of practice or guidelines, with evidence of implementation. For example:
 - Professional practice standards are introduced or updated to reflect research findings.
 - Environmental protection guidelines are updated to protect habitats, based on research findings.
- Organising and running externally focused research and industry conferences.
- Collaborating with end-users, using evidence from research, to inform policy, practice or knowledge.
- Activities which translate research findings, methods or technology for end-users.
- Engaging with stakeholders to co-design research scope, approaches, methodologies and/or outputs.

External evidence of involvement in the activity is required for points to be claimed for engagement activities. Points cannot be claimed for both research engagement and impact case studies where both relate to the same activity in a single reference period.

B2.1 Research engagement activity

Engagement case study assessment criteria

Assessment guidelines, rating criteria and scoring rubrics for Engagement case studies are available on the RPI website. These provide further detail on how case studies are awarded points. A summary is provided below.

Reach	The scope of influence and or diversity of end-users and their degree of recognition, or that of the engagement audience (i.e. local, regional, state, national, or international).
Purposeful interaction	Demonstrates purposeful engagement with end-users towards the mutually beneficial transfer of knowledge, technology, methods, or resources.
Outcomes	Demonstrates that engagement has transferred knowledge, technologies, methods or resources leading to outcomes for the end-user.
Role	The researcher can demonstrate a major or leading role in the engagement activity.

To determine if research engagement meets the criteria above, researchers need to submit an engagement case study which will ask for a description of the activity, researchers' role, purpose of the activity and any outcomes of the engagement activity.

More information, support and resources about preparing engagement case studies can be found on the [engagement and impact](#) section of the RPI website.

Staff may submit multiple engagement case studies within the same year and receive RPI points for each submission. Case studies should not be related or underpinned by common research themes or outputs. In the case that they are, the Panel may refer the case studies to be combined into a portfolio (see below for further detail).

Eligibility

Engagement case studies are assessed by the Engagement and Impact Assessment Panel. To be eligible for assessment, case studies must meet criteria which includes:

- The engagement activity must have occurred during the current engagement and impact assessment period.
- The engagement activity must relate to original research, conducted by the researcher, which meets the ARC definition of Research.
- External evidence must be provided to support case studies.

Previously excluded engagement case studies may be re-submitted in subsequent years, with additional evidence to qualify for engagement points.

Portfolios

Engagement activities, relating to common research projects, themes or areas of inquiry should be bundled into a 'portfolio' and submitted as an engagement case study for assessment for engagement points. More information on how to do this can be found on the [RPI website](#).

Engagement activity included in Impact case studies

Engagement and Impact assessments are designed to intersect such that if engagement activity is or can be reported in an Impact case study, an engagement case study is not required. [See section B3 for Impact case studies](#).

Providing evidence for engagement case studies

External evidence must be provided to demonstrate the researchers' involvement in engagement activity and/or any outcomes arising from it.

Recording Participant roles for engagement case studies

When preparing an engagement case study please be aware that the following participant roles will attract equal points in RPI for internal staff:

- Creator
- Advisor
- Facilitator
- Member
- Speaker
- Organiser

The roles of Consultant or Participant will not attract points. This is to allow the system to accommodate the recording of the involvement of internal staff who may not necessarily qualify for major engagement points. Please ensure you assign roles to participants with this in mind.

B2.2 Memberships

This includes membership of a panel, committee or board of a professional organisation, industry organisation, NGO or governmental body (including the Australian Research Council). Eligible memberships are where the basis of the appointment is because of the researcher's disciplinary skills. Staff will need to provide evidence that their appointment has been because of their qualification and their disciplinary and/or research experience (for example, a letter offering appointment on a board or panel). It does not include committees where the involvement primarily reflects personal interest, for example, local sports clubs, groups, etc. The panel, committee or board must operate at least at a regional level or larger (that is, State, National or International).

Membership also includes voluntary positions on the Charles Sturt University Human Research Ethics Committee, Animal Care and Ethics Committee, Research Productivity Index Advisory Panel, Defence Trade Controls Committee, Institutional Biosafety Committee, Radiation Safety Committee, University Research Committee, or Research Integrity Officers.

A maximum of three memberships are counted per year. Where a staff member holds more than three memberships, the system will prioritise longer memberships over shorter memberships to maximise points.

Points are awarded pro rata across the date range provided in the CRO entry. The calculation is based on the number of days, 365 days = 10 points (i.e. full points).

B2.3 Participation with industry/CRC

Points are awarded for participation in an externally funded research grant that involves an industry partner or a Co-operative Research Centre (CRC). Participation is identified through reportable HERDC income where income is sourced from [industry sub-categories](#). Points are awarded for each year where income is reported.

B2.4 Specialist publications

Previously known as “Publication in a professional journal”.

Specialist publications are those not listed on the ARC’s ERA2023 Journal List, e.g. The Conversation, Stride Magazine - Australian Podiatry Association, HorseWyse, Insights, Australian Outlook, Partyline, Women's Agenda, The Outlook, Open Forum, TSAC Report.

Points are awarded if the following criteria are met:

- Evidence of editorial review. The editor cannot be self.
- Evidence of own research, i.e. the researcher has been selected for, and the engagement is focussed on, their own research.

Excludes professional engagement where the researcher has been selected for their general knowledge about their discipline, or commenting upon other research, without reference and focus on their own research.

B3. Impact

Impact Type	Points
Impact case studies	Up to 50
Patents (national and international)	20
Plant breeders rights	20
Trademark awarded	10
Design awarded	10
Successful product commercialisation	75
Excellence awards, prizes or other distinction	10

Impact data are sourced from:

- CRO (Pure) for impact case studies and awards, prizes and other distinction - as entered by researchers and verified by the Research Office.
- Research Master (all other activities).

B3.1 Impact case studies

These are case studies of major engagement with research end-users that translate into significant benefits or changes to the economic, social, environmental, cultural, health outcomes of groups or society, or any other significant or long-term benefit to communities nationally and internationally. End-users may include government, community and/or other not-for-profit organisations, industry and other individuals' organisations.

This may include:

- Implemented changes as a result of generation of significant new knowledge
- Impacts of practice change
- Cultural impacts
- Economic impacts
- Public policy impacts
- Quality of life impacts
- Social impacts
- Other impacts for the public good

Research impacts can be diverse and disparate. The United Kingdom's [Research Excellence Framework](#) (UK REF) have developed a helpful resource which provides a more [in depth list of examples of impacts](#) and associated indicators.

To qualify for RPI points for Impact, researchers need to submit an impact case study which clearly illustrates the contribution of their research to end-users. More information, support and resources about preparing impact case studies can be found on the [engagement and impact](#) section of the RPI website.

Impact case studies are assessed by the Engagement and Impact Assessment Panel. To be eligible for assessment Impact case studies must meet the following criteria:

- Impacts must have occurred or be observable during the current engagement and impact assessment period.
- Impacts must relate to original research, conducted by the researcher, which meets the ARC definition of Research.
- External evidence must be provided to support case studies.
- Impact case studies must demonstrate impact for non-academic end-users (beneficiaries).

If eligible, Impact case studies are assessed by the panel and awarded points (up to 50) based on an assessment rubric which includes the following criteria. More detailed guidance can be found on the Engagement and Impact section of the [RPI website](#).

Impact case study assessment criteria

Assessment guidelines, rating criteria and scoring rubrics for Impact case studies are available on the [RPI website](#). These provide further detail on how case studies are awarded points. A summary is provided below.

Engagement Audience	Demonstration of engagement activity with end-users in terms of quantity, influence, or degree of recognition
Outcomes	Demonstration of the transfer of knowledge, methods, etc facilitating impact
Complexity	The degree of complexity of the engagement activity
Role	The degree of involvement and leadership of the researcher
Impact reach	Demonstration of influence or involvement with a wide range of beneficiaries
Impact significance	The significance of the impact for the beneficiaries

Providing evidence for impact case studies

Evidence can include publications, patents or other documented intellectual property, major or minor works, media articles, government reports, policy documents or any other external reference to the activity and/ or its documented outcomes. The assessment panel anticipates that impact case studies will refer to a wide range of types of evidence, including qualitative, quantitative and tangible or material evidence, as appropriate. The assessment panel does not pre-judge forms of evidence and encourages submissions to use evidence most appropriate for the impact claimed.

The [UK REF resource](#) provides a table of potential impacts and suggestions of indicators for evidencing impacts.

Other guidance

Impact case studies may be awarded RPI points once per calendar year.

Staff may submit multiple impact case studies within the same year and receive RPI points for each submission.

Where external or internal funding has been associated with a case study this should be clearly indicated, including funding body, amount, and dates. These dates do not need to fall within the reference period.

Where publications are associated with this impact study, these must also be reported. Publications do not need to fall within the reference period to be included.

Recognition of additional impacts

An impact case study may be re-submitted in subsequent years (calendar) for additional points if evidence of a substantive additional impact is submitted. RPI points may be awarded corresponding to and reflecting the change in impact, as separate to the initial claim. Points are capped at 50 per research project or area of inquiry, regardless of the duration or ongoing nature of the impact

Support for submitting an Impact case study

To claim points for an impact case study, staff are required to submit a case study.

Guidance and support for preparing Engagement and Impact case studies can be found on the [Engagement and Impact section of the RPI website](#) or by contacting the Engagement and Impact Officer in the Office of Research Services and Graduate Studies via RPI@csu.edu.au.

Recording participant roles for impact case studies in CRO

When entering an Impact case study into CRO please be aware that the following participant roles will attract equal points under RPI for internal staff:

- Creator
- Facilitator
- Consultant

The roles of Participant, Other, Presenter and Panel Member will not attract points. This is to allow the system to accommodate recording of the involvement of internal staff who may not necessarily qualify for impact points. Please ensure you assign roles to participants with this in mind.

B3.2 Patents

Points are awarded for granted patents. National and international patents can be awarded points simultaneously within a reference period. A patent can be awarded points for an international patent once per reference period.

For example, if a patent is granted in Australia in 2020, it will be eligible for 20 RPI points while 2020 remains in the reference period. An international patent, using the same research (Project ID), may be granted in India in 2021 and in the USA in 2023. 20 RPI points will be awarded to the Indian international patent, while 2021 remains in the reference period. Then, the RPI points will shift to the American international patent, while 2023 remains in the reference period.

B3.2 Excellence awards, prizes or other distinctions

An excellence award, prize or other distinction is an award, or a category award, that is received by a single participant or group and judged by a panel of experts. Awards must be related to own research. Includes travel awards.

Excludes:

- participation awards that are awarded to multiple people
- internal awards from organisations the researcher is affiliated with, at the time. For example, a university award when a researcher is a member of staff.

B4. Multidisciplinary collaboration within Charles Sturt University

Multidisciplinary collaboration	5 points
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Collaboration data are sourced from Research Master and the annual HERDC (research income) submission.

Multidisciplinary collaboration points are awarded for chief investigators participating in an external grant and meeting the following criteria:

- the grant has been assigned at least two different two-digit FoR codes ([see list of FoR codes here](#))
- the income is HERDC reportable (Category A3)
- the income received per calendar year is more than \$25,000

Points are awarded for each year a grant meets these criteria.

B5. Leadership and mentoring

Leadership/Mentoring Type	Points
<i>Leader of a research group/theme/area (under development)</i>	-
Mentoring (maximum of 4 per year)	10
Being mentored by a more senior member of staff (maximum of 1 per year)	10
<i>Leadership of a strategic research activity (under development)</i>	-
Journal editorship	
Senior editor	(pro rata) 30
Editor	(pro rata) 10
Editor of a special issue (maximum 2 per year)	10
Book editorship	30

Leadership and mentoring data are sourced from CRO (Pure) as entered by researchers and verified by the Research Office.

B5.1 Leader of a disciplinary or cross-disciplinary research group/theme/area

Please note that Leader of research group/theme/area is still being developed for RPI purposes.

As at **March 2024** Leader of research group/theme/area are not accruing points in the RPI tool but are reportable via CRO (Pure).

To create a “Leader of research group/theme/area” entry in CRO (Pure), the following criteria must be met:

- The group/theme/area:
 - has achieved demonstrated outcomes (for example, an external grant application involving at least three group members)
 - comprises a minimum of seven members
- holds at least six formal group member meetings within a 12-month period, one of which is a workshop that involves multiple academics from other universities or staff from industry/government/non-profit sectors. Leadership of a specific group can only be claimed by one person, per year (12 month period). Where multiple people are claiming leadership of a single group, Faculty ADRs and Centre Directors will determine whether the group was co-led (maximum of two leaders) and/or determined who the primary group leader was.

B5.2 Mentoring

Mentoring a Charles Sturt University academic member of staff who meet one or more of the following:

- are an early career researcher,
- are new to research;
- are returning to research after an extended period of leave, e.g., family leave, personal leave;
- have been in a role with a heavy administrative load for an extended period;
- have a specific research goal, approved by the mentee's ADR, e.g., to successfully apply for an external grant, increase publication of high-quality journal manuscripts; or
- are teaching professional staff.

Mentors must meet [minimum research performance expectations](#) for their own academic level.

Eligibility of the mentoring relationship requires the following:

- a mentoring plan established to guide the mentoring relationship,
- a minimum of 10 regular, formal research-focused mentoring meetings per calendar year,
- written feedback by the mentor, on research work completed by the person that they are mentoring, and
- demonstrated progress in achieving research goals, supported by the mentoring process.

RPI points for mentoring are awarded for a maximum of four mentoring relationship per calendar year.

Evidence of the mentoring relationship, as required in the first year, must be provided for each subsequent year, on each CRO entry.

Entering mentoring and being mentored records in CRO (Pure):

Entry of the relationship into CRO of the mentor and staff member being mentored enables identification of both parties on a single record. Evidence of the mentoring relationship and meeting the eligibility requirements needs to be attached to the CRO record at the completion of the (yearly) mentoring relationship. The “Mentoring Plan for RPI” may be submitted as evidence of the mentoring relationship and attached to the CRO record. References to/from [Conscia](#) are supported.

B5.3 Being mentored by a more senior member of staff

Being mentored by a more senior member of staff from Charles Sturt University, is for staff who meet one or more of the following:

- are an early career researcher;
- are new to research;
- are returning to research after an extended period of leave, e.g., family leave, personal leave;
- have been in a role with a heavy administrative load for an extended period;
- have a specific research goal, approved by their ADR, e.g., to successfully apply for an external grant, increase publication of high-quality journal manuscripts; or
- are teaching professional staff.

Exclusions:

- Staff undertaking a research higher degree
- Mentoring for promotion
- External mentors (NB, a case can be made to the Head of School for the use of an external mentor where a suitable mentor is not available internally).

Eligibility of the mentoring relationship requires the following:

- a mentoring plan established to guide the mentoring relationship;
- a minimum of 10 regular, formal research-focused mentoring meetings per calendar year;
- written feedback by the mentor, on research work completed by the person that they are mentoring; and
- demonstrated progress in achieving mentoring goals, supported by the mentoring process.

RPI points for being mentored are awarded for a maximum of one mentoring relationship per calendar year, regardless of the number of mentors. An ongoing mentoring relationship may attract additional points for each calendar year. Evidence of the mentoring relationship, as required in the first year, must be provided for each subsequent year, on each CRO entry.

B5.4 Leadership of strategic research activity

Previously known as “Oversee ERA process for a university FoR code (research, impact, or engagement)”. Leadership of a strategic research activity is still being developed for RPI purposes.

*As at **March 2024** Leadership of a strategic research activity is not accruing points in the RPI tool but is reportable via CRO (Pure).*

B5.5 Journal editorship

Points are allocated for journal editorship roles for Q1 and Q2 journals on the Charles Sturt Journal Rankings list, depending on the tasks and responsibilities involved. The editorial structure of journals varies widely depending on the size of the journal and the discipline, and editorial titles also vary by journal – for example, Editor, Editor-in-Chief, Associate Editor. Therefore, the role selected by the researcher in the CRO (Pure) entry will appear for showcasing purposes only, within CRO and the RPI Tool. The roles of Senior Editor or Editor for RPI points will be assigned separately during verification, using the definitions below. The verified role will determine points allocation and will also be visible within the RPI Tool.

Where a staff member holds multiple editorship roles, the system will prioritise duration (longer over shorter) to maximise points. Points are awarded pro rata across the date range provided in the CRO entry. The calculation is based on the number of days, 365 days = full points. Days are calculated from the start and end dates provided in CRO but will only count the number of days within the reference period. Therefore, there is no requirement for multiple CRO entries.

Senior Editor Role (30 points pro rata) may include but is not limited to:

- Makes the final decision on which manuscripts are accepted or rejected
- Responsible for ethical practice in publishing and the overall probity of the journal
- Responsible for setting editorial policy and focus of the journal
- Selects editorial staff (including associate editors and editorial board members)
- Chairs the editorial board
- Responsible for the implementation of good practice including work flow and timeliness of reviews, etc.

Editor Role (10 points pro rata) may include but is not limited to:

- Oversees the journal review process for assigned submissions, but under direction of the Senior Editor
- Invites reviewers and assigns to manuscripts
- Makes recommendations to the Senior Editor about acceptance or rejection of papers
- Makes final decisions about acceptance or rejection of papers

Points are not awarded for journal board membership or journal article reviewing.

B5.6 Editor of a special issue

Points are allocated for peer reviewed journals with a ranking of Q1 or Q2 on the Charles Sturt Journal Rankings list for the year of the editorship, for a maximum of two editorships.

The editorial structure of journals may vary widely depending on the size of the journal and the discipline. Editorial titles also vary by journal – for example, Editor, Editor-in-Chief, Associate Editor.

The editorial role described in the CRO (Pure) entry will be verified against the criteria used for Senior Editor or Editor in Journal Editorship (see above). The role selected by the researcher in the CRO (Pure) entry will appear for showcasing purposes in CRO and the RPI tool. The assignment of Senior Editor or Editor roles for RPI Points will be determined during verification. The verified role will allocate points and will also be visible within the RPI Tool.

B5.7 Editor of an Edited Book

The publisher of the book must be on the Charles Sturt List of Publishers. The editorial role selected in the CRO (Pure) entry is for both showcasing and the RPI Tool.

8. Staff promotion during the reporting period

Staff are promoted because they are operating at a higher level of performance, commensurate with the level that they are promoted to. If staff members are promoted, once promoted they are evaluated at the level to which they are promoted for the whole evaluation period.

9. Information for new staff

Staff joining Charles Sturt University will receive an RPI score calculated in the same way as other Charles Sturt University staff. New staff must enter their outcomes achieved at previous university or organisation into CRO (Pure) and their outcomes will be awarded eligible RPI points. Please note that grant income, patents and HDR completions are not currently sourced through CRO (Pure) and cannot be included.

New staff meeting the threshold for “Eligible for Principal Supervision of HDR Candidates” will have this indicated in the RPI tool. Any disadvantage experienced, due to grant income not being included in their Category A RPI points, may be appealed and an override may be granted (refer [Appeals section](#) of this Guide).

To correctly calculate the opportunity weighting, new staff will need to provide evidence of their FTE, Research Allocation and leave taken with their previous employer/s. This may be submitted by email to rpi@csu.edu.au. Staff joining Charles Sturt University as their first academic appointment will have their opportunity weighting set to zero for the years prior to joining Charles Sturt.

All new staff under probation at the end of the reference period will have this indicated in the RPI tool on their summary page to aid in performance discussions.

10. Data collection and verification

The majority of research outputs and outcomes data will be collected from CRO (Pure) and verified by the Data Quality team. In CRO, some data is automatically harvested from sources including Scopus (research outputs) and Newsflo (press/media). Other items will need to be manually added to CRO. If you have questions or would like assistance please consult the [Support page](#) or check the [Frequently Asked Questions](#).

Data on grants, HDR completions, and patents is collected from Research Master. The HERDC data comes from the annual HERDC submission to the Commonwealth Government, which reports on HERDC-eligible income received by Charles Sturt University in the previous calendar year.

11. Finding Help

RPI Support

The [RPI webpages](#) provide documents, guides, links, and contacts to support staff, including:

- Guides, instructional videos and supporting documents
- Frequently asked questions
- Links to feedback forms and requests to add publishers or journals to the Charles Sturt lists

Get in touch with the Data and Reporting team via the contacts below.

- RPI enquiries: rpi@csu.edu.au
- Research outputs and CRO enquiries: researchoutputs@csu.edu.au
- [Engagement and Impact Assessment Officer](#)

CRO Support

CRO profiles are researcher managed. The Library has developed self-help resources to help you maintain your profile. These resources cover the following processes:

- Linking your CRO account to ORCID (you can also create an ORCID directly from CRO if you don't have one)
- Adding your researcher identifiers (e.g. Scopus) to enable automatic harvesting of your outputs and display of Scopus H index
- Adding other network links to your public profile (e.g. ResearchGate, LinkedIn, X)
- Importing your previously published research outputs
- Adding Field of Research (FoR) codes

Contact your [Faculty Librarian](#) to find out more.

12. Appeals and Feedback

Appeals

Eligible for Principal Supervision Override

Adjustments to the time period for the calculation of *Eligible for Principal Supervision of Higher Degree by Research Candidates* and requests for special consideration (e.g. new staff with missing grant points) should be presented by email to the [Director, Research Services](#).

Exclusion Reasons

If research outputs and outcomes entered into CRO (Pure) do not meet standardised eligibility criteria, they are required to have an exclusion reason. These reasons are explained in the [Output exclusion guidelines](#) and will be displayed in the RPI tool.

Feedback

RPI feedback for current/future improvements, please email RPI@csu.edu.au

Appendix A: Examples

1. Charles Sturt University Journal Rankings List and Point Allocation

- A researcher publishes a peer-reviewed article in a journal ranked Q3 on the Charles Sturt University Journal Rankings List. This publication would attract 10 points.
- Two researchers publish a peer-reviewed article in a journal ranked Q1 on the Charles Sturt University Journal Rankings List. This publication would attract 30 points for each researcher.
- Twenty-two researchers, including one co-author from Charles Sturt University, publish an article in a journal ranked Q1 on the Charles Sturt University Journal Rankings List. The staff member from Charles Sturt University would be awarded 12 points.

2. Creative Works

Major scope & major outlet/reach - a quality creative work with a major scope and major outlet/reach would be allocated 100 points, which is in alignment with points allocated for quality books.

Peer review evidence - researcher has produced 10 complex ceramic works. The ceramic works demonstrated a high degree of cultural significance and were exhibited at a regional gallery for seven weeks.

Scope of work: major	70 points
Outlet/reach: substantial	11 points
TOTAL POINTS	81 points

A res	Scope of work: substantial	15 points	regional publisher.
	Outlet/reach: substantial	11 points	
	TOTAL POINTS	26 points	

3. Grants HERDC Income

The formula for calculating grant points is:

$\text{Income} \div \$1000 \times \text{Role multiplier (0.25 for Chief Investigator, 0.20 for Co-investigator or post doc)} \times \text{2-digit grant FoR code weighting (see Appendix C)}$

Example 1.

A researcher receives two grants in Year 1: a \$10,000 grant coded to FoR 46 as a Chief Investigator and a \$5,000 grant coded to FoR 31 as a Co-investigator in a single year. The total external grant income for that year would be \$15,000.

For the Chief Investigator grant, the researcher will receive 3.75 points:

$10 \text{ (per \$1000 of income)} \times 0.25 \text{ (CI role)} \times 1.5 \text{ (FoR Code weighting)}$

For the Co-investigator grant, the researcher will receive 0.7 points:

$5 \text{ (per \$1000 income)} \times 0.20 \text{ (Co-I role)} \times 0.7 \text{ (FoR code weighting)}$

Example 2.

A researcher receives a grant of \$100,000 for a three-year project. They are a Co-investigator and the grant two-digit FoR code is 39. In the first year, they receive \$25,000, the second year \$60,000, and the third year \$15,000. This would equate to:

Year 1: $25 \text{ (per \$1000 of income)} \times 0.20 \times 2.5 \text{ (FoR Code weighting)} = \mathbf{12.5 \text{ points}}$

Year 2: $60 \text{ (per \$1000 of income)} \times 0.20 \times 2.5 \text{ (FoR Code weighting)} = \mathbf{30 \text{ points}}$

Year 3: $15 \text{ (per \$1000 of income)} \times 0.20 \times 2.5 \text{ (FoR Code weighting)} = \mathbf{7.5 \text{ points}}$

TOTAL FOR THREE-YEAR REFERENCE PERIOD: 50 points

Please note: Income is defined as HERDC eligible income that is reported by Charles Sturt University. It is based on yearly reportable income. Therefore, points are allocated in the year that the income is received by Charles Sturt and not necessarily the year that the grant is awarded/successful.

4. Doctoral Student Completion

Example 1.

A Doctoral student completes their degree within four years (FTE) (defined by the set-to-graduate date).

- The principal supervisor of this student would receive 30 points in the year of completion, plus a further 20 points in the year of completion (for timely completion). In total, the principal supervisor would receive 50 points.
- The co-supervisor would also receive 20 points for Doctoral completion, plus a further 20 points for timely completion. In total, the co-supervisor would receive 40 points.

Example 2.

A Doctoral student completes their degree in five years (FTE) (as defined by the set-to-graduate date).

- The principal supervisor of this student would receive 30 points
- The co-supervisor would receive 20 points.

5. Formula for calculating opportunity weighting – increased research allocation

The reference period is four years. A Level D researcher received a grant that enabled them to have 150 hours of their teaching time bought out in Year 1, but had a standard 30% research workload allocation in the three other years of the reference period.

$$\begin{aligned}
 \text{Opportunity weighting} &= \frac{\text{Standard research workload} + \text{Additional time for research in Year 1} + 30 + 30 + 30}{\text{Number of years in the reference period} \times 30} \\
 &= \frac{(30 + 8.7) + 30 + 30 + 30}{4 \times 30} \\
 &= \frac{38.7 + 30 + 30 + 30}{120} \\
 &= \frac{128.7}{120} \\
 &= 1.07
 \end{aligned}$$

The staff member's minimum research performance expectations over the four years before application of the opportunity weight as a Level D (see [Section 5.](#)) are:

Category A = 120

Total Minimum Points = 213

The staff member's new minimum research performance expectations as a Level D (adjusted by the opportunity weighting of 1.10) are:

Category A (120 x 1.10) = 132

Combined Category A and B (213 x 1.10) = 234

**The standard research workload allocation will increase from 30% to 35% in 2024 and is anticipated to increase to 40% in 2026. This will be reflected in the opportunity weighting calculations as the years are added to the reference period, starting in July/August 2025.*

6. Formula for calculating opportunity weighting – reduced research allocation

The reference period is four years. A Level C researcher with a full teaching load of 1035 hours had to cover an additional class taking 100 hours after another staff member has had to unexpectedly take extended sick leave in Year 1 (therefore 100 fewer hours of research time in year 1), and had a standard research workload allocation* in the three other years.

$$\begin{aligned}
 \text{Opportunity weighting} &= \frac{\text{Standard research workload} - \text{Reduced time for research in Year 1}}{4 \times \text{Standard research workload}} \\
 &= \frac{(30 - 5.8) + 30 + 30 + 30}{4 \times 30} \\
 &= \frac{24.2 + 30 + 30 + 30}{120} \\
 &= \frac{114.2}{120} \\
 &= 0.95
 \end{aligned}$$

Standard research workload = 30

Reduced time for research in Year 1 – note 100 / 17.25 = 5.8

Number of years in the reference period x standard research allocation = 4 x 30

The staff member's minimum research performance expectations over the four years before application of the opportunity weighting as a Level C (see [Section 5.](#)) are:

Category A = 80

Total Minimum Points = 133

The staff member's new minimum research performance expectations (adjusted by the opportunity weighting of 0.95) are:

Category A (80 x 0.95) = 76

Combined Category A and B (133 x 0.95) = 126

**The standard research workload allocation will increase from 30% to 35% in 2024 and is anticipated to increase to 40% in 2026. This will be reflected in the opportunity weighting calculations as the years are added to the reference period, starting in July/August 2025.*

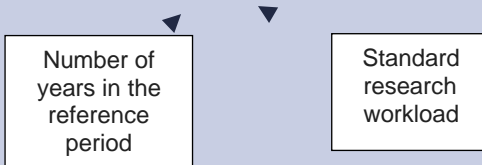
7. Staff joining Charles Sturt University as their first academic or research appointment

The [opportunity weighting](#) for a full-time, Academic Level A staff member with a standard teaching and research appointment who has worked at Charles Sturt for one year after completing their doctorate would be 0.25.

Using:

[Opportunity weighting](#) =

$$\frac{\text{YYYYYYYY 1: FFFFFF} \times \text{RRYYRRYYYYYYR} \text{h} \text{AAAAAAARRYYAAAAA YYYR YY \%} + \text{YYYYYYYY 2: FFFFFF} \times \text{RRAA} + \text{YYYYYYYY 3: FFFFFF} \times \text{RRAA} + \text{YYYYYYYY 4: FFFFFF} \times \text{RRAA}}{4 \times 30}$$



For this ECR:

$$\begin{aligned} \text{Opportunity weighting} &= \frac{\text{YYYYYYYY 1: 0} + \text{YYYYYYYY 2: 0} + \text{YYYYYYYY 3: 0} + \text{YYYYYYYY 4: 30}}{120} \\ &= 0.25 \end{aligned}$$

To calculate the Minimum Research Performance Expectation, use:

	Minimum Total Points	Minimum Category A Points
Level A	53	27
Level B	80	53
Level C	133	80
Level D	213	120
Level E	293	160

For an Academic Level A:

Minimum Research Performance Expectation Total

$$\begin{aligned} &= \text{Opportunity weighting} \times \text{Minimum Total Points} \\ &= 0.25 \times 53 \\ &= 13 \text{ Category A} + \text{Category B RPI points} \end{aligned}$$

Minimum Research Performance Expectation Category A

$$\begin{aligned} &= \text{Opportunity weighting} \times \text{Minimum Category A Points} \\ &= 0.25 \times 27 \\ &= 7 \text{ Category A RPI points} \end{aligned}$$

Appendix B: Acronyms and Definitions

Acronyms and Definitions

ADR	Associate Dean Research
CRO/CRO (Pure)	Charles Sturt University Research Output repository or CRO is the name for Charles Sturt's customised version of Elsevier's Pure research information management system.
Conscia	Research staff mentoring program. " Conscia pairs ECRs and other researchers needing or wanting to improve their research outcomes with senior researchers who can support them to develop their research careers, meet their aspirations and goals, and strategize for future academic successes."
ECR	Early career researcher – a staff member within five years of doctoral completion or equivalent (for example, if first academic position after working in industry).
ED	Executive Dean
EDRS	Employee Development and Review Scheme
Engagement	The Australian Research Council (EI 2018 Assessment Handbook) states "Research engagement is the interaction between researchers and research end-users outside of academia for the mutually beneficial transfer of knowledge, technologies, methods or resources." This includes engagement activities with government, community and not-for-profit organisations, industry and other end users.
Excellence award	First place award, or a category award, that is received by a single participant or group, and judged by a panel of experts. Excludes participation awards that are awarded to multiple people. Excludes internal Charles Sturt University awards.
Externally focused workshop	Includes a workshop, conference or symposia where multiple staff external to Charles Sturt University present and/or attend. This does not include a workshop where there is a single external presenter or participant.
Final product	Final form of an activity, arrangement or process (for example, an anthology or a major film).
FTE	Full-time equivalent
Government body	Any government, whether federal, state, local, or foreign, an agency, authority, board, bureau, commission, or department. For the purpose of the RPI, this includes the Australian Research Council (ARC) and the National Health and Medical Research Council (NHMRC) and excludes Cooperative Research Centres.
HoS	Head of School
Impact	Research impact is the contribution that research makes to the economy, society, environment or culture, beyond the contribution to academic research. (The Australian Research Council EI 2018 Assessment Handbook).
Industry organisation	Group of businesses or other entities (for example, non-profit organisations) within or across specific industry categories.
Industry partner	For profit business entity, a not-for profit business entity, or a community organisation. For the purpose of the RPI, this includes Cooperative Research Centres, and Research Development Corporations.
LOA	Licences, options and assignments (see also Product commercialisation below)

Multidisciplinary teams	Defined as involving staff from within Charles Sturt University from different two-digit FOR codes
PPDR	Performance Planning, Development and Review Process Previously known as the EDRS (Employee Development and Review Scheme)
Product commercialisation	Defined as including: (1) operation of an institution-owned subsidiary that generates a net profit exceeding \$25,000 in a year; (2) sale of a spin-off company developed through Charles Sturt University research; and (3) Licences, options and assignments (LOA) that grant access to institutional intellectual property (patents, designs, plant breeder's rights and trademarks) ³ in return for royalties or licence fees that exceed \$25,000 in a year. LOA include: <ul style="list-style-type: none"> • Running royalties • Cashed in equity LOA <u>do not</u> include: <ul style="list-style-type: none"> • Material transfer agreements (MTA), including income received to cover costs of making and transferring materials under MTA • patent expense reimbursement from licensees • Research funding • A valuation of equity not cashed in • Trademark licensing royalties from university insignia
Professional organisation	Represents specific disciplinary areas (for example, Certified Practising Accountants, Australian Psychological Association, Australian Medical Association, etc)
PVCR(PG)	Pro-Vice Chancellor Research (Performance and Governance)
Research end-user	An individual, community or organisation external to academia that will directly use or directly benefit from the output, outcome or result of the research. Examples of research end-users include governments, businesses, non-governmental organisations, communities, and community organisations
Research productivity	Individual research performance related to income, engagement activities, outputs, and impact from research
RPI	Research Productivity Index
RPI points	Points are allocated for a wide range of research activities. Staff are expected to achieve a minimum number of points depending on their academic level, over a three-year reference period
Timely Completion	Where the thesis submitted date is prior to the census date immediately following the maximum completion date. The maximum completion date is in Research Master and is set by Graduate Studies.
Timely Doctoral completion	Thesis submission within four years FTE from the commencement of candidature.
Timely Masters completion	Completion within two and a half years FTE from the commencement of candidature. The completion date is defined as the date the thesis is submitted
VCLT	Vice Chancellor's Leadership Team

³ See <https://www.ipaustralia.gov.au/> for definitions of these.

Appendix C: Research income codes

Two-digit FoR Code Weightings for Income

Weighting = (average income per FTE for sector)/(average income per FTE for FoR code)

2008 FoR Code	2020 FoR Code	FoR Description	Weighting
-	45	Indigenous Studies	2.0
01	49	Mathematical Sciences	1.2
02	51	Physical Sciences	0.6
03	34	Chemical Sciences	0.9
04	37	Earth Sciences	0.6
05	41	Environmental Sciences	0.4
06	31	Biological Sciences	0.7
07	30	Agricultural and Veterinary Sciences	0.4
08	46	Information and Computing Sciences	1.5
09	40	Engineering	0.85
10	-	Technology	0.9
11	32	Biomedical and Clinical Sciences	0.5
11	42	Health Sciences	0.5
12	33	Built Environment and Design	2.3
13	39	Education	2.5
14	38	Economics	1.0
15	35	Commerce, Management, Tourism and Services	4.0
16	44	Human Society	1.1
17	52	Psychology and Cognitive Sciences	1.2
18	48	Law and Legal Studies	4.2
19	36	Creative Arts and Writing	6.3
20	47	Language, Communication and Culture	2.9
21	43	History, Heritage and Archaeology	1.5
22	50	Philosophy and Religious Studies	2.6

Appendix D: HERDC sub-category codes for determining participation with industry/CRC (B2.4)

To determine which projects are eligible for participation with industry/CRC points, HERDC sub-categories, as reported annually, have been used. Specific sub-categories are aligned with industry and/or CRC income (see below). If a project has reported income in at least one of these sub-categories, it is eligible for participation points.

- Category 1: Australian competitive grant R&D income
 - Sub-category 1.4 rural R&D
- Category 3: Industry and other R&D income
 - Sub-category 3.1 Australian for-profit organisations
 - Sub-category 3.2 Australian not-for profit organisations
 - Sub-category 3.3 Australian philanthropy
 - Sub-category 3.4 international for-profit organisations
 - Sub-category 3.5 international not-for profit organisations
 - Sub-category 3.6 international philanthropy
 - Sub-category 3.7 international government (own purpose)
 - Sub-category 3.8 international government (other)
- Category 4: CRC R&D income
 - Sub-category 4.1 R&D income received from CRCs derived from Australian Government grants to CRCs
 - Sub-category 4.2 R&D income received from CRCs derived from private industry participants of CRCs
 - Sub-category 4.3 R&D income received from CRCs derived from other sources

Appendix E: Pathways to RPI

Source mapping to RPI

CRO (Pure)

CRO (Pure) Content Type	CRO Entry	Description	RPI Category	RPI Sub-category	RPI Endpoint	RPI Guide Page No.
Research output	Contribution to journal	Article	Category A1	Publications	Journal	11
Research output	Contribution to journal	Letter	Category A1	Publications	Journal	11
Research output	Contribution to journal	Comment/debate	Category A1	Publications	Journal	11
Research output	Contribution to journal	Book/Film/Article review	Category A1	Publications	Journal	11
Research output	Contribution to journal	Literature review	Category A1	Publications	Journal	11
Research output	Contribution to journal	Editorial	Category A1	Publications	Journal	11
Research output	Contribution to journal	Special issue	Category A1	Publications	Journal	11
Research output	Contribution to journal	Meeting Abstract	Category A1	Publications	Journal	11
Research output	Contribution to journal	Review article	Category A1	Publications	Journal	11
Research output	Contribution to journal	Short survey	Category A1	Publications	Journal	11
Research output	Contribution to journal	Project summary	Category A1	Publications	Journal	11
Research output	Book chapter/Published conference paper	Conference paper	Category A1	Publications	Book chapter	12
Research output	Book chapter/Published conference paper	Chapter (peer-reviewed)	Category A1	Publications	Book chapter	12
Research output	Book chapter/Published conference paper	Chapter	Category A1	Publications	Book chapter	12
Research output	Book chapter/Published conference paper	Chapter in textbook/reference book	Category A1	Publications	Book chapter	12
Research output	Book chapter/Published conference paper	Other chapter contribution	Category A1	Publications	Book chapter	12
Research output	Book chapter/Published conference paper	Entry for encyclopedia/dictionary	Category A1	Publications	Book chapter	12
Research output	Book chapter/Published conference paper	Foreword/postscript	Category A1	Publications	Book chapter	12
Research output	Book/Report	Book	Category A1	Publications	Book	12
Research output	Book/Report	Textbook/Reference book	Category A1	Publications	Book	12
Research output	Book/Report	Edited book	Category B5	Leadership and mentoring	Editorship	28
Research output	Book/Report	Anthology	Category A1	Publications	Book	12
Research output	Book/Report	Scholarly edition	Category A1	Publications	Book	12
Research output	Book/Report	Commissioned report (public)	Category A4	Commissioned reports	Commissioned reports	17
Research output	Book/Report	Commissioned report (non-public)	Category A4	Commissioned reports	Commissioned reports	17
Research output	Book/Report	Other report	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Book/Report	Policy/Procedures/Guidelines	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21

Research output	Book/Report	Submissions to inquiries and consultations	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Contribution to specialist publication	Article	Category B2	Research engagement	Specialist publication	22
Research output	Contribution to specialist publication	Featured article	Category B2	Research engagement	Specialist publication	22
Research output	Contribution to specialist publication	Book/Film/Article review	Category B2	Research engagement	Specialist publication	22
Research output	Contribution to specialist publication	Editorial	Category B2	Research engagement	Specialist publication	22
Research output	Contribution to specialist publication	Letter	Category B2	Research engagement	Specialist publication	22
Research output	Contribution to specialist publication	Special issue	Category B2	Research engagement	Specialist publication	22
Research output	Contribution to specialist publication	Professional blog or online forum	Category B2	Research engagement	Specialist publication	22
Research output	Resource/document	Working paper	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Resource/document	Discussion paper	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Resource/document	Resource	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Resource/document	Communication	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Resource/document	Preprint	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Other contribution to conference	Presentation only	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Other contribution to conference	Poster	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Other contribution to conference	Abstract	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Other contribution to conference	Other	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Non-textual outputs, including Creative Works	Creative Works - Curation of Exhibition/Event/Festival	Category A2	Creative works	Creative works	13
Research output	Non-textual outputs, including Creative Works	Creative Works - Live Performance	Category A2	Creative works	Creative works	13
Research output	Non-textual outputs, including Creative Works	Creative Works - Recorded or Rendered works	Category A2	Creative works	Creative works	13
Research output	Non-textual outputs, including Creative Works	Creative Works - Original - Design/Architectural	Category A2	Creative works	Creative works	13
Research output	Non-textual outputs, including Creative Works	Creative Works - Original - Visual art works	Category A2	Creative works	Creative works	13
Research output	Non-textual outputs, including Creative Works	Creative Works - Other	Category A2	Creative works	Creative works	13
Research output	Non-textual outputs, including Creative Works	Entry in Database/Database/Reference collection	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Non-textual outputs, including Creative Works	Software	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Non-textual outputs, including Creative Works	Web publication/site	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Non-textual outputs, including Creative Works	Digital content	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Research output	Thesis	Doctoral Thesis	Not RPI eligible	N/A	N/A	-
Research output	Thesis	Masters Thesis	Not RPI eligible	N/A	N/A	-
Research output	Patent	Patent	Category B3	Recorded in CRO for showcasing purposes. Sourced for RPI from Research Master		25
Research output	Textual Creative Works	Creative Works - Original - Textual	Category A2	Creative works	Creative works	13
Activity	Scholarly activities in Learning and Teaching reflection	Professional and scholarly communities reflection Peer reviewed publication reflection Non-peer reviewed publication reflection Self/institutional leadership reflection Advanced scholarship reflection	Not RPI eligible	N/A	N/A	-
Activity	Engagement and professional development	External research and teaching	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Engagement and professional development	Grant review responsibilities	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Engagement and professional development	Expert/Advisor	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Engagement and professional development	Content creation/delivery	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21

Activity	Engagement and professional development	Delivery of advanced professional development	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Engagement and professional development	Major contributions to the field of practice	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Engagement and professional development	Undertaking advanced specialised practice or scholarly secondments	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Engagement and professional development	Collaboration and partnerships	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Engagement and professional development	Public outreach	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Engagement and professional development	Consultancy	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Engagement and professional development	Appointments or secondments	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Engagement and professional development	Development/presentation of external courses	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Engagement and professional development	Leadership of strategic activity	Category B5	Leadership and mentoring	<i>Pending: Leadership of strategic activity</i>	27
Activity	Publication peer-review and editorial work	Peer review responsibility, including review panel or committee	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Publication peer-review and editorial work	Editorial responsibility (Event associated)	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Publication peer-review and editorial work	Editorial responsibility (Frequency: ongoing Journal)	Category B5	Leadership and mentoring	Editorship	27
Activity	Publication peer-review and editorial work	Editorial responsibility (Frequency: special issue Journal)	Category B5	Leadership and mentoring	Editorship	27
Activity	Publication peer-review and editorial work	Editorial responsibility (Publisher associated)	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Participating in or organising an event	Workshop/course/forum	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Participating in or organising an event	Public lecture/debate/seminar/presentation	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Participating in or organising an event	Conference/Symposium	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Participating in or organising an event	Performance/exhibition	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Participating in or organising an event	Public event	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Membership	Advisory panel/policy group/board	Category B2	Research engagement	Membership	22
Activity	Membership	Professional association or peak discipline body	Category B2	Research engagement	Membership	22
Activity	Membership	External research organisation, centre or institute	Category B2	Research engagement	Membership	22
Activity	Membership	Membership of collaboration/network	Category B2	Research engagement	Membership	22
Activity	Membership	Membership of networks of excellence	Category B2	Research engagement	Membership	22
Activity	Membership	Committees and working groups	Category B2	Research engagement	Membership	22
Activity	Membership	Member of research group/theme/area	Category B2	Research engagement	Membership	22
Activity	Membership	Leader of research group/theme/area	Category B5	Leadership and mentoring	<i>Pending: Leader of a disciplinary or cross-disciplinary research group/theme/area</i>	26
Activity	Hosting a visitor	Hosting a visitor	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Visiting an external institution	Visiting an external institution	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Visiting an external institution	Artist in residence	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Supervision/Examination/Mentoring	Internal HDR Supervision	Category B1	Recorded in CRO for showcasing purposes. Sourced for RPI from Research Master		19
Activity	Supervision/Examination/Mentoring	External HDR Supervision	Not RPI eligible	N/A	N/A	-
Activity	Supervision/Examination/Mentoring	Honours Supervision	Not RPI eligible	N/A	N/A	-
Activity	Supervision/Examination/Mentoring	Mentor or Internship Supervision	Category B5	Leadership and mentoring	Mentoring	26

			Category B5	Leadership and mentoring	Being mentored	27
Activity	Supervision/Examination/Mentoring	Thesis Examination	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Activity	Supervision/Examination/Mentoring	MD Supervision	Not RPI eligible	N/A	N/A	-
Activity	Engagement case studies	Engagement case studies	Category B2	Research engagement	Major engagement	20
Prize/Award	Prize/Award	Prize	Category B3	Impact	Awards	25
Prize/Award	Prize/Award	Award	Category B3	Impact	Awards	25
Prize/Award	Prize/Award	Grant	Category A3	Recorded in CRO for showcasing purposes. Sourced for RPI from Research Master		16
Prize/Award	Prize/Award	Other distinction	Category B3	Impact	Awards	25
Press/Media	Press/Media	Media contribution	Category B2	Research engagement	<i>Pending: Minor engagement</i>	21
Impact	Impact	Impact case studies	Category B3	Impact	Impact case studies	23

Research Master

RM	Grant	Category A2	No input required. Managed by the Office of Research Services and Graduate Studies	16
RM	HDR Supervision (completion and timely completion)	Category B1	No input required. Managed by the Office of Research Services and Graduate Studies	19
RM	Participation in a grant that involves an industry partner or a CRC	Category B2	No input required. Managed by the Office of Research Services and Graduate Studies	22
RM	Patents	Category B3	No input required. Managed by the Office of Research Services and Graduate Studies	25
RM	Multidisciplinary collaboration - principal investigator on a grant within a multidisciplinary team	Category B4	No input required. Managed by the Office of Research Services and Graduate Studies	25

Appendix F: Development of the RPI

Background to the development of the Research Productivity Index

For some years, Charles Sturt University has used a research active definition⁴ principally for the purpose of determining whether staff are eligible for being a principal supervisor of doctoral students (as required under HES 4.2 Research Training, Point 3a⁵), though it has also been used for other purposes such as eligibility for participation in research centres and certain internal funding schemes. This definition used a tiered approach, with two tiers that recognised different levels of research productivity. Outputs and outcomes influencing research activity included HERDC publications (including conference papers, book chapters, books, and journal articles), creative works, external income, and completion of doctoral students.

Since the development of this definition, however, there has been significant sectoral changes with respect to research. This notably includes the Australian Research Council's Impact and Engagement assessment exercise, and an increasing emphasis on rewarding quality of research outcomes over quantity of outcomes through the ongoing Excellence in Research Australia (ERA) evaluations and the ending of HERDC publication funding.

The development of a new Research Active definition was also a requirement under the 2018-2021 Charles Sturt University Enterprise Agreement (Clause 30.18). The Enterprise Agreement included a clause related to providing research support (including advice and mentoring, particularly of junior academic employees and utilisation of research teams), and a clause related to research evaluation during EDRS both of which are germane for the development of the Research Productivity Index (Clauses 30.19 and 30.20).

In 2018, a survey was conducted of Charles Sturt University academic staff to identify attitudes towards the inclusion of various elements in a new measure of research productivity. The survey included nine quantitative questions, and also allowed qualitative responses for each of these nine quantitative questions to allow respondents to further explain their responses. In addition, each respondent was able to make other comments about the design of a new measure. The survey was completed by 241 individuals and 11 groups (for example, Schools and Faculties), and produced a substantial volume of qualitative data.

Subsequent to the completion of the survey, the University Research Committee appointed a sub-committee⁶ charged with developing a new measure of research productivity that could identify research performance across a number of domains, including research impact and engagement, as well as drive research productivity, quality and enhance research culture within Charles Sturt University.

This new measure, called the Research Productivity Index (RPI), has been designed with a number of goals, including:

- visualise individual and organisational unit measures for research performance;
- to improve the university's research culture through encouraging collaboration, team building and mentoring;
- to encourage multi-disciplinary research;
- to improve the quality of research outputs and impacts; and
- to support the University's research strategy.

The points system used in the RPI will also provide a basis for determining whether staff are research active for the purposes of being a principal supervisor of doctoral students.

⁴ Charles Sturt University. (2014). *Definition of Research Active for the purposes of higher degree by research supervision*. Retrieved from https://cdn.csu.edu.au/data/assets/pdf_file/0003/1722144/Definition-of-Research-Active-for-the-Purposes-of-HDR-Supervision-2.pdf

⁵ Federal Government. (n.d.). *Federal Register of Legislation: 4. Research and research training*. Retrieved from https://www.legislation.gov.au/Details/F2015L01639/Html/Text#_Toc428368863. The legislation specifies that each student has a "principal supervisor who holds a doctoral degree, or has equivalent research experience, and who is active in research or publishing in, or otherwise making original contributions to, a relevant field or discipline."

⁶ Professor Mark Morrison (Associate Dean Research, BJBS and Co-Convenor of the Professors Forum) Chair; other members: Professor Michael Friend (Acting PVC, Research and Innovation), Professor Euan Lindsay (HOS, CSU Engineering), Associate Professor Amy MacDonald (Faculty of Arts and Education), Associate Professor Peter Pocock (Faculty of Arts and Education), Associate Professor Jane Quinn (Associate Dean Research, Faculty of Science), Associate Professor Jason White (Director, Research), Jennie Anderson and Dane Hegvold (Human Resources).

Two doctorally qualified Research Officers (from two different Faculties)⁷ with extensive experience in qualitative research completed an analysis of the qualitative data, to identify themes emerging from the responses, with oversight from the Chair of the sub-committee.

In addition, research active definitions and models for determining research productivity of staff were sought from all Australian universities. Measures were obtained from 23 universities and were synthesised by a team of three doctorally qualified Research Officers⁸, with assistance from the Chair of the sub-committee, to facilitate benchmarking, as well as provide information about elements that might be included in a new measure for use at Charles Sturt University. As part of the benchmarking work completed, comparisons were made across the sector and with like universities when setting expectations by academic level, and consideration was given to the research workload allocation at Charles Sturt University (currently 0.3 FTE).

The assistance of Amanda Shepherd from Charles Sturt University Library, Professor Eleanor Gates-Stuart, Associate Professor Damian Candusso, and Dr Travis Holland from the School of Communications and Creative Industries, and other members of the Creative Works Committee, was received in the development of the Creative Works component of the Index.

The Charles Sturt University Research Office staff also provided extensive feedback that assisted in the development of the RPI.

The RPI and accompanying Guide were drafted by Professor Mark Morrison and Dr Lisa Limbrick from the Faculty of Business, Justice and Behavioural Sciences in consultation with the sub-committee.

An initial draft version of the RPI was disseminated for consultation and feedback to the broader University including VCLT, Academic Senate, the University Research Committee, the NTEU, and academic staff. Following the consultation period, extensive feedback was received, analysed and summarised. Based on this feedback, the RPI sub-committee - including Dr Larissa Bamberry from the NTEU - worked to revise the draft RPI and develop the current version of the document.

Data collection and processing

The majority of data required to operationalise the RPI is available on current Charles Sturt University systems, or can be estimated using currently available data. However, some new data collection will be needed for measures that have qualitative responses (for example, mentoring, leadership, and engagement) and some quantitative data. A new online system is proposed to collect these data annually.

New data to be collected includes:

- Being mentored
- Excellence awards
- Journal editorship and associate-editor of a Q1 or Q2 journal
- Leader of a disciplinary or cross-disciplinary research group/theme/area within a Faculty or Centre, or Cross-Faculty and evidence of membership, meetings and outcomes
- Membership of a panel, committee or board of a professional organisation, industry organisation, or governmental body (including the Australian Research Council)
- Mentoring Early Career Researcher Staff
- Overseeing ERA process for a university FOR code (research, impact, or engagement)
- Trademarks, Plant Breeders Rights, and Designs

For the following indicators, data are available internally but additional processes, and/or information will be required by the Research Office to allocate points:

- Successful product commercialisation
- Timely doctoral completion
- Q1 Journal Articles
- Book publishers
- Professional Journals
- Data for calculating opportunity weightings

⁷ Dr Lisa Limbrick, BJBS and Dr Sarah Redshaw, FOAE.

⁸ Dr Lisa Limbrick and Dr Jenni Greig, BJBS and Dr Sarah Redshaw, FOAE.

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