Research Outputs Classification
[Category 1 and NTROs]

Macquarie University
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Overview

All research outputs captured in Pure RMS are reviewed and classified to determine if they are eligible for inclusion in the annual publications data collection. These guidelines are developed based on the 2015 Higher Education Research Data Collection Specification and the ERA Submission Guidelines, used by Library and Research Services to assess and report research outputs.

This research output dataset is used for external reporting, such as Excellence in Research for Australia (ERA), internal reporting, such as enterprise- and faculty-level reporting, research-active status and researcher profiles, the Researcher Performance Dashboard etc. Research outputs eligible for inclusion in reporting are Category One research outputs. Category 1 research outputs meet the criteria to be classified as A1, B1, C1 and E1. Non-traditional research outputs classified as Q1-5 are also included in some reporting.

The deadline for submitting research outputs and supporting information is 30 April for work published in the previous calendar year. For example, researchers must ensure that their 2021 publications are captured in Pure RMS by 30 April 2022.

Essential Eligibility Criteria for Category 1 Research Outputs

- Must meet the ERA definition of research
- Must meet the key characteristics of research publications
- Must clearly show evidence of year of publication. For books and book chapters, evidence of publication year may be checked against the frontmatter. For journal articles and conference papers, the published pdf versions may be consulted for evidence of the journal’s year or Vol/Issue if there is a conflict.
- Journal articles and conference papers must have evidence of peer review
- Books and book chapters must be published by a commercial publisher to qualify
- Publications can only be counted once (where a publication may be published in multiple formats, e.g., a conference paper is subsequently published as a journal article.)

The Definition of Research

The essential characteristic of research activity is that it leads to publicly verifiable outcomes and is open to peer appraisal.

Research is defined\(^1\) as the creation of new knowledge and/or the use of existing knowledge in a new and creative way to generate new concepts, methodologies, inventions, and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

This definition of research is consistent with a broad notion of research and experimental development comprising creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture, and society – and devise new applications of available knowledge.

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\(^1\) Australian Research Council (2017). ERA 2018 Submission Guidelines, Canberra (Page 9)
This definition of research encompasses pure and strategic basic research, applied research and experimental development.

**Pure basic research** is basic research carried out for the advancement of knowledge without seeking long-term economic or social benefits or making any effort to apply the results to practical problems or transfer the results to sectors responsible for their application.

**Strategic basic research** is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas in the expectation of practical discoveries. It provides the broad base of knowledge necessary for the solution of recognised practical problems.

**Applied research** is an original investigation undertaken to acquire new knowledge. It is, however, directed primarily towards a specific, practical aim or objective.

**Experimental development** is systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or processes.

**Activities that Meet the Definition of Research**

- Provision of professional, technical, administrative, or clerical support to staff directly engaged in activities essential to the conduct of research
- Management of staff who are either directly involved in the conduct of research or are providing professional, technical, administrative, or clerical support or assistance to those staff
- The activities and training of hdr students enrolled at the hep
- The supervision of students enrolled at the hep and undertaking hdr training and courses
- Research and experimental development into applications software, new programming languages and new operating systems (r&d, for example, would generally meet the definition of research)

**Activities that Do Not Meet the Definition of Research**

- Scientific and technical information services
- General-purpose or routine data collection (unless these data collections are part of long-term research projects)
- Standardisation and routine testing feasibility studies (except in research and experimental development projects)
- Specialised routine medical care
- Commercial, legal, and administrative aspects of patenting, copyright, or licensing activities
- Routine computer programming, systems work or software maintenance.
Key Characteristics of Research Outputs

Under the HERDC\(^2\) and ERA\(^3\) specifications, traditional research publications are books, book chapters, journal articles and conference publications that meet the definition of research and are characterised by:

- Substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and antecedents of work described and provided in a format that allows a reader to trace sources of the work, including through citations and footnotes
- Originality (i.e., not a compilation of existing works)
- Veracity/validity through a peer validation process or by satisfying the commercial publisher processes
- Increasing the stock of knowledge and
- Being in a form that enables the dissemination of knowledge.

Evidence of Peer Review Requirement

For this data collection, an acceptable peer review process involves an assessment or review before the publication of the research output in its entirety (not merely an abstract or extract) by independent, qualified experts. The term "independent" in this context means independent of the author. A statement from an author that a research output was peer-reviewed is not sufficient evidence. Likewise, the existence of a national or international advisory board is not sufficient evidence that members of it assess all relevant publications. Peer review is relevant for journal articles and conference publications (refer to the respective sections for further details). For books and book chapters, the concept of a commercial publisher is used to determine the quality in place of a peer review requirement.

Definition of Commercial Publisher – Books and Book Chapters

- A commercial publisher is an entity for which the core business is publishing books and distributing them for sale.
- Some publishers form part of larger organisations with other core businesses. Provided that the distinct organisational sub-entity is devoted to commercial publishing and its publications are not entirely paid for or subsidised by the parent organisation or a third party, the sub-entity will be accepted as a commercial publisher.
- Publishing is more than the production of a book. It includes quality control such as peer review or equivalent in-house quality control through expert assessment or review, editing, copy-editing, design, and conversion of the work to an appropriate format.
- University and other self-supporting higher education institution presses are regarded as commercial publishers if they have responsibility for the distribution of the publication, in addition to its printing.


\(^3\) Australian Research Council (2017). ERA 2018 Submission Guidelines, Canberra
Non-Eligible Publishers

- Publishing units within faculties in universities (note the official publishing arm of a university, such as University X Press, is usually eligible, but the publishing arm within a faculty in University X may not be eligible)
- Clearinghouses
- Publishing arms of museums or galleries
- Companies that are hired only to print or distribute a book but bear no responsibility for the editing process or take no risk in choosing to publish
- Companies that publish books but sub-contract printing and/or distribution thus have no responsibility for the entire publishing process
- "Vanity presses," which are publishing houses where authors pay to publish their books.

Section 1: Classification of Category 1 Research Outputs

A1 – Books — Authored Research

- Must meet the definition of research
- Must be a major work of scholarship
- Must be offered for sale in any form of:
  - Hard copies, bound
  - Audio/video files packaged
  - E-books, on a subscription or fee basis
- Must have an International Standard Book Number (ISBN)
- Must be written entirely by a single author or by joint authors who share responsibility for the whole book
- Must have been published by a commercial publisher
- If a book is only available online (and not published commercially), it can be eligible if it has been through an acceptable peer review process and meets the other relevant eligibility criteria.

  - The types of books that **may meet** the criteria include:
    - Critical scholarly texts
    - New interpretations of historical events
    - New ideas or perspectives based on established research findings

  - The types of books that **do not meet** the criteria include:
    - Textbooks
    - Anthologies
    - Edited books
    - Revisions or new editions
    - Creative works such as novels
o Books published by private individuals, university departments and privately funded companies, e.g., "vanity presses" that do not meet the ERA commercial publisher criteria (see the section on Commercial Publisher, p.5)

o University departmental Working Papers, Technical Reports, Discussion Papers, and the like

o Government department publications

o Unpublished reports

o Translation of published books – unless they have a major demonstratable original research component

**Note:** Many of the books published by professional bodies **do not report** original research findings but report results of evaluations or repackage existing information for the benefit of professionals and practitioners. These outputs must be very carefully assessed against the definition of research.

**B1 – Chapters in Research Books — Authored Research**

- Must meet the definition of research
- Must be a substantial contribution of new material to an edited compilation in which the material is subject to editorial scrutiny. A book chapter may be included if it has been published previously, provided it constitutes substantial new knowledge and constitutes original research
- Must be a chapter in a book that is offered for sale in any of the forms of:
  - Hard copies, bound
  - CD-ROMs, packaged
  - E-books, on a subscription or fee basis
- Must be a chapter in a book that has an International Standard Book Number (ISBN)
- Must be a chapter in a book published by a commercial publisher

**Note:** If a book chapter is only available online (and not published commercially), it can be eligible if it has been through an acceptable peer review process and meets the other relevant eligibility criteria.

- The types of book chapters that **may meet** the criteria include:
  - A scholarly introduction of chapter-length to an edited volume, where the content of the introduction reports research and makes a substantial contribution to a defined area of knowledge
  - A critical scholarly text of chapter length
  - A critical review of current research

- The types of book chapters that are **unlikely to meet** the eligibility criteria include:
  - Chapters in textbooks
  - Entries in reference books
  - Anthologies
C1 – Journal Articles – Refereed, Scholarly Journal

- Must meet the definition of research
- Must be published in a scholarly journal
- Must have been peer-reviewed
- The journal must have an International Standard Serial Number (ISSN)

Note:
- A peer-reviewed article is not automatically eligible. The article must still meet the definition of research and all other criteria
- Some journals may be regularly published as separate volumes with an ISBN rather than an ISSN. Provided that the publication is identified as an edition of a journal and not a book, articles in such publication may be eligible if they meet all other criteria (See Atypical scenarios, p.10). If an ISSN does not appear in the journal, external evidence such as an ISSN being found in Ulrich’s or ISI’s directories list is sufficient to demonstrate the existence of the number.
- Literature reviews: Where a literature review predominantly comprises a summary of the current knowledge and findings of a particular research field or topic, and as such, does not include any critical assessment or report of any new findings or original experimental work, then this publication type is unlikely to comply with the definition of research.
- Interview transcripts: Interview transcripts are excluded since they do not meet the definition of research.

The Peer Review Requirement for Journal Articles. Any of the following are acceptable as evidence of peer review for journal articles:
- The journal is listed on the ARC’s latest ERA journal list (Library staff will check)
- The journal is listed in the Clarivate Analytics Master Journal List
- The journal is classified as ‘refereed’ in Ulrich’s Knowledgebase
- There is a statement in the journal or on the journal’s website which shows that contributions are peer-reviewed
- A statement or acknowledgement from the journal editor which shows that contributions are peer-reviewed
- A copy of a reviewer’s assessment relating to the article
The types of journal articles that **may meet** the criteria include:
- Commentaries and communications of original research
- Research notes
- Letters to journals, provided that the letter satisfies the definition of research and the subsequent definitions for journal articles in this section
- Critical scholarly texts which appear in article form
- Articles reviewing multiple works or a substantial/systematic review of an entire field of research (and including additional original research from the author, e.g., Cochrane Reviews)
- Invited papers in journals
- Articles in journals that are targeted at both scholars and professionals
- Articles in a standalone series

The types of journal articles that **do not meet** the criteria include:
- Systematic review protocols and study protocols
- Letters to the editor that do not satisfy the definition of research and the subsequent definitions for journal articles in this section
- Case studies (e.g., clinical case report)
- Articles designed to inform practitioners on existing knowledge in a professional field
- Articles in newspapers and popular magazines (excluded completely)
- Non-scholarly, non-research articles (excluded completely)
- Editorials
- Book reviews
- Brief commentaries and brief communications of original research
- Reviews of art exhibitions, concerts, theatre productions

**E1 – Conference Publications — Full Paper Refereed**

- Must meet the definition of research
- Must have gone through an acceptable peer review process
- Must be published in full. The papers may appear in many different formats, e.g., a volume of proceedings, a special edition of a journal, a standard issue of a journal, a book or a monograph, digitally or conference or organisational website
- Must be presented at conferences, workshops, or seminars of national or international significance

The types of conference papers that should be **excluded** include:
- Conference papers reviewed by an editorial board only and not by peer review
- Conference papers accepted for presentation (and publication) based on peer review of a submitted extract or abstract only
- Conference papers that are not made available for international circulation, e.g., appearing only in a volume sold or handed out to conference participants (excluded completely)
- Conference papers presented at minor conferences, workshops or seminars that are not regarded as having national or international significance (excluded completely)
- Keynote and plenary addresses are not eligible.
- Unpublished conference presentations
- Participation in discussion as a panel member
- Poster presentations
- Facilitation of workshops at conferences
- Abstracts of conference publications

**The Peer Review Requirement for Conference Publications.** Any of the following are acceptable as evidence of peer review:
- A statement in the conference proceedings that shows that contributions are peer-reviewed
- A statement or acknowledgement from the conference proceedings editor which shows that contributions are peer-reviewed
- A copy of a reviewer’s assessment relating to the conference paper
- The conference is listed on the ERA conference list (Library staff will check)

### Section 2: Atypical Scenarios

#### Assigning C1s Rather Than E1s

- Conference papers can be categorised as C1 if all the following conditions are met:
  - Must meet research definition criteria
  - The record has an ISSN
  - ISSN is on the ERA 2018 Journal list
  - Some publications in the journal issue are not related to the conference.
  - Other C1 criteria described above are met

#### Assigning C1s Rather Than B1s

- Book chapters can be categorised as C1 if all the following conditions are met:
  - Must meet research definition criteria
  - The record has an ISSN and an ISBN
  - ISSN is on the ERA 2018 Journal list
  - Other C1 criteria fulfilled

#### Assigning B1s Rather Than C1s

- Journal articles can be categorised as B1 if the following conditions are met:
  - Must meet research definition criteria
  - The record has an ISSN (journal series) and an ISBN (e.g., monographic series)
Peer-review evidence cannot be sourced from the Web or the author
Other B1 criteria fulfilled

Assigning B1s Rather Than E1s

- Conference papers can be categorised as B1 if the following conditions are met:
  - Must meet research definition criteria.
  - It appears in a book, and the conference details and peer review details cannot be sourced either from the Web or the author.
  - Other B1 criteria from ERA 2018 guidelines are met.
  - Note: This applies when a conference paper is not published as a part of the proceedings but is included in an edited anthology comprising non-conference-based research publications.

Assigning E1s Rather Than B1s

- Conference papers published in a book should be E1 if all the following conditions are met:
  - Must meet research definition criteria.
  - Must be published in full.
  - Must be Refereed.
  - The publication material, conference details, and peer review evidence can be sourced either from the Web or from the author.
  - Note: Conference papers may appear in different formats, e.g. a volume of proceedings, a special edition of a journal, a standard issue of a journal, a book or a monograph, digitally or conference or organisational website (Ref: 2018 ERA Guideline, p.35).

Assigning E1s Rather Than C1s

- Conference papers published in journals should be E1 if all the following conditions are met:
  - Must meet research definition criteria.
  - Must be published in full.
  - Must be Refereed.
  - The publication material, conference details, and peer review evidence can be sourced from the Web or the author.
Section 3: Non-Traditional Research Outputs (NTROs)

NTROs that meet the eligibility requirements of categories Q1-5 will be included in reporting. The Faculties periodically undertake the classification of Q1-5. Regular classification of NTROs allows a timely flow of this data to reporting.

To be eligible, NTROs must have become available publicly (including via an institutional repository, such as Pure). This section explains the process of classifying five NTROs:

- Q1 – Original creative works
- Q2 – Live performance of creative works
- Q3 – Recorded/rendered creative works
- Q4 – Curated or produced substantial public exhibitions and events
- Q5 – Research reports for an external body (commissioned report)

**Q1 – Original Creative Works**

- The researcher must be the creator (e.g., not the curator of works produced by others)
- Digital documentation of the work must be available
- A research statement must be submitted with the Pure record

**Note:** The exhibition of an original creative work can be used to demonstrate that the work is publicly available but can only be claimed for each instance of such a research output once. Exhibited creative works can be submitted as either:
  - A single item exhibited as an individual creative work (equal to one research output)
  - A portfolio of works exhibited as a cohesive/thematic collection of the work of a single creator (also equal to one research output)

**Sub-Categories of Original Creative Works**

- **Visual artwork:** A research output such as a fine arts and crafts work, diagram, map, photographic image, sculpture, or installation
- **Design/architectural work:** Realised, constructed, fabricated or unrealised building and design projects
- **Textual work:** Written research outputs that are not eligible for submission as traditional research outputs, such as novels, art reviews, exhibition catalogues and catalogue entries, scholarly editions, and scholarly translations.
- **Other:** Original creative works that do not fit the other research output types.

**Q2 – Live Performance of Creative Works**

- A digital recording of the live performance, or part thereof, must be available
- A research statement must be submitted with the Pure record

**Sub-Categories of Live Performance of Creative Works**

- **Music:** New work or a demonstrably new or innovative interpretation or production of an existing work
- **Play:** New work or a demonstrably new or innovative interpretation or production of an existing work
Dance: New work or a demonstrably new or innovative interpretation or production of an existing work

Other: Other live performances of creative works not listed above. New work or demonstrably new or innovative interpretation or production of an existing work

Q3 – Recorded/Rendered Creative Works

- For recorded/rendered creative works, the research component is contained within the recording/rendering. Simple documentation of live performances of creative works without a research component are not eligible for this classification.
- A digital version of the recorded/rendered creative work, in addition to a research statement, must be submitted in Pure.

Sub-Categories of Recorded/Rendered Creative Works

- Audio/visual recording: Research outputs presented in an audio-visual format, such as films, documentaries, or audio-visual presentations.
- Performance: Performances (in music, dance, theatre, etc.) created specifically for a recorded medium
- Inter-arts: Recorded/rendered creative works, often experimental, produced in association with other researchers in other disciplinary fields.
- Digital creative work: Digital creative works, including creating 3D models, digital outputs of architectural and design projects, computer programs, games, and visual artworks.
- Website/web-based exhibition: These are eligible as recorded/rendered creative works if the eligible researcher is the creator of the creative works featured on the website. Curated web-based exhibitions of the creative work of others must be submitted as curated or produced as substantial public exhibitions and events.
- Other: Other recorded/rendered creative works not listed above.

Q4 – Curated or Produced Substantial Public Exhibitions and Events

- The public exhibitions and events research output types aim to capture research undertaken by producers and curators rather than artists. The exhibition and events must be substantial in nature to be eligible.
- Digital evidence, in addition to a research statement, must be submitted to Pure

Note:

- The exhibition catalogues must be submitted as original creative works in the 'textual work' sub-category.
- Where a curator is an eligible researcher, the curator may claim exhibitions, festivals and other events as research outputs. Artists may claim exhibitions of their original creative works under the original creative works research output type, where the exhibition of the creative works is used as evidence that those works are publicly available.
- Multiple exhibitions/events cannot be counted as multiple research outputs where the repeated exhibitions/events do not introduce a new research component to the work. For example, institutions can only count a touring exhibition once. Institutions may count multiple exhibitions/events where each subsequent exhibition/event
introduces a new research component to the work that builds upon the initial research component of the original exhibition/event.

- Recurring exhibitions and events can be counted. For example, the Biennale of Sydney is a recurring event, with each occurrence being unique rather than a repeat of the previous occurrence.

Sub-Categories of Curated or Produced Substantial Public Exhibitions and Events

- **Web-based exhibition**: The curation and/or production of an internet website presenting a collection of creative works where the internet is the medium of the exhibited works.
- **Exhibition/Event**: The curation and/or production of creative works exhibited in a recognised gallery, museum, or similar venue, to show new works or a different arrangement of works.
- **Festival**: The curation of a festival bringing together innovative work or existing works in an innovative format or through a theme that provides new perspectives and/or experiences.
- **Other**: Curated or substantial public exhibitions and events that do not fit into the above sub-categories of the curated or produced substantial public exhibitions and events research output type.

Q5 – Research Reports for an External Body (Commissioned Report)

- A research report for an external body is a written research output commissioned or solicited by an external body such as a government department or private company. The report must have become publicly available (including via an institutional repository such as Pure).
- The library will assign Q5 if the report clearly says commissioned/funded by, is publicly available and clearly lists the authors. In all other instances, the library will assign a Z category. Faculties will periodically check all Zs and Q5s and nominate the required Q5s. If the report remains a Z and is not publicly available, the publication status will be changed to "Unpublished".
- If the report and metadata are identified as "confidential", the library will assign Output Visibility of "Confidential" in Pure, load a restricted PDF and assign Z category only.
- If the report PDF has been supplied to the library but a "published" copy cannot be located, i.e., on the internet or published form, the library will assign the publication status to "Unpublished" in Pure, restricting the PDF, and assign Z classification only.
- If the report PDF has been supplied to the library and a "published" version is located, the library will classify it Q5/Z and make both the PDF and the record publicly available in Pure. The faculty then checks and decides the final categorisation.

**Note**: If these reports are later determined to be available and relevant for ERA, the Q5 category will be assigned, and the metadata and PDF will be "unrestricted" by the library. Where there are two views about the confidential nature of the report, the opinion to make it either confidential or restricted, the "restricted" approach will be taken.

Sub-categories of Research Reports for an External Body

- **Public Sector**: A research report undertaken for an Australian, state, territory, local, foreign, or international government body or organisation.
- **Industry**: A research report undertaken for a company, industry organisation, industry peak body, or an employer/employee association.
- **Not-for-profit**: A research report undertaken for a body or organisation operating in the not-for-profit sector.
- **Other**: A research report is undertaken for an organisation not covered by the above sub-categories.

**The types of reports that are not eligible:**
- Submissions to public inquiries and consultations, including government or parliamentary inquiries.
- Policy blogs or online commentaries/articles.
- Briefing notes
### Section 4: Summary

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<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A1</td>
<td><strong>Books — Authored Research</strong></td>
</tr>
<tr>
<td></td>
<td>Major work of research published with an ISBN, substantial innovative contribution published by a recognised publisher (i.e., a commercial publisher whose core business is publishing and distribution) or University Press.</td>
</tr>
<tr>
<td>B1</td>
<td><strong>Chapters in Research Books — Authored Research</strong></td>
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<tr>
<td></td>
<td>Chapter in an edited volume that otherwise meets A1 criteria (excluding introductions unless they are a substantial scholarly contribution to the text in their own right).</td>
</tr>
<tr>
<td>C1</td>
<td><strong>Journal Articles</strong></td>
</tr>
<tr>
<td></td>
<td>Article in a scholarly refereed journal with an ISSN: Letters to Nature, invited papers, and other refereed communications and commentaries may be eligible if these papers meet the definition of research and the other criteria.</td>
</tr>
<tr>
<td>E1</td>
<td><strong>Conference Publications — Full Paper Refereed</strong></td>
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<tr>
<td></td>
<td>Full written paper - refereed proceedings: must be peer-reviewed at the national or international level (not including keynote addresses or poster or abstract-only presentations).</td>
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<tr>
<td>Q1</td>
<td><strong>Original Creative Works</strong></td>
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<td></td>
<td>The researcher must be the creator (e.g., not the curator of works produced by others). Sub-categories: Visual artwork, Design/architectural work, Textual work, and Other.</td>
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<tr>
<td>Q2</td>
<td><strong>Live Performance of Creative Works</strong></td>
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<td></td>
<td>A digital recording of the live performance must be submitted in Pure. Sub-categories: Music, Play, Dance, Other.</td>
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<tr>
<td>Q3</td>
<td><strong>Recorded/Rendered Creative Works</strong></td>
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<tr>
<td></td>
<td>For recorded/rendered creative works, the research component is contained within the recording/rendering. Sub-categories: Audio/Visual recording, Performance, Inter-arts, Digital creative work, Website/Web-based exhibition, Other.</td>
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<td>Q4</td>
<td><strong>Curated or Produced Substantial Public Exhibitions and Events</strong></td>
</tr>
<tr>
<td></td>
<td>The public exhibitions and events research output type aims to capture research undertaken by producers and curators rather than artists. The exhibition and events must be substantial in nature. Sub-categories: Web-based exhibition, Exhibition/Event, Festival, Other.</td>
</tr>
<tr>
<td>Q5</td>
<td><strong>Research Reports for an External Body (Commissioned Report)</strong></td>
</tr>
<tr>
<td></td>
<td>A research report for an external body is a written research output commissioned or solicited by an external body such as a government department or private company. Sub-categories: Public sector, Industry, Not-for-profit, Other.</td>
</tr>
</tbody>
</table>