

THE AUSTRALIAN NATIONAL UNIVERSITY
UNIVERSITY RESEARCH COMMITTEE

Meeting No. 1, 2009

Meeting No. 1, 2009, of the University Research Committee was held on Tuesday 3 March 2009 at 9.30 am in the R C Mills Room of the Chancelry.

Present: Professor Cram, Deputy Vice-Chancellor (Chair); Professor Stanton; Professor Thomas; Dr Cui (for Dr Capezio); Mr Galvin; Professor Gibson (for Professor Shannon); Professor Hill; Professor Houghton (for Professor Smith); Dr James (for Professor Kennedy); Dr Jones; Ms Kelly; Professor Kirk; Ms Kulhanek; Professor Marsh; Professor Matthaei (for Dr Jones); Professor Merlan; Professor Thornton; and Professor Williams.

By invitation: Dr Bain; Mr Curtotti (Item 12.1); Professor Carroll.

In attendance: Ms Bruce

Disclosure of Pecuniary or Material Personal Interest

There were no disclosures of pecuniary or material personal interest in matters listed on the agenda.

Use of Inside Information or Position

Under sections 24 and 25 of the *Commonwealth Authorities and Companies Act 1997*, a member of the University Research Committee must not make improper use of his or her position or of inside information to gain an advantage for himself or herself or to cause detriment to the University or to another person.

MINUTES

PART 1: PROCEDURAL ITEMS

ITEM 1. MINUTES

The minutes of Meeting No. 4, 2008 of the University Research Committee (1253/2008) held on 7 November 2008 were confirmed (published at http://info.anu.edu.au/ovc/Committees/060PP_Research/meetings).

ITEM 2. MATTERS ARISING

ITEM 3. ANNOUNCEMENTS AND APOLOGIES

3.1 Apologies were received from Mr Brown, Dr Capezio, Professor Deane, Professor Kennedy, Dr McMahon and Professor Shannon.

3.2 Announcements

3.3 Confidential Items

There were no confidential items. Dr Dan, Ms Goldwater, Dr Osborne, Ms Payne and Ms Rayner attended as observers.

ITEM 4. STARRED ITEMS

The starred items were: 1, 2, 3, 5, 6, 7, 8, 9, 10, 12.1, 12.2, and 15. The unstarred items were approved without debate as set out in the agenda.

ITEM 5. MEMBERSHIP AND COMMITTEE OPERATING PROCEDURES

5.1 Membership Changes from 2009

The Committee noted the following changes to the membership:

- Early Career Researcher: Dr Alessandra Capezio for two years to 31 December 2010
- ANU College of Law: Professor Margaret Thornton
- ANU College of Medicine, Biology and Environment: Professor Frances Shannon; Alternate: Professor John Gibson
- Undergraduate Student Representative: Mr Tom Galvin, Vice-President

5.2 Operating Procedures

The statement of the operating procedures for the University Research Committee (138/2009) was noted.

PART 2: REPORTS AND POLICY MATTERS

ITEM 6. RECONCILIATION ACTION PLAN

The Chair welcomed Professor Dodson, Director, ANU National Centre for Indigenous Studies, to the meeting to present the Draft *ANU Reconciliation Action Plan* (1389/2008) and *Audit Report* (1402/2008). Professor Dodson commented that the revised Plan would be put to the March Council meeting and launched on 10 June in Reconciliation Week. The five-year Plan would commence from January 2011 to allow lead-time for areas to prepare. Plans were already widely in place, or in progress, at other universities, and in the Government, corporations and schools sectors. An Indigenous Employment Action Plan currently under discussion would also encourage all organisations to introduce plans. Annual reporting on Plans and their implementation would be a requirement.

Issues raised in discussion were:

- Key success factors for recruitment:
 - an inclusive environment (major banks and the mining industry, the biggest employer of Indigenous Australians, have set the example)
 - cross-cultural awareness programs
 - training and cultural competency for non-Indigenous staff
- Major challenges:
 - for Indigenous people to acquire adequate skills to be employable
 - for the University to recruit students prepared at undergraduate level, and trained for HDR, and subsequently for academic careers. While ANU has the largest single Indigenous HDR cohort, its Indigenous undergraduate cohort is the lowest of the Go8 universities

- . Addressing the targets and take-up in research areas:
 - targets would be unattainable in certain fields in particular, e.g. physical sciences, in the absence of a pipeline from secondary school through undergraduate studies and in the current conditions surrounding science studies generally
 - the profile of Indigenous students in disciplines outside the humanities and social sciences has shifted from mature age to school-leaver. Mature-age graduates in these disciplines faced with the responsibilities of family and work were less able to contemplate further studies or research
 - ANU's cohort of Indigenous students was likely to continue to come largely from other universities. The University is a very attractive destination for Master and PhD studies with leading scholars in certain areas of expertise
 - supporting, encouraging and retaining high achieving Indigenous students wherever possible would be a first step in building up numbers. Identifying graduates and exploring potential academic career options with them was another initiative in the law field
 - experience in medical research and Indigenous health indicates the need for mentoring schemes to bring people into the field. Graduates from other medical programs, such as the very successful University of Newcastle program, and building on the ANU Master of Applied Epidemiology were avenues for the University to consider.

The Committee:

- (i) Supported the draft ANU Reconciliation Action Plan as the platform from which to move forward;
- (ii) Commended the Plan to ANU Colleges;
- (iii) Noted advice from the Deputy Vice-Chancellor that further consideration would be give to targets at College level and that processes would be put in place to collect information and conduct workshops on local plans leading up to the introduction in 2011.

The Chair thanked Professor Dodson for attending and noted that the University benefitted greatly from his contribution as a member of the staff.

ITEM 7. REPORT FROM THE DEPUTY VICE-CHANCELLOR

The Committee noted the following report from the Deputy Vice-Chancellor:

- Excellence in Research for Australia (ERA)
The submission date for the Physics, Chemistry and Earth Sciences cluster has been delayed to 29 July 2009 in order to ensure universities are adequately prepared for the trial. Submissions for the Humanities and Creative Arts cluster close on 4 September 2009.
ERA guidelines were about to be released and would be available for meetings being arranged with local areas.
- Review of Australian Higher Education Report (at <http://www.deewr.gov.au/HigherEducation/Review/Pages/ReviewofAustralianHigherEducationReport.aspx>)

The more comprehensive response from the Government was likely to be available in the May budget.

- University Leadership Retreat
(See http://info.anu.edu.au/ovc/Executive/070PP_Reports_and_Papers)
The year of standards and quality and a new approach to the Institute of Advanced Studies had emerged as the theme for 2009 from the Retreat.
- Education Investment Fund
Neither funding application for the science building project nor participation in the Giant Magellan Telescope was successful in 2008.
Three bids have been submitted in the subsequent round:
 - . a new approach to the Giant Magellan Telescope application
 - . science capital works focussing on the chemistry project with support from the University of Canberra (UC)
 ANU has also supported UC bids for the Cullen Building in environmental work, and a UC-ANU College proposal for VET in applied science.
- Tropical Research
The AIMS-CSIRO meeting to canvass a co-ordinated approach to research in the tropics was attended by Minister Carr and the Deputy Vice-Chancellor. ANU, the only institution located outside the tropics, might be a “spoke”, “hubbed” off Charles Darwin or James Cook Universities, for some projects. Information about research opportunities would be distributed and feedback invited from areas.
- Prime Minister’s Prizes for Science
Entries close on 8 May 2009.
- Appeal Body for Serious Research Misconduct
Discussions about how to deal with Part B of the *Australian Code for the Responsible Conduct of Research* and the role proposed for the Government will lead to redrafting of the Department’s discussion paper. In these circumstances, it was unlikely that an appeal body would be established by mid-year.
- AUQA Audit
The Chair reminded Chairs of ANU College Research Committees that responses were needed in relation to the implementation of R5 of the Audit which reads:
“AUQA recommends that ANU, in order to achieve a seamless research structure with effective planning and monitoring, ensure that college research committees have consistent terms of reference that link directly to those of the University Research Committee.”
- Seminar on 2008 Grants Round
A seminar may form part of the agenda for the 13 May 2009 meeting.

ITEM 8. REPORT FROM THE PRO VICE-CHANCELLOR (RESEARCH)

The Committee received the following report from Professor Thomas, Pro Vice-Chancellor (Research).

- HDR Enrolments
The number of Government funded Australian Postgraduate Awards has been increased by 1000 over five years across the sector. ANU has experienced a slight fall in applications for 2009 but has maintained enrolments at a similar

level to 2008. The RTS load remains below projections with further initiatives needed to increase numbers and take advantage of scholarship availability.

- 2007 Review of Higher Degree Research at ANU
A report on progress, “Implementation of the Report of the 2007 Review of Higher Degree Research” (142/2009) has been prepared (at http://info.anu.edu.au/ovc/assets/Committees/040PP_Education/uecmgt1_2009/142HDRrevimplrepfeb09.pdf). Most recommendations have been implemented. Areas have been asked to provide data about HDR training and resources per student in preparation for meetings of College focus groups formed to review student training provision.

ITEM 9. NEW INSTITUTE OF ADVANCED STUDIES

The Pro Vice-Chancellor (Research) outlined the principal elements of discussions to reconceptualise the Institute of Advanced Studies (IAS) and how it supports excellent researchers at ANU. Background and the process and timeframe had been distributed to all staff in an email, “2009 Retreat Outcomes” on 13 February. A discussion paper would be finalised for circulation by the end of March and College forums conducted with different focus groups.

Key elements of the current discussions were:

- . Membership of the IAS would be on an individual basis and according to criteria of excellence. No quotas or targets would be imposed.
- . Two steps to membership were: research excellence and validation of excellence, and a research plan aligned with College strategic research plans.
- . Validation would be based on ERA data, the staff member’s curriculum vitae and a selection of their best work sent to assessors.
- . Quality and the research plan would be examined by a panel.
- . Assessments would be made relative to opportunities and on quality rather than output. While a research team would not qualify for membership, individual IAS members would be able to support the work of their teams.
- . Conditions associated with IAS membership would include HDR training.
- . The transition from the existing IAS to the new model would need to be incremental and staged in parallel with the release of funds from departures and retirements.

Members noted the report and that discussion of this item was ongoing.

ITEM 10. RESEARCH PLANNING DAY

The Committee noted the following papers and the report from the Deputy Vice-Chancellor on the action items from the Planning Day:

- . “ANU Research Support Planning Day Summary” (137/2009)
- . “ANU Business Development, Past, Present, Future” from Dr Keat Nelms
- . “Session: Leadership and Collaboration”

Action items from the Planning Day:

- Responsibilities of Research Office, College Research Offices and interactions with researchers and their responsibilities to be determined through the review of the *Externally-Funded Grants, Consultancies and Contracts Policy*. Policy and business processes are being progressed through the Research Office.
- Develop a better understanding of risk management in a research management context.
- Develop a clearer understanding of the performance indicators for research management as opposed to research performance. Discussions have commenced in some ANU Colleges.
- Develop an ANU Leadership and Management program to facilitate research collaboration that leads to successful bids for ARC Centres of Excellence, Special Research Centres, and other large collaborative research centres. The Pro Vice-Chancellor (Research) would be investigating this item.
- Opportunities for allowing researchers to make inter-disciplinary connections and meet potential industry partners are required. This item was expected to be taken forward through the newly established office of Director of Development and Innovation.

ITEM 11. DISCOVERY, FUTURE AND AUSTRALIAN LAUREATE FELLOWSHIPS

The Committee noted that a record number of ANU applications had been made for Discovery Project, Future Fellowships and Australian Laureate Fellowships. A breakup by category (table 150/2009) was received.

ITEM 12. RESEARCH RELATED POLICIES

12.1 *Intellectual Property Statute*

Members noted the “Background to IP *Statute*” and that the draft *Intellectual Property Statute* was in progress. The University was moving to develop a revised intellectual property framework in the form of a Statute which would be coherent with the University’s mission of generating new knowledge through teaching and research and broadly maintains substantive rights and obligations and appropriate benefit sharing arrangements (including a mechanism for the University to accord a greater share of benefit to the creators of intellectual property). Notable variations on current approaches included:

- (a) built in licensing mechanisms for academic purposes;
- (b) options for the University to take up ownership of research student or visitor IP, where this fosters the objects of the Statute;
- (c) greater controls on contractual provisions which have the effect of stifling the dissemination of new knowledge;
- (d) reversal of ownership of copyright material generated within a University context, but with full licensing to academics for purposes of research, teaching and publication.

Principal comments made in discussion were:

- . disputed ownership issues have arisen in relation to research student intellectual property which has not previously been claimed under the ANU policy. The Deputy Vice-Chancellor would meet with the Executive of PARSA for discussions about the provision.
- . a “townhall” discussion would be publicised and enable effective consultation with staff about any issues.
- . the relationship between the University claiming ownership over all intellectual property and openness of access of discovery to the public at large was raised as an area that needs to be clarified in the *Statute*. An example was publishing, where it would be expected that an author could give licence to a publisher.

The Committee noted the discussion and that input to the drafting process may be directed to either the Deputy Vice-Chancellor or the Legal Office, or through the Legal Wiki site at legalwiki.anu.edu.au.

12.2 Policy on Human Tissue

The Committee noted the draft Policy: *Collection, Storage and Disposal of Human Tissue in Research* (145/2009) and consultation in progress with stakeholders. One item of feedback of an ethical nature was being addressed in the policy.

The Committee agreed to endorse the draft Policy: *Collection, Storage and Disposal of Human Tissue in Research* (145/2009) subject to amendment.

12.3 Responsible Practice of Research (Part B)

Members noted that a draft of Part B to the ANU policy relating to research misconduct was in progress.

12.4 Human Research Ethics Committee

It was noted that revisions to the Terms of Reference for the Committee reflect that adjunct ANU appointments who are primarily employed by ACT Health do not need ANU HREC approval unless they are working with ANU students. ANUMS students working within the ACT health system would require ANU HREC approval.

ITEM 13. REPORTS FROM ANU COLLEGES

The Committee noted reports from the Chairs of ANU College Research Committees

- ANU College of Medicine, Biology and Environment (148/2009)
- ANU College of Business and Economics (151/2009)
- ANU College of Physical Sciences

ITEM 14. REPORT ON CENTRES

The Committee noted the provisions of the policy and procedures for the *Establishment, Management and Closing of Academic Centres* for centres to be registered by the proponents after endorsement by either the University Research or Education Committee, and approval by the Vice-Chancellor. The following had been approved by the Vice-Chancellor since the policy took effect from 1 December 2008:

New Centres:

- Centre for Applied Macroeconomic Analysis (CAMA) as an Academic Organisational Unit in the ANU College of Business and Economics with effect from 1 January 2009.
- National Institute for Rural and Regional Australia: hosted by CASS with the Director and Deputy Director located in RSSS, commencing 1 January 2009. The Institute has not been established as an Academic Organisational Unit but acts in the same way as other 'virtual' centres.

Closure of Centres

- Disestablishment of the North Australian Research Unit as an academic organisational unit in the ANU College of Asia and the Pacific. The Unit has been transferred to the Facilities and Services Division.
- Disestablishment of the Program for the Study of Asian Business Cultures as an Academic Organisational Unit in the ANU College of Asia and the Pacific.

Note: See the Schedule of Amendments maintained at the Statistical Services website: <http://unistats.anu.edu.au/General/Structure/Tree/changesched.pdf>

PART 3. ITEMS OF OTHER BUSINESS

ITEM 15. OTHER BUSINESS AND QUESTION TIME

15.1 Grants and Consultancies

The Committee noted reports on Grants and Consultancies for the period 1 October 2008 to 31 January 2009, published as attachments (130/2009 and 152/2009).

15.2 University Research Committee Meetings for 2009

Meetings have been scheduled as follows:

- Tuesday 3 March 9.30 am – R C Mills Room, Chancelry
- Wednesday 13 May 9.30am - Ross Hohnen Room, Chancelry
- Thursday 9 July 9.30 am - Ross Hohnen Room, Chancelry
- Thursday 17 September 9.30 am - Ross Hohnen Room, Chancelry
- Thursday 19 November 9.30am – Ross Hohnen Room, Chancelry

jab/16 March 2009