

THE AUSTRALIAN NATIONAL UNIVERSITY
UNIVERSITY RESEARCH COMMITTEE

Meeting No. 2, 2009

Meeting No. 2, 2009 of the University Research Committee was held on Wednesday, 13 May 2009 at 9.30 am in the Ross Hohnen Room of the Chancelry.

Present: Professor Cram, Deputy Vice-Chancellor (Chair); Professor Stanton; Professor Thomas; Dr Capezio; Mr Galvin; Professor Hill; Dr Jones; Professor Kennedy; Professor Kennett; Ms Kelly; Professor Kirk; Dr McMahon; Professor Marsh; Professor Shannon; and Professor Thornton.

By invitation: Dr Bain; Mr Curtotti (Item 10.2); 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. 1, 2009 of the University Research Committee (160/2009) held on 3 March 2009 were confirmed (published at http://info.anu.edu.au/ovc/Committees/060PP_Research/meetings).

ITEM 2. MATTERS ARISING

The Committee noted the following:

Item 6. Reconciliation Action Plan

Council, at its meeting on 27 March 2009, resolved “that the ANU Reconciliation Action Plan (34/2009) be approved, noting its aspirational nature and recognising that implementation will reflect the University’s reasonable and best endeavours”. The Plan has received Reconciliation Australia’s endorsement. Management of the implementation processes is under discussion.

Item 7. AUQA Audit: Committee Terms of Reference (see Item 10.)

Item 12.1 Policy on Human Tissue

The amended *Policy: Collection, Storage and Disposal of Human Tissue in Research* (145a/2009) has been approved and published at the University's policy website.

ITEM 3. STARRED ITEMS

The starred items were: 1, 2, 3, 4, 5, 6.1-2, 6.4, 7, 8, 10.2, 11.2 and 12. The unstarred items were approved without debate as set out in the agenda.

ITEM 4. ANNOUNCEMENTS AND APOLOGIES**4.1 Apologies**

Apologies were received from Professor Clarke, Professor Deane, Ms Kulhanek, Ms Pabian and Professor Smith.

4.2 Announcements**4.3 Confidential Items**

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

PART 2: REPORTS AND POLICY MATTERS**ITEM 5. REPORT FROM THE DEPUTY VICE-CHANCELLOR**

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

- Government Budget 2009-2010
 - *Nation Building for the Future*, Appendix A Education Infrastructure Fund (tabled)
 - Overview of Budget Commitments relevant to the University (tabled)

The Chair commented that the announcements had been well received by the University and outlined the major components which included:

 - . Improved indexation for all University grants including the IAS block grant which has previously been excluded
 - . Capital funding of \$150 (\$90m for a Chemical Sciences Hub under EIF and \$60m for the Eccles Institute - Stage 3 of JCSMR redevelopment)
 - . An increase to the APA stipend
 - . Adjustments to the IGS and RIBG formulas
 - . Research initiatives that offer partnership opportunities for ANU or in which ANU may expect to have a significant leadership role. These included substantial funding for research data storage and computer modelling

Work would be needed to position the University for purpose funded initiatives and a process would be put in place once details have been released.
- Full Funding of Research

The further analysis being conducted by DIISR on the indirect costs of research involves an examination of how researchers use their time. The context for the studies is accountability and efficiency in universities. ANU was likely to participate in the project with a sample of staff.

- Go8 National Research Strengths Information Services
Co-ordinator of the Go8 group is Pro Vice-Chancellor Professor Stanton.
Developments in national information services currently in progress will draw on experiences gained from the ANU's Scholar's Gate and Scholar's Keep initiative.
- Excellence in Research for Australia (ERA): ERA FAQ at http://www.arc.gov.au/rtf/ERA_FAQ.rtf
Physics, Chemistry and Earth Sciences cluster would be submitted for evaluation by 3 July and the Humanities and Creative Arts by 21 August.
- Grant Applications Update
 - LIEF: ANU is a participant in several large bids.
 - Major Equipment Committee
The report, *Outcomes of 2009 Funding Round (523/2009)*, was noted. The Chair acknowledged the valuable work of Professor Elliman and members of the Major Equipment Committee in assessing applications and recommending allocations.
- Future Research Leaders Program
The Introductory Workshop, *Settling In: The Researcher's Guide to ANU* was held on 31 March. Over 180 enrolments have been received for the Program to date. The level of interest has led to additional sessions being organised. Details about the modules are available at the website http://www.anu.edu.au/ro/Director_RO/DRO_FRLPindex.php
- Teaching Equipment Funds Scheme
Applications will be sought soon. The guidelines will be as in previous years, with IT items clarified. IT equipment will be funded up to 50% of the value.
- Reviews and Reports
 - Review of Australian Higher Education - References:
Review Report released 17 December 2008:
<http://www.deewr.gov.au/HigherEducation/Review/Pages/default.aspx>
Minister's Speeches:
Universities Australia Conference - 4 March 2009:
http://www.deewr.gov.au/Ministers/Gillard/Media/Speeches/Pages/Article_090304_155721.aspx
Big Skills Conference 5 March 2009:
http://www.deewr.gov.au/Ministers/Gillard/Media/Speeches/Pages/Article_090305_093449.aspx
Australian Financial Review - Higher Education Conference - 9 March 2009
http://www.deewr.gov.au/Ministers/Gillard/Media/Speeches/Pages/Article_090310_141130.aspx
 - *Defending Australia in the Asia Pacific Century Force 2030 at*
http://www.defence.gov.au/whitepaper/docs/defence_white_paper_2009.pdf
The Defence White Paper was released on 2 May 2009.
- Alliances and Collaborations
 - IARU: The Chair attended the meeting of President's in April and discussions about positioning of IARU global environmental research through the University of Cambridge.

- Communication of Information
Channels for the communication of strategic research information to relevant senior officers, staff and Research Committees are being developed.

ITEM 6. HIGHER DEGREE RESEARCH AND RESEARCH TRAINING

The Committee noted the following report from the Pro Vice-Chancellor (Research).

6.1 Institute of Advanced Studies (see website <http://quicklink.anu.edu.au/yt17>)

Discussions about a model for the new Institute of Advanced Studies were continuing taking account of responses to the 'Statement of Principals I' and the 'Statement of Principals II'. As suggested at the meeting in relation to HDR recruitment strategies (Part 6.), the revised proposal would reflect the merit principle for the selection of students and also a focus, for areas identified in College Strategic Plans, to increase the number of enrolments and the quality of students.

6.2 Reviewing HDR Training

The quality of research training in ANU Colleges had been assessed as good overall in the recent evaluation conducted in response to the 2007 HDR Review recommendation. A summary in the report from the HDR Subcommittee (526/2009) identified a number of focus areas for improvement: induction, pastoral care, Master Classes, transparent research support funding processes, and avenues for confidential feedback from students. PREQ responses placed ANU above the national average in all categories except for supervision and this area would be a major topic for College focus groups.

6.3 Unallocated Scholarships

Members noted updated information, *Scholarships Available for Mid-Year Allocation 2009* (647/2009), which has been sent to ANU Colleges.

6.4 ANU Researchfest (<http://researchstudents.anu.edu.au/researchfest/>)

The University's first ANU Researchfest for PhD and MPhil students held from 20-24 April 2009 had been successful overall. The event would be run annually and efforts made to improve participation in those areas that had been less well attended.

ITEM 7. SCHOLARLY PUBLICATION

The Committee noted that discussion about open access and presentation of research has been continuing in the University with input for stakeholders. At its meeting of 24 July 2008, the Committee received a presentation from the Pro Vice-Chancellor on the project which focussed on open access to the University's scholarly work. The meeting of 7 November had considered a paper, *Published peer-reviewed papers twice: a contribution to Openness* and had broadly supported the approach being put forward.

Further developments, captured in the paper *Update on Scholarly Publication at ANU* (525/2009) from the Deputy Vice-Chancellor and Pro Vice-Chancellor, introduce the Scholar's Keep and Scholar's Gate services foreshadowed in *Published peer-reviewed papers twice: a contribution to Openness*. Scholar's Gate would be launched internally

in about one month's time and rolled out across Colleges by the end of the year. Scholar's Keep, the repository for papers ultimately available through Scholar's Gate, would be launched internally on 15 May. A new initiative for retaining research data would be presented to a future meeting of the Committee.

The Committee noted the Authorship form requirements under the policy on *Responsible Practice of Research* and the *Australian Code for the Responsible Conduct of Research (2007)*. Scholar's Keep provided an alternative electronic way to create those records. The merits of an additional optional facility in Scholar's Keep for identifying a person's contribution to a paper at an early stage was also discussed and referred to the Pro Vice-Chancellor for further consideration.

ITEM 8. RESEARCH STRATEGIES

The Committee was invited to discuss strategies in relation to a number of special funding programs.

- **Future Fellowships and Australian Laureate Fellowships**

Members noted:

- . a Memo - ANU Process for Recruiting Future Fellows
- . Guidelines for completing the Future Fellowship Strategic Statement
- . List of Emerging Research Strengths
- . Application processes and timetable for both Fellowships

Fifteen to twenty successful applications was a possible outcome from the relatively large number submitted from ANU (about 80). The announcement was expected within a month.

- **Linkage Projects Pilot**

Members noted:

- . *Guidelines* at http://www.anu.edu.au/ro/OSR/Funding/funding_ANU_linkage_pilot.php
- . Summary (656/2009)

The pilot has been a success. In the end, only \$2k had been available for each successful application from the Pilot Fund (up to \$10k per pilot for budget items was originally flagged). The success rate for applications for ARC Linkage Project funding from Linkage Pilot awardees had been higher than for other applications that were not part of the Pilot, i.e. of the 11 Linkage Pilot awardees who submitted ARC applications, 9 were successful – an 82% success rate.

- **Centres of Excellence**

Advice has been received that an ARC Centres round will be run in 2009, including rebidding for some exceptional Centres. ANU researchers would be asked to provide short statements about their interest in any proposed bids. The nature of ANU's involvement, in a 'hubs and spokes' model or a lead capacity, would be worked through once possible bids were known.

ITEM 9. RESEARCH INTEGRITY

The Chair acknowledged the work of the University's ethics committees and colleagues. He commented that the quality of the Annual Reports were a credit to the University's processes.

9.1 Animal Experimentation Ethics Committee

The Committee noted:

- (i) The Annual Report for 2008 (500/2009);
- (ii) The Committee's revised Terms of Reference (522/2009).

9.2 Human Research Ethics Committee

The Committee:

- (i) Noted the Annual Report for 2008 (528/2009);
- (ii) Noted that appropriate ethical approval for research on human subjects was required irrespective of the sources of funding, including for University consultancies. Any issues about the commercial viability of a consultancy being affected would need to be taken up with the Committee.

9.3 Institutional Biosafety Committee/Recombinant DNA Monitoring Committee (IBC)

The Committee noted the Annual Report for 2008 (509/2009)

ITEM 10. RESEARCH RELATED POLICY DEVELOPMENT**10.1 Policy Reviews**

The Committee noted that the following were under review:

- *Externally-funded Grants, Consultancies and Contracts*
- *(52 Day Rule)-Undertaking Individual Consultancies and Professional Practice*

10.2 Intellectual Property Statute

Members considered the:

- Draft *Intellectual Property Statute* (at <http://www.anu.edu.au/legal/draftIPStatuteCurrentVersion.pdf>)
- Background to IP Statute (extract)

The Chair noted the importance of the Statute to the University and acknowledged the work undertaken to develop it to this point, thanking all who had provided constructive comments, following extensive consultation. The draft seemed to be attracting broad acceptance except in relation to the issue of copyright ownership and whether it should be managed as in the current policy by a system of automatic assignment to authors, or a system in which such works would be claimable by authors, subject to consideration of open publication licenses.

Principal comments arising in discussion related to:

- Concerns were expressed by some staff members about a shift of policy removing the category of "exempt IP" which automatically gives copyright ownership over certain scholarly publications and its replacement instead with a system where copyright is "claimable" by the creators of certain scholarly and artistic works, but not automatically assigned. Staff holding concerns put the view that assignment subject to compulsory licenses in favour of the University for open publication/open

access purposes is preferable to the approach in the draft *Statute*. It was also argued that the issues of openness and copyright ownership should be treated separately and that the proposals in the *Statute* will not promote openness. The proposed changes were felt to be unnecessary.

- . The reasons for the approach embodied in the *Statute* were explained as being in order to respond to developments in the field of open publication and promote open publication, to provide for greater flexibility in management of copyright (by authors) and to minimise the administrative burden of revoking automatic licensing (for instance where a commercial publisher requires assignment or an exclusive licence). While authors are not required to grant a licence, the draft promotes consideration of open publication licences. The draft reflects an emphasis on the promotion of knowledge dissemination and the management of copyright in this context, while substantively delivering the same outcomes to creators of copyright works.
- . Others commented that the draft represented an improvement in clarity and would be easier to apply and that only this one substantive issue remained in question.

The Committee:

- (i) Noted the draft *Statute* and that the broad policy and directions contained in the *Statute* have received support from within the University;
- (ii) Noted that the copyright provisions remain an issue for some staff members and that the Chair would continue discussions to find a way forward.

ITEM 11. REPORTS FROM ANU COLLEGES

11.1 Reports from College Research Committees

The Committee noted reports received from:

- ANU College of Arts and Social Sciences (524/2009)
- ANU College of Physical Sciences (527/2009 and 641/2009)
- ANU College of Engineering and Computer Science (557/2009)

11.2 College Research Committees: Terms of Reference

Members noted R5 of the AUQA Audit which “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.” The paper, *Research Committee Governance Matters (72/2008)*, from the Deputy Vice-Chancellor (Meeting No.1, 2008) had suggested a set of “standard” items consistent with *ANU by 2010*.

The Committee:

- (i) Noted that information flows about higher degree research and research training would be best accommodated by an alignment of the

terms of reference of College committees with those of University-level committees;

- (ii) Noted that the Higher Degree Research Committee has been established as a sub-committee of the University Education Committee to advise on all matters relating to HDR, research training, resources and infrastructure, and may provide advice the University Research Committee;
- (iii) Noted the recommendation from the Pro Vice-Chancellor (Research) that, accordingly, all HDR and research training matters, including candidature and supervision should be positioned by ANU Colleges with education. Research infrastructure and resources were also appropriately positioned with research;
- (iv) Noted that the Terms of Reference for the Research Committees in the Colleges of Medicine, Biology and Environment, Physical Sciences, Engineering and Computer Science, and Law (643/2009) were consistent with the proposed alignment with the University Research Committee, and referred them for approval;
- (v) Noted that the remaining Colleges would report to a future meeting.

PART 3. ITEMS OF OTHER BUSINESS

ITEM 12. OTHER BUSINESS AND QUESTION TIME

12.1 Grants and Consultancies

The Committee noted a report on Grants and Consultancies for the period 1 February to 31 March 2009 published at the website (520/2009).

12.2 Research Planning Day

The Planning Day will be held on a date to be decided in September or October.

jab/18 May 2009