

THE AUSTRALIAN NATIONAL UNIVERSITY**UNIVERSITY RESEARCH COMMITTEE****Meeting No. 4, 2008**

Meeting No. 4, 2008 of the University Research Committee was held on Friday, 7 November 2008 at 9.30 am in the Ross Hohnen Room of the Chancelry.

Present: Professor Cram, Deputy Vice-Chancellor (Chair); Professor Stanton; Professor Thomas; Professor Clarke (for Professor Smith); Ms Firth (for Mr Smyth); Dr Golley; Professor Hill; Dr Jones; Ms Kelly; Professor Kennedy; Professor Kirk; Ms Kulhanek; Dr McMahon; Professor Merlan; Professor Rubenstein; Professor Stoljar; Professor Stuart; and Professor Williams.

By invitation: Dr Bain; Professor Carroll; Professor Elliman (for Item 10.).

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. 3, 2008 of the University Research Committee (918/2008) held on 24 July 2008 were confirmed (published at http://info.anu.edu.au/OVC/Committees/060PP_Research/meetings.asp).

ITEM 2. MATTERS ARISING**Item 4. Report from the Deputy Vice-Chancellor**

- **Budget 2008-09**

ANU has been arguing for a change to the historically based formula for the allocation of awards which disadvantages the University relative to other research institutions. This would become even more pronounced with the doubling in the number of APAs over the next five years. Advice has been received that the existing formula will be applied for 2009 resulting in about 30 awards more than in 2008. The University will continue to make its case for an increased share of the pool of awards.

ITEM 3. ANNOUNCEMENTS AND APOLOGIES

3.1 Apologies were received from Mr Brown, Professor Gatenby, Professor Makkai, Professor White, Professor Smith, and Mr Smyth.

3.2 Announcements

3.3 Confidential Items

There were no confidential matters. Professor Elliman, Mr Galvin, Dr Osborne, and Ms Payne attended as observers.

PART 2: REPORTS AND POLICY MATTERS

ITEM 4. REPORT FROM THE DEPUTY VICE-CHANCELLOR

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

- **NCRIS**
Work is continuing on the twelve funded priority capabilities and the *Strategic Roadmap for Australian Research Infrastructure* has been published (see http://ncris.innovation.gov.au/Documents/2008_Roadmap.pdf). Of interest to ANU Colleges in these fields is a new infrastructure capability identified in the Humanities, Arts and Social Sciences. Concerns raised about how to manage research infrastructure in Australia are being discussed. No further funding for NCRIS will become available until after 2009.
- **Reviews at ANU**
 - . ANUCAP: The review report has been received and is to be discussed with staff at a meeting with the Vice-Chancellor in November
 - . 2008 Review of Information Infrastructure and Services: The report may be accessed at http://info.anu.edu.au/OVC/Executive/070PP_Reports_and_Papers/index.asp
 - . Neuroscience Review: The report has been submitted to the Vice-Chancellor.
- **Submissions and Plans**
 - . 2008 Institution Assessment Framework Information Collection: Research, Research Training and Innovation (at http://unistats.anu.edu.au/Pubs/IAFIC/IAF_2008/)
 - . ANU Master Plan for Research and Education
See: http://info.anu.edu.au/OVC/Committees/030PP_Community/ucecmgt5_2008/ANUResearchEducationMasterPlan2008Final.pdf
- **Fellowships**
 - . Go8 Future Research Leaders Program: A training program for current and emerging research leaders at ANU (at http://info.anu.edu.au/OVC/Executive/020PP_Strategies,_Initiatives_and_Alliances/FRLP/index.asp)
 - . Future Fellowships (at http://www.anu.edu.au/ro/OSR/Funding/funding_ARC_FT_9.php)
It was noted that the new scheme would be highly competitive and difficult to gauge until there had been experience of one round of awards.
The Guidelines had been provided late, leaving little time to prepare applications. In some instances, eligibility may become an issue warranting appeal. Those applicants not supported in the round would possibly go forward at a future time or may consider applying for other ARC Fellowships.
 - . Australian Laureate Fellowships Scheme

- **Appointments and Honours**

The Chair congratulated:

- . Professor Penny Sackett on her appointment as Chief Scientist
- . Professor Chubb, Vice-Chancellor, on his appointment to the Board of CSIRO
- . Dr Carola Garcia de Vinuesa, JCSMR, for the award of the 2008 Science Minister's Prize for Life Scientist of the Year

- **Education Invest Fund**

One of two ANU applications, for funding Australia's participation in the Giant Magellan Telescope, has been shortlisted for the next round. This application was the only international infrastructure bid being considered. An application for funds for science buildings has not been shortlisted.

ITEM 5. RESEARCH PLANNING DAY

The Committee noted that summaries of the Planning Day breakout sessions would be made available. The following report was also noted:

- The Deputy Vice-Chancellor had welcomed the 120 participants to the Research Planning Day held on 22 October.
- As part of his welcome, Professor Cram gave an historical overview of the ANU and its structure, as well as a discussion on rankings and current structure.
- The ProVice-Chancellor (Research), Professor Mandy Thomas gave an overview of our current research performance in terms of ARC and NH&MRC grants and fellowships. An improvement in Linkage was noted. The strategic importance of Future and Laureate Fellowships was discussed. It was noted that HDR students in future years will have a compulsory ethics component to their course.
- The Deputy Vice-Chancellor gave an overview of the current research portfolio. This included an overview of the different methods for ranking universities and our relative performance within the Group of Eight. The role of commercialisation at ANU was discussed.
- Dr Keats Nelms gave a presentation on business development in a University context. Phenomix was used as a case study. The role of the Business Development Office was clarified as being to achieve institutional commercial development goals.
- The first workshop session was based on the role of research managers at ANU and our current procedures, including proposed revision of the grant procedures. The Deputy Vice-Chancellor and Dr Ian McMahon, Director, Research Office, introduced the session.
- The second (and final) workshop session was based on driving collaboration in research. Dr Jannette Lindesay introduced the session which was jointly hosted by Dr Lorraine Elliott, Dr Alistair Rendell, and Dr John Bowden. The aim was to discuss how to facilitate research collaboration leading to successful bids for ARC Centres of Excellence, Special Research Centres, and other large collaborative research centres. An outline See attachment (1267/2008).

ITEM 6. OPEN ACCESS AND PRESENTATION OF RESEARCH

The Deputy Vice-Chancellor advised that discussions about a framework for open access to the University's scholarly work which had been foreshadowed at meetings Nos 1 and 3 of the Committee have been reconceptualised. Driven partly by the need for ANU's revised intellectual property policy to be in place first and for more information about the Government's open access agenda, the approach now being advocated in the Pro Vice-Chancellor, Professor Stanton's paper, *Published peer-reviewed papers twice: a contribution to Openness* (tabled – see http://info.anu.edu.au/OVC/Committees/060PP_Research/_urcmtg4_2008/twicepublishednotes7nov08.pdf) was for openly published 'author's final versions' of papers as soon as they have been accepted for publication. This approach was gaining increasing support from publishers more widely.

The Committee considered:

- . whether the approach proposed captured the directions ANU wishes to take
- . the opportunities to improve the University's publication to peers and the community in terms of publisher tolls and associated licensing restrictions, publishing dates and publication formats

It was noted that these benefits could conceivably emerge from the existing system by exploiting the opportunities that publishers have provided.

Issues raised in discussion included:

- . bibliometrics associated with referencing, citation rates and licensing. It was noted that the impact of open access on citation rates would be monitored. Real evidence would come from tracking experience.
- . Publishers' policies. An extensive register was available on line (at <http://www.sherpa.ac.uk/romeo.php?all=yes>)
- . approaches to discovery of open access publications

The Committee broadly supported the approach presented in the paper. Professor Stanton noted that the paper was a step towards openness and that further developments would take the issues raised into account.

ITEM 7. EXCELLENCE IN RESEARCH FOR AUSTRALIA (ERA)

The Committee noted the report on ANU's Participation in the ERA Pilot Submission Process (1274/2008) and the guidelines for the program, *Draft Pilot Submission Guidelines and System to Evaluate the Excellence of Research Draft Pilot Technical Specifications* (accessible at http://www.arc.gov.au/pdf/ERA_PilotGuidelines.pdf).

In summary, the technology and SEER, the electronic system being developed by the ARC for the ERA, had worked well for the University facilitating a speedy submission by ANU.

The process was now suspended pending release of ERA regulations and further directions expected to emerge from feedback to the pilot and the working parties currently in progress.

ITEM 8. RESEARCH INTEGRITY

8.1 Office of Research Integrity

- **ARIES human research ethics module**

The Pro Vice-Chancellor, Professor Thomas, reported that the module was working well both in terms of the quality of the protocols and processes. Turn around time was impressive with feedback provided within one day of the Committee's meeting. The paper, *2008 Human Ethics Protocols Statistics*, showed a fall in the number of protocols reviewed, from about 350 in 2007 to 264 in 2008, which was explained by the exemptions now available under the revised *Code*.

- **Mandatory research integrity training program for PhD students**

Professor Thomas advised that all new students from 2009 would be required to complete a training program as a candidature milestone. The program was in keeping with 'best practice' both internationally and within Australia and consistent with Government directions for developing researcher understanding of research integrity and the surrounding issues. Rollout of the program to existing research students and possible extension to include undergraduate students and staff on a voluntary basis was contemplated in due course subject to capacity to manage the numbers that would be involved. Modules from the University of Michigan were available on-line.

8.2 Australian Code for the Responsible Conduct of Research

- **Part B of the Code and Minister's statement**

The Committee noted:

- *Address to Managing Serious Research Misconduct Workshop* by the Minister for Innovation, Industry, Science and Research, Senator the Hon Kim Carr at: <http://minister.innovation.gov.au/Carr/Pages/AddressstoManagingSeriousResearchMisconductWorkshop.aspx>
- Speaking notes, Professor L Cram, for Department of Innovation, Industry, Science and Research Research Integrity Workshop
- Go8 principles for implementing the *Australian Code for the Responsible Conduct of Research 2007* Go8 Consultative paper September 2008 also presented at the Workshop
(See Workshop papers at http://www.go8.edu.au/index.php?option=com_content&task=view&id=181&Itemid=180)

The Deputy Vice-Chancellor advised that drafting of ANU's policy on Part B of the *Code* relating to the handling of allegations of misconduct under Part A, was in progress and the draft would be circulated for comment. Some aspects have a bearing on industrial relations. A central issue was to formulate a process that eliminates the need for the Government to become involved in any investigations and for the creation of a centralised Office of Research Integrity. A draft Go8 working paper proposes a process for investigations to be conducted by the University and subject to independent review.

ITEM 9. GRANT OUTCOMES

The Committee received the following reports on the outcome of the ARC and NHMRC grant rounds and processes:

- 2009 ARC Grants (1103/2008) report on ANU's success in each of the schemes for funding commencing in 2009:

- . Discovery Projects
 - . Discovery Indigenous Researchers Development
 - . Linkage Projects Round 1
 - . Linkage Infrastructure ARC International Fellowships
- 2009 NHMRC (1104/2008) report on ANU's success in the Project Grants round. Results in other NHMRC schemes were yet to be announced.

The Deputy Vice-Chancellor advised that ANU Colleges would also be sent statistics relating to their College. Outcomes of the rounds would be investigated further, including the impact of the decline in the level of NHMRC funding per grant on ANU's total grant income, and ANU's positioning in the ARC schemes.

ITEM 10. RESEARCH EQUIPMENT FUNDING

In presenting the *Report on the Review of ANU Research Equipment Funding - Recommendations* (1272/2008), Professor Elliman commented that:

- . the Committee had been unable to reach a definitive position about a Small Equipment Grants scheme and had formulated a recommendation to assist ANU Colleges address the question
- . the Major Equipment Grants scheme was working well and would continue to operate as at present. Two recommendations were to allow a lesser than 10% local area contribution and to require a formal brief report on expenditure similar to those already produced in areas
- . LIEF support arrangements also received positive response in the review. It was recommended that ANU's contribution (25%) be reduced on a *pro rata* basis for externally-led applications
- . the introduction of a Large Capital Equipment fund had been proposed for equipment costing in excess of \$500k, the fund to encompass existing reserves for mass-spectrometry, nuclear magnetic resonance and electron microscopy.

The Committee discussed recommendation 1., "That Colleges and/or Schools be encouraged to implement a Small Equipment Grant Scheme to address the needs of their researchers". It was broadly agreed that planning for this should be an initiative at ANU College level with implementation to be carried out at the Research School/Centre/Faculty level.

The Deputy Vice-Chancellor thanked Professor Elliman for the Report which provided a useful guide for the next five years.

The Committee:

- (i) Supported the recommendations of the Review of ANU Research Equipment Funding;
- (ii) Noted that the recommendations and funding issues such as the proposed change to the 10% local area contribution would need to be discussed with the Vice-Chancellor;
- (iii) Subject to the Vice-Chancellor's approval, the MEG guidelines and other documentation would be revised.

ITEM 11. REVIEWS

The Committee noted the following reports and submissions to Government reviews:

11.1 National Innovation System Review

The report from the Review commissioned by the Minister for Innovation, Industry, Science and Research, Senator the Hon Kim Carr, in January 2008, was forwarded to the Minister at the end of August:

- *Venturous Australia – building strength in innovation*
<http://www.innovation.gov.au/innovationreview/Pages/home.aspx>
- Comments from ANU on the Report (1264/2008)

11.2 Defence White Paper Community Consultation

In February 2008, the Minister for Defence, the Hon Joel Fitzgibbon MP, announced the commissioning of a new Defence White Paper. The Defence White Paper Community Consultation Program was launched in early June and the public discussion paper *'Key Questions for Defence in the 21st Century'* released.

- *Defence White Paper - Public Discussion Paper*
<http://www.defence.gov.au/whitepaper/discusspaper.htm>
- Submission from ANU (1265/2008)

11.3 Inquiry into research training and research workforce issues in Australian universities – Interim Report at

http://www.aph.gov.au/House/committee/isi/research/interim_report.htm

Professor Thomas advised that the University supported the recommendations of the Interim Report which were aimed broadly at:

- . increasing the number of international PhD students
- . increasing the value of federal postgraduate awards by 50% from \$20k to \$30k
- . increasing the duration of awards to three and a half years (full-time equivalent) with the option of two six-month extensions on review

A further recommendation was directed at strengthening research training for minority (undefined) and under-represented students.

As implementation of the Report would require significant additional funding, it was likely that the Government would take some time to deliver a response.

ITEM 12. POLICY DEVELOPMENTS

The Committee noted that a paper, “Principles in establishing and administering centres” (658/2007) to assist the initial stage of the review of the University's policy on the *Establishment, Management and Closing of Academic Centres* had been discussed at its meeting of 26 July 2007. The paper had proposed scholarly and administrative principles to guide decisions about whether an ANU entity should be classified as a Centre. Consultation was currently in progress on the recently drafted Policy: *Establishment, Management and Closing of Academic Centres* (1266/2008).

The Chair commented that:

- . the University's register needs updating to capture all current centres
- . for the future, cross-cultural buy-in from ANU Colleges would be expected about proposals to form centres
- . naming was often influenced by marketing considerations, e.g. Hub, Institute, Centre, and the terms adopted could be interpreted differently by different people. While

there were no constraints on the choice of names, “institute” has a research flavour at ANU because of the Institute of Advanced Studies and could be used appropriately for units that have a primary research focus.

The Committee endorsed in principle the directions of the draft, *Establishment, Management and Closing of Academic Centres* (1266/2008), and noted that the policy would be finalised following receipt of comments, and taken forward for approval and implementation by the Deputy Vice-Chancellor.

ITEM 13. REPORTS FROM ANU COLLEGE RESEARCH COMMITTEES

The Committee noted the reports received from the following:

- ANU College of Business and Economics (1075/2008)
- ANU College of Engineering and Computer Science (1249/2008)
- ANU College of Arts and Social Sciences (1269/2008)
- ANU College of Law (1275/2008)

The Chair commented on the report from ANUCECS about Institution of Higher Education Rankings and that ANU’s position was falling relative to the two other listed Go8 universities. Explanations were that the decline was relative to institutions growing faster than ANU. Of the weightings used for this particular ranking, two were beyond the institution’s control (e.g. Nobel Prize awards and Field Medals comprise 30% of the weighting) and four could be controlled and monitored (e.g. publications count and the outlets for publishing). Publications weightings could also be contorted in different ways, for instance the University of Melbourne could be expected to surpass ANU because medical research publications there were being harvested by reference to Melbourne University. The durability and longer-term credibility of some ranking systems was also questionable. ANU College Research Committees were encouraged to monitor those measures of performance that can be influenced with a view to assisting ANU to maintain its position.

PART 3. ITEMS OF OTHER BUSINESS

ITEM 14. OTHER BUSINESS AND QUESTION TIME

14.1 Meeting Dates for 2009

The Committee noted the schedule of meetings for 2009:

Tuesday, 3 March at 9.30 am in the Mills Room
 Wednesday, 13 May at 9.30 am in the Ross Hohnen Room
 Thursday, 9 July at 9.30 am in the Ross Hohnen Room
 Thursday 17 September at 9.30 am in the Ross Hohnen Room
 Thursday 19 November at 9.30 am in the Ross Hohnen Room

Details have been published at

http://info.anu.edu.au/OVC/Committees/060PP_Research/meetings.asp

14.2 Grants and Consultancies

The Committee noted a report on grants and consultancies for the period 1 July to 30 September 2008 (1099/2008) published at the Committee website.