

# UNIVERSITY OF YORK

## RESEARCH COMMITTEE

### Minutes of the meeting held on 15 October 2014

- Present:** The Pro-Vice-Chancellor (Research) (Chair)  
Professor Stuart Bell  
Professor Mark Ormrod  
Professor Michael Beaney  
Professor Karl Claxton  
Professor Jason Edwards  
Dr Jonathan Finch  
Professor Timo Gans  
Professor Jennifer Potts  
Professor Martin Smith (M14-15/06 – M14-15/20 only)  
Professor Jo Swaffield  
The Director of Research and Enterprise  
The Research Strategy and Policy Manager  
The Research Grants and Contracts Manager
- In attendance:** Professor Paul Kaye  
Ms Heidi Fraser-Krauss (M14-15/16 only)  
Ms Anna Wishart (M14-15/17 only)  
Dr Eszter Papp  
Dr Alice Wakely (Secretary)

Apologies for absence were received from Professors Clark and Fulton.

#### 14-15/06 Minutes of the meeting held on 19 September 2014

The minutes of the meeting held on 19 September 2014 were **approved** (RC.14-15/03).

#### 14-15/07 HEFCE Policy for Open Access in the Post-2014 Research Excellence Framework

Arising from M13-14/82, the Research Strategy and Policy Manager **reported** that further information was expected imminently from HEFCE regarding the Policy for Open Access in the Post-2014 Research Excellence Framework, including in relation to current debate over the point of deposit. There would

be opportunities for further discussion in a few weeks when HEFCE's Director for Research, Education and Knowledge Exchange, David Sweeney would be visiting the University, and the issue was likely to be raised at the meeting of Russell Group PVCs at the beginning of December.

#### **14-15/08 Impact Conference**

Arising from M13-14/84(e), the Committee **noted** that the Impact Conference had had to be postponed until the new year, given pressure of work. However, the YorNights event had taken place, which had been successful and worthwhile. The Committee **noted** that once the REF outcomes were published by HEFCE in December, it would be possible to look at good practice across the sector, and this would inform a future event.

#### **14-15/09 Code of Practice on Research Integrity**

Arising from M13-14/88, the Committee **noted** that final versions of the Code of Practice on Research Integrity, the Code of Practice and Principles for Good Ethical Governance and the Research Misconduct Policy and Procedure had been approved by Senate in July (agendum 17 refers), and an information campaign had taken place over the summer to communicate requirements to DRCs, ethics sub-committees, staff and PGR students, and research administrators. Information regarding related training and support opportunities would be circulated to departments shortly. This would include details of a new, academic-led 'research integrity discussion group', open to all staff and PGR students, to meet termly over lunch. Sessions already planned included handling conflicts of interest (28 January 2015), and handling sensitive data in the internet age (30 April 2015).

#### **14-15/10 Governance of research ethics**

Arising from M13-14/89, the Committee **noted** that the wording of the RGC 'Submission of Research Project Form' had been revised by the RSPO and RGC, so that the PI (and not the HoD or the DRC) was solely responsible for assuring that any ethical considerations had been identified, with explicit reference to the University's ethical framework, and that such cases would be referred for internal review and signoff as well as to any external bodies necessary, prior to the commencement of the research. The role of the DRC was simply to flag up potential ethical implications to the PI as part of the peer review process.

It was **noted** that some departmental ethics committee members had raised concerns about the wording of the revised ethics Code of Practice regarding the sequence of internal/external ethical review. It would be possible to discuss this procedural issue at the next meeting of University Ethics Committee in November.

The Research Grants and Contracts Manager **reported** that the recent RCUK audit had looked at compliance with the UUK Concordat on Research Integrity as a paper-based exercise, and the University's policies and procedures in this area had been deemed satisfactory. The Research Integrity Officer was thanked for her work in this area.

#### **14-15/11 Federal Wide Assurance (US Funding)**

Arising from M13-14/97, the Committee **noted** that the University's application for Federal Wide Assurance (FWA) had been successful in the first stage: registration of one of its ethics sub-committees – Health Sciences – as the Institutional Review Board to undertake ethical review of relevant projects according to the particular standards prescribed by FWA. The outcome of the second stage – full FWA registration – was awaited, following submission on 8 October. It was further **noted** that the workload was likely to involve one or two projects annually in the first instance, but that arrangements would be kept under review. Administrative support for the relevant ethical review procedures would be provided by the RSPO.

#### **14-15/12 RCUK Research Outcomes Harmonisation Project**

Arising from M13-14/98, the Research Strategy and Policy Manager **reported** that the solution originally approved to avoid the need (during 2014 RCUK submission period) for duplicate entry of outputs to PURE and Research Fish – manual data entry supported centrally through a temporary position – had proved unworkable, since submission rights within ResearchFish were limited to individual PIs. The Committee **noted** that the University was one of many institutions lobbying for a bulk upload(or download) facility and appropriate central administrative access for ResearchFish data, and that a sector meeting was due in December.

In the meantime, the Committee **noted** the importance of raising awareness amongst staff of the need to log in to ResearchFish individually, to check and update outcomes data and to make the actual submission during the designated submission period. It was **noted** that from 2015/16,

individual PIs who failed to comply would be subject to sanctions from RCUK, namely a freeze on further applications and/or penalties on existing grants. The Committee **noted** that the issue had also been raised with Chairs of DRCs at Research Forum, and that a further communication would go out to departments from the Chair.

#### **14-15/13 Oral report from the Chair**

The Chair **reported** that research reviews had taken place for YCCSA and for the Nanocentre: the reports would be brought to the November meeting of the Committee.

#### **14-15/14 University Research Strategy (Confidential and FOIA exempt)**

#### **14-15/15 University Impact Statement (FOI exempt)**

#### **14-15/16 Development of central research computing support (Sensitive Information)**

#### **14-15/17 Disseminating non EU funding opportunities**

The Committee **received** an oral report from the International Relations Manager, Ms Anna Wishart, on disseminating non EU funding opportunities to departments. It **noted** the International Relations Office's role in gathering intelligence on funding opportunities, its wide network of contacts and the importance of relationship building in relation to funding opportunities outside the EU. A number of examples of funding opportunities were presented, and existing mechanisms for disseminating information on forthcoming opportunities were **noted**.

The Committee **agreed** that:

- (a) It would be helpful to have a calendar of forthcoming funding opportunities building in internal and external deadlines, with links to further information including examples of successful applications where possible and a point of contact for advice and support. The Committee **noted** that Research Grants and Contracts were currently undertaking a project in this area, and details would be brought to the next meeting of the Committee in November.
- (b) There was a need to emphasise to relevant staff the role of such opportunities in helping to progress their research careers and build

collaborations. It was **noted** that this could be picked up for further discussion at Research Forum.

The Committee thanked Ms Wishart for her contribution.

**14-15/18 Applications and awards and in year income for 2013-14 (FOIA exempt)**

**14-15/19 Annual departmental research reports 2013-14 (Confidential and FOIA exempt)**

**14-15/20 Compliance with RCUK open access requirements**

The Committee **received** a report on progress regarding compliance with RCUK open access requirements, in the form of a report to RCUK on compliance rates and expenditure of the University's open access grant (RC.14-15/08). It **noted** that the compliance figures were based on outputs which had been recorded in Pure, linked to a research grant, and were therefore dependent on the accuracy and completeness of Pure records as maintained by individual researchers. This was a similar situation to many other institutions.

The Committee **noted** that were the University's open access grant to prove insufficient to support demand for the gold route, the matter would be brought to the Committee for discussion. However, it further **noted** that even where gold open access was recommended in the first instance, it was not a requirement if funding did not permit.

**14-15/21 Funder strategy groups (FOI exempt)**

**14-15/22 Report from the Director of Research and Enterprise (Sensitive Information)**

**14-15/23 Oral reports from the Academic Co-Ordinators (FOI exempt)**

**CATEGORY II BUSINESS**

**14-15/24 Minutes of the meeting of the Research Priming Fund Committee held on 4 August 2014 (Confidential and FOI exempt)**

The Committee **received** for information the minutes of the meeting of the Research Priming Fund Committee held on 4 August 2014 (RC.14-15/12).

**14-15/25 Summary of the allocation of Research Pump Priming Funds for 2014-15 and additional spending for 2013-14 (FOI exempt)**

The Committee **received** for information a summary of the allocation of Research Pump Priming Funds for 2014-15 and additional spending for 2013-14 (RC.14-15/13).

**14-15/26 Policies relating to research integrity**

The Committee **received** final versions of the following policies relating to research integrity, as approved by Senate at its meeting on 15 July 2014:

- Code of practice on research integrity;
- Code of practice and principles for good ethical governance (rev. July 2014);
- Research misconduct policy and procedure (RC.14-15/14).

**14-15/27 Annual ethical conduct audit for ESRC-funded projects 2013-14**

The Committee **received** for information a summary of the annual ethical conduct audit for ESRC-funded projects undertaken for 2013-14 (RC.14-15/15).

**14-15/28 Date of next meeting**

The Committee noted details of its next meeting: Wednesday 26th November 2014 at 1pm in Room YH/110, Research Centre for Social Science.

**October 2014**

**Dr Alice Wakely**

**Research Integrity Officer**