

UNIVERSITY OF YORK

Senate

RESEARCH COMMITTEE

Minutes of the meeting held on 20 June 2018

Present: Pro-Vice-Chancellor (Research), Professor D Smith (Chair)
Pro-Vice Chancellor (P&KE), Professor J Timmis
Dean, York Graduate Research School, Professor T Stoneham
(MM17-18/137 - 157 only)
Dean, Faculty of Arts & Humanities, Professor J Buchanan
(MM17-18/137 - 154 only)
Associate Dean (Research), Faculty of Sciences, Professor C Brown
Associate Dean (Research), Faculty of Social Sciences,
Professor M Festenstein
Acting Associate Dean (Research), Faculty of Arts & Humanities,
Dr K Giles
Professor D Barnett
Professor N Brown
Professor M Evans
Professor M Goddard
Professor W McGuire
Professor E Tyler
Professor P White
Acting Director of Research & Enterprise, Ms J Gilmartin
Research Strategy and Policy Manager, Ms A Grey

In attendance: Ms A Selvaratnam (MM17-18/144 - 146 only)
Ms J Colclough (M17-18/147 only)
Mr E Kirby (MM17-18/148 & 149 only)
Ms K Dillingham (MM17-18/150 & 151 only)
Dr N Meenan (MM17-18/152 & 153 only)
Mr D Barrett (M17-18/153 only)
Mr D Wiggle (M17-18/158 only)
Dr A Wakely (Secretary)

Apologies for absence were received from Professor S Bell, Dr M Leng and Professor J Steele.

17-18/137 Declaration of conflicts of interest

Members of the Committee were reminded of the procedure for declaring potential conflicts of interest relating to the business of the meeting.

17-18/138 Minutes of the meeting held on 2 May 2018

The Committee **approved** the minutes of the meeting held on 2 May 2018 (RC.17-18/110).

17-18/139 Research Committee action log

The Committee **received** a progress report against its action log for 2017/18 (RC.17-18/111). It **noted** that the log included a list of all items completed during 2017/18. Further to the report against M17-18/34, the Committee **noted** that the Acting Director of Research & Enterprise had attended the Sciences FEG on 11 June to brief HoDs on TRAC.

17-18/140 Report from the Chair

The Committee **received** an oral report on recent developments from the Chair, as follows:

- (a) The Interim Review of the University Research Themes, considered at URC's meeting on 2 May 2018, had been considered at the UEB meeting on 8 May 2018. UEB had expressed support for continuation of the Themes, and recommended that work in this area should be intensified, supported by the new administrative assistant to be in post from September.

The Review's recommendations were approved by UEB as follows:

- i. The next formal review of the Themes should take place after the submission of REF2021;
- ii. Further work was needed on data collection and analysis for interdisciplinary research in order to assess performance in a meaningful way;
- iii. There was a need to clarify further the roles and relationships of the different University structures underpinning research;
- iv. New mechanisms were needed to identify and encourage research leadership.

Paragraph redacted - CONFIDENTIAL

The Committee **noted** that an update on progress in relation to implementation of the Review's recommendations and proposals for reporting mechanisms would be brought to the next meeting of URC on 3 October 2018.

- (b) **Paragraph redacted - CONFIDENTIAL.**

- (c) **Paragraph redacted - CONFIDENTIAL**

- (d) The Committee **noted** that Professor Brown, Professor McGuire and Dr Leng would complete their terms of office in September. The Chair thanked these members for their contributions towards URC's work, and invited them to attend the next meeting on 3 October 2018 if they wished, in order to contribute towards discussions about ADRR2018.

The Committee further **noted** that the deadline for URC nominations was 22 June 2018, and that Senate would sign off uncontested nominations at its meeting on 10 July 2018. Contested nominations would go to a Senate ballot over the summer. A nomination had also been put forward for an academic representative from the Arts & Humanities for URC for the autumn term 2018 only, to cover the period when Professor Barnett would be Acting Associate Dean (Research) for the Faculty.

17-18/141 Reports from the Associate Deans (Research)

The Committee **received** oral reports on recent developments from the Associate Deans (Research), as follows:

Social Sciences:

- (a) Regarding the iGDC, the Associate Dean (Research) for the Social Sciences and the Chair had approved (i) terms of reference and membership for a steering group, and (ii) the appointment process and term of office for the Director (M17-18/102 refers).
- (b) The ESRC IAA renewal process was under way: 29 institutions had been invited to apply; the ESRC had indicated that 25 would be funded, with £200k p.a. as the baseline and up to £350k p.a. available subject to metrics. If successful, funding would commence from 1 April 2019.
- (c) **Paragraph redacted - CONFIDENTIAL**
- (d) Interviews for the Faculty Research Impact Manager role were due to take place shortly.

Sciences:

- (a) Arising from the research entities review, a DC Labs steering group had been convened and held its first meeting in May. A steering group for Quantum Technology would also be convened from July.
- (b) There had been good take up of opportunities within the EPSRC IAA and allocation of funds was slightly ahead of the expected schedule.
- (c) Professional support staff for the Faculty of Sciences had been relocated to the second floor of the Berrick Saul building, and would be joined by the relevant RDMs shortly.

Arts & Humanities:

- (a) The outcome of the WRoCAH DTP submission was expected in July.
- (b) Deployment of IAA-equivalent funding was progressing well, and a report would be provided to URC in due course.
- (c) RDM and Impact Manager support for the Faculty was temporarily subject to a reduction in hours; the positive support provided by HR in relation to this situation was **noted**.

17-18/142 Report from the Dean of the York Graduate Research School

The Committee **received** an oral report on recent developments from the Dean of the York Graduate Research School, as follows:

- (a) Paragraph redacted - CONFIDENTIAL
- (b) Paragraph redacted - CONFIDENTIAL
- (c) Paragraph redacted - CONFIDENTIAL
- (d) A new Wellcome PhD programme funding call was expected in July, with an emphasis on career development and personal and professional training.

17-18/143 Report from the Acting Director of Research & Enterprise

The Committee **received** for information a report on recent developments from the Acting Director of Research & Enterprise (RC.17-18/112) (*FOI Exempt*). Further to the information provided, it was clarified that the report set out activity which had taken place during April and May 2018. Regarding Departmental Fellowships webpages, it was clarified that work was in progress in relation to the three outstanding departments. The Committee further **noted** that the additional staff resource now available in IP & Legal was making a significant difference.

The Committee **agreed** that the format of the report was helpful, and that it would be useful to include a section on 'Forthcoming events' in future reports.

ACTION: JG

17-18/144 Industrial Strategy (CONFIDENTIAL & FOI EXEMPT)

17-18/145 Knowledge Exchange Strategy (CONFIDENTIAL & FOI EXEMPT)

17-18/146 Managing the HEIF budget (CONFIDENTIAL & FOI EXEMPT)

17-18/147 UK Scholarly Communications Licence

The Committee **received** an update in relation to the UK Scholarly Communications Licence (RC.17-18/120). Ms Colclough attended the meeting for this item. The Committee **noted** the report and endorsed its recommendation that the Library should continue to pause its work on the potential implementation of the UK-SCL, awaiting the outcome of the UKRI open access policy review, and should continue to provide updates to the Committee in the interim.

17-18/148 Internal Audit Report 2017/18: REF 2014 (CONFIDENTIAL & FOI EXEMPT)

17-18/149 Oral report from the REF Strategy Group (CONFIDENTIAL & FOI EXEMPT)

17-18/150 Applications and awards to end April 2018 (FOI EXEMPT)

17-18/151 Developing a suite of research grant activity reports for URC

The Committee **considered** plans for developing a suite of research grant activity reports for URC (RC.17-18/125). Ms Dillingham attended the meeting for this item, which was presented by the Acting Director of Research & Enterprise.

The Committee welcomed the proposals, and **approved** the proposed approach. It **recommended** that the Research Reporting Working Group should include (a) representation from Finance, and (b) academic representation at Faculty level, drawing on Chairs of DRC.

ACTION: JG

The Associate Dean (Research) for the Sciences would also contribute towards the group.

17-18/152 PURE development plan 2018/19

The Committee **considered** the PURE development plan for 2018/19 (17-18/128). Dr Meenan attended the meeting for this item.

The Committee **noted** that discussions were in train with the Head of the Economic Development Team regarding useful categories for reporting external engagement activity, with particular reference to HEBCIS.

The Committee **approved** the PURE development plan for 2018/19.

17-18/153 Research systems governance and the Research Systems Hub and roadmap

The Committee **received** an update on research systems governance and the Research Systems Hub and roadmap (RC.17-18/129). Mr Barrett and Dr Meenan attended the meeting for this item.

The Committee **noted** that the Research Systems Hub had been established in January 2018 and would be fully staffed from September. It further **noted** the rationale for providing more centralised support for research systems, the new research systems governance arrangements and the current Research Systems Roadmap. Regarding the latter, the Committee further **noted** that it should be possible to implement the contracts module without requiring significant developer time: this could therefore be raised up the priorities list.

The Committee **noted** that good progress had been made in relation to the co-ordination of research systems support, which was to be welcomed going into REF2021.

17-18/154 Research Misconduct Policy and Procedure

The Committee **considered** proposed revisions to the University's Research Misconduct Policy and Procedure (RC.17-18/116).

The Committee **noted** that concerns regarding the early point at which Research Councils were requesting to be informed of misconduct allegations had been raised by the Russell Group, and that the proposed revisions to the University's policy included a general statement that the University would comply with funder requirements, rather than specifying when in the process.

It was **noted** that the applicability of the Policy, using the Frascati definition of research, was determined in relation to the activity being undertaken, irrespective of how such work might have been defined in terms of funding - specifically in the case of consultancy activities, which could have elements of research activity within them. It was **agreed** that processes for integrity issues relating to consultancy would need to be reviewed at a future point.

The Committee **approved** the proposed revisions to the University's Research Misconduct Policy and Procedure.

17-18/155 Russell Group Statement of Cooperation: cross-institutional research misconduct allegations

The Committee **received** for information the Russell Group Statement of Cooperation in respect of cross-institutional research misconduct allegations (RC.17-18/117).

17-18/156 Ethics governance requirements for research conducted outside the UK

The Committee **considered** dedicated University guidance setting out the ethics governance requirements for research conducted outside the UK (RC.17-18/118).

It was **noted** that there were sometimes costs associated with gaining ethical approval overseas, and that in one case this had been up to 10% of the project cost. However, the need to mitigate the effects of 'research tourism', where there was no involvement with collaborators in that country, was also recognised.

It was **agreed** that the policy needed to be disseminated as widely as possible, including to Chairs of Research Committees, Chairs of Ethics Committees, and PGR students and their supervisors. RSPO would work with the Dean of the York Graduate Research School on the best route for achieving this.

ACTION: AW & TS

It was further **agreed** that a flowchart of decision making would be a useful addition to the document.

ACTION: PW & AW to work on a draft version for Chair's approval

The Committee **approved** the guidance on ethics governance requirements for research conducted outside the UK, with this proposed addition.

17-18/157 Annual Statement to Council on Research Integrity

The Committee **considered** the Annual Statement to Council on Research Integrity for 2018 (RC.17-18/119).

The Committee **noted** the report on activities in support of research integrity, and in particular in relation to the implementation of the Nagoya Protocol. It further **noted** that the Code of Practice on Research Integrity was currently undergoing review as part of the rolling review of policies: it was intended that proposed revisions would be submitted to URC and Senate for approval by the end of 2018.

Regarding the proposed procedure for handling academic disputes, it was clarified that, following a meeting between the RSPO and HR, it had been agreed that the document would take the form of a protocol navigating through existing University policies, rather than a formal University policy requiring sign-off by URC and Senate. It was proposed that the protocol would be reviewed and signed off by the PVCR and the Associate Deans for Research.

The Committee **noted** the statement on allegations of misconduct during 2017/18 and the reported outcomes.

The Committee **approved** the Annual Statement to Council on Research Integrity for 2018, subject to the above clarification. Dr Wakely was thanked for her work during the year to ensure a robust research integrity framework.

17-18/158 Digital roadmap to support the University's research activity

The Committee **considered** a digital roadmap to support the University's research activity (RC.17-18/115). Mr Wiggle attended the meeting for this item on behalf of Marketing.

Further to the information provided in the report, the Committee **noted** the following:

- (a) Work on departmental research homepages was in train. The Research Communications Strategy Group had agreed that the development of minimum standard templates was a priority, in order to empower departments and achieve rollout via a collaborative approach with the Marketing team. It was further **noted** that departmental research homepages needed to embed links to the University's Research Themes.
- (b) Work had also commenced in relation to PhD listings, and in relation to the new staff profile template to pull in data from PURE via the YRD, avoiding the need for double entering.
- (c) It would be helpful to clarify with academic staff that they could have access to the CMS in order to edit their profiles directly, should they so wish. The Marketing team would pursue the development of a web form in order to make the editing process easier.

ACTION: DW & Marketing

(d) The roadmap had recently been presented at the Faculty Research Group for the Sciences, which had noted that very good progress had been made.

17-18/159 Departmental research income aspirations (CONFIDENTIAL & FOI EXEMPT)

17-18/160 HESA 2016/17 data relating to research grant income (FOI EXEMPT)

17-18/161 Annual report on Research & Enterprise resources (FOI EXEMPT)

17-18/162 Structure of Research Grants & Contracts

The Committee **received** an update in relation to the structure of Research Grants & Contracts (RC.17-18/127). It **noted** the proposals for the revised structure, planned for implementation by the end of 2018, and that service would be maintained whilst the changes were taking place.

The Committee **noted** that concerns were being raised in relation to the service that RGC was currently able to provide: it was recognised that there was a need to find a solution to the current issues. It was **agreed** that this was not simply a workload issue: having a single point of contact rather than shared knowledge was a common source of problems.

In the course of discussion, the following views were **noted**:

- (a) Support for the proposals was expressed from the Arts & Humanities: it was important to share knowledge of common funders between the Arts & Humanities and the Social Sciences.
- (b) The proposals would help to support working across departments and strengthen the support available pre and post award.
- (c) It was suggested that the way in which the changes were being presented could be interpreted as increasing the influence of Faculties and that this was unhelpful. As such, describing the teams as cognate groupings might receive more support. The Committee further **noted** that it was still to be determined where Health Sciences should sit: given its funder portfolio, there was an argument for siting it with CHE and CRD. However, configurations would need to be resilient in terms of likely changes to the balance of funding.
- (d) It was recognised that greater flexibility was needed; however, there was concern that expertise might be lost, particularly during the transition period. The need to have funder specialism was perceived to be of higher priority than RGC staff having an understanding of specific departments.

(e) Paragraph redacted - CONFIDENTIAL

(f) It was suggested that the changes were not of such a magnitude that they could not be reversed: the proposals could be put in place for a trial period.

The divergent views of URC members were **noted**: it was important that URC was kept fully informed and engaged with the proposed changes. However, it needed to be recognised that management of the office and the provision of the service was the responsibility of the Head of Research Operations.

CATEGORY II BUSINESS

17-18/163 Implementation of full support model for research data management

The Committee **received** for information a progress report on implementation of a full support model for research data management (RC.17-18/130).

17-18/164 Minutes of the GCRF Steering Group

The Committee **received** for information the minutes of the meeting of the GCRF Steering Group held on 29 May 2018 (RC.17-18/131).

17-18/165 Minutes of the Research Communications Strategy Group

The Committee **received** for information the minutes of the meeting of the Research Communications Strategy Group held on 18 May 2018 (RC.17-18/132).

17-18/166 Minutes of the Faculty Research Group for the Social Sciences

The Committee **received** for information the minutes of the meeting of the Faculty Research Group for the Social Sciences held on 25 May 2018 (RC.17-18/133).

17-18/167 Minutes of the Faculty Research Group for the Sciences

The Committee **received** for information the minutes of the meeting of the Faculty Research Group for the Sciences held on 21 May 2018 (RC.17-18/134).

17-18/168 Minutes of the Faculty Research Group for the Arts & Humanities

The Committee **received** for information the minutes of the meeting of the Faculty Research Group for the Arts & Humanities held on 24 May 2018 (RC.17-18/135).

17-18/169 Minutes of the York Graduate Research School Board

The Committee **received** for information the minutes of the meeting of the York Graduate Research School Board held on 11 June 2018 (RC.17-18/136).

17-18/170 Meetings for 2018/19

The Committee **noted** details of meetings for 2018/19 as follows:

- Wednesday 3 October 2018 at 2.15pm in HG17, Heslington Hall
- Tuesday 13 November 2018 at 2.15pm in HG17, Heslington Hall
- Wednesday 30 January 2019 at 2.15pm in HG17, Heslington Hall
- Wednesday 13 March 2019 at 9.30am in HG17, Heslington Hall
- Wednesday 1 May 2019 at 2.15pm in HG17, Heslington Hall
- Wednesday 19 June 2019 at 9.30am in HG17, Heslington Hall.

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June 2018