

# UNIVERSITY OF YORK

## Senate

### RESEARCH COMMITTEE

#### Minutes of the meeting held on 4 October 2018

**Present:** Pro-Vice-Chancellor (Research), Professor D Smith (Chair)  
Dean, York Graduate Research School, Professor T Stoneham  
Acting Dean, Faculty of Arts & Humanities, Professor A Field  
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,  
Professor D Barnett  
Professor S Carroll  
Professor M Evans  
Professor M Goddard  
Professor S Smith (M18-19/01 – 15 only)  
Professor J Steele  
Professor J Thijssen (M18-19/01 – 17 only)  
Professor E Tyler  
Acting Director of Research & Enterprise, Ms J Gilmartin  
Research Strategy and Policy Manager, Ms A Grey

**In attendance:** Dr A Wakely (Secretary)  
Dr H Jones (M18-19/12 only)  
Dr L Ko Ferrigno (M18-19/12 only)  
Dr R Curwen (M18-19/14 only)  
Ms A Selveratnam (M18-19/15 only)  
Mr E Kirby (MM18-19/17 - 19 only)  
Dr M Leng (M18-19/20 only)

Apologies for absence were received from Professor J Timmis, Professor S Bell, Professor B Fulton and Professor P White.

#### **18-19/01 Membership and terms of reference**

The Chair welcomed new members to the Committee. The Committee **received** details of its membership and terms of reference, and **noted** members' roles and responsibilities (RC.18-19/01). The following points were further **noted**:

- (a) The gender balance among members had gone down: this was because no nominations had been received for female candidates;
- (b) The Committee's papers and discussions should be treated as confidential;

- (c) Elected academic members represented the broad academic community at the University of York rather than their individual departments;
- (d) The Chair asked members to note the additional activities undertaken by the Committee and to ensure that they undertook a share of these tasks.

#### **18-19/02 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. It was **noted** that completed declarations of interests forms had been submitted by all members for 2018/19.

#### **18-19/03 Minutes of the meeting held on 20 June 2018**

The Committee **approved** the minutes of the meeting held on 20 June 2018 (RC.18-19/02).

#### **18-19/04 Research Committee action log**

The Committee **received** a progress report against its action log for 2018/19 (RC.18-19/03), noting outstanding actions in particular.

Further to M16-17/149, it was **noted** that the UKRI Open Access Policy consultation was expected to conclude at the beginning of 2019, and a review report to be published in autumn 2019, including recommendations for REF 2028.

Further to M17-18/16, it was **noted** that issues relating to guidance on Impact data storage had been raised with the new Director of Library and Archives, Masud Khokhar. It was **agreed** that it would be helpful to invite Mr Khokhar to a future meeting of the Committee.

**ACTION: Chair and Secretary**

Further to M17-18/156, it was **noted** that flowcharts to support the University's guidance on ethics governance requirements for research conducted outside the UK had been approved by Chair's action, and would be disseminated to staff and PGRs shortly, starting with a brief presentation at Research Forum on 9 October.

#### **18-19/05 Progress report on actions arising from GDPR and the implications for research**

Further to M17-18/128, the Committee **received** an oral progress report from the Secretary on actions arising from GDPR and the implications for research. The following points were **noted**:

- A sub-group of the University's RDM Group had been established to generate a generic Record of Processing Activity (ROPA) for research involving personal data. Preliminary consultation had taken place with a small number of departments, including Psychology, Education and Health Sciences; wider consultation with CDRCs would follow. The sub-group had also contacted the ASO and the BD team to flag up

that ROPAs relating to (a) taught students and (b) partnerships and knowledge exchange would also need to be developed.

- A working group of the relevant professional support colleagues had been convened to scope out existing provision in support of implementing GDPR requirements in relation to research, in order to identify gaps and risks.

The Committee further **noted** that departments' concerns relating to GDPR compliance (e.g. the scale of risk; implications in terms of researchers' time) could be captured through FRGs.

## 18-19/06 Report from the Chair

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

- (a) Dr David McBeth, currently Director of Research & Knowledge Exchange Services at the University of Strathclyde, would be joining the University on 4 February 2019 to take up the post of Director of Research & Enterprise.
- (b) Dr Keith Allen, Deputy Director of the HRC had been seconded for six months to work alongside Professor Mark Jenner as Research Champion for Culture and Communication whilst the latter was on research leave. Interviews for the post of Research Champion for Risk Evidence and Decision-making would take place shortly, following Professor McDermid's move to the Assuring Autonomy International Programme.
- (c) A Steering Group and three Theme leads had been appointed to support the Director of the new Biomedical Research Institute. An internal launch of the Institute was scheduled for 4 December. The Institute would align with the expansion of HYMS and the arrival of new appointments.
- (d) The WRoCAH2 and the AHRC Creativity Hub bids had been successful: the Committee extended its congratulations to all involved. Two GCRF Hub bids led by TYMS and Biology had been shortlisted but not invited to final interview: these proposals would be realigned to other funding opportunities.
- (e) The University had received a GCRF IAA award of £210k. The Committee **noted** the intention to adopt a more streamlined approach internally to pump priming.
- (f) The Acting Director of Research & Enterprise **reported** that, further to the government's guarantee to underwrite existing Horizon 2020 projects in the event of a no deal Brexit, a portal had been set up for institutions to upload information on their current portfolios. The University's EU Research & Development Team had undertaken this task on York's behalf. A number of operational questions (such as the currency in which payments would be made) remained to be addressed by government.

- (g) Dr Wakely **reported** that the Commons Science and Technology Committee Inquiry into Research Integrity had published its report in July, expressing concern that relatively few formal research misconduct investigations appeared to be taking place in the UK, and that many institutions were not publishing an annual statement on research integrity as required by the UUK Concordat on Research Integrity. The report had recommended strengthening of the Concordat with particular reference to research misconduct procedures and training; and that a national committee should be set up by UKRI to check that research misconduct procedures had been correctly followed by employers and lead on promoting research integrity within the UK.

In September UKRI had confirmed its intention to monitor CDT/DTP training, but had indicated that it did not support centralisation/standardisation of delivery. The parallel government response had expressed caution over increased information sharing on misconduct cases. There was a general lack of enthusiasm for the proposed national committee, given that a national Research Integrity Forum had already been set up as part of Concordat; however, UKRI had agreed to look into the matter and report during 2019.

The Committee **noted** that the University was in a strong position: fully compliant with the current Concordat to Support Research Integrity; a founder member of the Russell Group Research Integrity Forum, whose outputs had been commended by the Commons report; and an established subscriber to the UK Research Integrity Office (recommended by the report for all institutions). The RSPO would keep a watching brief on developments and ensure that relevant colleagues were kept up to speed.

## **18-19/07 Reports from the Associate Deans (Research)**

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

### *Social Sciences*

- (a) Chris Hewson had returned to support the Faculty as Research Impact Manager for the Social Sciences.
- (b) Josie Hanby had taken up a fixed term post as the Industrial Strategy Partnerships Manager.
- (c) The ESRC IAA renewal document had been submitted: notification of the outcome was expected by 17 October.

### *Arts & Humanities*

A robust discussion of the proposals relating to departmental research income aspirations had taken place at the FRG for the Arts & Humanities. The FRG had noted the need for clarification of relationship between the aspirations framework and the MTP process, and had further noted that the benchmarking figures available were not necessarily helpful for some departments. The Committee **noted** that these issues had been acknowledged;

current figures would be used for the coming year in the first instance. The relationship between research aspirations and MTP would need further discussion.

**18-19/08 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, noting the following:

- (a) An iGDC interdisciplinary PhD programme had been approved and would start recruiting this autumn;
- (b) A mental health and well-being programme for PhD students, including brochures and workshops, had been launched.

**18-19/09 Report from the Acting Director of Research & Enterprise (FOI EXEMPT)**

**18-19/10 Industrial Strategy (CONFIDENTIAL & FOI EXEMPT)**

The Committee **received** an update on work in relation to the Industrial Strategy (RC.18-19/05).

**18-19/11 University Research Strategy: report against KPIs for 2017-18 (FOI EXEMPT)**

**18-19/12 Strategic Framework for Impact evaluation (FOI EXEMPT)**

**18-19/13 Proposed priorities for 2018/19**

The Committee **considered** proposed priorities for 2018/19 arising from the University Research Strategy and external developments (RC.18-19/09). It **noted** that the key priorities would be REF and the Impact Framework in the light of ongoing KE Strategy Development.

Regarding the proposed analysis of current research studentship support across the University, it was **noted** that RSAT would also need to be involved in order to provide the raw data. It was **agreed** that the Chair would take the lead in initiating this work, given that clarity regarding the research student spend was an institutional priority.

**ACTION: Chair**

It was further **agreed** that 'Strategic communications' should be added to the list, with particular reference to research entities and their links with the University's Research Themes. It was **noted** that this area had implications for the University's REF submission in terms of environment statements, in particular the need to profile the University's commitment to interdisciplinarity.

The Committee **approved** the list of priorities for 2018/19, subject to the above addition and noting that ranking in order of importance would be undertaken in due course.

**18-19/14 University Research Themes (FOI EXEMPT)**

**18-19/15 Knowledge Exchange Strategy (FOI EXEMPT)**

**18-19/16 Proposals for a Policy Unit. (FOI EXEMPT)**

**18-19/17 University's response to the REF Consultation on Draft Guidance.**

**Minute redacted – SENSITIVE INFORMATION**

**18-19/18 REF Check Exercise 2018 (CONFIDENTIAL)**

**18-19/19 Meetings of the REF Strategy Group**

The Committee **noted** that substantive matters arising from the meeting of the REF Strategy Group held on 2 October 2018 had been reported as part of the preceding two agenda items. The Group was next due to meet on 28 November 2018, and aimed to have drafts of the University's Code of Practice and its Environment template in place by the end of the calendar year.

**18-19/20 ADRR 2018 (CONFIDENTIAL)**

**18-19/21 Report on the Review of Research Entities: Governance Models 1 and 2 (FOI EXEMPT)**

**18-19/22 Research Entities: Governance Model 3 (FOI EXEMPT)**

**18-19/23 Research income aspirations**

The Committee **received** an oral progress report from the Research Policy and Strategy Manager relating to research income aspirations. It **noted** that the proposals had been considered by FRGs: Science and Social Science departments were broadly content; however some concerns had been raised by Arts & Humanities departments (see M18-19/07 above). The Committee further **noted** that many departments were already exceeding their benchmarked figures.

The Committee **noted** that clarification was needed regarding the relationship between aspirational figures and the MTP process, particularly in terms of expectations relating to rates of improvement.

**ACTION: AG & CB to discuss further with the Director of Planning**

The Committee **agreed** that it would be helpful for the new Director of Planning to attend a forthcoming meeting to set out the envisaged relationship between URC-led and Planning-led processes.

#### **18-19/24 Research Reporting Working Group project**

The Committee **received** for information a summary of the Research Reporting Working Group project (RC.18-19/17). The Acting Director of Research & Enterprise spoke to the report. The Committee **noted** in particular the need for provision of reliable central data so that departments were not obliged to maintain their own records locally (as set out in the paper's appendix in relation to the Sciences). It was also important to align the Group's work with Planning processes.

#### **18-19/25 Report on research grant applications: 5 year trend by funder type (FOI EXEMPT)**

#### **18-19/26 Report on draft research income 2017-18 (FOI EXEMPT)**

### **CATEGORY II BUSINESS**

#### **18-19/27 Annual ethical conduct audit for ESRC-funded projects 2017-18**

The Committee **received** for information a summary of the annual ethical conduct audit for ESRC-funded projects undertaken for 2017-18 (RC.18-19/20).

#### **18-19/28 HEFCE Open Access requirements for REF: quarterly report on rates of deposit in PURE.**

The Committee **received** for information the quarterly report on rates of deposit in PURE (RC.18-19/21).

#### **18-19/29 Minutes of the GCRF Steering Group**

The Committee **received** for information the minutes of the meeting of the GCRF Steering Group held on 29 June 2018 (RC.17-18/22).

#### **18-19/30 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 3 July 2018 (RC.18-19/23).

#### **18-19/31 Minutes of the Research Excellence Training Steering Group**

The Committee **received** for information the minutes of the meeting of the Research Excellence Training Steering Group held on 18 June 2018 (RC.18-19/24).

#### **18-19/32 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 12 September 2018 (RC.18-19/25).

**18-19/33 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 10 September 2018 (RC.18-19/26).

**18-19/34 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 13 September 2018 (RC.18-19/27).

**18-19/35 Next meeting**

The Committee noted details of the next meeting: Tuesday 13 November 2018 at 2:15pm in H/G17, Heslington Hall.

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October 2018