



UNIVERSITY RESEARCH COMMITTEE MINUTES 11 MAY 2023

Minutes of Meeting 02/2023 of the University Research Committee held on 11 May 2023 via Zoom.

Present:

Prof D Currow (*Chair*)

A/Prof S Akter
Prof M Batterham
Prof J Chen
Prof K Clapham
Prof H Ecroyd
Prof P Innis
D/Prof S Kaye

Prof L Kervin
S/Prof R Lewis
A/Prof C Mac Phail
Ms S Martin
S/Prof P McGuirk
Prof S Moss
A/Prof G Peleckis

Mr M Perry
Prof M Randle
Prof C Ritz
Dr T Stutchbury
Dr E Twyford
A/Prof S Wilkinson

Minute Secretary:

Ms J Evans

PART 1 OFFICIAL BUSINESS

1.1 1.1.1 Acknowledgement of Country

The Chair delivered an Acknowledgment of Country.

1.1.2 Welcome and Apologies

Apologies were received from Ms O Belhaffef, Dr P Di Pietro, Prof P Kelly, Prof N Reynolds, D/Prof R Roberts, D/Prof S Robinson, D/Prof A Sims, Mr G Tomka, Prof W Vialle, Prof J Wang.

A/Prof C Mac Phail representing Prof P Kelly. Ms K Lovasz, Manager Strategic Project RSO attended for item 3.1. Ms C Carter, Associate Director, Research Analytics & Systems attended for item 3.2. Prof H Chen, Deputy Dean Graduate Research attended for item 3.3.

1.2 Arrangement of the Agenda

1.2.1 Conflicts of Interest

There were no conflicts of interest declared.

1.2.1 Starring of Items

All Items Starred

PART 2 CONFIDENTIAL BUSINESS

There was no Confidential Business

PART 3 GENERAL BUSINESS

3.1 Review of Research Entities Framework – Phase 2

The Chair provided an update to the Committee on the Research Entities Review. Phase 1 of the review was wound up in March 2022 and the amended Terms of Reference for Phase 2 were endorsed to proceed in October 2022.

It was noted that two entities, ANCORS and Molecular Horizons, were formalised as UOW Research Entities in line with the existing University Research Institute Guidelines (2018). These Guidelines fell due for review in December 2022. As the UOW Research Entities Framework Policy will not be implemented until the second half of 2023, a revision of the existing Guidelines was undertaken in March 2023, including consultation with key stakeholders (all ADRs and Directors of 10 major UOW research entities). The resulting update to the Guidelines, now titled UOW Research Entity Guidelines, if endorsed by URC will be implemented immediately and will remain in effect until the date of implementation of the new UOW Research Entities Framework Policy.

The proposed Draft Framework Policy and associated procedures will go out for UOW-wide internal consultation, before being provided to the August Council Meeting for approval.

The findings of the Review Phase 2 are detailed in the agenda paper and the Chair noted that:

- there are many strong examples of best practice;
- there is considerable variation among major entities across almost every aspect of their strategy, leadership, governance operations and funding; and
- a number of critical issues were also revealed.

The Review established 10 recommendations (also detailed in the agenda paper) with the overarching aim to ensure the UOW Research Entities Framework governs Entities to function optimally, allowing them to drive UOW research strategy, produce world-leading discovery and translation research outcomes, and provide value-added support and opportunities for researchers, HDR scholars and future research leaders. The recommendations have been translated into the Draft UOW Research Entities Framework Policy. The Policy will be supported by procedures detailing Establishment, Lifecycle and Funding processes. Both documents will provide clarity and assist with forward planning.

The Committee thanked the Review Working Group for all their work and welcomed the clarity the new Framework Policy and Procedures will provide going forward. Further feedback as follows:

- Questions about whether ANCORS could remain as a recognised School, with the Chair confirming that the intention of the Policy is not to cut across existing successful structures. More broadly, however there would be consideration about how this would work for new entities;
- Question about who would be formulating and evaluating the KPIs as per 11.3 of the Policy, with the Chair confirming that the KPIs would be prepared in consultation between the Executive Dean, Associate Dean Research and the Entity leaders, and that the wording in section 11.3 of the Policy would be adjusted to make this clear;
- The Policy notes that Directors are responsible for expenditure of annual internal funding. It was suggested that this could be adjusted to include ‘up to their level of delegation’ and that ‘above that level of delegation the responsibility would go to a Management Committee’;
- It was suggested the Operation Budget section should clarify if HDR Allocations are included;
- It was suggested that Financial Audits should occur more frequently than 5 years;
- The potential was raised of a body/group to facilitate collaboration that would represent all entities for governance, HDR issues etc in order to reduce duplication of work and share best practice across all entities, with the Chair advising that once the Policy is approved, there would be an opportunity to look at synergies across entities;
- How will the new Policy address managing infrastructure, particularly for AIIM, with the Chair confirming that discussions will take place with the AIIM Director in the coming weeks;
- In the Policy, the phrase ‘at any time’ is used in a number of places when referring to timing of requests from entities to be established under the new Framework. This was seen as too

- vague, and a clear/specific schedule should be provided, with the Chair noting that this wording was used to provide some flexibility to the process, however this will be adjusted to be more specific whilst still retaining flexibility;
- In section 7, the wording should be adjusted to provide a clearer definition of whether members are employees, honorary, emeritus etc and in Appendix A when referencing the number of members it should be clarified as to whether this refers to headcount or FTE;
 - More clarity around governance structures and workloads is welcome as is negotiation of KPI's ensuring that non-traditional metrics, particularly in HASS areas, are included;
 - The focus on a 'global context' throughout the documents is noted, although there should be a balance between a global and more localised community agenda;
 - Could the language around membership of entities not just be UOW focussed, with consideration given to including external members such as industry partners, community members and advisory groups etc;
 - The definitions table is confusing in terms of what constitutes a Research Institute, Centre or Node and what the differences are between them all;
 - What is the definition of UOW Staff and does this relate to staff at Global Campuses also, with the Committee agreeing that the wording should be changed to specify the inclusion of international campuses;
 - Is there any guidance being provided to the faculties in relation to the funding of minor centres that are currently only funded year to year, and funding decisions one year at a time are an issue for forward planning for all entities, with the chair noting the Framework principle is that entities will be established for a period of time so funding decisions should mirror this commitment – this will be make explicit in the Policy; and
 - Question on analysis of research performance by FOR Code and how non-traditional research outputs will be measured, with the Chair advising that further conversations around impact are ongoing especially in parallel with the Academic Performance Framework Review.

Some feedback and questions were also noted on the revised Guidelines:

- AIIM currently sits outside these guidelines as they are not part of a faculty, with the Chair advising that the wording would be adjusted to address this, and that the intention is to include AIIM in the interim guidelines; and
- Concerns that for small entities that do not have a large structure, arranging processes to comply with the Guidelines in this interim period, and then to comply again with the final Policy is not feasible, with the Chair noting any review must be commensurate with the size and complexity of the entity and working of the Guideline will be to reflect this.

The Chair thanked the committee for their feedback, advising that he would also be happy to meet with individual entities over the coming weeks to provide informal feedback on their submissions to the Review Phase 2 Working Group.

The Committee agreed to the proposed Policy consultation and endorsement timeline, pending clarification of the issues discussed. The Committee further agreed that they were supportive for changes to be made in parallel with the consultation process, with no need for a revised Policy draft to be updated and provided to members before wider consultation occurs. The AIIM ADR requested to see how the wording of the Guidelines would be changed to address the inclusion of non-faculty entities into the document.

The Chair further clarified the status of the confidential report, noting that he will need to have further discussion with other key stakeholders before the report will be available to share. The Guideline however, will be adjusted based on the feedback as discussed and become an active document within the next week.

Resolved (17/2023)

That the University Research Committee:

- (i) note the recommendations of the Research Entities Framework Review Phase 2 Working Group contained in the Research Entities Framework Review - Phase 2 Report as provided in the agenda papers, and further note their thanks and support to the Working Group for this welcome, refreshing and extensive review;*
- (ii) provide feedback on the Draft UOW Research Entities Framework Policy, and support the commencement of a UOW-wide staff consultation process, as provided in the agenda papers; and*
- (iii) endorse the revised UOW Research Entity Guidelines to operate for an interim period until implementation of the UOW Research Entities Framework Policy, as provided in the agenda papers.*

3.2 Research Data Management Policy Update

The Associate Director, Research Analytics & Systems provided an overview of consultations for the revised Research Data Management (RDM) Policy and Guidelines. Consultation with the following groups has been completed: Research Data Management Working Group; Research Integrity Committee; Research Integrity Advisors Network; Woolyungah Indigenous Centre; Research Information Technology & Systems Committee; University Research Committee (October 2022); and UOW-wide Consultation (16 December 2022 to 3 February 2023).

The key policy changes made following consultations are:

- Aboriginal and Torres Strait Islander Research defined;
- Added clarification on Indigenous research classification;
- Documentation and Metadata – changed all instances of ‘should’ to ‘must’ to reflect best-practice metadata management;
- New clause related to retention, archiving and disposal of Indigenous research data, in accordance with AIATSIS Code;
- Referenced Security of Critical Infrastructure Legislation (SOCi ACT); and
- Data Governance Procedure approved (now includes Research Data in ‘Security Classifications’).

A suggestion was made that the term “Research Student” be changed to “HDR Scholar”. The Committee was supportive, however upon further investigation, this terminology could not be found in existing UOW policy documents or official documentation. The Graduate Research School (GRS) agreed to update this terminology in their policies during the next review phase, and the RDM Policy and Guidelines can be updated to reflect this change in due course.

The Associate Director, Research Analytics & Systems also provided an update on the RDM Strategy, noting that a Working Group has been formed to develop and progress this. The purpose of the Strategy is:

- To highlight the risks related to current and historical RDM practices;
- Propose key recommendations to address the risks;
- Develop a roadmap to ensure a sustainable future for RDM at UOW; and
- Enable the effective implementation of the RDM Policy and Guidelines.

The RDM Strategy has identified several critical risks, including sensitive data exposure, the lack of a Research Data Repository at UOW and inadequate Research Data Storage Platforms. The Strategy recommends the following five critical reviews:

- Review UOW’s research data governance framework and funding model;
- Review research data management staffing roles and responsibilities;
- Review research data repository requirements;
- Review and implement suitable research data collection and storage platforms; and
- Review historical research data compliance risk.

The Committee further noted:

- There is considerable work to complete in 2023, especially considering the decommissioning of CloudStor and the expiration of StorageGrid;
- The great work by the Associate Director, Research Analytics & Systems, Director NIASRA and the RDM Working Group and their teams in progressing this vital UOW asset;
- A Cyber Security Manager has recently been recruited in IMTS and policies and procedures are in place in IMTS to contend with any contingencies that may occur (e.g.: data breaches);
- Recognition, commitment and importance of the inclusion of Indigenous definitions and requirements throughout the documents.

The Chair confirmed that the Policy and Guideline will now be forwarded to Academic Senate for endorsement and the RDM Strategy remains a work in progress.

Resolved (18/2023)

That the University Research Committee:

- endorse the Research Data Management Policy and Guidelines as provided in the agenda paper, and forward to Academic Senate for noting and feedback, before being forwarded to the Finance and Infrastructure Committee for approval; and*
- note the draft Research Data Management Strategy as provided in the agenda paper, and forward to Academic Senate for noting and feedback.*

3.3 HDR Supervisor Registration and Professional Development Program

The Deputy Dean, Graduate Research advised the Committee that this program is essential for UOW to meet TEQSA re-registration requirements. An extensive consultation process has been completed to align with the needs of all requirements, resourcing has been increased and the Graduate Research School will provide 12 workshops with external providers in the next year.

The Committee requested that the needs of Indigenous students be included and the Deputy Dean, Graduate Research advised that this is included in workshops and the training documents addressing these needs are currently being prepared. Going forward supervisors of Indigenous students will be required to attend mandatory training. It was further requested that there should be targeted consultation with current supervisors of Indigenous students, in addition to planned consultation with Woolyungah Indigenous Centre (WIC).

The Committee commended and supported this well-developed document and thanked the team for addressing issues brought forward.

Resolved (19/2023)

That the University Research Committee endorse the proposed HDR Supervisor Registration and Professional Development Program, as provided in the agenda papers, and forward to Academic Senate for approval.

PART 4 BUSINESS FROM UOW COMMITTEES

No Business from Other UOW Committees

PART 5 FINAL BUSINESS

5.1 Other Business

No Other Business

5.2 Next Meeting

The next University Research Committee Meeting will be held on Wednesday 21 June 2023.

The meeting closed at 11.10am.

ACTION ITEMS

- 3.1 All Committee Members - provide feedback as detailed
- 3.2 J Evans – forward to Governance for Academic Senate Agenda
- 3.3 J Evans – forward to Governance for Academic Senate Agenda

Signed as a true record



Chairperson 06/07/2023