



**Senate**

<b>Paper Title</b>	Vice-Principal's (Research) Advisory Group  Executive Summary of the meeting held on 10 July 2013
<b>Outcome requested</b>	Senate is asked to <b>note</b> the paper.
<b>Points for Senate members to note and further information</b>	<ul style="list-style-type: none"><li>• The overarching purpose of the Advisory Group is to develop and monitor strategies and policies for research in the College.</li><li>• The members of the Group are the Faculty Deans for Research and Director of the Doctoral College. Heads and representatives of relevant Professional Services departments attend the meetings as appropriate.</li></ul>
<b>Questions for Senate to consider</b>	The paper is <b>provided for information</b> .  Particular points <b>to note</b> include: <ul style="list-style-type: none"><li>• the introduction in 2013-14 of two new groups chaired by the Vice-Principal - the Research Development Group and the Research Consultation Group (section 2);</li><li>• the QM guidance on open access to research outputs (section 3 and annexe A);</li><li>• the revision of the QM Citation Policy to take account of the change to QM's official name (section 7).</li></ul>
<b>Regulatory/statutory reference points</b>	n/a
<b>Strategy and risk</b>	n/a
<b>Reporting/consideration route for the paper</b>	<b>For report</b> to Senate.
<b>Authors</b>	Mary Childs, ARCS, secretary to the Advisory Group
<b>Sponsor</b>	Professor Bill Spence, Vice-Principal (Research)

**SENATE**

**VICE-PRINCIPAL RESEARCH ADVISORY GROUP**

**EXECUTIVE SUMMARY OF MEETING HELD ON 10 JULY 2013**

*For a full set of notes please contact the Secretary: Mary Childs*  
[m.childs@qmul.ac.uk](mailto:m.childs@qmul.ac.uk)

**1. Summary**

This report summarises the main areas of discussion of the Research Advisory Group to the Vice-Principal (Research) at the final meeting of 2012-13 held on 10 July 2013. The next meeting will be held on 14 October.

**2. Review of Vice-Principal (Research) discussion groups**

The Advisory Group endorsed proposals developed by the Vice-Principal with the Deans for Research to set up a new Research Development Group to run in parallel with VPRAG, and a more informal Research Consultation Group. VPRAG will focus on research policy development and review and consider reports from Professional Services on service development in support of research activity. It will meet five times p.a.

**Research Development Group**

The Research Development Group will be an academic group to discuss and develop research issues, solutions and strategy, and to foster the development of research ideas and proposals that could be taken forward at an interdisciplinary, interfaculty or college level, and to identify areas that might benefit from policy development or a strategic approach. It will refer proposals to VPRAG. The Group will meet five times p.a.

The membership is

Vice-Principal (Research) Chair

HSS Dean for Research

SMD Dean for Research

S&E Dean for Research

The Director of the Doctoral College or Deputy Dean for Research representative

Three School/Institute Directors of Research or their equivalent, one from each faculty

The Vice-Principal's Executive Officer (Research)

Secretary: Secretary to VPRAG

**Research Consultation Group**

The Research Consultation Group will provide a less structured forum where individual academic staff can directly voice issues of concern and propose initiatives.

It is planned that the Group will contain a mix of researchers from different areas and career stages, with good representation from early career researchers and those new to QM, and with due attention to equality and diversity. Members will be expected to give consideration to representing the views of colleagues as well as their own. The membership of the group will be refreshed with new people each year. Numbers are expected to be around 15, with about five informal meetings a year and free and non-attributable discussion on topics agreed by the group in advance. Suggestions generated by this group will be brought to the other groups as formal proposals wherever possible.

### **3. Open access to research outputs**

The Research Councils UK policy on open access to research outputs<sup>1</sup> applies to all peer-reviewed research publications submitted for publication from 1st April 2013 whether wholly or partially funded by the UK Research Councils. The key principles of the policy are that outputs of publicly funded research should be freely accessible to all, and research that is wholly or partially funded by the Research Councils must be published in journals which are compliant with RCUK policy.

Following on from the work of the Task and Finish Group on Open Access and discussions in faculties and VPRAG, the Vice-Principal circulated a consultation document to Heads of School and Institute Directors, setting out the principles for a QM open access policy and the internal allocation system for OA funding from RCUK. At the meeting in July VPRAG approved the statement on Open Access Principles and Guidance, and the proposed allocations to schools and institutes from the RCUK block grant to support open access publishing costs. The statement has been circulated to schools and institutes and is annexed at A.

### **4. Research Data Access and Management Policy**

The Research Data Access and Management Task and Finish Group met over the summer to review the QM Research Data Management Policy in the light of the Open Access agenda as well as to address particular concerns around policies on data access. The Task and Finish Group's recommended new policy will be considered at the next meeting of VPRAG on 14 October and reported to Senate in December 2013.

### **5. Monitoring Research Performance: HESA Research Degree Performance Indicators 2011-12**

The Advisory Group monitors research-related key performance indicators and the research components of the College and Faculty risk registers.

The Group reviewed the HESA Research Degree Performance Indicators for 2011-12.

It was noted that indicators for PhDs awarded, per academic staff costs and per funding council allocation, had decreased between 2009-10 and 2011-12. Indicators for research grants and contracts awarded were mixed, with an improvement for research grants and contracts per funding council allocation. An analysis of the recently published sector data indicated that QM results were not in line with its main comparators. There was discussion of the KPIs used by HESA, the possible causes

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<sup>1</sup> <http://www.rcuk.ac.uk/research/Pages/outputs.aspx>

of the decrease in the PhD indicators, and the definition of research staff numbers used in the KPIs.

A further analysis of the QM data by faculty has been circulated to VPRAG. The research review groups and the Doctoral College will be assessing this.

## **6. Update report on the EPSRC Impact Acceleration Account**

The Advisory Group receives twice yearly reports on major grants held at College level, such as interdisciplinary and interfaculty grants in order to assess progress and to monitor any risks associated with such grants. At the meeting on 10 July the Group noted a satisfactory report to EPSRC about activity on the grant between 1.10.12 and 31.03.13. The EPSRC grant is £750k with an additional £300k from the HEIF fund. The Group will receive the twice-yearly reports to EPSRC on the grant.

## **7. QM Citation Policy**

The Citation Policy sets out the appropriate format for referencing the university name. It was developed in response to the need to have a standard Queen Mary citation policy for research publications and grant applications as well as the dissemination of research findings. The policy was updated in August 2013 to reflect the adoption of Queen Mary University of London as the new legal name.

There are potentially significant costs to QM if our research appears under a range of different institution names, as this affects citation data and hence potentially REF results, reputation etc. The policy document also sets out the arrangements for monitoring adherence to the policy. The arrangements for monitoring and follow-up action are being reviewed by the Vice-Principal. Any proposals for changes will be discussed at VPRAG.

## **8. Training in research ethics and governance for staff and students**

The provision of training and resources in the ethics of research is required under the Concordat on Research Integrity, and HEFCE has made compliance with the concordat a condition of funding. VPRAG and the Ethics of Research Committee have considered proposals for training and resources in the ethics of research to support staff and research students involving the new Centre for Academic and Professional Development, the Doctoral College and JRMO. The proposals mainly involve embedding issues about the ethics of research into existing training activity, and developing web resources. The provision will dovetail with the statutory requirements for training in research ethics to support clinical and medical research, and JRMO will be involved in developing training.

### QM Open Access Principles and Guidance

#### 1. Background

The UK Research Councils (RCUK) have a policy on Open Access (OA) to research that is funded by the research councils – see <http://www.rcuk.ac.uk/research/Pages/outputs.aspx>

This applies to research published from April 1<sup>st</sup> 2013 and requires peer reviewed papers to be freely available to readers either

- through “Gold” access whereby access is unrestricted and immediate upon payment of an Article Processing Charge (APC), or
- through “Green” access whereby after an embargo period<sup>1</sup> the work can be made available, for example in an institutional repository.

Gold access is not mandatory under the RCUK policy and RCUK have described the implementation of this policy as a “journey over five years”.

The Library is maintaining information around Open Access at the site <http://www.library.qmul.ac.uk/openaccess>

#### 2. QM Principles

We support the following with regard to Open Access for research outputs:

- Individual researchers or research collaborations should continue to freely choose to disseminate their research via those routes of their choice that are internationally recognised for their high standards and that are appropriate for maximising the impact of the research on the intended audience,
- Queen Mary is committed to the general principle of Open Access publication of research,
- We favour Open Access by the Green route, with authors self-archiving their work, preferably in the QM repository as this develops to a more comprehensive archive of our research; however we will support Gold access where researchers see this as academically necessary, subject to available funding.

The RCUK Policy also requires that publications indicate how the “underlying research materials” may be accessed. With regard to access to the data and meta-data underlying research outputs, the College’s Data Management Policy will apply – see

[http://www.arcs.qmul.ac.uk/policy\\_zone/research/QMUL\\_research\\_data\\_management\\_policy\\_2012.pdf](http://www.arcs.qmul.ac.uk/policy_zone/research/QMUL_research_data_management_policy_2012.pdf)

(This may be amended by a Task and Finish Group which will be reviewing the policy during 2013.)

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<sup>1</sup> Many journals will allow either a final draft post-refereeing, or in some cases the publisher’s PDF, to appear in some repositories for no charge within the embargo period.

The RCUK policy applies to all research that is funded by UK Research Councils; this covers all researchers supported by such funding, whether they be academic staff, RAs or fixed-term contract staff, or PhD students.

In view of the changing situation in this area, the QM Guidance on OA will be kept under review, and amended after consultation as needed in response to significant changes in the external environment.

### **3. Allocations of RCUK funding for OA**

RCUK has provided funding to support OA for work funded directly or indirectly by Research Councils, for the year from April 1<sup>st</sup> 2013. It is not yet clear if this funding will be sufficient to cover unconstrained Gold OA and researchers are encouraged to consider Green publication routes in the first instance, where this is available and appropriate for their work.

The UKRC funding for OA will be apportioned for use at School/Institute (hereafter "School") level as follows:

- allocation to Schools will be made in proportion to the number of RCUK research grants held within that School in the past three years,
- to avoid over- or under- allocations, this amount will be constrained so that no School has less than £4k or more than £20k for the year,
- requests for support outside School budgets will not normally be approved; however a Reserve Fund of 20% of the RCUK fund will be kept aside to allow some flexibility to respond to unexpected but academically compelling cases for support, adjudicated by the Open Access Committee. If the Reserve Fund is not used up within the year then it will be redistributed to Schools,
- allocations will initially be made for the first six months; the system will be reviewed by the Open Access Committee, consisting of the VP (Research) and the three Faculty Deans for Research, after six months, taking into account any comments or suggestions received, and amended as necessary for the second six month period, starting in October 2013, in order to correct any anomalies. This will not retrospectively affect any spending within budgets.

### **4. Accessing Open Access funds**

RCUK OA funding to Schools will be applied as follows:

- Schools will internally assess how they wish to use their annual budget, taking into account the necessary academic considerations relevant to their disciplines,
- Schools will be requested to provide a brief summary of their internal processes for deciding on the use of this budget; these processes should be consonant with the Principles stated in Section 2 above, be fair and transparent, and be such that appropriate consideration in particular is given to issues of equality and diversity, and support for early career researchers,
- If Schools wish to use part of this funding to support a publication by researchers not in direct receipt of RCUK funds (this might extend to emeritus staff, some PhDs/RAs, staff on temporary contracts) the reasons for this and the connection to RCUK-funded research should be stated on the application;

however due to the expected constraints on funds, priority will in general be given to supporting directly RCUK-funded researchers,

- if Schools have grants that can include publication charges they should use these sources first wherever possible,
- for collaborations with researchers in other institutions it is recommended that researchers negotiate a reasonable arrangement for agreed joint liability for any OA charges, in consultation with their School if needed,
- the RCUK fund will be administered by the Library and charges made to this account,
- applications for funding will be required to be endorsed by the Head of School or their nominee (eg Director of Research), such endorsement will be taken to affirm that the agreed School processes and criteria for OA funding have been followed,
- endorsed applications should be submitted to Sarah Molloy in the Library on [Scholarlycommunications@qmul.ac.uk](mailto:Scholarlycommunications@qmul.ac.uk); this support can include added costs such as diagram or page charges, where these have not been previously supported by the School; however this will reduce the capacity to support publications overall,
- if there are exceptional circumstances where Gold publication is essential but School funds within the allocated budget are not available, then researchers may apply for support from the Reserve Fund (see below), including a case for this supported by the Head of School or Director of Research. A decision on any such applications will be made by the Open Access Committee.
- Any issues arising that are not covered by this guidance, or where a School does not arrive at an agreed decision, may be referred to the Open Access Committee.