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## RESEARCH GOVERNANCE COMMITTEE

Thursday 24 March 2011

### MINUTES

*PRESENT:*

Professor David Price (*Chair*)  
Professor Daniel Alexander  
Professor Shelley Channon  
Lord Hart of Chilton  
Professor Raymond MacAllister  
Mr Tim Perry  
Dr Mary Phillips  
Dr Arad Reisberg  
Dr Claire Warwick

*In attendance:* Ms Rachel Port (*Secretary*)

Apologies were received from Dr Brian Balmer, Professor Mary Collins, Dr Sylvie Delacroix and Mr Nigel

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13     **MATTERS ARISING FROM THE MINUTES**

13A    **Terms of Reference, Constitution and Membership**

*[RGC Mins.1 and 6, 09.11.10]*

**Noted:**

13A.1   The Chair, after discussion with the Director of Academic Services and on behalf of RGC, had approved the addition of the Vice-Provost (Health) (or nominee) to RGC's *ex officio* membership. The Vice-Provost (Health)'s nominee to RGC was Professor Mary Collins.

13A.2   At its previous meeting, RGC agreed that the Director of Academic Services, with the Director of Human Resources, would arrange to: (i) increase the number of RGC's Nominated members to six; and (ii) amend RGC's ToR to include an expectation for Nominated members to act as the first point of reference for officers charged with convening research misconduct investigation panels *[see also Minute 14 below]*.

session. The RSC had been wound up with effect from September 2010 and the RSC Sub-Committee on Research Governance had been reconstituted as RGC with effect from the same date.

13B **Establishment of the Committee**

*[RGC Min.1, 09.11.10]*

**Noted:**

13B.1 At its previous meeting, RGC agreed that the RGC Secretary would check that its profile on relevant UCL web pages was sufficiently high.

13B.2 The newly-established Academic Services Research Governance webpage at <http://www.ucl.ac.uk/academic-services/resgov>

14 **RESEARCH MISCONDUCT PROCEDURE**

*[RGC Min.6, 09.11.10]*

**Received:**

- 14.1 At APPENDIX RGC 2/15 (10-11) *[circulated separately ahead of the meeting and issued with these Minutes]* – an update report by the Director of Academic Services.
- 14.2 An oral report by Tim Perry, Director of Academic Services.

**Reported:**

- 14.3 A revised draft of UCL's procedure for investigating and resolving allegations of misconduct in academic research ('research misconduct procedure') had been prepared. The draft procedure contained a number of significant changes to the existing procedure. In particular, it was intended that in future cases - where the respondent to allegations of research misconduct was a current UCL employee and the panel set up, at the first stage of the procedure, to screen the allegations concluded that there was a case for further investigation - the matter should at that stage be taken forward by the Director of Human Resources through UCL's staff disciplinary procedure rather than by the Director of Academic Services under the research misconduct procedure.
- 14.4 Whilst UCL had not formally adopted the UKRIO's research misconduct procedure, it was agreed by RGC's predecessor that the UCL procedure should conform to the principles laid out in the UKRIO equivalent. In light of a meeting held in early March 2011, involving the Chair and the Director of Academic Services, other UCL officers and UKRIO officers, the Acting Head of UKRIO had agreed to look at the draft revised UCL procedure and to advise on any areas of significant divergence from the UKRIO document.
- 14.5 As indicated at Minute 13A.2 above, the Nominated membership of RGC had been increased from three to six and the academic staff concerned had been informed of the role envisaged for them under the revised research misconduct procedure. The Director of Academic Services noted that one of the Nominated members had made the point that the cumulative workload for staff involved in similar roles in relation to other UCL procedures such as those concerning staff discipline and grievance was potentially very time-consuming.
- 14.6 Pending the receipt of advice from UKRIO's Acting Head, it was intended that a

- 14.8 One member reported that they had served on a panel under UCL's staff disciplinary procedure and noted the lack of guidance for academic staff involved in such roles. Members felt that academic staff required training to participate on such panels. Under the revised research misconduct procedure, the Director of Academic Services envisaged that the investigating panel would have at least one experienced panel member and a newer panel member to allow for the newer person to be mentored. However, the Director of Academic Services anticipated that the number of cases to be investigated under the revised research misconduct procedure would decrease if it were to apply only in cases where the respondent was a UCL student or was not currently a member of UCL.
- 14.9 In the meantime, RGC endorsed the suggestion that the Director of Academic Services liaise with the Director of Human Resources about the matter raised at Minute 14.5 above, and investigate the feasibility of creating and maintaining a central record of the staff available for and of their actual involvement in roles in connection with other relevant procedures such as staff discipline and grievance.

**RESOLVED:**

- 14.10 That the Director of Academic Services liaise with the Director of Human Resources about, (i), the workload for staff involved in similar roles in relation to other UCL procedures, and, (ii), having a central record of the staff available for and of their actual involvement in roles in relation to other UCL procedures such as staff discipline and grievance.

**[ACTION: Director of Academic Services]**

**15 REFORM OF THE UCL COMMITTEE SYSTEM**

**Received:**

- 15.1 At APPENDIX RGC 2/17 (10-11) [circulated separately ahead of the meeting and issued with these Minutes] – a note by the Director of Academic Services.
- 15.2 An oral report by Tim Perry, Director of Academic Services.

**Reported:**

- 15.3 It was noted that a review of UCL's standing committees and sub-committees was undertaken last j-s 3O1m11)/EMC s8.016 and of gret a rev,TT1 1 Tf-0.0175 Tc -0.0004 Tw T(co5.4DC Reportinihe a wi2 1 Tf-0.0155 Tc

**Discussion:**

- 15.4 Members endorsed the proposal to reconstitute REthC as a body operating outside the structure of UCL committees established by Council and noted that its minutes should continue to be submitted to RGC for information. The Chair expressed his thanks to all REthC officers for their service on the Committee and commended its work. The Director of Academic Services, as Secretary to Council, would take this matter forward as necessary.

**RESOLVED:**

- 15.5 That RGC approved the proposal to advise the Council sub-group on committees reform that the REthC should continue to operate as at present but that it should no longer have the status of a UCL standing committee, and that the Director of Academic Services take this matter forward.

**[ACTION: RGC Officers / Director of Academic Services (to note)]**

16 **DATE OF NEXT MEETING**

**Noted:**

- 16.1 The next meeting of RGC would take place at on **Thursday 2 June 2011** at **10.30am** in the **Ground Floor Meeting Room, 2 Taviton Street.**

RACHEL PORT

Academic Support Officer

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18 April 2011