



# La Trobe University Excellence in Research Awards

## Instructions for Applicants for 2010 Award

### General Information

The La Trobe University Excellence in Research Awards (LTUERA) provide high quality Early to Mid-Career Researchers with recognition for their achievement and with support to enhance their further career development. There are two levels of award: one for 1-7 years post-doctoral staff and the other for 7-15 years post-doctoral staff. Researchers from all disciplines within the University are eligible, *but there will be a strong focus on supporting applicants from areas of established or emerging research strength.*

The objectives of the La Trobe University Excellence in Research Awards (LTUERA) are:

- To recognise Early to Mid-Career Researchers who show clear evidence of high research capacity; and
- To support, on a competitive basis, staff to undertake travel or other programs to enhance their research careers;

The award will include personal funds (\$2000) in recognition of the excellence of the applicant as well as funds (\$3000-5000) to support a career development program, for example a research visit trip to a top national or international laboratory or archive or library, a conference at which the candidate's work will be presented, or a leadership course.

One award for 1-7 year Researchers per Faculty (Dean's award) and four for 7-15 year Researchers (DVC(R)/VC's awards) will be offered each year.

### Eligibility

The Applicant:

- Must hold a 50% or greater academic appointment (including research-only appointment) at *La Trobe University*;
- Be employed at level A-D at the time of application; and
- Have not previously received such an award.

A **Researcher Level 1** is defined as “a researcher who had their PhD awarded on or after 19 October 2002 (within 7 years prior to application closing date)”.

A **Researcher Level 2** is defined as “a researcher who had their PhD awarded on or after 19 October 1994 but before 19 October 2002 (7-15 years prior to application closing date)”.

Researchers who do not meet one of the above criteria but who consider they have equivalent research qualifications or experience of similar duration, may be considered for an Award. Circumstances which may be taken into account in determining whether to approve eligibility for a person who does not meet the qualification or timing requirements could, among other things, include career interruptions due to non-research employment,

misadventure or carer responsibilities. A request for equivalence status must be included in the application.

## Selection criteria

Consideration will be given to the opportunities the candidate has had to attain the level of achievement relative to the nominated salary level

- evidence of capacity to conduct high quality, innovative research
- record of high quality research outputs
- evidence of international research standing

## Instructions for Completion of Application

Please provide a pdf copy of your application to your Faculty contact as listed in Attachment A by **October 19, 2009**.

**All applications must be page numbered, in 12 point font and include the following:**

- 1) A completed Application Form [Attachment B].
- 2) A statement of track record relative to opportunity (maximum 1 page). Include any career interruptions or other factors that have had an impact on your research track record which should be drawn to the attention of the selection committee.
- 3) A detailed list of authored publications in the last 7 years (2002-2009) under the following headings:
  - (i) Books - Authored research (A1),
  - (ii) Book Chapters (B),
  - (iii) Refereed Journal Articles (C1),
  - (iv) Conference Papers (E1 - full, refereed papers only),
  - (v) Other (e.g. patents or achievements in creative and performing arts).

### **For all publications:**

- (a) **Include the list of authors, title, journal, vol/issue, pages and year.**
- (b) **Where available list the 4-digit FoR code for the journal, the current ERA journal ranking, the current impact factor and where relevant the number of citations.**

**Asterisk your 10 best publications and provide a statement (maximum 100 words for each) explaining why these are your best outputs (e.g., contribution to the output, originality of ideas, significance of findings, translational outcome, media interest).**

- 4) A list of all awards, prizes, invited talks, keynote and plenary addresses, conference organisation and other acclaim you have received for your research within the last 7 years.
- 5) A detailed list of current and past (within the last 7 years) research grants held and any grants currently under review. Include names of chief investigators, project titles and amounts received/requested.
- 6) For applicants in the ECR level 2 category, provide evidence of research leadership. This might include creation of research teams, improving the research environment for existing

researchers, mentoring junior staff; or obtaining infrastructure or other support for researchers (maximum of half a page).

## **The Process for Granting Awards**

Applications will initially be considered by Faculty Research Committees, whose role is to recommend to the University Selection Committee suitable applicants for central consideration. Grants are awarded on the advice of the University Selection Committee, chaired by the Deputy Vice-Chancellor (Research). The University Selection Committee will be appointed from the membership of the Research and Graduate Studies Committee.

The University Selection Committee may refer to other material such as current applications under consideration or past applications and progress reports in making decisions on applications.

The University Selection Committee will consider all applications forwarded by the Faculty Research Committees. The main criterion for the award of grants is excellence of the applicant as a researcher.

In assessing the excellence of the applicant it is important to consider whether there has been an opportunity to build up a “track record”. The track record is determined by consideration of qualifications, experience, research funding and research output. It is appropriate when considering the track record to look at the total time the applicant has had available for research. Staff members will be eligible to receive only one award at each level.

### **Key dates for applicants:**

Closing date	19 October 2009
Meetings of Faculty Research Committees	Early November 2009
Short-listed applications due at the RGSO	26 November 2009
Meeting of University Selection Committee	10 December 2009
Notification of Outcomes	14 December 2009
Availability of Funds	1 January 2010

**Attachment A: University/ Faculty Contacts**

Director, Research Services, **Dr David Phillips**, [david.phillips@latrobe.edu.au](mailto:david.phillips@latrobe.edu.au) Tel: 9479 1976

**Secretaries of Faculty Research Committees**

<b>SECRETARY</b>	<b>FACULTY/CENTRE</b>	<b>CONTACT DETAILS</b>
Ms Gail McNaulty	Education	<a href="mailto:g.mcnaulty@latrobe.edu.au">g.mcnaulty@latrobe.edu.au</a>
Ms Natalie Humphries	Health Sciences	<a href="mailto:n.humphries@latrobe.edu.au">n.humphries@latrobe.edu.au</a>
Ms Trish Hills	Humanities & Social Sciences	<a href="mailto:p.hills@latrobe.edu.au">p.hills@latrobe.edu.au</a>
Ms Chiara Condotta	Law & Management	<a href="mailto:C.Condotta@latrobe.edu.au">C.Condotta@latrobe.edu.au</a> or <a href="mailto:FLM_ERGS@latrobe.edu.au">FLM_ERGS@latrobe.edu.au</a>
Ms Pauline Jones	Science, Technology & Engineering	<a href="mailto:p.jones@latrobe.edu.au">p.jones@latrobe.edu.au</a>

**Attachment B: Application Form****La Trobe University Excellence in Research Awards 2009**

These awards recognise and reward outstanding contributions to research by Early Career Researchers at La Trobe University.

**Application Form**

Please forward this form to the appropriate Faculty Office. Contact details are in Attachment B.

Level of ECR award to be considered (delete one)	<b>Researcher Level 1</b> (within 7 years since PhD awarded) or <b>Researcher Level 2</b> (7-15 years since PhD awarded)
Applicant's name	
Email address	
Telephone	
Academic Unit / School/ Faculty	
Current position and level (e.g. Level B Research; Level A academic)	
Past position(s) in the last 7 years	
Qualification (PhD, year awarded and institution)	

**Applicant's Declaration**

I (print name of applicant) .....  
hereby apply for a *La Trobe University Research in Excellence Award*.

Signature:

Date:

**Approval of Head of School (or equivalent authority)**

I support the application.

Head of School:

Signature:

Date:

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## CONTRACTS, GRANTS, CONSULTANCIES, COLLABORATIONS AND JOINT VENTURES

<b>Purpose/ objectives</b>	<p>This Policy determines the framework within which academics and researchers apply for research grants or develop contracts with sources both internal and external to the University. This includes the development of funding applications and contracts and the administration and acquittal of funded proposals. It also contains general principles relevant to other University Contracts and Consultancies.</p>
<b>Scope/ Application</b>	<ul style="list-style-type: none"> <li>• All La Trobe University campuses and external research locations</li> <li>• All types of research grant applications, proposals or contracts (both internal and external)</li> <li>• All La Trobe University Staff Members and students</li> </ul>
<b>Policy Statement</b>	<p>University Contracts and Consultancies are subject to the following:</p> <ul style="list-style-type: none"> <li>• the work must fall within the expertise and capabilities of the Staff Member proposing to undertake it,</li> <li>• the work to be undertaken must be appropriate to a University and unlikely to infringe the general freedom of enquiry of the University and of the staff concerned,</li> <li>• they must not place the interests of the Staff Member above that of the University and any possible conflicts of interest have been managed according to the Conflict of Interest Policy (HRM Manual 2.5),</li> <li>• recovery of costs has been attempted, consistent with requirements of the University Contract or Consultancy,</li> <li>• financial contributions and the use of University space and facilities must be identified and approved by the relevant Delegate and/or the Deputy Vice-Chancellor (Research) (or a person to whom the Deputy Vice-Chancellor (Research) has delegated that responsibility),</li> <li>• competitive neutrality principles,</li> <li>• work must not be aimed at or likely to result in harm to the life or wellbeing of any person and</li> <li>• students may not be involved except in fulfilment of an approved course requirement or otherwise only with voluntary consent and for fair payment.</li> </ul> <p>The person authorised to sign University Contracts and Consultancies for Research must have written evidence that:</p> <ul style="list-style-type: none"> <li>• relevant clearances from human ethics, animal ethics or genetic manipulation committees have been obtained at the time that is necessary for conduct of the research and</li> <li>• the Delegate has made the certifications required for a Research proposal and that all relevant policies and procedures have been followed, including the procedure for this policy on costing, pricing and recovery of infrastructure costs.</li> </ul>

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	<p>La Trobe University is committed to best practice in all aspects of Research as laid out in the <a href="#">Australian Code for Responsible Conduct of Research (2007)</a>. There must be full disclosure to the University of all Research to be conducted that must be compliant with La Trobe University statutes, regulations and policies and in accordance with the Australian Code for Responsible Conduct of Research. The Delegate must certify in all Research proposals or applications that the Delegate:</p> <ul style="list-style-type: none"> <li>• will ensure that the research is conducted in accordance with La Trobe University's statutes, regulations and procedures,</li> <li>• will meet all Faculty or Administrative Division commitments detailed in the application,</li> <li>• has identified any special funding that will be required,</li> <li>• will fund any shortfall in salary and/or salary service rates,</li> <li>• will ensure appropriate monitoring and accountability processes will manage the budget,</li> <li>• will manage the workload of the staff member to take into account a successful application,</li> <li>• will be responsible for any over-expenditure and</li> <li>• if for a competitive Grant, the proposal has been peer-reviewed.</li> </ul> <p>All Research proposals or applications must be endorsed by the Deputy Vice Chancellor (Research) or person to whom he has delegated that responsibility prior to submission.</p> <p>Staff Members must act to ensure that the University maximises Research Income. Staff Members will co-operate to ensure that all such income is declared in the Higher Education Research Data Collection or its successors.</p> <p>University Contracts and Consultancies from foundations primarily funded by the tobacco industry will not be accepted. University Contracts and Consultancies from business units of companies involved in the tobacco industry will not be accepted if, in the opinion of the Deputy Vice-Chancellor (Research), the unit is engaged directly in the production, manufacture, distribution, promotion or marketing of tobacco or tobacco products as its primary business; or acceptance of the funding involves any promotion or advertising that can be construed to support the tobacco industry or the tobacco lobby and its activities. University Contracts and Consultancies with business units of companies involved in the tobacco industry will be possible if, in the opinion of the Deputy Vice-Chancellor (Research), the primary business of the donor unit is unrelated to the tobacco industry and acceptance of the funding cannot be construed to support the tobacco industry or the tobacco lobby and its activities.</p> <p>The University will not enter into University Contracts and Grants which limit, in any way, the ability of a student to meet examination requirements of the University, for example, by:</p> <ul style="list-style-type: none"> <li>• restricting the inclusion of research results in their thesis,</li> <li>• limiting seminars which are part of the course requirements (noting that some confidentiality conditions may be required to protect agreements between parties),</li> </ul>
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	<ul style="list-style-type: none"> <li>allowing the funding agency to vet the thesis before its submission,</li> <li>limiting the ability of the University to have the thesis examined or</li> <li>by delaying the submission of the thesis.</li> </ul> <p>If necessary, the University may agree to ensure that the thesis or an appendix to the thesis remains confidential to the University and the examiners for a specified period of time.</p> <p>The University recognises that bodies providing funding for Research and/or education programs are entitled to specify the fields and scope of the programs, and to monitor their quality and timeliness. The University recognises that commercial or other considerations might sometimes require delays in publication but will generally not accept restrictions on publication in University Contracts and Consultancies. University Contracts and Consultancies which require restrictions on publications other than delay must be approved by the Vice-Chancellor on the recommendation of the Deputy Vice-Chancellor (Research).</p> <p>Bids for University Contracts and Consultancies or tenders must abide by the Trade Practice Compliance Policy.</p> <p>Any legal conditions deemed to be accepted by applicants or tenderers must be reviewed by Legal Services before submission.</p> <p>All contracts must have been approved by Legal Services before signature.</p> <p>The distribution of surpluses from University Contracts is subject to the Outside Work Policy.</p>
<b>Supporting Procedures</b>	Contracts, Grants, Consultancies, Collaborations and Joint Ventures
<b>Responsibility for implementation</b>	Deputy Vice Chancellor (Research) Research Services, La Trobe University
<b>Responsibility for monitoring implementation and compliance</b>	Research Services, La Trobe University
<b>Status</b>	Draft
<b>Key stakeholders</b>	Academic Board Research and Graduate Studies Committee
<b>Approval Body</b>	<i>This section to be completed only after approval of the new or revised version, for inclusion on website only. Do not enter information prior to approval. When entering, include approval body name, meeting number and date and agenda item number.</i>
<b>Initiating Body</b>	<i>This section to be completed only after endorsement by the initiating body or person</i>

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or person(s)	of the new or revised version. When entering, include endorsing body name, meeting number and date and agenda item number.
Definitions	<p><b>Research</b> is as defined in the 2009 Higher Education Research Data Collection Guidelines or its successors in later years.  <a href="http://www.innovation.gov.au/ScienceAndResearch/programs_funding/Documents/2009%20HERDC%20Specifications%20FINAL%20290109.pdf">http://www.innovation.gov.au/ScienceAndResearch/programs_funding/Documents/2009%20HERDC%20Specifications%20FINAL%20290109.pdf</a></p> <p><b>Research Income</b> is as defined in the 2009 Higher Education Research Data Collection Guidelines or its successors in later years.</p> <p><b>Staff Member</b> means any employee of the University.</p> <p><b>University Contract or Consultancy</b> means any legal contract made by the University in which a legal obligation to an external organisation for performance of work by a Staff Member falls on the University or wholly owned subsidiary and/or consideration is owed to the University or wholly owned subsidiary.</p> <p><b>Grant</b> means a University Contract or Consultancy in which financial acquittal of the grant is a legal obligation of the University and any unspent funds must be returned to the external organisation.</p> <p><b>Delegate</b> means the Dean or Head of Administrative Division of the Staff Member or a person to whom they have delegated a responsibility under this policy in writing.</p>
Related legislation	TBD
Related Policy and other documents	<p>Contract Signing Policy</p> <p>Commercial Activities Policy</p> <p>Contract Australian Government/NHMRC/ARC Australian Code for the Responsible Conduct of Research (2007)</p> <p>2009 Higher Education Research Data Collection Guidelines</p> <p>Research Integrity Policy and related Procedures</p> <p>Intellectual Property Policy</p> <p>Research Centres and Institutes Policy</p> <p>Conflicts of Interest Policy (HRM Manual Section 5.19)</p> <p>Policy of the Australian National University on Externally-funded Grants, Contracts and Consultancies</p>
Date Effective	Unless determined otherwise this should be the approval date. Include any comments as required eg if there is to be a 'grandfather' clause or effective date earlier or later than the approval date.
Next Review Date	This should normally be no more than 4 years after the date of approval, unless a different term is approved.

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<b>Keywords</b>	Provide one or more key words which will assist users of the Policy Library in searching for relevant policies.
<b>Owner/Sponsor</b>	Deputy Vice-Chancellor (Research)
<b>Author</b>	Deputy Vice-Chancellor (Research)
<b>Contact person or area</b>	Deputy Vice-Chancellor (Research)

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## CONTRACTS, GRANTS, CONSULTANCIES, COLLABORATIONS AND JOINT VENTURES PROCEDURES

Parent Policy Title	Contracts, Grants, Consultancies, Collaborations and Joint Ventures Policy															
Associated Documents	Personal Outside Work Procedures Contract Signing Delegation Procedures Coversheet for Applications for External Research Funding Contract Proposal Form Business Case for Participation in Joint Ventures Form Contract Proceeds Request Form															
Preamble	<p>The University's research and other relations with external organisations should be formed and approved in accordance with clear principles and consistent criteria.</p> <p>Commitments can only be made to other organisations to undertake research and other services if all resources required to undertake the work have been identified and the cost of performing the work has been determined. Decisions about prices to be charged or costs to be recovered must be based on consistent principles that comply with all relevant legal requirements and codes.</p>															
General	<p>Contracted services or duties to be performed by a staff member on behalf of the University for another person or body and work to be undertaken under any grant funding agreement must be approved by authorised officers of the University. Income from contracts and funding agreements must be dealt with in accordance with these Procedures.</p> <p>These Procedures are to assist staff members of the University in planning projects with external organisations and to assist officers of the University who are required to approve proposals to ensure that the necessary resources are available to perform the work and that costs have been fully identified. All proposals for Contracts and Consultancies must be costed in accordance with these procedures.</p>															
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1.	<p><b>Contract proposals</b></p> <p>Proposals for all externally funded research projects except applications for competitive grant funding must be set out in writing using the Contract Proposal Form or containing substantially all of the information required in the Form and lodged with Research Services. All resources required to undertake the proposed project must be identified and costed in accordance with the Research and Consultancy Costing and Pricing Procedures.</p>				
2.	<p><b>Costing Contract Proposals and Grant Applications</b></p> <p>Staff members proposing to undertake research or consultancy services or collaborative research on behalf of the University under a University Contract or Consultancy or research under a competitive grant must ensure that the proposed work is properly costed in accordance with the Costing and Pricing Guidelines for Research. Costs include direct costs, including all academic staff time, and indirect costs calculated using the current University multipliers. Costs must be fully identified and declared in the course of obtaining approval for a contract proposal or grant application. In the case of Contract Proposals, cost estimates must be certified by the relevant Faculty Resource Manager.</p>				
3.	<p><b>Pricing Proposals and Grant Applications</b></p> <p>In the case of Contract Proposals, if it is proposed to charge less than the full cost a justification must be provided based on specific benefits to the University, which may include commercial benefits or academic or reputational benefits. In all circumstances the pricing decision must comply with competitive neutrality requirements, where applicable, in accordance with the Costing and Pricing Guidelines. Pricing proposals must be endorsed by the relevant Delegate.</p> <p>In the case of grant applications the funding sought must include direct costs and a recovery for indirect costs at the applicable rate in accordance with the Costing and Pricing Guidelines unless:</p> <ul style="list-style-type: none"> <li>(a) the Delegate has waived the indirect cost recovery; or</li> <li>(b) the grant is a Competitive Grant; or</li> <li>(c) the published conditions of the granting body to whom the application is to be made explicitly exclude recoveries of indirect costs.</li> </ul>				
4.	<p><b>Approval of Contract Proposals and Grant Applications</b></p> <p>Contract Proposals and grant applications will not be approved unless certified by the Delegate using the Coversheet for Applications for External Research Funding (<a href="http://www.latrobe.edu.au/rgso/coversheet.html">http://www.latrobe.edu.au/rgso/coversheet.html</a>).</p> <p>Contract Proposals may not be approved by a person other than the officer with the delegation to sign the relevant contract or funding agreement should</p>				

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	the proposal or application be successful.
5.	<p>Contract signing</p> <p>Contracts may not be signed by any person except an officer authorised under the Contract Signing Delegation Procedures.</p>
6.	<p>Income and contract proceeds</p> <p>Income under contracts must be paid into the University's bank account and managed in accordance with the University's business procedures and any contractual conditions pertaining to use of funds.</p> <p>Subject to any contractual conditions to the contrary, the Delegate may approve the distribution of Net Proceeds: either to be used as discretionary funds in support of the teaching or research activities of the staff members involved in performing the contract; or as a personal payment through the payroll.</p> <p>Requests for the distribution of contract proceeds must be certified by the Project Leader and the Delegate. The Contract Proceeds Request Form must be used for this purpose.</p>
Status	<p>Revised Content, prior approval Council 12/1999, m.323.2.2.</p> <p>This version of these procedures supersedes all previous versions.</p>
Approval Body	<p>This section to be completed only after approval of the new or revised version, for inclusion on website only. Do not enter information prior to approval. When entering, include approval body name, meeting number and date and agenda item number.</p>
Initiating Body	<p>This section to be completed only after endorsement by the initiating body of the new or revised version. When entering, include endorsing body name, meeting number and date and agenda item number.</p>
Definitions	<p><b>Net Proceeds</b> means financial proceeds of a contract remaining after the contract has been acquitted and all costs directly arising from the performance of the contract have been met and the relevant infrastructure charge has been deducted.</p> <p><b>Project Leader</b> means the staff member proposed to be primarily responsible for the services or duties to be performed under a contract.</p>
Date Effective	1 <sup>st</sup> September 2009
Next Review Date	30 <sup>th</sup> June 2011

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<b>Keywords</b>	<a href="#">Contract, Consultancy</a>
<b>Owner/Sponsor</b>	<a href="#">Deputy Vice-Chancellor (Research)</a>
<b>Author</b>	<a href="#">Commercialisation Manager</a>
<b>Contact person or area</b>	<a href="#">Peter Janssen</a> <a href="mailto:p.janssen@latrobe.edu.au">p.janssen@latrobe.edu.au</a>

## PERSONAL OUTSIDE WORK

<b>Purpose/ objectives</b>	To encourage appropriate outside professional practice for academic staff members, thereby validating and enriching their teaching and research, whilst maintaining their obligations to the University.
<b>Scope/ Application</b>	<ul style="list-style-type: none"> <li>• All campuses</li> <li>• Research, teaching and any other activities undertaken for outside organisations</li> <li>• All Staff Members</li> </ul>
<b>Policy Statement</b>	<p>Staff Members are encouraged to maintain and improve their standing by undertaking a variety of work that involves their special talents and training. This work may extend outside teaching and research subject to the work:</p> <ul style="list-style-type: none"> <li>• contributing to the Objects of the University, including the generation of knowledge and its practical application for community benefit and the education of students,</li> <li>• enhancing the University's reputation,</li> <li>• assisting in the professional development of staff or</li> <li>• attracting resources to the University.</li> </ul> <p><b>University Contracts and Consultancies</b></p> <p>When performing work that involves their special talents and training, Staff Members are encouraged to interact with third parties through University Contracts and Consultancies. In this case, Staff Members must follow the policy and procedure on University Grants, Contracts, Consultancies, Collaborations and Joint Ventures.</p> <p>Contract Proceeds will be available to support research or teaching or, with the approval of the Delegate, as a personal payment.</p> <p>If Contract Proceeds or proceeds from University Service are in a University account, the Delegate will decide on the distribution of Contract Proceeds taking into account the interests of the University and encouragement of the staff member under this Policy.</p> <p><b>University Service and Personal Outside Work</b></p> <p>Staff Members engaged in University Service and Personal Outside Work must</p> <ul style="list-style-type: none"> <li>• manage any possible conflict of interest and intellectual property following the Conflict of Interest policy (Human Resources Manual Section 5.19) and the Intellectual Property Statute, Policy and Procedures,</li> <li>• ensure the work does not inhibit or detract from the standards of performance of duties for the University and</li> <li>• advise third parties for whom such work is undertaken that it is not being undertaken on behalf of the University.</li> </ul> <p>University Service is permitted. Subject to agreement of the Delegate, proceeds from University Service may be deposited in University accounts and would then be available to support research or teaching.</p> <p>If Personal Outside Work is undertaken for payment it is also subject to the following conditions:</p> <ul style="list-style-type: none"> <li>• the Staff Member must have adequate personal insurance and indemnities</li> </ul>

	<p>covering liabilities arising from the work,</p> <ul style="list-style-type: none"> <li>the Staff Member must not use, unless with reimbursement at an approved rate, any University facilities or the services of any University support staff</li> <li>the Personal Outside Work is not design or delivery of courses for another higher education institution and</li> <li>the proceeds must not be deposited with the University.</li> </ul> <p>Personal Outside Work is restricted to the following circumstances:</p> <ul style="list-style-type: none"> <li>Part-time or Casual Staff Members (whether Academic or not) may engage in Personal Outside Work consistent with the obligations they have to the University, including, but not limited to, any obligation to be at the University for defined hours.</li> <li>Academic Staff Members may engage in Personal Outside Work for up to 48 Working Days per calendar year and 5 Working Days in any month (including a pro rata fraction in the case of part-time staff), if the Delegate has agreed in writing that the Personal Outside Work Conditions hold.</li> <li>Full-time Staff Members who are not Academic Staff Members may engage in Personal Outside Work, if the Delegate has agreed in writing that the Personal Outside Work Conditions hold and the Vice-Chancellor has agreed that the Personal Outside Work is in the interests of the University.</li> <li>Academic Staff Members may engage in Personal Outside Work above 48 Working Days in a calendar year or 5 Working Days in a month (including a pro rata fraction in the case of part-time staff) if the Delegate has agreed in writing that the Personal Outside Work Conditions hold and the Vice-Chancellor has agreed that the Personal Outside Work is in the interests of the University.</li> </ul> <p>Each Staff Member must declare annually that they have followed the provisions of this policy.</p>
<b>Supporting Procedures</b>	Personal Outside Work
<b>Responsibility for implementation</b>	Deputy Vice-Chancellor (Research) Deans Heads of Administrative Division
<b>Responsibility for monitoring implementation and compliance</b>	Deans Heads of Administrative Division
<b>Status</b>	<p>Revised Content (previous version approved by Council on 6 December 1999 (m.32.2.2))</p> <p>This version of the policy supersedes all previous versions.</p>
<b>Key stakeholders</b>	Deputy Vice-Chancellor (Research) Deans Chief Financial Officer

<b>Approval Body</b>	<p>This section to be completed only after approval of the new or revised version, for inclusion on website only. Do not enter information prior to approval. When entering, include approval body name, meeting number and date and agenda item number.</p>
<b>Initiating Body or person(s)</b>	<p>This section to be completed only after endorsement by the initiating body or person of the new or revised version. When entering, include endorsing body name, meeting number and date and agenda item number.</p>
<b>Definitions</b>	<p><b>Staff Member</b> means any Employee of the University.</p> <p><b>Full-time, Part-time or Casual Staff Members</b> have the meaning defined in Section 3.7 of the Human Resources Manual.</p> <p><b>Delegate</b> means the Dean or Head of Administrative Division of a Staff Member or a person to whom they have delegated a responsibility under this policy in writing.</p> <p><b>University Service</b> means any work performed by Staff Members which may not be assigned by the University:</p> <ul style="list-style-type: none"> <li>• occasional lectures for other institutions (but not courses of lectures),</li> <li>• examining higher degree theses,</li> <li>• reviewing papers or books,</li> <li>• editorial work for an academic journal,</li> <li>• participating in, and organizing, academic conferences,</li> <li>• assessing grant applications,</li> <li>• service of up to the equivalent of ten days per year on boards (other than boards of proprietary or public companies) or committees,</li> <li>• occasional newspaper articles or other occasional media contributions,</li> <li>• writing scholarly works, whether commissioned or non-commissioned and</li> <li>• other work approved by the Delegate which must have a similar character or purpose.</li> </ul> <p><b>Academic Staff Member</b> means any staff member with the classification of teaching-and-research or research-only.</p> <p><b>University Contract or Consultancy</b> means any legal contract made by the University in which a legal obligation to an external organisation for performance of work by a Staff Member falls on the University or wholly owned subsidiary and/or consideration is owed to the University or wholly owned subsidiary.</p> <p><b>Personal Outside Work</b> means services or duties performed by a Staff Member of the University for a person or body other than the University or a wholly-owned subsidiary company of the University in which a legal obligation for performance falls on the Staff Member performing the work and/or consideration is owed to the Staff Member personally but excluding University Service. Personal Outside Work includes service as a Director on the board of a proprietary or public company.</p> <p><b>Personal Outside Work Conditions</b> means the requirements that</p> <ul style="list-style-type: none"> <li>• the Staff Member has declared in writing that all conditions of this policy are being followed and</li> <li>• the work relates to the academic discipline or professional competence of the Staff Member.</li> </ul> <p><b>Objects of the University</b> means the University's objects as defined in the La</p>

	<p>Trobe University Act 1964 at section 5.</p> <p><b>Contract Proceeds</b> means the balance of income from University Contracts after costs and margins as defined in the Outside Work Procedures – Costing and Pricing.</p>
<b>Related legislation</b>	Not applicable.
<b>Related Policy and other documents</b>	<p>Conflicts of Interest Policy (HRM Manual Section 5.19)</p> <p>Intellectual Property Statute Policy and Procedures</p> <p>University Grants, Contracts, Consultancies, Collaborations and Joint Ventures Policy and Procedure</p> <p>National Competition Policy</p> <p>Australian Code for the Responsible Conduct of Research</p>
<b>Date Effective</b>	1 <sup>st</sup> July 2009 (to allow for the planning and implementation of the Research Division, which will administer this Policy and associated procedures, to be completed)
<b>Next Review Date</b>	30 <sup>th</sup> June 2011
<b>Keywords</b>	'Outside Work'; 'Consultancies'; 'Contracts'; 'Personal Consultancies'
<b>Owner/Sponsor</b>	Deputy Vice-Chancellor (Research)
<b>Author</b>	Deputy Vice-Chancellor (Research)
<b>Contact person</b>	Deputy Vice-Chancellor (Research)

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## PERSONAL OUTSIDE WORK PROCEDURES

Parent Policy Title	Personal Outside Work Policy														
Associated Documents	Personal Outside Work Declaration Form Personal Outside Work Register Form														
Preamble	<p>Staff members may engage in Personal Outside Work within their academic or professional competence provided that the work will not impinge on their duties to the University and that personal contractual liabilities and obligations are properly managed.</p>														
General	<p>Personal Outside Work regardless of whether payment is involved requires prior approval in accordance with these Procedures. University Service does not require prior approval. All approved Personal Outside Work must be recorded in a Personal Outside Work Register.</p>														
Table of Contents	<table> <tr> <th>Item</th><th>Section</th></tr> <tr> <td>Declaration of Proposed Personal Outside Work</td><td>1</td></tr> <tr> <td>Approval of Personal Outside Work by a Delegate</td><td>2</td></tr> <tr> <td>Approval by the Vice-Chancellor</td><td>3</td></tr> <tr> <td>Register of Personal Outside Work</td><td>4</td></tr> <tr> <td>Exclusion of University Service</td><td>5</td></tr> <tr> <td></td><td></td></tr> </table>	Item	Section	Declaration of Proposed Personal Outside Work	1	Approval of Personal Outside Work by a Delegate	2	Approval by the Vice-Chancellor	3	Register of Personal Outside Work	4	Exclusion of University Service	5		
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Declaration of Proposed Personal Outside Work	1														
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Approval by the Vice-Chancellor	3														
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Exclusion of University Service	5														
1.	<p>Declaration of Proposed Personal Outside Work</p> <p>Staff Members proposing to engage in any Personal Outside Work, whether for payment or not, must provide the Delegate with a completed and signed Personal Outside Work Declaration Form ('Declaration') at least fourteen days before the Personal Outside Work is proposed to commence.</p>														
2.	<p>Approval of Personal Outside Work by a Delegate</p> <p>Subject to Procedure 3 below, Delegates may approve proposals to undertake Personal Outside Work. Delegates may approve if and only if:</p> <ul style="list-style-type: none"> <li>they are in possession of a completed and signed Declaration;</li> <li>they are satisfied that the Declaration is true and complete; and</li> <li>they are satisfied that the proposed work relates to the academic discipline or professional competence of the person making the application.</li> </ul> <p>If a Staff Member proposing to undertake Personal Outside Work fails to lodge a Declaration fourteen days before the work is proposed to commence,</p>														

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	<p>the Delegate has the discretion to withhold approval. Delegates also have the discretion to withhold approval if the Delegate believes that there is a risk that the proposed work may interfere with the Staff Member's ability to perform the Staff Member's University duties.</p> <p>Delegates may stipulate conditions as part of any approval.</p> <p>Delegates must record decisions to approve or not approve proposals, giving reasons and stipulating any conditions, by completing the Delegate's section of the Personal Outside Work Declaration Form.</p> <p>Delegates must ensure that a decision is communicated in writing to the Staff Member making the proposal at least seven days before the date on which the work is proposed to commence.</p>
3.	<p>Approval by the Vice-Chancellor</p> <p>The approval of the Vice-Chancellor is required where:</p> <ul style="list-style-type: none"> <li>the proposed Personal Outside Work is to be undertaken by a Staff Member who is not an Academic Staff Member; or</li> <li>the proposed Personal Outside Work is to be undertaken by an Academic Staff Member and the Personal Outside Work Cap would be exceeded.</li> </ul> <p>The Vice-Chancellor may approve if and only if:</p> <ul style="list-style-type: none"> <li>the appropriate Delegate has approved in accordance with Procedure 2 above; and</li> <li>the Vice-Chancellor is satisfied that the proposed Personal Outside Work is in the interests of the University.</li> </ul>
4.	<p>Register of Personal Outside Work</p> <p>Deans and Heads of Administrative Divisions are responsible for ensuring that a Register is kept of all approved Personal Outside Work undertaken by Staff Members in their Faculty or Division in the form of the Personal Outside Work Register Form.</p> <p>Registers and copies of Declarations are to be maintained in confidence.</p> <p>On request, a Staff Member is to be provided with an extract from the Register showing details of Personal Outside Work approved for that Staff Member.</p> <p>Deans and Heads of Administrative Divisions are responsible for ensuring that Registers and Declarations are stored within the University's records management system.</p>
5.	<p>Exclusion of University Service</p> <p>University Service (whether paid or unpaid) is not Personal Outside Work and does not require approval. Under the Policy the following activities are defined as University Service:</p> <ul style="list-style-type: none"> <li>occasional lectures for other institutions (but not courses of lectures);</li> <li>examining higher degree theses;</li> <li>reviewing papers or books;</li> </ul>

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	<ul style="list-style-type: none"> <li>editorial work for an academic journal;</li> <li>participating in or organising academic conferences;</li> <li>assessing grant applications;</li> <li>service of up to the equivalent of ten days per year on boards or committees (other than boards or committees of companies);</li> <li>occasional newspaper articles or other media contributions;</li> <li>writing scholarly works, whether commissioned or non-commissioned;</li> </ul> <p>Proposals to undertake service not falling within the types of University Service specified above ('Specified University Service'), which the Academic Staff Member believes should properly be regarded as part of academic work in the staff member's discipline, should be referred to the Delegate for a determination.</p> <p>A Delegate may determine that the proposed service is University Service if, in the Delegate's reasonable opinion, it has a similar character or purpose to Specified University Service.</p> <p>Academic Staff Members who are in doubt whether a service is University Service may seek a determination from the Delegate.</p> <p>Time spent on University Service shall not be considered for the purpose of the Personal Outside Work Cap.</p>
Status	<p>Revised Content, prior approval Council 12/1999, m.323.2.2.</p> <p>This version of these procedures supersedes all previous versions.</p>
Approval Body	Research and Graduate Studies Committee
Initiating Body	This section to be completed only after endorsement by the initiating body of the new or revised version. When entering, include endorsing body name, meeting number and date and agenda item number.
Definitions	<p><b>Personal Outside Work Cap</b> means Personal Outside Work engagements (whether paid or unpaid) entailing in aggregate a time commitment of five Working Days or more in any month or 48 Working Days or more in any calendar year.</p> <p>All other definitions have the meaning given in the Policy on Outside Work.</p>
Date Effective	1 <sup>st</sup> July 2009
Next Review Date	30 <sup>th</sup> June 2011
Keywords	Personal Outside Work, Academic Service
Owner/Sponsor	Deputy Vice-Chancellor (Research)

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<b>Author</b>	<a href="#">Commercialisation Manager</a>
<b>Contact person or area</b>	<a href="#">Peter Janssen</a> <a href="mailto:p.janssen@latrobe.edu.au">p.janssen@latrobe.edu.au</a>

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## Human Ethics Procedures

<b>Parent Policy Title</b>	Research Integrity Policy																								
<b>Associated Documents</b>	Research Misconduct Procedures																								
<b>Preamble</b>	Research conducted with or about people or their data or tissue has the potential to raise conflicts with ethical considerations. It can also expose research participants to sometimes significant risks. Despite the often beneficial nature of human research for the public good, it is a challenge for institutions and researchers to maintain public confidence and to gain acceptance for their research within the wider community.																								
<b>General</b>	La Trobe University has set in place policies and procedures to ensure that human research conforms to current legislative requirements and best practices. The University is registered with the National Health and Medical Research Council (NHMRC) and the Office for Research Protections (U.S.A.) (OHRP).																								
<b>Table of Contents</b>	<table> <tr> <th>Item</th><th>Section</th></tr> <tr> <td>Regulatory Environment</td><td>1.</td></tr> <tr> <td>Relevant Legislation and Guidelines</td><td>2.</td></tr> <tr> <td>Role of the University Human Ethics Committee</td><td>3.</td></tr> <tr> <td>UHEC Terms of Reference</td><td>4.</td></tr> <tr> <td>UHEC Membership</td><td>5.</td></tr> <tr> <td>Conflict of Interest</td><td>6.</td></tr> <tr> <td>Multi-centre Research</td><td>7.</td></tr> <tr> <td>Annual Reporting</td><td>8.</td></tr> <tr> <td>Additional Operating Guidelines</td><td>9.</td></tr> <tr> <td>Complaints and Adverse Events</td><td>10.</td></tr> <tr> <td>Multi-centre Research</td><td>11.</td></tr> </table>	Item	Section	Regulatory Environment	1.	Relevant Legislation and Guidelines	2.	Role of the University Human Ethics Committee	3.	UHEC Terms of Reference	4.	UHEC Membership	5.	Conflict of Interest	6.	Multi-centre Research	7.	Annual Reporting	8.	Additional Operating Guidelines	9.	Complaints and Adverse Events	10.	Multi-centre Research	11.
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<b>1. Regulatory Environment</b>	Human research by La Trobe University staff and students is regulated and monitored by the University Human Ethics Committee (UHEC) and its Panels of Expedited Review (PEERs) through the Office of the Deputy Vice-Chancellor (Research) (DVC(R)). The UHEC is a sub-committee of the Research and Graduate Studies Committee (RGSC) which is chaired by the DVC(R). The Office of the DVC(R) answers to and is monitored by NHMRC and OHRP and reports to the Health Services Commission (Victoria).																								

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	<p>It is the duty of the University to affirm the rights of the researcher to carry out legitimate investigation. When it conducts and sponsors research, the University must also safeguard its reputation. Minimising the potential for claims of negligence against the University and its researchers is also a priority responsibility for La Trobe University.</p>
<b>2. Relevant Legislation and Guidelines</b>	<p>Human research is governed by the <a href="#">National Statement on Ethical Conduct in Human Research</a> (2007), or <i>National Statement</i>. In Victoria, human research must also comply with state regulators, including Privacy Victoria, the Department of Human Services and the Department of Justice. Researchers must consult with the legislation of other states and countries when planning to conduct research outside Victoria.</p>
<b>3. Role of the University Human Ethics Committee</b>	<p>All human research and teaching involving more than negligible risk must be reviewed and approved by the UHEC (above low risk) or its PEERs (low risk) prior to the commencement of projects. The UHEC must apply a set of principles, outlined in the <i>National Statement</i>, that govern the ethical conduct of people whose work involves low risk or above low risk research or teaching.</p> <p>The role of the UHEC and its PEERs is to ensure that</p> <ul style="list-style-type: none"> <li>• such projects promote and facilitate ethically sound research that is of benefit to the community,</li> <li>• researchers and teachers respect the rights and welfare of human participants in research, and</li> <li>• any risks of unfair burden or harm from research procedures are minimised.</li> </ul> <p>Policy support and secretariat to the UHEC and PEERs is provided by the Research Ethics and Integrity Unit.</p>
<b>4. UHEC Terms of Reference</b>	<p>As determined by the Academic Board, the UHEC is an authorised body formed to:</p> <ul style="list-style-type: none"> <li>(i) ensure that the human research conducted by La Trobe University staff and research trainees expresses and enshrines the rights of those being researched and also the rights of the researchers</li> <li>(ii) decide, in reviewing research proposals, whether risks associated with projects are justified by potential benefits</li> <li>(iii) approve, request amendment of, or reject above low risk research proposals on ethical grounds</li> <li>(iv) monitor the PEERs and their review and monitoring</li> <li>(v) provide induction and continuing education for La Trobe University researchers and research trainees conducting human research and training for new UHEC and PEER members</li> <li>(vi) decide whether research proposals submitted to the UHEC and PEERs for review meet the requirements of the <i>National Statement</i></li> <li>(vii) investigate potential conflicts of interest and complaints regarding the ethical conduct of human research by members of the University</li> </ul>

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	<p>(viii) maintain appropriate records of all research proposals received and approved</p> <p>(ix) report to the Academic Board through RGSC via the approved minutes and the annual report</p> <p>(x) report to regulatory authorities, including the NHMRC, the Health Services Commissioner (Victoria) and other authorities as required</p>
<b>5. UHEC Membership</b>	<p>The La Trobe University UHEC must have a membership that will allow it to fulfil its terms of reference, with at least one third of the members from outside the University and including separate persons appointed to each of the following categories:</p> <p><b>UHEC Chair</b> who has suitable experience, whose other responsibilities will not impair the UHEC's capacity to carry out its obligations under the <i>National Statement</i>;</p> <p><b>UHEC Deputy Chair</b> who has suitable experience, whose other responsibilities will not impair the UHEC's capacity to carry out its obligations under the <i>National Statement</i>;</p> <p><b>Lay Woman</b> who has no affiliation with the institution and does not currently engage in medical, scientific, legal or academic work;</p> <p><b>Lay Man</b> who has no affiliation with the institution and does not currently engage in medical, scientific, legal or academic work;</p> <p><b>Health Professional</b> with knowledge of, and current experience in, the professional care, counselling or treatment of people; for example, a nurse or allied health professional;</p> <p><b>Pastoral Carer</b> who performs a pastoral care role in the community, for example, an Aboriginal elder or a minister of religion;</p> <p><b>Lawyer</b> who is not engaged to advise the University;</p> <p><b>Content Specialists</b> (at least two) with current research experience that is relevant to research proposals to be considered for review.</p> <p>To assist the UHEC in decision-making processes, the Committee may have to seek expert advice from outside the Committee.</p> <p>The UHEC Chair should either hold a senior position in the University or, if an external appointee, be given a commitment by the University to provide the necessary support and authority to carry out the role. To perform a key role in the successful operation of the UHEC, the Chair should possess the following attributes:</p> <p>(i) the ability to bring impartiality to the task;</p> <p>(ii) the skills to manage the business of the UHEC;</p> <p>(iii) the ability to communicate, negotiate and to resolve conflict; and</p> <p>(iv) understanding of the ethical issues involved in human research.</p> <p>The UHEC Deputy Chair should be capable and enabled to represent the Chair as required. In the absence of the Chair the Deputy Chair will act in the position of Chair.</p> <p>Appointments to the UHEC are made on invitation by the University pending a successful interview with University representatives nominated by RGSC and subsequent approval by RGSC. As part of the interview process, invited</p>

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	<p>members must declare real and potential conflicts of interest and factors that may preclude them from the nominated Category. Appointees are sent a letter of appointment outlining that the appointment is offered on the condition that members accept the terms of reference of the UHEC and that they sign the enclosed confidentiality agreement for La Trobe University UHEC members. Appointments take effect upon acceptance, in writing, of the letter of appointment and its conditions. Membership terms are three years with the opportunity for renewal.</p> <p>Changes in the membership must be approved by RGSC and noted in the minutes of the next UHEC meeting. Memberships may be terminated by RGSC at any time by providing not less than 24 hours notice in writing. In general, members may voluntarily retire during their appointment by providing not less than 24 hours notice in writing to the DVC(R). Members that are staff of the University may need to seek approval from their Head of School or Dean prior to submitting a notice of retirement.</p>
<b>6. Conflict of Interest</b>	<p>The UHEC will deal with situations in which a conflict of interest arises, including any situation where a member of the UHEC has an interest that may be seen to influence the objectivity of a decision by:</p> <ul style="list-style-type: none"> <li>(i) Requiring members to disclose the nature of their interest and conflict as soon as practicable after they become aware of anything that may be reasonably considered to be a conflict of interest.</li> <li>(ii) Making it a requirement to declare conflicts of interest at the start of each UHEC meeting and to document the declarations and resolutions in the minutes of the quorate meeting.</li> <li>(iii) Requiring a member whose objectivity may be influenced by an interest (including consideration of a proposal submitted by that member) to leave the meeting at an appropriate time (certainly during the decision-making process).</li> <li>(iv) Considering and responding to any concern raised by an investigator of other party that an UHEC member has an interest that may have influenced the objectivity of an UHEC decision. In this case, the Chair person must advise the complainant, in writing, of the UHEC response. If the complainant is not satisfied with the UHEC response, a grievance may be lodged with RGSC or the University Ombudsman.</li> <li>(v) Including questions on Human Ethics application forms asking researchers to declare any conflicts of interest and to include the considerations of conflict of interest in the ethical review.</li> <li>(vi) Providing advice on matters of conflict of interest, without breaching confidentiality.</li> </ul>
<b>7. Multi-centre Research</b>	<p>The <i>National Statement</i> asks that duplication of ethics review be avoided. Accordingly, La Trobe University accepts human ethics approvals from other human ethics committees registered with NHMRC and processes multi-centre research applications under expedited review procedures where La Trobe University researchers are involved but the Chief Investigator is from another institution.</p>

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	<p>The expedited review will be conducted by the UHEC Chair or Deputy Chair in consultation with content experts if required and approvals sent for ratification to the UHEC. La Trobe University reserves the right to place conditions on involvement or refuse involvement should approved proposals not conform to the requirements of the <i>National Statement</i>, other relevant legislation or potentially expose the University to undue risk.</p> <p>Where the Chief Investigator is a La Trobe University staff member, primary approval must still be obtained from the La Trobe University UHEC using the La Trobe University human ethics application form or the National Ethics Application Form. Other institutions are expected to follow the recommendations of the <i>National Statement</i> and to likewise accept approvals by the La Trobe University UHEC.</p>
<b>8. Annual Reporting</b>	<p>The UHEC must report regularly to RGSC, including minutes of UHEC meetings to be forwarded within two weeks after a meeting and annual reporting to be completed by 31 March covering the previous calendar year. The annual report must include:</p> <ul style="list-style-type: none"> <li>(i) numbers and types of projects assessed and approved or rejected;</li> <li>(ii) numbers of complaints received and how they were dealt with;</li> <li>(iii) activities reported to the UHEC from its PEERs;</li> <li>(iv) activities that have supported the educational needs of UHEC members;</li> <li>(v) procedural changes;</li> <li>(vi) administrative or other difficulties being experienced; and</li> <li>(vii) any matters that may affect the University's ability to maintain compliance with the <i>National Statement</i> and if necessary the provision of suitable recommendations.</li> </ul> <p>In addition, the UHEC must report to regulatory authorities, including NHMRC, the Health Services Commissioner (Victoria) and other authorities as required. Such reports must be authorised by RGSC and signed by the DVC(R).</p>
<b>9. Additional Operating Guidelines</b>	<p>Other UHEC operating guidelines such as rulings on record keeping by investigators, risk assessment, guidelines for staff and student surveys and participant information must be endorsed by RGSC and, upon approval, be displayed in their most current form on the <a href="#">UHEC web site</a>.</p>
<b>10. Complaints and Adverse Events</b>	<p>The University has established a complaints and grievances mechanism for La Trobe University personnel, students and persons external to the University to allow the voicing of concerns regarding human research and teaching. Such concerns must be submitted in writing to the UHEC Secretariat.</p> <p>Complaints or grievances by La Trobe University personnel about decisions reached by the UHEC or PEERs must be submitted in writing to the DVC(R) or the University Ombudsman.</p>

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	Any unplanned impacts on human research participants or researchers outside the scope of a UHEC or PEER-approved project must be reported promptly by the responsible personnel to the UHEC Secretariat.
<b>11. Multi-centre Research</b>	<p>The <i>National Statement</i> asks that duplication of ethical reviews should be avoided. Accordingly, La Trobe University accepts human ethics approvals from other human ethics committees registered with NHMRC where La Trobe University researchers are involved but the Chief Investigator is from another institution.</p> <p>The University reserves the right to place conditions on involvement or refuse involvement should approved proposals not conform to the requirements of the <i>National Statement</i>, other relevant legislation or potentially expose the University to undue risk.</p>
<b>Status</b>	New format. The implementation of the latest version of this procedure supersedes all previous versions of this procedure.
<b>Approval Body</b>	This section to be completed only after approval of the new or revised version, for inclusion on website only. Do not enter information prior to approval. When entering, include approval body name, meeting number and date and agenda item number.
<b>Initiating Body</b>	This section to be completed only after endorsement by the initiating body of the new or revised version. When entering, include endorsing body name, meeting number and date and agenda item number.
<b>Definitions</b>	<p><b>Above low risk (research):</b> research which may lead to harm, including physical harm, anxiety, pain, psychological disturbance, devaluation of personal worth and social disadvantage.</p> <p><b>Compliance:</b> acting in accordance with the <i>National Statement</i>.</p> <p><b>Discomfort:</b> a negative accompaniment or effect of research, less serious than harm.</p> <p><b>Ethics:</b> a framework in which actions can be considered as good or bad, right or wrong. Ethics is applied in the evaluation of what should or should not be done when human beings are involved in research.</p> <p><b>Low risk (research):</b> research in which the only foreseeable risk is one of discomfort.</p>
<b>Date Effective</b>	After approval by Academic Board.


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<b>Next Review Date</b>	In 3 years' time following approval by Academic Board.
<b>Keywords</b>	Human research; human ethics; human ethics committee; ethical review;
<b>Owner/Sponsor</b>	Director, Research Services
<b>Author</b>	Manager, Research Compliance
<b>Contact person or area</b>	<a href="mailto:researchintegrity@latrobe.edu.au">researchintegrity@latrobe.edu.au</a>

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<b>ACADEMIC/ADMINISTRATIVE</b>	<b>0</b>	
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## Animal Ethics Procedures

<b>Parent Policy Title</b>	Research Integrity Policy																														
<b>Associated Documents</b>	Research Misconduct Procedures Genetically Modified Organisms Procedures																														
<b>Preamble</b>	The use of live non-human vertebrates and higher-order invertebrates in research and teaching is governed by state and federal legislation. The primary aim of this legislation is to ensure that appropriate attention is given to animal welfare and the humane treatment of animals in research and teaching, and that public attitudes are reflected in the development of humane procedures.																														
<b>General</b>	La Trobe University has set in place policies and procedures to ensure that animal usage conforms to current legislative requirements and best practice. The University is registered with the National Health and Medical Research Council (NHMRC).																														
<b>Table of Contents</b>	<table border="1"> <thead> <tr> <th>Item</th><th>Section</th></tr> </thead> <tbody> <tr><td>Regulatory Environment</td><td>1.</td></tr> <tr><td>Relevant Legislation and Guidelines</td><td>2.</td></tr> <tr><td>Role of the Animal Ethics Committee</td><td>3.</td></tr> <tr><td>AEC Terms of Reference</td><td>4.</td></tr> <tr><td>AEC Membership</td><td>5.</td></tr> <tr><td>Conflict of Interest</td><td>6.</td></tr> <tr><td>Review and Monitoring</td><td>7.</td></tr> <tr><td>Multi-centre Research</td><td>8.</td></tr> <tr><td>Annual Reporting</td><td>9.</td></tr> <tr><td>Additional Operating Guidelines</td><td>10.</td></tr> <tr><td>Role of the Animal Welfare Officer</td><td>11.</td></tr> <tr><td>Complaints and Adverse Events</td><td>12.</td></tr> <tr><td>Animal Facilities Inspections and Record Keeping</td><td>13.</td></tr> <tr><td>Field Work, including Observational Studies and Wet Pitfall Trapping</td><td>14.</td></tr> </tbody> </table>	Item	Section	Regulatory Environment	1.	Relevant Legislation and Guidelines	2.	Role of the Animal Ethics Committee	3.	AEC Terms of Reference	4.	AEC Membership	5.	Conflict of Interest	6.	Review and Monitoring	7.	Multi-centre Research	8.	Annual Reporting	9.	Additional Operating Guidelines	10.	Role of the Animal Welfare Officer	11.	Complaints and Adverse Events	12.	Animal Facilities Inspections and Record Keeping	13.	Field Work, including Observational Studies and Wet Pitfall Trapping	14.
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<b>1. Regulatory Environment</b>	Animal usage by La Trobe University staff and students is regulated and monitored by the La Trobe University Animal Ethics Committee (AEC) and the Animal Welfare Officer (AWO) through the Office of the Deputy Vice-																														

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	<p>Chancellor (Research) (DVC(R)). The AEC is a sub-committee of the Research and Graduate Studies Committee (RGSC) which is chaired by the DVC(R).</p> <p>The Office of the DVC(R) answers to and is monitored by NHMRC and the Victorian Bureau of Animal Welfare (BAW) as well as equivalent agencies of other states where research or teaching is conducted by La Trobe University staff or students.</p> <p>Scientific Procedures Premises Licensed Areas are registered with BAW.</p> <p>The Scientific Procedures Premises License Holders are the Heads of School or Centre and are responsible to the DVC(R) and BAW for research and animal holdings under their license.</p>
<b>2. Relevant Legislation and Guidelines</b>	<p>The use of live non-human vertebrates and higher-order invertebrates for research and teaching is governed by the <a href="#">Australian Code of Practice for the Care and Use of Animals for Scientific Purposes</a> (7<sup>th</sup> Edition, 2004), or <i>Code</i>. In addition to the Code, states have their own acts and regulations. In Victoria, animal usage is governed by the <a href="#">Prevention of Cruelty to Animals Act 1986</a> under the auspices of BAW. The Department of Primary Industries and Parks Victoria require permits for wildlife studies and research undertaken in parks and reserves. For projects undertaken interstate, La Trobe University investigators must register with a particular state authority. Interstate government departments have additional permit requirements.</p>
<b>3. Role of the Animal Ethics Committee</b>	<p>All use of live non-human vertebrates and higher-order invertebrates for research and teaching must be reviewed and approved by the AEC prior to usage. The AEC must apply a set of principles, outlined in the <i>Code</i>, that govern the ethical conduct of people whose work involves the use of animals for scientific purposes and teaching. The role of the AEC is to ensure that the use of animals is justified, that it provides for the welfare of those animals and that it incorporates the principles of Replacement, Reduction and Refinement. Policy support and secretariat to the AEC is provided by the Research Ethics and Integrity Unit.</p>
<b>4. AEC Terms of Reference</b>	<p>The AEC must:</p> <ul style="list-style-type: none"> <li>(i) approve guidelines for the care of animals that are bred, held and used for scientific purposes on behalf of the University;</li> <li>(ii) monitor the acquisition, transportation, production, housing, care, use and fate of animals;</li> <li>(iii) recommend to the University any measures needed to ensure that the standards of the <i>Code</i> are maintained;</li> <li>(iv) describe how members are appointed, re-appointed, or retired, according to procedures developed by the institution in consultation with the AEC;</li> <li>(v) require that all members declare any conflict of interest;</li> <li>(vi) deal with situations in which a conflict of interest arises;</li> <li>(vii) examine and approve, approve subject to modification, or reject written proposals relevant to the use of animals for scientific purposes;</li> <li>(viii) approve only those studies for which animals are essential and justified</li> </ul>

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	<p>and which conform to the requirements of the <i>Code</i>. This should take into consideration factors including ethics, the impact on the animal or animals and the anticipated scientific or educational value;</p> <p>(ix) withdraw approval for any project where inspections detect activities that are non-compliant with the <i>Code</i>, at least until remedial action is initiated;</p> <p>(x) authorise the emergency treatment or euthanasia of any animal provided that all reasonable steps have been taken to consult with the responsible experimenter;</p> <p>(xi) examine and comment on all institutional plans and policies that may affect the welfare of animals used for scientific purposes;</p> <p>(xii) maintain a record of proposals and projects, including outcomes of the AEC's deliberations in deciding on applications / requests for variation;</p> <p>(xiii) comply with the reporting requirements of the University, the <i>Code</i> and all relevant federal and state authorities; and</p> <p>(xiv) perform all other duties required by the <i>Code</i>.</p>
5. AEC Membership	<p>The La Trobe University AEC must have a membership that will allow it to fulfil its terms of reference. It must comprise at least four persons, including a separate person appointed to each of the following categories:</p> <p><b>Category A</b> a person with qualifications in veterinary science and with experience relevant to the activities of the University. Veterinarians who lack this experience must familiarise themselves with the biology and clinical characteristics of the species of animals used;</p> <p><b>Category B</b> a suitably qualified person with substantial recent experience in the use of animals in scientific or teaching activities. This will usually entail possession of a higher degree in research;</p> <p><b>Category C</b> a person with demonstrable commitment to, and established experience in, furthering the welfare of animals, who is not employed by or otherwise associated with the University, and who is not involved in the care and use of animals for scientific purposes. Veterinarians with specific animal welfare interest and experience may meet the requirements of this Category. While not representing an animal welfare organisation, the person should, where possible, be selected on the basis of active membership of, and nomination by, such an organisation; and</p> <p><b>Category D</b> a person who is both independent of the University and who has never been involved in the use of animals in scientific or teaching activities, either in their employment or beyond their under-graduate education. Category D members should be viewed by the wider community as bringing a completely independent view to the AEC, and must not fit the requirements of any other Category.</p> <p>In addition to the prescribed membership Categories A to D, the University should appoint to the AEC a person responsible for the routine care of animals from within the institution (<b>Category E</b>). This membership is not mandatory. Further, the AWO must be part of the AEC <i>ex officio</i> (<b>Category F</b>).</p> <p>To assist the AEC to function effectively, the University may appoint as members people with skills and background of value to the AEC (<b>Category G</b>). These members may be additional to the members required by</p>

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	<p>Categories A to D. The AEC may also invite people with specific expertise to provide advice as required.</p> <p>The Chairperson should either hold a senior position in the University or, if an external appointee, be given a commitment by the University to provide the necessary support and authority to carry out the role. To perform a key role in the successful operation of the AEC, the Chairperson should possess the following attributes:</p> <ul style="list-style-type: none"> <li>(i) an ability to bring impartiality to the task;</li> <li>(ii) the skills to manage the business of the AEC;</li> <li>(iii) an ability to communicate, negotiate and to resolve conflict; and</li> <li>(iv) an understanding of the ethical and animal welfare issues involved in the use of animals for scientific purposes.</li> </ul> <p>A Category B member of the AEC should be nominated as Deputy Chair.</p> <p>If the committee has more than four members, Categories C plus D should represent no less than one third of the members.</p> <p>Appointments are made on invitation by the University pending a successful interview with University representatives nominated by RGSC and subsequent approval by RGSC. As part of the interview process, invited members must declare real and potential conflicts of interest and factors that may preclude them from the nominated Category. Appointees are sent a letter of appointment outlining that the appointment is offered on the terms that members accept the terms of reference of the AEC and that they sign the enclosed confidentiality agreement for La Trobe University AEC members. Appointments take effect upon acceptance, in writing, of the letter of appointment and its conditions. Terms are three years for the Chairperson and twelve months (covering a calendar year) for all other members except the AWO who is a member <i>ex officio</i>.</p> <p>Changes in the membership must be approved by RGSC and noted in the minutes of the next AEC meeting. Memberships may be terminated by RGSC at any time by providing not less than 24 hours notice in writing. In general, members may voluntarily retire during their appointment by providing not less than 24 hours notice in writing to the DVC(R). Members that are staff of the University may need to seek approval from their Head of School or Dean prior to submitting a notice of retirement.</p> <p>The AEC will appoint an Executive that must include at least the Chair, one Category A member, one Category B member and one Category C or D member as well as the AWO. The AEC Executive may (i) approve minor modifications to projects; (ii) specify emergent or alternative action required in response to adverse events; (iii) approve or reject amendments to applications and variations as directed by the AEC, provided that the actions are ratified by the AEC at the next meeting.</p>
<b>6. Conflict of Interest</b>	<p>The AEC will deal with situations in which a conflict of interest arises, including any situation where a member of an AEC has an interest that may be seen to influence the objectivity of a decision by:</p> <ul style="list-style-type: none"> <li>(i) Requiring members to disclose the nature of their interest and conflict as</li> </ul>

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	<p>soon as practicable after they become aware of anything that may be reasonably considered to be a conflict of interest.</p> <p>(ii) Making it a requirement to declare conflicts of interest at the start of each AEC meeting and to document the declarations and resolutions in the minutes of the quorate meeting.</p> <p>(iii) Requiring a member whose objectivity may be influenced by an interest (including consideration of a proposal submitted by that member) to leave the meeting at an appropriate time (certainly during the decision-making process).</p> <p>Considering and responding to any concern raised by an experimenter of other party that an AEC member has an interest that may have influenced the objectivity of an AEC decision. In this case, the Chair person must advise the complainant, in writing, of the AEC response. If the complainant is not satisfied with the AEC response, a grievance may be lodged with RGSC or the University Ombudsman.</p>
<b>7. Review and Monitoring</b>	<p>The La Trobe University AEC will normally consider proposals from La Trobe University staff and associated centres and institutes who wish to conduct research or teaching involving the use of higher-order invertebrate and vertebrate animals. The AEC will examine and approve, approve after modification, or reject written proposals relevant to the use of animals for scientific purposes by:</p> <p>(i) Considering new proposals, variations to existing activities and reviewing / ratifying Executive decisions on minor variations at quorate meetings.</p> <p>(ii) Inviting comment from a person(s) with specific technical expertise. The person may submit written comments or address the meeting, either in person or via a telephone or video link. The AEC should reach agreement on how it may seek advice, without breaching confidentiality.</p> <p>(iii) Seeking clarification of and / or agreement to amendments to a proposal from the chief investigator or a representative. The chief investigator and / or representative must be invited to address the AEC in person. In circumstances where the chief investigator / representative is unable to attend the meeting, the interview may be conducted via a telephone or video link.</p> <p>(iv) Making decisions on the basis of consensus. Where consensus cannot be reached after reasonable effort to resolve differences, the AEC should explore with the applicant(s) ways of modifying the project that may lead to consensus. If consensus is still unachievable, the AEC should only proceed to a majority decision after members have been allowed a period of time to review their positions, followed by further discussion.</p> <p>The AEC will approve only those studies for which animals are essential and their use is justified and which conform to the requirements of the Code. This should take into consideration factors including ethics, the impact on the animal or animals and the anticipated scientific or educational value by:</p> <p>(i) Assessing applications for the use of animals for scientific purposes only after the committee receives an application form that is completed to the Committee's satisfaction.</p> <p>(ii) Assessing whether the information provided by the Chief Investigator adequately and concisely details appropriate justification of the proposed</p>

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	<p>animal use, the impact on the animals of the proposed use and adequately shows the means by which it will be minimised, and that it complies with the principles of Replacement, Reduction and Refinement.</p> <p>(iii) Insisting that all applications are written in language that can be understood by all members of the AEC.</p> <p>(iv) Ensuring that, in addition to ethics approval, the Chief Investigator is aware of the need to obtain all relevant wildlife permits and approvals to use genetically modified organisms.</p> <p>The AEC may withdraw approval for any project when:</p> <p>(i) An inspection detects activities that are non-compliant with the <i>Code</i>. The AEC must ensure that such activities cease immediately and that remedial action is initiated where appropriate.</p> <p>(ii) An animal is used in a way other than as approved in the initial application or subsequent approved modification or amendment to an application.</p> <p>(iii) It becomes aware that an activity or project is associated with a higher negative welfare impact than was approved or an unnecessary or unjustified welfare impact.</p> <p>(iv) Annual reporting requirements are not fulfilled by the Chief Investigator.</p>
<b>8. Multi-centre Research</b>	<p>The La Trobe University AEC recognises approvals from other AECs that are registered with NHMRC but reserves the right to permit or refuse participation by La Trobe University experimenters on animal welfare grounds. La Trobe University experimenters taking part in research or teaching collaborations at other institutions must be included in the AEC approvals from those institutions and must request formal approval from the La Trobe University AEC to participate in the collaboration. Where the research includes work conducted on La Trobe University Licensed Scientific Procedures Premises, a formal agreement must be reached between AECs as set out in the <i>Code</i>.</p>
<b>9. Annual Reporting</b>	<p>The AEC must report regularly to RGSC, including minutes of AEC meetings to be forwarded within two weeks after a meeting and annual reporting to be completed by 31 March covering the previous calendar year. The annual report must include:</p> <p>(i) numbers and types of projects assessed and approved or rejected;</p> <p>(ii) the physical facilities for the care and use of animals by the institution;</p> <p>(iii) activities that have supported the educational needs of AEC members, and of personnel involved in the care and use of animals;</p> <p>(iv) administrative or other difficulties being experienced; and</p> <p>(v) any matters that may affect the University's ability to maintain compliance with the <i>Code</i> and if necessary the provision of suitable recommendations.</p> <p>In addition, the AEC must report to regulatory authorities, including NHMRC, state animal welfare bodies and other authorities as required. Such reports must be authorised by RGSC and signed by the DVC(R).</p>
<b>10. Additional Operating</b>	<p>Other AEC operating guidelines such as rulings on record keeping by the AEC and investigators, animal displays and field-based teaching and research must be endorsed by RGSC and, upon approval, be displayed in</p>

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<b>Guidelines</b>	their most current form on the <a href="#">AEC web site</a> .
<b>11. Role of the Animal Welfare Officer</b>	<p>The role of the AWO is to ensure that the high standards of animal welfare goals set by La Trobe University are met in all teaching and research projects. The AWO inspects animal holding facilities and field research sites, arranges training and education for researchers and research trainees, and provides general advice on animal welfare for La Trobe University researchers. The AWO is an <i>ex officio</i> member of the AEC and screens applications and requests for variation before they are submitted to the AEC. The AWO investigates matters relating to non-compliance or animal welfare on behalf of the AEC.</p>
<b>12. Complaints and Adverse Events</b>	<p>The University has established a complaints and grievances mechanism for La Trobe University personnel, students and persons external to the University to allow the voicing of concerns regarding animal use in research and teaching. Such concerns may be submitted in writing to the AEC Secretariat or the AWO.</p> <p>Complaints or grievances by La Trobe University personnel about decisions reached by the AEC or AWO may be submitted to the DVC(R) or the University Ombudsman.</p> <p>Any unplanned impacts on the welfare of animals outside the scope of an AEC-approved project must be reported promptly by the responsible personnel to the AEC.</p>
<b>13. Animal Facilities Inspections and Record Keeping</b>	<p>Animal facilities on La Trobe University grounds must be registered with the AEC and, if in Victoria, with BAW. Both AEC and BAW must inspect the facilities on a regular basis. Record keeping in the facilities must adhere to NHMRC, BAW and AEC standards. Animal usage must comply with the conditions approved by the AEC.</p> <p>Animal colonies must be established following AEC approval and managed according to the Prevention of Cruelty to Animals Act 1986 regulations. Colony activities must be reported to the AEC on a regular basis.</p>
<b>14. Field Work, including Observational Studies and Wet Pitfall Trapping</b>	<p>Fieldwork requires in addition to AEC approval permission by State government authorities. Copies of permits must be lodged with the AEC prior to the commencement of field work. The AEC and AWO can inspect fieldwork at any time.</p> <p>Observational studies involving animals, even ostensibly innocuous teaching exercises such as fauna spotlighting field trips, and wet pitfall trapping targeting lower vertebrate animals must only be conducted after approval from the AEC.</p>
<b>Status</b>	New format. The implementation of the latest version of this procedure supersedes all previous versions of this procedure.

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Approval Body	This section to be completed only after approval of the new or revised version, for inclusion on website only. Do not enter information prior to approval. When entering, include approval body name, meeting number and date and agenda item number.
Initiating Body	This section to be completed only after endorsement by the initiating body of the new or revised version. When entering, include endorsing body name, meeting number and date and agenda item number.
Definitions	<p><b>Animal:</b> any live non-human vertebrate, that is, fish, amphibians, reptiles, birds and mammals, encompassing domestic animals, purpose-bred animals, livestock, wildlife, and also cephalopods including octopus, squid, cuttlefish and nautilus, and decapod crustaceans including lobster, crab, yabbie and crayfish.</p> <p><b>Animal Ethics Committee (AEC):</b> a committee constituted in accordance with the terms of reference and membership laid down in the Code.</p> <p><b>Animal welfare:</b> an animal's quality of life based on an assessment of an animal's physical and psychological state as an indication of how the animal is coping with the ongoing situation as well as a judgment about how the animal feels.</p> <p><b>Compliance:</b> acting in accordance with the Code.</p> <p><b>Ethics:</b> a framework in which actions can be considered as good or bad, right or wrong. Ethics is applied in the evaluation of what should or should not be done when animals are proposed for use, or are used, for scientific purposes.</p> <p><b>Facilities:</b> places where animals are kept including yards, paddocks, tanks, ponds and buildings.</p> <p><b>Wildlife:</b> free-living animals of native, non-indigenous or feral species including captive-bred animals and those captured from free-living populations.</p>
Date Effective	After approval by Academic Board.
Next Review Date	In 3 years' time following approval by Academic Board.
Keywords	Animal ethics; animal research and teaching; animal welfare; animal ethics committee; compliance; wildlife research.
Owner/Sponsor	Director, Research Services
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<b>Contact person</b>	<a href="mailto:researchintegrity@latrobe.edu.au">researchintegrity@latrobe.edu.au</a>
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## Genetically Modified Organisms Procedures

Parent Policy Title	Research Integrity Policy																									
Associated Documents	Research Misconduct Procedures Animal Ethics Procedures																									
Preamble	New technologies bring about fresh and untested challenges regarding their benefits and the potential hazards they may introduce. The manipulation of genetic material, in particular work with recombinant DNA, attracts intense scrutiny by the wider community. There is great expectation by the public that risks associated with this type of research are identified and managed accordingly to protect the health and safety of people and the environment.																									
General	Recombinant DNA is formed by combining segments of DNA from different organisms. Work with recombinant DNA is commonly referred to as ‘gene technology’ and involves the genetic modification of organisms by incorporation or deletion of one or more genes to introduce or alter a specific characteristic or characteristics. Recent advances in recombinant DNA research have seen the emergence of new techniques that enable the introduction of very precise changes to genetic material, allowing the transfer of properties of a single gene from one organism to another to form Genetically Modified Organisms (GMOs).																									
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1. Regulatory Environment	GMO research by La Trobe University staff and students is regulated and monitored by the La Trobe University Genetic Manipulations Supervisory Committee (GMSC) through the Office of the Deputy Vice-Chancellor																									

DOCUMENT TYPE	D	
ACADEMIC/ADMINISTRATIVE	0	
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NUMBER	000	Policy Database Document Reference Number 000000D

	<p>(Research) (DVC(R)). GMSC is a sub-committee of the Research and Graduate Studies Committee (RGSC) which is chaired by the DVC(R). The Office of the DVC(R) answers to and is monitored by Office of the Gene Technology Regulator (OGTR).</p>
<b>2. Relevant Legislation and Guidelines</b>	<p>OGTR was established by the federal government in conjunction with the <i>Gene Technology Act 2000</i>, or the <i>Act</i>, to protect individual health and safety and the environment against any potential risks posed by gene technology.</p> <p>OGTR provides regulatory support to institutions and organisations undertaking work with recombinant DNA and ensures compliance with the <i>Act</i> and its amendments. In the <i>Act</i>, dealings with GMOs are categorised according to their risk potential and the necessary mandatory precautions for each type of dealing are identified.</p> <p>Research on genetically modified animals should be conducted in accordance to the <i>Guidelines for the Generation, Breeding, Care and Use of Genetically Modified and Cloned Animals for Scientific Purposes (2007)</i>.</p>
<b>3. Role of the Genetic Manipulation Supervisory Committee</b>	<p>All research involving recombinant DNA and GMOs must be reviewed and approved by GMSC prior to commencement. GMSC must apply a set of principles, outlined in the <i>Act</i>, that govern the conduct of people whose work involves recombinant DNA or GMOs.</p> <p>GMSC ensures that</p> <ul style="list-style-type: none"> <li>• possible hazards concerning recombinant DNA and GMOs are identified and dealt with appropriately</li> <li>• research environments conform to certification rules</li> <li>• OGTR is informed about dealings with recombinant DNA and GMOs according to the <i>Act</i></li> </ul> <p>Policy support and secretariat to GMSC is provided by the Research Ethics and Integrity Unit.</p>
<b>4. GMSC Terms of Reference</b>	<p>As determined by Academic Board, GMSC is an authorised body formed to:</p> <p>(i) Receive applications for projects involving recombinant DNA research, determine the information to be provided by applicants and seek advice from within the University or from other sources, of the possible hazards concerning recombinant DNA, involved in the proposed project (including possible hazards to the safety of the research personnel, to public health, and to animal or plant health and to the environment);</p> <p>(ii) Recommend approval of proposed projects, either absolutely or subject to conditions, provided that the DVC(R) shall be free to terminate any such approval at any time;</p> <p>(iii) Through the Chair of the Committee, advise the DVC(R) of decisions relating to the granting of licences to conduct, or participate in, research into recombinant DNA to members of staff and students;</p> <p>(iv) Through the Chair of the Committee, advise the DVC(R) of decisions relating to the safety precautions either generally or for particular projects,</p>

<b>DOCUMENT TYPE</b>	<b>D</b>	
<b>ACADEMIC/ADMINISTRATIVE</b>	<b>0</b>	
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	<p>which must be observed by those involved in recombinant DNA research;</p> <p>(v) Assist the University to meet the requirements of the Gene Technology Act 2000 and the Gene Technology Regulations 2001 (and associated amendments);</p> <p>(vi) Provide advice to researchers to enable them to ensure that research carried out at the University complies with all legislation and with the guidelines set out by the Office of the Gene Technology Regulator of the Commonwealth Department of Health and Aged Care;</p> <p>(vii) Co-operate closely, for the purpose of evolving effective safety standards, with the OGTR with a view to making fully effective, the guidelines laid down from time to time by the Regulator;</p> <p>(viii) Provide advice to the University Insurance Officer and other University departments as required on matters relating to research involving genetic manipulation at the University;</p> <p>(ix) Report to the Regulator annually on membership of the IBC, current Exempt, Notifiable Low Risk Dealings, and Licensed Dealings being conducted, certified PC2 Facilities, any contraventions of the legislation, any other matters that the University deems it necessary to draw to the Regulator's attention;</p> <p>(x) Maintain a list of people working on genetic manipulation research in Physical Containment facilities;</p> <p>(xi) Through appropriately qualified members of the IBC, carry out annual inspections of all containment facilities against the Regulator's requirements for containment and inspect new PC2 facilities for which certification from the Regulator is sought;</p> <p>(xii) Promulgate information about appropriate supervisory measures, thereby ensuring that safety guidelines laid down for particular projects are meticulously adhered to in the day-to-day conduct of research;</p> <p>(xiii) Establish a register of recombinant DNA research projects and ensure that this register is kept up-to-date by notification and registration of all significant modifications, including particularly such modifications as might tend to make the project more hazardous;</p> <p>(xiv) Inform itself of all developments that have a bearing upon potential hazards associated with recombinant DNA research, particularly those which lead to better understanding of the nature of such hazards and to improvements in containment techniques.</p>
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<b>5. GMSC Membership</b>	<p>The La Trobe University GMSC must have a membership with membership categories as follows:</p> <p>A. The Chair to be a senior member of staff appointed by RGSC.</p> <p>B. A microbiologist experienced in the handling of pathogenic micro-organisms, nominated on the advice of the Dean and Faculty Board of the Faculty of Science, Technology and Engineering.</p> <p>C. A biologist familiar with the technique and concepts of recombinant DNA research, nominated on the advice of the Dean and Faculty Board of the Faculty of Science, Technology and Engineering.</p> <p>D. An evolutionary ecologist/agronomist familiar with gene flow and population biology, nominated by the Dean and Faculty Board of the Faculty of Science, Technology and Engineering.</p> <p>E. An engineer with expertise in the testing of biological cabinets, air pressures and filters and related equipment, or whose background would enable him/her to be trained readily in points of concern. Nominated by the Manager, Buildings and Grounds.</p> <p>F. Biological Safety Officer, a biologist chosen from amongst the Committee members, experienced with problems of biohazard and safety to act as technical adviser to the Committee. Nominated by GMSC.</p> <p>G. One representative based at the Bendigo Campus, La Trobe University, to be nominated by the Dean and Faculty Board of the Faculty of Science, Technology and Engineering.</p> <p>H. Lay person, not associated with the University and not directly involved in gene technology, who is in a position to consider the wider community issues. Nominated by GMSC.</p> <p>I. Power to co-opt three additional members. The Committee should facilitate the gender equity in the Committee's composition and ensure that membership is reasonably representative of all Schools &amp; relevant research areas in which recombinant DNA projects are in progress.</p> <p>J. Manager, Occupational Health and Safety, or nominee of Manager.</p> <p>Terms of office shall ordinarily be for two years, unless otherwise recommended by the relevant nominating body and approved by RGSC.</p>
<b>6. Conflict of Interest</b>	<p>GMSC will deal with situations in which a conflict of interest arises, including any situation where a member of GMSC has an interest that may be seen to influence the objectivity of a decision by:</p> <p>(i) Requiring members to disclose the nature of their interest and conflict as soon as practicable after they become aware of anything that may be reasonably considered to be a conflict of interest.</p> <p>(ii) Making it a requirement to declare conflicts of interest at the start of each GMSC meeting and to document the declarations and resolutions in the minutes of the quorate meeting.</p> <p>(iii) Requiring a member whose objectivity may be influenced by an interest (including consideration of a proposal submitted by that member) to leave the meeting at an appropriate time (certainly during the decision-making process).</p> <p>(iv) Considering and responding to any concern raised by an investigator of other party that a GMSC member has an interest that may have influenced</p>

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	<p>the objectivity of a GMSC decision. In this case, the Chair person must advise the complainant, in writing, of the GMSC response. If the complainant is not satisfied with the GMSC response, a grievance may be lodged with the Research and Graduate Studies Committee or the University Ombudsman.</p> <p>(v) Allocating applications for review to members not from the same Department as the applicant.</p> <p>(vi) Providing advice on matters of conflict of interest, without breaching confidentiality.</p>
<b>7. Multi-centre Research</b>	<p>GMSC currently processes multi-centre research applications (with external Chief Investigator) under an expedited review procedure, provided the application has been approved by another organisation's Institutional Biosafety Committee, may perform an expedited review to assess the risk to either La Trobe University staff or certified facilities.</p> <p>GMSC reserves the right to place conditions on involvement or refuse involvement should approved proposals be assessed to potentially expose the University to undue risk.</p> <p>Where the Chief Investigator is a La Trobe University staff member, primary approval must be obtained from GMSC.</p>
<b>8. Annual Reporting</b>	<p>GMSC must report regularly to RGSC, including minutes of GMSC meetings to be forwarded within two weeks after a meeting and annual reporting to be completed by 31 March covering the previous calendar year. The annual report must include:</p> <ul style="list-style-type: none"> <li>(i) numbers and types of projects assessed and approved or rejected;</li> <li>(ii) numbers of complaints received and how they were dealt with;</li> <li>(iii) procedural changes;</li> <li>(iv) administrative or other difficulties being experienced; and</li> <li>(v) any matters that may affect the University's ability to maintain accreditation with OGTR and / or compliance with Gene Technology Act &amp; Gene Technology Regulations, and if necessary the provision of suitable recommendations.</li> </ul> <p>In addition, GMSC must complete an Annual Report to OGTR. The report must be authorised by RGSC and signed by the DVC(R).</p>
<b>9. Additional Operating Guidelines</b>	<p>Other GMSC operating guidelines such as rulings on record keeping by the GMSC and investigators, investigator training and modification to existing projects must be endorsed by RGSC and, upon approval, be displayed in their most current form on the <a href="#">GMSC web site</a>.</p>
<b>10. Complaints and Adverse Events</b>	<p>The University has established a complaints and grievances mechanism for La Trobe University personnel, students and persons external to the University to allow the voicing of concerns regarding the use of genetically</p>

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	<p>modified organisms. Such concerns must be submitted in writing to the GSMC Secretariat.</p> <p>Complaints or grievances by La Trobe University personnel about decisions reached by GMSC must be submitted in writing to the DVC(R) or the University Ombudsman.</p> <p>Any release of genetically modified organisms not approved by OGTR must be reported promptly by the responsible personnel to the GMSC Secretariat.</p>
<b>11. Facilities</b>	<p>Facilities holding GMOs must be approved by GMSC and certified by OGTR prior to commencement of research.</p> <p>All certified facilities must be inspected at least annually by GMSC and problems addressed to the satisfaction of GMSC.</p> <p>The GMSC must notify OGTR of all compliance issues arising from inspections and provide details as to how they have or can be resolved.</p>
<b>Status</b>	New format. The implementation of the latest version of this procedure supersedes all previous versions of this procedure.
<b>Approval Body</b>	This section to be completed only after approval of the new or revised version, for inclusion on website only. Do not enter information prior to approval. When entering, include approval body name, meeting number and date and agenda item number.
<b>Initiating Body</b>	This section to be completed only after endorsement by the initiating body of the new or revised version. When entering, include endorsing body name, meeting number and date and agenda item number.
<b>Definitions</b>	<b>Genetic modification (of animals):</b> the use of any technique for the modification of genes or other genetic material but not including the use of natural processes such as sexual reproduction.
<b>Date Effective</b>	After approval by Academic Board.
<b>Next Review Date</b>	In 3 years' time following approval by Academic Board.
<b>Keywords</b>	Genetic modification; GMO; biosafety committee; recombinant DNA.
<b>Owner/Sponsor</b>	Director, Research Services

<b>DOCUMENT TYPE</b>	<b>D</b>	
<b>ACADEMIC/ADMINISTRATIVE</b>	<b>0</b>	
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<b>NUMBER</b>	<b>000</b>	Policy Database Document Reference Number <b>000000D</b>

<b>Author</b>	Manager, Research Compliance
<b>Contact person or area</b>	<a href="mailto:researchintegrity@latrobe.edu.au">researchintegrity@latrobe.edu.au</a>

**Subject: Surveys Policy and Procedures**

**Portfolio:** PVC(QE)  
**Source:** PVC(QE)  
**Executive Manager:** PVC(QE)  
**File Reference:**  
**Date:** 13 July 2009

**1 SUMMARY**

The proposed Surveys Policy and Procedures are intended to guide the orderly and effective use of surveys of staff and students of the University.

**2 RECOMMENDATION**

That the SMC

- **approve** the Surveys Policy and attendant Procedures
- **note** that this proposal is concurrently being referred to the RGSC for recommendation to the Academic Board.

**3 REPORT**

**3.1 Background**

In order to avoid survey fatigue and to maintain good response rates for surveys of LTU staff and students, there needs to be a mechanism by which these surveys are managed. Without such protection, the quality and usefulness of the data obtained may be compromised and the target populations disgruntled. For example, in 2007 there were surveys of Student use of Technology and the First Year Experience, both done by external parties, University and Beyond (GCAE census), AUSSE (internally sponsored sample), the Student Services Survey (internally sponsored census), Survey of New Undergraduate Students (internal census of first year students) in addition to student feedback surveys on units and teaching (up to 16 of these).

Potentially a first year student could have responded to 22 surveys by the end of the year, many of which included similar demographic (and other) questions. This range of surveys was approved by various people and there was no apparent co-ordination. The analysis, interpretation and reporting of all of these surveys and the use of findings is also somewhat piecemeal. These potential 22 surveys did not include any research surveys that may have been conducted by staff or students.

The University has survey software that is currently managed by staff in the MIU. There are a limited number of members of the MIU and the BSU who are trained in the use of the software. The software should continue to be made available to researchers who wish to use this method of gathering data, noting that approval for such research is required through the relevant ethics committee. Currently the MIU is not resourced to support researchers wishing to use electronic surveys, so some training is likely to be required.

**3.2 Discussion**

The policy distinguishes between the gathering of administrative data and the gathering of data for research purposes. The Survey Policy implies sampling and is intended to manage the frequency with which individual members of the University might be sampled.

The University has a licence for Survey Manager software which allows for development of online questionnaires, email distribution of requests, monitoring of responses, automatic reminders and creation of databases without the requirement for data entry. The software provides reports on simple descriptive variables and some basic analysis. Data is also in a format that can be downloaded to Excel or SPSS for deeper analysis. The software is already being used for elections within the University and has saved many hours of manual counting of votes since its introduction. It has also been used for the AUSSE and other surveys.

The availability of electronic survey software including the Survey Manager program and others such as Survey Monkey, that are quite simple to use, means that electronic surveys have increasingly been used in recent years. Divisions such as Academic Services and the BSU from time to time receive requests for access to email lists to enable survey distribution. The Policy is designed to form a basis for decision on access to these mailing lists.

### **3.3 Fit with Strategy**

The collection of administrative data to inform strategic decisions and quality improvements is a key application of the survey method. The survey software enables an efficient, cost effective and environmentally sound means of data collection.

### **3.4 Learning/Teaching and Research Implications**

Teaching/Learning – survey method will be used to elicit student and staff responses in the implementation of the Curriculum Review and Renewal Project, enabling evaluation of the progress from the perspective of the important stakeholders. Surveys are also used to gather information about teaching, learning and the student experience in a number of other cases as outlined above in 3.1.

Research - the Surveys Policy only applies to research in the case where the target population of the research is staff or students of the University and a substantial sample is planned to be surveyed using survey software. In these cases there could be some constraints on sample selection and timing of surveys to protect students and staff from over-surveying.

The electronic survey software should be widely available to researchers, not just for internal surveys - the Procedures provide guidance on access and training.

### **3.5 Financial Implications**

The University has the licence to the software 'Survey Manager' and there is an annual licence fee of approximately \$15000 which is currently budgeted for within the ICT Division. The company provides training in the use of the software on a fee for service basis, and members of the BSU are also able to provide training.

### **3.6 Policy, Legal or Statutory Implications**

Research surveys are subject to ethics legislation and University human ethics policies

### **3.7 Risks**

The risks of over-surveying relate to the quality of data through response and non-response bias. There is also the risk of students or staff being disenchanted by too many surveys, and too little information on the results of the surveys and decisions taken in response.

### **3.8 Social Considerations**

Possible impact on morale through over-surveying

### **3.9 Environmental Implications**

If electronic survey software is used, there is a reduction in paper usage.

### **3.10 Communications**

Once approved, the Survey Policy and Procedures will be located on the Policy Website, and a Surveys webpage developed to provide access to application forms, the calendar of surveys and other relevant documentation.

### **Attachments**

1. *Surveys Policy*
2. *Surveys Procedures*
3. *Electronic Survey Software Procedures*

DOCUMENT TYPE	D	
NUMBER		Policy Database Document Reference Number XXXD

## ELECTRONIC SURVEY SOFTWARE PROCEDURES

<b>Parent Policy Title</b>	Survey Policy												
<b>Associated Procedures</b>	Survey Procedures Authorising Email Broadcasts to Students Procedures												
<b>Preamble</b>	In conjunction with the Survey Policy and Procedures, La Trobe University uses electronic survey software. These procedures detail provisions to access the University's survey software.												
<b>General</b>	Surveys that are not formally approved under the Survey Policy and using the Survey Procedures are not to be administered at La Trobe University.												
<b>Table of Contents</b>	<table border="1"> <thead> <tr> <th>Item</th><th>Section</th></tr> </thead> <tbody> <tr> <td>Access to electronic survey software</td><td>1</td></tr> <tr> <td>Internal (Staff/Student) access</td><td>2</td></tr> <tr> <td>Role of Management Information Unit (MIU)</td><td>3</td></tr> <tr> <td>Role of Information and Communications Division (ICT)</td><td>4</td></tr> <tr> <td>Role of Business Systems Unit (BSU)</td><td>5</td></tr> </tbody> </table>	Item	Section	Access to electronic survey software	1	Internal (Staff/Student) access	2	Role of Management Information Unit (MIU)	3	Role of Information and Communications Division (ICT)	4	Role of Business Systems Unit (BSU)	5
Item	Section												
Access to electronic survey software	1												
Internal (Staff/Student) access	2												
Role of Management Information Unit (MIU)	3												
Role of Information and Communications Division (ICT)	4												
Role of Business Systems Unit (BSU)	5												
<b>1. Access to electronic survey software</b>	The MIU will manage access to La Trobe University's electronic survey software.												
<b>2. Internal (Staff/Student) access</b>	<p>Access to the University's electronic survey construction software will be provided to staff and students who have:</p> <ul style="list-style-type: none"> <li>Completed training in its use</li> <li>Either completed basic training in survey method including questionnaire design or can provide some evidence of expertise in this area</li> <li>Prior approval for administration of internal surveys, where the target population is staff or students</li> <li>If a research survey, that it has gained approval from the relevant ethics committee</li> </ul>												
<b>3. Role of MIU</b>	MIU will receive requests for access and, upon approval, make arrangements for the ICT and the BSU to install and train applicants in the use of the software.												

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NUMBER		Policy Database Document Reference Number XXXD

<b>4. Role of ICT</b>	ICT will install the electronic survey software for successful applicants, at the request of MIU.
<b>5. Role of BSU</b>	BSU will provide training in the use of the software at the request of MIU.
<b>Status</b>	New.
<b>Approval Body</b>	Senior Management Committee
<b>Initiating Body</b>	Pro Vice-Chancellor (Quality Enhancement)
<b>Definitions</b>	<p><b>Survey:</b> a method of collecting information where a sample of subjects drawn from a population is studied to make generalisations about the population.</p> <p><b>Census:</b> a survey where the entire population is sampled.</p>
<b>Date Effective</b>	July 2009
<b>Next Review Date</b>	July 2011
<b>Keywords</b>	Survey software, survey approval
<b>Owner/Sponsor</b>	Pro Vice-Chancellor (Quality Enhancement)
<b>Author</b>	Pro Vice-Chancellor (Quality Enhancement)
<b>Contact person</b>	<a href="mailto:quality@latrobe.edu.au">quality@latrobe.edu.au</a>

<b>DOCUMENT TYPE</b>	<b>P</b>	
<b>NUMBER</b>		Policy Database Document Reference Number <b>XXXP</b>

## SURVEYS POLICY

<b>Purpose/ objectives</b>	To establish a framework for the orderly and effective use of La Trobe University surveys of staff and students (including graduates and prospective students).
<b>Scope/ Application</b>	<ul style="list-style-type: none"> <li>• All campuses</li> <li>• All programs and courses</li> <li>• All staff, former students, enrolled students and potential students.</li> </ul> <p>NOTE: Human ethics approval is required for <u>research</u> projects involving surveys of staff and/or students of La Trobe University undertaken as part of staff or student research, before an application can be made under this policy.</p>
<b>Policy Statement</b>	<p>The University will</p> <ul style="list-style-type: none"> <li>• use institutional surveys for data collection for the purpose of informing strategic planning and quality improvement;</li> <li>• prioritise and coordinate the administration of internal surveys to reduce duplication and manage the frequency with which staff and students are asked to participate; and</li> <li>• coordinate access to the LTU electronic survey software.</li> </ul> <p>Surveys not approved under this Policy and according to the Survey Procedures are not to be administered at the University.</p> <p>Surveys must be conducted in compliance with government privacy and other relevant legislation including University policies and guidelines relating to privacy and human ethics, and the internet code of practice. All data collected in the surveys must be non-identifiable.</p>
<b>Supporting Procedures</b>	<p>Survey Procedures</p> <p>Electronic Survey Software Procedures</p> <p>Authorising Email Broadcasts to Students Procedures</p>
<b>Responsibility for implementation</b>	Management Information Unit – administration of institutional surveys and access to electronic software, register and calendar of surveys
<b>Responsibility for monitoring implementation and compliance</b>	Pro Vice-Chancellor (Quality Enhancement)
<b>Status</b>	New.
<b>Key stakeholders</b>	<p>Deputy Vice-Chancellor</p> <p>Deputy Vice-Chancellor (Research)</p> <p>Pro Vice-Chancellor (Quality Enhancement)</p> <p>Pro Vice-Chancellor (Curriculum and Academic Planning)</p>

<b>DOCUMENT TYPE</b>	<b>P</b>	
<b>NUMBER</b>		Policy Database Document Reference Number <b>XXXP</b>

	Pro Vice-Chancellor (Equity and Student Services) Executive Director (Office of the Vice-Chancellor) Executive Director (Finance and Resource Planning) Director Academic Services
<b>Approval Body</b>	Senior Management Committee
<b>Initiating Body</b>	Pro Vice-Chancellor (Quality Enhancement)
<b>Definitions</b>	<p><b>Survey:</b> a method of collecting information where a sample of subjects drawn from a population is studied to make generalisations about the population.</p> <p><b>Census:</b> a survey where the entire population is sampled.</p> <p><b>Institutional Survey:</b> A survey conducted on behalf of the university to inform strategic planning and quality improvement.</p> <p><b>Non-identifiable data:</b> Data that have never been labelled with individual identifiers or from which identifiers have been permanently removed, and by means of which no specific individual can be identified.</p>
<b>Related legislation</b>	<a href="#">Information Privacy Act 2000</a> <a href="#">Freedom of Information Act 1982</a> <a href="#">Freedom of Information Regulations 2009</a> <a href="#">Privacy Act 1988</a>
<b>Related Policy and other documents</b>	University Human Ethics Committee Staff Survey Guidelines University Human Ethics Committee Student Survey Guidelines Internet Code of Practice Calendar of Surveys Register of Surveys
<b>Date Effective</b>	July 2009
<b>Next Review Date</b>	July 2011
<b>Keywords</b>	Survey, census, feedback, ethics
<b>Owner/Sponsor</b>	Pro Vice-Chancellor (Quality Enhancement)
<b>Author</b>	Pro Vice-Chancellor (Quality Enhancement)
<b>Contact person</b>	<a href="mailto:quality@latrobe.edu.au">quality@latrobe.edu.au</a>

<b>DOCUMENT TYPE</b>	<b>D</b>	
<b>NUMBER</b>		Policy Database Document Reference Number <b>XXXD</b>

## SURVEYS PROCEDURES

Parent Policy Title	Surveys Policy																													
Associated Documents	Electronic Survey Software Procedures Authorising Email Broadcasts to Students Procedures																													
Preamble	As a means of informing continuous improvement and assisting with planning, La Trobe University will gather primary data to maintain databases, assess the quality of its processes and procedures and elicit the perceptions of a range of stakeholders using survey methods.																													
General	Other than exclusions from this policy, internal surveys that are not formally approved using these procedures are not to be administered at La Trobe University.  As part of the approvals process, consideration will be given to the time of year in which the survey would be administered, and the population it expects to target. Either of these aspects may need to be revised before the survey can be conducted.																													
Table of Contents	<table><tr><th>Item</th><th>Section</th></tr><tr><td>Exclusions</td><td>1</td></tr><tr><td>Register and calendar of surveys</td><td>2</td></tr><tr><td>Survey Sponsors</td><td>3</td></tr><tr><td>Consideration by Sponsor</td><td>4</td></tr><tr><td>Use of incentives</td><td>5</td></tr><tr><td>Analysis and use of results</td><td>6</td></tr><tr><td>Application to conduct surveys</td><td>7</td></tr><tr><td>Use of University databases</td><td>8</td></tr><tr><td>Timeline for survey request</td><td>9</td></tr><tr><td>Process to review applications</td><td>10</td></tr><tr><td>Process to gain approval to conduct surveys</td><td>11</td></tr><tr><td>Prioritising surveys</td><td>12</td></tr><tr><td>Administrative data used for research purposes</td><td>13</td></tr></table>		Item	Section	Exclusions	1	Register and calendar of surveys	2	Survey Sponsors	3	Consideration by Sponsor	4	Use of incentives	5	Analysis and use of results	6	Application to conduct surveys	7	Use of University databases	8	Timeline for survey request	9	Process to review applications	10	Process to gain approval to conduct surveys	11	Prioritising surveys	12	Administrative data used for research purposes	13
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1. Exclusions	Key surveys such as student feedback on subjects and teaching, and graduate surveys are excluded from the requirement for approval under the Survey Policy, but are required to be included on the calendar of surveys.  Minor student projects and research surveys approved by the UHEC and not																													

<b>DOCUMENT TYPE</b>	<b>D</b>	
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	using electronic survey software are also excluded, and not required to be included on the calendar of surveys.
<b>2. Register and Calendar of Surveys</b>	<p>To assist the University community in designing and planning surveys, the University will publish on its website:</p> <ul style="list-style-type: none"> <li>• A register of approved surveys</li> <li>• A calendar of approved surveys</li> </ul>
<b>3. Survey Sponsors</b>	For institutional surveys collecting data to inform planning or continuous improvement and/or requiring the resources of the Management Information Unit (MIU), the survey sponsor should be a member of the Senior Management Committee of the University.
<b>4. Consideration by Sponsor</b>	Prior to submitting a proposal to conduct a survey, the Survey Sponsor must prepare or review the Survey Application Form and consider whether (and how) the proposed survey demonstrates clear links to specific item(s) in the La Trobe University strategic or operational plan.
<b>5. Use of incentives</b>	Incentives intended to enhance response rates should be used with caution as there is little evidence to suggest that they increase the numbers of useable responses
<b>6. Analysis and use of Results</b>	The approval process will require information on the plans for analysis of responses and their use in informing strategy or continuous improvement. Insufficient clarity about this element of the survey ensures that it will not gain approval.
<b>7. Application to conduct surveys</b>	Proposals to conduct surveys must be submitted by the survey sponsor to the Office of the Pro Vice-Chancellor (Quality Enhancement) on the Survey Application Form (available on website).
<b>8. Use of University databases</b>	<p>If the survey requires use of University staff or student databases to create the sampling frame, the application must be approved before approaching People and Culture, Academic Services or the Future Students Centre for access to databases.</p> <p>Approaches to these Divisions without prior approval of the application will not be considered.</p> <p>For approved institutional surveys that are to be administered by the MIU, access to databases is available to the MIU.</p>
<b>9. Timeline for survey request</b>	<p>Applications to administer surveys should be made no less than six (6) weeks before the desired commencement of the survey.</p> <p>A response to an application will be provided within three weeks.</p>

<b>DOCUMENT TYPE</b>	<b>D</b>	
<b>NUMBER</b>		Policy Database Document Reference Number <b>XXXD</b>

<b>10. Process to review applications</b>	<p>Once the application is received, additional information will be prepared, including whether:</p> <ul style="list-style-type: none"> <li>• The information sought already exists</li> <li>• A separate survey is required or the information sought can be obtained through the addition of items to an existing or proposed survey</li> <li>• A suitable instrument already exists</li> <li>• The survey instrument content, format and mode of delivery are appropriate to stated aims and expected outcomes</li> <li>• The timing, mode of delivery and target population for the application of the survey are appropriate</li> <li>• Proposed feedback to participants is appropriate</li> <li>• Similar data from other organisational units that can be used for comparative analysis is available.</li> </ul> <p>An evaluation of the resources required and the applicant's preferred timing to administer the survey will also be considered.</p>
<b>11. Process to gain approval to conduct surveys</b>	<p>If the survey does not relate to the strategic plan or inform continuous quality improvement, and the resource and timing implications or over-surveying of the target population prevent the MIU from supporting it, the application may be declined at this point.</p> <p>In other cases, after the initial analysis of the survey request, it must be reviewed and rated for alignment with strategic priorities or continuous quality improvement outcomes.</p> <p>Based on this assessment, a decision to proceed or not will be made by the PVC(QE), in consultation with the Manager, MIU.</p>
<b>12. Prioritising surveys</b>	<p>Surveys will be considered for approval based on certain constraints.</p> <p>External and internal student outcome surveys including graduate surveys, AUSSE, FYE, the student feedback on subjects and teaching such as SFSU and SFTE, and those in support of University strategic and operational plans will have priority over all other surveys.</p> <p>Decisions to approve surveys will also take into consideration the frequency with which the target population has been approached.</p>
<b>13. Administrative data used for research purposes</b>	<p>If data collected for administrative purposes is subsequently used for research purposes, UHEC approval should be gained for this purpose by the data custodian.</p> <p>As informed consent is specific to the possible use of the data, a statement should be included on the consent form to indicate the potential uses of the data. The statement could take the form 'This survey is designed for administrative purposes and quality improvement. Results may also be used for research, subject to UHEC approval'</p>
<b>Status</b>	New

DOCUMENT TYPE	D	
NUMBER		Policy Database Document Reference Number XXXD

Approval Body	Senior Management Committee
Initiating Body	Pro Vice-Chancellor (Quality Enhancement)
Definitions	<p><b>Survey:</b> a method of collecting information where a sample of subjects drawn from a population is studied to make generalisations about the population.</p> <p><b>Census:</b> a survey where the entire population is sampled.</p> <p><b>Institutional Survey:</b> A survey conducted on behalf of the university to inform strategic planning and quality improvement.</p> <p><b>Data custodian:</b> The individual who is responsible for the data once collected.</p>
Date Effective	July 2009
Next Review Date	July 2011
Keywords	Survey, census, feedback
Owner/Sponsor	Pro Vice-Chancellor (Quality Enhancement)
Author	Pro Vice-Chancellor (Quality Enhancement)
Contact person	<a href="mailto:quality@latrobe.edu.au">quality@latrobe.edu.au</a>

**Review of the Institute of Advanced Studies (IAS)**

La Trobe University

July 2009

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Review Panel: G Mitchell, D Altman, N Hoogenraad, S McDonald, T-A White

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Dr Graham F Mitchell  
22 July 2009

**Acknowledgements**

The Review Panel wishes to express its appreciation to those University personnel who responded to the call for submissions, and to those who were interviewed, and who thereby provided the evidence base on which the Panel made its assessment and developed a proposal for a new IAS model. Special thanks are extended to the Panel's Executive Officer, Mr Roger Palmer, who provided much documentation and who recorded the interview conversations and Panel discussions in addition to attending to administrative arrangements. We also wish to acknowledge the contributions of the former Director, Prof Alan Frost, who we understand is managing the operation of the IAS on a voluntary basis.

## **Executive Summary**

A review has been undertaken of the activities, contributions and impact of La Trobe University's Institute of Advanced Studies/Michael J Osborne Centre over the 9 years of its operation. The Review Panel has additionally been tasked with recommending any changes in the mode of operation and academic objectives of the IAS. The Panel, comprising LTU and external members, has received submissions from, and conducted interviews with, IAS personnel and University stakeholders.

We recommend that the current core activities of the IAS – namely, a residential Visiting Fellows Program and postgraduate student Write-up Awards (plus provision of conference and meeting facilities) be maintained but modified in significant ways in line with altered imperatives, research strategies and organisational developments in LTU. A more strategic, thematic approach to the Visiting Fellows Program is proposed with broader relevance to the entire University with different governance arrangements (including a greater role for Research and Graduate Studies) and broader student, staff and importantly, community engagement. Retention of the Write-up Awards is recommended but with no requirement to be located other than in their host department (including regionally). Conference and meeting facilities should be maintained and serviced in the Michael J Osborne Centre at least until better facilities are operational in the new LTU Institutes (e.g. BRC and LIMS). With these recommended changes, the “Advanced Studies Program” should better provide broader University and community benefits and value with full integration into University life and administrative structures than is currently the case with the IAS.

### **1. Brief history of IAS and current programs**

La Trobe University's Institute of Advanced Studies – additionally named the Michael J. Osborne Centre in 2006 – was established in the year 2000 with the primary function of bringing outstanding scholars to the University. Through careful selection of a wide range of scholars who stay for a significant period of time, the research reputation and standing of LTU would be enhanced and productive, ongoing interactions with staff and students initiated and encouraged. Additionally, a program to support postgraduate students to write up their work for publication was added more recently. IAS facilities would generally be available for seminars, workshops, conferences and, in the case of visiting scholars, residency. In the initial stages, the IAS had a particularly close relationship with the then newly established Research Centre for Linguistic Typology (RCLT) and its newly recruited personnel.

Broadly, the IAS makes 2 types of awards:

- **Fellowships.** To attract outstanding scholars and researchers for periods between 2 and 6 months, support being provided to cover all costs (Distinguished Fellows) or airfares only (Fellows). Average value of each Fellowship is approximately \$10k.
- **Post-graduate Write-up Awards.** To support higher degree students for 2 months after submission of their thesis, to be sited in the IAS and to enable them to convert thesis research findings into publications. Average value of each award is approximately \$3k.

Over the 9 years of its existence, the IAS has had 2 Directors, the inaugural Director being Prof Gilah Leder, her successor from 2007 being Prof Alan Frost. The annual operating budget, at least over the period 2006-2008 inclusive, has been around \$0.5m p.a. In 2009, the budget has been significantly reduced

pending this review<sup>1</sup>. Governance arrangements comprise a Board of Management, and until 2009, a (half-time) Director and a (full-time) Administrative Officer. The principal activities of the staff (and Board) have been selection and servicing of Fellows and Awardees plus logistic aspects of conferences, seminars etc. The original vision for the IAS (see Appendix 7) foreshadowed a Board of Trustees with strategic functions and comprising members from academia and business. This important committee was not established or at least does not exist currently.

Clearly, La Trobe University's IAS is quite different in terms of the nature, scale and scope of its activities from other similarly named University-based Institutes of Advanced Studies overseas and within Australia (e.g. UWA, Perth and ANU, Canberra). LTU's IAS largely serves as a vehicle for attracting visitors to the University, the IAS responding to requests usually from staff members or departmental groups for support of nominated individuals as Visiting Fellows.

## **2. Overall conclusions of the review**

Although providing clear benefit to particular research groups and individuals within La Trobe University, the broader vision of the Institute of Advanced Studies as an integral component of research and scholarly activity across the University has not materialised. A strategic approach to identifying (interdisciplinary) activities to be funded is lacking; the newer imperative that the University captures the benefits of visiting fellows through its ERA accounting has not been systematically monitored and documented; the regions have not been accommodated or integrated; and the Institute is currently languishing. In regard to publications and benefits to LTU, and despite there being some exceptions, there appears overall to be insufficient acknowledgement/attribution to LTU in fellows' publications and a frequent failure to capture publication data when it has been possible.

On the basis of submissions, interviews and enquiries, it is clear that there is high merit in a Visiting Fellow/"Scholar in Residence" program and in a post-graduate write-up support program. The Panel recommends retaining these but modified in important ways. We also support retention of facilities for the conduct of conferences, seminars and meetings at least in the short to medium term.

For consideration by the University we propose a new IAS model involving, inter alia, a different governance structure, much closer alignment of programs with the current Research Plan of the University, a thematic emphasis in the Visiting Fellows program, supported write up students remaining in their home base, a new name for the program de-emphasising "Institute", and retention of a budget set at approximate historical levels (see Section 5).

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<sup>1</sup> Precise historical budget information has been difficult to obtain (but see appendix 4) and Annual Reports of the IAS contain no financial information. Presumably, the IAS Director has had no designated spending authorisation.

### 3. **Review outcomes (according to 5 TOR's)**

#### 1) **TOR 1** “Alignment of academic activities”.

Review the academic activities of the Institute and report on whether these are in accord with the stated aims of the Institute

The aims of the IAS are to bring outstanding scholars to LTU (“Scholars in Residence”) for the purposes of promoting high quality research and scholarship, encouraging productive interactions and enhancing the reputation and profile of the University as a major research institute across academia, Governments and the community. Support for post-graduate students and conferences is also offered.

Accordingly, the academic activities have centred around a Fellowship program in which 100 or so visiting fellows have been attracted to LTU since 2000. Selection is made on the basis of proposals from individuals or particular departments and the process involves referee’s reports and committee assessment (the Board of Management). Four departments/centres in particular have been major beneficiaries of the program – Archaeology, Mathematics and Statistics, Physics and the Research Centre for Linguistic Typology. There have been many fewer nominations from the larger research groupings or faculties across the University and some have made no use of this program perhaps reflecting no early buy-in to this perceived “top down” initiative of a former Vice Chancellor.

Those who have accessed the scheme the most speak highly of the process, the accommodation, IAS support to the Fellows during their visit and the outcomes. Fellows’ testimonials are almost universally laudatory and some outputs are documented (see Appendix 3). Minor issues have been raised in reports, submissions and interviews regarding the sociability of the “off-campus” site, lack of associated amenities and transport, and sometimes inadequate authorisation of applications by Heads of Schools. There is no doubt that some researchers within LTU (e.g. Physics, Maths and Stats) have benefited very significantly from the IAS Fellows program and wish to see it continue. Many respondents were particularly appreciative of the residential requirements of the scheme. The accommodation afforded to visiting fellows is of high standard – and in an area where alternative residential options are severely limited (c.f. downtown).

In regard to the Write-up Awards, there is widespread appreciation of the value of this component of the Institute’s activities. The small stipend enables students to focus on producing manuscripts for publication prior to them leaving the University to take up post doctoral positions overseas, for example. This being said, the rationale for the students being located within the IAS is weak and there is merit in the students remaining in their host departments (including on regional campuses). Certainly the aggregation of students writing up within the IAS has not created a vibrant focus of post-graduate academic and social activity on the site.

There is also widespread support for the IAS as an important location for conferences, seminars and meetings particularly when a full-time administrative officer was on site and available to attend to logistic detail. Many have commented that the IAS site is well suited to small and medium sized gatherings of University staff and guests.

The Review Panel concludes that the academic activities embraced in the relatively limited agenda of the currently constituted IAS are in accord with the

stated aims of the Institute. Whether they are optimally structured to be in accord with the stated aims of the University and its new Research Strategy is a different matter and is addressed below. It must be remembered that the staffing component of the IAS is modest as are the costs incurred in supporting each visiting fellow and post-graduate student. We have no issue with the impressive numbers of fellows attracted to the University and students supported through the IAS programs. Taking out overheads, “return on investment” and “cost effectiveness” of the actual programs, though not quantified, are likely to be appropriate for an institution of this nature, scale and scope.

**2) TOR2 “Impact on research output”**

**Report on the influence of the Institute on the quantity and quality of research output at the University, and in particular on research publications**

The three departments that have utilised the IAS most since 2000 are the Department of Mathematics and Statistics, the Department of Physics and the Archaeology Program plus the RCLT, though not operating through a Faculty, appeared to have an arrangement with the IAS with respect to access to the Visiting Fellow program.

Following a thorough search of the IAS Research Database and a small sample of searches in Proquest, there appears to be no consistency in detailed cataloguing of outputs such as publications and reports ranging from high level of detail from the Faculty involved in some areas and inaccurate or non-existent information in others, making assessment of the full impact of the IAS on the quantity and quality of research output at the university and in particular publications, extremely difficult<sup>2</sup>.

It is therefore concluded that the TOR2 for the IAS has not been met.

**3) TOR3 “Assessment of 5 year projected program of activities”**

**Review the projected program of activities for the next 5 years, and comment on its quality, feasibility and the extent to which it is integral to the University**

The Review Committee found that there was no future program outlined for the IAS. This is likely the case because of the uncertainty surrounding the IAS in recent years. Our observations, however, also show that there has not been any strategic direction provided by the Board of Management, and no action on securing short-term benefits for the continuation of the IAS. The role of the Board of Management has been, in a cursory fashion, to assess Fellowship applications as isolated and individual cases only. It appears there was no strategic selection process in place for the Fellowship scheme. Evidence of the role of the Board is that it operated in a vacuum within the larger research culture. There is no evidence that any formal structures for including Deans or Heads of Schools in planning was an option. This would have been useful in identifying strengths and nascent areas for the University that such a scheme as the IAS operated could contribute to.

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<sup>2</sup> Publications of visiting scholars, provided they are honorary staff can be included in LTU publication records. For HERDC, if the scholar's affiliation with LTU is acknowledged in the publication and all the other criteria are met (e.g. refereed etc) LTU can include that work. If, however, no affiliation is shown in the publication but LTU can show from official HR records that the author was an honorary staff member, LTU can claim that publication. For the ERI trial, if the visiting scholar is an honorary staff member at 31 March 2008 his/her work can be included. If the author's affiliation in the publication is not LTU and they are an honorary staff member at 31 March 2008 the work can still be included. For other ERA collections the staff-census date and years of publication will be different.

The additional findings made in our consultations came from querying the role of the Research Centre for Linguistic Typology (RCLT) within the IAS. The RCLT appears to have been integrated into the IAS despite there not being any formal mechanism for this, although there appeared to be a relationship.

4) **TOR4** “Impact on climate of research and University profile”.  
Report on the contribution and effectiveness of the Institute with respect to the climate of research at the University and the enhancement of the profile of the University

The Committee recognises the contributions made by the IAS to several departments, noticeably Mathematics and Statistics, and Physics. It also noted the very minimal use of the IAS by some areas of the University, in particular the Faculty of Law & Management and Faculty of Education, and the fact that no attempt had apparently been made to engage the regional campuses. On balance the Committee did not feel that the IAS has contributed significantly to the climate of research at the University, and was somewhat surprised at the lack of initiative by its Directors and Boards of Management to seek ways to meet the challenges set out in the original vision document (see Appendix 7). It was difficult to find evidence that the IAS had either "fostered research activities that otherwise would not take place" in many departments, or "contributed to the scholarly endeavours and the vigour of academic life at LaTrobe University and in Australia more generally". We recognise that strong links with overseas researchers have been established with several departments, but it is our view that the IAS has failed to significantly enhance the profile of the University, either among the bulk of researchers or among the larger community.

5) **TOR5** “Recommended future objectives and operations”.  
Recommend to the Research and Graduate Studies on whether the Institute be permitted to operate for a further period of up to 5 year, including any recommended changes in the mode of operation and academic objectives.

**See Section 5**

4. **Purpose of the IAS**

In keeping with the tenet that “structure follows function” and that the name of an initiative or institution should give an indication of the latter, the Review Panel has considered what the essential functions of the IAS are or could be. The University of Western Australia’s IAS is an appropriately sized comparative organisation even though it is recognised that UWA is different and of longer standing than LTU. The UWA IAS is deeply embedded into the life of the University, it has abundant wide-spread support from within (at both staff and student level) and community involvement through a public lecture series is substantial.

Based on various models and the name, an IAS in a University must provide a mechanism to ensure the rich diversity, deep expertise, creativity and collaborative spirit of research and scholarship are made more readily available to academics, students, policy makers and an interested public. A strategic and thematic visiting scholars program can bring, on a regular basis, complementary expertise and new ideas to LTU with lasting impact and positioning of the University as a relevant, valued, high quality, high impact learning and research organisation. The structure of the IAS must support this important function and

as a title, “Scholars in Residence Program”, may capture the essence. In the context of the new LTU Research Strategy and requirements for Institutes, it is noteworthy that the “institute” aspect of LTU’s IAS no longer fits.

## 5. **Proposed structure of the IAS – a new IAS model**

We propose the establishment of a La Trobe University Visiting Scholars Program (*the Program*) which would be a program for enhancement of university wide research, regional and public outreach.

Our recommendations are strongly influenced by the UWA IAS, which has a Visiting Professors at Large program, research workshops and symposia, public lectures and Postgraduate Masterclasses program.

We recommend that:

- *The Program* concentrates on themes which should be broad enough to enable a number of research areas within the University including regional campuses to take advantage of the scheme by nominating visitors who could contribute to a particular theme<sup>3</sup>. Moreover, the University should gain the maximum public relations advantage and public profile, obtain sponsorship and facilitate cross-disciplinary cooperation.
- *The Program* will be under the control of the DVC (Research)
- *The Program* will be administered by RSO.
- A Strategic Advisory Committee (SAC) will select the thematic program for a semester-long period after a call for expressions of interest (EOIs) across the University.
- The SAC will be a sub committee of the RGSC.
- The SAC will consist of 5 members appointed by the DVC(R), three University and two independent members.
- The SAC Chair will be one of the University appointees and will have a 0.2FTE position to manage the Program.
- The SAC Chair will be assisted by a 0.5FTE level HEO6 Administrative Officer.
- The SAC will develop an application process such as an EOI (2-3 pages), followed by the submission of a more detailed plan by the successful applicants which will include details of the program, including participants and a budget including sponsorships, which will be negotiated with the Chair of the SAC.
- A successful EOI will be cross disciplinary and include internal and external participants and supporters including academic, professional and non-academic partners.

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<sup>3</sup>For instance, to interrogate the myriad of research areas concerned with food and wine: drawing out of agricultural and environmental sciences, humanities and social sciences, law and management, and physical and biological sciences. A program of collaborative, cross-disciplinary research could be devised with the strengths of La Trobe’s researchers and using as a catalyst the visits of some key Fellows, to explore such topics as food security; climate change and production; consumption; the history of food; the physics of food; writing about food. The program could involve the regional campuses and include what is produced in those regions (and how). A second example is to exploit the current strengths within La Trobe University and the city of Melbourne in the relatively new area of nanotechnology, and to devise a program of a cross-disciplinary nature involving physics, chemistry, materials and surface science, biochemistry, pharmacy, and electronic engineering. The value of such a program would be to ensure that it added value to each separate pursuit across the University by bringing the researchers together in a workshop to explore the different assumptions, methodologies, and expectations of each discipline.

- The Chair of the SAC will be *the Program* champion (i.e. responsible for highlighting the program and encouraging and enabling groups to develop applications) and would have responsibilities to ensure that the Public Relations Office is engaged on each thematic program (advertising, press releases etc).

We also recommend that:

- *The Program* is funded at \$250,000 pa initially with the possibility of funding at a higher level depending on the success of *the Program*.
- \$15,000 is allocated for the continuation of the post graduate student write-up award, to be distributed on a competitive basis. This sum should be administered by the PVC (Graduate Research). The successful students should use their home base for the write-up exercise.
- The conference facilities of the current IAS remains available for use by the university community until new facilities are available in the new Institutes, the BRC and LIMS.
- The apartments (6) are available for overseas and interstate visitors and regional campus staff who participate in *the Program*.
- That the apartments also be made available as a “Research Hotel” for members of staff from regional campuses who wish to come to the Bundoora campus to use the facilities of the University Institutes for up to two weeks.
- If a charge needs to be levied for apartments, it should not be at the current commercial rates of \$140 per day but at a concessional rate that would come out of Faculty, School or Institute budgets.
- The Administrative Officer has a responsibility to collect Visiting Fellows’ reports at the conclusion of each thematic program and ensure that relevant publications are recorded in the LTU Research Database.

### Appendix 1

#### **Terms of Reference (TOR’s) for the Review**

1. Review the academic activities of the Institute and report on whether these are in accord with the stated aims of the Institute
2. Report on the influence of the Institute on the quantity and quality of research output at the University, and in particular on research publications
3. Review the projected program of activities for the next 5 years, and comment on its quality, feasibility and the extent to which it is integral to the University
4. Report on the contribution and effectiveness of the Institute with respect to the climate of research at the University and the enhancement of the profile of the University.
5. Recommend to the Research and Graduate Studies on whether the Institute be permitted to operate for a further period of up to 5 years, including any recommended changes in the mode of operation and academic objectives.

## Appendix 2

### IAS Fellows 2000-2009

#### 2000

<b>Professor D N S Bhat</b>	Linguistics	Humanities & Social Sciences
<b>Professor John Perram</b>	Mathematics	Science, Technology & Engineering
<b>Professor Han Wei</b>	Archaeology	Humanities & Social Sciences
<b>Professor Bruce Thompson</b>	Social & Behavioural Science	Science, Technology & Engineering

#### 2001

<b>Fellow</b>	<b>Nominator</b>	<b>School or Centre</b>	<b>Faculty</b>	<b>Affiliation</b>
<b>Professor Anvita Abbi</b>	Aikhenvald	Research Centre for Linguistic Typology		
<b>Professor John Beeby</b>		Physics	Science, Technology & Engineering	University of Leicester
<b>Professor Willibald Dörfler</b>	Leder	Mathematics	Science, Technology & Engineering	Universität Klagenfurt
<b>Professor Bhadriraju Krishnamurti</b>	Dixon	Research Centre for Linguistic Typology		Osmania University
<b>Professor Volker Loeschcke</b>	Hoffman	Centre for Environmental Stress and Adaptive Research		Aarhus University
<b>Professor John Ramsden</b>	Frost	History	Humanities & Social Sciences	London University
<b>Professor Toshio Yamagishi</b>	Foddy	Behavioural Science	Science, Technology & Engineering	Hokkaido University

#### 2002

<b>Professor Efrain Kristal</b>	Boland	Spanish	Humanities & Social Sciences	University of California
<b>Professor Elizabeth Mansfield</b>	Quispel	Mathematics	Science, Technology & Engineering	University of Kent
<b>Professor Ole Nielsen</b>	Stephenson	Zoology	Science, Technology & Engineering	Aarhus University,
<b>Professor Rejoice Ngcongo</b>	Belfrage	LTU Postgraduates Association		University of Zululand

#### 2003

<b>Dr Bloom</b>	Lin	Public Health	Health Sciences	Institute of Development Studies, Brighton
<b>Dr Heine</b>	Dixon	Research Centre for Linguistic Typology		University of Koln
<b>Dr Sell</b>	Reilly	Human Communication Sciences	Health Sciences	Ormond Street Hospital, London.
<b>Professor Chi</b>	Murray	Archaeology	Humanities & Social Sciences	Peking University, Beijing,
<b>Professor Drugan</b>	Kent	Psychological Science	Science, Technology & Engineering	University of Hampshire, Durham, USA
<b>Professor Ellis</b>	Wiltshire	English	Humanities & Social Sciences	University of Kent at Canterbury
<b>Professor Eric Jones</b>	O'Brien	Economics & Finance	Law & Management	University of Reading

<b>Professor Lei</b>	Murray	Archaeology	Humanities & Social Sciences	Peking University, Beijing,
<b>Professor Neumark-Sztainer</b>	Wertheim	Psychological Science	Science, Technology & Engineering	University of Minnesota
<b>Professor Ryuta Minami</b>	Carruthers	Theatre & Drama	Humanities & Social Sciences	Aichi University of Education
<b>Professor Robin Williams</b>	Riley	Physics	Science, Technology & Engineering	University of Swansea

**2004**

<b>Professor Ekman</b>	Clarke	Zoology	Science, Technology & Engineering	University of Uppsala, Sweden
	<i>Research Database:</i>	nil		
<b>Dr Miroslav Haviar</b>	Davey	Mathematics	Science, Technology & Engineering	M. Bel University, Slovakia
	<i>Research Database:</i>	2001 50% journal article; 2002 33% journal article; 2004 50% & 20% journal articles; 2005 50% journal article; 2006 2x 33% journal articles; 2008 2x33% & 1x 25% journal articles & 3x funded projects		
<b>Professor Michael Fortescue</b>	Dixon	Research Centre for Linguistic Typology		University of Copenhagen
	<i>Research Database:</i>	2006 100% book		
<b>Professor Demeter Krupka</b>	Prince	Mathematics	Science, Technology & Engineering	Queens University Canada
	<i>Research Database:</i>	nil		
<b>Professor Olga Krupkova</b>	Prince	Mathematics	Science, Technology & Engineering	Charles University, Prague
	<i>Research Database:</i>	2006 2x50% journal articles, 25% conference paper; 2007 100% journal article, 50% journal article; 2008 25% journal article, 50% journal article, 100% & 50% book chapters; 2009 50% journal article, 33% conference paper		
<b>Professor Mark Lester</b>	Dyson	Physics	Science, Technology & Engineering	University of Leicester , UK
	<i>Research Database:</i>	2005 25% journal article, 10% conference paper not refereed; 2006 13% conference paper not refereed, 10% journal article, 13% & 11% conference papers not refereed; 2007 4x17% conference papers not refereed; 2007 17%, 11% & 8% & 6% journal articles; 2007 14% & 12% journal articles		
<b>Professor Marcia Ory</b>	Browning	Public Health	Health Sciences	The Texas A&M University
	<i>Research Database:</i>	nil		
<b>Professor Maurizio Paoletti</b>	Thomson	CESAR	CESAR	University di Bologna
	<i>Research Database:</i>	2008 10% journal article		
<b>Mr Martin Woollacott</b>	Burgess	Media Studies	Humanities & Social Sciences	Guardian News, UK
	<i>Research Database:</i>	nil		
<b>Professor Carol Smart</b>	Professor Moloney	Psychological Health	Science, Technology & Engineering	University of Leeds
	<i>Research Database:</i>	nil		
<b>Professor James Walvin</b>	Assoc. Professor Tyrrell	History	Humanities & Social Sciences	University York, UK
	<i>Research Database:</i>	2005 50% book chapter		

**2005**

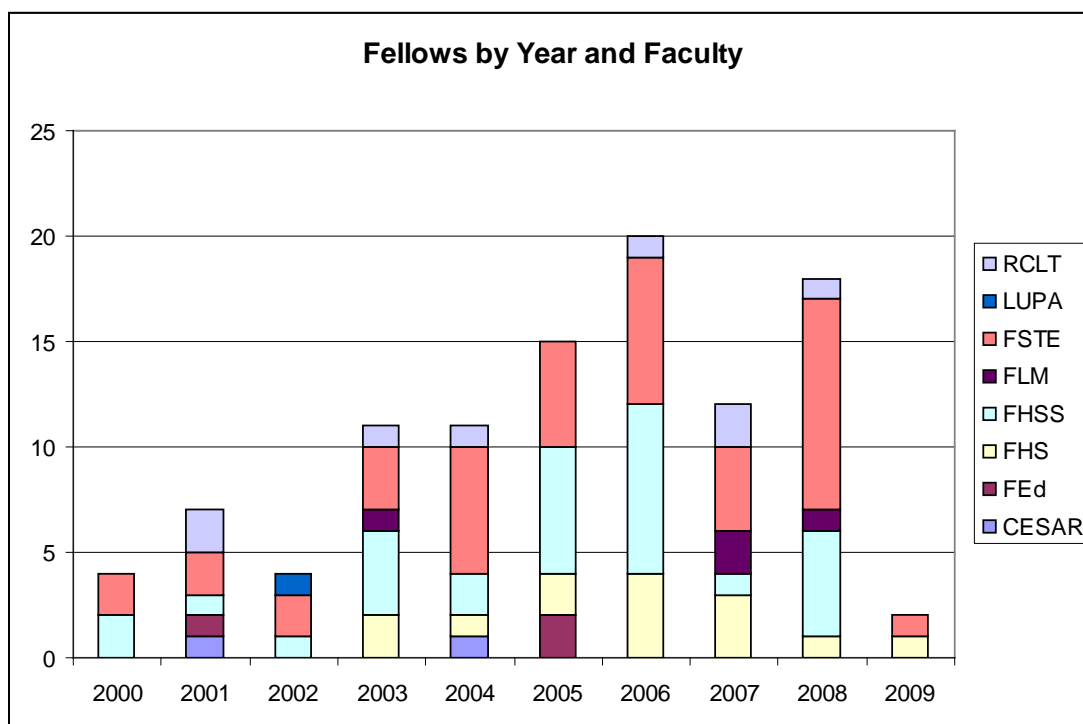
<b>Dr Boria Majumdar</b>	Stoddart	History	Humanities & Social Sciences	University of Calcutta
	<i>Research Database:</i>	2006 100% book; 2007 100% note, 4x50% & 4x100% book, 10x100% 1x50% journal articles, 2x100% notes, 100% book chapter; 2008 2x 100% & 50% edited books, 100% book chapter, 100% journal editorship, 100% & 50% journal article.		

<b>Professor Ruth Beyth-Marom</b>	Crow	Education	Education	Open University of Israel
	<i>Research Database:</i>	2009 33%journal article		
<b>Dr Richard McKnight</b>	Gendall	Botany	Science, Technology & Engineering	Otago University, New Zealand
	<i>Research Database:</i>	nil		
<b>Dr Sandy Oliver</b>	Hill	Public Health	Health Sciences	University of London.
	<i>Research Database:</i>	2001 33% journal article; 2002 25% journal article; 2008 17% report		
<b>Professor Brice-Heath</b>	Grant	Education	Education	Stanford University.
	<i>Research Database:</i>	2001 50% extract of paper		
<b>Professor Peter Fearon</b>	Osborne	History	Humanities & Social Sciences	
	<i>Research Database:</i>	nil		
<b>Professor George Gratzer</b>	Davey	Mathematics	Science, Technology & Engineering	University of Manitoba, Canada
	<i>Research Database:</i>	nil		
<b>Professor Jiang</b>	Liu	Archaeology	Humanities & Social Sciences	Zhejiang Provincial Institute of Relics and Archaeology,
	<i>Research Database:</i>	2005 2x 33% journal articles, 100% book chapter; 2006 50% non refereed article; 2007 50% book chapter; 2008 25% journal article		
<b>Professor Ann Matthysee</b>	Stanisich	Microbiology	Science, Technology & Engineering	University of North Carolina
	<i>Research Database:</i>	2006 25% extract of paper		
<b>Professor Lisa Merrill</b>	Tait	Theatre and Drama	Humanities & Social Sciences	Hofstra University , New York
	<i>Research Database:</i>	nil		
<b>Professor Nakazato</b>	Seth	Politics	Humanities & Social Sciences	
	<i>Research Database:</i>	nil		
<b>Professor Shulamit Ramon</b>	Healy	Mental Health & Social Work	Health Sciences	Anglia Polytechnic University, UK
		2008 33%journal article		
<b>Professor Richard Macknight</b>	Gendall	Biochemistry	Science, Technology & Engineering	University of Otago New Zealand
	<i>Research Database:</i>	nil		
<b>Professor Shott</b>	Frankel	Archaeology	Humanities & Social Sciences	
	<i>Research Database:</i>	nil		
<b>Professor Henry Weiner</b>	Hoogenraad	Biochemistry	Science, Technology & Engineering	Purdue University , Lafayette , Indiana USA
	<i>Research Database:</i>	nil		
<b>2006</b>				
<b>Professor Gerrit Dimmendaal</b>		Research Centre for Linguistic Typology		Institut für Afrikanistik, University of Koln
	<i>Research Database:</i>	2008 50% book chapter – not research		
	<i>Other Publication:</i>	2009 100% edited book; 3x 100% book chapters		
<b>Professor Colin Drury</b>	Macdonald	Ergonomics and Human Factors	Health Sciences	University at Buffalo
	<i>Research Database:</i>	nil		
<b>Dr Pieter Fourie</b>	Altman	Politics	Humanities & Social Sciences	University of Johannesburg, South Africa.
	<i>Research Database:</i>	nil		
<b>Dr Ian Hall</b>		Politics	Humanities & Social Sciences	University of St Andrews, Scotland,
	<i>Research Database:</i>	nil		
<b>Professor Chris</b>	Peele	Physics	Science, Technology	Stony Brook

<b>Jacobsen</b>			& Engineering	University, New York
	<i>Research Database:</i>	nil		
<b>Professor Martin Johnson</b>		Health Sciences	Health Sciences	University of Cambridge, England
	<i>Research Database:</i>	2008 50% journal article; 2002 25% journal article		
<b>Professor Iggy McGovern</b>	Riley	Physics	Science, Technology & Engineering	University of Dublin
	<i>Research Database:</i>	nil		
<b>Professor Jim Mansell</b>		Social Work and Social Policy	Health Sciences	University of Kent, England
	<i>Research Database:</i>	2007 33%M & funded project		
<b>Professor Frank Nijhoff</b>		Mathematics	Science, Technology & Engineering	University of Leeds,
	<i>Research Database:</i>	nil		
<b>Dr John Roberts</b>	Quispel	Mathematics	Science, Technology & Engineering	University of New South Wales
	<i>Research Database:</i>	2001 14% report; 2002 2x 50% journal articles; 2003 50% & 33% journal articles; 2007 50% journal article & 2x funded projects		
<b>Prof George Watson</b>	Freadman	English	Humanities & Social Sciences	University of Aberdeen
	<i>Research Database:</i>	nil		
<b>Professor Andrew Thompson</b>		History	Humanities & Social Sciences	University of Leeds
	<i>Research Database:</i>	2007 4x 50% journal article; 2008 50% book chapter		
<b>Professor Elizabeth Schafer</b>		Theatre and Drama	Humanities & Social Sciences	London University
	<i>Research Database:</i>	2007 50% edited book; 2009 50% journal article & funded project		
<b>Professor Rüdiger Seitz</b>	Carey	Health Sciences	Health Sciences	Heinrich-Heine University, Germany
	<i>Research Database:</i>	2007 25% conference paper; 2009 2x 25% edited volume of conferences papers, 33% journal article		
<b>Professor Peter Thorsness</b>	Ryan	Department of Biochemistry	Science, Technology & Engineering	University of Wyoming
	<i>Research Database:</i>	nil		
<b>Professor Mikhail Volkov</b>	Davey & Jackson	Mathematics	Science, Technology & Engineering	Ural State University, Ekaterinburg, Russia.
	<i>Research Database:</i>	nil		
<b>Professor Hong Xu</b>		Archaeology	Humanities & Social Sciences	Chinese Academy of Social Sciences
	<i>Research Database:</i>	2008 50% journal article		
<b>Professor Liejiong Xu</b>		Linguistics	Humanities & Social Sciences	University of Toronto. USA
	<i>Research Database:</i>	nil		
<b>Professor Naiming Zhang</b>		Agricultural Sciences	Science, Technology & Engineering	Yunnan Agricultural University, China.
	<i>Research Database:</i>	nil		
<b>Professor Chunshen Zhu</b>		Linguistics	Humanities & Social Sciences	City University of Hong Kong
	<i>Research Database:</i>	nil		
<b>2007</b>				
<b>Professor Dorothy Atkinson</b>	Bigby	Social Work & Social Policy	Health Sciences	Open University, London
	<i>Research Database:</i>	nil		
<b>Professor Patricia Bedinger</b>	Anderson	Biochemistry	Science, Technology & Engineering	Colorado State University
	<i>Research Database:</i>	nil		
<b>Dr Lewis Halsey</b>	Frappell	Life Sciences	Science, Technology & Engineering	University of Birmingham
	<i>Research Database:</i>	2007 33% journal article; 2008 25% journal article		

<b>Professor Rogenvaldur Hannesson</b>	Kennedy	Economics and Finance	Law & Management	The Norwegian School of Economics & Business Administration
	<i>Research Database:</i>	2006 50% journal article; 2007 50% journal article		
<b>Professor Eva Holmberg</b>	Oates	Human Communication Sciences	Health Sciences	University Hospital, Stockholm,
	<i>Research Database:</i>	nil		
<b>Professor Yaron Matras</b>	Dixon	Research Centre for Linguistic Typology		University of Manchester
	<i>Research Database:</i>	2008 3x 50% book chapters, 2x 100% book chapter		
<b>Professor Chris Paris</b>	Martin	Centre for Sustainable Regional Community	Law & Management	University of Ulster,
	<i>Research Database:</i>	2009 33% report, 33% journal article		
<b>Professor Charlotte Patterson</b>	Perlesz	Bouverie Centre	Health Sciences	University of Virginia
	<i>Research Database:</i>	nil		
<b>Professor Sumanyu Satpathy</b>	Thomas	English	Humanities & Social Sciences	University of Delhi
	<i>Research Database:</i>	nil		
<b>Professor Ho-min Sohn</b>	Dixon	Research Centre for Linguistic Typology		University of Hawaii
	<i>Research Database:</i>	2009 100%journal article		
<b>2008</b>				
<b>Professor David Clark</b>	Davey	Mathematics	Science, Technology & Engineering	State University of New York
	<i>Research Database:</i>	2208 33% journal article		
<b>Professor E. Gil Clary</b>	Stukas	Psychology	Science, Technology & Engineering	College of St Catherine, St Paul MI
	<i>Research Database:</i>	2002 33% non refereed article; 2007 33%B 33%journal article; 2009 33%B		
<b>Professor Fang Lee Cooke</b>	Rimmer	Business	Law & Management	University of Manchester
	<i>Research Database:</i>	nil		
<b>Professor Debra Franko</b>	Paxton	Psychology	Science, Technology & Engineering	North Eastern University MA
	<i>Research Database:</i>	nil		
<b>Professor Peter Salmon</b>	Farrell	Nursing and Midwifery	Health Sciences	Department of Clinical Psychology, University of Liverpool
	<i>Research Database:</i>	nil		
<b>Professor Masayoshi Shibatani</b>	Aikhenvald	Research Centre for Linguistic Typology		Rice University, Houston Texas
	<i>Research Database:</i>	nil		
<b>Professor Hugh J. Silverman</b>	Brennan	Philosophy	Humanities & Social Sciences	Stony Brook University, NY
	<i>Research Database:</i>	nil		
<b>Dr Katherine Sloman</b>	Frappell	Zoology	Science, Technology & Engineering	University of Plymouth
	<i>Research Database:</i>	nil		
<b>Professor Mark Viney</b>	Foley	Biochemistry	Science, Technology & Engineering	University of Bristol
	<i>Research Database:</i>	2007 50% journal article, 2x25% journal articles		

<b>Professor Alan Wolfe</b>	Ireland	Sociology & ILAS	Humanities & Social Sciences	Boston College
	<i>Research Database:</i>	nil		
<b>2009</b>				
<b>Professor Lisa Harlow</b>	Paxton	Psychology	Science, Technology & Engineering	University of Rhode Island
	<i>Research Database:</i>	nil		
<b>Professor Michael Kosch</b>	Dyson	Physics	Science, Technology & Engineering	Lancaster University
		2007 25%journal article		
<b>Professor Steven Segal</b>	Ryan	Social Work & Social Policy	Health Sciences	University of California
	<i>Research Database:</i>	nil		



Appendix 3**Representative output assessment of Fellowships (2001-2005: this information gathered end 2006)**

Nominator/Nominee	
<p>Professor Aikenvald RCLT for Professor Abbi 2001</p>	<p><b>All work published during and since the visit:</b> 1 manual and 1 paper  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  On-going project 'Areal diffusion and genetic inheritance' under the leadership of Professors Aikenvald and Dixon.  <b>Any initiatives promoted by the visit:</b>  Provided feedback into an important initiative promoted by Professor Krishnamurti's stay at the IAS, a project on 'Fieldwork methodology'.  <b>Any other outcomes you consider worth documenting:</b>  Collaboration with Professor Abbi has involved PhD scholars at RCLT who are currently undertaking linguistic fieldwork in India. The visit has been highly beneficial for establishing contacts and research links in India</p>
<p>Professor Dixon RCLT for Professor Krishnamurti 2001</p>	<p><b>All work published during and since the visit:</b> Monograph, two papers and 2 articles  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  Ongoing work on distinguishing between areally diffused and genetically inherited features of languages all over the world.  Active in workshop on Adjective Classes  <b>Any initiatives promoted by the visit:</b>  Joint work on the project on the impact of language contact on languages of different types.  <b>Any other outcomes you consider worth documenting:</b>  One ground-breaking contribution 'Fieldwork on Konda, a Dravidian language. The volume will appear in early 2007. It is anticipated that this volume, and especially Professor Krishnamurti's contribution to it, will have a lasting effect on the field.</p>
<p>Professor Quispel Mathematics for Professor Mansfield 2002</p>	<p><b>All work published during and since the visit:</b> 1 publication  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  Returned to LaTrobe to participate in a Mathematical conference in 2003  <b>Any other outcomes you consider worth documenting:</b>  Professor Mansfield is a Partner Investigator on our current ARC Discovery Project on Geometric Integration (2005-2007)  The Department of Mathematics considers the IAS Fellowship Scheme as extremely valuable and fruitful, and recommend that it be expanded if at all possible.</p>

<p>Professor Stephenson Zoology for Professor Nielsen 2002</p>	<p><b>All work published during and since the visit:</b> 5 joint papers published  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  Results from the collaboration between the laboratory at La Trobe University and the laboratory at the University of Aarhus in Denmark were also communicated at international meetings in Australia, UK and USA.  <b>Any initiatives promoted by the visit:</b>  Mr Will Macdonald, who completed his PhD with Professor Stephenson in 2004 is now working as a postdoctoral fellow in Professor Nielsen's laboratory.  <b>Any other outcomes you consider worth documenting:</b>  This experience greatly benefited both La Trobe University and the University of Aarhus. Professor Stephenson expresses his unwavering support for the continuation of the IAS Distinguished Fellowship Scheme.</p>
<p>Professor Lin Public Health for Dr Bloom 2003</p>	<p><b>All work published during and since the visit:</b> 2 publications  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  He was involved in many seminars and lectures. Research conference, co-sponsored by the School, on equity and health reforms. Discussions with academic staff associated with the China Health Program and staff at the Australian International Health Institute on a number of international health projects.  <b>Any initiatives promoted by the visit:</b>  Writing a book on health policy in China. This will involve several people from his institute (Institute of Development Studies) as well as our partner universities in China (Peking University and Harbin Medical University)  <b>Any other outcomes you consider worth documenting:</b>  A small grant as been received to assist with an authors' workshop in China during the first half of this year, and the aim is to have a final authors' workshop at La Trobe late in the year.</p>
<p>Dr Kent Psychological Science for Professor Drugan 2003</p>	<p><b>All work published during and since the visit:</b> 2 joint papers published  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  Working jointly on a manuscript.  <b>Any initiatives promoted by the visit:</b>  Initiated an on-going collaboration between our research groups such that Dr Kent will be spending part of my OSP working in Professor Drugan's laboratory at the University of New Hampshire  <b>Any other outcomes you consider worth documenting:</b>  Additional contributions made to the School by assisting in the supervision of research students.</p>

<p>Professor Wiltshire English for Professor Ellis 2003</p>	<p><b>All work published during and since the visit:</b> 1 book published  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  Laid the ground work for an important contribution to the prestigious journal Essays in Criticism on the recent biography of Shakespeare by Stephen Greenblatt.  <b>Any initiatives promoted by the visit:</b>  Emeritus Professor of English, Derick Marsh, is as a result of Professor Ellis visit, working on a book on Cleopatra in the Helm Information series.  <b>Any other outcomes you consider worth documenting:</b>  Autobiographical and Biographical studies are increasingly important in the English Program's range of subjects. Professor Ellis's presence made a significant contribution to the Program, and to the Unit for the Study of Autobiography and Biography's standing as Australia's key centre for biographical theory.</p>
<p>Professor Dixon RCLT for Dr Heine 2003</p>	<p><b>All work published during and since the visit:</b> 7 publications  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  'Areal diffusion and genetic inheritance'  <b>Any initiatives promoted by the visit:</b>  Developed plans for establishing an official agreement concerning further scientific exchange and collaboration I the areas of linguistic typology, language contact and African languages.  <b>Any other outcomes you consider worth documenting:</b>  Advanced joint ventures with other linguists at the University of Cologne</p>
<p>Professor Wertheim Psychological Science for Professor Neiumark-Sztainer 2003</p>	<p><b>All work published during and since the visit:</b> 6 joint publications  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  Ongoing collaborations between La Trobe University staff and Dr Neumark-Sztainer.  <b>Any initiatives promoted by the visit:</b>  Ground work was laid for a manuscript reviewing the eating disorder prevention field entitled, "Prevention of Disordered Eating and Body dissatisfaction: What Next?"  <b>Any other outcomes you consider worth documenting:</b>  This visit laid the foundation for Professor Paxton to visit the University of Minnesota for her sabbatical. It was a most productive time resulting in two publications in press and three under review. This collaboration testifies to a genuine working relationship which is likely to be valuable in joint grants.</p>

<p>Professor Reilly Human Communication Science for Dr Sell 2003</p>	<p><b>All work published during and since the visit:</b> 2 joint publications  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>          Professor Reilly and Dr Sell's collaborations have led to some joint research grants such as: ACTION Research – UK. An investigation of the effects of pre-surgical orthodontics (baby plates) on feeding and speech outcomes in children with cleft lip and/or palate: an extension.  <b>Any initiatives promoted by the visit:</b>          Increased interaction between Dr Sell's centre in London and Prof Reilly's research unit.  <b>Any other outcomes you consider worth documenting:</b>          Continuing to experience the benefits which were extensive and include both the clinical, research and student education domains.</p>
<p>Professor Clarke for Professor Ekman 2004</p>	<p><b>All work published during and since the visit:</b> 2 publications  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>          Participated in on-going field-based research and participated in discussions with post-docs and postgraduate students on the theory and practice of investigating the evolution of cooperation.  <b>Any other outcomes you consider worth documenting:</b>          Prof Ekman assisted in clarifying a major research question on the impact of fire on fauna in mallee communities. Subsequently a methodology has been developed to tackle this question and have attracted over \$1.2 million in funding for external agencies over the coming three years.</p>
<p>Professor Dixon RCLT for Professor Fortescue</p>	<p><b>All work published during and since the visit:</b> 1 Paper and 1 book  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>          Comparative Chukotko-Kamchatkan Dictionary          Active part in the Workshop on Imperatives and other commans conducted in RCLT throughout 2003  <b>Any initiatives promoted by the visit:</b>          Joint work on the project on the impact of language contact on languages of different types, and various typological projects.  <b>Any other outcomes you consider worth documenting:</b>          Fortified links with Scandinavian linguistics community and visits of other scholars from Scandinavian countries.</p>

<p>Dr Davey Mathematics for Dr Haviar 2004</p>	<p><b>All work published during and since the visit:</b> 3 publications  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  A new project "A natural approach to canonical extensions."  <b>Any initiatives promoted by the visit:</b>  The original project of Dr Haviar's fellowship is still in progress with each advance leading to further questions. After a visit to our research group Dr Ross Willard (University of Waterloo) has joined this project.  <b>Any other outcomes you consider worth documenting:</b>  Led to further ongoing collaboration with two members spending 2 weeks visiting Dr Haviar in Slovakia.  As a result of these visits, Dr Davey has commenced a new project (as stated above).</p>
<p>Professor Prince Mathematics for Professor Krupa 2004</p>	<p><b>All work published during and since the visit:</b> 4 joint papers published  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  Professors Krupka and Krupkova's tenure coincided with a shorter visit of Professor Willy Sarlet of the University of Ghent, and all four people have opened another productive line of investigation.  <b>Any initiatives promoted by the visit:</b>  Professor Prince has been invited to spend a portion of his sabbatical at their home institution in the Czech Republic to continue joint work.  <b>Any other outcomes you consider worth documenting:</b>  Professor Krupka and Krupkova are prolific researchers and during their stay in 2004 maintained their collaborations on at least 2 other continents. All the papers which have resulted from this work bear the University's address and grateful acknowledgement of both the IAS and the Department.</p>
<p>Professor Prince Mathematics for Professor Krupkova 2004</p>	<p><b>All work published during and since the visit:</b> 3 joint papers published  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  Professors Krupka and Krupkova's tenure coincided with a shorter visit of Professor Willy Sarlet of the University of Ghent, and all four people have opened another productive line of investigation.  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  Professor Prince has been invited to spend a portion of his sabbatical at their home institution in the Czech Republic to continue joint work.  <b>Any initiatives promoted by the visit:</b>  Professor Prince has been invited to spend a portion of his sabbatical at their home institution in the Czech Republic to continue joint work.  <b>Any other outcomes you consider worth documenting:</b>  Professor Krupka and Krupkova are prolific researchers and during their stay in 2004 maintained their collaborations on at least 2 other continents. All the papers which have resulted from this work bear the University's address and grateful acknowledgement of both the IAS and the Department.</p>

Professor Dyson Physics for Professor Lester 2004	<p><b>All work published during and since the visit:</b> 2 publications</p> <p><b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b> As well as the studies reported in publications, a new collaborative study on “auroral westward flow channels”, a phenomenon previously discovered in TIGER radar observations, was initiated during a visit by Dr Parkinson from La Trobe University to Leicester.</p> <p><b>Any initiatives promoted by the visit:</b> Stimulated developments in technical collaboration between La Trobe University and Leicester University</p> <p><b>Any other outcomes you consider worth documenting:</b> Led to a successful bid to the SuperDARN? PIs by Professor Dyson, on behalf of the TIGER Consortium of universities and government departments, to hold the 2008 Super DARN Workshop in Australia.</p>
Assoc. Professor Tyrrell History for Professor Walvin 2004	<p><b>All work published during and since the visit:</b> 1 joint papers and 1 joint chapter of a book published</p> <p><b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b> Provided a basis for the public history exhibition which he is now preparing at Westminster in connection with the 2007 commemoration of the ending of the British slave trade.</p> <p><b>Any initiatives promoted by the visit:</b> Professor Tyrrell will be involved in a workshop at the Huntington Library which Professor Walvin is organising.</p> <p><b>Any other outcomes you consider worth documenting:</b> Contact with colleagues at York who were most helpful in advising about the availability of a crucially important French source.</p>
Mr Burgess Media Studies for Mr Woollacott 2004	<p><b>All work published during and since the visit:</b> One paper which was presented in Prato, Italy.</p> <p><b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b> Amended and improved version of his 2005 IAS presentation as a chapter of a book. The book project is still in progress.</p> <p><b>Any initiatives promoted by the visit:</b> Incorporate some of his ideas in new subject or in updates to existing subjects.</p> <p><b>Any other outcomes you consider worth documenting:</b> A return visit to run some Master classes in journalism.</p>
Dr Grant Education for Professor Brice-Heath 2005	<p><b>All work published during and since the visit:</b> 10 publications</p> <p><b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b> Lecture presentations were videotaped and partly transcribed, thereby providing rich documentation of the subject and a possible future resource. To maximise reflective learning from Professor Heath;s contribution a research proposal was submitted for an ‘Expert-in-residence’ project.</p> <p><b>Any initiatives promoted by the visit:</b></p>

	<p>Involved in two big grant applications currently going forward to the Australian Research Council – one on Aboriginal language policies with adolescents.</p> <p><b>Any other outcomes you consider worth documenting:</b></p> <p>Two funded research projects (one by an early career researcher, the other documenting Shirley Brice Heath's guest teaching in a postgraduate course).</p>
Professor Osborne History for Professor Fearon 2005	<p>Delivered the 2005 Bailyn Lecture and as a leading historian in his field, his presence at the Institute for Advanced Study will undoubtedly have enhanced the already strong reputation of this invitation.</p> <p><b>Any other outcomes you consider worth documenting:</b></p> <p>Promoted a strong link the university has with the University of Leicester, as partner in the International Network of Universities.</p>
Dr Davey Mathematics for Professor Gratzner 2005	<p><b>All work published during and since the visit:</b> 1 publication</p> <p><b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b></p> <p>Rather than focusing on research, the focus was on learning from a master.</p> <p><b>Any initiatives promoted by the visit:</b></p> <p>Professor Gratzner is now working on the fourth edition of his well-known text Math into LaTeX. Following on from technical discussions during his visit, he is now consulting with Dr Davey on several new chapters for the text.</p> <p><b>Any other outcomes you consider worth documenting:</b></p> <p>Led to an invitation to Dr Davey to be a plenary speaker at a conference in Budapest. Dr Davey was the only one of Professor Gratzner's former PhD students to be so invited.</p>
Dr Liu Archaeology for Professor Jiang 2005	<p><b>All work published during and since the visit:</b> 2 publications</p> <p><b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b></p> <p>Project on buffalo is still ongoing</p> <p><b>Any initiatives promoted by the visit:</b></p> <p>Further research and writing on the subject will be carried out in the coming years.</p> <p><b>Any other outcomes you consider worth documenting:</b></p> <p>ARC Discovery grant proposal to continue the buffalo project.</p>
Professor Stoddart History for Dr Majumdar 2005	<p><b>All work published during and since the visit:</b> 2 books have been published</p> <p><b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b></p> <p>Book – “An Academic History of Indian Football”</p> <p>Joint project - finalising a collection of essays to appear in a publication later this year (2006)</p> <p><b>Any initiatives promoted by the visit:</b></p> <p>Continuing to investigate the possibilities of a joint India/Australia research project</p> <p><b>Any other outcomes you consider worth documenting:</b></p> <p>The visit was part of a wider project to create closer academic relations between La Trobe and the University of Calcutta.</p>

<p>Dr Seth Politics for Professor Nakazato 2005</p>	<p><b>All work published during and since the visit:</b> None  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  Principally worked on a book manuscript on Hindu Muslim relations in Bengal during the 1940s.  Wrote a seminar paper which was presented to Professor Jeffrey and Dr Seth for comment. Professor Nakazato also met regularly for discussions on overlapping intellectual projects.  <b>Any initiatives promoted by the visit:</b>  Discussion on ways of continuing collaboration between Dr Seth and Professor Nakazato.  <b>Any other outcomes you consider worth documenting:</b>  It was indicated that staff of La Trobe working on Asian topics would be welcome to seek affiliation at Professor Nakazato's Institute of Oriental Culture (University of Tokyo)</p>
<p>Dr Hill Public Health for Dr Oliver 2005</p>	<p><b>All work published during and since the visit:</b> Two papers  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  Formal evaluation of consumer peer referees which are used for research teams.  Feedback on a paper.  <b>Any initiatives promoted by the visit:</b>  Contacts and information important for other funding applications.  <b>Any other outcomes you consider worth documenting:</b>  Extremely useful in terms of intellectual input, academic outputs and future projects.</p>
<p>Professor Hoogenraad Biochemistry for Professor Weiner 2005</p>	<p><b>All work published during and since the visit:</b> 2 papers published  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  To make a beginning to a book on the Chemical Basis of Metabolism and to collaborate with members of the Department in the area of protein targeting to mitochondria in mammalian cells.  <b>Any initiatives promoted by the visit:</b>  Put forward a proposal for a collaborative project that might lead to funding by the US National Institutes of Health.  <b>Any other outcomes you consider worth documenting:</b>  Due to illness Professor Weiner has been unable to progress further on his book.</p>
<p>Professor Tait Theatre and Drama for Professor Merrill 2005</p>	<p><b>All work published during and since the visit:</b> None to date  <b>Research projects done in collaboration with the Fellow, or initiated since the visit:</b>  Research and writing for her next book. Consultation with postgraduate students.  <b>Any initiatives promoted by the visit:</b>  First year students were given a new choice of essay topic based on her book and some of these essays achieved a very high standard. Therefore it has remained part of the unit in 2007  <b>Any other outcomes you consider worth documenting:</b>  Development by Professor Tait in an investigation of Australianness in relation to circus performance internationally, provided ground work for Professor Merrill's recent ARC Discovery application "Circus Performances and Geographies"</p>

**Appendix 4**  
**Write-up Awards 2005-2009**

<b>Round</b>	<b>Name</b>	<b>School / Programme</b>	<b>Faculty</b>	<b>LTU Research database - entries after award</b>
Sep-05	Cathy Faulkner	Psychological Science	Science, Technology & Engineering	2008 25% journal article; 2009 33% journal article, 33% book chapter
Sep-05	Chris van der Poel	Life Science	Health Sciences	2008 50%, 33% & 25% journal articles; 2009 2x25% journal articles;
Dec-05	Joanne Faulkner	Philosophy	Humanities & Social Sciences	2008 100% book chapter 100% journal article
Mar-06	Katie Trusewicz	Psychological Science	Science, Technology & Engineering	nil
Jun-06	Hui Huang	Education	Education	nil
Jun-06	Dianne Duncombe	Psychological Science	Science, Technology & Engineering	2007 17% journal article; 2008 50% revised book; 2009 25% journal article
Sep-06	Linji Manyozo	Media Studies	Humanities & Social Sciences	nil
Sep-06	Jaipal Singh	Computer Science & Computer Engineering	Science, Technology & Engineering	2007 33% journal article, 33% conference paper
Sep-06	Chen-ving Su	Nursing & Midwifery	Health Sciences	nil
Dec-06	Beth Zielinski	Education	Education	2007 100% journal article
Dec-06	Sarah Frankland	Biochemistry	Science, Technology & Engineering	2007 9% journal article; 2008 9% & 2x14% journal articles; 2009 14% journal article; and a research project
Dec-06	Damian Spencer	Biochemistry	Science, Technology & Engineering	2009 12% journal article
Jun-07	Rebecca McIntosh	Life Science	Science, Technology & Engineering	2008 50% journal article; and 3 research projects
Jun-07	Yi-Chen Lin	Nursing & Midwifery	Science, Technology & Engineering	nil
Sep-07	Ben Evison	Molecular Science	Science, Technology & Engineering	2008 20% journal article; 2009 20% journal article
Sep-07	Mark Post	Research Centre for Linguistic Typology		2008 100% journal article; 2009 100% & 33% journal articles, 3x100% & 50% conference paper
Sep-07	Susanna Venn	Life Science	Science, Technology & Engineering	2008 100% journal article; 5 research projects
Dec-07	Peter Gerrand	History & European Studies	Humanities & Social Sciences	nil (but one publication the year before the award)
Mar-08	Supakit Achiwawanich	Physics	Science, Technology & Engineering	2009 33% journal article
Mar-08	Peter Biro	Archaeology	Humanities & Social Sciences	2009 100% journal article
Sep-08	Zuleika Arashiro	Social Sciences	Humanities & Social Sciences	nil (but one publication in the year of the award)
Sep-08	Lisa Francione	Life Science	Science, Technology & Engineering	nil (but 3 publications in the year of the award)

Sep-08	Gerhard Hoffstaedter	Social Sciences	Humanities & Social Sciences	2009 100% journal article
Sep-08	Lyndsey Watson	Mother & Child Health	Health Sciences	LTU employee: 7 projects and 6 publications
Sep-08	Laura-Irina Rusu	Computer Science & Computer Engineering	Science, Technology & Engineering	2009 2x 33% conference papers
Dec-08	Sarah Andrewartha	Life Science	Science, Technology & Engineering	nil
Dec-08	Sarah Schroeder	Molecular Science	Science, Technology & Engineering	2009 14% & 33% journal articles
Dec-08	Lisa Jacobson	Communication Arts & Critical Enquiry	Humanities & Social Sciences	nil (but one publication in the year of the award)
Dec-08	Dang Thanh Vu	Agricultural Sciences	Science, Technology & Engineering	nil (but 3 publications before the award)
Mar-09	David Azul	Communication Arts & Critical Enquiry	Humanities & Social Sciences	
Mar-09	Sean Cowlshaw	Psychological Science	Science, Technology & Engineering	
Mar-09	Oula Mansour	Molecular Science	Science, Technology & Engineering	
Jun-09	Sophie Couchman	Social Sciences	Humanities & Social Sciences	
Jun-09	Annie Delaney	Law & Management	Law & Management	
Jun-09	Kelly Grant	History & European Studies	Humanities & Social Sciences	
Jun-09	Trung Thanh Le	Electronic Engineering	Science, Technology & Engineering	
Jun-09	Sunny Oliver-Bennetts	Management	Law & Management	
Jun-09	Andrew Walter	Physics	Science, Technology & Engineering	

**Appendix 5**  
**Accounts 2006-2008**

**IAS Accounts**

*all funds*

	<b>2006</b>		<b>2007</b>		<b>2008</b>	
	<b>Actual</b>	<b>Budget</b>	<b>Actual</b>	<b>Budget</b>	<b>Actual</b>	<b>Budget</b>
<b>Revenue</b>						
Trading revenue	147,222	88,000	122,938	111,000	24,867	35,000
Total other revenue	440,517	450,000	428,977	452,516	480,855	458,000
Total Revenue	<b>587,739</b>	<b>538,000</b>	<b>551,915</b>	<b>563,516</b>	<b>505,722</b>	<b>493,000</b>
<b>Expenses</b>						
Cont & Fixed	235,611	230,637	307,163	257,856	286,437	264,535
Casual salaries	7,396	3,000	6,550	5,500	14,591	21,000
Other HR System payroll	21,546	35,963	24,994	0	100,877	0
Other non-HR system gen payr	1,122		1,278	31,000	54,902	38,000
Total HR	<b>265,675</b>	<b>269,600</b>	<b>339,985</b>	<b>294,356</b>	<b>347,003</b>	<b>323,535</b>
Materials equipment & buildings	22,164	6,500	16,729	18,000	6,007	10,465
General operating costs	160,916	142,400	119,107	165,350	138,412	151,500
Repairs & Maintenance	10,793	9,500	6,550	6,500	1,465	500
General occupancy	25,403	23,100	22,135	29,800	488	3,000
other expenses	63,381	8,500	5,583	10,000	25,500	4,000
Transfers and extraordinary Items		48,000		47,500		
Total other expenses	<b>282,657</b>	<b>238,000</b>	<b>170,104</b>	<b>277,150</b>	<b>120,872</b>	<b>169,465</b>
total expenses	<b>548,332</b>	<b>507,600</b>	<b>510,089</b>	<b>571,506</b>	<b>467,875</b>	<b>493,000</b>
Gain/loss	<b>39,407</b>	<b>30,400</b>	<b>41,826</b>	<b>7,990</b>	<b>37,847</b>	<b>0</b>

**Appendix 6**  
**Review Panel membership**

Dr Graham Mitchell, Principal, Foursight Associates Pty Ltd, Melbourne  
 (Chair)  
 Prof Dennis Altman, Director, Institute for Human Security, LTU  
 Prof Nick Hoogenraad, Head, School of Molecular Sciences, LTU  
 Prof Susan McDonald, Professor of Midwifery, La Trobe University/Mercy  
 Hospital for Women Victoria  
 Prof Terri-ann White, Director, UWA Institute of Advanced Studies, Perth  
 Executive officer: Mr Roger Palmer, LTU Research Services Office and IAS.

Appendix 7**Review process, submissions, interviews and documents provided**

The Review of the IAS has been coordinated by the DVC Research Prof Tim Brown. It was first mooted in late 2008 and, following formulation of the Terms of Reference, appointment of the Review Panel members and a dedicated Executive Officer (Mr Roger Palmer), a call for submissions across the University was made in May 2009. Although the period for making submissions to the panel was short, the existence of the Review has been widely known across the University for many months. The panel determined that the number of submissions received and targeted interviews conducted provided an appropriate range of views of, and future options for, the IAS.

Interviews: Monday 6<sup>th</sup> July – La Trobe University

900	Prof Tim Brown, DVC (Research). Chairman of the Board of Management
1000	Prof Alan Frost, former Director, IAS
1100	Prof Michael Kosch, current Fellow (Physics)
1130	Prof Peter Dyson, Physics. Member of the Board of Management
1200	Prof Marilyn Lake, Humanities and Social Sciences
1400	Dr Geoff Prince, Head, Department of Mathematics and Statistics
1430	Prof Robert Manne, Politics. Member of the Board of Management
1500	Prof Belinda Probert, DVC (Academic)
[1530	Tour of the IAS facilities and presentation by Review Panel member Prof Terri-ann White of UWA's IAS]
1600	Mr Tony Inglis, Director, Infrastructure and Operations, Building and Grounds Division LTU.

Submissions

- Prof Alan Frost, former Director, IAS (attached)
- Dr Geoff Prince, "statement from the Head of Department of Mathematics and Statistics"
- Prof Brian Davey, Mathematics
- Prof Phil Broadbridge, Head of School, on behalf of the School of Engineering and Mathematical Sciences
- Prof Peter Dyson, Department of Physics
- Prof Paul Pigram, Head of Department, on behalf of the Department of Physics
- Profs Hal Swerssen (Dean) and Annette Street (Associate Dean, Research), on behalf of the Faculty of Health Sciences
- Prof Leanne Tilley, Department of Biochemistry on behalf of the Department
- Assoc Prof Stephen Kent, School of Psychological Science on behalf of the School
- Prof Judith Brett, School of Social Sciences
- Prof Christine Bigby, School of Social Work and Social Policy
- Dr Jill Murray, Faculty of Law and Management
- Emeritus Prof Terry Mills, LTU Department of Mathematics and Statistics (Bendigo)

### Documents provided

- Annual Reports 2001 to 2007
- “Institute for Advanced Study: from vision to reality”. G Leder, September 1, 1998 (attached)
- Consolidated list of IAS Fellows 2000-2009 (see Appendix 2)
- Consolidated list of Write-up Awards 2005-2009 (see Appendix 4)
- Fellowship reports
- Accounts 2006-2008 (see Appendix 5)
- Institute of Advanced Studies, University of Western Australia Report 2000-2005 (by T-A White)
- Institute of Advanced Studies, University of Western Australia Report 2006-2008 (by T-A White).

### Document of Prof Gilah Leder (1998)

#### **INSTITUTE FOR ADVANCED STUDY** *from vision to reality*

*It is the policy of the University to set its research standards at the highest international levels. The University recognizes that, without prejudice to the importance of pure research, it has a responsibility to meet the needs of the Australian community. (A University for the 21<sup>st</sup> Century, Draft, p. 32)*

The establishment of the Kingsbury Centre as an Institute for Advanced Study represents an important initiative, and a unique opportunity, to enhance the University's international research profile still further. I have set out below a number of considerations which, I believe, should guide the development of the Institute in its mission of advancing research and learning at the highest levels. In devising this outline I have been heavily influenced by the structure and conventions of the Institute for Advanced Study at Princeton. At the same time I am acutely aware that, for the Institute to be established successfully at La Trobe University, careful consideration must be given to local resources as well as to the University's unique context and character.

#### **Developing The Institute For Advanced Study**

- The overall aim of the Institute is to bring together outstanding scholars - individuals at the cutting edge of research and leaders in their discipline.
- An important aim of the Institute is to foster research activities that otherwise might not take place.
- Through its facilitation of sustained interactions between international and local scholars the Institute will contribute to the scholarly endeavours and the vigour of academic life at La Trobe University and in Australia more generally.
- The structure of the Institute of Advanced Study should be consistent with the La Trobe University *Guidelines for the establishment and operation of University Research Centres and Institutes*, where appropriate. However, the Institute of Advanced Study will differ in a number of critical ways from Research Centres and Institutes currently established at La Trobe University and described in the *Guidelines*. The latter are typically incorporated in a Faculty and the responsibility for their financial operation rests with the Dean of that Faculty. Their primary aim is to “to co-ordinate the research interests of academic staff, to stimulate research on a multi-disciplinary basis and consequently to attract research students” (pp. 2-3). In contrast, the new Institute will not have research degree programs nor will it need to focus specifically on the research interests of existing staff. Its purpose is to foster a climate for academic endeavour and excellence. Financially it will be an independent unit, not reliant on the budget or exigencies of a Faculty.
- Responsibility for the day-to-day running of the Institute will rest with the Director in conjunction with a Board of Management. A Board of Trustees, comprising academic and business elite, will be established and will determine the long term strategy for the Institute. The Institute will be given appropriate support facilities.
- Eligibility for a Fellowship at the Institute of Advanced Study is limited to the disciplines represented at La Trobe University.
- The Institute will aim to attract the best scholars world wide<sup>1</sup>. Both senior and junior researchers will be sought. However, the latter should be engaged in research beyond the subject of their doctoral dissertation. Thus the Fellowships are designed to attract and support those with demonstrated accomplishments of high quality as well as researchers of exceptional promise.

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<sup>1</sup> Staff from La Trobe University will be eligible to apply for an Institute Fellowship under the same conditions imposed on those outside the university

- Residency in the Kingsbury Centre<sup>2</sup> is a requirement during the term of the Fellowship. (The University is committed to an appropriate, purpose driven, redevelopment of the Kingsbury Centre.)
- All Fellows to the Institute will have an office and will have access to the facilities (library, laboratories, computing resources, ...) of La Trobe University. Fellows in clinical or laboratory based subjects will use the existing facilities in the most relevant La Trobe University department or school.
- Scholars who come as Fellows to the Institute will work under optimal conditions. They will be free from the normal teaching obligations and administrative duties. The pursuit of their own research is the primary obligation imposed on visiting Fellows.
- They will also be required to interact with other scholars, to participate in seminars and relevant meetings within the Institute and within La Trobe University more generally.
- Fellowships will range from two to 12 months.<sup>3</sup>
- In the first instance, Fellowships will be by invitation. As the reputation of the Institute becomes established, Fellowships will increasingly be allocated by application.<sup>4</sup>
- Fellows will receive reimbursement of travel costs. Accommodation at the Kingston Centre will be offered free of charge. The provision of further financial assistance will depend on obtaining sponsorship from, for example, individuals, industry, Trusts, Foundations, government and private bodies and bequests<sup>5</sup>.
- As an independent entity, the Institute of Advanced Study is uniquely placed to offer commercial and other donors innovative forms of recognition and reward.
- The number of Fellowships to be awarded in the first years, and the minimum number to be in residence at any one time, should be given careful consideration. It seems most appropriate to aim for a mixture of Senior and Junior Fellowships, the length of whose stay will vary to ensure that several Fellows are in residence at any one time.
- The number of Fellowships should be increased, as resources permit.
- To increase the Institute's visibility and establish its reputation as a leading research centre as quickly as possible, serious consideration should be given to other activities, for example:
  - A Summer Residency Program which allows outstanding researchers who have not previously worked together to spend one to three weeks exploring new research directions in their common field
  - A residential "workshop" which allows a small number of promising doctoral and post-doctoral applicants to work closely, for one week, with an outstanding researcher. (The Hebrew University of Jerusalem mounts several seasonal Symposia typically led by a Nobel prize winner or scholar of comparable distinction)
  - An intensive series of seminars on a common theme, presented over a short period, by internationally renowned scholars

The feasibility of these and similar ventures will again depend on the level of sponsorship able to be attracted for such events.

### Final Comments

The above outline for the Institute of Advanced Study is a working draft to be refined and extended over the coming months, in conjunction at first with the sub-committee of the University Development Committee appointed for that purpose and subsequently with the Board of Trustees.

Given the current financial stringencies imposed on universities, significant sponsorship needs to be attracted if vision is to be translated into reality. The seeking out of such sponsorship is a major task to be pursued. Early and significant success will provide a strong foundation upon which the future of the Institute depends. The Institute has the potential to enhance the academic standing and reputation of La Trobe University into the next Millennium.

<sup>2</sup> Although at this stage I favour limiting the Institute to residential Fellows it may be appropriate to consider as well Visiting Fellows without residential rights

<sup>3</sup> It may be appropriate to set different lengths of stay for Senior and Junior Fellows

<sup>4</sup> Precise eligibility and selection criteria need to be established. Guidelines used in the University for selection for highly competitive programs will serve as a useful model

<sup>5</sup> If possible, limited further financial assistance should be given to Junior Fellows and to Senior Fellows on a "needs" basis. Junior Fellows should be encouraged to apply for grant support from other sources; Senior Fellows to draw on sabbatical salaries. The level of funding to be contributed by the University has not yet been decided. Serious consideration should be given to channeling the University's current contribution to the Rio Tinto - La Trobe University Distinguished Visiting Fellowship scheme towards activities of the Institute of Advanced Study

## Submission from Director IAS

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### 1. The Institute for Advanced Study

- 1.1.1 The Institute for Advanced Study began in 2000, with buildings on the old Kingsbury Centre site being refurbished to provide offices, halls, meeting rooms and accommodation. (Eventually, the Institute came to comprise 15 offices, 2 halls, 1 large and 2 small kitchens and a number of storerooms; with 6 apartments adjacent, comprising La Trobe House.)

### 2. Staff

- 2.1 The Institute's permanent staff comprises:

a Director, who is a professor of the University, and whose position is a 50% one;  
an Administrative Officer, whose position is full-time.  
(This will change in 2009.)

- 2.2 In addition, a number of persons are employed on a casual basis, as need arises. (This employment pertains mostly to the use of the Institute's facilities, but also comprehends times when the Executive Officer is absent.)

### 3. Funding

- 3.1 The Institute's principal funding is from the DEST operating grant.

In addition, it received some \$50,000 per year from an investment account intended to support the VIP programme. Prior to 2008, the PWA programme was funded partly from revenue received from renting the apartments at times when they were not required for Fellows. In 2008, on control of these units being transferred to the La Trobe Housing Company, the Company made a transfer to provide continued support for this programme. This arrangement will need to be revised for future years. The Institute also derives some income from the hiring of its facilities to organization within and without the University.

### 4. IAS Programmes

The Institute offers three programmes.

- 4.1 **Visiting Fellowships.** These are offered to scholars to facilitate visits for between and six months. They are offered at two levels:

4.1.1 **Distinguished Visiting Fellowship.** which provides a return economy class airfare and accommodation.

4.1.2 **Visiting Fellowship.** which provides a return economy class airfare.

- 4.2 **VIP Fellowships.** These support short-term visits (up to thirty days) by exceptionally distinguished persons; and may include airfares, accommodation and an **honorarium**.

- 4.3 **Postgraduate Writing-up Awards.** These are offered to PhD candidates who are awaiting the results of examination of their theses. They provide a stipend for eight weeks. They are offered four times through the year.

Recipients of these awards are provided with office accommodation, a computer and telephone, and have access to copying facilities and the University network with its associated technical support.

The number of people holding awards in the Institute at any one time is constrained by available funding and offices. A usual mix is to have 6-8 Fellows and 2-3 Postgraduate students.

### 5. The Fellowship Programme

The first Fellows took up residence towards the end of 2000; and since that time the Institute has hosted some 100 persons. Their expertise has been spread over most of the disciplines represented in the University.

If we look at those people whom we have hosted in 2008, for example, they have been in the fields of:

English	1	Physics	2
Philosophy	2	Business Studies	2
Health Sciences	1	Biological Sciences	2
Mathematics	2	Neuropsychology	1
Linguistics	2	Anthropology	1
Psychology	3		

And they have come from the United Kingdom, Germany, Canada, the United States, Canada and the West Indies.

It is therefore evident that the Institute has both 1) been able to attract leading researchers from about the world; and 2) spread the fellowships over the broad range of disciplines represented within the University. The reports presented by these researchers at the conclusion of their fellowships indicate that they have valued the time spend at the Institute.

### 6. The Postgraduate Writing-up Awards

In 2008, we have made awards, in the fields of:

Computer Science	1	Health Science	1
History	1	Life Sciences	1
Physics	1	Politics	2

## 7. Suggested developments or changes of direction for the IAS

### 7.1: The Fellowship Programme

Hitherto, the Fellows have been chosen as individuals, and while they have of course worked with those members of the University in their discipline, and interacted on a personal basis with other Fellows, they have not been part of a concerted programme at the Institute.

When I took up the Directorship in mid-2007, I proposed that the Institute should adopt a theme for each year, and that a number of Fellowships should be given in the areas comprehended by the theme. Unfortunately, because of severe funding cutbacks, I was not able to initiate this step in 2008.

Nonetheless, I think that such a step would give greater coherence to the research activity of the Institute, and also raise its profile among the research community and the public.

### 7.2 The Institute's sociability

A repeated, if somewhat muted, criticism or suggestion has been that the Institute should be a more friendly place---that is, it should encourage more social interaction between Fellows.

I think there is substance to this criticism. The Institute is a long way by public transport from the city's cultural places; and the majority of the Fellows do not have the use of cars when they are here. (They might hire them for short periods to undertake some touring within Victoria.) It would be good if we were to have a common room where Fellows might meet to exchange ideas. In the University's present very difficult circumstances, it is impossible that a new room be built for this purpose. However, as we are very unlikely to have a full complement of Fellows in the foreseeable future, perhaps one of the larger upstairs offices might be used for this purpose.

(Note: Previous to this year, it was the practice to take Fellows and their partners jointly to lunch or dinner once or twice during their stay, to achieve something of the purpose. This year, with the funding cuts, I have had to truncate this practice (though I have not entirely abandoned it). I have also installed a barbeque for the use of Fellows in the summer months.)

### 7.3 The Post-Graduate Programme

We might expand this programme, to include short training courses or a series of seminars. Persons from our regional campuses would be able to attend if we were to offer them accommodation and travelling expenses.

We might also ask Visiting Fellows to conduct methodological seminars of interest to post-graduates in a number of disciplines.

## 8. Support for the Institute within the University

There is, I think, strong support for the Institute, though this varies from faculty to faculty. The Faculties of Science, Engineering and Technology and Health Sciences are vigorous supporters, that of Humanities and Social Sciences not so much. There are historical reasons for this.

However, I think the important point is that the support demonstrates how much some sections of the University have benefited from the Institute's operation.

### Summary

The Institute for Advanced Study is an unusual aspect of a university's of La Trobe's age and size. The responses received from Fellows and their nominators over the past five years (already supplied to the Review Committee) indicate clearly that the great majority hold it in high regard, and see it as a very valuable resource. It has assisted a significant number of researchers in a broad range of disciplines to complete or develop their projects; and in doing so they have interacted significantly with their colleagues within the University.

While at present the funding situation is very difficult, I think it would be a retrograde step if the University were to not to retain the present Fellowship programme, albeit on a more limited scale, let alone close the Institute. Once closed, it would be very difficult to restart it at some future time, as there will always be intense competition for funds.