

Part 1: Background

The [Research & Innovation Portfolio Recovery Plan](#) was released as part of the University Portfolio and College Recovery Plans on 13 October 2020. This document provides an update and outlines proposed arrangements to respond to and support the ANU Recovery Plan for the Australian National University (ANU or the University).

The Research and Innovation Portfolio (the Portfolio), under the leadership of the Deputy Vice-Chancellor (Research & Innovation) is responsible for the leadership, governance and overall strategic direction of research, higher degree research, innovation and commercialisation, and research support activities at ANU. The priorities for the Portfolio encompass leadership and effective governance of research and innovation endeavours at ANU and support the positioning of the University so it emerges from the pandemic as a strong national resource for Australia.

The Portfolio currently includes five areas:

- Office of the Deputy Vice-Chancellor (Research & Innovation),
- Innovation,
- Office of the Dean of Higher Degree Research,
- Research Services Division; and
- National Computational Infrastructure.

For the purposes of this proposal, the National Computational Infrastructure is considered out of scope.

The challenge for 2021 and beyond is to ensure the ongoing ability for the ANU to prioritize and deliver on its research and innovation agenda. As stated in the ANU Strategic Plan 2020-2023 this includes:

- We will redefine the ANU PhD program to deliver a new generation of postgraduates, who successfully use their research training to advance careers in universities, public sector and across all industries and sectors.
- We will invest over the course of the Plan in five globally significant research challenges that deliver solutions to national priorities, and ensure core disciplines and research strengths and ranked alongside the best in the world.
- We will establish Innovation Institutes that will achieve exceptional translational outcomes, supported through a new collaborative business model and access to new venture capital funding for University Intellectual Property commercialisation.

In delivering on these, the ANU will also deliver on the approved research goals including:¹

- We will grow our research income by \$60.5 million by 2025 (in 2018 dollars).
- Our research to be assessed as ERA 5 (i.e. “well above world standard”) in every 2-digit field in which we submit.
- We will develop and implement benchmarks of research productivity that are comparable to the best of the Go8. These will apply at the School level.
- The impact of our work will be assessed as “high” in at least 75% of the fields in which we submit to the research Engagement and Impact Assessment (EI) 2024.
- We will grow our engagement with industry. This will be indicated by:
 - The creation of a further 12 spin-out companies by 2025;
 - The hosting of 10 new SMEs on campus by 2025; and
 - The presence of two major established companies on campus.

The objective of this Change Proposal is to outline and consult on the proposed changes in the Portfolio, in response to the ANU Recovery Plan.

During the first stage of the ANU Recovery during 2020, the Portfolio has adjusted its operations to achieve salary and non-salary savings and this has included a number of voluntary separations from within the Portfolio. Teams have adapted and adjusted work practices and workload to ensure continuity of service

¹ It is to be noted that the quantitative parts of these goals may need to be revised given the changes to both the ANU and to the research environment as a result of the COVID 19 pandemic.

delivery. However, more enduring adjustments are needed to ensure the Portfolio is delivering against its strategic objectives and operational responsibilities while operating within the allocated budget. The proposed changes will enable the Portfolio, and the University, to emerge strongly from the current global pandemic.

Phase 1: This Proposal outlines the Phase 1 changes proposed for the Portfolio. The proposed organisational arrangements capitalise on strengths and alignment of cross-portfolio teams, address capacity, team leadership and management. The proposed changes can be implemented effectively and efficiently, will meet and deliver operational needs, and will continue to improve upon service levels and customer experience.

Phase 2: Further initiatives, such as that of the optimal model for the ANU-wide delivery of research services and support, continue to be explored. Discussion and collaboration across the University is continuing as we seek a more coherent and unified model to deliver sustainable research services that are fit-for-purpose. Further details on proposed changes for the Portfolio in relation to the findings and recommendations from the “Optimising Research Services Review” and, if required, a change management proposal are expected to be released for consultation by the end of Q2 2021, with any confirmed changes to commence implementation by the end of Q3 2021.

Part 2: Objectives and Rationale for Change

The vision and mission for Research at ANU remains unchanged. We will continue to support excellence in research in 2021 and ensure that we play a national leadership role in research and translation.

A vigorous and successful ANU Recovery requires us to identify opportunities to align expertise, strengthen capacity and to implement a more holistic approach to service delivery across the research and innovation activities of the University. Now, more than ever, it is vital that we seek and secure new sources of research revenue and continue to deliver and build on our track record of research excellence.

The proposed new organisational arrangements, realignments and transitions outlined in this proposal will enable the Portfolio to streamline its operations to fit within the allocated budget while ensuring delivery on the University research goals and supporting delivery of the ANU Recovery Plan.

The proposal includes changes to the range of services provided from within the Portfolio and include a proposed reduction in positions. This reduction includes a number of positions that are vacant following some voluntary separations during 2020, however, further reductions in staffing and other costs are required to meet the operating budget for 2021 and beyond. The changes in this proposal will bring the operational budget for the Portfolio back into balance. The organisational arrangements proposed and outlined will also enable the delivery on the initiatives that have strategic allocation of funds over a fixed and short timeframe. The initiatives that have been endorsed and supported by the University Senior Management Group are:

- Bolstering Business Development capability;
- Implementing and delivering the ANU PhD Strategy;

The coordination and collaboration of the range of cross-college strategic initiatives has been challenging. To deliver resource efficiencies and maximize impact and return on investment it is proposed that the cross-College strategic initiatives and research infrastructure be consolidated under a new single area, the Research Initiatives & Infrastructure@ANU team, within the revised operating budget.

Office of the Deputy Vice-Chancellor (Research & Innovation)

The Deputy Vice-Chancellor (Research and Innovation) (DVCRI) is responsible for the development and implementation of strategies, policies and systems that deliver the University's strategic goals in research and innovation.

The Office of the DVCRI provides: strategic decision-making & governance; research & innovation related business processes; end-user engagement; and research communications across the University. It supports the DVCRI with the implementation of research and innovation strategies and the work of the DVCRI with the Senior Executive of the University. ODVCRI also provides broader support to, and engagement with, our researchers, HDR candidates, Schools and Colleges, members of the Senior Management Group, and with our research collaborators, funders, stakeholders and the wider innovation community.

The DVCRI is currently supported by an Executive Officer, who has overall responsibility for the Office of the DVCRI and all its functions and an Executive Assistant (shared with the Dean HDR), managing the DVCRI's diary, commitments and providing general administrative support. The Office of the DVCRI also includes a

Head, Strategic Initiatives and Project Officer, Strategic Initiatives. The area of ‘Strategic Initiatives’ was established in 2017 to foster strategic partnerships with Australian and international agencies and external partners that enhance the University’s strategic goals. It includes responsibility for the management of the internal strategic research schemes, including the Grand Challenges and ANU Futures Scheme. Through 2020 due to budget constraints, the development of new internal research schemes has halted so no new Grand Challenge projects or ANU Futures Scheme recipients were announced in 2020. This is likely to remain true for the foreseeable future.

Given the reduced emphasis on building new internal strategic research schemes combined with the renewed and increased focus on external funding and the realignment of responsibilities and priorities within the Office of the DVCRI, it is proposed that the positions in the current Strategic Initiatives team be transitioned to other areas within the Portfolio.

It is proposed that the Head, Strategic Research Initiatives be transitioned to externally-focused relationship-building and relationship-management activities and the Project Officer, Strategic Initiatives be transitioned to the Research Initiatives and Infrastructure@ANU team.

The current and proposed organisational structure for Office of the DVCRI is included as Appendix 1.

Innovation@ANU

Engagement with business, industry and government is a key element of the ANU Strategic Plan. Innovation @ ANU provides central support to researchers, Schools, Colleges and the Executive of the University, It facilitates the protection and commercialisation of intellectual property (IP) from research as well as building partnerships that will enable the diversification of the sources of research funding needed to deliver the targets (outlined previously) for the Portfolio by 2025.

Innovation@ANU is comprised of ANU Enterprise and the Office of Business Engagement & Commercialisation (BEC). ANU Enterprise is a wholly owned subsidiary of ANU and is governed by an External Board and as such is outside the scope of the proposed changes outlined in this proposal.

BEC provides experienced development support and advice on commercialisation and intellectual property, patent management, new ventures and entrepreneurship and major commercial research projects.

Following the decision of the Pro-Vice Chancellor (Innovation & Enterprise) to step down from his role at the end of March 2021, it is proposed to establish the role of Director, Office of Business Engagement & Commercialisation to provide strategic leadership and oversight of the activities of BEC.

There have been changes to the staffing profile with BEC during 2020 as a result of voluntary separations and natural attrition, It is proposed to review, adjust and refresh the position descriptions for the current positions within BEC to provide additional clarity on roles and responsibilities within the office and to ensure support of and alignment with the Portfolio Recovery Plan, delivery against the key responsibilities in the University Strategic Plan and to ensure continued excellence and effectiveness. The proposed changes for the BEC team may include some changes to reporting lines for some positions.

Research and Business Development is one of the ten initiatives identified in the ANU Recovery Plan. The delivery of increased revenue streams through income diversification and a focus on partnerships is critical. ANU must increase both its comparative and competitive advantage in the sector.

Delivery will require additional business development (BD) capability and resources outside of the BEC and embedded across the University. This gap in BD capability was recognised by the University Senior Management Group (SMG) in mid-2019 and recommendations on how this could be remedied were agreed and approved in late 2019. Execution of the recommendations has been delayed due to the events of 2020.

Fixed term strategic funding has been allocated for 2021 to address and bolster BD capability across the University. Following consultation with College Deans in December 2020, the creation of six (6) fixed term positions embedded within Colleges was agreed with these appointees having responsibility for developing, managing, delivering and reporting on a pipeline of business development opportunities aligned with College priorities.

The current and proposed organisational structure for Innovation@ANU is included as Appendix 2

Research Degrees@ANU

The Dean of Higher Degree Research (Dean, HDR) is responsible for providing academic leadership, strategic direction, and oversight of the University's Higher Degree Research Programs to ensure delivery of high quality, internationally benchmarked research programs. The Dean, HDR has responsibility for the strategic planning, development, and implementation of research training policy and for ensuring a vibrant, supportive and responsive environment for postgraduate research at ANU that enhances the research student experience and delivers excellent student outcomes.

The Office of the Dean of Higher Degree Research (Office Dean HDR) has responsibility across four areas:

- the Graduate Research Office;
- HDR Supervision Development;
- Researcher Development; and
- The Statistical Consulting Unit.

The *Graduate Research Office* (GRO) performs a key liaison function with the Colleges and Portfolios across the University to provide support to HDR candidates and consistency in HDR administrative support. The GRO is dedicated to improving the HDR student experience and focusses on delivering effective services, advice and support for HDR candidates, for the staff supervising the candidates, and for the staff that support and mentor the candidates from application through to graduation.

The *HDR Supervision Development* team is responsible for implementing and supporting the ANU HDR Supervision Development Framework.

The *Researcher Development* team run university-wide programs and events to support HDR candidates, supervisors and early career researchers in their work. The programs and events are multi-disciplinary and assist participants with developing transferable skills and knowledge useful to their future career. The programs focuses on the skills and attributes necessary to being a successful researcher.

A priority for ResearchDegrees@ANU is the delivery of the new SMG endorsed *ANU PhD strategy* for which strategic funding has been allocated. The ANU PhD Strategy will:

- Provide skills that benefit our HDR graduates irrespective of their chosen career.
- Treat our PhD candidates as professionals and provide them with development options comparable or better than their contemporaries in paid employment.
- Equip ANU PhD graduates to rapidly move on to leadership positions across Australia and the world.
- Ensure that the ANU PhD graduate will be a well-rounded professional with world-beating research experience.

The GRO, HDR Supervision Development and Researcher Development teams will be instrumental in delivering the ANU PhD Strategy, however successful implementation will require additional staffing resources for a fixed term period. This additional resourcing is supported through the strategic funding allocation and recruitment for the required roles will occur progressively through 2021. It is anticipated that implementation of the ANU PhD strategy will require review of the roles, reporting lines and the roles and responsibilities of current positions within the GRO, HRD Supervision Development and Researcher Development teams to ensure clarity and direction as well as continued excellence and effectiveness across all the teams.

The *Statistical Consulting Unit* (SCU) was established in 1982 and is a research collaborative unit that specialises in statistical applications in academic research. The role of the unit is to provide expert statistical advice to HDR candidates in study design, data collection and data analysis across all disciplines.

In addition to the SCU, the provision of statistical advice across the University has grown and developed in recent years and is now available through significant discipline specific units including, the Biological Data Science Institute within the College of Science, the Centre for Social Research and Methods within College of Arts and Social Sciences, ANU Bioinformatics Consultancy in the College of Health and Medicine and within a number of Schools in the College of Business and Economics.

The SCU is well regarded across the University and provides a valued service for researchers and HDR candidates. However, only a small fraction of researchers and HDR candidates use the service, furthermore, this has been reducing over time, coinciding with the establishment of additional discipline specific units, developing capability across the University and the changing nature of the support required by HDR candidates and researchers.

Given the challenges faced by the University and the wide range of other sources of statistical support, it is difficult to demonstrate that the provision of the services provided by the SCU is the optimal use of the increasingly limited resources available in the present financial climate.

Following careful consideration and in order to meet the recurrent allocated operating budget for the Portfolio, it is proposed to disestablish the Statistical Consulting Unit with the result that the current form of the services provided by the unit will cease.

The University acknowledges and recognises this proposed change will need to involve the development and implementation of alternative options that provide support for researchers and HDR candidates. As part of the proposed changes, consultations will be carried out to explore and seek feedback on how best to deliver this support to the University community in a way that is financially viable and sustainable. This will be explored in full with the ANU research community, including our HDR candidates.

It is noted that the provision of these services in other Go8 universities is now generally provided by discipline- or College-based support rather than by central support and so we propose that ANU explore how best to draw on the extensive resources and capability that currently resides within our Colleges and Schools to provide discipline specific guidance. This can be achieved by developing cost-effective initiatives such as:

- Web-based resources, including recorded lectures and guides;
- The development of statistical communities of practice;
- Detailed, discipline-based intensives and short workshops;
- A fee-for-service activity that can draw both on the university-community and provide advice to external clients.

The development of the provision of the required services to the ANU community will be considered during the consultation process.

The current and proposed organisational structure for Office, Dean, HDR is included as Appendix 3.

Establishment of Research Initiatives & Infrastructure@ANU

The DVCRI currently oversees a range of research programs and initiatives² across the University. Many have their origins under a variety of ANU strategic initiatives – both historical and new and the estimated total ANU commitment to these various initiatives is approximately \$55 million per annum.

The current research initiatives and entities include:

- The Grand Challenge Program:
 - Our Health In Our Hands (OHIOH)
 - Zero Carbon Energy for the Asia-Pacific,
 - Indigenous Health & Wellbeing,
 - Humanising Machine Intelligence,
 - Social Cohesion

- NCRIS funded facilities
 - Phenomics Australia
 - National Computational Infrastructure
 - Australian Plant Phenomics Facility
 - The Heavy Ion Accelerator Facility
 - Microscopy Australia Facilities
 - ACT Node of Australian Nan-Fabrication Facility
 - NCRIS related collaborations with CSIRO
 - ACCESS NCRIS – this is a recently funded facility for which negotiations have commenced

- University-wide Institutes
 - The Institute for Climate Energy & Disaster Solutions
 - The Gender Institute

² These report centrally as they receive central funding, central resourcing, or respond to central strategic objectives or KPIs.

- Innovation Institutes
 - ANU Centre for Entrepreneurial Agri-Technology (CEAT)
 - The ANU Institute for Space (InSpace)
 - WearOptimo

The wide range of programs and initiatives outlined above each have distinct characteristics and objectives and are resourced in different ways and for varying timeframes. However, there is also considerable overlap in their structures, operations and key business functions which provide the opportunity for improvement in efficiency and delivery of support and services.

ANU research infrastructure has an estimated replacement value of over \$1 billion, and is supported by over 500 staff across the University. ANU has a significant national mission and requires significant national-level research infrastructure in order to conduct its own high-quality and impactful research, to retain its national leadership role and to attract and retain the best staff and students. ANU now has a total HERDC-eligible income (including the research component of the National Institutes Grant) close to the five largest Australian universities (University of Melbourne, University of Sydney, University of Queensland, Monash University and University of New South Wales).

Among this group, ANU is alone in not having institution-wide coordination of its research initiatives and infrastructure. A transparent and more mature University approach to planning, procurement, management and maintenance of research initiatives and infrastructure will increase efficiency and reduce duplication of infrastructure and effort, thereby saving costs.

The University agreed in 2019, through the work and recommendations of the Research Infrastructure Taskforce, that the University needed to develop and deliver a research infrastructure strategy and establish an Office of Research Infrastructure (ORI). The business case was endorsed by the University Senior Management Group (SMG) in 2019. The circumstances of 2020 impacted the progress of the implementation and creation of the ORI but the new financial constraints mean that the issues outlined in the 2019 business case are, if anything, even more pressing.

To deliver resource efficiencies and maximize impact and return on investment, a new approach is required. The multi-disciplinary programs referred to above and the strategy for research infrastructure are proposed to be consolidated under a new single area, Research Initiatives & Infrastructure@ANU (RII@ANU).

It is proposed RII@ANU will be led by an Academic Director and it is envisaged that, where appropriate, the current reporting lines of the senior academics leading each of the various above-mentioned initiatives and entities will be transitioned from the DVCRI, or other College and Research School reporting lines, to the Academic Director of RII@ANU.

The Academic Director RII will be responsible for

- Building and implementing a cohesive plan and strategy that will ensure the effective governance of research initiatives and entities;
- Ensuring investments made by the University deliver the maximum benefit and that budgets are expended efficiently and effectively;
- Ensuring research-driven Centres and Institutes comply with ANU policy and are monitored and reviewed at the right time;
- Lead the development of Policy and Procedures around the role of Centres, Institutes and university-wide research infrastructure;
- Leveraging and building on current NCRIS facilities/expertise as well as building cases for additional NCRIS initiatives;
- Consolidating and developing ANU's research infrastructure;
- Seeking and securing new opportunities for research infrastructure collaborations and funding; and
- Representing the ANU in inter-university discussions around collaborative research infrastructure.

The activities undertaken by the various Centres and Institutes which support and deliver research initiatives and infrastructure will continue to take place within Colleges. The role of RII@ANU will be to provide consistent strategic and financial oversight and support for major university activities that cross existing College and Portfolio boundaries and to seek to deliver a more effective University wide strategy in line with the recommendations of the 2019 Research Infrastructure Taskforce.

It is proposed the Academic Director, Research Initiatives & Infrastructure, will be supported by a Manager, Business and Operations (SM1) and a Project Officer (ANU6/7). In addition, it is proposed the position of University Collections Coordinator presently based within the Facilities and Services Division will be transferred and become part of the proposed new RII@ANU team. This is consistent with the recommendations and plans for the Office of Research Infrastructure.

The proposed organisational structure for RII@ANU is included as Appendix 4.

Research Services@ANU

Research Services Division (RSD) provides services and advice at both operational and strategic levels in supporting the University's research endeavours. The Division supports the Research Executives and has a strong working relationship with units within the Portfolio and across the University. Through its internal teams and working with College Research offices, it provide leadership in the operations and management of research services in support of the University's strategic goals.

The optimal model for the ANU-wide delivery of research services and support, continue to be explored through the Optimising Research Services Working Group. Discussion and collaboration across the University is continuing as we seek to establish a more coherent and unified model to deliver sustainable research services that are fit-for-purpose. The findings and recommendations from the "Optimising Research Services Review are expected during Q2 2021.

Further details on any proposed changes for the Portfolio in relation to the provision of University research services and support i" are expected to be released for consultation by the end of Q2 2021, with any confirmed changes implemented by the end of Q3 2021.

Part 3: The Nature of the Change

It is foreseeable that the impact of this Change Proposal will include:

1. Office of the Deputy Vice-Chancellor (Research & Innovation)

- Direct transfer of one (1) academic position
- Direct transfer of two (2) professional staff positions
- Direct transfer of one (1) professional staff position to Innovation @ ANU
- Direct transfer of one (1) professional staff position to Research Initiatives & Infrastructure @ ANU

2. Innovation@ANU

- Establishment of two (2) professional staff positions (one (1) fixed term, one (1) continuing)
- Establishment of six (6) strategically funded professional staff position (fixed-term)
- Reclassification of four (4) professional staff positions
- Direct transfer of 11 professional staff positions (1 Vacant)
- Disestablishment of three (3) professional staff positions (Vacant)
- Disestablishment of one (1) academic staff position (Vacant)

3. Research Degrees@ANU

- Establishment of five (5) strategically funded fixed term professional staff positions
- Establishment of one (1) continuing professional staff position
- Direct transfer of three (3) academic positions (2.2 FTE)
- Direct transfer of fifteen (15) professional staff positions (14.1 FTE)
- Disestablishment of four (4) professional staff positions (four (4) vacant)
- Disestablishment of two (2) Level D academic positions (one (1) fixed term, one (1) continuing)
- Disestablishment of one (1) Level C academic positions (fixed term)
- Disestablishment of one (1) Level B academic position (Vacant)4

4. Research Initiatives & Infrastructure@ANU

- Establishment of one (1) fixed term academic position
- Establishment of one (1) professional staff position
- Direct transfer of one (1) professional staff position from Facility & Services to RII@ANU

Proposed changes may also include a change in reporting or supervisory lines for some staff and positions; a change in work practices for some staff; and/or a change in conditions, including change that would be likely to lead to changed responsibility levels.

Summary of Staff Position Changes

New Positions within the proposed structure:

It is proposed the following positions will be created within the new structure. All proposed new positions are recommended to ensure that suitably qualified and experienced staff have the skills, qualifications, attributes and expertise to optimise the delivery of services and requirements within the Research and Innovation Portfolio and to the University.

Research Degrees@ANU

Learning Advisor, Researcher Development (ANU08). It is proposed that a learning Advisor be appointed, for a fixed term, to support HDR candidates in their learning journey at ANU and design, plan and run a broad program of events and workshops in consultation with colleagues and stakeholders throughout the university specifically related to increasing the engagement of HDR candidates and early career researchers with industry.

Administrative Assistant, Researcher Development (ANU05). It is proposed that an administrative assistant be appointed, for a fixed term, to support the extensive stakeholder engagement activities of the Director, Researcher Development and senior members within the units of HDR Supervision and the Graduate Research Office. The position will be a point of liaison between HDR candidates, research supervisors and other academic stakeholders both within and outside the University.

Senior Project Officer - Projects and Improvements, Graduate Research Office (ANU 08). It is proposed that a position is established to drive business improvements, provide comprehensive, high level project and development support to the Manager, HDR Operations & Dean HDR on all HDR related matters. The position will also be responsible for leading the development of improvements across HDR administration to continuously improve the efficiency and effectiveness of processes, communications, reporting, compliance, quality assurance and systems and the overall quality and sustainability of service provision.

HDR Co-ordinator, Graduate Research Office (ANU05). It is proposed that an additional HDR co-ordinator is appointed, for a fixed-term, to improve the level of service available to support for HDR candidates through an increased processing capacity and capability within the team and in order to meet regulatory requirements.

Executive Officer, Office of the Dean, HDR (Senior Manager 1). It is proposed that an Executive Officer is appointed, for a fixed-term, to support the ANU PhD strategy. The role will provide high-level executive support in the achievement of strategic goals, working effectively across a wide range of high-level internal and external stakeholders, including government agencies and other relevant bodies. The Executive Officer is also responsible for managing the day-to-day administrative operations, working closely with personnel within the Office of the Dean HDR, and across the Portfolio.

Project Officer, Office of the Dean, HDR (ANU6/7). It is proposed that a Project Officer is appointed, for a fixed term, to assist with the delivery of the operational requirements of the ANU PhD Strategy. The role will provide assistance with coordination of events, communication with internal and external stakeholder and the implementation of related policies and procedures.

Innovation@ANU

Director, Office of Business Engagement & Commercialisation (Senior Manager 5). It is proposed that this position be established to lead the Business Engagement & Commercialisation team. The role will be responsible for the leadership, management, strategic oversight and delivery of strategic objectives and services to the University by Innovation @ANU. It would report to the Deputy Vice Chancellor (R&I) and is proposed to be classified at Senior Manager 5.

College embedded Business Development Managers (Senior Manager 1) (six (6) positions). It is proposed that these fixed term positions be created to support the delivery of University funding diversification, industry and external partnership engagement goals through business opportunity development and delivery activities aligned to needs of the University's Colleges and Research and Innovation targets more broadly. Responsibilities for these positions will include establishment, management, delivery and reporting on a pipeline of research business development opportunities within the assigned College. In particular the role will develop and implement business development plans with strategies, tactics and actions to cultivate industry and government relationships that support College funding. The positions are proposed to be classified at Senior Manager 1

Research Initiatives & Infrastructure@ANU

Academic Director, Research Initiatives & Infrastructure@ANU (Level D or E). This proposed position will be established to lead the Research Initiatives & Infrastructure@ANU team and will be a senior academic appointment. The role will be responsible to provide leadership, management and coordination of cross institutional initiatives to support delivery of the strategic objectives and services to the University by Research Initiatives & Infrastructure@ANU. It would report to the Deputy Vice Chancellor (R&I) and is expected to be an appointment at Level D or Level E.

Business and Operations Manager, Research Initiatives & Infrastructure@ANU (Senior Manager 1). It is proposed that this position be established to support the delivery of RII's strategy and targets. The role will involve financial management, co-ordination and engagement with service divisions, colleges, initiatives and entities under RII and will oversee external internal and external relationships. The role will report to the Academic Director Research Initiatives & Infrastructure @ ANU and is proposed to be classified as a Senior Manager 1.

Directly transferred positions within the proposed structure:

It is proposed the following positions will be directly transferred into the new structure and some be reclassified as part of this transfer and/or undergo a change of title. For those proposed to be reclassified, this is to recognise the increased responsibilities and the depth, breadth and expertise required of the role since its establishment and the ongoing requirements of the role. All of the positions proposed to be directly transferred will have a position description refresh should the changes be confirmed. This will enable the positions to be updated and aligned with the requirements of the proposed new structure and ensure roles are focussed to optimise the delivery of services and requirements within the Deputy Vice-Chancellor (Research & Innovation) Portfolio and to the University.

Table 1: Directly transferred positions within the proposed structure

Current Position Title	Proposed Position Title	Number of positions
Office of the Deputy Vice Chancellor (Research and Innovation)		
Deputy Vice- Chancellor (Research & Innovation)	Deputy Vice- Chancellor (Research & Innovation)	1
Executive Officer (Research & Innovation), SM1	Executive Officer (Research & Innovation), SM1	1
Executive Assistant (Research & Innovation) (ANU06/7)	Executive Assistant (Research & Innovation) (ANU06/7)	1
Research Degrees @ ANU		
Dean HDR	Dean HDR	1
Deputy Dean HDR Supervision (0.2 FTE) Level E	Deputy Dean HDR Supervision (0.2 FTE) Level E	1
Project Officer ANU08 (0.1 FTE) (Fixed Term)	Project Officer ANU08 (0.1 FTE) (Fixed Term)	1
Manager HDR Operations, (SM1)	Manager HDR Operations, SM1	1
GRO Deputy Manager, (ANU08)	GRO Deputy Manager HDR Operations,(ANU08)	1
HDR Examinations Co-ordinator (ANU06/7)	HDR Co-ordinator (ANU06/7)	1
HDR Candidature Coordinator (ANU06/7)	HDR Co-ordinator (ANU06/7)	1
Supervision Training & Strategic Support officer (ANU 05)	HDR Co-ordinator (ANU 05)	1
HDR Pre-Candidature Officer (ANU05)	HDR Co-ordinator (ANU 05)	2
HDR Candidature Officer (ANU05)	HDR Co-ordinator (ANU 05)	1
HDR Examinations Officer (ANU05)	HDR Co-ordinator (ANU 05)	1
HDR Co-ordinator (ANU 04)	HDR Co-ordinator (ANU 04)	3
Director Researcher Development (Level E)	Director Researcher Development (Level E)	1
Learning Advisor (ANU08) (Fixed Term)	Learning Advisor (ANU08) (Fixed term)	1

Current Position Title	Proposed Position Title	Number of positions
Senior Programs & Events Coordinator(ANU08)	Senior Programs & Events Coordinator(ANU08)	1
Innovation @ ANU		
Director Technology Transfer (SM3) (VACANT)	Associate Director, Commercialisation & IP (SM3) (VACANT)	1
Senior Business Development Manager (Life Sciences) (SM3)	Associate Director, Major Projects & Initiatives (SM3)	1
Senior Business Development Manager (Humanities) (SM3)	Associate Director, Business Development (SM3)	1
Director Business Development (SM3)	Associate Director, New Ventures & Entrepreneurship (SM3)	1
Head Strategic Research Initiatives (Strategic Research Initiatives) (SM3) <i>(currently based in Office of DVC R&I)</i>	Associate Director Strategic Alliances (SM3)	1
Project Manager (ANU08)	College Business Development Manager (ANU08)	1
Business Development Manager, (SM1)	Commercial Development Manager (SM1)	2
Executive Officer (Innovation), (SM1)	Stakeholder Relationships Manager (SM1)	1
Executive Assistant (Innovation) (ANU06/7)	Admin & Business Support Officer (ANU06/7)	1
ASD Strategic Partnerships Manager (SM2)	ASD Strategic Partnerships Manager (SM2)	1
Data Administrator (ANU05) (Fixed Term)	Data Administrator (ANU05) (Fixed Term)	1
Research Initiatives & Infrastructure @ ANU		
Collections Coordinator (ANU06/7) (Fixed term) <i>(currently based in Facilities & Services Division)</i>	University Collections Coordinator (ANU06/7) (Fixed term) Research Initiatives & Infrastructure	1
Project Officer, Strategic Research Initiatives ANU06/7	Project Officer, Research Initiatives & Infrastructure ANU06/7	1
TOTAL		34

Reclassified Positions

The following positions are proposed to be reclassified, consistent with an increase and change in the ongoing responsibilities and requirements of the roles within the proposed new structure:

Project Officer, Strategic Projects & Partnerships team, Innovation, (ANU08) to Commercial Development Manager, Office of Business Engagement & Commercialisation (BEC) (Senior Manager 1)

Under BEC's proposed new organisational arrangements, this role will include an increase in scope, requiring the position to support the delivery of University funding diversification and industry engagement goals through activities aligned to the Office's key accountability areas of Commercialisation & IP; New Ventures & Entrepreneurship; and Major Research Partnerships & Initiatives. The position will be responsible for the establishment, management and delivery of a pipeline of research business development opportunities within the University, as they relate to BEC including

- identification and creation of new research business development opportunities that use, expand and develop research capabilities and/or technology commercialisation for the University
- leading external partner engagement to actively market research and translation opportunities in domestic and international forums, playing a leadership role in developing potential strategic business/industry partners and/or licensing or investment partners.

Licence Manager, Technology Transfer, Innovation (ANU08) to Commercial Development Manager, Office of Business Engagement & Commercialisation (BEC) (Senior Manager 1)

Under BEC's new organisational arrangements, this role will include an increase in scope, requiring the position holder to support the delivery of University funding diversification and industry engagement goals through activities aligned to the Office's key accountability areas of Commercialisation & IP; New Ventures & Entrepreneurship; and Major Research Partnerships & Initiatives. The position will be responsible for the establishment, management and delivery of a pipeline of research business development opportunities within the University, as they relate to BEC including

- identification and creation of new research business development opportunities that use, expand and develop research capabilities and/or technology commercialisation for the University
- leading external partner engagement to actively market research and translation opportunities in domestic and international forums, playing a leadership role in developing potential strategic business/industry partners and/or licensing or investment partners

IP Administrator (ANU Officer 6/7) Technology Transfer, Innovation to Operations Manager, Office of Business Engagement & Commercialisation (BEC) (ANU08)

Under BEC's new organisational arrangements, this role will include an increase in scope and responsibility, most significantly being a shift from general execution of financials for the Technology Transfer Office (TTO) to the strategic planning, analysis, budgeting, monitoring and management across the whole of BEC. The role will be responsible for supervising a team including the Administration and Business Support Officer and Data Administrator.

Communications & Entrepreneurship Coordinator (ANU Officer 6/7) Technology Transfer, Innovation to Marketing & Communications Manager, Office of Business Engagement & Commercialisation (BEC) (ANU08):

Under BEC's new organisational arrangements, this role will include an increase in scope and responsibility taking a strategic lead in development and implementation of communications strategies for BEC and wider Research & Innovation portfolio. The role will be responsible for designing and implementing training programs, workshops, and online training resources for ANU staff and students to plug gaps in commercialisation "know how" across the University. The role will also provide strategic oversight, management and development activities and programs to promote student entrepreneurship.

Disestablished positions within the proposed structure:

It is proposed the following positions will be disestablished as they are no longer required or their duties have been or will be ceased or distributed elsewhere within the proposed new structure.

A number of staff within the Portfolio have elected during 2020 and early 2021 to take a voluntary separation from the University and have left or will leave the University in the coming months. These positions are or will be vacant and the positions proposed for disestablishment listed below include these positions.

Pro Vice-Chancellor (Innovation & Enterprise) - 1 position - it is proposed that this position will not be filled and the role will be disestablished. The work associated with this position will be distributed to other positions within the Portfolio

Commercialisation Manager, Senior Manager 1 (Innovation) – three (3) positions (VACANT) – it is proposed that these positions will not be filled and will be disestablished. The work associated with the positions will be distributed to other existing positions within the Portfolio.

Senior Project Officer ANU08 (ODHDR) – one (1) position (VACANT) - It is proposed that this position will not be filled and the role will be disestablished. The work associated with the position will be distributed to other existing positions within the Portfolio.

GRO Deputy Manager (GRO) – one (1) position (VACANT) - it is proposed that this position will not be filled and the role will be disestablished. The work associated with the position will be distributed to other existing positions within the Portfolio.

HDR Coordinator 6/7 (Graduate Research Office) – two (2) positions (VACANT) - it is proposed that these positions will not be filled and the roles will be disestablished. The work associated with the positions will be distributed to other existing positions within the Portfolio.

Early Career Fellow Level B (Supervisor Development) – 1 position (VACANT) – it is proposed this position will not be filled and the role will be disestablished. The work associated with the position will be distributed to other existing positions within the Portfolio.

Director, Statistical Consulting Unit, Level D – one (1) fixed term position - it is proposed that this position will be disestablished. It is proposed that the Statistical Consulting Unit (SCU) will close and the SCU responsibilities and individual statistical consultation work associated with this position will no longer be provided. Alternative support for HDR statistical skills support and development will be made available via an online portal and from other existing areas within the University.

Statistical Consultant, Level D (Statistical Consulting Unit – one (1) continuing position – it is proposed that this position will be disestablished. It is proposed that the Statistical Consulting Unit (SCU) will close and individual statistical consultation work associated with this position will no longer be provided. Alternative

support for HDR statistical skills support and development will be made available via an online portal and from other existing areas within the University.

Statistical Consultant, Level C (Statistical Consulting Unit – one (1) fixed term position) - it is proposed that this position will be disestablished. It is proposed that the Statistical Consulting Unit (SCU) will close and individual statistical consultation work associated with this position will no longer be provided. Alternative support for HDR statistical skills support and development will be made available via an online portal and from other existing areas within the University.

Part 4: Staffing Principles

It is proposed that the transition to the new College structure be via the following steps and staffing principles.

The objective of this proposal is to enable the University to work with individual staff members within the College, and their representatives, to ensure timely and effective consultation. Any reductions in staffing are managed in accordance with the job security provisions outlined in clause 67 of the ANU Enterprise Agreement 2017-2021 (ANU Enterprise Agreement).

In accordance with Clause 67 of the ANU Enterprise Agreement, any staff reductions within the College will be managed and achieved through the following:

- natural attrition;
- permanent transfer;
- redeployment;
- voluntary conversion to part-time work;
- Fixed term pre-retirement agreements; or
- Voluntary separation.

Academic Staff: Staffing Principles

The following principles will apply to any proposed changes for continuing academic staff positions where a direct transfer to the proposed new structure cannot be confirmed.

Phase 1 – Management of Staff Requests

Consult with all affected staff for all possible options, in accordance with clauses 67 and 68 of the ANU Enterprise Agreement.

Phase 2 – Notification of Disestablishment of Positions & Redeployment

Affected staff will be advised in accordance with subclauses 56.5 and 68.19-68.20 of the ANU Enterprise Agreement that their substantive position is surplus to requirements. The formal redeployment processes under clauses 56.7 to 56.13 of the ANU Enterprise Agreement will apply.

Staff whose positions have been identified as surplus will be formally advised in writing. Action will be taken to identify suitable alternate positions for such staff - or the staff member may seek approval for an early separation. In such a case, they will be paid the balance of the 12 week redeployment period.

In accordance with clause 56.8 of the ANU Enterprise Agreement, a suitable alternative position means a position which has substantially the same duties, classification level and career standing as the redundant position and for which the staff member currently possesses the skills and experience (or could reasonably be expected to develop the required skills within a limited period) to satisfactorily perform the duties of the position.

If the process of identifying suitable positions results in more than one staff member being interested in the position then a selection process will be undertaken for the role based on a standard appointment process. The assessment will be against the selection criteria for the role. The selection process will be that applicable to a standard appointment process with a formal selection panel formed and assessments made against the position selection criteria.

In accordance with the ANU Enterprise Agreement the staff member that best meets the selection criteria for the position, or could be expected to meet the selection criteria with appropriate training within a reasonable timeframe, will be appointed to the position.

Phase 3 – Notice of termination due to Redundancy

Following the 12 week redeployment period, in those cases in which the staff member cannot be redeployed, in accordance with clause 56.14 of the ANU Enterprise Agreement, the University will notify the affected staff member(s) in writing: that his or her position is to be declared redundant and that his or her employment may be terminated; the reason for the redundancy; and the timeline for this action.

This notification advice will also provide the staff member with at least 6 weeks formal notice in accordance with clause 56.15 of the ANU Enterprise Agreement that their employment is to be terminated due to redundancy from a specified date. At the discretion of the University payment in lieu of notice may be provided.

The following termination payments will apply to staff made redundant:

- For Academic staff a redundancy payment of 3 weeks' salary for each year of service with a minimum payment of 5 weeks' pay and maximum of 68 weeks' pay;
- Academic Employment Transition Payment of up to 16 weeks salary for academic staff, provided the total redundancy payment for academic staff does not exceed 78 weeks (excluding accrued annual and long service leave); and
- Payment of accrued annual leave and, if eligible, long service leave.

Professional Staff: Staffing Principles

The following principles will apply to any proposed changes for continuing professional staff positions where a direct transfer to the proposed new structure cannot be confirmed.

Phase 1 – Management of Staff Requests

Consult with all affected staff for all possible options, in accordance with clauses 67 and 68 of the ANU Enterprise Agreement.

Phase 2 – Recruitment and Appointment Process

Finalise position descriptions for positions. Recruitment for vacant and proposed new positions will commence once position descriptions have been reviewed and approved by the University Staffing Committee.

Once position descriptions are finalised, direct transfers will be confirmed where possible and staff identified to have a change in position title, description or supervisor will be provided with revised position descriptions and written notification of any supervision changes.

The direct transfer of a position, and the incumbent staff member, will occur where the position is the same classification level, has similar career standing, and the duties are essentially the same or substantially the same within the new structure.

Where a position is not able to be directly transferred and there are more at level staff in a substantially similar roles than there are positions, then an Expression of Interest (EOI) will be run for those affected staff to fill the available positions.

If an EOI process is required, affected staff will be provided the opportunity to lodge applications for the specific positions which have substantially the same duties, classification level and career standing within the new structure. A selection process will be undertaken based on the standard recruitment process of assessing applicants against the selection criteria for the role. This selection process will include a formal selection panel and interviews may be held for short listed candidates.

Recruitment for all other positions will be via internal recruitment and formal selection processes.

Should those roles not be filled through the internal process, external recruitment process will then be undertaken as required,

It is expected that the recruitment processes may take up to three months to finalise. Temporary appointments may be made to these positions during this period to ensure continuity of service delivery.

Phase 3 – Notification of Disestablishment of Positions and Redeployment

Affected staff will be advised in accordance with subclauses 56.5 and 68.19-68.20 of the ANU Enterprise Agreement that their substantive position is surplus to requirements. The formal redeployment processes under clauses 56.7 to 56.13 of the ANU Enterprise Agreement will apply.

Staff whose positions have been identified as surplus will be formally advised in writing. Action will be taken to identify suitable alternate positions for such staff - or the staff member may seek approval for an early separation. In such a case, they will be paid the balance of the 12 week redeployment period.

In accordance with clause 56.8 of the ANU Enterprise Agreement, a suitable alternative position means a position which has substantially the same duties, classification level and career standing as the redundant position and for which the staff member currently possesses the skills and experience (or could reasonably be expected to develop the required skills within a limited period) to satisfactorily perform the duties of the position.

If the process of identifying suitable positions results in more than one staff member being interested in the position then a selection process will be undertaken for the role based on a standard appointment process. The assessment will be against the selection criteria for the role. The selection process will be that applicable to a standard appointment process with a formal selection panel formed and assessments made against the position selection criteria.

In accordance with the ANU Enterprise Agreement the staff member that best meets the selection criteria for the position, or could be expected to meet the selection criteria with appropriate training within a reasonable timeframe, will be appointed to the position.

Phase 4 – Notice of termination due to Redundancy

Following the 12 week redeployment period, where the staff member cannot be redeployed, in accordance with clause 56.14 of the ANU Enterprise Agreement the University will notify the affected staff member(s) in writing that their position is to be declared redundant and his or her employment may be terminated; the reason for the redundancy; and the time line for this action.

This notification advice will also provide the staff member with at least six weeks' formal notice in accordance with clause 56.15 of the ANU Enterprise Agreement that their employment is to be terminated due to redundancy from a specified date. At the discretion of the University, payment in lieu of notice may be provided. The following termination payments will apply to professional staff whose positions are made redundant:

- A redundancy payment of three weeks' salary for each year of service with a minimum payment of five weeks' pay and maximum of 64 weeks' pay; and
- Payment of accrued annual leave and long service leave.

Part 5: The University's Commitment

Status

This formal change management document is the first version of the formal proposal for workplace change required within the Research and Innovation Portfolio as part of and in response to the ANU Recovery Plan 2020 and to support business driven change.

It is foreseeable that the impact of this Change Proposal will include:

1. Office of the Deputy Vice-Chancellor (Research & Innovation)

- Direct transfer of one (1) academic position
- Direct transfer of two (2) professional staff positions
- Direct transfer of one (1) professional staff position to Innovation @ ANU
- Direct transfer of one (1) professional staff position to Research Initiatives & Infrastructure @ ANU

2. Innovation@ANU

- Establishment of two (2) professional staff positions (one (1) fixed term, one (1) continuing)
- Establishment of six (6) strategically funded professional staff position (fixed-term)
- Reclassification of four (4) professional staff positions
- Direct transfer of 11 professional staff positions (1 Vacant)
- Disestablishment of three (3) professional staff positions (Vacant)
- Disestablishment of one (1) academic staff position (Vacant)

3. Research Degrees@ANU

- Establishment of five (5) strategically funded fixed term professional staff positions
- Establishment of one (1) continuing professional staff position
- Direct transfer of three (3) academic positions (2.2 FTE)
- Direct transfer of fifteen (15) professional staff positions (14.1 FTE)
- Disestablishment of four (4) professional staff positions (four (4) vacant)
- Disestablishment of two (2) Level D academic positions (one (1) fixed term, one (1) continuing)
- Disestablishment of one (1) Level C academic positions (fixed term)
- Disestablishment of one (1) Level B academic position (Vacant)

4. Research Initiatives & Infrastructure@ANU

- Establishment of one (1) fixed term academic position
- Establishment of one (1) professional staff position
- Direct transfer of one (1) professional staff position from Facility & Services Division to RII@ANU

Staff redundancies, if unavoidable, will be subject to the University's redundancy provisions.

Notification

The University is drafting this document to set out its specific proposal for your information and it is being circulated to the:

- Research and Innovation Portfolio staff;
- ANU Senior Management Group
- Research School Directors, Service Division Directors, General Managers and School Managers;
- Available on the ANU Recovery Plan website;
- Nominated staff representatives including the NTEU;
- ANUSA and PARSA
- Other relevant stakeholders as required.

Representation

Throughout this process staff members may be represented, and seek advice or assistance at any time from a person of their choice as outlined in the ANU Staff Representation Procedure which may be accessed via this link http://policies.anu.edu.au/procedures/staff_representation_procedure/procedure

Staff may not request representation by a legal practitioner unless they are directly involved in a formal disciplinary or termination of employment processes.

Part 6: Consultation

ANU is committed to consultation with staff and students, and the University will continue to provide a range of options and opportunities for the community to be involved, to ask questions and to provide feedback and ideas.

The University has set out the timetable below to meet and confer with the staff members concerned (and their chosen representatives). The University will endeavour to reach agreement about the implementation of change and to work consultatively with people affected by change.

Feedback may be submitted at org.change@anu.edu.au

Alternatively please contact one of the nominated members of staff identified in the contacts table below.

Date	Details of Consultation Process
1-12 February 2021	Initial meetings with affected staff within Statistical Consulting Unit in Research & Innovation Portfolio
Wednesday 17 February 2021	Research and Innovation Portfolio Staff Meeting Release of Proposal to Research and Innovation Portfolio staff Release of the Proposal to the University Community Commencement of consultation Period
Wednesday 17 February 2021	Briefing with student representatives and PARSA president regarding the proposal] Discussion with discipline specific providers of statistical advice including but not limited to Biological Data Science Institute, the Centre for Statistical Research and Methods, ANU Bioinformatics Consultancy in JCSMR and CBE
Week commencing 22 February 2021	Staff meetings (individual and Group as required)
Tuesday 3 March 2021	Close of Consultation period
Wednesday 17 February to Friday 12 March 2021	Collation of feedback from Consultation and preparation of Implementation Plan
Week Commencing 15 March 2021	Publication of Implementation Plan
Week Commencing 15 March 2021	Period for seeking clarification on Implementation Plan
Week Commencing 23 March 2021	Proposed commencement of Implementation Plan

Contacts

This change management process will be led by Professor Keith Nugent, Deputy Vice-Chancellor (Research & Innovation) with the assistance of Bhavani Balakishnan, Executive Officer in the Office of the Deputy Vice-Chancellor (Research & Innovation) in consultation with the Human Resources Division.

Name	Position	Contact details
Professor Keith Nugent	Deputy Vice-Chancellor (Research & Innovation)	dvc.research@anu.edu.au T: (02) 6125 8487
Professor Ann Evans	Dean, Higher Degree Research	Dean.hdr@anu.edu.au T: (02) 6125 8487
Dr Douglas Robertson	Director, Research Services Division	RSD-Director@anu.edu.au T: (02) 6125 9569
Bhavani Balakishnan	Executive Officer (Innovation) Office of the Deputy Vice-Chancellor (Research & Innovation)	eo.pvci@anu.edu.au T: (02) 6125 1088
Belinda Farrelly	Associate Director, Organisational Change	org.change@anu.edu.au belinda.farrelly@anu.edu.au T: (02) 6125 3012

Support for Staff:

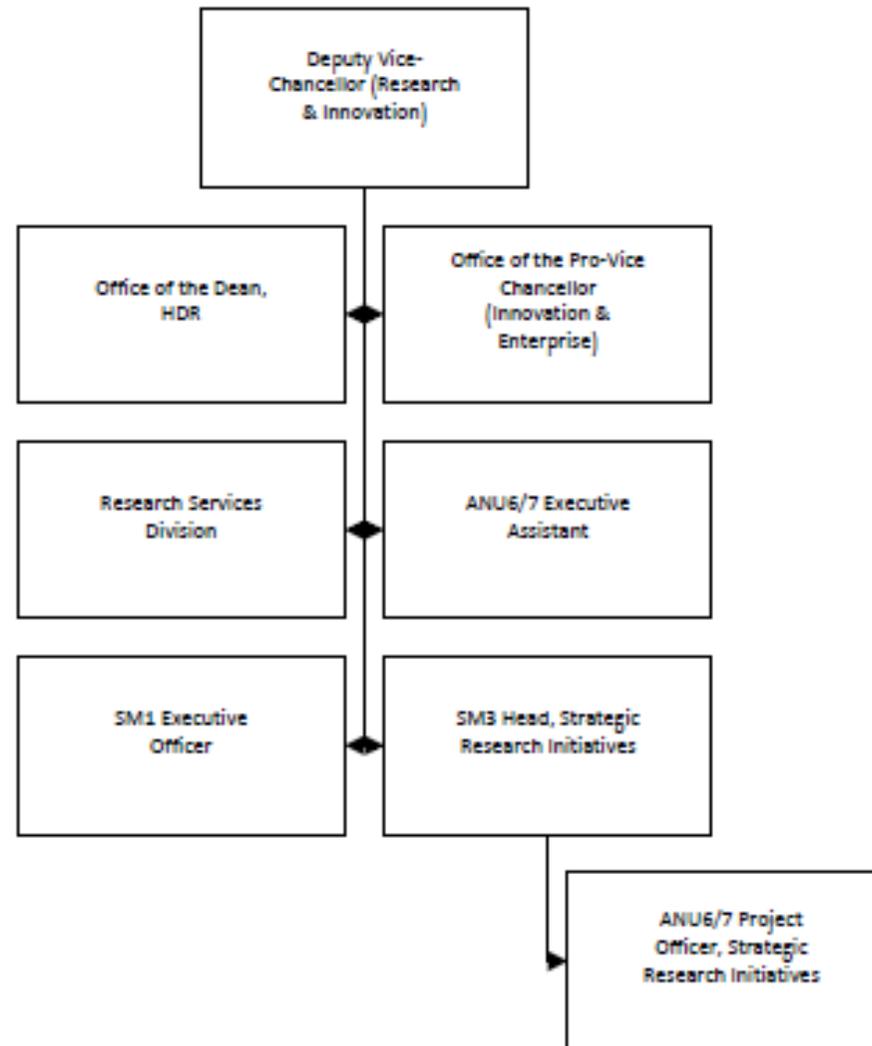
Staff seeking additional support or advice should contact:

Name	Position	Contact details
Gail Frank Dr Maaria Haque	Adviser to Staff Adviser to Staff	(02) 6125 3616 (02) 6125 8283 staff.adviser@anu.edu.au
Employee Assistance Providers	Assure Relationships Australia	1800 808 374 (02) 6122 7100

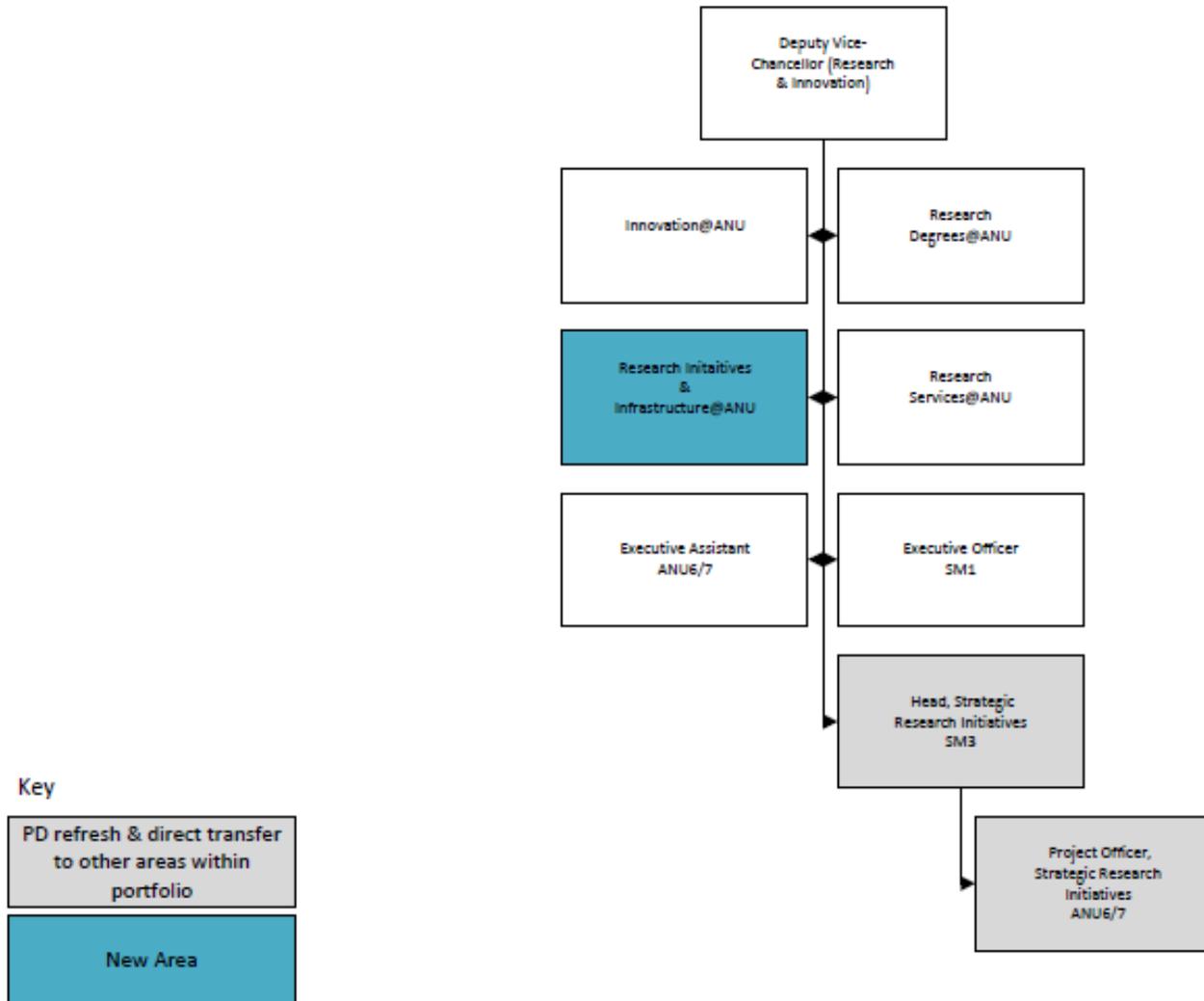
Appendices

- Appendix 1 – Current and proposed organisational structure for Office of the DVCRI
- Appendix 2 – Current and proposed organisational structure for Innovation@ANU
- Appendix 3 – Current and proposed organisational structure for Office, Dean, HDR
- Appendix 4 – Proposed organisational structure for RII@ANU

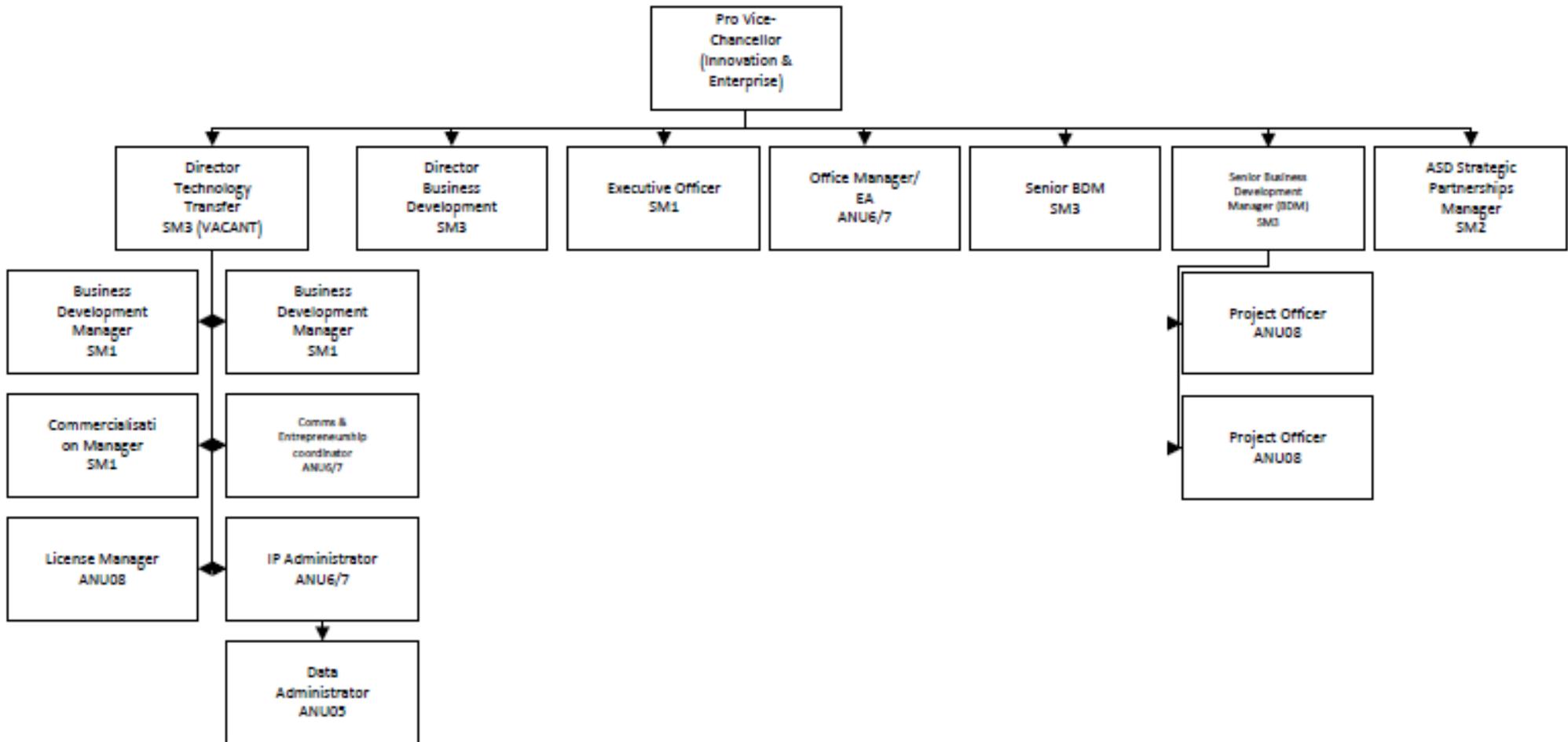
APPENDIX 1
CURRENT ORGANISATIONAL STRUCTURE FOR OFFICE OF DVC RESEARCH & INNOVATION



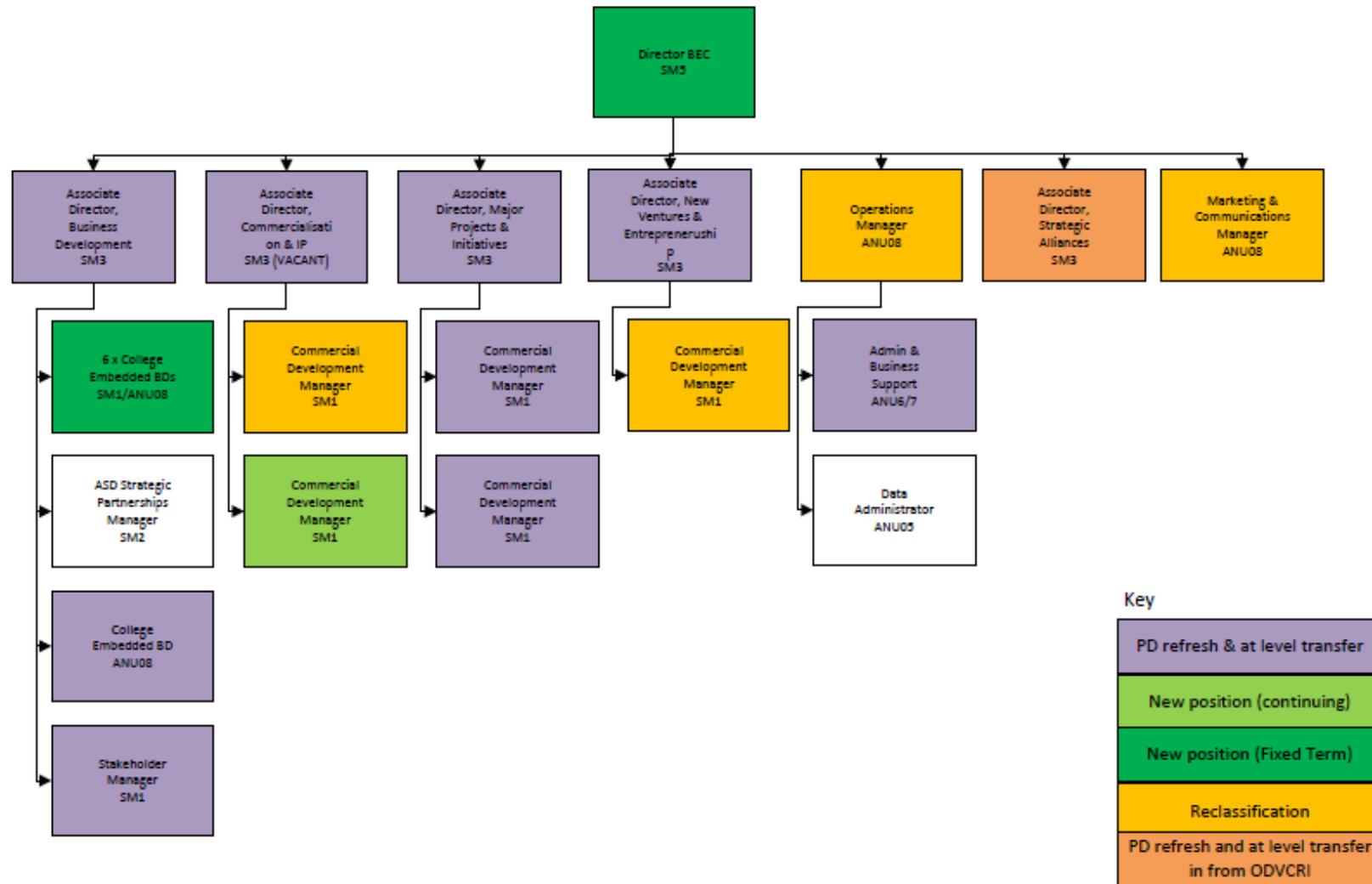
PROPOSED ORGANISATIONAL STRUCTURE FOR OFFICE OF DVC RESEARCH & INNOVATION



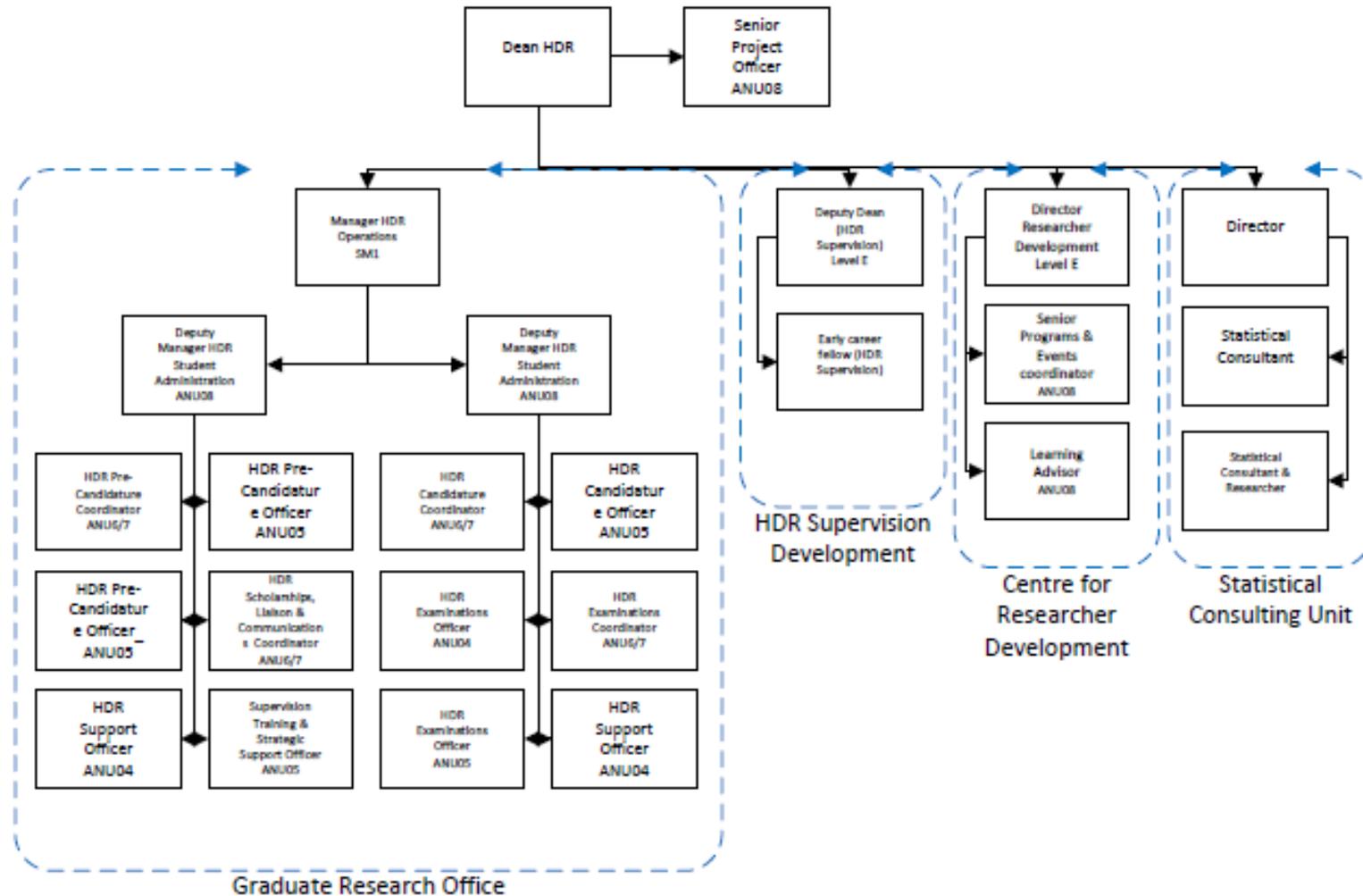
APPENDIX 2
CURRENT ORGANISATIONAL STRUCTURE FOR OFFICE OF THE PRO-VICE CHANCELLOR (INNOVATION & ENTERPRISE)



PROPOSED ORGANISATIONAL STRUCTURE FOR INNOVATION @ ANU



APPENDIX 3 –
 CURRENT ORGANISATIONAL STRUCTURE FOR OFFICE OF THE DEAN, HDR



APPENDIX 4
PROPOSED ORGANISATIONAL STRUCTURE FOR RESEARCH INITIATIVES AND INFRASTRUCTURE @ ANU

