

Department of Employment, Education and Training. Australian Besearch Council

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National interest

Lile number

# Application for Initial Support in 1989

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Applications are to be lodged violation

Director Research Crants Section; Research Follow and Crents Branch Department of Employment, Education and Training PO Box 825 WODER ACT 2606

The closing data for applications is 4 April 1980.

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1. Institution to administer great:	€
University of Wollongong	
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5	Project title	
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7	Vulnerability and resilience in Australian telecommunications	

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4. Chial Investigator(s) - sec	hemontions:	2.	3,
a. Fille, initials and surrame (eg. Prof. AProf. Dr)	Dr B Martin		
b. Full address	Department of Science University of Wollongo POBox 1144, Wollongon		
	Februaro (042) 270763	Tolog lisaar Tolog	Telephone: Telex:
c. Appointment held	Lecturer		7 111 111
d. Name of Dept/School/Other (please indicate which)	Department of Science	and Technology Studies	
e. Year of birth	1947		
f. Sex	Malo X Everate	Male Female	Male Female
g. Academic qualifications (Indicate conferring Institutions and dates)	B.A., Rice, 1969 Ph.D., Sydney, 1976		
h. Average days per month to be devoted to the project	6		

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	Are you also applying for 1989 support from	NH & MRC	NEF	DDG	Other
	If you have ticked one of the boxes state the proj	ect title and the amount requ	ested in Sec	tion 16 and 17.	
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	Does the work proposed involve human or animal experimentation?		[x]	
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	Does the work proposed involve the use of ionising radiation?		$\mathbf{x}$	
ı	I you have answered "Vee" to any of the shove quantions please elem-	the addition	al castillantian in Car	allen 40

If you have answered "Yes" to any of the above questions please sign the additional certification in Section 1:

7. Chief Investigator Inte	ormation			
For each Chief Investigat				
a, Indicate any anticipated period of absence from institution during the course of the project including OSP.	1.		2.	3.
b. What other major research programs are being undertaken or supervised by the Chief Investigator(s)?	Knowledge and po scientific contr			g <sup>a</sup> fi e
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Other Participants				T. C.
В,				
Provide details of the Associate Investigators: List names, organisation, date conferred and conferred indicate involvement in the (average days/month).  Certification required, see	rring institutions.  le project	÷		8
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14. Budget Information

i. Budget informati efer to the document !		uction to Applicants	Sumar	ne of 1st Ch	iel Investiga	ator	File number	
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Institution

15. Summary of project

In the space provided below, supply a seven line commany of this project indicating why it is al significance. The summary of the project is to be no more than seven lines and to be singled spaced. Use underlining, capital letters and any other emphasis only where required by convention eg. underline species names.

Please follow the example layout below for your summary.

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Project title:

Vulnerability and resilience in Australian telecommunications

Summary:

Australian telecommunications are subject to a range of threats for which there is little direct planning. These include military attack, natural disaster, sabotage and interruption of imports. An analysis of how Australian telecommunications would fare in the face of such threats will reveal much about the dynamics of technology in the communications sector and in the related computer industry. It will also suggest policy options for increasing the resilience of the technological systems involved.

Keywords

Give up to five keywords to describe the subject area of proposal

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Institution

University of Wollongong

1st Chief Investigator

Martin

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## 18. Certification - to be signed by all applicants

I/We understand and agree that:

- research which involves human or animal experimentation must be carried out in accordance with the guidelines laid down in the NH & MCR code of practice;
- research which involves the use of recombinant nucleic acids constructed in vitro from sources which do not ordinarily recombine genetic information must be carried out in accordance with the guidelines laid down by the Recombinant DNA Monitoring Committee;
- research which involves the use of ionising radiation must have the risks involved assessed by a recognised Ethics, Safety or Bio-safety Committee, personnel must be trained and hold a current licence, and;
- a certificate of compliance with the appropriate guidelines must be received by the Committee from a recognised Ethics, Safety or Bio-safety Committee before payment of any proposed grant can be made.

I/We declare that all persons listed as Associate Investigators have agreed to take part in the proposed research.

Signature o	Chief I	nvestigators
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1. B	rian Martin	(0,3,88
	(Signature)	(Date)
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## Certification by Head of Department

- I certify that the project can be accommodated within the general facilities in my Department, that sufficient working and
  office space is available for any proposed additional staff. I am prepared to have the project carried out in my Department
  under the circumstances set out by the applicant;
- I have noted the amount of time which the investigators will be devoting to the project and certify that it is appropriate
  to existing workloads.

Note: A confidential statement may be forwarded to the Committee if thought advisable. Refer to the 'Advice and Instructions to Applicants'.

(Signature)	(Date)

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## Certification by Head (or Nominee) of Organisation/Institution

- I certify that the project is acceptable to the organisation under the terms and conditions set out in the Conditions of Award and Advice and Instructions to Applicants and that salaries quoted for personnel are in accordance with practice at this organisation;
- I certify that this project is not a specific component of this organisation's budget;

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(Signature)	(Date)
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To answer this question fully refer to the document 'Advice and Instructions to Applicants' so that you can cover the points specifically made in it, especially in relation to policy and priority information and in detailed justification of the budget proposal.

Use the following headings to detail your answer:

- Aims
- Research Plan.
- Justification of Budget
- Relevant publications

Applicants should specify clearly and justify the expected duration of the project.

If you have answered Yes to Section 3c (program grant) attach a supporting statement and list all associated projects, include an extended budget using a duplicate page 3 for years 4, 5 and 6. (See instructions)

Attach additional pages if there is insufficient space.

#### Aims

The vulnerability of Australia's telephone network to sabotage was revealed in November 1987 when a single person chopped through vital Telecom cables. The resilience of the system was shown in the speed with which service was restored.

Australian telecommunications are subject to a wide range of threats. Most planning is done for immediate and obvious problems, such as technical breakdowns, major storms and accidental damage. There is little or no planning in the civilian sector for several significant threats. These include:

direct military attack damaging central facilities;

- \* electromagnetic pulse from a nuclear explosion high above the atmosphere, which could damage or interrupt microcircuits across the entire continent:
  - \* sabotage by insiders or terrorist attacks by outsiders;
- \* interruption of imports, for example due to a naval blockade or to nuclear war in the northern hemisphere which destroys the major industrial powers:
  - # industrial conflict;
- \* sudden changes in technology, leaving Australia with an entrenched and inappropriate technological infrastructure.

These are illustrations of some key threats; there are numerous others which could be suggested.

The obverse of vulnerability is resilience. A resilient communications system is able to continue to carry out basic functions in the face of major disruptions to its normal working environment. Resilience can be provided by such means as physical protection, redundant systems, flexible systems (adaptable for different purposes), work organisation that offers crucial skills to many workers, and self-reliant manufacturing capacity.

The aim of this project is to examine in detail the vulnerabilities and resiliences of electronic communications systems in Australia. This inevitably means looking at vulnerability and resilience in computing facilities as well. In looking at communications and computing, the aim is to answer several questions.

- \* What are the critical vulnerabilities, both technical and human?
- \* What are the social and political factors which have led to present level of resilience?
- \* What are the simplest steps to make Australian telecommunications more resilient?
- \* How should considerations of vulnerability and resilience enter the policy-making process?

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	nination of Assessors			
Applicants who are qu	for initial support may nominate up ualified to assess the project and are	to three persons a not associated with it.		
Applicant	VSV-8 - A V	*		
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Institution	University of Wollongo	ing	3	
Project title	e Vulnerability and resi	lience in Australian tel	ecommunications	
Nominee	1 100			11.13
Surname	Mack	Given names Andrew	Title Mr	) A
Postal add		Research School of Pacis	fic Studies	
	Australian National Un	iversity		
	GPO Box 4, Canberra AC	Т	Postcoda 2601	
Reason fo	rnomination Leading writer on mili	tary threats and defence	modes	r contrast
Nominee	2			
Surname	Moyal	Given names Ann	Title	
Postal add	lress 8/12 Kareela Road			
***************************************	Cremorne NSW			
			Postcode 2090	
Reason for	rnomination Author of history of T	elecom; long experience i	in technology policy issues	
Nominee :				
Surname	Lowe	Given names Ian	Title	
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# Previous work on vulnerability

In work since May 1987 on the vulnerability of the Australian steel industry to military threats, a review of the literature revealed remarkably little work on the vulnerability and resilience of technological systems. The main work done has been on energy, especially in response to the interruption of oil exported from the Middle East. Some work has also been done on the shortcomings of strategic computing in the event of a nuclear crisis. While the issue of vulnerability has extensive ramifications, there is a dearth of detailed studies in any field.

For our study of steel industry vulnerability, we developed a fruitful conceptual framework by listing threats, spelling out consequences and itemising possible responses, and then interviewing knowledgeable individuals in key areas. This research made the connection between vulnerabilities and resiliences in different sectors quite obvious. For example, both electricity and computing are vital for steel production, and therefore we examined these sectors. Electricity and computing are also central to the resilience of electronic communications.

The reasons for focussing now on telecommunications are twofold. The first involves the theory of technology. One of the central questions in studying technology concerns the nature and origins of its neutrality or non-neutrality. For example, why is a technology, designed for one purpose, useful (or not useful) for other purposes? The study of vulnerability enables a practical analysis of the question by showing, for example, how a technological system designed to be resilient against some threats is also resilient against some other, unplanned-for, threats.

Telecommunications is a very different technological system than steel manufacturing -- though there are commonalities -- being essentially a network providing a continuous service as opposed to linear production process supplying a physical product. Therefore, a comparative study of vulnerabilities should be especially revealing theoretically.

Second, telecommunications is absolutely vital to the functioning of contemporary industrial (or post-industrial) society. It is an important social and policy issue to understand and increase the resilience of communications.

- Wilson Clark and Jake Page, <u>Energy</u>, <u>Yulnerability and War: Alternatives for America</u> (New York: Norton, 1981); James L. Plummer (ed.), <u>Energy Vulnerability</u> (Cambridge, Massachusetts: Ballinger, 1982).
- Alan Borning, 'Computer system reliability and nuclear war', Communications of the ACM, 30(2), February 1987, pp. 112-131; Lance J. Hoffman and Lucy M. Moran, 'Societal vulnerability to computer system failures', Computers and Security, 5, 1986, pp. 211-217; Perry R. Morrison, 'An absence of malice: computers and Armageddon', Prometheus, 2(2), December 1984, pp. 190-200; David Lorge Parnas, 'Software aspects of strategic defense systems', American Scientist, 73, September-October 1985, pp. 432-440.
- Amory B. Lovins and L. Hunter Lovins, <u>Brittle Power: Energy Strategy</u> for National <u>Security</u> (Boston: Brick House, 1984)

#### Research plan

The research plan is designed to focus intensively on the specific vulnerabilities and resiliences of Australian telecommunications, the social and political origins of these vulnerabilities and resiliences, how resilience might be increased, and implications for policy-making.

The first stage is to outline a wide range of threats to Australian society, including direct military attack, nuclear war in the northern hemisphere, electromagnetic pulse, economic blockade, sabotage and massive industrial conflict. Much of the study on some of these threats has already been done as part of the previous project. For others, such as sabotage and industrial conflict, relevant literature will be sought and experts consulted.

The second stage is to examine in detail the vulnerabilities of Australian telecommunications to these particular threats. These will include direct destruction of key facilities, widespread localised destruction of facilities, loss of imports of vital parts, interruption of electricity supplies, and loss of skilled labour. The main focus will be on civilian systems which provide for the continuing functioning of society, rather than on military systems.

The third stage is to examine possible responses to these difficulties. These include physical protection, stockpiling, using different technologies, promoting local manufacturing capacity, and changing work organisation and promoting acquisition of skills. Each response will provide some added resilience.

The fourth stage is to spell out implications for policy-making. This involves highlighting ways to increase resilience and exposing trends which seem to increase vulnerabilities.

The second and third stages will proceed in three steps. First will be a survey of the literature on vulnerability and resilience in communications generally, focussing on electronic communications and computing. Some of this has been done already -- showing the lack of work in the area -- but a more thorough search will be carried out, including computer searches.

The second step is collection of detailed information on Australian telecommunications. Information to be studied will include types and origins of equipment, availability of spare parts, numbers and types of technical personnel, availability of backup personnel, the degree of overseas ownership and management, the capacity and readiness of backup systems, and the availability of alternative ways of accomplishing the same task. As much information as possible along these lines will be obtained from a close study of reports from relevant companies and government bodies, government statistics and technical documents.

The third and most important step is interviews and consultations with people in the areas concerned. This includes management, engineers (a highly knowledgeable group), programmers, technicians and workers. These people are able to provide detailed information and insights into system vulnerabilities and the likely effectiveness of different responses, and occasionally to provide written documentation. The interviews will be closely structured to obtain information about vulnerabilities to specific disruptions, about planning for different contingencies and thus about the origin of resiliences, and about the viability of options to increase resilience.

To arrange the interviews, preliminary contact by phone will be followed by letters to request relevant written materials and agreement to undertake programmes of interviews. Most of the interviews will be solicited directly by phone or personal contact. The most fruitful pattern is to obtain further names from each interviewee.

While Telecom is an obvious source for interviews, approaches also will be made to equipment suppliers, industry consultants, computing firms, relevant government departments and others.

Some discrepancies between technical points made by different individuals are to be expected. It is anticipated that considerable effort

will be required to check and confirm points of detail and interpretation. This follow-up work will be carried out by phone and personal contact.

The fourth stage, as noted earlier, concerns policy options. As the possible responses to specific vulnerabilities are elaborated, their implications for different policy-making models will be assessed. These models include top-down planning (synoptic rationality), intervention by any of various groups (specifically, government bodies and trade unions), and participatory planning which involves citizens and workers.

The social science literature on technology will be examined for perspectives and concepts that might be useful for dealing with vulnerability and resilience. A wide range of issues and perspectives, and hence literatures, are involved in doing this, including sociology of technology, the entrenchment of technology, work organisation and technological failure, military policy, technology and trade policy, and risk assessment. While some work in these areas can feed into the study of vulnerability and resilience, at the same time the study itself can provide data and concepts for critically assessing theories of technology. For example, it will be possible to test the dramatic claim by sociologists of technology that they have an all-encompassing theory by seeing whether the processes leading to resilience flow naturally from their frameworks or have to be imported into their picture artificially.

A highly important outcome of the project is the process by which the research itself is carried out. The interviews serve not only to extract information from specialists but also to sensitise them to the issues of vulnerability and resilience. Circulation of a draft paper to interviewees will serve to encourage their active consideration of the issues. It is planned that, in addition to scholarly papers reporting the research, reports of the findings be communicated to wider audiences, in the belief that wider public understanding and perhaps involvement is an important stimulus for fostering more resilient communications.

- Wiebe E. Bijker, Thomas P. Hughes and Trevor J. Pinch (eds.), <u>The Social Construction of Technological Systems: New Directions in the Sociology and History of Technology</u> (Cambridge, Massachusetts: MIT Press, 1987).
- 5 David Collingridge, <u>Technology in the Policy Process</u> (London: Frances Pinter, 1983).
- 6 Larry Hirschhorn, <u>Beyond Mechanization</u> (Cambridge, Massachusetts: MIT Press, 1984); Charles F. Sabel, <u>Work and Politics</u> (Cambridge: Cambridge University Press, 1982).
- Ross Babbage, <u>Rethinking Australia's Defence</u> (St Lucia: University of Queensland Press, 1980); J. O. Langtry and Desmond Ball (eds.), <u>A Vulnerable Country?</u> <u>Civil Resources in the Defence of Australia</u> (Canberra: Australian National University Press, 1986).
- 8 Richard Joseph, 'Recent trends in Australian government policies for technological innovation', <u>Prometheus</u>, 2(1), June 1984, pp. 95-97; P. J. Morris, 'Australia's dependence on imported technology', <u>Prometheus</u>, 1(1), June 1983, pp. 144-159.
- 9 Charles Perrow, Normal Accidents (New York: Basic Books, 1984).

#### Timetable

## Months 1-4

Examination of possible threats, including consultation with experts. Preliminary study of communications generally and telecommunications specifically.

Initial contact with individuals and organisations.

## Months 5-12

Study of detailed material about Australian telecommunications.

Formulation of interview schedules.

Main body of interviews.

Further search for detailed information.

#### Months 13-18

Collating and assessment of information about vulnerabilities and resiliences.

Follow-up interviews and checking of details.

Examination of policy options and theories of technology.

Circulation of draft paper to interviewees and others for comment.

## Months 19-24

Further follow-ups as responses are available on the draft. Integration of material on policy and theory with technical material. Further writing up of results.

#### Justification of budget

The funding of a full-time Research Associate for two years is essential to enable the collection of relevant information, arranging and participating in interviews, study of detailed documentation and assessment of the information obtained. An appointment at the level of Research Associate is necessary to obtain a person with sufficient technical expertise, research ability and initiative to carry out the literature searches, technical reading and interviewing required. The interdisciplinary nature of the area plus the lack of previous work in the area means that a person with both a breadth of understanding of the social and economic aspects of vulnerability, plus an ability to grasp detailed technical issues, is required. Such people are known and in Australia.

Travel by both the Chief Investigator and the Research Associate to Sydney, Canberra and Melbourne is necessary to obtain documentation and especially to carry out interviews. The travel budget covers two trips to Melbourne (aeroplane) -- where, among other things, are found the important Telecom laboratories -- two trips to Canberra (bus) -- where important policy figures are to be found -- and 12 trips to Sydney (train) for the Chief Investigator and the Research Associate, plus a per diem allowance for the trips to Melbourne and Canberra.

Finally, obtaining relevant documentation will entail expenses for computer searches, photocopying and purchasing reports.

#### Relevant publications

The most immediately relevant work is that begun in May 1987 on the vulnerability of the steel industry to military threats. A lengthy draft paper (12,000 words), 'The vulnerability of steel production to military threats', has been extensively circulated for comment; copies have gone to the referees suggested for this project. A second paper is also in draft form. These two will be submitted for publication by June 1988 and are available to the Committee on request. A third paper is in preparation.

During 1988 work will proceed on a study 'Vulnerability to electromagnetic pulse', under a University of Wollongong Research Grant, which will provide valuable preparation for the proposed project.

Previously published work included in the following list also bears on many aspects of the project: the publications on electricity grid modelling and on nuclear power involved detailed analysis of complex technological systems; the booklet <u>Capital Defence</u> involved interviewing of experts on issues relating to social and technological systems, including communications; a number of papers resulted from studies of the physical and social consequences of war, especially nuclear war; and the papers dealing with social defence, as well as some work on environmental issues, have covered a number of important questions concerning self-reliance.

Also relevant, though only implicitly apparent in publications, is 20 years of experience in computer programming, providing some insight into this area.

## PUBLICATIONS, 1983-

## (i) Publications directly related to the project

Colin Kearton and Brian Martin. The vulnerability of steel production to military threats. To be submitted to Materials and Society.

Colin Kearton and Brian Martin. Technological vulnerability: a neglected policy issue. To be submitted to **Prometheus**.

## (ii) Publications in other fields (starred items bear on the project)

- \* Brian Martin. Science and war. In: Arthur Birch (editor), Science Research in Australia (Canberra: Centre for Continuing Education, Australian National University, 1983), pp. 101-108.
- \* Brian Martin. Social defence and the Indonesian military threat. Peace Studies, no 4, pp. 5-8 (July 1984).

Brian Martin. Extinction politics. SANA Update, no 16, pp. 5-6 (May 1984); Extinction politics revisited. SANA Update, no 21, pp. 15-16 (October 1984).

Brian Martin. Science, war and peace (I): building a lasting activism. Peace Studies, no 7, pp. 9-12 (October 1984).

\* Brian Martin. Uprooting War (London: Freedom Press, 1984), xi+298 pages. Chapters 1 and 2, slightly edited, reprinted as: The limits of the peace movement. Our Generation, vol 17, no 2, pp. 3-21 (Spring/Summer 1986).

Brian Martin. The social construction of Australian peace movement demands. In: Paul Patton and Ross Poole (editors), War/Masculinity (Sydney: Intervention Publications, 1985), pp. 87-99.

Brian Martin. Peace research: centre and periphery. **Peace Studies**, pp. 26-27, 49 (November/December 1985).

\* Jacki Quilty, Lynne Dickins, Phil Anderson and Brian Martin. Capital Defence: Social Defence for Canberra (Canberra: Canberra Peacemakers, 1986), 68 pages. Also published in Italian as: Un Modello di Difesa Populare Nonviolenta (Molfetta: Edizioni la Meridiana, 1987).

Brian Martin. Nuclear disarmament is not enough. **Peace Studies**, no 3, pp. 36-39 (June/July 1986).

Brian Martin. Social defence: elite reform or grassroots initiative? Social Alternatives, vol 6, no 2, pp. 19-23 (April 1987). Reprinted in Civilian-based Defense: News & Opinion, vol 4, no 1 (June 1987), pp. 1-5.

Brian Martin. The Nazis and nonviolence. Social Alternatives, vol 6, no 3 (August 1987), pp. 47-49.

Brian Martin. The limitations of bilateral peace treaties. Social Alternatives (to appear).

Brian Martin. Suppression of dissident experts: ideological struggle in Australia. Crime and Social Justice, no 19, pp. 91-99 (Summer 1983). Reprinted in Philosophy and Social Action, vol 11, no 4, pp. 5-19 (Oct-Dec 1985).

Brian Martin. The selective usefulness of science. Queen's Quarterly, vol 90, no 2, pp. 489-496 (Summer 1983).

Jill Bowling and Brian Martin. Science: a masculine disorder? Science and Public Policy, vol 12, no 6, pp. 308-316 (December 1985).

Gabriele Bammer, Ken Green and Brian Martin. Who gets kicks out of science policy? Search, vol 17, nos 1-2, pp. 41-46 (Jan-Feb 1986).

Brian Martin, C. M. Ann Baker, Clyde Manwell and Cedric Pugh (editors). Intellectual Suppression: Australian Case Histories, Analysis and Responses (Sydney: Angus & Robertson, 1986), including the following chapters:

Brian Martin, C. M. Ann Baker, Clyde Manwell and Cedric Pugh. Introduction, pp. 1-7.

Brian Martin. Science policy under the whip, pp. 79-86.

Brian Martin. Mutagens and managers, pp. 123-129.

Brian Martin. Archives of suppression, pp. 164-181.

Brian Martin. Elites and suppression, pp. 185-199. Reprinted in **Philosophy and Social Action**, vol 12, no 2, pp. 31-50 (April-June 1986).

Brian Martin, C. M. Ann Baker, Clyde Manwell and Cedric Pugh). Options for dissidents, pp. 243-252.

Brian Martin and Clyde Manwell. Publicising suppression, pp. 253-256. Brian Martin. Suppression and social action, pp. 257-263.

Brian Martin. Suppression in science. In: Barry Butcher et al., Science in Culture (Victoria: Deakin University, 1986).

Brian Martin. Science policy: dissent and its difficulties. **Philosophy and Social Action**, vol 12, no 1, pp. 5-23 (January-March 1986).

Brian Martin. Bias in awarding research grants. British Medical Journal, vol 293, pp. 550-552 (30 August 1986).

Brian Martin. Agent Orange: the new controversy. Australian Society, vol 5, no 11, pp. 25-26 (November 1986).

Brian Martin. Nuclear suppression. Science and Public Policy, vol 13, no 6, pp. 312-320 (December 1986).

Brian Martin. The issue of intellectual suppression. Philosophy and Social Action, vol 14, no 1, pp. 3-14 (January-June 1988).

Brian Martin. The sociology of the fluoridation controversy: a re-examination. Sociological Quarterly (to appear).

Brian Martin. Analysing the fluoridation controversy: resources and structures. Social Studies of Science (to appear).

Brian Martin. Coherency of viewpoints among fluoridation partisans. **Metascience** (to appear).

\* Brian Martin. Nuclear winter: science and politics. Science and Public Policy (to appear).

Brian Martin. Proliferation at home. Search, vol 15, no 5-6, pp. 170-171 (June/July 1984).

Brian Martin. Environmentalism and electoralism. **Ecologist**, vol 14, no 3, pp. 110-118 (1984).

Brian Martin. Cracks in the Ringwood solution. Chain Reaction, no 40, pp. 32-36 (December 1984 - January 1985).

\* Ray Kent, Brian Martin, Val Plumwood, Ann Thomson, Rosemary Walters and Ian Watson. Bureaucracy. In: 1984 and Social Control (Sydney, 1985), pp. 25-33.

Brian Martin. Self-managing environmentalism. Alternatives: Perspectives on Society, Technology and Environment, vol 13, no 1, pp. 34-39 (December 1985).

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