THE UNIVERSITY OF WARWICK

Minutes of the meeting of the Information Policy and Strategy Committee
held on 9 January 2012

Present: Professor T Jones (Chair),
                    Dr R Dias,
                    Professor C Hughes,
                    Dr K Leppard,
                    Dr S Mann,
                    Mr S Ruston,
                    Dr S Shapiro,
                    Professor D Singer,
                    Professor J Smith,
                    Professor S Swain,
                    Professor P Thomas,
                    University Librarian,
                    Director of IT Services (from item 24/11-12)

Apologies: Professor M Rodger,
                    Professor P Winstanley,
                    Acting Registrar

In Attendance: Head of Corporate Governance (for item 23/11-12), Ms J Findlay,
                    Head of Platform Engineering & Deputy Director of IT Services, Deputy
                    Librarian.

19/11-12   Minutes

            RESOLVED:

            That the minutes of the Committee meeting held on 10 November 2011 be
            approved.

20/11-12   Membership of IPSC (minute 2/11-12 refers)

            REPORTED: (by the Chair)

            That the Steering Committee had approved, on behalf of the Senate, the
            appointment of Dr Steve Mann from the Centre of Applied Linguistics to the
            vacancy of the third member appointed by the Senate.

21/11-12   Proposal to Block Certain Websites (minute 3/11-12 refers)

            REPORTED: (by the Chair)

            That the proposal to block certain websites which were illegal to view in the
            UK as recommended by the IPSC at its previous meeting would be considered
            by the Steering Committee at its meeting to be held on 16 January 2012.

22/11-12   <u>Update on the Publications Database</u> (minute 7/11-12 refers)

CONSIDERED:

An oral report from the Deputy Librarian updating members on the University publications database.

REPORTED: (by the Deputy Librarian)

(a)   That there was variance in the level of departmental engagement with the publications database and that to date, only 16 departments had responded to the call for all bibliographic references of publications to be uploaded to the database.

(b)   That it was essential that departments engaged with this process in order to permit the University to produce bibliometric analyses in preparation for REF 2013.

(c)   That whilst additional data feeds were obtained from Web of Science and Web of Knowledge, these were not sufficient to resolve the gaps in the database.

(d)   That some colleagues had reported that they were unable to submit information to the publications database because of issues around copyright.

(e)   That issues of copyright only applied to full text versions of papers and that the publications database collected only bibliographic references.

RESOLVED:

(a)   That the Deputy Librarian provide the Chairs of Faculties with more detailed information on departmental levels of submission.

(b)   That the Chairs of the Faculties remind Heads of Departments of the need for all colleagues to upload information to the publications database.

23/11-12   <u>ISO 27001 Pilot Project</u>

CONSIDERED:

A paper from the Assistant Registrar (Risk, Continuity and Information Security) and 123 Consultants setting out the findings of an externally led project to identify the implications for the University should it wish to obtain compliance and/or accreditation to ISO 27001 – Information Security Management System, together with an oral report from the Head of Corporate Governance (IPSC.8/11-12).

REPORTED: (by the Head of Corporate Governance)

(a)   That the University Audit Committee resolved that further examination of the implications for the University of pursuing ISO 27001

compliance/accreditation should be carried out and this initial report sought to present some of the headline considerations in this regard.

(b)   That the report highlighted areas of good practice in departments as well as some areas which could benefit from making more robust.

(c)   That the University would benefit from adopting a systematic approach to ensure consistency across departments, noting that compliance would be focussed on a limited number of key departments in the first instance.

(by the Assistant Registrar (Risk, Continuity and Information Security))

(d)   That full accreditation as opposed to compliance with ISO 27001 would incur additional costs for limited benefits for the majority of departments and that the University should consider pursuing full accreditation only for specific areas where it would be commercially beneficial to do so.

(e)   That, during the course of the pilot project, there was an apparent appetite for proactive awareness raising and clear direction from the University to support colleagues in making appropriate choices when handling personal or sensitive information.

(by the Chair of the Faculty of Social Sciences)

(f)   That some academic colleagues felt overwhelmed by an audit culture at the University and that careful consideration would need to be given to the timing and associated burden for academic colleagues arising from compliance.

RESOLVED:

That the Operational Risk Management Group be requested to produce an implementation plan for the consideration of IPSC, noting that the plan should take account of:
(a)   the issues raised above,
(b)   the need for minimum systems/process requirements and design of internal control documentation, which would deliver ISO27001 compliance to individual departments or centres,
(c)   the benefits of compliance with ISO27001

24/11-12   Research Data Management (minute 12/11-12 refers)

CONSIDERED:

The initial University Research Data Management Policy (IPSC.3/11-12).

NOTE: Paper IPSC3/11-12 was circulated previously for the meeting held on 10 November 2011.

REPORTED: (by the Chair)

(a)   That the Steering Committee had approved the establishment of a broadly based working group, which he had been invited to chair, to

begin discussions around initial implementation and refinement of the policy wording.

(b) That the membership of the working group was as follows and had been determined by the Deputy Vice-Chancellor in liaison with the Vice-Chancellor:

Professor Tim Jones (Chair)
Mr John Dale (ITS)
Dr Peter Elias (IER)
Mr Robin Green (Library)
Professor Maria Luddy (History)
Professor Pam Thomas (Physics)

(c) That he wished to invite Professor Jackie Labbe to join the working group in her capacity of Chair of the Board of Graduate Studies, as well as a member of the University Research Ethics Committee.

RESOLVED:

That the Chair of IPSC raise the concerns expressed by members of IPSC at the first meeting of the working group, including:

(a) How the policy relates to postgraduate research students;

(b) At what stage within projects would researchers be required to share data with the University; and

(c) Clarity within the policy of intellectual property rights or commercial exploitation arising from research.

25/11-12   Proposed Policy for the Retention of University Owned IT Equipment by Leavers

CONSIDERED:

A proposed policy and options from IT Services for the retention of University owned IT equipment by leavers (IPSC.9/11-12).

REPORTED: (by the Director of IT Services)

(a) That IT Services had been requested by the Director of Finance and Financial Strategy to develop a policy around the retention of University owned IT equipment by staff members leaving the University, including those items purchased as part of research grants unless alternative conditions existed in the agreement.

(b) That the proposal and options set out in IPSC.9/11-12 would satisfy financial needs to allow leavers to retain equipment but that there was perhaps a more strategic question around whether the University would want to allow this as a matter of principle.

(By the Chair of the Faculty of Arts)

(c)   That clarity would need to be given to whether IT equipment purchased under an active research grant would be able to transfer with an ex-University employee to another organisation.

(By Dr S Shapiro)

(d)   That the responsibility to provide IT equipment to staff currently sat within departments and was reliant on adequate funds being available.

(e)   That the University did not have a policy entitling new starters to new IT equipment.

RESOLVED:

That the Director of IT Services refine the proposed policy in light of discussion for consideration at a future meeting.

26/11-12   Retention of Email Mailboxes

CONSIDERED:

An oral report from the Head of Platform Engineering & Deputy Director of IT Services regarding proposed changes to the retention of mailboxes of ex-members of staff and postgraduate students.

REPORTED: (by the Head of Platform Engineering & Deputy Director of IT Services)

(a)   That there were currently approximately 12,000 email mailboxes retained within the Exchange email system belonging to members of staff and postgraduate students who had left the University.

(b)   That there was not great value in migrating these mailboxes to the new live@edu email system but IT Services acknowledged that there might be value in retaining the information contained in the mailboxes if it could be stored practically without needing to retain the outgoing system solely for this purpose.

(c)   That the University currently did not have a clear policy on the retention of mailboxes for ex-staff members and postgraduate students.

(By Professor D Singer)

(d)   That some research funders required that information relating to projects be kept for a significant period of time and that consideration should be given in the development of a University policy as to how to facilitate retention of key documentation.

(By the Director of IT Services)

(e)   That prior to implementing any changes to the retention of mailboxes, the University would need to ensure that workable solutions existed to

allow colleagues and students to separate out from their mailbox and securely store key documents that needed to be kept.

(f) That consideration of corporate records management, of which this was one element, would also be undertaken as part of implementing an information security management system.

RESOLVED:

(a) That the proposal to not migrate mailboxes from ex-staff members and postgraduate students be approved in principle, subject to appropriate arrangements being in place for storage and retrieval.

(b) That the Director of IT Services prepare a draft proposal regarding the retention of mailboxes for ex-staff members and postgraduate students for consideration at the next meeting of IPSC.

27/11-12   <u>IT Services Five Year Plan</u>

CONSIDERED:

An oral report from the Director of IT Services regarding proposed projects to be included in the 2012 Five Year Plan for IT Services.

REPORTED: (by the Director of IT Services)

That, as discussed at IPSC meetings in the previous academic year, IT Services wished to shift the emphasis of projects proposed within the Five Year Plan towards user and community led-projects.

RESOLVED:

That members of IPSC forward comments to the Director of IT Services on the following proposed projects, noting that further information would be circulated by the Director of IT Services shortly:

(a) Enhancement of SITs functionality to address areas where it did not currently meet departmental requirements;

(b) Development of e-learning and Virtual Learning Environment provision including support services;

(c) Improved wireless coverage across campus to target alternative teaching spaces i.e. academic offices, workshops etc.; and

(d) Resources to allow IT Services to support University critical systems currently managed by departments i.e. Arts Centre box office.

28/11-12   <u>Library Updates</u>

REPORTED: (by the University Librarian)

(a) That changes had been proposed to the funding model for the *arXiv* open source publication archive provided by Cornell University and

that the Library was reviewing the implications for its activities and costs in light of this.

(b)   That the Library had been awarded £1.5m capital investment funding to upgrade facilities to support the student experience and that it was likely that development focus on enhancing the foyer as well as other areas with work expected to take place in the summer 2012.

(c)   That the Warwick Research Archive Portal (WRAP) utilised EPrints software developed by the University of Southampton and that a REF plugin was due to be released in February 2012 following pilot programmes in a number of universities.

29/11-12   Vote of Thanks to the University Librarian

RESOLVED:

That the Committee record its sincere thanks to the University Librarian for her committed service to the University and the Committee and wish her every success as she left the University to take up the post of Librarian at the University of Sydney at the end of January 2012.