THE UNIVERSITY OF WARWICK

Minutes of the meeting of the Information Policy and Strategy Committee
held on 15 November 2012

Present: Professor T Jones (Chair),
Mr J Entwhistle,
Professor C Hughes,
Dr K Leppard,
Ms T MacKinnon,
Professor M Rodger,
Professor D Singer,
Professor J Smith (until item 8/12-13),
Acting University Librarian,
Director of Campus Services (from item 3/12-13)

Apologies: Deputy Registrar,
Professor M Knights,
Dr S Mann,
Professor S Swain,
Professor P Thomas,
Professor P Winstanley.

In Attendance: Ms J Horsburgh (Director of HR and incoming Deputy Registrar), Ms J Findlay, Head of Platform Engineering & Deputy Director of IT Services.

The Chair welcomed new members to their first meeting of the Committee and confirmed that the Deputy Registrar would attend meetings as the Registrar's nominee.

1/12-13   Minutes

RESOLVED:

That the minutes of the Committee meeting held on 26 April 2012 be approved, subject to the following amendment (deletions ~~struck through~~ and additions <u>underlined</u>):

34/11-12
(….)

(By Professor D Singer)

(e)   That the RCUK policy ~~might~~ <u>would</u> damage professional bodies whose survival rested primarily on the income from their journals and that a six-month embargo could be considered unacceptable to academics wishing to access new research quickly.

(….)

2/12-13   Open Access Developments

CONSIDERED:

(a)   A paper from the Acting Librarian detailing new policies and agendas relating to access to research outputs, with a focus on the Research Councils UK (RCUK) policy and the implications for the University (IPSC.7/12-13)

(b)   A letter from the Acting Librarian to the RCUK Champion for Information Management in response to the University's allocation of £243k RCUK funds to support the transition to Open Access (IPSC.8/12-13).

REPORTED: (by the Acting Librarian)

(a)   That the RCUK policy on Open Access would have the most impact on the University and that the Policy would come into force in April 2013, after which RCUK-funded research outputs could only be published in publications compliant with the Policy.

(b)   That as yet, a nationally agreed list of compliant publications was not available and it was hoped the Repositories Support Project based at the University of Nottingham might receive funding to undertake a project to compile such a list.

(c)   That the University had received £243k of transitional funds to support the development of Open Access, it being acknowledged that the funds were contingent on the RCUK approving the University's statement on how the money would be used to support Open Access and full spend being executed by 31 March 2013.

(d)   That the RCUK would issue a block grant to institutions from 1 April 2013 to support article processing to replace the current provision within research grant applications, noting that the University would receive £353k in year 1 and £415k in year 2 with a subsequent review to consider future funding levels thereafter.

(e)   That work was underway to identify whether the RCUK block grant would be sufficient to cover the University's RCUK-funded outputs.

(f)   That an internal Oversight Group had been established, chaired by the Pro-Vice-Chancellors for Research, to progress Open Access implementation and to facilitate broad consideration of the strategic and operational challenges it posed for the institution such as those outlined with IPSC.7/12-13.

(By the Chair)

(g)   That the RCUK confirmed a definition of research outputs to be covered by the Open Access Policy at its meeting held on 13 November 2012, namely research articles published within publications and conference proceedings.

(h)   That the definition would impact different research disciplines to varying degrees due to differing prevalent methods of sharing or 'publishing' research, acknowledging for example that Science subjects placed greater emphasis on conference proceedings and therefore should the main conferences be deemed non-compliant this would limit where colleagues could present their research.

(i)   That the RCUK appreciated that this would be a period of great transition for institutions and had confirmed that there was not an expectation of absolute compliance from 1 April 2013, rather it was anticipated that institutions in year 1 would have 45 % of RCUK outputs published under Gold Open Access rising to 75% in year 5.

(j)   That there was speculation within the sector that the next REF would require submissions to be Open Access compliant.

RESOLVED:

(a)   That the Chair ensure that the discussion at the meeting be conveyed to the Oversight Group at its first meeting to be held in November 2012, in particular the need for careful consideration of how articles would be identified for funding via the RCUK block grant and the potential implications of the RCUK definitions on different research disciplines at Warwick, with a view to the Committee receiving an update at a future meeting.

(b)   That IPSC members be requested to disseminate information on the Open Access initiative to colleagues to raise institutional awareness, particularly at Faculty level.

3/12-13   Update from the Research Data Management Working Group (minute 34/11-12 refers)

CONSIDERED:

An update report from the Research Data Management Working Group, chaired by the Chair of IPSC, which had been received by the University Senior Management Team in May 2012 (IPSC.6/12-13).

REPORTED: (by the Acting Librarian)

(a)   That the Senior Management Team had been supportive of the work of the Research Data Management Working Group.

(b)   That the Library had been working in partnership with the JISC-funded Digital Curation Centre and a number of workshops had been held for pilot departments (IER and Physics), with qualitative interviews to be undertaken in the coming months to explore the volume, generation and use of research data by colleagues.

(c)   That the bid within the IT Services Five Year Plan for enhanced storage capacity in support of research data management had been successful but that the Library bid for staff resources had not been awarded.

(d)	That an Operational Group would be formed to take the practical considerations forward.

(By Dr K Leppard)

(e)	That he continued to have some concerns around the scope of research data as set out provisionally in IPSC.6/12-13 as it did not allow appropriate flexibility for colleagues, particularly in experimental settings, to exclude flawed or incorrect results from a research data repository

(f)	That inclusion of incorrect or flawed data would be unhelpful to secondary users and to colleagues' reputations and could result in colleagues' not recording experiments if there was a requirement that all resulting data should be deposited.

(By the Director of Campus Services)

(g)	That consideration should be expanded to encompass all research data support infrastructure for colleagues and that the scope and rate of growth of research data at the University was not yet clear.

(h)	That he felt that the scale of infrastructure required to support the RCUK agenda would not be deliverable at institutional level and collaboration at national level would be essential, it being noted that the consideration around what researchers need and want should happen at institutional level.

(By Professor M Rodger)

(i)	That the University should set in place a strategic framework to guide investment in research data management before ad hoc local expenditure rendered this difficult.

(j)	That such a strategic framework would be most successful if it was defined first around the research data management needs of Warwick's research workers and only then built in the requirements of third party access.

(By Professor D Singer)

(k)	That the Working Group should include a member of Warwick Ventures to ensure intellectual property rights issues were addressed.

RESOLVED:

(a)	That IPSC members forward suggestions for membership of the Operational Group to the Acting Librarian.

(b)	That the Chair ensure that points of concern raised above were considered at the next meeting of the Working Group, in particular ensuring greater clarity around the nature of research data to be registered within a repository to avoid inappropriate use of resources and to allow quality research data to be curated and shared as

required.

(c)   That IPSC members or other colleagues interested in assisting with the qualitative interviews with the pilot departments contact the Acting Librarian for further details.

4/12-13   Wireless Implementation to Academic Buildings (minute 33/11-12 refers)

CONSIDERED:

A progress report from the Director of Campus Services on the implementation of wireless to cover student residences and academic buildings (IPSC.1/12-13).

REPORTED: (by the Director of Campus Services)

(a)   That the programme of work to provide wireless connectivity to all student residences by the end of 2012 was on track, noting some limited delay due to spaces being physically unavailable.

(b)   That the service appeared to be stable and that IT Services would be polling students for feedback.

(c)   That as previously reported, specific funding had been received for the equipment and installation in student residences programme but that only equipment funding and no installation funding had been allocated for academic buildings, acknowledging therefore that installation would have to be carried out on a phased basis scheduled in to normal work duties.

(d)   That academic departments were invited to request free-of-charge installation of wireless connectivity via the usual channels and that IT Services anticipated that demand would be significant, requiring careful scheduling to avoid undue disruption.

(e)   That the academic buildings programme would take c.12 to 15 months unless additional resources were allocated to progress work more rapidly.

RESOLVED:

That it was agreed that IT Services would undertake departmental surveys to identify demand and if there were resulting issues of priority, these would be escalated to the Chairs of the Faculty and relevant groups as defined by the Chair of the Faculty for prioritisation.

5/12-13   Proposed Policy for Retention of University Owned IT Equipment by Leavers (minute 36/11-12 refers)

CONSIDERED:

A revised policy approach regarding the retention of University owned IT equipment by leavers (IPSC.2/12-13).

REPORTED: (by the Director of Campus Services)

That the Finance Office had confirmed that equipment purchased with University funds was regarded as being owned by the University, including where equipment was purchased under research awards held by the University.

RESOLVED:

(a)   That the proposed policy approach regarding the retention of University owned IT equipment by leavers be approved as set out in IPSC.2/12-13, subject to the addition of an exemption for cases where research or other contract conditions stipulate that equipment should transfer with the individual should they change employer.

(b)   That the Director of Campus Services and the Assistant Registrar (Risk, Continuity and Information Security) in liaison with appropriate colleagues develop suitable documentation together with a communications plan for consideration by the Steering Committee.

6/12-13   Virtual Learning Environment (minute 37/11-12 refers)

CONSIDERED:

A paper from the Director of Campus Services providing detail on the policy, strategy and resources around the implementation of a Warwick Virtual Learning Environment (VLE) (IPSC.3/12-13).

REPORTED: (by the Director of Campus Services)

(a)   That, as set out in the paper, it was acknowledged that communications around the implementation had suffered due to the pace of implementation and development of a number of connected work strands and that the concerns raised by departmental colleagues had been noted.

(b)   That the current path had been selected to make progress against a number of recommendations arising from the Institutional Teaching and Learning Review in 2011 and it was recognised that this was a path chosen for expedient implementation rather than a final perfect solution – however the initial platform would continue to be developed.

(c)   That the Warwick Moodle instance was in place and that progress was positive, noting that a practitioner group had been formed to consider and monitor the operational aspects of the implementation and it was anticipated that this group would expand as more departments adopted the VLE with a view that this group would continue as a user group post-implementation.

(d)   That another group had been established at Faculty level to take forward strategic institutional considerations.

6

(e)   That an overlap existed between Moodle, Sitebuilder and other departmental systems and that this was a product of the decision not to mandate all departments to use Moodle with some continuing to combine existing systems.

(By Ms T MacKinnon)

(f)   That while she welcomed the introduction of Moodle, she was concerned that the implementation team had not as yet sought to learn from the experience of the Language Centre as it had been using Moodle for three years.

(g)   That there were several areas which the implementation team should explore further, namely e-discovery of data within Moodle, mechanisms for interaction with students, portability of resources currently delivered via Sitebuilder and potential engagement with external providers to enable a swifter rate of progress.

RESOLVED:

That the IPSC consider any opportunities for research funding to explore the use of ICT in teaching delivery as they arise and that the Secretary gather further information on the possibility for applications to EU funding bodies in this regard.

7/12-13   Chair's Briefing

REPORTED: (by the Chair)

(a)   That the overarching aim of the IPSC was to take an integrated and strategic approach to the provision of information to support the research, teaching and corporate activities of the University.

(b)   That members will be aware that those activities were dynamic and continue to evolve at a swift pace; for example, the increasing expectations of our students and staff in respect of innovative teaching and learning, our strengthening international partnerships encouraging collaborative working across the world as well as the dynamic HE environment requiring the University to move quickly in order to achieve our ambition to increase academic excellence whilst recognising the distinctive strengths and characteristics that mark Warwick out as a unique force in higher education.

(c)   That IPSC members would be invited to engage with a number of strategic themes to helps shape the future direction of the University and that they might be asked to participate in working groups, optimising their expertise, and should disseminate information from meetings and discussions with their departments and Faculties.

(By the Incoming Deputy Registrar)

(d)   That the Registrar set a challenge to colleagues at his recent Open Meeting to celebrate achievements as well as discuss areas for

improvement and that IPSC might wish to consider how this could feature on future agendas.

8/12-13   University Risk Management

CONSIDERED:

A paper from the Senior Assistant Registrar (Governance and Risk) summarising the University Risk Register and to request information on any significant internal or external developments, issues or concerns which might impact upon the ability of the University to achieve its strategic aims and objectives (IPSC.4/12-13).

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

(a)   That regular feedback on the University risk management process was being requested from a number of University committees as a means to:
(i)   Increase the breadth of institutional knowledge used to inform the risk profile and thus identify any areas of potential negative impact on the achievement of strategic objectives; and
(ii)   Increase engagement across the institution with the risk management process.

(b)   That the key risks for the consideration of the Committee were IT1 (Developments in the IT infrastructure of the University not keeping pace with the University's ambitious developments in research and teaching), IT4 (Reputationally damaging service disruption caused by poorly managed IT solution/system) and O4 (Breach of statutory/contractual information/data management requirements due to inadequate information security policy, training and awareness).

(c)   That the proposed increase for risk IT4 had been approved by the Registrar subsequent to discussion at the meeting of the Steering Committee on 12 November 2012 and that the increase reflected new areas of concern highlighted by recent external auditors but that work was underway to mitigate potential risks.

(By Professor D Singer)

(d)   That poor or non-existent connectivity between systems, particularly those utilised for student administration or provision, should be reflected under risk IT4 as this could result in a poor student experience and the associated reputational damage.

(By the Director of Campus Services)

(e)   That the University had acknowledged a persistent issue of systems being built on the premise of a three-term model but that this was being addressed within forthcoming projects, such as identity

management.

(f)   That risks IT4 and IT1 did reflect a major incident on campus in conjunction with risk SA1 (University ability to respond to a disaster, calamity or security breach which could significantly impair its work or its reputation) and that the Audit Committee had requested that IT Services identify a number of potential scenarios relating to IT major incidents with a view to these being tested and appropriate contingency plans put in place as required.

(By Dr K Leppard)

(g)   That it was his view that the impact of risk O3 (Too much institutional bureaucracy hampering innovation and development) had been underestimated.

RESOLVED:

That members of IPSC reflect on the University Risk Summary and detailed IT and information risks as set out in IPSC.4/12-13 and discuss the key risk areas in appropriate Faculty and departmental fora to further embed risk management and awareness across the institution.

NOTE: IPSC.4/12-13 was circulated as 'Strictly Confidential To Members'.

9/12-13   Strategic Discussion Topics for Meetings of IPSC

RECEIVED:

A list of strategic items for discussion at future meetings of the IPSC (IPSC.5/12-13).

REPORTED: (by Professor D Singer)

That the Committee should consider at future meeting mechanisms for identifying innovative practices at the institution and matching these to funding opportunities.

10/12-13   Authentication to Library e-Resources (minute 35/11-12 refers)

REPORTED: (by the Acting Librarian)

(a)   That as previously reported, a separate login requirement for Library e-resources had been implemented in Autumn 2011 to ensure compliance to various publisher licences.

(b)   That the Deputy Registrar had confirmed that the revised authentication process was appropriate mitigation and that a return to the previous access mechanism via a campus IP range would increase the risk of non-compliance.

(c)   That the small number of departments which remained on the IP mechanism would be transferred to the revised process.

11/12-13 Membership and Terms of Reference of IPSC

    RECEIVED:

    The membership and terms of reference of IPSC for 2012/13 (IPSC.9/12-13)

    REPORTED: (by the Chair)

    That the Steering Committee on behalf of the Senate had approved the appointment of Professor M Knights as one of the three Senate-appointed members at its meeting held on 12 November 2012.

12/12-13 Freedom of Information (Senate minute 148/03-04 and Steering Committee minute 89/07-08 refer)

    RECEIVED:

    A paper outlining how the Freedom of Information Act 2000 applied to the publication of minutes of University bodies (SC.60/07-08).

    REPORTED: (by the Chair)

    That the Steering Committee resolved in October 2007 that a standard item should be included on the agenda of the first meeting of each University committee in each academic year to inform members of the University's policy on the publication of minutes.

13/12-13 Information Security and Management Update

    RECEIVED:

    An update report from the Assistant Registrar (Risk, Continuity and Information Security) detailing development around the information security awareness raising campaign and a project to identify the applicability of ISO 27001 at the University alongside other approaches to address the University's information security concerns (IPSC.10/12-13).

14/12-13 University Key Performance Indicators

    RECEIVED:

    The University Key Performance Indicator (KPI) relating to IT compiled by the Director of Campus Services and Assistant Registrar (Governance) (IPSC.11/12-13), noting that the KPI had been considered by the Steering Committee at its meeting on 12 November 2012 and would be considered by the Council on 23 November 2012 (IPSC.11/12-13).

15/12-13 Minutes from the Faculty IT Committees

    RECEIVED:

    The unconfirmed minutes of the Faculties of Medicine, Science and Social Sciences IT Committees (IPSC.12/12-13).