

UNIVERSITY OF WARWICK

COUNCIL

Minutes of the meeting of the Council held on 11 July 2012

- Present: Sir George Cox (Chair), Mr K Bedell-Pearce, Mr L Boe, Professor A Caesar, Dame Fiona Caldicott, Mr P Dunne, Mrs P Egan (except for item 156/11-12 (a)-(m)), Professor S Hand (except for item 156/11-12 (a)-(m)), Ms V Heywood, Mr J Higgins, Professor T Jones, Professor J Labbe (except for item 156/11-12 (n)-(v)), Professor K Lamberts, Dr G Lyons, Sir David Normington, Mr A Rivett, Mr N Sanders, Professor M Taylor, Mr M Temple, Professor P Thomas, Professor N Thrift, Mr George Whitworth, Professor P Winstanley (except for item 162/11-12 (e)-(h)).
- Apologies: Dr R Chung, Mrs V Cooke, Professor S Croft, Ms T Elliott, Mr G Howells, Professor A Muthoo, Professor Sir John Temple.
- In Attendance: Registrar, Deputy Registrar, Director of Finance and Financial Strategy, Academic Registrar, Director of Estates, Head of Corporate Governance, Head of Governance Support Services, Assistant Registrar (Deputy Registrar's Office), Mr J Lauwerys, Mr C March, Mr N Swain.

NOTE: The Pro-Chancellor welcomed Mr John Lauwerys, who had been facilitating the Council Effectiveness Review and who was attending the meeting as an observer, and Mr Nick Swain and Mr Cosmo March who would be joining the Council formally from 1 August 2012.

132/11-12 Dr Brian Woods-Scawen

REPORTED: (by the Pro-Chancellor)

- (a) That he was saddened to report that the previous University Treasurer Dr Brian Woods-Scawen had died on Friday 8 June 2012 and members of the University Council had attended his funeral.
- (b) That an event to mark Brian Wood-Scawen's life and contribution would be held later this year.

RESOLVED:

That the condolences of the University Council be recorded.

133/11-12 End of Terms of Office on the Council

REPORTED: (by the Pro-Chancellor)

- (a) That the terms of office on the Council of Mr Leo Boe, Mr Patrick Dunne, Ms Penny Egan, Dr Gerard Lyons, Mr Alan Rivett and Mr George Whitworth would expire on 31 July 2012.
- (b) That the term of office for Professor Sean Hand as a member of the Senate would expire on 31 July 2012 and therefore he would no longer serve on the Council.

RESOLVED:

That the gratitude of the Council be recorded to all of those members for whom this would be the last meeting of Council for their service to the University and to the Committee.

134/11-12 Minutes

RESOLVED:

That the minutes of the meetings of the Council held on 16 May 2012 be approved.

135/11-12 Conflicts of Interest

REPORTED:

- (a) That, should any members or attendees of the Council have any conflicts of interest relating to agenda items for the meeting, they should be declared in accordance with the CUC Guide for members of Higher Education Governing Bodies in the UK.

(by the Pro-Chancellor)

- (b) That Council members were encouraged, wherever possible, to inform the Registrar prior to the meeting of any potential conflicts of interest, and were also invited to do so now if appropriate.

NOTE: No declarations were made.

136/11-12 Strategic Discussion Topics for Meetings of the Council (minute 6/07-08 refers)

CONSIDERED:

A list of strategic items for discussion at future meetings of the Council (C.72/11-12).

REPORTED: (by the Pro-Chancellor)

That members of Council were invited to consider the list of strategic and presentation topics and inform the Registrar of any additional topics that were significant and worthy of consideration as well as the relative priorities of the currently listed topics.

137/11-12 Nominations Committee

REPORTED: (by the Pro-Chancellor)

- (a) That, at its meeting held immediately prior to the meeting of the Council, the Nominations Committee had considered the vacancies for lay members of the Council from 1 August 2012.
- (b) That the Nominations Committee had agreed to explore potential membership with a number of individuals, noting that a key priority was to appoint at least two members for 2012/13 and the Committee were pursuing individuals with direct financial, audit or accountancy experience in the first instance.
- (c) That the Nominations Committee were seeking to appoint individuals with the necessary skills to participate fully in all Council discussions

- (d) That members would be contacted following the meeting to nominate existing lay members to serve as University Treasurer for the period 1 August 2012 to 31 July 2015.

RESOLVED:

- (a) That the following re-appointments to membership of Committees of the Council for the 2012/13 academic year, as recommended by the Nominations Committee, be approved:
 - (i) Building Committee
Mr Glenn Howells (Chair)
 - (ii) Audit Committee
Mr John Higgins (Chair)
- (b) That the appointment to membership of the Art Collection Committee for the three-year period through to the end of the 2014/2015 academic year, on the recommendation of the Art Collection Committee and the Nominations Committee, be approved:
 - (i) Dr Karen Lang from the History of Art Department at the University to be the member of academic staff appointed by the Council.
 - (ii) Mr Michael Tooby, who until June 2011 was Director of Learning and Programmes at the National Museum Wales, as one of two persons external to the University with expertise in the area appointed by the Council.

138/11-12 Financial Climate

REPORTED: (by the Vice-Chancellor)

- (a) That the University continued to operate within a challenging financial climate and that public spending cuts were anticipated to continue until at least 2017, noting that it was unlikely that higher education (HE) would be unaffected.
- (b) That, since students now paid full tuition fees, any further government cuts to HE would be in the areas of special teaching funds and research budgets, both Quality Related (QR) allocations and Research Council funds, noting that the Prime Minister had recently refused to rule out cuts of this nature.

139/11-12 Undergraduate Applications 2012/13

REPORTED: (by the Vice-Chancellor)

- (a) That Warwick's undergraduate applications were 11.6% down on the previous year, noting that there had been a greater reduction in the number of Home/EU applications; but that it had been partially offset by healthy Overseas figures and that some academic departments had performed better than others.
- (b) That it was not possible to infer future trends from this year's figures and that it was hoped that the introduction of full student tuition fees had caused a temporary dip in application rates, but that it was not clear when and how strongly numbers would return to growth.

- (c) That the student number controls severely limited the University's recruitment of students with less than AAB A-Level results and that breach of these restrictions would result in significant financial penalties.

(by the Registrar)

- (d) That Overseas recruitment remained strong and it was likely that Home/EU under-recruitment would be financially compensated for by increased numbers of Overseas students.
- (e) That Home/EU application numbers had remained strong in Mathematics, Physics, Statistics, Economics, Law, Politics, Philosophy and Economics (PPE) and Warwick Business School.
- (f) That Film and TV, History of Art, Italian, Theatre Studies, Chemistry, Psychology, Engineering, Philosophy, Sociology and Education had all experienced reductions in numbers of applications but that this was to be expected as in many of these subjects, the entry requirements had been increased to AAB for 2012/13.
- (g) That sociology as a discipline had experienced a drop in numbers of students studying the subject at A Level over the past 10 years and that this was resulting in a reduction in applications at Warwick and across the sector.
- (h) That while Warwick had experienced a reduction in application numbers, the reductions were broadly in line with those experienced by UK peer Universities and were much less severe than in some parts of the sector.
- (i) That, given that there were no restrictions on the number of places which universities could offer to AAB+ students, during August 2012, Warwick would be keen to attract students who exceeded their predicted performance and achieved these grades at A Level.
- (j) That the combination of increased tuition fees, raised entry requirements, student number controls and widening participation targets posed a risk to the University's recruitment objectives, these were being appropriately managed.

(by Mr P Dunne)

- (k) That fewer higher quality applications and pressure on weaker departments might be an opportunity for the University.

(by the Deputy Vice-Chancellor)

- (l) That if some departments experience sustained reduced levels of applications they would need to develop new programmes and weaker departments would be required to align with stronger departments to ensure sustainability.
- (m) That the departments at greatest risk were those whose degree courses did not offer immediately obvious employment opportunities and that employability skills and training needed to be incorporated into all disciplines.

(by Mr L Boe)

- (n) That student expectations would be changing as their tuition fees increased and it would be important to ensure that the benefits of a Warwick education were well communicated.

(by the Treasurer)

- (o) That the University needed to be aware that a one year reduction in student recruitment would result in a three year reduction in income and that a relatively small shortfall in student numbers could have a significant impact on revenue.

RESOLVED:

- (a) That the Registrar would prepare a one page summary on the outcome of student recruitment for 2011-12 following analysis of the impact of A-Level results in August 2012 to be distributed to members of the Council.
- (b) That a detailed update on student numbers for 2012/13 would be brought to the October 2012 meeting of the Council.

140/11-12 New Student Facilities

That, despite a lack of additional funding in HE, the University had continued to invest heavily in the student experience on campus, noting that the new Sherbourne residences, comprising 527 student bedrooms, would be ready for October 2012; new study spaces in Leamington Spa and on Campus would be opening shortly and significant teaching investment had been made, including the Interactive Computation Learning Suite or 'Orchard' in the School of Life Sciences containing 120 Apple iMac computers and state of the art audio visual systems.

141/11-12 UKBA Inspection

REPORTED: (by the Vice-Chancellor)

- (a) That government policy on immigration was a cause of uncertainty in the HE sector, and that the UK Border Agency (UKBA) would be inspecting the University during the week commencing 16 July 2012, the outcome of which would determine whether Warwick would retain its 'Highly Trusted Sponsor' status.
- (b) That while there was some sympathy for the implications on higher education, the Government were unlikely to retreat on immigration policy.

142/11-12 Research Income and Facilities

REPORTED: (by the Vice-Chancellor)

- (a) That the University needed to produce high quality, highly cited research and increase research income by around £20 million per year, noting that Warwick Business School (WBS) had recently been awarded a further £4 million in research income.
- (b) That the University continued to invest in research and technology facilities, noting that the new £5 million Warwick Manufacturing Group (WMG) International Institute for Product and Service Innovation (IIPSI) was almost complete and that the University had announced a £5 million investment in state of the art phytobiology facilities to support plant and crop research into global food security to be completed in 2013.

143/11-12 Partnerships Progress

REPORTED: (by the Vice-Chancellor)

- (a) That the Strategic Alliance with Monash University and the New York Centre for Urban Science and Progress (CUSP) had both contributed to Warwick's reputation for innovation.
- (b) That the new relationship with the Liverpool School of Tropical Medicine, which would create a joint team of 12 researchers from a range of disciplines, would also broaden Warwick's global reach.

144/11-12 University Finance (minute 104/11-12 refers)

REPORTED: (by the Vice-Chancellor)

- (a) That, while the University's financial performance remained strong, it operated on small margins and it was important to identify sources of investment for long term future success.

(by Mr N Sanders)

- (b) That, given that the University was not planning a significant increase in student numbers, it was important that commercial and research income levels were increased and that a strategy was developed to raise additional finance.

(by the Registrar)

- (c) That a number of members of the Council had agreed to join a group to consider new options for raising finance, which would meet in September 2012 and report back to the Council in the Autumn Term.

145/11-12 Widening Participation

REPORTED: (by the Vice-Chancellor)

- (a) That more than 1400 top-performing year 9 pupils nominated for the Government's new DUX awards had been offered free membership of Warwick's International Gateway for Gifted Youth (IGGY).
- (b) That Warwick was running a joint summer school with Queen Mary, University of London for secondary school students with the aim of offering young people from different environments experience of a university in a different setting.

146/11-12 University Technical College

REPORTED: (by the Vice-Chancellor)

- (a) That it had been announced in May that the WMG Academy for Young Engineers at Warwick had been approved as a University Technical College under the Government's academies programme and that the new academy would invest in vocational education for young people.

- (b) That the partnership, which would be responsible for delivering the Academy and designing the curriculum, was led by Jaguar Land Rover and included WMG, Coventry and Warwickshire Chamber of Commerce, West Midlands Manufacturing Consortium and EEF and that the presentation to support the proposal to the Department for Education had been led by Jaguar Land Rover.
- (c) That there had been discussions around co-location with Westwood School and that if the project went ahead, the Academy would be open from Autumn 2014.

147/11-12 Vice-Chancellor's Business

REPORTED: (by Mrs P Egan)

- (a) That it would be helpful if a summary of the strategic themes of the Vice-Chancellor's business were circulated as a paper prior to Council meetings.

(by the Vice-Chancellor)

- (b) That the Vice-Chancellor would deliver an annual address providing a summary of highlights of the year and future challenges at the July meeting of the Council.

148/11-12 Supplemental Titles to Senior Leadership Positions

REPORTED: (by the Registrar)

- (a) That the institutional structures and titles for senior leaders in higher education institutions were significantly different in an international context and that as the University's strategy was to extend its global reach and reputation, consideration had been given to the titles of Vice-Chancellor, Deputy Vice-Chancellor and Registrar and how these might be recognised and interpreted outside of the UK.
- (b) That it was proposed that the following supplemental titles be used to increase the clarity of these roles, particularly when engaging in partnerships and collaborations with international institutions and corporations:
 - (i) Vice-Chancellor and President
 - (ii) Deputy Vice-Chancellor and Provost
 - (iii) Registrar and Chief Operating Officer

(by Mr N Sanders)

- (c) That the introduction of supplemental titles was welcomed and that it would be interesting to reflect, at a future meeting of the Council, on the way in which the role of a university president is changing.

RESOLVED:

That the use of supplemental, non-statutory titles of President for the Vice-Chancellor, Provost for the Deputy Vice-Chancellor and Chief Operating Officer for the Registrar, as recommended by the Senate, be approved.

149/11-12 Membership of the University Council

REPORTED:

- (a) That, in accordance with Ordinance 5 on the Procedure for the Appointment of Members of the Council by the Senate, the Registrar had written to members of the Senate to seek nominations for the appointment of an academic member of the Senate to membership of the Council for the period from 1 August 2012 through to 31 July 2015.
- (b) That the deadline for submission of nominations was Thursday, 21 June 2012.
- (c) That only one nomination was received and transmitted to the Senate and, therefore, in accordance with Ordinance 5 on the Procedure for the Appointment of Members of the Council Appointed by the Senate, Professor Jackie Labbe was deemed to be elected as one of the representatives of the Senate to the Council for the period 1 August 2012 through to 31 July 2015.

150/11-12 Appointment of Pro-Vice-Chancellors

REPORTED: (by the Registrar)

- (a) That the joint Warwick-Monash Pro-Vice-Chancellor position had been advertised and had attracted a very high calibre field, resulting in a strong shortlist.
- (b) That all shortlisted candidates had spent time at both Monash and Warwick and selection would take place in Melbourne at the end of July 2012 and the Council would be informed of the outcome of this process.
- (c) That, following approval at the last meeting of the Council, the University had also advertised externally for a Pro-Vice-Chancellor and that the selection panel would meet on 3 August 2012 and the outcome of the process would be reported to the Council.

RESOLVED:

That lay members of the Council would indicate to the Deputy Registrar their availability to serve on the selection committee for a Pro-Vice-Chancellor to meet on 3 August 2012.

151/11-12 Report from the Senate

CONSIDERED and NOTED a report of the resolutions:

Selected items considered at the meetings of the Senate held on 13 June and 4 July 2012 (C.73/11-12) together with an oral report from the Vice-Chancellor on the following items of business:

- (a) Institutional Teaching and Learning Review

REPORTED: (by the Vice-Chancellor)

- (i) That the Senate had considered and approved the outcomes of the Faculty Engagements as the final stage in the integrated Institutional Teaching and Learning Review (ILTR).

- (ii) That as a result of the success of the ILTR and the positive feedback it had generated, the Senate had considered and approved a proposal to retain a simultaneous periodic review of the University's full teaching and learning provision, but with an interim review and report whose precise focus, shape and format would be considered in detail in the Autumn Term.

(b) Learning and Teaching Strategy

REPORTED: (by the Vice-Chancellor)

- (i) That the Senate had considered the latest iteration of the University's Learning and Teaching Strategy, which provided a forward look on aims, objectives and priorities for learning and teaching over the next few years.
- (ii) That the Strategy has been produced following consultation and input with a range of groups including the Students' Union and provided a platform on which to continue to provide high quality and distinctive education at Warwick.
- (iii) The Strategy was approved by the Senate in principle, noting that further development and refinement would be undertaken over the summer and a final version would be brought to the Senate for approval at its meeting in October 2012 before the final version was circulated to the Council.

(c) Warwick Community Statement

REPORTED: (by the Vice-Chancellor)

That the Senate approved the Warwick Community Statement, which was an overarching statement of the principles that governed the interaction between staff and students at the University and set out mutual expectations of service and behaviour, noting that following discussion at the Senate and in discussion with representatives of the Students' Union some revisions were anticipated to be made over the summer.

(d) QAA Institutional Review Thematic Element 2012/13 and Mid-Cycle Follow Up

REPORTED (by the Vice-Chancellor)

- (i) That the Senate had been informed that the Steering Committee had endorsed a recommendation to select the theme of 'Student Involvement in Quality Assurance and Enhancement' as the thematic line of enquiry within the 2012-13 QAA Institutional Review, which would take place in February 2013.
- (ii) That preparations for the Audit were already advanced and were being led by Professor Caesar supported by Dr Lamburn on secondment from the Centre for Lifelong Learning, who was an experienced QAA Auditor.
- (iii) That, overall the quality of teaching and learning at the University was very good and Warwick continued to invest in the student experience, but remained focused on the work necessary to continue to improve this experience as a strategic objective as well as to demonstrate this quality externally to the QAA and other stakeholders.

(e) Amendments to University Regulations

RESOLVED:

That the proposed revisions to University Regulations 8 governing Regulation for First Degrees, 11 governing Procedures to be Adopted in the Event of Suspected Cheating, 12 governing Absence for Medical Reasons from a University Exam, 36 governing Student Registration, Attendance and Progress and 38 governing Research Degrees as recommended by the Senate be approved.

- (f) University's Access Agreement for 2013/14
- (g) Student Number Controls for 2012/13
- (h) Research Centre Governance
- (i) Governing Instruments Review
- (j) Achieving Carbon Reduction Targets
- (k) Boards of the Faculties
- (l) Membership of the Senate
- (m) Conferral of Title of Emeritus Professor
- (n) Conferral of Title of Emeritus Reader

152/11-12 Report from the Building Committee

REPORTED: (by the Registrar)

That in order to reflect that, upon the completion of the new Council Chamber in the Autumn Term, meetings of the Senate and the Council would be returning to Coventry House, Mr Glenn Howells had taken Chair's Action on behalf of the Building Committee to approve the renaming of Coventry House, reverting to the name Senate House.

153/11-12 Report from the Audit Committee

CONSIDERED and ADOPTED a report from the meeting of the Audit Committee held on 27 June 2012 (C.74/11-12) together with an oral report from Mr John Higgins on the following items of business:

(a) Internal Audit Strategy and Plan

REPORTED: (by Mr J Higgins)

- (i) That the Internal Audit Plan, which identifies areas for audit over a three year period, and is approved on an annual basis, was considered by the Audit Committee, noting that 2012/13 was the last year within the current planning cycle and a more intensive review would be undertaken next year prior to the strategy and approach to the Plan for future years being considered.
- (ii) That the Internal Audit Plan (paper AC.42/11-12 of paper C.74/11-12) was approved, noting that there were a number of amendments made, including an increase in the contingency reserve for new projects and changes to planned internal audits due to the changes in the risk scores.

(b) Summary of Internal Audit Reports

REPORTED: (by Mr J Higgins)

- (i) That the Audit Committee discussed its responsibility versus that of other University Council committees, such as that of the University Health and Safety Executive Committee and requested that further clarity be given to the delegated authorities and assurance roles in this regard within the Council's review of effectiveness.
- (ii) That the Audit Committee acknowledged that appropriate action was being undertaken by management to address the key recommendations identified in the Internal Audit summary report.

- (c) Risk Management
- (d) Process and Timetable for the Tender of External Audit Services
- (e) Key Academic and Administrative Departments
- (f) Other Issues

NOTE: Paper C.74/11-12 was restricted to members and attendees of Council only.

154/11-12 Report from the University Health and Safety Executive Committee

CONSIDERED and ADOPTED, with the resolutions set out below, a report from the meeting of the University Health and Safety Executive Committee held on 14 June 2012 (C.75/11-12), together with an oral report from the Registrar on the following items of business:

(a) Electronic Cigarettes

RESOLVED:

That the revision to the Smoking Policy to extend the restrictions to apply to electronic cigarettes (paper UHSEC, 14/11-12 of paper C.75/11-12) as recommended by the University Health and Safety Executive Committee, be approved.

(b) University Health and Safety Committee

REPORTED: (by the Registrar)

That the University Health and Safety Committee considered that a presentation by the Commercial Group about how significant improvements in culture and in health and safety performance had been achieved was a good example of the successful application of external business practices to the University environment that should be made more widely available to Heads of Department.

- (c) University Genetic Modification and Biosafety Committee
- (d) Security Incident at Gibbet Hill
- (e) Review of Health and Safety
- (f) Internal Audit Report

155/11-12 Report from the Finance and General Purposes Committee

CONSIDERED and ADOPTED with the resolutions set out below a report from the meetings of the Finance and General Purposes Committee held on 22 May and 26 June 2012 (C.76/11-12) together with an oral report from the Treasurer on the following items of business:

(a) Financial Performance

REPORTED: (by the Treasurer)

- (i) That at Quarter 3 the latest consolidated departmental forecast surplus for the year stood at £22.1m, but that around half of the favourable variance between University's original budgeted surplus for the year and latest forecast surplus was due to staff cost savings resulting from vacant staff posts.
- (ii) That due to the Research Excellence Framework (REF) in 2014, it would have been preferable to have been able to recruit to the vacant staff posts during 2011/12, but that it was a temporary lag in expenditure and the forecast for next year assumed the filling of vacancies and budgeted strategic funds being spent in full.

(b) Warwick Business School (WBS) Phase 3b Project

REPORTED: (by the Treasurer)

That an updated business plan for the WBS Phase 3b capital project resulting from recently approved design changes, including the re-siting of Radcliffe House car park had been considered by the Committee.

RESOLVED:

That the capital investment of £28,748k for the WBS Phase 3b project (paper FGPC.60/11-12 of C.76/11-12), as recommended by the Finance and General Purposes Committee, be approved

(c) National Automotive Innovation Centre

REPORTED: (by the Treasurer)

- (i) That WMG had developed a proposal for capital funding from the UK Research Partnership Investment Fund (UKRPIF) to construct two new buildings with associated equipment at a total cost of £45m to form the hub of a proposed National Automotive Innovation Campus (NAIC).
- (ii) That Tata Motors and Jaguar Land Rover had provided letters of support indicating contributions collectively in excess of £30m, noting that it would be important to secure this funding upfront so that borrowing capacity was maintained for other initiatives.
- (iii) That the proposal had been approved at the first round and that a second submission would be made before the deadline on 23 August 2012.
- (iv) That consideration would need to be given to ensuring that any buildings constructed was flexible and could be repurposed if required in the future.

- (d) Financial Plan 2011 – Part 2 Submission
- (e) Collaboration with Liverpool School of Tropical Medicine
- (f) Monash-Warwick Alliance
- (g) New Life Sciences Building
- (h) Opportunities for Land/Property Purchases

156/11-12 2012/13 Budget and the Provisional University Financial Plan 2012-2016

CONSIDERED:

The University draft Financial Plan for the period through 2015/16 and the 2012/13 Budget as recommended by the Finance and General Purposes Committee and the Senate (C.77/11-12).

REPORTED: (by the Director of Finance and Financial Strategy)

- (a) That the draft financial plan would be reconsidered by Finance and General Purposes Committee and the Council in November 2012 in the light of the year end results and early indications for 2012/13, prior to its submission to the HEFCE by 1 December 2012, noting that further updates to the plan may be made in this period based on year end outturn, student recruitment and any other material changes, but that it was necessary for operational purposes that approval of the 2012/13 budget was received before the end of this financial year.
- (b) That the scale of the draft financial plan was ambitious, and balanced significant investment in recruitment and the Warwick campus with supporting strategic partnerships both within the UK and overseas and that the plan had built in appropriate provisioning for new expenditure plans, whilst aiming to achieve acceptable surplus levels for future investment and as a buffer to reflect the risks experienced in the current financial climate.
- (c) That the latest forecast for 2011/12 was that the surplus would be £22m, 5.0% of income and significantly greater than the original budget forecast of £5m, noting that financial strength had been supported by strong demand from both Home/EU and Overseas students and that the University had achieved its highest ever annual research income, which was likely to be £88m.
- (d) That the surplus position for 2012/13 and 2013/14 was forecast to be low as a result of the upfront investment required to increase staff academic numbers, but that surpluses were planned to be restored over the course of the planning period and that, while there were safety factors, they were small and so it would be vital to the plans that the University achieved its income forecasts.
- (e) That the 2012/13 Financial Plan had academic investment at the centre of the plan and incorporated a 16% increase in direct payroll costs to be allocated by the Academic Resourcing Committee to support a 10% increase in academic staff posts (c£162m total).
- (f) That between £5m and £7m was allocated per annum for the replacement of academic equipment, but that with no further Capital Investment Framework (CIF) funding and limited Research Council equipment funds, this budget would need to be utilised effectively.

- (g) That investment of over £4m per annum was planned for strategic partnerships including Monash University, New York Centre for Urban Science and Progress, Queen Mary, University of London and Liverpool School of Tropical Medicine.
- (h) That the capital plan remained ambitious and included a range of investment across research, teaching and learning, campus facilities and infrastructure, but that a much larger proportion of capital expenditure would need to be funded through internally generated surpluses as external capital grants became scarce.
- (i) That borrowing levels were forecast to increase, reaching £123m by July 2016, and cash balances would also reduce as a result of the ambitious expenditure plans but that minimum cash balances would remain above £30m, noting that the University might need to seek further borrowing for any additional investment plans, but these projects would need to yield sufficient return to cover loan repayments.
- (j) That the key threats considered during the planning process were; government funding cuts, pension costs, Home/EU student demand under new fees regime and reliance on Overseas student fees.
- (k) That the eight new posts under the New York Centre for Urban Science and Progress were expected to be self-financing: the research income and course fees generated by the posts would cover salary costs.
- (l) That the objectives of the University's Strategy Vision 2015 were central to the process of allocating funding within the planning round.
- (m) That the Financial Plan only included donations received by the University and excluded any pledges made.

(by the Treasurer)

- (n) That he commended the methodology utilised to develop the financial plan, noting that it resulted in a comprehensive and well tested budget which ensured that the University remained in a strong position to borrow at competitive rates.

(by the Registrar)

- (o) That the Key Performance Indicator (KPI) report to be presented to the November 2012 meeting of the Council would provide a clear sense of the trajectory of the performance of the University.
- (p) That growth of the University's income would be very significant as surpluses would need to be strategically invested, particularly given the lack of availability of Government funding.

(by Mr J Higgins)

- (q) That it was important to note that the University considered risk and reward in a significant level of detail in all business judgements and that this was possible due to the quality of the management information available and that all decisions were influenced by the knowledge and perspectives of teams of staff.

(by the Deputy Registrar)

- (r) That academic departmental financial plans were peer reviewed by the Academic Resourcing Committee.

(by Mr N Sanders)

- (s) That the University was in a comfortable financial position but that when Council were asked to approve the Financial Plan in 2013, it would be helpful to have the space to consider the proposals within the wider context of the University's plans and progress.
- (t) That it was encouraging that increases in student numbers were being met with planned increases in the academic staff headcount, which would be beneficial to the student experience.

(by Ms V Heywood)

- (u) That it would be helpful for the Council to take a detailed look at fundraising targets and strategy in the context of the pressures on both capital and revenue financial plans.

RESOLVED:

- (a) That the 2012/13 budget as set out in C.77/11-12, as endorsed by the Senate, be approved.
- (b) That an updated Financial Plan for the period 2012/13 through 2015/16 be brought forward for consideration by the Council at its November 2012 meeting prior to submission to the HEFCE by 1 December 2012 for final approval.

157/11-12 University Risk Status Summary Report

CONSIDERED:

A summary report outlining the current risk status for each of the key risks of the University (C.78/11-12).

REPORTED: (by the Registrar)

- (a) That a strategy for identifying, assessing and managing risks would be considered during the summer and a report would be brought to the Council for consideration in the Autumn Term.
- (b) That the status of risk Risk T7 (Not achieving a strategically desirable number, quality and diversity of applications and enrolments) had increased from 5 to 6, in the light of the increased likelihood that the University would not meet all of its Home/EU undergraduate student recruitment targets for the coming academic year, and in reflection of the uncertainty concerning the differential impact on departments and subjects of changing patterns of demand and applicant behaviour.

RESOLVED:

That the risk status summary report be approved as set out in paper C.78/11-12.

158/11-12 Alliance with Monash University: Strategic Plan

CONSIDERED:

A paper setting out the strategic plan for the development of the University's alliance with Monash University (C.79/11-12).

REPORTED: (by the Pro-Chancellor)

- (a) That Warwick would be hosting Monash University's Deputy Chancellor, Dr Leanne Rowe, during the week of the summer degree ceremonies and that this presented a useful opportunity for Council members to engage with a senior member of Monash's Council.

(by the Deputy Registrar)

- (b) That since the Heads of Agreement had been signed with Monash University in December 2011, the vision of the Alliance had been drawn out into a Strategic Plan which identified priority activities and associated Key Performance Indicators, against which success can be measured.
- (c) That the Key Performance Indicators were profiled to provide a sense of trajectory and scale within the first five years of the establishment of the Alliance.
- (d) That the Strategic Plan had been endorsed by the Vice-Chancellors of both Warwick and Monash and that the detailed monitoring of the strategy would be the responsibility of the Alliance Steering Committee supported by the Alliance Pro-Vice-Chancellor and the executive management of both Universities, culminating in an annual report to both of the Universities' Councils at the end of each calendar year.
- (e) That there had been a number of productive working groups involved in the development of the Alliance Strategy across research, teaching and administration involving students and both academic and administrative staff and that overall, engagement between the institutions had been strong and encouraging.
- (f) That the Strategic Plan had been worked into the Financial Plan in relation to the level of investment required to ensure that the Alliance achieved critical mass and a strong trajectory within the first five years, given the time lag in income generation, and as a result the financial envelope of £4m p.a. for strategic partnerships, had been recommended to the Council via the Finance and General Purposes Committee report (C.76/11-12) and that this would be refined as specific business plans were integrated into the financial plan.
- (g) That enhancement of the Student Experience through the Alliance was relevant to all students, not just those registered on specific joint courses and that both institutions would look to engage student societies in the Alliance and identify ways to feed an international dimension into curriculum in all disciplines.
- (h) That the Industrial Engagement Alliance aim, with a focus on building an 'Alliance circle' to advise on building opportunities and models for collaboration, had been introduced in the Strategy to replace the original fundraising objective, as accessing new sources of funding would underpin all of the strategic objectives.

- (i) That the Alliance would include a number of joint posts as well as opportunities for exchanges for existing staff and joint programmes at both PhD and Masters level.
- (j) That the Students' Union had been engaged in the Alliance and that Monash had a world class debating society and a virtual debate with Warwick Debating Society would take place in the Autumn Term.
- (k) That the operational structures and procedures required to underpin the Alliance were still being shaped, but that the development of the infrastructure to support this unique collaboration was resulting in considerable intellectual capital.
- (l) That the affiliation statement for high profile research outputs associated with joint appointments was being considered as part of the positioning of the brand of the Alliance and to ensure that outputs supported the Research Excellence Framework submission and the Excellence in Research for Australia (ERA).

(by Professor P Winstanley)

- (m) That the Alliance would need to be supported by appropriate software and distance learning tools.

(by the Registrar)

- (n) That Warwick and Monash used the same enterprise solution, Moodle, for distance learning and that Warwick had been able to draw on the experience of Monash in this area.
- (o) That the Alliance was not yet ready to incorporate new academic partners, but that a body of intellectual property on building alliances was being developed by both partners and that it was hoped that in three to five years' time the Alliance could be extended to a third partner.

(by the Director of Finance and Financial Strategy)

- (p) That both universities would need to consider options for surplus generation through the Alliance to support the overheads and that upfront investment would be required as there would be a time lag before the Alliance was self-financing.

(by Mr L Boe)

- (q) That students would need a clear motivation to engage with the Alliance and it was important to ensure that the targets associated with the objectives had clear aims, but that students could benefit and acquire a range of skills through the Alliance which were not part of a 'normal' higher education experience.

(by Professor T Jones)

- (r) That joint appointments would be made by the Alliance in areas of activity with significant income streams.

(by Mr P Dunne)

- (s) That it was important that the University aimed high and ensured that the Alliance brought considerable benefit beyond the learning related to the experience of building an international partnership.

(by the Vice-Chancellor)

- (t) That it would not be possible to know the full extent of the benefits which the Alliance would bring to Warwick and Monash for some time, but that it was most important that the partnership resulted in additional and demonstrable benefits for both partners which could not have been delivered outside of the Alliance.

(by Mr N Sanders)

- (u) That the KPIs for the Alliance needed to be ambitious and that if the goals set were too cautious, the benefits of global networking would not be fully realised, noting that engaging 500 students p.a. at each institution in Alliance activity by 2017 represented quite a conservative target.

RESOLVED:

That the Strategic Plan for the Monash-Warwick Alliance as set out in paper C.79/11-12, be approved.

NOTE: the Strategic Plan would also be considered within the Monash governance framework for consideration by the Monash Council in July 2012.

159/11-12 Review of the University's Governing Instruments

CONSIDERED:

A paper proposing the establishment of a working group to engage with the review of the University's governing instruments (C.80/11-12).

RESOLVED:

- (a) That the establishment of the Governing Instruments Review Group, with the Terms of Reference and constituent membership as set out in paper C.80/11-12, be approved.
- (b) That the delegation of authority to the Chair of Council to appoint relevant individuals to the Review Group be approved.

160/11-12 Awards and Distinctions

RECEIVED:

A paper setting out the awards and distinctions that have been conferred on members of the University since the last meeting of the Council held on 16 May 2012 (C.81/11-12).

RESOLVED:

That the Council congratulated Vikki Heywood on being appointed a CBE in the Queen's Birthday Honours.

161/11-12 Head of Corporate Governance

REPORTED: (by the Registrar)

That this would be the last meeting of the Council attended by Mr Darren Wallis, Head of Corporate Governance, as he was moving to act as Interim Director for the Centre of Lifelong Learning, enabling the present Director, Dr David Lamburn, to lead on the QAA Audit.

162/11-12 Effectiveness Review of the Council

CONSIDERED:

A paper providing a summary of the issues raised through the initial Council Effectiveness Review questionnaire and consultation with members and attendees of the Council (C.82/11-12).

REPORTED: (by Mrs P Egan)

- (a) That she thanked John Lauwerys for reviewing and revising the Effectiveness Review questionnaire and engaging in one to one discussions to seek the view of several members and attendees of the Council.
- (b) That it had been important to gather not only quantitative information, but also qualitative feedback on the views of those associated with the Council to inform the review and that the overall impression of the outcome of the questionnaire had been that Warwick was seen as a very well-run university.
- (c) That one of the initial outcomes of the questionnaire was that it was important to identify more opportunities for lay members of the Council to add value and make a significant contribution of their skills and expertise to the success of the University.
- (d) That the format and the content of Council meetings needed to be considered in more detail, it had been noted that Council paper summary coversheets had been a welcome addition, but that there could be further areas for improvement.

(by Mr J Lauwerys)

- (e) That he had welcomed the opportunity to meet with members and attendees of the Council and that he would be happy to arrange further meetings for any individuals that he had not yet met with one to one.
- (f) That he was still building up an understanding of the strategy and operations of the University and that while it was clear that Warwick was very successful, it was important to be able to identify the role of the Council in this success and so he encouraged the Council to be self-critical.

(by Sir David Normington)

- (g) That he had welcomed the opportunity to discuss his perspective as a new member of the Council and that it was important that, given the significant time commitment that lay members made, the Council clearly added value to the University.
- (h) That, in his view, the Council was too big for meaningful discussion and debate and that it was important that there were mechanisms for members to make contributions outside of the formal meetings.

(by the Pro-Chancellor)

- (i) That he had initiated the Review as the new Chair of the Council in order to consider areas for improvement, not through comparison to other higher education institutions, but by identifying principles of best practice from corporate governance from all sectors.
- (j) That, while the Council had a responsibility to consider statutory business, it was important to review Council agendas, the nature of the matters considered by and the information presented to the Council and to ensure that they were appropriate.
- (k) That a discussion would be initiated around the size of the Council and the balance between the representation and the capacity for valuable debate.
- (l) That the nature and role of Council Committees would be considered including the potential for engagement of lay individuals who were not members of the Council and the delegation of decision making authorities to Committees and individuals with defined roles..

(by Mr G Whitworth)

- (m) That the Students' Union would be happy to produce an annual calendar of key events which lay members of the Council could engage with.

RESOLVED:

- (a) That Mr John Lauwerys and Mrs Penny Egan would be invited to attend the October and November 2012 meetings of the Council and the Council Away Day.
- (b) That an update on the Effectiveness Review would be brought to the October 2012 meeting of the Council.
- (c) That Council members would be invited to join one or two of three working groups in areas identified as having a need or opportunity for improvement and that the groups would report their findings back to the Council at the November 2012 meeting:
 - (i) The size and composition of Council and the role and composition of Committees;
 - (ii) The Council agenda, the format of its meetings, the time devoted to various topics and the information provided to its members in terms of format, detail and presentation; and
 - (iii) Making greater use of Council members' expertise and engaging members more fully with the life and activities of the University.

163/11-12 Equality and Diversity Committee

CONSIDERED and ADOPTED a report from the meeting of the Equality and Diversity Committee held on 22 May 2012 (C.83/11-12) on the following items of business:

(a) Equality Objectives

RESOLVED:

That the Equality Objectives as recommended by the Equality and Diversity Committee and the Senate and set out in paper EDC.15/11-12, Revised, be approved.

(b) Higher Education Statistics Agency (HESA) – Changes to Staff and Student Data

RESOLVED:

That the deferment of the HESA data collection on sexual orientation and religion or belief for both staff and students until 2013/14 with a review at that time as to whether to collect this data, as recommended by the Equality and Diversity Committee and the Senate, be approved.

- (c) Athena SWAN Charter
- (d) Research Excellence Framework (REF) Code of Practice
- (e) Access Guide of the University Campus Facilities for Disabled People

164/11-12 Intellectual Property Committee

CONSIDERED and ADOPTED a report from the meeting of the Intellectual Property Committee held on 10 May 2012 (C.84/11-12) on the following items of business:

(a) Membership of the Intellectual Property Committee

RESOLVED:

That the appointment of the Director of Corporate Relations to ex officio membership of the Intellectual Property Committee from the start of the 2012/13 academic year, as recommended by the Intellectual Property Committee and the Senate, be approved.

- (b) Development of Intellectual Property Policy
- (c) Student-Generated Intellectual Property
- (d) Student Laboratory Notebooks

165/11-12 University Research Ethics Committee

CONSIDERED and ADOPTED a report from the meetings of the Research Ethics Committee held on 28 February 2012 and 12 June 2012 (C.85/11-12) on the following items of business:

(a) Research Ethics Committee Annual Report

RESOLVED:

That the Annual Report for the Research Ethics Committee as recommended by the Research Ethics Committee and the Senate and set out in paper REC.12/11-12, Revised, be approved.

- (b) Membership and Terms of Reference
- (c) Internal Audit Recommendations - Project Plan Update
- (d) Chair's Letter to Heads of Departments on Research Governance Webpage and the Revised Research Code of Practice
- (e) Harmonisation of Biomedical Research Ethics Committee and Humanities and Social Sciences Research Ethics Committee Process and Application Forms
- (f) Humanities and Social Sciences Research Ethics Committee Student Survey
- (g) Universities UK Draft Research Integrity Concordat

166/11-12 Honorary Degrees Committee

CONSIDERED and ADOPTED a report from the meetings of the Honorary Degrees Committee held on 20 December 2011, 31 January 2012 and 26 June 2012 (C.86/11-12) on the following items of business:

- (a) Role of the Honorary Degrees Committee
- (b) Winter Degree Congregation 2012
- (c) Summer Degree Congregation 2012

167/11-12 Changes to the Memorandum and Articles of Association of the Students' Union

CONSIDERED:

A paper outlining the proposed changes to the Memorandum and Articles of Association of the Students' Union (C.87/11-12).

RESOLVED:

That the new Warwick Students' Union Memorandum and Articles of Association, as set out in paper C.87/11-12, be approved.

168/11-12 Future Meeting Dates of the University Council, Timetable for Council Committees and Term Dates

CONSIDERED:

A list of proposed dates of future meetings of the University Council for the academic years 2012/13 to 2014/15 and University term dates until 2022/23 (C.88/11-12).

RESOLVED:

- (a) That the list of proposed dates of future meetings of the University Council for the academic years 2012/13 to 2014/15, as set out in paper C.88/11-12, be noted.
- (b) That the University term dates for the academic year 2022/23, as set out in paper C.88/11-12, be approved.

169/11-12 Register of Members' Interests

REPORTED:

That a copy of the Register of Interests of members of the University Council was available from the Deputy Registrar's Office and that the University would be writing to each of those members of the Council who would continue to serve in 2012/13 to update existing information on their interests.

170/11-12 Amendments to University Ordinances

CONSIDERED:

- (a) For the second time, proposed amendments to University Ordinance 13 on Degrees and Diplomas, as recommended by the Senate (C.89/11-12).
- (b) For the first time, proposed amendments to University Ordinance 7 on the Constitution of the Boards of the Faculties, as recommended by the Senate (C.90/11-12).

RESOLVED:

- (a) That proposed amendments to University Ordinance 13 on Degrees and Diplomas as recommended by the Senate and set out in paper C.89/11-12, be approved for the second time.
- (b) That proposed amendments to University Ordinance 7 on the Constitution of the Boards of the Faculties as recommended by the Senate and set out in paper C.90/11-12, be approved for the first time.

As at 4 October 2012