

THE UNIVERSITY OF WARWICK

Minutes of the meeting of the Information Policy and Strategy Committee
held on 30 May 2013

Present: Professor S Swain (Acting Chair),
Professor M Knights,
Dr K Leppard,
Ms T MacKinnon,
Professor M Rodger,
Professor J Smith,
University Librarian,
Mr J Entwistle.

Apologies: Professor T Jones (Chair)
Professor C Hughes,
Dr S Mann,
Professor D Singer,
Professor P Thomas,
Professor P Winstanley,
Deputy Registrar,
Director of Campus Services.

In Attendance: Ms J Findlay (Secretary), Head of Institutional Governance Services (for item 38/12-13), Mr B Hogg (Director of Business Development as an observer).

33/12-13 Minutes

RESOLVED:

That the minutes of the Committee meeting held on 27 February 2013 be approved, subject to the following amendments (additions underlined, deletions struck through):

29/12-13 Strategic Discussion Topic: Cloud Services Storage – Opportunities and Risks

(....)

- (b) A contextual presentation from the Director of Campus Services and the Assistant Registrar (Risk, Continuity and Information Security) and Secretary to IPSC with a focus on the applicability of Cloud storage to the University environment.

(...)

- (h) That better publicity of the University stance on cloud storage was needed, as there were colleagues already using unapproved public cloud storage to conduct University business.

34/12-13 E-Publishing Update (minute 26/12-13 refers)

REPORTED: (by the University Librarian)

- (a) That two posts to support the development of e-publishing at the University had been included within the Library Five Year Plan 2013 and had been agreed in principle with the Registrar.
- (b) That the Five Year Planning round was due to conclude in July 2013 and that the outcome of the posts and the supporting funding source would be known at that stage, it being noted that a recruitment exercise for post-holders to be in place by the start of the 2013/14 academic year would be challenging against this timescale.
- (c) That the Advisory Board for *Exchanges: the Warwick Early Career Researchers Journal* had considered numerous submissions for the first edition and had been impressed by the quality.

35/12-13 Massive Open Online Courses (MOOCs) (minute 28/12-13 refers)

REPORTED: (by the Acting Chair)

That the interest in developing MOOCs at Warwick appeared to be waning despite calls for engagement by the Warwick Business School.

36/12-13 Development of the Library and IT Service Five Year Plans 2013

CONSIDERED:

A paper presenting comments from members of IPSC on the draft Library and IT Services Five Year Plans (IPSC.23/12-13).

REPORTED: (by Acting Chair)

- (a) That the draft Library and IT Services Five Year Plans were circulated to members by correspondence for consideration on 2 April 2013.
- (b) That membership and identity management raised by Dr K Leppard within his comments was a fundamental issue for the University to address, especially in the context of providing a good student/colleague experience and to ensure compliance with various licences or other contractual obligations in relation to access control to specific information or resources.
- (c) That the strategic discussion on this topic had been scheduled for this meeting but a decision had been taken to postpone this until the first meeting of 2013/14 academic year due to the absence of several key members.

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

- (d) That, as set out in the Five Year Plan, IT Services were undertaking a project to replace the technology supporting membership and identity management and that she was a member of the Project Board, which

would meet for the first time on 5 June 2013.

- (e) That concurrently, the Deputy Registrar was taking forward discussions to validate and reconfirm the principles of how and why an individual becomes a 'member' of the University and the associated privileges including access to various systems and facilities.
- (f) That a sub-group of the Operational Risk Management Group (ORMG) would be considering the risks associated with the current membership and identity management processes, particularly with reference to the recent Library internal audit report which flagged the potential for non-compliance with licences due to the current membership management processes as a risk area for urgent attention.

(By Professor M Rodger)

- (g) That consideration should be given within the IT Services project to any potential implications of both the technology replacement project and changes to the 'business rules' behind membership to other users of the LDAP authentication directory across the University.

RESOLVED:

- (a) That the Assistant Registrar (Risk, Continuity and Information Security) raise the concerns of IPSC at the meetings of the Identity Management Project Board and the sub-group of ORMG, with a view to updating IPSC as appropriate.
- (b) That IPSC would wish to input into the IT Services Identity Management project and the reflection on membership principles at the earliest opportunity and that the Secretary consider a mechanism for facilitating this.

37/12-13 Guidance on the Use and Selection of Cloud Storage (minute 29/12-13 refers)

REPORTED: (by the Acting Chair)

- (a) That following the strategic discussion at the previous meeting of IPSC, a guidance document on the use and selection of Cloud services had been published by the Institutional Governance team in liaison with the Director of Campus Services and IT and other University Senior Officers.

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

- (b) That the web-page for the guidance had received 789 hits (from 346 PCs/devices) since its publication on 14 May 2013 with the PDF guidance being downloaded 181 times.
- (c) That supplementary work was being undertaken with the Academic Technologies team in IT Services to provide further information on practical applications of Cloud storage and services for University activities and that a series of FAQs or worked examples would be developed over time based on actual queries from or uses demonstrated by colleagues.

(By Ms T MacKinnon)

- (d) That it was her opinion that whilst the guidance was welcome, IT Services appeared not to be fully engaged with the needs of the University community and was not appropriately reflecting the services and innovative development already underway on campus within its activities or advice.

RESOLVED:

That the Secretary ensure that the Director of Campus Services and IT was aware of the feedback from members as he was unable to attend the meeting.

38/12-13 Scheduling of Future Meetings

RESOLVED:

That the Secretary liaise with the Head of Institutional Governance to seek some resolution to the scheduling issues raised by members, namely the difficulties of attending meetings held in vacation or school half-terms and the lack of a regular meeting slot in each term to allow members to plan appropriately for attendance, it being also noted that a number of wider institutional changes to the Committee Timetable were being implemented for 2013/14.

39/12-13 Information Security Framework

CONSIDERED:

A paper from the Head of Institutional Governance Services and the Assistant Registrar (Risk, Continuity and Information Security) presenting a proposed framework approach for information security management at the University, together with a Strategic Statement for Information Security and a revised version of University Regulation 31 governing the Use of University Computing Facilities (IPSC.27/12-13).

REPORTED: (by the Head of Institutional Governance Services)

- (a) That the proposed framework approach for information security management and the associated documents presented for IPSC's consideration should be seen in the context of the University's commitment to reducing its current level of risk exposure in this area.
- (b) That individual behaviour and adoption of good computer and information handling hygiene were essential elements of the University's defence against security incidents, including cyber attacks, and that the information security framework sought to bring together the raft of documentation across the University's activities to better inform and support colleagues in playing their part in the safeguarding of University information assets.

- (c) That it was acknowledged that a reduction of the current risk exposure in this area through enhanced information security practice would only be achieved with effective consultation and proactive communication of the University's expectations of its members, together with the provision of effective training and support, it being noted that the implementation of the framework would be accompanied by online information security training offered in partnership with the Learning & Development Centre to all staff.
- (d) That the proposed revisions to Regulation 31, drafted in liaison with the Director of Campus Services and IT, were intended to better reflect the current computing environment at the University and to more closely mirror the wording with our JANET licence terms and conditions as Regulation 31 was the University's means of ensuring compliance.
- (e) That the proposed revisions would be subject to further review by Human Resources in conjunction with the University lawyers prior to recommendation to the Senate.
- (f) That the next step in the overall programme of work was to focus on aspects of the framework that had been identified for necessary and urgent attention, such as email best practice and corporate records management.

(By Professor M Rodger)

- (g) That while the updates to Regulation 31 were welcome in principle, the revisions might prove difficult to reconcile with non-IT Services provided computing facilities on campus, and that further consultation should take place to ensure that the revisions did not introduce any unintended adverse consequences for local services.

(By Dr K Leppard)

- (h) That since the University, in its role as employer, reserved the right to take disciplinary action against staff for infringement of Regulations, staff deserved clarity in those Regulations and that some of the proposed revisions to Regulation 31 appeared to offer opportunities for interpretation by managers.
- (i) That the University should look to enable the use of email, for example in relation to student-staff communication on mitigating circumstances and staff discussing exam marks or appeals cases, as this was a preferred way of working, whilst addressing data protection concerns.

(By the University Librarian)

- (j) That he welcomed the framework approach in providing clarity across a wide ranging area which was being delivered by diverse services at the University and that it was his hope that this approach would be adopted in other areas.

RESOLVED:

- (a) That the Strategic Statement for Information Security be approved, subject to the amendments discussed at the meeting to reflect the responsibilities of Heads of Departments/Centres/Activities to ensure their staff undertake appropriate training in this regard and to monitor compliance and participate in departmental 'health checks' from time-to-time in relation to the enabling and maintaining of compliance at departmental level.
- (b) That the Assistant Registrar (Risk, Continuity and Information Security) circulate the proposed revisions to Regulation 31 governing the use of University computing facilities to the Chairs of the Faculty IT Committees for further consideration in liaison with colleagues in departments with a view to amendments being incorporated as relevant in advance of recommendation to the Senate for approval in 2013/14.
- (c) That consideration be given to providing an executive summary to Regulation 31 once a revised version has been approved to enable the efficient communication of the key points of the Regulation.

40/12-13

Open Access Update

CONSIDERED:

An update from the University Librarian on the development of Open Access at the University and progress towards the RCUK requirements for Open Access publication of RCUK funded research (IPSC.24/12-13).

REPORTED: (by the University Librarian)

- (a) That the RCUK had confirmed that the Green Route to Open Access was now acceptable for compliance to its publishing requirements and that this was beneficial for Warwick as it reduced the need to find additional funding to cover the additional Article Publishing Charges (APCs) which would be introduced if all RCUK-funded publications had to adhere to the Gold Route.
- (b) That the Gold Route remained the RCUK's preferred route for Open Access and that the University should be mindful that it might at a future point be required to move all publications to the Gold Route which would involve securing additional funding support.
 - (a) That the Russell Group had produced some analysis which indicated that the average APC for publishers listed in the Sherpa Romano list had increased by 8.2 percent between November 2012 and May 2013, it being noted that the Nature Publishing Group had increased their RCUK-compliant Gold APC cost by 35 percent.
 - (b) That additionally, the Royal Society of Chemistry and the American Chemical Society had introduced multiple APC licence/price options for authors to choose from, with the most expensive being for compliance with RCUK requirements.

- (c) That where an institution had a mandate for authors to deposit in an institutional repository (as Warwick now had), Elsevier required authors to obtain a waiver from that mandate in order to publish in an Elsevier title unless the institution has entered into an agreement with Elsevier regarding posting of articles in its repository.

(By Professor M Knights)

- (d) That the fact that the University has excluded payment for page, colour and other charges from the RCUK institutional block grant might deter authors from publishing.
- (e) That this was an issue affecting many colleagues in the Faculty of Arts who used images in their work and the University would need to make alternative provision to fund permission and publication rights in Open Access journals.

(By the Acting Chair)

- (f) That the Wellcome Trust had extended its Open Access policy to include all original scholarly monographs and book chapters authored or co-authored by Trust grantholders as part of their grant-funded research and that the associated charges would be funded using the current institutional block grant system.

RESOLVED:

That the University Librarian raise the concerns of members, especially the exclusion of colour and page costs from the block grant, with the Scholarly Communications Group at its forthcoming meeting.

41/12-13 JISC Banding Review

RECEIVED:

A paper from the University Librarian relating to changes in the JISC Collections Banding with effect from 1 August 2013 for new licence agreements and 1 August 2014 for renewals of existing agreements, it being noted that the changes might result in increased cost for the University (IPSC.25/12-13).

42/12-13 Update from the Research Data Steering and Operational Groups

CONSIDERED:

A report from the Research Data Steering and Operational Groups on progress with research data management implementation (IPSC.26/12-13).

REPORTED: (by the University Librarian)

- (a) That the Operational Group last met on 24 May 2013 and was progressing the development of a catalogue of research data using a plug-into ePrints, the application used to deliver the Warwick Research

Archive Portal (WRAP).

- (b) That there were challenges around the capture of requisite metadata to support the catalogue and data preservation as this was subject to discipline-specific requirements perhaps best directly supplied by individual academics.
- (c) That the Operational Group had been functioning on an informal basis but that he had sought the assistance from the IT Services Project Management Office to develop a more formal programme structure within which work could be undertaken with more clarity and momentum.
- (d) That a bid for a post to co-ordinate the implementation of the research data management programme had been included within the Library Five Year Plan 2013 and the outcome was yet to be confirmed.

(By Professor M Rodgers)

- (e) That the University should be recognising the holistic activity and size of research data across the institution and ensuring that the implemented systems and processes would be sufficiently dynamic and scalable to encapsulate all requirements now and as they evolved over time.
- (f) That it was welcome that the University was including data preservation within the implementation but it was however clear to him that it would not be possible to guarantee the preservation for use of all data types and formats for perpetuity given the changing format translation/enhancement and that the focus should be on the preservation of data in its current format with no guarantee of future usability.

43/12-13 Minutes from the Faculty IT Committees

RECEIVED:

The unconfirmed minutes of the Faculties of Medicine and Social Sciences IT Committees (IPSC.28/12-13).

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