

THE UNIVERSITY OF WARWICK

Open Minutes of the Meeting of the Steering Committee held on 6 November 2017

- Present: Professor S Croft (Vice-Chancellor and Chair), Professor A Clarke (Chair of the Faculty of Medicine), Professor C Constable (Representative of the Senate), R Drinkwater (Group Finance Director), Professor C Ennew (Provost), Professor S Gilson (Chair of the Faculty of the Arts), Professor C Hughes (Pro-Vice-Chancellor (Education)), Professor M Nudds (Chair of the Faculty of Social Sciences), Professor M Shipman (Chair of the Faculty of the Sciences), H Worsdale (President of the Students' Union).
- Apologies: Professor J Palmowski (Academic Vice-President), R Sandby-Thomas (Registrar), Professor S Swain (Pro-Vice-Chancellor (External Engagement)), Professor P Thomas (Pro-Vice-Chancellor (Research)), Professor L Young (Academic Vice-President).
- In Attendance: J Breckon (Director of Estates), K Dixon (Administrative Officer (Governance)) (Assistant Secretary), G McGrattan (Director, People Group), R Roke (Director of Strategic Programme Delivery) (Secretary), I Rowley (Director of Development, Communication and External Affairs), C Silvester (Assistant Registrar (Resilience)) (for agenda item 7), R Wooldridge Smith (Acting Academic Registrar) (for agenda item 5).

Note: Some items are noted as "Exempt information not included" as they contain information that would be withheld from release to the public because an exemption under the Freedom of Information Act 2000 applies.

40/17-18 Minutes

RESOLVED:

That the open and restricted minutes of the meeting held on 9 October 2017 be approved.

41/17-18 Conflicts of Interest

REPORTED: (by the Chair)

That, should any members or attendees of the Steering Committee have any conflicts of interest relating to agenda items for the meeting, they should be declared in accordance with the Committee of University Chairs (CUC) Higher Education Code of Governance (2014).

NOTE: No declarations were made.

42/17-18 Matters Arising

REPORTED: (by the Chair)

That Professor Catherine Constable from Film and Television Studies be welcomed to her first meeting of the Steering Committee as the Senate representative for 2017-18.

43/17-18 In memoriam: Robert Freedman

REPORTED: (by the Chair)

- (a) That the University was deeply saddened by the news of the death of Professor Robert Freedman from the School of Life Sciences on Tuesday 17 October.
- (b) That Robert joined Warwick as Professor of Biochemistry and Head of Biological Sciences in 2002, holding his appointment as Head until 2007; Robert retired in 2010, before re-joining the University as a Recognised Researcher.

RESOLVED:

That the sincere condolences of the Steering Committee be extended to Robert's family.

44/17-18 In memoriam: Celia Patel

REPORTED: (by the Chair)

- (a) That the University was deeply saddened by the news of the death of Celia Patel on Saturday 14 October.
- (b) That Celia had worked at Warwick for 24 years, most recently as Administrative Officer in Space Management and Timetabling; her funeral took place on Monday 6 November.

RESOLVED:

That the sincere condolences of the Steering Committee be extended to Celia's family.

45/17-18 Times Higher Education University Rankings

REPORTED: (by the Chair)

That the Times Higher Education University Rankings had placed five of Warwick's departments in the top 100 for their respective fields: Business and Economics, Arts and Humanities, Social Sciences, Education and Law were all named as in the top 100 for their subject area.

46/17-18 New Chair of the Faculty of Arts

REPORTED: (by the Chair)

That Professor Penny Roberts would be taking up the post of Chair of the Faculty of Arts from 1 January 2018, having been a member of the University since 1992, most recently as Deputy Head of the Department of History.

47/17-18 Philip Leverhulme Prizes 2017

REPORTED: (by the Chair)

- (a) That four University of Warwick academics had won Philip Leverhulme prizes in the 2017 awards round: Dr Ana Aliverti, Dr Alice Mah, Dr John Michael and Dr Hendrik Weber were all awarded prizes this year.
- (b) That the importance of the support of the departments for the prize winners be noted.

48/17-18 Dr Richard Hutchins

REPORTED: (by the Chair)

That Dr Richard Hutchins, currently Chief Operating Officer of the West Midlands Growth Company, had been appointed to the role of Director of Strategy and Policy at Warwick and was expected to formally take up the position in the next few months.

49/17-18 Professor Stephen Jarvis

REPORTED: (by the Chair)

- (a) That Professor Stephen Jarvis had been appointed as Deputy Pro-Vice Chancellor (Research Infrastructure and Governance).
- (b) That in his new role, Stephen would work closely with Professor Pam Thomas, Pro-Vice Chancellor (Research), to lead on Research Infrastructure and Governance in support of the University's overall research strategy.

50/17-18 Report from the Academic Resourcing Committee

CONSIDERED:

A report from the Academic Resourcing Committee (SC.18/17-18) {restricted}.

REPORTED: (by the Group Finance Director)

- (a) That the replacement of 'to oversee' with 'to guide' in the Academic Resourcing Committee's Terms of Reference could potentially be interpreted as a weakening of the Committee's responsibility to ensure that departments remain within their funding envelope.

(by the Provost)

- (b) That the intention behind the rewording was to present the Committee as a supportive body for departments, but confirmed that the Financial Plan Sub-Committee could still rely on ARC to ensure that departments were spending within their allocated envelope.
- (c) That the ARC planning and budget process had been revised with a view to allowing departments more discretion to spend in-year within their overall envelope; it was noted that this should reduce the number of business cases required to be prepared for ARC and thereby reduce the burden of central administration.

(by the Acting Academic Registrar)

- (d) That budget setting this year aimed to ~~reduce~~ produce [revised at the meeting on 20 November 2017] gross target [revised at the meeting on 4 December 2017] departmental margins and that work was underway in liaison with Finance to establish indicative targets for monitoring this.
- (e) That the Widening Participation Committee had revised its governance arrangements for onward reporting, and developed a framework for the refresh of the University's Widening Participation Strategy.

RESOLVED:

- (a) That the revised Terms of Reference for the Academic Resourcing Committee, as set out in Annex A of (SC.18/17-18) {restricted} be approved.
- (b) That the Report from the Academic Resourcing Committee be noted.

51/17-18

*Report from the Capital, Space and Amenities Group

CONSIDERED:

A report from the Capital, Space and Amenities Group (SC.19/17-18) {restricted}.

REPORTED: (by the Provost)

[Exempt information not included]

- (c) That there would be a review of teaching room arrangements for the Centre for Applied Linguistics with regard to the pre-sessional programmes.
- (d) That for the 2017/18 timetable, 94% of undergraduates and 77% of postgraduate students had access to a fully personalised online timetable.
- (e) That the future space and facilities requirements of the physical sciences and engineering departments would be considered at a future meeting of the Capital, Space and Amenities Group.
- (f) That the Psychology Department would be impacted by plans for the new Faculty of Arts building and that a task and finish group had been established to consider options for the future relocation of the department.

(by the Group Finance Director)

[Exempt information not included]

(by the Director of Estates)

[Exempt information not included]

(by the Chair)

- (k) That the issues discussed should be incorporated into the main campus masterplan.

RESOLVED:

That the report from the Capital, Space and Amenities Group (SC.19/17-18) {restricted} be noted.

52/17-18

Institutional Risk Register (Autumn Update)

CONSIDERED:

An update to the Institutional Risk Register (SC.20/17-18) {restricted}.

REPORTED: (by the Assistant Registrar (Resilience))

- (a) That the Institutional Risk Register had been updated to include the risk of non-compliance with the General Data Protection Regulation; it was noted that the wording and assessment of this risk had been established in liaison with the Strategic Programme Delivery Team (currently supporting initial GDPR preparatory work) and the Director, Knowledge Group.
- (b) That the risk relating to Health and Safety had been reworded to reflect that Health and Safety related to all aspects of campus activity, not solely work and study.
- (c) That a new Risk Architecture was being developed, which recommended that individual risk owners be replaced with relevant accountable committees that would have oversight of specific risks; however it was noted that there were still some risks to be assigned to a relevant accountable committee.
- (d) That there was a more detailed Risk Register underpinning that which was presented to the Committee, which included details of those individuals responsible for specific areas and/ or risk actions; therefore should an issue emerge related to a risk yet to be assigned to an accountable committee, the detail underpinning the Risk Register would identify a responsible person and a path of escalation to ensure the risk was managed appropriately.
- (e) That the proposed Risk Architecture would ensure that decisions relating to risks were made in a more broadly considered and auditable manner.
- (f) That it was expected that continuous 'risk horizon scanning' would occur on an operational day-to-day basis, and that the committee assigned a certain risk would be responsible for considering whether the measures in place were adequate for managing the risk, and for onward reporting of assurance or otherwise.
- (g) That it was proposed that the Steering Committee received updates on the Institutional Risk Register in the spring and summer terms, with committees having met and discussed their risks in the summer term and therefore being in a more informed position to provide an update to the Steering Committee on the risks for which they are accountable.
- (h) That the Steering Committee would still receive a lighter-touch update in the autumn term, which would serve to highlight any ongoing issues of concern or developmental work being undertaken.

- (i) That the University Executive Board had proposed that the risk relating to Brexit be removed, given that Brexit is a certainty and therefore an issue to be managed by the University and no longer a potential 'risk'.

(by the Chair of the Faculty of Social Sciences)

- (j) That the consequences of Brexit could still be considered as risks to the University and that if the Institutional Risk Register were to embed such consequences in other risks on the register, these would require re-assessing; it being noted that the status of risk 26 (staff profile) was of particular concern in this regard.

(by the Director, People Group)

- (k) That embedding staff-related risks into other aspects of the Risk Register could potentially disguise issues that do not have uniform impact across departments; it was noted that the register would therefore not accurately reflect the risks to specific departments.
- (l) That the rewording of risk 23, relating to Tier 4 Licences, did not currently encompass all sponsorship licences.
- (m) That the risk relating to Brexit could be reworded as risk of the University mismanaging the consequences of Brexit.

(by the Chair of the Faculty of the Sciences)

- (n) That Brexit remained a significant institutional risk and therefore the Committee should be mindful of not inadvertently suggesting to the wider University that it is not perceived as such.

(by the Group Finance Director)

- (o) That risk 22, relating to utilities usage, should be removed from the Institutional Risk Register and be absorbed into the Estates Risk Register instead.
- (p) That risk 6, relating to carbon emission targets, should be reworded to reflect recent developments in carbon emissions legislation.

(by the Pro-Vice-Chancellor (Education))

- (q) That in instances where no amendments were reported for a top-five risk it would be useful for the IRR update reports to include confirmation that the respective risks continued to be actively managed.

(by the Provost)

- (r) That risks 25 and 26, financial sustainability and staff profile respectively, were both currently under control, but that the impact of not managing these correctly justified their placement higher up the Risk Register.

(by the Director of Development, Communication and External Affairs)

- (s) That reputational risk was not an individual risk to be managed by one area of the University or committee solely and that the Risk Architecture should be mindful of risks such as this that may require different ownership and management.

RESOLVED:

- (a) That the draft Institutional Risk Register (SC.20/17-18) {restricted} be approved, subject to the revisions requested by the Committee.
- (b) That the proposed Risk Architecture, as set out in Annex D, be approved in principle, and brought back to the Steering Committee for further review once work on assigning oversight committees for all risks had progressed.
- (c) That the revised Risk Reporting Calendar be approved.

53/17-18

*Prevent Duty

CONSIDERED:

The University's Draft Annual Report to HEFCE on Prevent Duty (SC.21/17-18) {restricted}.

REPORTED: (by the Director, People Group)

- (a) That compliance with the Prevent Duty was not a significant area of risk for the University; there was need to fully comply with the Duty but it was noted that the University's response was proportionate to the risk and therefore not excessive in its application.
- (b) That the HEFCE had deemed the University's level of compliance with the Prevent Duty as adequate in February, but had highlighted Training as an area to cover in more detail for future submissions.
- (c) That there had been a small number of occasions where requests for potentially controversial external speakers had been escalated to the Head of Campus Security, but that none had been rejected.

[Exempt information not included]

(by the President of the Students' Union)

- (f) That it be clarified that the Students' Union was not governed by the NUS, and the report therefore be amended to reflect that the Students' Union was acting of its own accord in declining to participate in training and maintaining a stance of non-cooperation with Prevent.

(by the Chair)

- (g) That the Prevent Reference Group served as a forum whereby any issues or concerns could be addressed, but also where the philosophy of the University's approach the Prevent Duty be established.

RESOLVED:

That the University's Draft Annual Report to HEFCE on Prevent Duty (SC.21/17-18) {restricted} be recommended to Council, subject to the requested amendment.

54/17-18 [Exempt information not included]

16 August 2018