

From: Williams Lisa Ms (VCO)

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08/06/2010 13:13

To: "muir.russell

Cc: "will_50@

Sent: [08/06/2010 13:13] 08/06/2010 13:13

Subject: RE: CCER - Governance issues

Dear Sir Muir

Thank you for your email. I apologise for the delay in a response, it has taken a little while to gather the information. I am now able to provide responses as follows:

1. CRU staff move to established posts in ENV

Phil Jones 1.1.2001

Keith Briffa 31.5.1999

Mick Kelly 1.12.2000

Mike Hulme 1.9.1999

Unfortunately, due to the amount of time that has elapsed since Jean Palutikof's departure in 2004, we no longer have any information on the account code changes for this appointment - but we can say it would have been between 1999-2004.

2.

Over the last 20 years, the main sources of income for CRU have been EU Framework Programmes, the US Dept of Energy and NERC. There have been over 50 different funders overall. The average of all awards over the 20 year period is approx 800k/annum. Note: these are awards not expenditure (the expenditure of the awards may happen over several years) and some are collaborative where an element of the award will be passed on to partners in the project.

3. Risk management:

I am not entirely sure what is required here so I'm hoping that something here will be on the right lines: A risk strategy document is attached which outlines research risks in institutional terms, with accompanying attachment called ATR Research plan.

Additionally, in terms of research governance arrangements, designed to minimise risk, here is an update from Head of Research Ian McCormick (who you interviewed) and an RGN2 attachment:

As well as the governance arrangements incorporated into signing off each application (examples of how this has evolved over the years has already been presented to the Review in the context of the University's applications and awards process), each successful award is presented to the School with a copy of any terms and conditions and an RGN1. The RGN1 includes a summary of important or exceptional conditions, and responsibility for delivery is signed off by the Head of School and Principal Investigator before the award is accepted. The acceptance of the award is formalised in the RGN2. A copy of the RGN1 and 2 for the

EPSRC award already presented to the Review is attached to illustrate this.

Could you let me know when might be convenient for a conference phone call to discuss research risk strategy further and I will set this up if still required.

In terms of publication matters, thank you for the revised date. The Vice-Chancellor will be in touch with you directly to discuss this further, but I would be grateful if you could keep me updated on any developments.

Do let me know if you require any further information, or if the information I have provided so far does not address the points adequately.

Best,

Lisa

From: ALASTAIRMUIR RUSSELL
Sent: Wednesday, June 02, 2010 5:56 PM
To: Williams Lisa Ms (VCO)
Cc: David Eyton; David Walker; William Hardie
Subject: CCER - Governance issues

Lisa

I am currently tidying up our draft on a range of governance issues, based on the notes of the interviews David Eyton and I conducted on 26 March. The notes now incorporate the factual comments you gave us, and the various policy papers will be indexed on the basis of your exchanges with William - many thanks.

There are one or two matters where a little additional information will enable us to present a fuller picture and it would be helpful if you could arrange for these to be followed up;

1. I've lost sight of the date of the University decision about investing in environmental science that led to CRU having established posts rather than relying (apart from the Director) on soft money.
2. I want to put in a sentence about the typical amount of grant funding CRU would be earning in an average year (if there is such a thing!), and who the main funders would be. Great detail is not needed.
3. We didn't discuss in the interviews the place of risk management in the overall research strategy/management process. I'm sure this is not a problem, but it is a gap in what we can say about how things are organised. I wonder if you could arrange for a three way call with Trevor Davies or an appropriate colleague, involving David Eyton and me, to catch up on this.

Finally, could you pass on **in confidence** to Edward Acton the information that our publication date now looks to be 22 June, so we'll get the draft to you for factual comment in the course of Friday 18 June, with your response first thing on Monday 21 June. These were the intervals we discussed.

Best wishes.

Muir Russell

TO: HEAD OF SCHOOL: ENV



SUBJECT: RESEARCH AWARD NOTIFICATION: NEW AWARD
FROM: Dr Richard Doyle, Research Services

LEAD INVESTIGATOR: Professor Philip Jones

OTHER INVESTIGATORS: Dr Clare Goodess, Prof Jim Hall (Newcastle Uni), Mr C Kilsby (University of Newcastle upon Tyne), Dr Stuart Barr (Newcastle Uni), Dr Terry Barker (University of Cambridge), Professor Michael Batty (UCL),

c.c. Research Manager (ENV), Faculty Finance Office (SCI),

Details of the new contract / grant are attached. If the terms and conditions are acceptable to you please complete and return the slip below. If they are not acceptable please let me know

START DATE: 01/07/2009 FUNDER: EPSRC
END DATE: 30/06/2012 FUNDER REF: EP/G061211/1
PROJECT TITLE: ARCADIA: Adaptation and Resilience in Cities: Analysis and Decision making using Integrated Assessment

VALUE AWARDED: 132,077 FOREIGN VALUE: 0
SUPPLEMENT AWARDED: 0 EXCHANGE RATE:
TOTAL AWARDED: 132,077 * The university is using the above exchange rate but please note that this is for guidance only. The foreign value is fixed.

ALLOCATION ACROSS SCHOOLS ENV (100%),

OWNERSHIP OF IPR: UEA to own all IPR

SENSITIVE PROJECT: No

PUBLICATION OF RESULTS: Publication is unrestricted

POINTS TO NOTE:

1. Award to be accepted by 08/04/2009. RGN1 to be signed and returned 07/04/2009 at latest.
2. PI to confirm estimated start date for project, REE to then advise EPSRC on award acceptance.
3. A final report is due within 3 months after the end date. Due 30/09/2012
4. Funder to be notified of staff changes on this project. School/PI to contact REE at the earliest opportunity when staff changes occur.
5. Staff: 1 x framework equivalent of 1 x Res 4 Spine Point 49, 6% for 36 months (named), 2 x framework equivalent of 1 x Res 2 Spine Point 35, 100% for 7 months (named)
6. The directly incurred budget headings available to spend are: Consumables £1,062.00, Travel and Subsistence £5,737.00, Staff £63,257.00
7. The award must start by 01/01/2010

Contractual Terms:

PROJECT CODE: R16803
25 March 2009

RGN1

PROJECT CODE: R16803
LEAD INVESTIGATOR: Professor Philip Jones
PROJECT: ARCADIA: Adaptation and Resilience in Cities: Analysis and Decision making using Integrated Assessment

UEA Research, Enterprise & Engagement Office

31 MAR 2009

In signing this form, the Lead Investigator and Head of School confirm their collective and individual responsibilities in delivering the research project in accordance with the sponsor's terms and conditions and the University's and School's policies and procedures.

LEAD INVESTIGATOR: Philip Jones

DATE: 30/03/09

HEAD OF SCHOOL: ENV/ Philip Jones

DATE: 30/03/09

PRINT NAME: Philip Jones

TO: HEAD OF SCHOOL: ENV
SUBJECT: RESEARCH AWARD NOTIFICATION: NEW AWARD
ACCEPTANCE
FROM: Dr Richard Doyle, Research Services



LEAD INVESTIGATOR: Professor Philip Jones
OTHER INVESTIGATORS: Dr Clare Goodess
Prof Jim Hall (Newcastle Uni)
Mr C Kilsby (University of Newcastle upon Tyne)
Dr Stuart Barr (Newcastle Uni)
Dr Terry Barker (University of Cambridge)
Professor Michael Batty (UCL)

c.c. Research Manager (ENV), Faculty Finance Office (SCI), Research Finance.

The Grant / Contract has now been formally accepted by the University.

START DATE: 01/07/2009 **FUNDER:** EPSRC
END DATE: 30/06/2012 **FUNDER REF:** EP/G061211/1
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SENSITIVE PROJECT: No

PUBLICATION OF RESULTS: Publication is unrestricted

POINTS TO NOTE:

Budget details available on PMA

1. Estimated Start Date 01/09/2009 advised EPSRC via J-eS.
Start Date to be confirmed when project starts.

FILE REF:
PROJECT CODE: R16803
(The Account Number is the same as the Project Code)

02 April 2009

RG2

RBS/FIN Use Only

CONTRACT DESPACHED/ACKNOWLEDGED TO FUNDING BODY
Circulation
FINANCE DIVISION

Initials	Date
RO	2/4/9
JD	2/4/9
JR	3/4/9.

The risk strategy document and ATR Research plan have not been published with this note as the UEA considers them to be confidential.