SOAS
BOARD OF TRUSTEES
AGENDA

Tuesday 10 April from 14:00 hours (Conference Room, SG36)

Presentation on Research & Enterprise 14:00-15:00

Board of Trustee Meeting 15:00-18:30

Items marked with an asterisk are formal business, not intended for discussion. If members wish to discuss any issues arising from these items they should inform the Secretary by 9am on Thursday 05 April

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SOAS, UNIVERSITY OF LONDON

THE BOARD OF TRUSTEES (BoT)

Monday 27th November 2017

OPEN MINUTES

SOAS, Committee Room, Paul Webley Wing, London, WC1H 0XG

Members:
Ms Marie Staunton (Chair)
Baroness Valerie Amos (Director)
Sir Martin Harris (Vice-Chair)
Mr G Dalal (Honorary Treasurer)
Professor Richard Black
Dr Deborah Johnston
Ms Paula Sanderson
Mr Steve Tinton
Dr Tamsyn Barton
Sir Richard Stagg
Mr David Skinner
Mr Kofi Adjepong-Boateng
Professor Michael Charney
Professor Alfredo Filho-Saad
Mr Mehdi Baraka

In attendance:
Mr Graeme Appleby
Dr Chris Ince
Professor Stephen Hopgood
Miss Sally Priddle

Apologies:
Mr Andrew Popham
Mr Dimitri Cautain
Mr Nizam Uddin
Mr Geoffrey Robertson
BoT 17/18 2 A. Conflicts of Interest

There were no conflicts raised.

BoT 17/18 2 B. Minutes

The Board approved the minutes of the meeting on 17th October 2017.

BoT 17/18 2 C. Actions Taken

The Board agreed that the revised risk register would be circulated prior to the Board of Trustees strategic meeting in February.

Action: Revised risk register to be discussed at February Board of Trustees meeting.

It was noted that one action was not yet due for report. All other actions were closed or on the agenda.

BoT 17/18 2 D. Matters Arising/Matters for Report

No matters were raised.

BoT 17/18 2 E. Chair's Report

The Board congratulated the Pro-Director, Research & Enterprise on his appointment at the University of Birmingham. He would be leaving SOAS at the end of March 2018.

The Chair outlined that the meeting would cover all the annual returns to HEFCE. The Prevent return would be a priority item for consideration.

David Skinner provided a verbal account of his visit to the Department of Languages, Cultures and Linguistics. He outlined that the day was very interesting and useful. He identified four key findings:

1. The importance of simplifying the curriculum.
2. The importance of ensuring students have the linguistic aptitude to access courses.
3. The current IT systems can have a negative impact on effectiveness and efficiency of departmental operations.
4. The current systems do not enable the comparison of the quality of student outcomes with other universities.

The Chair reported that the Chairs of Committees had met to consider agendas for each Committee. The Chair will meet with all Trustees individually between December and January.

BoT 17/18 2 F. Director's Report

The Director outlined that the School had been approached by the Courtauld Art Institute to rent Vernon Square and Chair’s action would be sought in early December to approve the way forward. The Chair of Estates and IT Governance Committee outlined that the Committee had scrutinised the proposal and would recommend it to the Board.
The Director reported that the voluntary redundancy scheme had been launched and updates would be provided to the Board as appropriate throughout the process.

The Director reported on progress against the School's Strategic priorities:

SOAS Teaching and Learning

The Pro-Director (Learning & Teaching) reported that SOAS was participating in the TEF subject-level pilot. This would allow the School to understand expectations of the new framework without the results being made public.

The School would review the sequence of offers to graduate students to ensure maximum uptake.

**Action:** Provide update on review of process and timing of offers at April Board of Trustees meeting.

SOAS Research

The Pro-Director (Research and Enterprise) reported on the finalised arrangements for REF 2021. This would allow all staff outputs created at SOAS during the period to be included in the REF even if staff left before the submission date. The number of impact case studies would be in line with previous submissions.

SOAS People & SOAS Voice

Updates were included for information. (not sure what this means/does this mean tabled??)

SOAS International Strategy

The Pro-Director (International) reported that the School was discussing developing a partnership with an organisation in Singapore to provide SOAS finance courses in-country. The role of both partners was considered together with the need to ensure a robust quality assurance process. A business plan and case would be provided at the February strategic meeting.

**Action:** Business plan would be presented at the February Board of Trustees meeting.

An update on discussions with the Aga Khan School about validation of its programmes was provided. If successful, this would be an example of a service that could subsequently be offered to other universities in the UK and overseas. It would be another strategy to generate income, particularly in South East Asia.

An update on the proposed Africa Institute was provided. The project would be funded through major donors.

The Chair of the Estates and IT Governance Development Board reported on progress of the Fourth Quadrant of Senate House. A plan was being developed by University of London and over the next few months the School would bring it to the Board together with its estates strategy. This would incorporate various projects including the Africa Institute and would be submitted in February.
BoT 17/18 2 G. Registrar’s Report

(i) Update on the April decision by the Board of Trustees to implement a three-year plan to prioritise investment in projects impacting the student experience

The Registrar and Secretary reported that the School was prioritising improving student engagement and a new student information system. Three project proposals would be considered and consulted on:

1. Revising the use of the atrium space behind the main entrance. Planning permission restrictions were currently delaying this work.
2. Creation of enterprise incubation space.
3. A single student support IT system.

The Board considered the progress of the consultation on the academic restructure and process for responding to feedback from staff and students. It was agreed that the School would respond to feedback following the receipt of feedback from the consultation in January in line with the procedure agreed with UCU and UNISON.

(ii) Introduction to the Office for Students

The Director outlined that the role of regulator would change under the Office for Students. SOAS would respond to the consultation on the new regulator.

(iii) Updated budget 2017/18

The Board approved the revised budget for 2017/18.

(iv) Cost base analysis

The Board considered the analysis of the School’s cost base and contributing factors to changes in forecast figures.

The Board considered the School’s cost base sector rankings, including academic staff costs, support staff costs and non-PAYE costs.

The Board noted the financial forecasts through to 2021/22.

BoT 17/18 2 H. HEFCE Submission Papers

(i) External Auditors Executive Report & Management Letter

The Chair of the Audit Committee reported that the Auditors provided a clean report. The report was reviewed at Audit Committee and separately without management. The Auditors raised no concerns and praised the School for the quality of its financial statements.

The Board approved the External Auditors Executive Report & Management Letter for submission to HEFCE.

(ii) The Financial Statement and Financial Results 2016-17

The Chair of the Audit Committee reported that the accounts had been scrutinised by Audit Committee and as a result the Chair’s report and financial statement had been revised. The revised statements clearly outlined the School’s strategy, the way forward and linked to how SOAS is managed.
The Board congratulated the finance team for its work.

The Board **approved** the Financial Statement and Financial Results 2016-17 for submission to HEFCE.

(iii) ASSUR Report

The Deputy COO (Resources and Planning) outlined that the report was an additional measure for financial performance and would confirm to HEFCE the School’s financial sustainability.

The Board **approved** the ASSUR Report for submission to HEFCE.

(iv) Prevent

The Registrar and Secretary outlined that universities compliance with the Prevent duty was defined in three categories—“compliant”, “failing” and “further evidence required”. SOAS was currently defined as ‘further evidence required. HEFCE had written to the School asking for information on the basis of which it would move the School into one of the other categories, compliant or failing, by December.

Two specific issues were identified resulting in a non-compliant judgement: one regarding the wording within the safeguarding policy and one regarding the Students’ Union. The Registrar and Secretary stated that the Safeguarding policy issue was resolved however the concern around the Students’ Union was ongoing and complex.

The Students’ Union had been contacted three times during 2016/17 by the Charity Commission regarding events organised by the Student Union Students. The Director reported that the Students’ Union would be challenging the latest Charity Commission’s letter. The SU Co-President outlined that the Union felt penalised by the Charity Commission and intended to challenge the letter either legally or politically.

The School had been contacted by HEFCE and asked to report on ongoing engagement with SU on the matters raised by the Charity Commission. It was confirmed that HEFCE is the School’s Principal Regulator.

The Director outlined the importance of the School’s response to the issue raised as Prevent compliance was likely to be a condition of registration with Office for Students. The letter from HEFCE challenged the effectiveness of the School’s current relationship with the Students’ Union.

The SU Co-President asked to better support from the School in responding to the letters from the Charity Commission. It was agreed that it was in the interest of all parties to work together to address issues. The Director informed Trustees that under the induction plan for new Board members the Student sabbatical officers had been trained on their legal duties as Board members.

The Board **considered the** potential implications of the response to HEFCE and the Charity Commission.

The Board **requested** to see the Charity Commission letters sent to the Students Union.

**Action:** Share Charity Commission letters with Trustees.
The Registrar and Secretary outlined that the School would respond to the HEFCE letter by 22nd December. The Board noted that the response to HEFCE would include detail of the effective implementation of policies; what has been reported through Students Union; how many issues have been raised in response to external visitors and how these have been reviewed and learnt from.

The Chair shared a Senate motion from 1st November that was shared with her on 27th November following legal advice. The Senate motion condemned the way the visit of the Israeli Ambassador had been dealt with by the School. It was agreed that the School’s events policy would be reviewed, maintaining legal compliance whilst maximising free speech.

Action
The Board delegated two Trustees Nizam Uddin, Geoffrey Robertson, to work with the Chair the Students’ Union and management to review the draft response to HEFCE. The group would also review the Senate motion.

(v) Annual Assurance Return

The Board approved the Annual Assurance Return for submission to HEFCE.

(vi) Quality Assurance Return/Annual Provider Statement

The Board approved the Quality Assurance Return/Annual Provider Statement for submission to HEFCE.

BoT 17/18 2 I. Audit Reports

(i) Annual Report of the Audit Committee
(ii) Annual Internal Audit Report
(iii) Internal Audit Plan

The Board approved the submission of all reports to HEFCE and approved changes to Terms of References.

BoT 17/18 2 J. Students’ Union Report

(i) Welcome Week
(ii) Student Priorities

The Students’ Union Co-President outlined the importance of Welcome Week for integrating students into the SOAS community. The joint Students’ Union and School ‘Enough is Enough’ campaign was a fundamental part of the SOAS vision and the Welcome Week classes were a key part of the offer. It was reported that the sign up process for the classes needed to be improved for the following year.

The Board considered how to improve coordination between the Students’ Union and the School. It was agreed that the SU Co-Presidents would be invited to the Welcome Week
Steering Group meetings and a coordinated report would be tabled at the April Board meeting.

**Action:** Ensure SU-Co Presidents are invited to Welcome Week Steering Group meetings.

**Action:** Provide Students' Union and School progress report for Welcome Week 2018.

The Board considered the recommendations made by the Students' Union. The SU's priorities would be included in the February strategy discussions. The priorities would also feed into the relevant committees. The additional funding would be considered during the Welcome Week Steering Group meetings.

**BoT 17/18 2 K. Sub-Committee Minutes**

The Board noted the minutes from its sub-committees.

The Chair of Governance and Nominations Committee reported on the recruitment process for the vacancy of a lay trustee. The Panel interviewing potential trustees had recommended a candidate that met the criteria previously agreed by the Board. Candidates for a second vacancy would be considered and a recommendation would be presented at the February Board of Trustees meeting. The recommendation for the appointment of the trustee would be reported under the reserved agenda.

**Action:** Consider candidates for second vacancy and present recommendation at the February Board of Trustees meeting.

The Board noted the need to ensure equal gender balance on the Board.

The Registrar and Secretary reported that the School would continue to coordinate with HEFCE on the use of £5 million investment in the School of Languages, which had been discussed at the Estates & IT Governance Development Board.

**BoT 17/18 2 L. Barclays Loan Amendment Letter**

The Board approved the letter.

**BoT 17/18 2 M. Next Meeting of the Board of Trustees**

The Board considered the draft agenda for the Board of Trustees away day in February.

The following suggestions were made to be considered by the Chair and Director:

- Increased time for the Prevent agenda, including a review of what other institutions do and freedom of speech
- Group sessions with heads of departments
- Review and consideration of how SU's priorities align with the School's
- Information session and consideration of the long term estates vision
- Information session and consideration of the international vision and aims of the outreach
- Information session on a unique or high profile SOAS research project
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<th>Item ref.</th>
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<th>Deadline for Report to BOT</th>
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<td>BoT 16/17 4 N</td>
<td>All future EDI reports to be shorter, contain precise metrics and show exactly what has been achieved</td>
<td>July 2018</td>
<td>Chris Ince, Chris Bramall</td>
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<td>27th November 2017</td>
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<td>BoT 17/18 2 C.</td>
<td>Revised Risk Register to be circulated to the Board prior to the meeting in February</td>
<td>February 2017</td>
<td>Chris Ince</td>
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<td>BoT 17/18 2 F.</td>
<td>Provide update on review of process and timing of offers at April Board of Trustees meeting.</td>
<td>April 2017</td>
<td>Deborah Johnston</td>
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<td>BoT 17/18 2 F.</td>
<td>Present business plan and business case on partnership with university in Singapore.</td>
<td>April 2017</td>
<td>Paula Sanderson and Stephen Hopgood</td>
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<td>BoT 17/18 2 H.</td>
<td>Share Charity Commission letters with Trustees.</td>
<td>November 2017</td>
<td>SU Co-Presidents</td>
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<td>BoT 17/18 2 H.</td>
<td>Meet with two lay trustees and Chair to review response to HEFCE on Prevent Duty Include in the response to HEFCE detail of the effective implementation of policies; what has been reported through Students Union; how many issues have been raised in response to the external speakers and how these have been reviewed and learnt from.</td>
<td>December 2017</td>
<td>Paula Sanderson</td>
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<td>BoT 17/18 2 H.</td>
<td>Review events policy to incorporate lessons learnt in relation to external speakers.</td>
<td>February 2017</td>
<td>Chris Ince</td>
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<td>BoT 17/18 2 H.</td>
<td>Invite SU-Co Presidents to Welcome Week Steering Group meetings</td>
<td>November 2017</td>
<td>Chris Ince</td>
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<td>BoT 17/18 2 J.</td>
<td>Provide SU and School progress report for Welcome Week 2018.</td>
<td>April 2017</td>
<td>SU Co-Presidents and Chris Ince</td>
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<td>BoT 17/18 2 K.</td>
<td>Present recommendation for second Lay Trustee candidate.</td>
<td>February 2017</td>
<td>Martin Harris</td>
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<tr>
<td>BoT 17/18 2 M.</td>
<td>Revise Board of Trustees Away Day agenda</td>
<td>February 2017</td>
<td>Marie Staunton and Valerie Amos</td>
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## Prevent Update

The Board of Trustees is asked to note the following Report.

### Executive Summary

The School has been in ongoing communication with HEFCE throughout the academic year in attempt to provide HEFCE with the evidence to demonstrate the School is Prevent compliant and that the Trustees are receiving the necessary assurances. The CEO of HEFCE, Professor Madeline Atkins, requested a meeting with Marie Staunton prior to HEFCE closing on Wednesday 28th March.

On Tuesday 27th March, Marie Staunton and Martin Harris meet with Professor Atkins to discuss the School's provision and agree the additional evidence required from SOAS. Following the meeting a response was developed with supporting annexes to demonstrate how SOAS meet the duty and ensure procedures are effectively implemented. The response was submitted to HEFCE on Wednesday 28th March.

A copy of the response to HEFCE is included in this paper alongside the previous communications with HEFCE. In addition a Prevent action plan has been developed to collate the School's approach to meeting the duty and key commitments included in the HEFCE response.

### Recommendations & Next Step

To note HEFCE response and action plan.

### Financial Impact

None

### Risks

Although HEFCE no longer exist the implementation of an effective action plan is essential to demonstrate how we support the welfare of our students. It is likely that the School will be asked to evidence some of the actions outlined in the plan.

Prevent compliance is not an initial condition of registration with the Office for Students, it will be considered as part of ongoing compliance.

### Equality implications

None

### Consultations

The response to HEFCE was drafted in consultation with Marie Staunton and Martin Harris.
Dear Professor Atkins

Response to your letter of the 21 November 2017

I write in response to your letter of the 21st November and to the requirement to provide further evidence in respect of our current transitional judgement.

In that letter, you highlight three specific areas: the implementation of the new Safeguarding Policy, and that it does not explicitly reference how Prevent-related concerns are reported and resolved; the School’s Events policy and how this is implemented; and progress in respect of an independent review of the School’s arrangements.

The letter makes specific reference to correspondence between the SOAS Student’s Union (SU) and the Charity Commission. We are aware of correspondence as follows:

- Letter from Charity Commission to SU (dated 9 November 2016)
- SU response to CC (sent 21 November 2016)
- CC response to SU (sent 28 November 2016)
- Further CC email correspondence to SU (6 February 2017)
- Closure letter from CC to SU (dated 14 February 2017)
- CC follow-up on closure letter (20 November 2017)
- SU response to Charity Commission (sent 11 December 2017)

The SU responded separately to the Charity Commission on 11th December. In that response, the SU has outlined: progress against all the recommendations made by the Charity Commission in their original letter of the 9th November 2016; that it is now following the procedures outlined in that original letter and that a more thorough training regime has been introduced for SU trustees to make them aware of their responsibilities.

While SOAS recognises some historic issues around implementing its External Speakers and Events Policy, the fundamental position of the University remains that it must have particular regard to its duty to promote freedom of speech, albeit that is a qualified duty. The Charity Commission has commented that SOAS’s policy is ‘an appropriate and robust policy for booking rooms on University campus (this is actually a University policy which covers the Charity and appears to be reasonable).’ We have therefore concentrated our efforts upon its effective, and consistent, implementation. We have taken legal advice on our duties under the Prevent legislation and the interrelationship with freedom of speech legislation. There are difficult interlocking issues. We look forward to working with Hefce and the Office for Students to examine issues in implementing guidelines and ensuring compliance with legislation.

Our response has regard to this correspondence which, in particular, highlights concerns in respect of events organised by the SU held on SOAS premises. Whilst the SU is a separate legal entity SOAS recognises its particular duties to the SU both as its main funder and under
the Education Act 1994. As such the SU has a responsibility to the School as well as to the Charity Commission. That is why the School has worked closely with the SU to tighten its events policy and to ensure understanding of the School’s commitment to and responsibilities with respect to freedom of speech. In that context we are working to ensure compliance with the robust policies we have in place, to ensure, that risk is properly identified and effectively mitigated, and that sanctions are put in place where policies are breached.

**Safeguarding Policy**

Our safeguarding policy was agreed by Academic Board on the 1st November 2017 and now specifically includes reference to safeguarding in respect of ‘extremism’ in section 1.2.

The updated policy was shared with Arlene Robinson by email on the 29th November and is attached for the purposes of completeness.

There is an ongoing commitment to the implementation of this policy and the development of supporting procedures and associated training. Our Deputy Chief Operating Officer (Student and Academic Experience) is leading on this work, with the support of a Safeguarding Steering Group made up of colleagues from across all levels of the School. This group also includes representation from the Students’ Union.

The Group will ensure implementation of the policy and associated procedures, ensuring that awareness of the policy and issues of practical implementation are embedded in training events. The structure of ‘safeguarding officers’ described within the policy will be implemented through the steering group, which will meet monthly from January 2018. Updates resulting from the implementation of policy will be included in the SOAS annual return, and a 6-month review of the policy will be completed (and reported back to Academic Board) in the summer of 2018.

**SOAS policies and processes around External Speakers**

You have specifically asked us to provide appropriate evidence that we are:
- acting actively on the findings of the Charity Commission’s engagement in relation to the Student’s Union
- that we are responding to findings from the annual report

As an immediate action, one of our events staff has been reassigned and is now employed for 100% of the time on reviewing risk assessments in relation to events. We will be providing further training to them on assessing events and checking on external speakers. The process will continue to require them to refer events to senior colleagues when
appropriate and decisions can then be taken, when necessary, on any mitigating actions that are required before an event can be confirmed as able to go ahead.

Work has already started on an internal review of the Events Policy and how this can be strengthened. We have held a meeting with key staff involved in its operation to identify several areas to improve, some of which have already been put in place. This includes representation from the Students’ Union. The group has agreed, that all SU events be registered in a database to which the School has access and includes any additional risk assessment undertaken. This recommendation has been implemented and enables the School to review in detail all events, and particularly any events that are highlighted due to the nature of the subject, the potential size or those involving external speakers.

We have reviewed our management of events and the arrangements we have in place for those that present a higher-risk. This covers several functions such as security, liaison with external agencies and working to support organisers.

The School’s Executive Board has agreed that an academic led group will look at the principles and policies guiding the organisation of events at SOAS including prioritisation of the use of resources, financial implications of any new measures put in place and sanctions for those breaching the policy. It is our intention to update our policies to make specific reference to sanctions for individuals and/or groups that breach policies. We consider it essential that measures to tighten the existing policy and to detail sanctions are led by the academic community, reporting to the Executive Board.

We are also re-drafting our Freedom of Expression Policy and strengthening our stance on Free Speech within this. We will also consider if this can be used to revisit our policy around (peaceful) protests and occupations. Although not directly related to Prevent they contribute to a culture of respect and link directly to our Respect at SOAS Policy.

The November Board of Trustees meeting set up a group of four lay Trustees, including the lay Trustee with a portfolio responsibility for Prevent, to review the School’s response to your letter. They met in December and discussed a report from the School’s Responsible Officer. They agreed that the operation of changes made so far and any made as a result of the recommendation of the academic led working group, will be subject to internal audit and reported to the Audit Committee at the appropriate time.

We recently ran a training session for the new School trustee student sabbaticals, led by our external lawyers, in relation to the charitable and legislative duties of School trustees. We are proposing to use this as part of our induction for new trustees going forward.
We are aware that there is more to be done. We will be e-mailing all staff and students early in the new year on the School’s responsibilities under the legislation, the steps it has taken so far, and plans to take in the future.

While recognising historic issues in relation to following procedures, the School is not aware of any events that have breached the School’s obligations under the Prevent Duty, or that would not have been permitted after due consideration under the External Speakers and Events Policy (albeit possibly with different mitigating actions in place). The new measures that have been introduced, or will be over the next few weeks, will significantly strengthen the arrangements under the Events Policy and especially those involving external speakers. The School is continuing to work closely with all those booking facilities, to ensure all events comply with the School’s policies.

Yours sincerely,

Valerie Amos
Director
HEFCE email to SOAS requesting additional information

Email received on 12th January 2018

Dear Paula

I have been asked to consider the School’s annual report (alongside the response to our letter of 29 November). Having done so, I have a number of queries which it would be helpful to get further clarification on:

1) External speakers
I would be grateful if you could elaborate further how the reviews that you have commissioned on external speakers referenced in the letter to HEFCE i.e. Events policy, review of high risk events, principles and policies guiding organisation of events, and freedom of speech policy will interact with each other, particularly in terms of remits (including whether these extend to activity organised by the SU), outcomes and timescales for completion. On the freedom of speech policy particularly, it would be helpful to understand how the statutory duty will be considered in its redrafting. Finally on the reviews themselves, our understanding previously was that the School would be carrying out external reviews of policies, but we note in the letter that the intention is to carry out internal reviews.

Furthermore, in relation to the SU, it would be helpful to understand how you are assured that the School’s expectations on this policy area have been (and will be) clearly communicated and that they will be consistently met. More specifically, it would be helpful to understand further the role of your staff member responsible for assessing events and the new Register – does this include Student Union hosted events for instance? Finally, on all of this, it would be helpful to get a sense of how all of this activity is being monitored by the School and how it will be moving forward.

2) Partnership and Leadership
It would be useful to understand the timescales on when you expect to undertake an internal audit on your revised policies in the future. Separately, we would like to understand how the School has engaged with local Prevent partners beyond that of the DfE Co-ordinator.

3) Safeguarding policy and associated training
Recognising that you have recently amended your safeguarding policy, it would be helpful to understand how this will be reflected in your staff training. Looking at your training plan in more detail, we would also find it useful to establish how you are currently monitoring take up of staff training so that you can be assured that appropriate staff have received Prevent-related training. Could you also clarify when you expect to complete your baseline training.

I trust these queries are clear, but I would be happy to discuss in further detail. I would be grateful for a response by 19 January.
Best wishes

Toby

Toby Brown | Prevent Adviser | Institutions | 0117 931 7340 | 07795 257 400 | www.hefce.ac.uk | Twitter @hefce | Blog http://blog.hefce.ac.uk/ | t.brown@hefce.ac.uk

HEFCE – Creating and sustaining the conditions for a world-leading higher education system
1. External Speakers

The Board of Trustees, in line with its statutory obligations in a number of areas, is taking a lead on this. The SOAS Board of Trustees includes two student sabbatical officers as members. The Board has convened a small group combining members of the Board of Trustees and the Executive Board to oversee a number of separate reviews. These are:

- Operational review of the Events Policy and processes/systems to support this
- Academic led review (Board of Trustees member) of the overarching issues around events on campus and academic freedom
- Review of the School’s Freedom of Expression Policy and related issues e.g. protests on campus
- Existing review of tackling allegations of antisemitism

Each review will report into this group to ensure a coordinated and consistent approach across the School. The group will also approve the terms of reference for the reviews to minimise any areas of overlap and address any gaps. All of these reviews will complete their work over the current academic year with any key actions implemented as swiftly as possible. We expect to complete much of this work during the next two months so we can report to our Board of Trustees meeting in April. However, some work may take longer and the group will report regularly to our Board of Trustees on progress.

The current Events Policy and guidance on external speakers already apply to the activities of the Students’ Union, so these will be covered as part of this strand of work.

The Freedom of Speech review, and others where appropriate, will include external legal input from the School's lawyers to ensure that any statutory duties are suitably reflected in the School's policies, if they are not already.

Our intention is to have internally led reviews with some external input. We would welcome any suggestions on individuals we might consider approaching for external input.

On an operational level much of the implementation of this work will be taken forward through existing committee/group structures - all of which involve representation from the Students' Union. Existing policies have been drafted and approved in this manner and the SU has been engaged and contributed to the development of a range of policies including events (including external speakers), safeguarding, health & safety, equality & diversity and freedom of speech. The member of staff reviewing risk assessments for events will do this...
for all events at SOAS including those organised by the SU. This member of staff reports in to the Conference Office but will provide a report to each meeting of the School’s operational group looking at events on campus, which meets twice per term, as well as regular reports to the School’s Prevent Working Group of any relevant events. Any specific or immediate concerns will be escalated in line with the existing procedure. To note - our policy on events and external speakers includes events that are held off campus.

2. Partnership & Leadership

The School’s internal auditors (KPMG) are due to report at the next Audit Committee meeting in February on a proposed approach to how they will assess the School’s work to date on Prevent and benchmark this against that within other institutions. The intention is for them to review the submissions from a number of institutions and benchmark the School's approach, based on the 16/17 Prevent returns. This work will also include a review of the application of our existing processes in January 2018 and again in March 2018. We expect a preliminary report to come to the Audit Committee meeting in May 2018.

The School has engaged primarily with the DfE Coordinators (but is aware of other partners that it might need to, such as the local authority.) and has regularly attended meetings of the London HE Prevent Network as well as externally facilitated sessions organised by HEFCE and other organisations.

As HEFCE are aware we have held a number of formal and informal meetings with HEFCE representatives on Prevent. The School has also engaged with external agencies such as the police and the Community Security Trust on the handling of specific events, such as the visit of the Israeli Ambassador. We have retained an ongoing dialogue with our neighbouring institutions and those across London, primarily through the London HE Prevent Network. We have also spoken informally with external partners such as DfE, academic experts and the Union of Jewish Students when reviewing and updating some of our policies relevant to Prevent.

3. Safeguarding Policy and associated training

Staff training and take-up is monitored by our central Staff Development team. They have assisted in organising the training and also act as a single point to collate and record any training undertaken by staff. This is an area, including the training matrix, which is reviewed regularly by the School’s Prevent Working Group, which meets once per term and has training as a standing item on its agenda.

We have recently undertaken some additional training for key staff involved in the organisation and management of events and this has completed our baseline training for those we have identified as key staff in relation to Prevent.

Best wishes,

Chris Ince
6 March 2018

Ms Marie Staunton  
Chair of Trustees  
The School of Oriental and African Studies  
10 Thornhaugh Street  
London  
WC1H 0XG

Nicholson House  
Lime Kiln Close  
Stoke Gifford  
BRISTOL  
BS34 8SR

Direct Line 0117 931 7455  
Email m.atkins@hefce.ac.uk  
REF: CE/3198

Dear Ms Staunton

Prevent duty monitoring – annual reporting and compliance update

I am writing to you to update the Board of Trustees, the legally responsible body for discharging the Prevent duty, on HEFCE’s assessment of the School’s annual report and its response to our wider concerns detailed in our previous letter of 21 November to the Director.

Background

We wrote to SOAS on 1 February 2017 where we concluded from the 2015-16 Prevent annual report that further evidence was needed from the School in order to demonstrate due regard to the Prevent duty; noting also that the School had only recently concluded follow-up activity relating to Prevent policies needing improvement from our assessment in April 2016. Since then HEFCE officers have been working with senior staff at the School to make progress on our concerns. This included a number of engagement visits and correspondence providing advice and support in relation to these concerns, as well as a formal Prevent review meeting to elicit further information from SOAS on its implementation of the duty. HEFCE was also made aware by the Charity Commission of its investigation of the Students’ Union in respect of repeated breaches of the jointly agreed external speakers and events process in October 2017.

HEFCE wrote to the School on 21 November 2017 detailing the outstanding actions arising from the annual report, as well as our concerns regarding the Charity Commission’s investigation of the Students’ Union. This related principally to the need for clear references to extremism related welfare concerns in the School’s Safeguarding Policy, and further information relating to an external review of your external speakers and events policy including clarity over the review’s outcomes and what changes would be made as a result and any subsequent communication to staff and students.
Annual reporting and on-going concerns
HEFCE has now considered the detail of the School’s latest Prevent annual report, alongside the supplementary information offered to us in response to our letter of 21 November including a letter from the Director on 22 December and responses to queries arising from our annual report assessment process. On the basis of the evidence presented to us, we continue to have serious concerns around the School’s compliance with the requirements of the 2015 Act; both in terms of the clarity of information offered and whether that information adequately demonstrates overall regard to the statutory duty.

I wanted to outline where key information relating to implementation remains unclear:

External speakers and events
The School confirmed that it was undertaking a number of reviews in response to The Charity Commission’s investigation. As we understand, these are:

1. Operational review of the Events Policy and processes/systems to support this
2. Academic led review (Board of Trustees member) of the overarching issues around events on campus and academic freedom
3. Review of the School’s Freedom of Expression Policy and related issues e.g. protests on campus
4. Existing review of tackling allegations of antisemitism

We welcome this activity but it remains unclear to us:
- what the respective rationales are for commissioning these individual reviews,
- how they will interact with each other,
- what the expected outputs, outcomes, or timescales for these reviews are, and
- how the School has, and will continue to communicate its expectations to the Students Union on how it should engage with these institutional policies.

We were also led to believe previously that the review of the School’s speaker process would include external oversight and scrutiny, but this does not now appear to be the case. Given the seriousness of the concerns regarding this process, we believe external input to the review will provide HEFCE (and the Charity Commission) with greater assurance about its robustness.

Training
The School shared an updated version of its training programme to us as part of its latest Prevent annual report. While again this was helpful, it still remains unclear to us:
- what the timescales are for completing initial training (as we noted a number of staff groups have yet to receive training), and,
- how appropriate staff are made aware of the revised Safeguarding Policy covering Prevent-related welfare concerns.
Given the lack of clarity around these key areas of the statutory duty, we have decided to place our decision on your annual reporting outcome on hold until we receive further information from you addressing these concerns.

**Next steps**
Given the seriousness of our concerns, I believe it would be very helpful if we could meet to explore what further information and evidence SOAS can provide to assure us that the School is demonstrating due regard to the Duty. My office will be in touch shortly to arrange a date for us to meet in the near future if possible; please also feel free to include the Director in this meeting.

Yours sincerely

[Signature]

Professor Madeleine Atkins
Chief Executive

cc: Director, SOAS
Dear Madeleine,

Thank you for taking the time to meet with myself and Martin Harris yesterday. The Board of Trustees have made SOAS Voice, including Prevent, a priority and discussed the School’s duties in detail on three occasions in this academic year as detailed below. We are happy to share the documents evidencing how, as Trustees, we are gaining assurance on the implementation of the School’s duties. This includes review and revision of policies, with external input, external audit of compliance, building capacity through training, designation of two specialist staff for events and new senior posts for safeguarding under the School’s restructure of Professional Services as well as a timetable for reporting to the Board on implementation.

The Trustees believe it is critical to engage staff across the School in order to gain understanding and commitment. We have encouraged the senior team to launch an Academic Review of our approach to freedom of expression, with particular focus on freedom of expression at events. The Academic Review is focusing on revising the freedom of expression policy and making related revisions to the School’s Code of Practice for the Booking of Events, events booking procedures, and all relevant policies. The Review Group was tasked to propose new policies and procedures as required and recommend measures to ensure that the revised and new policies and procedures are adhered to by members of the School and external parties. They are advised by external lawyers and headed by an academic member of the School of Law. Please find in Annex A the terms of reference for the working group; the initial report from the group and the draft ‘Code of Practice on Freedom of Speech and the Conduct of Events’. The initial report and draft code of practice will be discussed at Executive Board on 16th April 2018. A working group progress report and revised code of practice will be presented at the Board of Trustees meeting on 10th July 2018. You will understand that we are providing this information to you on a confidential basis as it may change as it goes through the School approval process.

Prevent was agreed as one of the Board of Trustees priorities for this academic year at our January 2017 strategy meeting. To ensure effective monitoring and scrutiny of the School’s Prevent provision, an update is included as standard in the Director’s report to the Board Trustees. Prevent was also discussed at the Board of Trustees and Academic Board Joint Informal meeting on 2nd November 2017, the discussion focused on the current climate, discussing the practice of other Higher Education institutions and the School’s 2017 submission. Please find in Annex B a copy of the agenda from this meeting, as it was an informal meeting no formal minutes were taken.

The Board of Trustees also received an update on and discussed the School’s Prevent provision at their meeting on 27th November, the discussion focused on how the School
would respond to HEFCE to demonstrate compliance, the relationship with the Students’ Union and their communications with the Charity Commission and how to ensure compliance with our legal duties -of safeguarding, under Prevent and to freedom of speech. The Board also reviewed the School’s procedures for referring vulnerable staff and students under the Channel Process. Please find in Annex C the minutes from the meeting on 27th November and Annex D the School's procedures for referring vulnerable staff and students under the Channel Process. The Board of Trustees Strategy Day in January 2018 received a presentation on Freedom of Speech from Professor Alison Scott-Baumann, we were reminded of our legal duties and discussed how the School's maximised freedom of expression whilst ensuring robust processes were in place for compliance. Please find in Annex E the Chair of Trustee’s briefing note from the Away Day. The School’s Prevent provision and updated training plan will be discussed at the Board of Trustees meeting on 10th July.

The Board of Trustees received training on Prevent in March 2017, the training was delivered through the Leadership Foundation. External lawyers were also commissioned to deliver training to the Sabbatical Officer Trustees and the Chair of the Board on 29th November, the training focused on Trustees’ legal responsibilities including ensuring Prevent compliance. This training forms part of the School’s Trustee induction programme and is arranged for all new Trustees. The training will be repeated for next academic year’s (2018-19) Sabbatical Officers and our two newly appointed lay Trustees in June 2018.

The new Sabbatical Officers and lay Trustees will provide a briefing session on their training to the rest of the Board at the autumn term Board of Trustees meeting on 19th September. The briefing session will include an update on the Prevent duty and how Trustees should hold the senior management team to account for the School’s provision. This briefing session will provide a refresher course for all Trustees.

At the Board of Trustees meeting on 27th November 2017 it was agreed that a small group of Trustees would work with the Senior Management Team and Students Union representatives to agree the School’s response to HEFCE. A meeting was held on 14th December 2017 and was supported by external lawyers, the meeting reviewed how the School would respond to HEFCE, the School’s response to a Senate motion relating to an external speaker event and the effectiveness of the complaints procedure. The meeting concluded by agreeing a number of key actions to improve school practice including commissioning an audit by KPMG, reviewing the events policy and additional training for staff reviewing event requests. Please find in Annex F the minutes from this meeting.

The Audit Committee is responsible for the School’s risk management approach and scrutiny of the School’s risk register. Please find in Annex G the terms of reference for the Audit Committee. The Committee agreed that to ensure effective monitoring and scrutiny of the School’s prevent provision a sub-register would be developed to provide detailed information on the School’s position and mitigation actions. The risk register and sub-registers are a standing item on the Audit Committee’s agendas and are included in the School’s annual Audit report. The approved risk register, sub-registers, annual Audit report and minutes from the Audit Committee meetings are shared with the Board of Trustees at their next scheduled meeting. Please find in Annex H the Prevent sub risk register, Annex I the annual Audit report for 2017 and Annex J the minutes from the Audit Committee on 10th November 2017.

At the Audit Committee meeting on 8th February 2018, the Committee discussed the external auditor’s report on the School’s Prevent submission and its alignment with the submissions of other institutions. Please find in Annex K the external auditor’s report analysing the School’s submission. The Committee also agreed to request an additional audit from the external auditors focusing on the implementation of the School’s policies and procedures. Please find in Annex L the minutes from the Audit Committee meeting on 8th February 2018. The objective of this audit was for the committee to receive assurances from the external audits that the School’s policies and procedures are being effectively implemented. This
audit will be undertaken in April 2018 and presented to the Audit Committee on 15th May 2018. The Board of Trustees will receive a verbal update on this audit at the 10th July meeting via the Chair of Audit Committee’s update, which is a standing item on the agenda.

**TRAINING**

The School have implemented a Prevent training plan to support the upskilling of staff. As previously stated all Board of Trustee members received training in March 2017. Please find in Annex M and N the Leadership Foundation Prevent Training Presentation and guidance. The re-formed Executive Board received training in September 2017 focusing on understanding of Prevent and Channel and the School’s monitoring arrangements. The re-formed Executive Board consists of twenty people including all Heads of Department.

All security staff (32 members of staff) have undertaken the Channel Online training course and new members of staff will undertake this training as part of their induction.

Staff in key roles (10 members of staff) have been identified to undertake WRAP training and responding to vulnerable students online; these members of staff were identified because they have frontline, student facing roles.

In addition specific staff have been identified to undertake the responding to vulnerable students training which covers staff guidance on how to react to situations, routes for referral and ensuring appropriate responses; 31 members of frontline staff have undertaken this training. This module is also available for all staff and advertised through staff communications and orientation programmes. Although the take up has been lower than desired all priority roles have undertaken this training.

The School is committed to further disseminating the Prevent training, all frontline Professional Services staff will be required to undertake the online Prevent training module by the end of term 3. This will be 277 staff. This will be further supplemented in the light of the further version of the report referred to in Annex A. Refresher training will commence next academic year. Please find in Annex O the ‘Helping Student to Succeed’ booklet which forms the basis of the responding to vulnerable students training.

The Students Union Sabbatical Officers and the School’s Director of Governance and Legal Services have also received informal training from the local DfE prevent co-ordinator focusing on external speaker events and best practice. To support this work, two members of staff who are responsible for booking events have received intensive training on scrutinising event booking forms and risk assessments. The events booking process has been amended to increase the opportunities for staff and students to highlight potential risks or challenges with events and external speakers. In addition, all estates staff members received internal Prevent duty training delivered by the Assistant Director of Estates, this training focused on understanding the Prevent duty, the implications of Prevent duty for their roles and Prevent duty at SOAS. Please find in Annex P a copy of the training delivered and in Annex Q the revised risk assessment booking form to support staff to identify priority events and in Annex R an example of our conference risk assessment.

The training will be tracked through the School’s MyView HR system which tracks all the training which staff register for and attend. An update on numbers trained and feedback on the quality of training together with the plan for refresher training will be provided to Audit Committee in the autumn term and reported to the Trustees via the Chair of the Audit Committee’s verbal report.

**SAFEGUARDING**

As we discussed aspects of the Prevent duty are embedded into our new Safeguarding policy and procedures. The policy was developed with the support of our local Prevent Coordinator. We amended the policy in line with their advice, in particular by including
extremism and political grooming in our types of concerns guidance. There is regular contact with the Local Prevent Co-ordinator for example please find in Annex S the School’s correspondence with the local Prevent Co-ordinator regarding the Safeguarding Policy. The policy was signed off in November 2017 by Academic Board and the Board of Trustees. Please find in Annex T the School’s Safeguarding Policy.

In addition to the Safeguarding Policy, a number of appendices have been developed to provide additional guidance to staff on how the policy should be implemented and what it looks like in practice. The appendices will be shared as part of staff training and key personnel are in the process of being identified as safeguarding links- 1 per head of department and 3 within Professional Services. Please find in Annex U the School’s Safeguarding Policy appendices.

Safeguarding under the new policy is now being embedded in all staff training. Face to face staff safeguarding training will be held in July 2018, the programme for this day is being developed by the Safeguarding Policy working group. Please find in Annex V the terms of reference and membership for the working group. The working group will meet on 2nd May 2018 to finalise the dissemination plan for the Safeguarding Policy and agree the programme for the staff training day. The safeguarding policy will become a standard item in the new staff induction from September 2018, however staff appointed before September 2018 will receive the safeguarding policy via school wide staff communications. Please find in Annex W the School’s Prevent Training Action Plan.

The policy will be embedded in the responding to vulnerable students module by July 2018. As part of the Academic and Professional Services restructures, the School have created additional roles to further support the safeguarding and well-being of students. These roles will add additional capacity to well-being services, embed safeguarding practices across the School and will improve the alignment between the support and guidance students receive from departments and professional service directorates- which will be particularly impactful for vulnerable students. Please find attached the job descriptions for these roles: Associate Director of Student Welfare (Annex X), Director of Student and Academic Support (Annex Y) and Head of Student Advice and Well-being (Annex Z). The Associate Director of Student Welfare has been appointed and the contracts are being finalised. The Director of Student and Academic Support and Head of Student Advice and Well-being roles are being advertised after the Easter holidays.

The School are also implementing a project to further support students with religious and faith beliefs. An estates project is underway to develop a multi-faith area, in consultation with the London-wide Multi Faith Support, the School’s Muslim Preacher and SU representatives. The final ‘fit out’ for the room will be agreed in May 2018. A Multi Faith Minister has been appointed on a 0.2 contract to support work across the School.

As we discussed the School have developed and agreed procedures for booking events with the Students Union throughout the academic year. All Students Union event requests now come through the School’s booking system and are subject to the scrutiny of trained staff. We also now have access to the Students Union events information system. The Students Union have been in ongoing discussion with the Charity Commission regarding their events and we believe that these additional measures will support them to scrutinise event requests- as well as ensuring that the School is compliant. Please find in Annex AA the communications between the Students Union and the Charity Commission.

The Board of Trustees are aware of our duty and responsibility to comply with the Prevent duty and as stated identified it as one of our priorities for this academic year. We believe that the Senior Management Team are implementing the right actions to ensure compliance and improve the provision for our students. The structures we have in place systematically monitor the School’s Prevent provision and where appropriate we have requested additional guidance and information to assess our provision. We also engage external auditors and
lawyers to seek additional assurances and further scrutinise the School’s activities and where appropriate, learn from best practice within the sector.

I trust that this provides you with the assurance that you need that the School as a whole takes its duty under the legislation seriously and that the Board of Trustees is obtaining the necessary assurance.

If you have any questions please contact our Prevent Lead and Registrar, Paula Sanderson.

Kind Regards,

Marie Staunton
Chair of SOAS Board of Trustees
<table>
<thead>
<tr>
<th>Success Criteria</th>
<th>Relevant PIs / KPIs</th>
<th>Milestones</th>
<th>Responsible Officer</th>
<th>Timeframe for Milestones</th>
<th>Progress (RAG)</th>
<th>Progress - commentary</th>
<th>Support requested of other departments/areas</th>
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</table>
| There is improved guidance and support for staff and students on the School’s Prevent policies and procedures | 1. New Code of Practice on Freedom of Speech and conduct of events is developed and implemented.  
2. Fit for purpose prevent training plan implemented.  
3. 75% PS staff undertake Prevent training module.  
4. Revised external complaints procedure implemented.  
5. New Trustees and Sabbs are confident in their understanding of the Prevent duty and their responsibilities within the School. | freedom of expression working group initial report discussed at Executive Board  
Prevent training plan and progress report discussed at Board of Trustees  
Training provided to new Sabbs and lay trustees by lawyers focusing on legal duties, including prevent  
Prevent training and briefing session at Autumn Board of Trustees meeting- updating Trustees on Prevent duty and how to hold SMT to account | C. Ince  
S. Yeo  
J. Smith  
S. Yeo | Apr-18  
Jul-18  
Jun-18  
Oct-18 | | | |
| The Trustees and School Management receive regular and accurate data and information on matters relating to Prevent. The School’s governance structure enables effective monitoring and scrutiny of the provision. | 1. External audit provides assurance that the School’s Prevent policies and procedures are being effectively implemented.  
2. Audit Committee are confident in the quality of information being reported.  
3. Audit of the implementation of the School’s Prevent policies and procedures completed.  
4. Board of Trustees receive verbal update on prevent via Audit Chair’s report.  
5. Report on the number of Professional Services who have completed Prevent training presented at Audit Committee. | Audit of implementation of the school’s prevent policies and procedures completed  
Audit of implementation of policies and procedures presented to Audit Committee  
Board of Trustees receive verbal update on Prevent via Audit Chair’s report  
Report on the number of Professional Services who have completed Prevent training presented at Audit Committee | S. Priddle  
S. Yeo  
A. Popham  
P. Sanderson | May-18  
May-18  
Jul-18  
Oct-18 | | | |
| The School’s Prevent policies and procedures are embedded within the School’s Safeguarding policy, procedures and provision | 1. All staff are aware of the School’s Safeguarding Policy.  
2. All staff attend whole School safeguarding training.  
3. New staff with safeguarding or wellbeing remits understand their responsibilities regarding prevent and the School’s policies and procedures.  
4. There are clear roles and responsibilities to support the welfare of student- all staff understand how to report concerns and key personnel responsible for safeguarding.  
5. A fit for purpose multi faith area is delivered to support the well-being of all students. | Updated Safeguarding Policy circulated to all staff  
Safeguarding Policy appendices shared with all staff  
Safeguarding link staff identified- 1 per head of department and 3 within Professional Services.  
Safeguarding working group hold initial meeting  
Whole school safeguarding training held  
Safeguarding policy included in staff induction  
Safeguarding policy embedded in responding to vulnerable students module  
Regiment of professional and academic Safeguarding support.  
Advertise new student wellbeing roles  
Deliver multi faith building project | Pickup  
P. Sanderson  
Pickup and S Yeo  
P. Sanderson  
P. Sanderson  
P. Sanderson  
P. Sanderson  
P. Sanderson  
P. Sanderson  | Apr-18  
Jul-18  
Sep-18  
Sep-18  
Sep-18  
Sep-18  
Sep-18  | | |
## LEAD TRUSTEE MODEL

The Board of Trustees is asked to **note** progress on the pilot of a Lead Trustee governance model, which has been approved by the Governance & Nominations Committee.

### Executive Summary

The attached paper reports on the work to introduce a pilot of a Lead Trustee governance model. This is based on the Dual Assurance model implemented at the University of Exeter. The pilot will take place in the areas of teaching, research, international and finance.

### Recommendations & Next Steps

To note the pilot of a Lead Trustee model, initial areas and lead trustees.

### Financial Impact

None

### Risks

There is a risk that the model can blur the boundaries between governance and management. This will be monitored during the pilot and evaluated before it is implemented further.

The model increases the involvement of lay trustees (although can eventually lead to a reduction in committee meetings) so places additional work on these members. It could also lead to confusion or concerns from other members about their roles.

These areas will all need to be evaluated as part of the pilot.

### Equality implications

None

### Consultations

Discussed at Board of Trustees informal meeting on 1 February
Governance – Lead Trustee model

Background

The Board of Trustees has already identified a number of lay trustees with "thematic" portfolios linked to key issues, or committees, within SOAS. This paper updates the Board on the pilot to formalise this approach, building upon the work from the University of Exeter around “dual assurance”.

Dual assurance model

The University of Exeter has operated a model of “dual assurance” for over a decade. This looks at the various areas of the University’s business, many of which had been governed by a committee in previous years, through a new mechanism known as dual assurance.

As its name suggests, this model involves two people. The first of these is a member of the executive team, who takes responsibility for the management and development of policy in a particular area of business. The second member of the dual assurance partnership would be a lay trustee from the Board who is knowledgeable in the same area and who provides assurance to the Board that this activity is well-managed and that decisions have been reached following due process and appropriate consultation.

The model aims to improve executive decision making whilst ensuring decisions take place within a strong governance framework and with the necessary accountability and transparency

The University of Exeter document Guidelines for the Operation of Dual Assurance (http://www.exeter.ac.uk/about/organisation/governance/dual-assurance/operation-guidelines/) has been used as the basis for the operation of the model at SOAS.

Proposal & pilot

The Governance & Nominations Committee agreed that the Board should pilot a Lead Trustee model (based on the dual assurance approach) to help minimise the weight of papers at Board of Trustee and other Committee meetings. It was proposed to start with four areas as follows:

<table>
<thead>
<tr>
<th>Area</th>
<th>Lead Trustee</th>
<th>Lead EB member</th>
<th>Co-ordinator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching excellence</td>
<td>Andrew Atherton</td>
<td>Pro-Director (L&amp;T)</td>
<td>DCOO (SAE)</td>
</tr>
<tr>
<td>Research excellence</td>
<td>Andrew Atherton</td>
<td>Pro-Director (R&amp;E)</td>
<td>Director REO</td>
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<tr>
<td>International</td>
<td>Helen Pennant</td>
<td>Pro-Director (International)</td>
<td>tbc</td>
</tr>
<tr>
<td>Finance</td>
<td>Gautam Dalal</td>
<td>DCOO (R&amp;P)</td>
<td>Head of Finance</td>
</tr>
</tbody>
</table>

Each Group will meet formally once a term, having a minuted meeting to check progress against agreed objectives. Support for the groups will usually be provided through the Governance & Compliance Directorate.
Initial meetings in the Spring term have been difficult to organise due to several periods of overlapping leave, sickness and the industrial action. Therefore, the formal meetings, with minutes, will commence in the summer term and initial reports made to the Board meeting in July 2018.

The pilot will continue into 2018/19 and the Governance & Nominations Committee will review progress and any lessons learnt. It will submit a formal report to the Board of Trustees on the pilot no later than the Board meeting in April 2019.

**Recommendations**

To note the pilot of a Lead Trustee model, initial areas and lead trustees.
SOAS Lead Trustee Model

1. Introduction

These guidelines are intended to provide signposts to management and lead trustees and the coordinators of each group, to ensure that the process is as effective as possible, and that the groups adhere to the values and principles of the model. Although there will be some degree of variation owing to the different characteristics of the business areas covered, there must be some fixed points and structures which ensure a level of consistency in the process between the portfolios. This will result in effective accountability and communication. The notes which follow bring together all the main points which those involved in the Lead Trustee Model need to know.

2. The Aims of the Lead Trustee Model

The concept of the model was introduced at the School to provide for more executive decision making in place of committees without compromising on sound governance and the accountability and transparency required by the Board. The Model takes that of Dual Assurance (at the University of Exeter) and places it in a SOAS context. The model aims to achieve the following:

1. To empower managers.
2. To speed up decision-making.
3. To reduce bureaucracy.
4. To make clear the lines of accountability.
5. To expand consultation and involvement across the School community.
6. To make the most of the talents of Lay Trustees.

The way the model operates in all areas will take account of equality and diversity considerations and aim positively to promote anti-discriminatory practice.

3. Roles

There are three people in the model for each area and each performs a specific, essential role:

Lead EB Member

For the model the management lead is a member of the School’s Executive Board. The Lead EB Member takes responsibility for the development of policy and its implementation and delivery in their business area. Following consultation with colleagues and other relevant stakeholders (who could be external as well as internal) and consideration of data and other evidence, the Lead EB Member will take impartial, unbiased decisions and judgements about strategy and actions in their area. In this, he or she will keep the Lead Trustee informed and consulted and make regular reports to EB, which is the first port of call for advice and support.

Lead Trustee
The role of the Lead Trustee is not to manage the business area, but to ensure that it is well-managed, and that the Lead EB Member and other School colleagues have followed appropriate processes in reaching decisions.

In particular the Lead Trustee should consider three questions:

1. Are the objectives in the strategy/plans relating to the business area being delivered? To what extent – fully, partially, nearly, not at all?

2. Are the risks relating to activity in the business area being well-managed?

3. Is communication sufficient?

The Lead Trustee should also feel able to participate in debate, stimulate thought and challenge received wisdom in their business area.

For the Model the Lead Trustee, as a member of the Board of Trustees, will be expected to develop an in depth understanding and knowledge of the business area to give guidance to the Chair of the Board of Trustees on whether there is cause for concern in its management. It is emphasised, however, that the Model does not interfere with line management and its processes for objective setting and performance monitoring.

The Co-ordinator

The Co-ordinator’s role is similar to that performed by a committee secretary, but with perhaps a greater emphasis on communication. He or she is responsible for the maintenance of an audit trail of all activity, including a record of all meetings between the Leads and the decisions that are reached. Further guidance on this is provided later in the notes. Support for this role will usually be provided through the Governance & Compliance Directorate.

The Co-ordinator, or via a support role, will facilitate the work of the group: convening meetings, bringing relevant information to the attention of the Leads, coordinating agendas and circulating paperwork as necessary.

The Co-ordinator also takes the lead in ensuring that there is information available to all staff and Board of Trustees members about the relevant business area and any developments in it; this will include maintaining the web page(s) for the business area.

4. Lead Trustee Model in Practice

Although the Model is designed to reduce bureaucracy, it is important that there is a structure within which the groups must work. This is described below with some more detailed suggestions for Co-ordinators to take forward and use in the operation of the groups.

i) Subjects for Discussion in the relationship

The group should focus its discussion on strategic matters which require development. The following documents should be looked at as a basis for determining what these might be:

- the strategic plan in the relevant area. This is the document which Lead Trustees can use as a way of measuring progress towards the institution’s stated objectives.

- the institution’s annual Planning Framework

- the risk register in the relevant area and reports

The issues discussed will change from year to year and working out a fairly simple plan/list for the year every autumn is a good idea.
ii) Terms of Reference

All groups must draw up Terms of Reference to define the purpose and scope of their business area. The terms of reference must be reviewed annually - at the start of every academic year – and updated as necessary. In particular, all business areas should include a commitment to equality and diversity in all decision making and the management of risk.

iii) Formal Meetings

Formal meetings of the groups must take place at least once a term although leads may wish to meet more regularly if there is a business need. The timing of the meetings should take into consideration any key decision-making points, timing of necessary reports to Executive Board, the Board of Trustees, other committees, the annual cycle of School business.

The face to face meetings are intended for a discussion of progress in the business area, consideration and decision-making against any significant issues, review of any reports from Task & Finish Groups, consultation exercises, risk reviews etc.

The group may invite other colleagues to attend as necessary – although leads should be cautious about numbers becoming too large. In addition, other members of the Board of Trustees are entitled to observe meetings if they wish. Dates of meetings will be circulated to them by the Director of Governance & Legal Service’s team each year and members will be asked to liaise with the group coordinators if they wish to attend any meetings.

Whilst meetings must take place at least once a term, correspondence and discussion between the leads should also take place between meetings as necessary via email and other informal contact. Groups should also have the flexibility to schedule additional meetings in-year if urgent business or matters arise that require formal consideration.

iv) Records

The Coordinator for the group, or relevant support role, must take a concise note of the formal assurance meetings. This need not be as discursive as traditional minutes but should include the following details:

-Who was in attendance
-What matters were discussed
-Key points made in the discussion
-Actions to be taken, by whom and when
-Any decisions made and to whom they should be communicated
-Implications of any decisions for equality and diversity

The notes should be drafted within two weeks of the meeting taking place and should be approved by the Lead EB Member prior to onward communication. The coordinators of the group should also be copied in to all informal communication between the leads between meetings in order that a complete record of any actions or decisions taken can be maintained outside the formal meetings.

Reports from Task & Finish Groups and any other records relevant to the business area should also make-up a ‘perfect file’ for the group. In business areas where there may be a lot of complex activity going on at once, the coordinator may need to keep track of tasks delegated to other colleagues, consultation exercises and any sub-projects to ensure that their work reaches the group in a timely way, as well as so that it can be added to the record.

v) Communication / Website

Following the pilot, the School will look at setting up a dedicated area on MySOAS that will be the primary communication tool for the any groups. Each group will have a dedicated page which the coordinator is responsible for developing and maintaining. The page should
be regularly updated and reviewed to ensure content is relevant and current. Whilst the coordinator has responsibility for the page it is also important that the leads are involved in the content given the centrality of good communication in the overall success of the Model.

Each group’s webpage must provide:
- details about the membership of the group
- names of the leads and coordinator and any other colleagues that attend meetings.
- terms of reference for the group
- dates for meetings of the group for the academic year
- notes from each of the formal meetings
- should be published in a timely fashion and at most within three weeks of the meeting taking place.
- information about or links to information about any Task and Finish Groups that have been set up by the group.

In addition, leads and coordinators may wish to consider publishing the following information on the website:
- key policies or procedural documents relating to the business area
- reports relevant to the business area or made by the group to other key committees / groups.

vi) Reporting

Each Lead EB Member will be responsible for reporting on the work of their group to Academic Board, Resources & Planning Committee or any other relevant committee.

There will also a be a routine item at EB meetings each week for the management leads to report on activities, note significant progress or flag any issues in their area. This will form part of the regular discussions of Trustee Engagement.

vii) Freedom of Information

The Freedom of Information Act (FOI) does not require organisations to create specific records, it does however, provide a right of access to information held by Public Authorities, including universities. The Act therefore requires good records and information management, so that information requested can be easily located and formatted for disclosure.

The right of access extends to all information held throughout the School and includes committee papers and records created through the Model. This means that subject to the application of any exemptions, information (emails, meeting notes, reports etc.) created may be open for public scrutiny.

The Freedom of Information Act does not mean that the School must make all its records available to the public; there are 23 exemptions or reasons for which information can be withheld.

If you receive an FOI request for any records you should contact the School’s Information Compliance Manager, who will co-ordinate the School’s response and advise on any relevant exemptions.

viii) Task & Finish Groups

Task and finish groups are a key tool for ensuring greater participation from the wider School community in contributing to decision-making and advising groups on problems. These temporary groups should be convened by the Lead EB Member as a mechanism for resolving a problem or issue or developing policy in a business area.
Task and Finish Groups are only to be convened to deal with a discrete project or problem and for a defined period. Membership for the Group must be drawn from relevant stakeholders, including students or wider staff input where appropriate.

The final report from the Group must go to Executive Board

ix) Reviewing the Lead Trustee Model

The Model portfolios will be reviewed by the Governance & Nominations Committee each year to ensure that they remain relevant and aligned to the School’s strategic aims and to ensure that we continue to make best use of lay trustees’ skills and experience.

Following the pilot, if the Model continues then it will also be reviewed as part of any wider review of Board effectiveness that takes place in line with the CUC Code on HE Governance.
Director’s Report
Update on Board Priorities

SOAS Vision
The next two years are transition years to the future vision for SOAS as a School of Critical Social Sciences and Creative Innovation about Asia, Africa and the Middle East. Our goal is to deliver excellence building on SOAS’s past and remarkable legacy.

Some options for our future size and shape are unviable, given changes nationally and internationally in our sector. The parameters of this vision, encompass the following elements:

- An institutional focus on critical social sciences, with strategic investment in online and new subject areas in Development Studies, Politics and International Studies, and Interdisciplinary Studies (through the lens of Global Studies and the creation of a Global Institute). This is where our growth in student numbers will come from, linked to TNE and online.

- Review and restructuring of our Department of Economics to identify and rectify the weakness of UG demand and to consolidate PGT and PGR application numbers. TNE and online are vital to this.

- As a priority, review and restructure our School of Finance and Management (on campus and online), to identify and rectify reasons for low level of surplus generated compared with comparable F&M schools and business schools. TNE and online are vital to this.

- A restructuring of our School of Law to focus on attracting stronger students through a high-quality student experience, accreditation, new courses and research active staff. Online accredited courses and CPD are vital to this.

- A focus in History and Anthropology on smaller departments with consistent high-quality research and strong, high-tariff UG, PGT and PGR student intake. Focus on research grant acquisition.

- School of Arts to focus on innovation and creative course delivery, raising SOAS’s profile and attracting commercial and research funding for cutting-edge programs.

- East Asian Languages and Cultures, and Languages, Cultures and Linguistics: Build on the HEFCE Catalyst Fund for small strategic languages turn them into modules, not full degree courses. Arabic, Chinese, Japanese and Korean teaching to change pedagogy, teaching style and levels, to make them profitable as quickly as possible.

To help realise this vision in terms of content and also to deliver the surplus necessary for the strategic development of this vision, a series of initiatives are underway.
Financial Sustainability

The incorporation of the latest projected undergraduate enrolments for September 2018 within our financial forecasts has seen a further deterioration in our projected financial position. While in the short term this has been partially alleviated by the income received from renting out Vernon Square, our projected cash position from 2020-21 is of major concern, with cash reserves depleted by July 2021. Further actions, over and above the achievement of the target savings already set within academic departments and central overheads, are required. The Registrar’s paper which follows sets out our proposals for achieving further savings, delivering new income and generating further income raising opportunities.

Student Experience

The School remains committed to working in partnership with the student body to implement a range of projects that will further enhance the student experience. Annual changes to Student Union leadership present a continuity challenge with respect to longer term planning and the development of a joint School/SU student experience plan is proposed. This will be initiated in term 3, and its development included as a key handover activity between outgoing and incoming sabbatical officers. The plan will reflect identified SU priorities. The Deputy COO (Student and Academic Experience) will work with the student co-Presidents on developing the plan.

It is envisaged that a commitment to enhancing student advice and wellbeing will be central to the plan. Following the School-wide consultation on the overarching structure of the new Student and Academic Experience Directorate (SAE), we will be recruiting a permanent Head of Student Advice and Wellbeing in the summer term. A review of student advice and wellbeing services, taking into account the type and range of services offered, levels of provision, benchmarking with similar institutions and identifiable student needs has been commissioned. The review will seek input from the SU, service users, staff and an external adviser.

During the SAE consultation a number of process and system improvements required to enhance the student experience, were identified. A project board has been established to consider the introduction of a new student record system, and to oversee the implementation of the 'PhD Manager' system. In addition, process improvement groups are currently identifying improvements to, for example, module selection and mitigating circumstances procedures. These process changes will be 'owned' and further developed within the new student and academic support team.

Enhancing the student experience is central to plans to improve the SOAS estate. In particular, we are identifying ways in which more student social learning space, quiet study areas and space for commuter students can be provided. In line with the new academic structure and changes confirmed through the SAE consultation, each department will be provided with dedicated space for student and academic administration and support.
Student facing projects including the repurposing of G1 on the ground floor of College Buildings into student spaces, and the refurbishment of the main reception area will take place during summer 2018. The main reception works will commence, late July, to facilitate continued access to G3 for exams. Planning and consultation has taken place for the temporary entrance into the College and Philips buildings, during the works. The works are programmed to take 8 weeks, with the new reception in place for the start of term in September 2018. Listed building consent, is still awaited from Camden. The proposal also includes the developments of the new local department support offices. There are some elements of planning permission required within this proposal so the timelines are very tight.

Consultation has taken place with the SU, over the requirement for any works in their areas which includes, floor replacement, some minor furniture changes and decoration. These works will take place over the summer with the exact timeline still to be agreed. The SU consultation highlighted further space requests including a commuter/community lounge (which is supported by the proposals in the Estates space consultation), better SU office space and a multimedia lab. The Estates team will work with the SU to develop a clear brief for these two areas to see if they can be established within current estate constraints.

The Brunei Languages HEFCE project, is due for completion in March 2019.

**Teaching Excellence:**

In the academic year 2017/18, work on teaching excellence has continued to follow the Learning, Teaching and Student Experience Strategy aims, with our first tier priorities also encapsulated by our TEF Action Plan objectives. Work has focused on: improving academic assessment and feedback (through the HEA Inclusive Assessment Project, but also through clear guidelines for feedback return); improving retention (through the extension of the Peer Assisted Study Scheme and greater academic oversight over attendance); and improving academic support (through the development and discussion of new proposals on academic advising to be implemented from 2018/19 onwards). However, our ambitions are wider and deeper than those encapsulated in the TEF metrics. We are implementing the recommendations of the Attainment Gaps Working Group, we have adopted a Decolonising SOAS Vision and action plan, we have improved our admissions procedure to ensure that we have greater oversight of our recruitment profile both for pedagogic and financial modelling, we are improving language learning spaces and supporting a refresh of language pedagogy and we continue to make improvements in the recognition and take up of teaching qualifications. This is underpinned by three elements. First, we have refined and clarified how teaching metrics and operational indicators can help us track and reflect on progress. Second, we have worked with professional service teams to develop our new comprehensive review approach, and also to utilise tools to help Heads of Department understand their provision. Third, we have established new school-level positions and committees to provide more effective leadership and oversight of teaching and learning.

a) Specifically, the percentage of staff with teaching qualifications has risen from 3% in 2014/15, 6% in 2015/16 to 12% in 2016/17 - with a clear connection between probation and promotion and teaching excellence. From 2018/19, we will have an in-house programme
for teaching qualifications of experienced staff for the first time. We will also have new and better evidence on teaching quality from student evaluation of modules and the expectation of ‘teaching away days’ in all departments.

b) HoDs can now understand the resources used in particular modules and programmes. This allows HoDs to understand how both staff and financial resources are used within the curriculum. This has already led to a refocus of many modules and programmes to achieve fairer and more efficient teaching approaches. There are particular issues for large languages and an external review will be undertaken of how other high-quality institutions provide language provision.

c) Benchmark data is now available to all departments, as part of the Departmental Datapacks. This has been utilised in curriculum review and will be taken forward in the new comprehensive review. Benchmark data has allowed us to understand where SOAS programmes sit in terms of their aims and content. As well as data on programmes and staff-student ratios, benchmark data allows us to understand trends in NSS and employment, and specifically, how and why our league table positions have changed over time.

REF

We are currently mid-way through our second annual review of REF outputs and have developed a centralised database of all qualifying research. REF Coordinators have been asked to enter the grades of reviewed items and send samples to external Critical Friends for review. Some Units of Assessment have nearly completed the process, others are further behind as a consequence of the effects of strike action, but we will have a much higher overall percentage of outputs finally reviewed than we had last year. The aim is to have ALL flagged items reviewed by the end of June together with an indication of how many additional items at 3* or 4* we will require.

On impact, all but two Units of Assessment have identified a sufficient number of potential case studies in development and we have early drafts for 21 such studies. The next step will be to develop shortlists for each UoA of case studies that will be further developed and devise strategies around their enhancement. During 2018/19 a formal review of potential impact case studies for submission to REF is planned. Impact working group has been developing a school-wide impact strategy that will assist in the paperwork for the REF, but whose intention will be to develop and embed impact securely in the work of the School.

All Units of Assessment have early drafts of their environment statements, which are currently under review by the environment working group. Detailed comments and suggestions will be provided to each Unit of Assessment during May.

Data regarding PhD completions, research applications and awards, and research income for the four complete years of this REF cycle has been provided to Units of Assessment via the centralised database. This will be updated annually, with Information about new outputs flagged as potential REF items, being provided quarterly. We are also considering what further data would be useful for corroborating the narrative in environment statements, for example, research leave and equality and diversity data. In addition, Departments are provided with quarterly reports on the pipeline of research activity (applications, awards
and income. The provision of such data and information will allow Units and Departments to monitor their progress more effectively, and ensure research excellence targets are met.

A detailed report on the School's progress towards an excellent REF submission will be provided to the Board of Trustees in July.

**International and other income generating activities**

Partnerships are vital to delivering the strategic vision for SOAS and we are looking for partners who can multiply our strengths with their own.

**Transnational Education:** We have one partnership significantly advanced to deliver our international management courses, and soon our accounting and finance courses, once accredited, in Singapore. This will entail some upfront costs including the employment of staff at SOAS seconded to Singapore and of local teaching staff. We are focusing on the cost-base of this teaching model so that the costs will increase only marginally once it is scaled up. Over the next 3-5 years this arrangement should deliver significant numbers of students. Timescale to profitability from April 2018: **3 years.**

We also have a second arrangement currently being negotiated to deliver a 2+2 course with Thammasat University in Thailand. Their undergraduates would do two years in Thailand and would then join our second-year courses in South East Asian studies. This model can be extended to other suitable universities in South East Asia and South Asia. Timescale to profitability from April 2018: **3.5 years.**

There are also a series of options under discussion to partner with Chinese universities to deliver our finance and management courses on a 2 + 2 model (and a 1 + 1 for MScs). The issue here is the language abilities of the students. To deal with this, we are designing a specialised language course, to be taught largely online (perhaps with some on-the-ground support) while the students are in China, continuing when they come to SOAS with pre- and in-sessional English. Timescale to profitability from April 2018: **4 years.**

**Online:** We are currently negotiating the renewal our contract with the University of London International Academy for delivering our online courses. We are redesigning the cost-base of our environment and development policy courses to deliver them more efficiently and will soon do the same with our finance and management courses as recommended by the Distance Learning review. We are also talking to potential alternative providers and looking at a series of new courses in Development Studies. This will be followed by courses in all other areas of the School, to greatly increase our online offerings. Timescale to profitability from April 2018: **2 years.**

**Validation:** We have entered into an agreement with the Institute for Ismaili Studies in London to validate their two graduate programmes. One of these was previously validated by UCL-IOE, and the other has not previously been validated. IIS is part of the Aga Khan Foundation, and is regulated as a UK private provider with its own Tier 4 licence. It is anticipated that the IIS’s sister institution, Institute for the Study of Muslim Civilisations, will seek validation from us of an MA programme from 2019 or 2020. This validation process is a
model that can now be rolled out to other potential partners. The income level for each validated MA programme will be c. £130-150k per year depending on student numbers.

**Timescale to profitability from April 2018:** Immediate.

**Summer Schools:** We are revising our Summer School offering where we lag significantly behind other London institutions. After working group meetings, a revised approach to our summer schools is shortly to be put before Executive Board. This will focus on establishing a more distinctive SOAS offering within a competitive market and offering credit (15 and 30) for several of the summer school modules at BA level, with a separate PG and Continuing Professional Development stream. It has other benefits too in terms of student progression. We can then focus on marketing our relaunched summer school through the activities of the Pro Director International and visits of our academics overseas. The summer school is already marginally profitable, but we would hope to see this grow significantly. **Timescale to profitability from April 2018:** Immediate and increasing.

**Foundation Year:** We have started planning to offer a Foundation Degree in three years’ time. This would include a year’s foundation and then an accelerated two-year degree. Options include seeking a London partner on a greenfield site or teaching at Vernon Square once the Courtauld has left. This would be based on a different teaching model from the one we currently offer, with more emphasis on intensive teaching. It would enable us to attract a wide range of students who would benefit from a SOAS education but do not meet our existing tariff. **Timescale to profitability from April 2018:** 4 years.

**Africa Institute for Creative Arts and Innovation:** We are at the advanced planning stage of bidding to a large institutional funder for a series of events in West, East and South Africa to kick-start a campaign for an institute of creative arts and innovation. The aim is to use these events to launch an endowment appeal to raise £50m plus to establish a network of partnerships with SOAS as the hub in the areas of film-making, music and fashion, visual arts and literature. There will be a strong emphasis on technology, sustainability and youth in the events, and the institute will focus on capacity-building, networking between creative centres, and showcasing new and established artists. This is not a profit-making exercise as such but the significant profile-raising opportunity it presents for SOAS will enhance our capacity to fund-raise in other areas.

**Partnerships:** We have a series of ongoing conversations around partnerships. For example, we’re engaged in a discussion with the *Chelsea College of Arts* about offering an entirely new kind of degree where students would combine their artistic studies, and assessment via artistic expression, with the study of humanities and social sciences. **Timescale to profitability from April 2018:** 3 years. And we have had an initial conversation with *NYU’s Global Network University* about providing Chinese language teaching for GNU students and also to provide African Studies teaching for GNU students spending time at NYU Accra. **Timescale to profitability from April 2018:** 3 years.

**SOAS Voice**

We concluded an initial piece of work to establish a more compelling brand strategy and bolder, sharpened, and above all, marketable brand proposition that plays to SOAS’s
distinct, values-led culture. Distinction is difficult to achieve for many institutions in a now crowded higher education sector, and SOAS’s unique identity is something that has not been used to its full potential.

The initial review made a number of operational recommendations including those relating to the establishment of the new Directorate of Development, External Engagement and Policy and on ensuring consistency around SOAS’ visual identity. The review points to a strengthened and consistently reiterated position for SOAS which sets out a clear social purpose, values and mission; challenges the status quo, fights for social justice, combats intolerance; and projects the whole SOAS community as a force for good. The review also made recommendations in respect of the Freedom of Speech Code of Practice and on communications relating to safeguarding.

The work will be developed in the coming months by the new Director of Development, External Engagement and Policy. Final interviews for the Director will take place on the 11th April.

Over the last 3 months, SOAS academic commentators have been in demand in the UK and world media, with topics ranging from Bollywood to Brexit. Steve Tsang commented on a wide range of political developments in China, especially in relation to President Xi; Leslie Vinjamuri on many aspects of the Trump presidency; and Hazel Smith and James Hoare on North Korean politics and with Simon Rofe, on the Winter Olympics in Seoul.

In-depth analysis was provided via the Conversation publication by SOAS scholars Paolo Novak on migration in Italy and Damian Tobin on UK trade with China post-Brexit. Our work in language preservation was also reported in the Times with Mandana Seyfeddinipur discussing the SOAS Endangered Languages Documentation Programme. Overall, more than 25 academics at SOAS have been cited on national and international news outlets since the start of the year.

The involvement of Alison Scott-Baumann, SOAS student Alyaa Ebbiary, researcher Simon Perfect and myself in the evidence sessions on freedom of speech to Parliament’s Joint Committee on Human Rights led to good press coverage. There was also significant positive coverage of the decolonising agenda at SOAS, arising from a talk I gave at the HEFCE safeguarding conference in February.

A selection of the main SOAS coverage week by week is set out on: https://www.soas.ac.uk/comms/media/

Valerie Amos
April 2018
Director's Report

November 2017

Introduction

A highlight of SOAS activities this month was the visit by the UN Secretary-General, Antonio Guterres, who spoke to a packed BGLT and engaged in an extensive Q&A with members of the audience composed of staff, students and external guests. The speech, on counter-terrorism and human rights, raised questions that are central to the debate and discussion of global issues at SOAS and leading academics shared their thoughts on our SOAS blogs. Guests at the event included leaders from NGOs, think tanks and policy influencers, as well as media and press correspondents. Through the planning of the event we developed and strengthened our partnerships with the UN Association in the UK, the International Maritime Organisation, FCO and the UN. There was excellent press coverage. We will continue to build on the centenary legacy of engaging with leaders and thinkers from across the world to highlight SOAS as a place for critical thought and engagement on some of the controversial issues of our time. A recording of the speech and Q&A is on SOAS YouTube pages and on UN TV. Images from the event are also available.

It was announced this month that, after four and a half years at SOAS, Richard Black will be taking up the post of Pro-Vice-Chancellor and Head of the College of Social Sciences at the University of Birmingham in April 2018. Whilst this is sad news for SOAS, it is a tremendous testament to Richard and his achievements at the School. Amongst his many achievements Richard has been a strong Pro-Director for SOAS, leading our research and enterprise work and establishing excellent foundations for our next REF. Richard will continue to drive forward the work in his areas of responsibility over the coming months. Recruitment for a replacement for Richard is underway.

Consultations continue on the One Professional Service restructure. These changes come at a time when we are grappling with complex changes in the HE environment and the need to reduce costs to cut the School’s deficit. This is very unsettling for staff and we will do all we can to continue to engage and consult with staff as we position the School to deliver on its vision of excellence.

Spotlight on Centre for International Studies and Diplomacy

SOAS will celebrate 25 years of teaching Diplomacy in 2018. The Centre for International Studies and Diplomacy now has 400 Masters and PhD students taught on campus or online. Online learning and teaching reaches students at 300 locations world-wide on a daily basis highlighting the significant potential of transnational education. Online MA programmes are now taught in partnership with the Diplomatic Academy of the UK Foreign and Commonwealth Office while CISD’s Mass Open Online Courses (MOOCs) have attracted 250,000 site visits since the first MOOC launched in 2015.

CISD programmes emphasise inter-disciplinarity, vocational training and overseas experience for students. Teaching is drawn not just from Diplomatic Studies but also from Development Studies, Economics, Gender, History, Media, Political Science, and Religious Studies.
On research activity:

- CISD is contributing to Economics Professor Mushtaq Khan’s £6,000,000 UK development project on Anti-Corruption Evidence cases.

- CISD is engaging with Argentina, Saudi Arabia, Singapore and international sports federations on its Sport and Diplomacy research.

- And CISD’s work on Global Energy and Climate Governance underpins teaching in the online and campus MSc’s in Global Energy and Climate Policy.

CISD’s research on the wartime history and future of the UN has resulted in a five year co-operation agreement with the UN Office in Geneva in the lead up to the 75th Anniversary in 2020.

**War Crimes**: CISD has engaged with the international community on reform of the current international criminal justice system using Dr Plesch’s research on WW2 war crimes for improving ‘Positive Complementarity’ to the International Criminal Court.

![CISD Students presenting their research on Dr Berta Lutz and the UN Charter at in the UN Library in Geneva in 2016.](image)

**Southern Women and the UN Charter**: Successive cohorts of students have researched how gender equality was written into the UN Charter and they discovered that it was a Brazilian delegate who led on this. Two students championed the project resulting in extensive media coverage and recognition by UN Women.

For more information on full range of CISD research see: [https://www.soas.ac.uk/cisd/research/](https://www.soas.ac.uk/cisd/research/)

*Dr Dan Plesch, Director, Centre for International Studies and Diplomacy, November 2017*

**Academic update**

On 1 November Academic Board considered the report on the outcome of the review of Area Studies at SOAS. The Review Group was chaired by Professor Chan.
Discussions continue on a proposed School-wide academic workload planning tool. The intention is to trial the workload planning tool from January 2018.

**One Professional Service**

The consultation period on the proposals for the student and academic experience has been extended by a month to Friday 12 January 2018. A working group has been established to support the consultations. The group includes representation from professional services staff, students and academics. Its focus so far has been on the structures that will enable optimum support for students and academic departments. As well as examining the models proposed by the consultation document, the group is looking at alternative approaches which could deliver the improved support that is sought. Workshops have also taken place with groups of staff from the transitional faculty administration.

The professional services staff forum took place on Wednesday 22 November. Updates on developments for other areas of Professional Services are as follows:

- **Chief Information Officer** – this post will be advertised this month
- **Director of Library Services** – this post will be advertised this month
- **Director of Development, External Engagement and Policy** – this post will be advertised in January

**HR**

**Voluntary Severance Scheme**

The School launched a voluntary severance scheme on 21 November with an end date of 12 February 2018 for applications. This will contribute one component of the savings we are seeking to achieve. Information on the voluntary severance scheme was sent to all staff by the Interim Director of HR.

**Leadership development**

A programme of staff development, aimed at supporting professional services staff transition to the new structures, is a fundamental part of the change to the One Professional Service. Twenty five SOAS staff (at Grades 8-10) are in Cohort 1 of the Emerging Leaders and Managers Programme (eLAMP). Cohort 2 (Grade 7 and below) begin the programme in January.

EB members will participate in a two day leadership development workshop in January 2018.

**Development and Alumni**

**Alumni Engagement and Fundraising in Nigeria**

At the beginning of November, the Pro-Director International, Professor Stephen Hopgood, and Chair of the Centre for African Studies, Professor Mashood Baderin, and SOAS staff visited Abuja and Lagos in Nigeria. Alumni events featured lectures from Professors Hopgood and Baderin. The visit also included meetings with potential donors and partners
to discuss funding creative arts and innovation and to secure the future of Hausa and Yoruba studies at SOAS.

_Alumni Engagement and Partnership in Arts Education in China_

Professor Richard Black and Dr Hettie Elgood were in Beijing at the launch of a joint partnership to provide art courses with the Art Institute of Chicago and Guardian Education Centre in Beijing. The visit included a reception for alumni and panel discussion at the Centre involving senior figures from the art world internationally.

_SOAS Connect_

SOAS Connect is an online community exclusively for SOAS alumni where alumni can share contact and career details, expand professional networks and find an alumni mentor or mentee. The SOAS Connect platform has had over 500 sign ups in the past two months. Currently 190 alumni mentors, from a variety of professional backgrounds, are engaged in online mentoring of alumni.

_Welcome Scholars Tea_

Approximately 70 students who are the recipients of scholarships at SOAS attended the Welcome Scholars Tea on 1st November (Reception). Two scholars gave short speeches sharing their stories with their peers - Muhammad Issa, one of our Sanctuary Scholars and Suraj Telange, one of our Felix Scholars spoke powerfully about the difference the scholarships had made to their lives. The event showed clearly the importance of scholarships in helping to open up access for a wider group of students to study at SOAS.

_Alumni engagement event in London_

The Alumni team hosted a successful talk and reception by Art Breath (founded by SOAS alumna Nour Saleh), with about 70 participants including SOAS academics and professionals from the field of art. The focus was art and social sciences in the Middle East, with guest speakers Venetia Porter, curator at the British Museum, and James Watt CVO, former British ambassador to Egypt.

_Events_

_15 Nov - PG Open Evening_

On 15th November, 369 prospective post graduate students attended the open evening which included departmental talks and networking events. This is the highest attendance at a PG evening at SOAS. Strong engagement continues with prospective students through events on campus and virtually through webinars and on social media.
Research Office

Research

November saw the submission of 32 applications for research funding, with 16 to the EPSRC Global Challenges Research Fund Research Hub call, 2 of which were led by SOAS. In addition to these applications SOAS submitted 9 applications to the British Academy - 5 to the small grants scheme, 2 to senior fellowship scheme, and 2 to the anti-corruption evidence call.

Successful applications reported in November include:

• Professor Laura Hammond awarded “Proposal to form the London International Development Centre Migration Leadership Team” for £396,603. The project aims to develop a strategy for informing ESRC-AHRC migration funding that builds on the achievements thus far realised, addresses persistent gaps, and speaks to relevance in policy, practice, and/or public engagement and awareness.

• Dr Adrija Dey (Supervisor Navtej Purewal) – British Academy Post-Doctoral Fellowship – “Gender-based Violence in Indian Universities: a Study of Campus Life, Student Activism, and Institutional Responses” – c.£325,000

• Dr Heewon Kim (Supervisor Gurharpal Singh) – British Academy Post-Doctoral Fellowship – “Modi & Muslims: development, exclusion or path dependence?” – c.£325,000

Eleven applications were submitted to the seed corn fund and funding of £78,500 has been offered to the successful applicants to progress research projects. We hope these projects will lead to positive initial results enabling researchers to apply for significant collaborative grants. The second round will close on 29th January 2017

Public engagement in research

A new Research Engagement Manager, Dr David Convery, has been appointed to assist in the development of a SOAS-wide strategy for public engagement, as well as provide guidance and support to individual researchers. As a signatory of the NCCPE’s Manifesto for Public Engagement, SOAS is committed to further development of our public engagement in research.

Enterprise

A number of customised training programmes were delivered in November. We welcomed around 70 staff from Great Ormond Street Hospital to SOAS in early November for a one-day training programme on understanding Gulf culture. Summer School courses have been confirmed for 2018 - 11 courses are being offered over a 6-week period in July and August: https://www.soas.ac.uk/summerschool/subjects/
Other news

• SOAS PhD student, Alyaa Ebbiary, gave evidence to a joint committee of Parliament – the Human Rights Committee – as part of a panel on Freedom of Speech in Universities. SOAS academic Professor Alison Scott-Baumann was instrumental in ensuring students were able to give evidence. Representatives of leading national organisations were also on the panel to provide their perspective.

• Professor Arshin Adib-Moghaddam, Department of Politics and International Studies, was nominated to become part of this panel making this year’s selection of the Queen’s Anniversary Prizes for Higher and Further Education. The national panel evaluates nominations for of recognition in higher education institutions in the United Kingdom.

SOAS in the media

SOAS academics commented on a range of world events this month including the Balfour centenary, re-run of the Kenyan elections, the terrorist attack in New York and the on-going situation in North Korea. The UN Secretary General António Guterres’s speech at SOAS drew considerable media attention with pieces in the Times, Guardian, Middle East Eye and Deutsche Welle, amongst others. Professor Stephen Chan and Dr Michael Jennings provided wide ranging comment as the political situation developed in Zimbabwe around the future of President Mugabe, including on the BBC, Al Jazeera and in The Independent. I also gave media interviews on the Rohingya crisis including with Sky News and on governance on the African continent with CNN.

In addition:
• France 24 Arabic, Al-Araby TV: Professor Gilbert Achcar discussed the Balfour centenary
• The Conversation: Dr Paolo Novak published an article entitled ‘Enough pasta already: why asylum seekers in Italy are fed up with their food rations’
• The Truth about Muslim Marriage: Myriam François, Dr Vishal Vora and Dr Samia Bano featured in the Channel 4 documentary
• Radio 4: Professor Gurharpal Singh and Professor Andrew George interviewed on the prominent British Museum series Living with the Gods

Valerie Amos
5th December 2017
Director’s Report

January 2018 & December 2017

Introduction

This Director’s report covers December and January.

Higher Education continues to make the headlines. The recent Cabinet reshuffle saw the resignation of Justine Greening as Secretary of State for Education and the Universities Minister Jo Johnston’s move to Minister of State at Transport and Minister for London. The new Secretary of State is Damian Hinds and the new Universities Minister is Sam Gyimah. The change in the Ministerial team has sparked further discussion about the scope and scale of the proposed review of the funding of universities. The terms of reference, timetable and details of whether it will be an internal or external review have not yet been announced. Details are expected shortly.

There was also controversy surrounding the appointment of Toby Young to the Board of the Office for Students (OfS) given his offensive tweets. He subsequently resigned. 28 February sees the formal launch of the Office for Students. At that event, universities expect to be advised of the elements for the new regulatory framework following the consultation process. Current indications are that it will not vary much from the consultation document.

Alison Scott-Baumann, Professor of Society and Belief at SOAS, a SOAS PhD student Alyaa Ebbiary, and I gave evidence (at three different sessions) to the Parliamentary Joint Committee on Human Rights as part of their inquiry into Freedom of Speech in Universities. These hearings were an opportunity to tackle some of the stereotyping of SOAS, to highlight our commitment to freedom of speech and to emphasise the “chilling” effect of the Prevent element of counter terrorism legislation.

You can watch those oral evidence sessions on Parliament TV:

  17 January 2018 (Alison Scott-Baumann)
  10 January 2018 (Valerie Amos)
  29 November 2017 (Alyaa Ebbiary)

Spotlight on Politics

SOAS’s Politics and International Studies Department, established in 1990, is currently ranked 39th in the world and 6th in the UK in the QS Subject Rankings. The QS Subject Rankings survey over 4000 universities worldwide and build on a combination of academic and employer reputation and research impact. On this basis, our Politics and International Studies Department has a reasonable claim to being one of the best heterodox Politics and International Studies Department in the UK, and perhaps also in Europe.

The Department has seen significant expansion in the last few years. Since 2013, the Department’s UG student enrolments have grown by 43% and PGT enrolments by 34%, driven by growth in both new and existing programmes such as Conflict, Rights and Justice, Middle East Politics and International Relations. In total, Politics and International Studies currently teaches 588 UG students, 177 PGT students and 55 PGR students. The Department maintains a robust admissions tariff for its programmes, which are AAA at A-level or
equivalent for UG programmes. In the past several years Politics has consistently hit or exceeded its recruitment targets, generating significant revenues for the School. Departmental video here: https://youtu.be/Dk45VZ9hJzs

Intellectually the Department is home to several thriving research centres and clusters, including the Centre for Conflict, Rights and Justice, the Centre for Comparative Political Thought, the Centre for Taiwan Studies, and the cluster on Migration, Mobility and Membership. It has also steered significant cross-institutional initiatives such as the London Migration Research Group and the London Asia Pacific Centre for Social Science.

In recent years Departmental staff have won significant external funding for research projects, including three fellowships at the Institute for Advanced Study at Princeton University (arguably the most prestigious in the world), six Leverhulme Fellowships, and funding from the ESRC, the United States Institute of Peace, and the Open Society Initiative. These have contributed to a research environment in which the Department is facilitating the production of high-quality monographs as its core strategy for the next REF, with a growing number of volumes extant or under contract with presses such as Oxford or Cambridge.

Internationally-recognised prize-winning books have been produced by Professor Stephen Hopgood (American Political Science Association), Professor Laleh Khalili (International Studies Association), Dr Kristin Surak (American Sociological Association) and Dr Kerem Nisancioglu (British International Studies Association and International Studies Association).

Further evidence of the high-quality research environment is the number of awards won by our PhD students, whose dissertations have been honoured by the International Studies Association, the Middle East Studies Association, the British International Studies Association, and the British Society of Middle East Studies, amongst others, and a strong pattern of placement in postdoctoral and permanent positions at universities such as Columbia, Edinburgh, Queen Mary, Freiburg, Gottingen, Amsterdam, King’s College, Birmingham and Oxford.

In 2017, Politics Department academic staff have been widely externally engaged on matters of their scholarly expertise, including giving briefings to governments, the media and the courts on matters of global significance, such as the international policies of the Trump administration, international criminal justice and Rwanda, the political transition in Zimbabwe and corruption allegations in India.

Details of this activity is available in the Department newsletter, produced three times a year and available here: https://www.soas.ac.uk/politics/newsletter/.

BBC Newsnight also created a short Viewsnight film this summer featuring Dr Rahul Rao discussing the international politics of statues which stimulated a wide set of public responses, available here: https://www.youtube.com/watch?v=TmOqzoClAe4
Finally, colleagues in the Department have also been contributing substantially to strategic initiatives within the School, such as the establishment and running of the Senate, chaired by Dr Meera Sabaratnam and deputy-chaired by Dr Matt Nelson, and the development of the Decolonising SOAS agenda, which is strongly supported by Department staff.

Professor Stephen Hopgood has been recently promoted to Pro-Director with responsibility for the School’s International Strategy, having previously co-established the Centre for International Studies and Diplomacy (CISD), and the Centre for Conflict, Rights and Justice (CCRJ).

Dr Mark Laffey
Head of Department

Academic Restructure

Plans for the introduction of a School-wide academic workload planning tool are progressing following discussion at Executive Board and a meeting with the software providers. The intention is to make the tool available to Heads of Department this term, with a soft launch in seven departments.

On 5 December, Academic Board approved a paper on changes to the School’s Reward & Recognition Procedure – the latest in a succession of revisions to staff- and student-related processes and policies affected by the academic restructure. The approval of revised degree regulations and other student policies is scheduled for later in the term, along with updated terms of reference for the School committees which report to Academic Board.

One Professional Services

Consultation on the Student and Academic Experience (SAE) area of OPS was concluded in mid-January and significantly revised proposals were considered at Executive Board on 29 January and 5 February and at Academic Board on 31 January. The revised proposal contained changes made as a result of feedback received during the consultation process; including feedback from a working group that had looked in detail at the support arrangements for academic departments. The working group included staff in SAE,
academics and student representatives. The final revised proposal will now be published.

As part of the self-delivery project for facilities management and catering, we conducted an online survey of staff, students and visitors and a number of drop-in sessions were held on what the new SOAS catering arrangements should be. There were over 1,000 responses to the survey, providing an excellent basis for developing plans for the SOAS catering offer going forward.

**USS pension reform and UCU action**

In January, a decision on a proposed reform of the national USS pension scheme was made by the USS Joint Negotiating Committee. The proposal will form the basis of a 60-day consultation exercise with USS members, from March of this year. UCU are opposed to the proposed benefit reform, and based on a ballot of the SOAS membership, have obtained a mandate for industrial action comprising strike action and action short of a strike. UCU have provided notice to the School and 60 other universities that strike action will take place on 14 days over a period of just under one month from Thursday 22 February.

The School will provide updates to staff and students on the impact of the strike. This is a national dispute and the School remains committed to supporting an open and constructive dialogue with UCU on these matters. We will seek to work with UCU, their membership, and with the Students’ Union in protecting the learning and wider student experience throughout the course of this dispute.

**Development and Alumni**

*Alumni Engagement*: in December Pro-Director (International) Professor Stephen Hopgood and I met a group of over 50 alumni in New York City and discussed the question of “Building a better future out of turbulent times”. Stephen then went on to San Francisco where he spoke on “What’s the future for human rights and democracy in a post-Western world” to alumni resident in the Bay area. This was an opportunity to engage with alumni, donors, and members of the board of AFSOAS (American Friends of SOAS).

In January, we hosted the inaugural Welcome US Alumni reception at Home House, London sponsored by the AFSOAS outgoing President, Ms Brooke Beardslee. The event attracted more than 70 US alumni and new students, and was an opportunity to thank Ms Beardslee and welcome the incoming AFSOAS President Mr Greg Buie (MA International Studies and Diplomacy 2008).

AFSOAS supports the John Loiello Scholarship, which is named after a founding board member and benefactor who passed away in 2013. The purpose is to give an American student the opportunity to study on a Masters programme at SOAS. To-date, there have been three scholarship recipients - Cristina Leifson (2015), Bethel Moges (2016) & Donya Nasser (2017).

The alumni engagement team ran a successful Book Club and Talk on Friday 26 January with Professor Stephen Chan who presented his latest book, *Plural International Relations in a Divided World*, to more than 50 alumni. The next Book Club is on 12 April and will discuss *Men, Countries and Gods* with the authors, SOAS alumnae Dr Roghieh & Leila Dehghan.
Alumni e-Bulletin: The monthly Alumni e-Bulletin went out on 6th December 2017 to approximately 25,000 of our contactable alumni.

Philanthropic income update, as at December 2017: Since 1 August 2017, SOAS has received over £2.23m in philanthropic funds for scholarships and research, including funding for the Shapoorji Pallonji Zoroastrian Institute, the Jewish Music Institute, Philippines studies at SOAS, the Ferguson Scholarships and the Wolfson Postgraduate Scholarships.

Research Office

Research

SOAS was awarded just under $1m from the Gates Foundation for Professor Bhavani Shankar’s project on “Market Intervention for Nutritional Improvement”, which aims to identify investments that improve the affordability and availability of vegetables and meat in local markets in South Asia through innovative microsimulation modelling tools. In addition, The Dawes Trust have offered funding of £600,000 for “Understanding Conversion to Islam in Prison” led by Dr Matthew Wilkinson which was announced in January. The project is an interdisciplinary research programme using robust mixed-methods, criminological-theological. The Leverhulme Trust has granted Professor Andrew George, Professor of Babylonian, a Major Research Fellowship for a new project on Ancient Mesopotamian mythology, entitled “The Drunken Gods. A New Study of Ancient Mesopotamian Mythology”

The Research Office organised a visit from the British Academy to inform SOAS academics of upcoming opportunities and to provide tips on how best to apply. Since the visit we are managing around 20 applications to the British Academy Visiting Fellowship call; a new scheme with the aim of enhancing and building new links between scholars anywhere in the world and in the UK.

In the first 6 months of the FY17/18 SOAS has submitted 121 research grants applications, with a further 65 applications in development.

Enterprise

We have secured contracts for 4 one-day programmes on the Middle East and North Africa for personnel at the FCO. The Enterprise Office is working with the London Middle East Institute to coordinate the delivery of these programmes which will focus on Ethnic Minorities in MENA and Israel / Palestine and the Middle East Peace Process.

There has been a significant increase in the SOAS HE-BCI return (Higher Education Business and Community Interaction Survey), up from £7.186m in 2015/16 to £9.537m in 2016/17, an increase of 32.7%. This means that Knowledge Exchange activity now makes up 10.8% of all SOAS turnover, compared to 8.3% in 2015/16.

Events
27 January PG Open Day: Over 700 prospective postgraduates registered to attend a day of academic talks and meet and greets. We had a 45% conversion rate with 320 attendees on the day. Eighty-five staff and students worked hard to make the day a success. We received 200 responses to the attendance surveys, the information from which will be shared with Heads of Departments.

On Thursday 7 December, Professor Shane McCausland gave his Inaugural Lecture on “The Art of Quitting Court: Parting Gifts from China’s Last Emperor”. Part of the SOAS 2017-18 lecture series entitled ‘A World Turned Upside Down’, Professor McCausland’s lecture explored the agency of art at the court of China’s deposed Last Emperor, Henry Puyi, in the Warlord Era of 1920s China.

Other news

In December we celebrated the strengthening of our relationship with the Sir Percival David Foundation of Chinese Art through the signing of a new Loan Agreement. The agreement which the Chair of the Percival David Foundation, Colin Sheaf, and I signed coincided with the inaugural Lecture by Professor McCausland, who has held the Percival David Chair in Chinese Art since 2015. The new Loan Agreement covers a range of works including the Percival David Library, study collection and Sparks archive.

In January, the Legacies of Biafra Exhibition opened in the Brunei Gallery (11 Jan-24 Mar) featuring artwork which explores the on-going impact of war locally and globally, considering how the first civil war in post-independence Africa has influenced the perception of the continent internationally, as well as reshaping the social and political structures within Nigeria. The exhibition commemorates the 50th anniversary of the Nigeria - Biafra civil war and explores the legacies of the British colonial divide and rule policy; global media coverage of the conflict; ethnic tensions, distrust and enmity which culminated in the civil war.

Poet, novelist and SOAS Honorary Graduate Ben Okri was the featured speaker at the Exhibition Launch on 11 January. Mr Okri was eight when the Biafra war broke out and has written short stories that feature the conflict. He spoke about his personal views on the legacy of Biafra and read extracts from some of his works.

SOAS in the media

December: SOAS academics commented on world issues including on President Trump’s tweeting of far right anti-Muslim videos, Russia investigations, tax cuts and the US President’s decision to move the US Embassy to Jerusalem.

The SOAS Students' Union Consent Workshop Project Co-ordinator Monique Bell joined a panel discussion on Channel 5 on consent workshops, which included a report of one of the workshops taking place at SOAS.

Dr Amina Yaqin was interviewed on BBC World News on the recommendation by Ofsted for inspectors to quiz primary schoolgirls wearing a hijab and Dr Emma Crewe joined a panel on BBC Parliament Booktalk's Christmas Special to discuss the latest political books.
In addition:

- The SOAS Brunei Gallery Exhibition 'Behind the Indian Boom' was featured in The Hindu

- Professor Michael Hutt was interviewed in Kantipur on the study and translation of Nepali literature for his new research project on the aftermath of the 2015 earthquake

- There was extensive coverage of Dr Anna Lindley's Bar Council report on immigration detention centres in The Barrister and BuzzFeed

- Professor Steve Tsang provided commentary on North Korea and China relations as well as China and academic freedom in the West in the Daily Express and the Times

- Dr Phil Clark published an article 'Rwanda's Recovery' looking at when remembrance is official policy in Foreign Affairs

**January:**

Some of the Students’ Union sabbatical officers and other SOAS students led a protest at the Blighty Café in north London to express their concern over the use by the café of iconography and representation of Britain’s Imperial history and of associations with Winston Churchill in particular. This led to extensive coverage in the press and social media. The protesters were subject to sometimes abusive and offensive comments much of it focussed on their backgrounds. SOAS condemned the prejudiced nature of the attacks.

SOAS academics commented on world issues this month including President Trump's first year in office, Davos, the protests in Iran, the US and South Korea and President Macron’s visit to China.

Alison Scott-Baumann and I received media coverage for the evidence we gave to the Parliamentary Joint Select Committee on Human Rights.

James Hoare and Simon Rofe provided commentary on sport, diplomacy and the upcoming Winter Olympics in South Korea whilst Eleanor Newbigin appeared on an episode of Great Lives on Radio 4, talking to Matthew Parris and Nazir Afzal about Gandhi.

In addition:

- The Times: Mandana Seyfeddinipur discussed language preservation in relation to the last speaker of the Jeru language passing away - a language documented by the SOAS Endangered Languages Documentation Programme

- The Guardian: Steve Tsang quoted in an article on UK-China relations and the PM’s visit to China

- Al Jazeera: Gurharpal Singh quoted in an article entitled ‘Why are Indian officials banned from Sikh Gurdwaras?’
• New Internationalist: Article on SOAS Sanctuary Scholarships including interviews with current scholars

• Times Higher: Tim Pringle published an article entitled ‘How can scholars tackle the rise of Chinese censorship in the West?’

Valerie Amos
1 February 2018
Director's Report
February 2018

Introduction

Office for Students launched

Last week saw the launch of the Office for Students (OfS) the new regulator for the HE sector in England which was set up by the Higher Education and Research Act of 2017. The OfS replaces HEFCE and has stated that it will focus on delivering four primary regulatory objectives as follows.

All students, from all backgrounds, and with the ability and desire to undertake higher education:

1) Are supported to access, succeed in and progress from, higher education.

2) Receive a high-quality academic experience, and their interests are protected while they study or in the event of provider, campus or course closure.

3) Are able to progress into employment or further study, and their qualifications hold their value over time.

4) Receive value for money.

All providers will need to register with the OfS to access public funding, such as student loans or Tier 4 licenses. The Office for Fair Access (OFFA) is being merged into the OfS.

To register, providers have to demonstrate that they satisfy a set of initial conditions of registration to ensure they are able to offer high quality higher education to students.

The Registrar will lead on the registration process for SOAS.

USS pension scheme and UCU strike action

I am pleased to report that UCU/UUK have resumed negotiations under the aegis of ACAS, to find a way ahead on the proposed changes to the USS pension scheme which resulted in strike action by UCU.

I hope that in the interests of staff and students the talks will result in an early resolution of the dispute.

As colleagues are aware, this is a national dispute with UUK negotiating on behalf of some 90 employers. It is not a dispute between SOAS and UCU.

In my communication to staff of 21st February I set out a number of priorities for the School during the period of strike action as follows:

- Ensure that student learning and progression are supported. Details of the steps we are taking are on MySOAS for students.
- Our respect for the rights of those taking strike action and those continuing to work.
- The wish that application of SOAS values ensures good relations between everyone in this difficult period.
My thanks to UCU for the efforts they have made to ensure that their official picket lines are run appropriately. We have continued to take all reasonable steps to facilitate access to SOAS buildings during strike action.

Spotlight on decolonising knowledge at SOAS

At SOAS, there is a long history of discussion about decolonisation, both of the curriculum and more broadly, decolonisation of knowledge itself. It is a headline issue and was at the top of the Students’ Union’s recent poll of priority issues. The SOAS-based Decolonising our Minds group has led much of the UK thinking in this area, drawing on thinking from elsewhere.

As a response to strong student interest in decolonising the curriculum, the Decolonising SOAS Working Group was established in 2016, led by student sabbatical officers and the student society Decolonising Our Minds. The Working Group comprises a range of staff and students from around the School, including Students’ Union sabbatical officers and other postgraduate and undergraduate students, colleagues from Student Advice and Wellbeing, academic colleagues from different fields, GTAs, colleagues working on Quality Assurance and Learning and Teaching matters and the Pro-Director for Learning and Teaching.

Recently, the Decolonising SOAS Working Group created a toolkit for programme and module organisers. The toolkit aims to provoke questioning and debate around what we teach and how we teach it. The toolkit is not a set of prescriptions but a set of suggestions and ideas for colleagues and students to consider, individually and collectively. It is connected to wider institutional questions about the principles and practices of good teaching.

In February, there were a series of workshops for staff and students to explore what the approach might mean for specific subject areas and to offer a chance for colleagues across the School to share ideas and feedback about these issues. As the Decolonising working group has made clear this is not about closing the door to Western or European philosophies and traditions. It is a process of enquiry to deepen knowledge of the world, challenge established thinking and open our minds to ideas from around the world. It is crucial that SOAS and other universities engage in this process as a contribution to critical engagement and enquiry.

One Professional Services

We have taken a significant step forward in the implementation of the One Professional Service (OPS) change programme through the advertisement of the key roles of Chief Information Officer, Director of Library Services and Librarian, and Director of External Engagement and Public Affairs. These roles are a key part of the senior structure in Professional Services. Application deadlines are in March and interviews will take place in April.

Once appointments are made, the new Directors will work with their teams to develop the structures of their new directorates. As has been the case throughout the OPS change programme, the transition to the new structures will be managed through a consultative approach, in line with the School's management of change policies.

HR

Voluntary Severance
The Voluntary Severance Scheme was extended until the end of February and we have received applications from across the School. Decisions will be confirmed over the next week.

**Staff Development**

The Staff Development Team have established career development sessions for professional services staff who may wish to apply for new roles as part of the One Professional Services restructuring. Short introductory sessions will take place in March and will offer guidance on developing a CV, application letters and basic interview skills. Half day sessions arranged for May and June will look more broadly at developing a career plan and extended interview skills. All programmes are designed for any member of staff to participate.

**Development and Alumni**

**Alumni Engagement**

**Development Studies Careers Panel**
Together with Careers, the alumni team hosted a Development Studies careers panel. Four leading alumni came back on campus to speak to over 50 students about their careers, sharing tips and networking. One of the alumni panellists was Graham Wrigley, Chairman of CDC and co-founder of Permira.

**Economics Event**
A successful event organised by the Economics department, alumni and careers staff introduced final year students to careers and alumni opportunities in economics. About 50 students attended.

**Philanthropy**

**Alphawood Scholarships**
The Alphawood Scholarships form part of the £15 million Southeast Asian Art Academic Programme (SAAAP) at SOAS funded by the Alphawood Foundation, Chicago. The coming academic year marks the last intake of Alphawood scholars. Applications for award this year were the highest in the five years of the programme, with 117 applications. 19 candidates have been selected as recipients of Alphawood Scholarships to start in the 2018-19 academic year. These include 10 MA students (History of Art / Archaeology and Religious Arts of Asia), 7 Postgraduate Diploma in Asian Art students, and 2 new PhD students. With six candidates who deferred from the 2017-18 cohort and 13 Alphawood Scholars currently studying ELAS in preparation of their MA or Diploma programmes, we expect a total of 39 Alphawood Scholars to be enrolled at SOAS from this September.

This will bring the total number of Scholarships awarded over five years to 92, including 4 PhD awards.

**Dr Hettie Elgood Scholarship**
A number of Postgraduate Diploma in Asian Art alumni have come together with the goal of raising two £32,000 scholarships in honour of their mentor, teacher and friend, SOAS art historian Dr Hettie Elgood MBE. The first scholarship has already been secured and will be awarded in the 18-19 academic year. Please see the appeal here: [https://soas.hubbub.net/p/HettieElgood/](https://soas.hubbub.net/p/HettieElgood/)

**SOAS Couple Raise 4k for Refugee Scholarships on Their Wedding Day**
Alumni couple Ali and Nadia asked friends and family to donate to the Sanctuary Scholarships Appeal rather than buy them wedding gifts. The Marketing team blog about their story has had almost a thousand likes on Facebook: https://www.soas.ac.uk/blogs/study/couple-raise-4k-refugee/

Philanthropic income update, as of 28 February 2018.
Since 1 August 2017, SOAS has received £4.2 million in philanthropic funds for scholarship and research.

Research Office
Visit by HEFCE’s Deputy REF Manager to SOAS

On 15 February the Research and Enterprise Office organised a REF 2021 event facilitated by HEFCE’s Deputy REF Manager, Dr Catriona Firth. The event was open to staff in the Bloomsbury Colleges as well as SOAS staff, and was well attended. Dr Firth spoke about the key changes to REF 2021, the reasons for the changes, and the timeline to submission in November 2020, explaining when more detailed guidance will be made available.

Public Engagement with Research - National Coordinating Centre for Public Engagement Workshops at SOAS

To increase understanding of public engagement and how it can contribute to accelerating the impacts of SOAS research beyond academia, the Research and Enterprise Office recently hosted two workshops facilitated by Heather Lusardi of the National Coordinating Centre for Public Engagement (NCCPE) on ‘Public Engagement as a Pathway to Impact’. The workshops were attended by both academic and professional staff. The nature of mutually beneficial public engagement was explored, including the different ways in which the public can engage with research, the range of impacts which can arise from public engagement - both for REF 2021 and beyond - and how evidence of impacts can be captured through public engagement.

Seed Corn Fund Call 2

To continue to promote and encourage International, collaborative research projects the Research Office launched the second call for the Seed Corn Fund. There was a good response to the call with 26 applications, a significant increase on the 11 applications for the first call. The results are to be announced shortly.

Funding Applications

SOAS continues to be actively involved in funding calls to the Global Challenges Research Fund with 16 submissions to the outline stage of the second GCRF Research Hubs call in November. Ten of the 16 applications are through to the full stage, including one where SOAS is the lead partner. We also submitted 20 applications to the British Academy Visiting Fellow call and 6 applications to the ERC Consolidator Grant Scheme from across SOAS.

Student Activities

African Development Forum
The African Development Forum’s crowdfunder raised £880 for their conference which will be held on 2nd – 3rd March. The ADF is a student-driven platform for championing African development, bringing together leading thinkers in the field to stimulate informed discussion, challenge orthodox narratives, and bridge gaps in understanding between various development stakeholders.
Migrant Solidarity in Paris and Calais
This crowdfunding project raised £700 from 27 donors to fund sorting and distributing donations, as well as cooking hot food for 200 people at the migrant-led occupation in Paris-8 University.

Events
21 Feb, Insight Day
On 21st February, SOAS had the first Insight Day for the offer holders for 2018 entry. The day included a series of departmental talks including mini-taster lectures, information on accommodation and finance, student life and student experience talks, cultural workshops and activities to give a sense of SOAS student life. Over 140 students attended with 70 guests. The second insight day will be on 25 April 2018.

Other news
AXA Chair Launch
On 6 February, SOAS’s Centre for Global Finance held a joint event with AXA Research Fund and Investment Managers to launch the AXA Chair in Global Finance. The event brought together world-leading scholars, practitioners and policy makers to discuss pressing issues and new developments in global finance. The event celebrated the appointment of Professor Victor Murinde as AXA Professor in Global Finance in the School of Finance and Management, a new full-time permanent academic position, supported with the £1m investment which will finance a ten-year research programme and the Research Centre for Global Finance.

Language App launch
On 21 February, International Mother Language Day, the SOAS World Languages Institute launched SpeakSOAS, developed in partnership with UCL, an exclusive app for SOAS students to find language exchange buddies within the university. Unlike other platforms where English and French seem to get all the attention, SpeakSOAS is a tool that facilitates language exchange in all SOAS languages between our international and local students and staff beyond the classroom.

SOAS in the media
SOAS academics commented on world issues this month including the Trump presidency, gun violence in the US, the Prime Minister’s visit to China, and efforts to consolidate President Xi’s power. At the start of the month I was involved in a discussion on the centenary of women’s suffrage on Channel 5 News. Hazel Smith, James Hoare and Simon Rofe continued to provide commentary on sport and diplomacy during the Winter Olympics in South Korea including on CNBC, Radio 4 and BBC World Service. Rachel Dwyer paid tribute to and discussed the impact of Bollywood star Sri Devi across global and Indian press including in the Scroll, CNN, Al Jazeera.

In addition:
- Tough Talk: Michael Hutt discussed Nepali literature, Nepali politics and our current ‘Violent Sway’ project in the aftermath of the 2015 earthquakes
- The Guardian: Steve Tsang quoted in an article on the plan to amend presidential term limits in China
• The Conversation: Paolo Novak published an article entitled ‘The spectre of fascism haunts Italy after attempted massacre forces African migrants to stay indoors’
• Washington Post: Keith Howard quoted in an article titled ‘Distinct style of Korean pop to echo in Olympic spotlight’ (also syndicated widely in USA)

Valerie Amos
1 March 2018
Director's Report
March 2018

Introduction

The Office for Students came into existence on 1 April replacing many of the functions of HEFCE and The Office for Fair Access (OFFA). This is a significant change in the regulatory framework for the sector with an emphasis on protecting the student. There will be a strong focus on value for money, data and a risk-based approach to its activities.

The immediate focus for SOAS is on registration, with institutions able to submit applications from 4 April. Applications must be submitted by 23 May 2018.

Many of the requirements for registration mirror existing conditions of the relationship with HEFCE and, for example, we will not be required to submit new financial data as part of our application. However, there is a requirement to submit a self-assessment of how we meet our obligations under competition law and have appropriate governance and management arrangements in place. We also are required to submit and have the OfS approve a student protection plan that details how we will manage issues such as closure of courses. Preparation for our submission is already underway and the Board will be updated on progress.

Further guidance is due to be issued in the next week on how OfS will monitor institutions once they are on the register and any ongoing or additional registration conditions.

Funding review

The Government announced its review of sector funding in February. This has a wide remit to look at all education post-18 so the review will consider technical, vocational and academic routes. There is a strong emphasis on value for money to both the taxpayer and the student.

The panel includes Sir Ivor Crewe, a former member of the SOAS board, and will be chaired by Philip Augar a financial services expert. The panel is expected to issue an interim report later this year before concluding its work in early 2019.

Industrial action and complaints

Trustees will be aware of the ongoing national UCU industrial dispute over changes to the USS pension scheme. There have been 14 days of strike action to date which has had a significant impact at the School. By the Board meeting on 10 April we should know if the action will continue in to the summer term. Consultation is currently underway with members of UCU and with employers on a proposal for a panel.

The final day of the strikes saw a number of students block access to the main
College Building preventing students entering to study and staff to work. As a result there were direct physical confrontations and a number of complaints received which are being investigated.

The School has also received a large number of complaints from students about the impact of the industrial action on their studies. The School has taken a range of steps to mitigate the impact of the strike action and will consider any specific complaints in line with the student complaints procedure.

**Graduation**
This year's graduation ceremonies will take place on 25, 26 and 27 July. There will be two ceremonies on each day this year due to the increase in the undergraduate intake three years ago.

**Human Resources**

**USS and Industrial Action**
Discussions about proposed reforms to USS continue to take place between UUK and UCU.

As a basis for finding a way forward, and ending the current dispute, UCU and Universities UK are proposing to jointly establish a panel of independent experts to review the valuation of the scheme and associated processes / assumptions and to agree key principles to underpin the future joint approach to the valuation of the USS fund. The proposal is subject to consultation with UCU members and USS employers. The School has confirmed its support for these proposals.

**Gender Pay Gap**
In line with revised requirements under The Equality Act, the School has reported a gender pay gap of 9.8%. This compares favourably to an average pay gap of 14.1% reported across the sector in 2016, and reflects the School's commitment to ensuring gender balance at all levels of the institution.

**Reward**
A revised reward scheme will be launched this week. The scheme sets out arrangements for staff to be considered for additional increments, and contribution points and includes provision for single rewards for exceptional contribution. Previous arrangements for the review of reward for professional services staff and academic staff have been merged into a single scheme.

**Development, Alumni Engagement and Philanthropy**
SOAS E-World March 2018

SOAS E-World, the alumni e-bulletin was sent to over 24,000 alumni at the beginning of March. The most popular news item was SOAS’s PhD scholar Ms Hangwei Li who was awarded the United Nations Correspondents Association...
Helen Kanitkar Library Project
When SOAS Anthropology lecturer Dr Kanitkar passed away in 2001, her husband Hemant funded the refurbishment of the departmental library, now called the Helen Kanitkar Library. In the words of one SOAS student, ‘The HKL has been fundamental to any and all success in my degree programme.’ Each year, SOAS raises philanthropic funds to cover the costs of running the Library. So far, eleven donors including three academics have made significant donations to the effort, and we are well on the way towards reaching the target of £1000. The campaign closes in two weeks: https://soas.hubbub.net/p/HKL/

Dr Hettie Elgood Scholarship
The alumni philanthropy team, in collaboration with a number of key alumni and academics have so far raised £40,280 for the Dr Hettie Elgood Scholarship. With one full scholarship for the Postgraduate Diploma in Asian Art already secured, the campaign has been extended until the end of April to reach our target of £64,000. £64,000 will enable two students to start the Diploma this coming September.

Gift of Lopburi Buddha Statue
Postgraduate Diploma in Asian Art alumnus, Mr Paul Slawson, has donated a 13th century statue from Lopburi, Thailand to SOAS. The life-sized torso of a standing Buddha, valued at around £50,000, will feature in the Brunei Gallery’s upcoming exhibition: ‘China and Siam - Through the Lens of John Thomson’. We welcomed Paul Slawson back to SOAS in March to visit the statue in its new home in the Brunei Gallery.

AFSOAS
The DAEE has been working with AFSOAS President Greg Buie to enable ‘StockDonator’, a tool which will allow AFSOAS to accept stocks, shares and securities to designate towards SOAS purposes and projects.

During March, AFSOAS forwarded grants of a total of £90,000 to SOAS. The funds will be allocated to projects according to the wishes of the donors, including the Dr Hettie Elgood Scholarship, the SOAS China Institute, Burmese Studies and the Postgraduate Diploma in Asian Art programme.

A Collaboration between the Smithsonian Institute’s National Museum of African Art and SOAS
SOAS Honorary Fellow Dr Gus Casely-Hayford, newly appointed Director of the Smithsonian Institute’s National Museum of African Art in Washington DC, and SOAS are collaborating to develop an Artist Discussion Series. The first event will be held early in 2019 at the Smithsonian.
Research Office

Research activities across the School have continued to grow. In the first 6 months of FY 2017-2018, the Research Office has managed 121 applications (106 to external funders), received 28 awards and currently has a further 65 bids in development. The total value of applications so far submitted is £38,398,194 (compared to £39,806,741 in total for FY 16/17) with an awarded amount of £12,004,232 already for FY 17/18 (compared to £13,044,193 in total for FY 16/17).

Over the past 4 years on average about 20% of all applications included an International Collaborator resulting in approximately 60% of all funding focusing on GCRF and ODA compliant activity and 75% of all funded research focuses on DAC countries. While there is currently no sector data available on these parameters, there is clear indication that particularly the latter is above sector average. This is important due to the increased focus on ODA compliant activities through GCRF funding. This should reflect positively on the School’s QR GCRF strategy that we submitted in March.

There has also been a significant increase in the SOAS HE-BCI return (Higher Education Business and Community Interaction Survey), up from £7.186m in 2015/16 to £9.537m in 2016/17, an increase of 32.7%. This means that KE activity now makes up 10.8% of all SOAS turnover, compared to 8.3% in 2015/16. This compares favourably with other HEIS, including those with STEM activity where KE engagement tends to be higher.

Internal funding has also been made available (on a competitive basis) to support all stages of the research life cycle. The Seed Corn Fund supports the start-up costs associated with the development of collaborative and interdisciplinary research projects which lead to applications for external funding; the Publications Fund pays for the costs associated with publishing our research, making it freely and openly accessible as quickly as possible (with particular emphasis on internationally co-authored outputs); the Engagement and Impact Fund is designed to build and strengthen mutually beneficial relationships and collaboration with key external partners and deliver the benefits of SOAS research beyond academia, and the Knowledge Exchange Fund encourages staff with their entrepreneurial activities, providing them with the opportunity to generate new funding streams and commercialise their research results. There is also specific funding available to support the development of the Impact Case Studies with the highest potential for submission to REF via the Impact Case Study Enhancement Fund.

Events

17th March: PG Open Day
On Saturday, 17th March, 293 prospective students came to SOAS to participate in the PG Open Day. 85+ Staff and Students were involved with subject talks, meet and greets, information stalls, tours and chats. More than 80% of the attendees said that they were more likely to come to SOAS as a result of attending the open day.
21st March: Offer Holder Meet & Greet
On Wednesday, 21st March, 16 offer holders attended a meet and greet session and participated in social, interactive and educational activities in an attempt to finalise their decision to study at SOAS

Valerie Amos
1 April 2018
Registrar’s Report

Financial Sustainability
Our forecast outturn for 2017/18 has deteriorated by a further £817k to a forecast loss of £7.2m. Latest modelling indicates that we are unlikely to move to surplus until 2021/22 and our cash is depleted in 2020/21. Our current forecasts do not take account of any addition costs of the pension dispute which are in the region of £400k per annum for additional percentage employer contribution. Additionally, they assume that Integrated Facilities Management is delivered on a cost neutral basis and with transition costs in the region of only £450k. A detailed financial analysis is included at BoT 04 G 1B

Against that backdrop, the Executive is delivering sustainability in three targeted ways: targeted cost savings; efficiency savings and income generation projects.

The external context is tough. The teenage population is declining steeply in the UK. Between 2015 and 2020, it is expected to fall by 75,000, a shrinking of 14% before numbers begin to rise again. The Higher Education and Research Act has opened up the sector to new providers, agile and responsive with no structural legacies, new providers are anticipated to disrupt the sector. International student numbers are plateauing.

Our relatively small scale means that overheads, in particular, are a challenge. Alongside diseconomies of scale, our London estate is expensive and our teaching models are some of the most expensive.

Much of our previous work has been centred on the creation of accountable business units, contributing collectively to a targeted surplus of 5%, with that 5% being invested in infrastructure and investment projects to prepare the School for increasing competition and rising student expectations.

Whilst positive progress has been made, it is now clear that something more fundamental needs to be done to address an increasingly challenging financial position. Our underlying business model is not a viable one and we need to think very carefully about the key drivers that impact efficiency in our provision. In reality, this means addressing our central overhead, the efficiency of our teaching model and ultimately discussing the future size and shape that will see SOAS thrive.

Recent research by Hobsons of 62,366 respondents globally (27,955 of whom were considering the UK) across 196 nationalities on the factors influencing international student choice, indicates that the key decision-making factors influencing student choice are:
When the same question is posed at a course level, graduate employment is ranked fourth, student satisfaction ratings and flexibility of delivery are also ranked in the top ten most important factors. Domestic students are potentially more driven by the UK league tables but the high ranking of teaching quality does point towards a rise in the focus and impact of TEF.

With 75% of our income coming from teaching, it is important that we focus investment into those areas that will have a positive impact on recruitment. Research performance is a critical part of this, ensuring our reputation and ranking are strong but also ensuring that we attract and retain excellent academic colleagues.

These cost savings have already been included in our forecasts.

Total recurrent savings achieved from voluntary severance at this point on academic staff is estimated at £1.5m with one off redundancy costs of £1.3m. For professional services, we have received applications with a total annual recurrent cost of £1.25m of which potential £1.1m would be released. This is under review. One off redundancy costs on professional service voluntary service would be in the region of £830k.
We have recently completed work to optimise the way we collate and return data to HESA with the primary objective being to improve our position in the various league tables. That work will be presented to Executive Board in the coming weeks and builds on substantial work in the planning team to capture and report a complete student tariff at entry, one of the most significant drivers of league table position. Additionally, work has been carried out to review our financial returns and, where legitimate, spend re-categorised so that it accurately reflects investment in academic services, again, a driver of league table position. Maintaining tariff is essential to our strategy to improve our reputation in the league tables. Alongside this, we have worked hard to optimise data used by league table compilers. These measures are unlikely to show tangible changes to our position for 18 months as the various league table compilers gather and collate updated data from HESA. In that period, it is
important that we maintain our nerve and hold a position of quality. As a small, specialist
institution, SOAS cannot compete on the basis of mass student numbers.

Key strategies for income generation remain pivotal. They form a key element of our plans
towards establishing a viable underlying business model not only because they open new
income streams but also because they allow us to test new delivery models. It is essential,
therefore that our plans prioritise some investment into these initiatives.

**Monitoring progress against our Strategy**
A new planning framework has been developed for SOAS that is aligned to Strategy on a
Page. The planning framework covers planning and reporting at multiple levels of the
School and is designed to ensure that our goals are clearly communicated and our progress
towards them is transparent.

A strategic plan for each of the five strategic components of Strategy on a Page (Learning,
Teaching and the Student Experience; Research; People; Voice and Infrastructure) is
currently being developed and will be reported to the relevant committees on a termly
basis. At the department and professional service directorate level, action plans are being
developed that support the delivery of milestones in the strategic plans of each of the five
components. It is envisaged that departmental and directorate actions will in future be
reflected in the Staff Development Review (SDR) objectives of individual members of staff,
thereby creating a clear line of sight from Strategy on a Page to the work of individuals.

<table>
<thead>
<tr>
<th><strong>Board of Trustees: Whole strategy strategic monitoring and KPI assessment</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Documentation received:</strong> Overarching Strategy, Strategy on a Page and KPI progress reports</td>
</tr>
<tr>
<td><strong>Responsibility:</strong> Challenging progress, resource and support within each component areas to ensure delivery of overall strategic outcomes</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Key Committees: Component strategic monitoring, including progress and impact assessment</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Documentation received:</strong> Component strategic plans and aligning risk registers</td>
</tr>
<tr>
<td><strong>Responsibility:</strong> Monitoring of progress against milestones and objectives of specific components relating to key Committees terms of reference and challenging mitigating actions to ensure they are sufficient.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Research</th>
<th>Learning and Teaching</th>
<th>Voice</th>
<th>Infrastructure</th>
<th>People</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reported to: Academic Board</td>
<td>Reported to: Academic Board</td>
<td>Reported to: To be confirmed by Board of Trustees</td>
<td>Reported to: Resources and Planning</td>
<td>Reported to: Resources and Planning</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Sub-Committees: Component implementation and risk management</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Documentation received:</strong> Component strategic plans and aligning risk registers</td>
</tr>
<tr>
<td><strong>Responsibility:</strong> Monitoring implementation of detailed action plans focusing on delivering specific objectives included in the 5 component strategic plans. Challenging mitigating actions and approving amendments to strategy to assure higher committees that objectives will be achieved.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Research</th>
<th>Learning and Teaching</th>
<th>Voice</th>
<th>Infrastructure</th>
<th>People</th>
</tr>
</thead>
<tbody>
<tr>
<td>Implementation monitored at: Research and Enterprise Committee</td>
<td>Implementation monitored at: Teaching, Learning and Student Outcomes</td>
<td>Implementation monitored at: To be confirmed by Board of Trustees</td>
<td>Implementation monitored at: Estates and IT governance development and Governance and</td>
<td>Implementation monitored at: HR Committee</td>
</tr>
</tbody>
</table>
In addition to the plans, performance indicators are currently being identified and developed. Key Performance Indicators (KPIs) will be reported on a termly basis to the Board of Trustees, while the relevant committees will receive a termly report on the relevant performance indicators (PIs) for each strategic component. Where possible, KPIs and PIs will be disaggregated down to the department level, again giving a clear line of sight from departmental activity to the overall performance of the School. Operational indicators (quantitative and qualitative measures that can be used as leading indicators to track progress) are also being identified and developed.

It is intended that the strategic plans and departmental / directorate action plans are not filed away, but treated as live documents that are used to track progress on a regular basis. The strategic plans will be accompanied by risk registers, highlighting proposed mitigation actions for those strategic milestones where progress is not on track, and will be reported to committees and the Board of Trustees on a termly basis.

The planning framework is currently being rolled out to academic departments and professional services directorates, alongside departmental information packs and templates to help inform planning activity. The final plans for 2018/19, plus the updated financial model to 2021/22, will be presented to RPC in June.
Update on OfS

The Office for Students (OfS), the new sector regulator, replacing both HEFCE and OFFA as well as a few other functions commenced operation on the 1st April 2018. A consultation on the function and remit of the body was launched in autumn 2017 with submissions required in December, which the School responded to.

The finalised guidance was published in February 2018, with minimal changes from the original proposal. The OfS will have powers to monitor the financial sustainability and efficiency of providers and powers to impose a number of sanctions when providers are deemed to be high risk or not meeting the required conditions. There will be an increased focus on value for money, data driven risk analysis and an institutions responsibility for the whole life cycle of a student from supporting them to choose their institution to their destination after graduation. All providers of higher education will have to register with OfS by 24th May 2018 to be included on the September 2019 register.

To register with OfS, providers will be assessed against 5 initial categories: Access and participation for students from all backgrounds; quality, reliable standards and positive outcomes for all students; financial sustainability; protecting the interests of all students and good governance. A combination of existing data and self-assessment inform the registration. The registration will utilise data the School has already submitted to the Higher Education Statistics Agency and HEFCE. Registration will also incur a new annual cost and the School’s banding is expected to give rise to a charge of around £99,000pa.

If providers are successful there are two categories they can be registered to: Approved (fee cap) and Approved. SOAS will be applying for Approved (fee cap) as this category guarantees eligibility for OfS public grant funding, UKRI public grant funding provided by Research England, Research Council funding, student support funding and ability to charge higher fees. The OfS will have a risk based approach and will categorise providers based on their confidence in providers being able to meet students’ needs. Additional conditions or monitoring can be imposed on institutions if OfS believe that they are high risk. If the OfS are unsatisfied with a provider’s initial submission they will request additional information from the institution prior to imposing conditions. Given our challenging financial position, that is one possible outcome for the institution. We will clearly keep the Board of Trustees well briefed.

Paula Sanderson
April 2018
The Board of Trustees is asked to receive the financial forecast outturn for 2017-18, previously considered by RPC.

Executive Summary

The forecast outturn forecast is based on the validated budget that was prepared in September 2017. There have been revisions to our forecast outturn following a review of both income and expenditure. Where detailed data in respect of student numbers is available this has been used to provide and update the income forecast. Staffing costs which represent approx. 56% of the School’s cost base were validated by Heads of Departments using a post by post analysis process. Other operating costs been reviewed with budget holders using year to date expenditure and prior year actuals to derive forecast expenditure for the year. This exercise undertaken in February and March 2018 gives rise to a negative impact on the result for the financial year. A budgeted unrestricted deficit of £6,368k is now predicted to increase by £817k to £7,185k.

The most significant movements are as follows:
- Tuition fees – Negative variance £1,102k
- Staff – Positive variance £396k
- Other operating expenditure – Negative variance £152k

These variances are discussed in further detail in the paper.

Recommendations

RPC is asked to receive the financial forecast outturn following consideration by RPC.

Financial Impact

Risks

Whist most income can now be predicted with a relatively high degree of certainty, the School’s budget holders must continue to be cognisant of ongoing budget pressures, and strike to achieve savings where possible.

Equality implications

None
Revised Financial Outturn for 2017-18

1 Introduction

This paper sets out the proposed revisions to our forecast outturn to 2017-18 having taken into account the latest student enrolment statistics, expenditure year to date, and in conjunction with budget holders the anticipated income and expenditure for the balance of the financial year. Variances have been calculated with reference to the validated budget that was agreed in November 2017.

2. Financial Forecast: Financial Position reported March 2018

2.1 A summary of the School’s budget for 2017-18 and projected financial position to be reported to the Board of Trustees

<table>
<thead>
<tr>
<th></th>
<th>Validated budget Nov 2017</th>
<th>Forecast March 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2017-18</td>
<td>Movement</td>
</tr>
<tr>
<td><strong>Restricted</strong></td>
<td>Reference</td>
<td>£000</td>
</tr>
<tr>
<td><strong>Income</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Funding Council Grants</td>
<td>8,750</td>
<td>-23</td>
</tr>
<tr>
<td>Tuition fees</td>
<td>3.1</td>
<td>66,432</td>
</tr>
<tr>
<td>Research Grants and Contracts</td>
<td>7,798</td>
<td>0</td>
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<tr>
<td>Other Operating Income</td>
<td>3.2</td>
<td>5,076</td>
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<tr>
<td>Investment income</td>
<td>50</td>
<td>0</td>
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<tr>
<td>Donations and endowments</td>
<td>335</td>
<td>-16</td>
</tr>
<tr>
<td><strong>Total Income</strong></td>
<td>88,442</td>
<td>-1,160</td>
</tr>
<tr>
<td><strong>Expenditure</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff Costs</td>
<td>3.3</td>
<td>54,514</td>
</tr>
<tr>
<td>Other operating expenditure</td>
<td>3.4</td>
<td>32,053</td>
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<tr>
<td>Depreciation</td>
<td>6,453</td>
<td>-2</td>
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<tr>
<td>Investment and other finance costs</td>
<td>589</td>
<td>-97</td>
</tr>
<tr>
<td><strong>Total Expenditure</strong></td>
<td>93,610</td>
<td>-343</td>
</tr>
<tr>
<td><strong>Surplus/(deficit) before exceptional items</strong></td>
<td>-5,168</td>
<td>-817</td>
</tr>
<tr>
<td>Exceptional item - restructuring costs</td>
<td>-1,200</td>
<td>0</td>
</tr>
<tr>
<td><strong>Surplus/(deficit) after exceptional items</strong></td>
<td>-6,368</td>
<td>-817</td>
</tr>
<tr>
<td><strong>Surplus/(Deficit) for the year - unrestricted</strong></td>
<td>-6,368</td>
<td>-817</td>
</tr>
<tr>
<td><strong>Unrestricted</strong></td>
<td></td>
<td></td>
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<tr>
<td>New permanent endowments</td>
<td>3,867</td>
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<tr>
<td>New expendable endowments</td>
<td>5,019</td>
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<tr>
<td>Investment income</td>
<td>962</td>
<td>0</td>
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<tr>
<td>Expenditure</td>
<td>-4,937</td>
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<tr>
<td>Surplus before gain/losses</td>
<td>4,911</td>
<td>0</td>
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<tr>
<td>Increase in market value of investments</td>
<td>1,034</td>
<td>0</td>
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<tr>
<td><strong>Surplus for the year - endowment</strong></td>
<td>5,945</td>
<td>0</td>
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<tr>
<td>Surplus /(deficit)-before movement on pension provision</td>
<td>-423</td>
<td>-817</td>
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<tr>
<td>Movement on pension provision</td>
<td>1,009</td>
<td>0</td>
</tr>
<tr>
<td><strong>Surplus/(deficit)</strong></td>
<td>586</td>
<td>-817</td>
</tr>
</tbody>
</table>
3. Key Variances

3.1 Tuition Fees – reduction of £1,102k to £65,330k

The variances to note are:

Higher Asian Arts income £31k, and income arising from the signing of a MoU with the Courtauld institute of £40k.
However there are significant falls in forecast income in the following areas:

Reduced on campus tuition fees £423k. This has arisen from revisions in recruitment numbers between the budget census done of 1 Oct 2017 and the HESES census of 1 Dec 2017.

Lower language centre income of £136k and IFCELS fees of £92k due to fewer students.

Reduced income for the Global Diplomacy distance learning programme- £320k. There is a net positive impact of £43k after a cost reduction of £188k, and staff costs of £175k are considered.

Decrease in EDP income due to the announcement by SOAS of the closure of all existing MSc programmes at the end of 2017. However, an MSC in Climate Change and Development was launched. The adverse impact is £200k

3.2 Other Operating Income decrease of £19k to £5,057k

This movement is mainly attributable to additional consultancy income of £272k (this has no material net impact once additional staff costs and operating costs are considered), recharges which are income generating of £80k, a reduction of UoL Law programme profit share of £100k, and reduction in catering income of £241k

3.3 Staff costs – reduction of £396k to £55,118k

There are several factors which make up the forecast reduction of £396k in staff costs.

In professional services as a result of the restructuring programme, there are vacancies, but these have to a significant extent been covered by agency and interim staff. A saving of £1,561k in professional services salaries is offset by an increase in agency and temporary staff of £1,338k – net saving £228k.

Academic vacancies give rise to savings of £815k, but additional fractional staff reduce this by £265k. A net saving of £550k is forecast.

There are other cost pressures and savings, most notably:

- Catering staff – adverse £267k
- Global Diplomacy distance learning – positive £175k
- Staff costs directly attributable to consultancy income - adverse £258k
- Language Centre staff costs - positive £118k
3.4 Other operating expenditure – increase of £152k to £32,205k

There are many variances in respect of operating expenditure. Most notably these are:

Increased estates cleaning and other contracts £166k
Bank charges for increased credit card utilisation £86k
Changes in provision for doubtful debts and other historic balances £154k
Movements in other expenditure provisions - increase £126k
Reduction in utilities expenditure £233k
Reduction in costs relating to Global Diplomacy distance learning programme £188k

3.4.1 Catering increase in catering deficit of £508k

The significance of this variance is drawn to the RPC’s attention. Most specifically this relates to increased staff costs as the savings from using Elior staff have not materialised (£267k) and reduced income in respect of sales of £241k as income from significant events has been much less that budgeted

David Derrick
Interim Head of Finance
Revised Financial Forecasts from 2017-18 to 2021-22

The Board of Trustees are asked to consider the proposed revisions to the revised financial forecasts and the underpinning planning assumptions.

Executive Summary

This paper sets out the proposed revisions to our financial forecasts 2017-18 to 2021-22 having taken into account the latest student enrolment projections for 2018-19 and changes to our salient planning assumptions.

Our projections have improved for 2018-19 and 2019-20 (from those last reported in November) largely due to time limited factors. They have then deteriorated moving us back into a deficit of £0.2m in 2021-22.

This together with our planned capital investment programme would see our cash reserves depleted by July 2021 and £13.6 overdraft a year later. While asset sales could improve our cash position it will not alleviate our underlying poor financial performance. In addition to achieving further savings targets our attention must be directed towards our goals of: refocusing our marketing and student recruitment effort on PGT; developing and delivering Global partnerships and TNE and reforming and expanding our distance learning activities.

Recommendations & Next steps

The Board of Trustees are asked to consider the proposed revisions to the revised financial forecasts, the underpinning planning assumptions and actions to be taken (outlined in the introduction).

In view of the projected financial position and the potential depletion of our cash reserves, further actions over and above achieving the target savings suggested within this paper are required. The Registrar’s paper for the Board of Trustees sets out our commitment to achieving further savings and delivering on new income generating opportunities.

An updated version of the financial forecasts incorporating these further actions will be presented to the June meeting of RPC.

Departmental and Professional Services plans to be prepared and submitted to RPC in June outlining progress against target savings and further actions to address the financial shortfall.

Financial Impact

See executive summary

Risks

Inappropriate planning assumptions may rise to sub-optimal resource allocation decisions based on projected financial performance. These may include
- Investment in estates projects
- Staffing increases/reductions
<table>
<thead>
<tr>
<th>Equality implications</th>
</tr>
</thead>
<tbody>
<tr>
<td>None</td>
</tr>
</tbody>
</table>
Revised Financial Forecast

1 Introduction

SOAS continues to face a challenging financial environment. It is anticipated that the decision taken to protect tariff last year will benefit the School going forward but not in the short – medium term. In addition, uncertainties about the impact of the decision to leave the European Union, any recommendation arising from the current review of University funding and increase in pension contributions remain and may have a future significant negative impact on the Schools financial position going forward.

To date the School Executive Board have committed to the following actions to tackle the Schools financial deficit and bring SOAS into surplus by 2020-21

- Delivery of £1m savings as part of the One Professional Services restructure. This work is ongoing.
- Staff saving of £3m within academic departments supported by VS scheme. The scheme has just closed and it is anticipated that £1.5m in savings on academic salaries will be released. This leaves a further £1.5m in staff savings still to be realised.

With respect to growth/income targets:

- Growth of 7% in home PGT recruitment and 16% in overseas PGT recruitment from September 2017 levels.
- Realisation of £2 in income from TNE (note: this has not yet been included in the forecasts)
- Income of £952k per annum from the rental of Vernon Square for three years from April 2018.

In order to secure the Schools ongoing financial sustainability RPC is asked to agree further actions as follows

- The current 2017-18 deficit on catering to be eliminated by 208-19.
- Self-delivery of FM services to be budget neutral.
- Professional Services to deliver additional efficiency saving above the £1m target previously set.
- Achievement of the further £1.5m in academic staff savings already agreed.
- Significant improvement in UG recruitment as tariff and league table position improve.

The detailed proposed revisions to our financial forecasts for 2017-2018 to 2021-2022 are set out below.

2 Financial position reported November 2017

2.1 A summary of the School’s projected financial position reported to the Board of Trustees in November 2017 is set out below. Please note that reference is now made to unrestricted surplus/deficit rather than FRS102 adjusted surplus for ease of understanding.

<table>
<thead>
<tr>
<th>Table 1 Financial position</th>
<th>2017-18</th>
<th>2018-19</th>
<th>2019-20</th>
<th>2020-21</th>
<th>2021-22</th>
</tr>
</thead>
<tbody>
<tr>
<td>November 2017 Forecast</td>
<td>£000</td>
<td>£000</td>
<td>£000</td>
<td>£000</td>
<td>£000</td>
</tr>
<tr>
<td>Previous (deficit)/surplus-unrestricted</td>
<td>(6,368)</td>
<td>(4,534)</td>
<td>(844)</td>
<td>(183)</td>
<td>747</td>
</tr>
<tr>
<td>Cash</td>
<td>10,522</td>
<td>3,811</td>
<td>2,481</td>
<td>260</td>
<td>(13,090)</td>
</tr>
<tr>
<td>Capital investment</td>
<td>7,658</td>
<td>10,854</td>
<td>3,700</td>
<td>6,119</td>
<td>19,554</td>
</tr>
</tbody>
</table>

2.2 The salient assumptions underpinning these forecasts were:

- Steady state recruitment of UG students at September 2017 levels
• Growth of 6% in Home PGT recruitment and 9% in Overseas PGT recruitment from September 2017 levels.
• Home UG fees maintained at £9,250 throughout the planning period.
• Savings of £1m within central costs by 2019-20
• Staff savings of £3m within academic departments, supported by a voluntary severance scheme. With £1.5m to be achieved in 2018-19 then a further £1.5m in 2019-20.
• The postponement of the £19m refurbishment of the Philips Building, with completion now scheduled for summer 2022.
• The retention of Vernon Square

3. Revised financial position

3.1 A summary of our revised financial position is set out in table 2 below.

<table>
<thead>
<tr>
<th>Table 2 Financial position</th>
<th>2017-18</th>
<th>2018-19</th>
<th>2019-20</th>
<th>2020-21</th>
<th>2021-22</th>
</tr>
</thead>
<tbody>
<tr>
<td>March 2018 Forecast</td>
<td>£000</td>
<td>£000</td>
<td>£000</td>
<td>£000</td>
<td>£000</td>
</tr>
<tr>
<td>Revised (deficit)/surplus-unrestricted</td>
<td>(7,185)</td>
<td>(3,534)</td>
<td>(108)</td>
<td>(709)</td>
<td>(152)</td>
</tr>
<tr>
<td>Cash</td>
<td>9,248</td>
<td>3,536</td>
<td>2,942</td>
<td>652</td>
<td>(13,596)</td>
</tr>
<tr>
<td>Capital investment</td>
<td>(8,115)</td>
<td>(10,854)</td>
<td>(3,700)</td>
<td>(5,662)</td>
<td>(19,554)</td>
</tr>
</tbody>
</table>

Full explanation for the increase of £817k in the projected deficit for 2017-18 is set out in Appendix: BoT 1718 04 F1A

The salient changes in planning assumptions are:

• UG enrolments for September 2018 have been revised down in line with the latest and maintained at these levels throughout the planning period.
• Growth in PGT recruitment to 2021-22 has been revised up in line with departmental plans, with growth of 7% in Home and 16% in overseas recruitment from 2017-18 levels.
• Vernon Square is to be rented to the Courtauld for £952k per year for three years from April 2018 (first quarter rent free)
• Central costs have been reduced in line with the reduction in overall student numbers

3.2 Table 3 below sets out the financial impact of changes to the planning assumptions

<table>
<thead>
<tr>
<th>Table 3 Revised financial position</th>
<th>Ref 2018-19</th>
<th>2019-20</th>
<th>2020-21</th>
<th>2021-22</th>
</tr>
</thead>
<tbody>
<tr>
<td>Previous (deficit)/surplus-unrestricted</td>
<td>(4,534)</td>
<td>(844)</td>
<td>(183)</td>
<td>747</td>
</tr>
<tr>
<td>Income</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Teaching grant</td>
<td>3.2.1</td>
<td>(316)</td>
<td>(343)</td>
<td>(343)</td>
</tr>
<tr>
<td>Academic Fees</td>
<td>3.2.2</td>
<td>81</td>
<td>(522)</td>
<td>(1,423)</td>
</tr>
<tr>
<td>Rental income Vernon Square</td>
<td>952</td>
<td>952</td>
<td>635</td>
<td>-</td>
</tr>
<tr>
<td>Movement in income</td>
<td>718</td>
<td>88</td>
<td>(1,130)</td>
<td>(1,136)</td>
</tr>
<tr>
<td>Expenditure</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other operating expenditure</td>
<td>3.2.3</td>
<td>(282)</td>
<td>(648)</td>
<td>(605)</td>
</tr>
<tr>
<td>Movement in expenditure</td>
<td>(282)</td>
<td>(648)</td>
<td>(605)</td>
<td>(237)</td>
</tr>
<tr>
<td>Impact on (deficit)/surplus</td>
<td>999</td>
<td>736</td>
<td>526</td>
<td>899</td>
</tr>
<tr>
<td>Revised (deficit)/surplus-unrestricted</td>
<td>(3,534)</td>
<td>(108)</td>
<td>(709)</td>
<td>(152)</td>
</tr>
</tbody>
</table>
3.2.1 Teaching grant is reduced in line with student number projections

3.2.2 Academic fees are reduced in line with the changes to student number projections as set out in tables 4a, 4b & 4c

<table>
<thead>
<tr>
<th>Table 4a: Projected student intake projections</th>
<th>Actual</th>
<th>Target Rev</th>
<th>Target Rev</th>
<th>Target Rev</th>
<th>Target Rev</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undergraduate - Home/EU</td>
<td>742</td>
<td>638</td>
<td>636</td>
<td>649</td>
<td>664</td>
</tr>
<tr>
<td>Undergraduate - overseas</td>
<td>175</td>
<td>164</td>
<td>168</td>
<td>173</td>
<td>185</td>
</tr>
<tr>
<td>Post graduate taught - Home/EU</td>
<td>769</td>
<td>790</td>
<td>798</td>
<td>808</td>
<td>820</td>
</tr>
<tr>
<td>Post graduate taught - overseas</td>
<td>653</td>
<td>679</td>
<td>702</td>
<td>727</td>
<td>755</td>
</tr>
<tr>
<td>Post graduate research - Home/EU</td>
<td>57</td>
<td>59</td>
<td>59</td>
<td>62</td>
<td>62</td>
</tr>
<tr>
<td>Post graduate research -overseas</td>
<td>84</td>
<td>80</td>
<td>81</td>
<td>81</td>
<td>81</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Table 4b :Variations to student intake projections from previous targets</th>
<th>Target Rev</th>
<th>Target Rev</th>
<th>Target Rev</th>
<th>Target Rev</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018-19</td>
<td>2019-20</td>
<td>2020-21</td>
<td>2021-22</td>
<td></td>
</tr>
<tr>
<td>Undergraduate - Home/EU change in dept target</td>
<td>15</td>
<td>6</td>
<td>(3)</td>
<td>(12)</td>
</tr>
<tr>
<td>Undergraduate - Home/EU change in projection</td>
<td>(121)</td>
<td>(121)</td>
<td>(121)</td>
<td>(121)</td>
</tr>
<tr>
<td>Sub-total Undergraduate - Home/EU</td>
<td>(106)</td>
<td>(115)</td>
<td>(123)</td>
<td>(132)</td>
</tr>
<tr>
<td>Undergraduate - overseas change in target</td>
<td>20</td>
<td>21</td>
<td>3</td>
<td>48</td>
</tr>
<tr>
<td>Undergraduate - overseas change in projection</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Sub-tTotal Undergraduate - overseas</td>
<td>21</td>
<td>22</td>
<td>4</td>
<td>49</td>
</tr>
<tr>
<td>Post graduate taught - Home/EU</td>
<td>(13)</td>
<td>(11)</td>
<td>(13)</td>
<td>(12)</td>
</tr>
<tr>
<td>Post graduate taught - overseas</td>
<td>23</td>
<td>22</td>
<td>27</td>
<td>36</td>
</tr>
<tr>
<td>Post graduate research - Home/EU</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Post graduate research -overseas</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Total</td>
<td>(75)</td>
<td>(82)</td>
<td>(106)</td>
<td>(59)</td>
</tr>
</tbody>
</table>

| Table 4c :Variations to student no. projections | 2018-19 | 2019-20 | 2020-21 | 2021-22 |
| Financial Impact | £ | £ | £ | £ |
| Undergraduate - Home/EU | (976) | (1,981) | (3,000) | (3,230) |
| Undergraduate - overseas | 362 | 733 | 752 | 1,357 |
| FT JNR year abroad (2nd half year est) | 394 | 410 | 426 | 443 |
| Post graduate taught - Home/EU | (149) | (131) | (161) | (154) |
| Post graduate taught - overseas | 449 | 447 | 560 | 791 |
| Total | 81 | (522) | (1,423) | (793) |

3.2.3 Table 5 below sets out the movements in operating expenditure
Operating costs have been varied in line with decreases/increases in total student numbers by an assumed variable cost of £2.2k per student, thereby imputing additional efficiency savings on professional services when numbers are falling.

It has been agreed to offer 7 new academic excellence scholarships to stimulate UG recruitment. These costs have been offset by increasing UG target intake by 10 per annum.

3.3 Cash position

Table 6 sets out the impact of the financial projections on our cash position.

<table>
<thead>
<tr>
<th>Table 6: Cash</th>
<th>2017-18</th>
<th>2018-19</th>
<th>2019-20</th>
<th>2020-21</th>
<th>2021-22</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash at start of year</td>
<td>£7,472</td>
<td>£9,248</td>
<td>£3,536</td>
<td>£2,942</td>
<td>£652</td>
</tr>
<tr>
<td>Cash (outflow)/inflow from operations</td>
<td>-110</td>
<td>5,142</td>
<td>3,106</td>
<td>3,372</td>
<td>5,306</td>
</tr>
<tr>
<td>Loan financing</td>
<td>10,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capital investment</td>
<td>-8,115</td>
<td>-10,854</td>
<td>-3,700</td>
<td>-5,662</td>
<td>-19,554</td>
</tr>
<tr>
<td>Cash at end of year</td>
<td>£9,248</td>
<td>£3,536</td>
<td>£2,942</td>
<td>£652</td>
<td>£-13,596</td>
</tr>
</tbody>
</table>

It can be seen that while we are projecting cash inflows from our operations from 2018-19 onwards, these are insufficient to support our capital investment plans (see Annex A for detailed plans) and our projected cash reserves are exhausted by July 2021 and £13.6m in the red by July 2022. Our target level of cash, measured by our ability to pay at least 30 days’ worth of costs would equate to £7m. We are currently projecting this to be breached in mid 2019-20. To address this Capital investment plans need to be re-evaluated (current plans are attached in Annex A)

3.4 Sensitivity Analysis

In view of the uncertainties surrounding student number projections and the potential impact of the Government review of HE, sensitivity analysis has been carried out varying the assumptions regarding HEFCE funding, assumed student numbers, fee inflation and pay inflation. Likelihood of occurrence has been defined as

- Likelihood I – medium probability (<50%)
- Likelihood II – low probability (<25%)
- Likelihood III – remote probability (<10%)

The (cumulative) financial impact of varying such assumptions is set out below in order of likelihood of occurrence:

<table>
<thead>
<tr>
<th>Table 5: Other operating expenditure</th>
<th>2018-19</th>
<th>2019-20</th>
<th>2020-21</th>
<th>2021-22</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cumulative increase/(decrease)</td>
<td>£000</td>
<td>£000</td>
<td>£000</td>
<td>£000</td>
</tr>
<tr>
<td>Change in student numbers</td>
<td>(201)</td>
<td>(637)</td>
<td>(747)</td>
<td>(546)</td>
</tr>
<tr>
<td>Saving running costs Vernon Square</td>
<td>(250)</td>
<td>(250)</td>
<td>(167)</td>
<td>-</td>
</tr>
<tr>
<td>OfS registration fee</td>
<td>99</td>
<td>99</td>
<td>99</td>
<td>99</td>
</tr>
<tr>
<td>Academic Excellence Scholarships</td>
<td>70</td>
<td>140</td>
<td>210</td>
<td>210</td>
</tr>
<tr>
<td>Movement in expenditure</td>
<td>(282)</td>
<td>(648)</td>
<td>(605)</td>
<td>(237)</td>
</tr>
</tbody>
</table>
The financial forecasts will be remodelled should the likelihood of change increase.

The impact of the sensitivities on cash balances is set out in table 7b below; a traffic light signal has been used to identify where cash balances drop below target levels (amber) and into overdraft (red).

### Table 7a: Sensitivity Analysis

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Reduce OFFA expenditure in line with UG fee income</td>
<td>£'000</td>
<td>£'000</td>
<td>£'000</td>
<td>£'000</td>
</tr>
<tr>
<td>Pay award rises by 0.5% to 2.5%</td>
<td>-297</td>
<td>-298</td>
<td>-307</td>
<td>-317</td>
</tr>
<tr>
<td>USS contributions increase by 1% to 19%</td>
<td>-121</td>
<td>-363</td>
<td>-375</td>
<td>-387</td>
</tr>
<tr>
<td>Achieve 80% of PGT growth</td>
<td>-122</td>
<td>-167</td>
<td>-243</td>
<td>-350</td>
</tr>
<tr>
<td>UG intake improves by 10% per annum</td>
<td>98</td>
<td>195</td>
<td>293</td>
<td>293</td>
</tr>
<tr>
<td>Subtotal likelihood – I</td>
<td>-540</td>
<td>-731</td>
<td>-730</td>
<td>-760</td>
</tr>
<tr>
<td>Pay award rises by a further 0.5% to 3%</td>
<td>-297</td>
<td>-298</td>
<td>-307</td>
<td>-317</td>
</tr>
<tr>
<td>USS contributions increase by a further1% to 20%</td>
<td>-121</td>
<td>-363</td>
<td>-375</td>
<td>-387</td>
</tr>
<tr>
<td>UG fee reduced to £8,500</td>
<td>-491</td>
<td>-954</td>
<td>-954</td>
<td>-954</td>
</tr>
<tr>
<td>Achieve 60% of PGT growth</td>
<td>-122</td>
<td>-167</td>
<td>-243</td>
<td>-350</td>
</tr>
<tr>
<td>UG intake improves by a further 10% to 20% per annum</td>
<td>98</td>
<td>195</td>
<td>293</td>
<td>293</td>
</tr>
<tr>
<td>Subtotal likelihood – I&amp;II</td>
<td>-1,081</td>
<td>-1,461</td>
<td>-1,951</td>
<td>-2,475</td>
</tr>
<tr>
<td>USS contributions increase by 1% to 21%</td>
<td>-121</td>
<td>-363</td>
<td>-375</td>
<td>-387</td>
</tr>
<tr>
<td>UG fee reduced to £7,500</td>
<td>-655</td>
<td>-1,273</td>
<td>-1,273</td>
<td>-1,273</td>
</tr>
<tr>
<td>Achieve 40% of PGT growth</td>
<td>-122</td>
<td>-167</td>
<td>-243</td>
<td>-350</td>
</tr>
<tr>
<td>UG intake improves by a further 10% to 30% per annum</td>
<td>98</td>
<td>195</td>
<td>293</td>
<td>293</td>
</tr>
<tr>
<td>Subtotal likelihood – I&amp;II&amp;III</td>
<td>-1,324</td>
<td>-1,894</td>
<td>-3,029</td>
<td>-4,191</td>
</tr>
</tbody>
</table>

### Table 7b: Sensitivity analysis cash

<table>
<thead>
<tr>
<th>Cash and Short term deposits</th>
<th>Impact 31/07/19</th>
<th>Impact 31/07/20</th>
<th>Impact 31/07/21</th>
<th>Impact 31/07/22</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revised cash balance I</td>
<td>2,996</td>
<td>2,211</td>
<td>-78</td>
<td>-14,357</td>
</tr>
<tr>
<td>Revised cash balance II</td>
<td>2,455</td>
<td>1,481</td>
<td>-1,299</td>
<td>-16,071</td>
</tr>
<tr>
<td>Revised cash balance III</td>
<td>2,212</td>
<td>1,048</td>
<td>-2,377</td>
<td>-17,787</td>
</tr>
</tbody>
</table>

3.5 Conclusions, considerations and next steps.

Our projected cash position clearly indicates that progress against the following key objectives are essential if we are to remain financially viable:

- Elimination of deficit on catering operations
- Achievement of the £1m savings in professional services together with efficiency savings flowing from the fall in overall student numbers
- Achievement of at least £3m staff savings within academic areas by way of self-referral/targeted voluntary severance
- Achievement of growth in PGT overseas markets
These forecasts do not include proceeds from disposals of buildings (Gordon Square and Vernon Square), assume our capital investment plans are fulfilled and do not include any further borrowing (over and above the conversion of our £15m revolving credit facility to longer term debt). I would however stress that reliance on asset sales, delaying capital investment and attaining external financing to fund a recurrent revenue imbalance is not sustainable in anything but the short term. Financial sustainability follows academic sustainability. The Schools Executive Board is looking at how best to achieve excellence at all levels of the School, maintain elements of the Schools portfolio which add value but require cross subsidy and expand student numbers through TNE Foundation and online provision. Our attention is focused on our goals of; student recruitment effort on PGT; developing and delivering Global partnerships and TNE and reforming and expanding our distance learning activities.

Graeme Appleby

Deputy COO (Resources & Planning)
## Proposed Capital Projects

<table>
<thead>
<tr>
<th></th>
<th>2017-18</th>
<th>2018-19</th>
<th>2019-20</th>
<th>2020-21</th>
<th>2021-22</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Estates</td>
<td>£'000</td>
<td>£'000</td>
<td>£'000</td>
<td>£'000</td>
<td>£'000</td>
<td>£'000</td>
</tr>
<tr>
<td>Bloomsbury Heat and Power</td>
<td>323</td>
<td>300</td>
<td>300</td>
<td>1,326</td>
<td>2,249</td>
<td></td>
</tr>
<tr>
<td>Zoroastrian Office Refurb</td>
<td>82</td>
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<td></td>
<td></td>
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<tr>
<td>Philips Building - windows</td>
<td>202</td>
<td></td>
<td>1,043</td>
<td>9,020</td>
<td>10,265</td>
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<td>Philips Building</td>
<td>439</td>
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<td>7,254</td>
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<td></td>
<td>8,356</td>
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<td>Learning space (G1) Reception</td>
<td>750</td>
<td></td>
<td>0</td>
<td>750</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Engagement points</td>
<td>150</td>
<td>350</td>
<td></td>
<td></td>
<td></td>
<td>500</td>
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<td>Other investment in Student Experience</td>
<td>675</td>
<td>1,575</td>
<td></td>
<td></td>
<td></td>
<td>2,250</td>
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<tr>
<td>School of Languages</td>
<td>1,456</td>
<td>3,544</td>
<td></td>
<td></td>
<td></td>
<td>5,000</td>
</tr>
<tr>
<td>Brunei Gallery - wiring distribution boards</td>
<td>800</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>800</td>
</tr>
<tr>
<td>Brunei Gallery Lecture Theatre</td>
<td>800</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>800</td>
</tr>
<tr>
<td>Campus Development Plan II - planning &amp; design</td>
<td>200</td>
<td>200</td>
<td>200</td>
<td>200</td>
<td>1,000</td>
<td></td>
</tr>
<tr>
<td>Sub Total- Estates</td>
<td>4,277</td>
<td>6,769</td>
<td>1,300</td>
<td>3,232</td>
<td>16,474</td>
<td>32,052</td>
</tr>
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<td>Equipment</td>
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<tr>
<td>Library Systems Phase 2</td>
<td>165</td>
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<td>Library Systems Phase 3</td>
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<td></td>
<td>470</td>
<td>250</td>
<td>0</td>
<td>820</td>
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<tr>
<td>Other</td>
<td>109</td>
<td>140</td>
<td>40</td>
<td>120</td>
<td>0</td>
<td>409</td>
</tr>
<tr>
<td>General provision</td>
<td>451</td>
<td>475</td>
<td>500</td>
<td>500</td>
<td>500</td>
<td>2,426</td>
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<tr>
<td>Desk top pcs</td>
<td>409</td>
<td>420</td>
<td>440</td>
<td>460</td>
<td>480</td>
<td>2,209</td>
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<tr>
<td>Classroom furniture</td>
<td>853</td>
<td>350</td>
<td>350</td>
<td>350</td>
<td>350</td>
<td>2,253</td>
</tr>
<tr>
<td>Classroom multimedia</td>
<td>300</td>
<td>300</td>
<td>300</td>
<td>300</td>
<td>300</td>
<td>1,500</td>
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<tr>
<td>Corporate Systems - Improvements</td>
<td>205</td>
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<td></td>
<td></td>
<td></td>
<td>205</td>
</tr>
<tr>
<td>Corporate Systems - New</td>
<td>700</td>
<td>1,800</td>
<td></td>
<td>0</td>
<td>1,000</td>
<td>3,500</td>
</tr>
<tr>
<td>On-line systems</td>
<td>286</td>
<td>150</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>436</td>
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<tr>
<td>ICT Infrastructure</td>
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<td>450</td>
<td>300</td>
<td>450</td>
<td>450</td>
<td>1,910</td>
</tr>
<tr>
<td>Sub Total- Equipment</td>
<td>3,838</td>
<td>4,085</td>
<td>2,400</td>
<td>2,430</td>
<td>3,080</td>
<td>15,833</td>
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<tr>
<td>Total capital investment</td>
<td>8,115</td>
<td>10,854</td>
<td>3,700</td>
<td>5,662</td>
<td>19,554</td>
<td>47,885</td>
</tr>
</tbody>
</table>
ANNEX B

Departmental Financial Information

Chart 1

Surplus/(Deficit) by Dept - excludes £3m savings targets

Chart 2

2017-18 £'000  2021-22 £'000
• The language departments (EAL & LAC) have lower than average fee income per student due to lower proportion of overseas students. The converse is true for the law and social sciences departments (POL, DEV, ECO, FIM, INT & LAW)

Chart 3

• The relatively low student to academic staff (SAS) ratio within LCL is partly explained by the low recruitment to strategically important languages.
• The departments of POL, DEV and LAW have largely consistent ratios.
• The higher than average ratios within FIM & INT are partly due to the inclusion of distance learning activities within those departments.
• Falling UG student numbers with constant staffing numbers explains the falling ratios in most departments, with a corresponding increase in projected deficits (HRP, ECO, EAL & LCL).

Chart 4

Research income per Academic

- 2017-18 £'000
- 2021-22 £'000
- 2017-/18 Ave
- 2021-22 Ave
There appears a negative correlation between SAS ratios and research income per academic. Those departments with high SAS ratios (POL, DEV, FIM, INT, LAW) have below average research income per academic.

Chart 5

The impact of lower than average fee income per student and SAS ratios within HRP and LCL is not compensated by higher than average research income per academic, hence total income per academic is below average for these departments.

Key to Departments

- ANT – Anthropology and sociology
- ARTS – School of Arts
- HRP – History, Religions and Philosophy
- POL – Politics
- ECO – Economics
- FIM – Finance & Management
- INT – Interdisciplinary Studies
- EAL – East Asian Languages
- LCL – Languages Cultures and Linguistics
- LAW – Law
Dear Lady Amos,

HEFCE’s annual assessment of institutional risk: The School of Oriental and African Studies

1. We have reviewed the annual accountability return that you submitted in December 2017 and I am now writing to you with our current view of the School’s risk status.

2. HEFCE’s risk categorisation on financial sustainability and good management and governance (FSGM) is set out in the table below:

<table>
<thead>
<tr>
<th>Financial sustainability, good management and governance matters</th>
<th>Not at higher risk</th>
</tr>
</thead>
</table>

3. HEFCE’s Memorandum of Assurance and Accountability (2017/08) sets out three levels at which we may engage with institutions:
   a. Normal contact
   b. Focused dialogue, in cases where we are supporting an institution’s change or development, or where we perceive there to be medium-term risks which, if not addressed, will put the institution at higher risk
   c. Support strategy, for institutions at higher risk or institutions which, in our view, will be at higher risk if decisive action is not taken.

4. We will continue to engage with the School on the basis of ‘normal contact’.

5. You will be aware that from 1 April 2018 HEFCE will be replaced by a new regulator for English higher education, the Office for Students (OfS). Further information related to the OfS’s Regulatory Framework and the associated requirements, for example for registering, will be published sequentially in February and March 2018.
6. The indicators and metrics that we used to underpin the risk categorisation in 2017-18 will be made available electronically on the HEFCE extranet. This allows you to compare the performance of your institution with that of others across the sector. Instructions for accessing this will be sent by email directly to your head of finance.

7. If you have any questions about the risk categorisation process, please contact the Assurance Consultant, Andrew Malin (0117 931 7332, a.malin@hefce.ac.uk) in the first instance, or Regional Consultant, Steven Hall (0117 931 7140, s.hall@hefce.ac.uk).

Other information

8. As it is the responsibility of an institution's governing body to ensure that risks are identified and managed effectively, we have copied this letter to the Chair of your governing body.

9. This letter is provided in confidence to The School of Oriental and African Studies. We have no objection to it being made available to third parties, but we do not accept responsibility for any reliance a third party may place on its contents. We have no plans to release the information contained in this letter, but we ask you to consider carefully the implications of any public disclosure you may wish to make, or are asked to make. As you know, we are subject to the Freedom of Information Act 2000 and the content of this letter may be disclosable if a request is made to us under that Act.

Yours sincerely,

[Signature]

Professor Madeleine Atkins
Chief Executive

cc: Ms Marie Staunton
Report of the Trustees and
Financial Statements For The Year Ended 31 July 2017
for
SCHOOL OF ORIENTAL AND AFRICAN STUDIES
STUDENTS' UNION
## Contents of the Financial Statements
for the Year Ended 31 July 2017

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<th>Section</th>
<th>Page</th>
</tr>
</thead>
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<td>Report of the Independent Auditors</td>
<td>10 to 11</td>
</tr>
<tr>
<td>Statement of Financial Activities</td>
<td>12</td>
</tr>
<tr>
<td>Balance Sheet</td>
<td>13</td>
</tr>
<tr>
<td>Notes to the Financial Statements</td>
<td>14 to 21</td>
</tr>
<tr>
<td>Detailed Statement of Financial Activities</td>
<td>22 to 23</td>
</tr>
</tbody>
</table>
SCHOOL OF ORIENTAL AND AFRICAN STUDIES
STUDENTS’ UNION

Report of the Trustees
for the Year Ended 31 July 2017

REFERENCE AND ADMINISTRATIVE DETAILS
Registered Charity number 1150717

Principal address
Ground Floor,
Main SOAS Building
Thornhaugh Square
Russell Square
London
WC1H 0XG

Trustees

Elected by SOAS Student Body to hold office from:
August 2016-2017 August 2015-2016

Full-time (Sabbatical) Officers
Co-President Democracy & Education Nisha Phillipps Ali Habib
Co-President Welfare & Campaigns Dimitri Cautain Ayesha Abbasi
Co-President Activities & Events Mehdi Baraka Adwoa Darko
Co-President Equality & Liberation Halimo Hussein Neelam Chhara

Part-time (Non-sabbatical) Officers

Anti-Racism Officer Tawsin Ahmed Dana Omar & Mehdi Baraka
International Officer Rama Sabanekh Ahmad Wattoo
Working Class Officer Lavinya Stennett & Valeria Racu Hannah Rowbottom
Women's Officer Fran Floris Fatima Diriye
LGBTQ Officer Tom Balderstone Meg Davies & Lana Shukir
Trans* & Gender Identity Officer Jess Kumwongpin-Barnes Post Vacant
People Of Colour Officer Comfort Enoch-Moye Ninette Iheke
Mature Students Officer Amy Rosetta Joce Jethro Jenkins & Jade Garcia
Entertainments Officer Pauline Ankunda Andre Johnson & Rachel Dyer
Academic Affairs Officers Blanca Serrano & Hamish Anderson Nisha Phillips
Environment Officer Anna Gretton Agnes Van Der Loeff & Micheil Page
Disabled Students & Carers Officer Katouche Goll Henry Woodland
Postgraduate Taught Officer Rachel Hau-Yu Tam Zain Abdulla & Matthew Gaskin
Postgraduate Research Officer Robyn Waite Mohamed Taha
Campaigns Officer Daryan Omer & Max Gleissner Sarah Bakhiet
Accommodation Officer Jonny Morrison Post vacant
Sports Officer Sophie Bennett & Danny Edwards Ilyeh Nahdi & Flo Savage

Senior Management
SOAS SU employs a General Manager to work closely with the Executive Officers and ensure effective management of the charity as head of a senior management team as follows:-

General Manager Peter Baran
Services Manager Khaled Shaheenziada
Representation & Research Assistant Antonia Bright
Advice & Welfare Caseworker Susanna Momtazuddin
Sports, Activities & Events Co-ordinator Ian Cole
SOAS Radio Manager Miia Laine
REFERENCE AND ADMINISTRATIVE DETAILS

Auditors
Knox Cropper
Chartered Accountants and Statutory Auditors
153 -155 London Road
Hemel Hempstead
Hertfordshire
HP3 9SQ

Bankers
Nat West Bank
Tavistock House
Tavistock Square
London, WC1H 9NA

STRUCTURE, GOVERNANCE AND MANAGEMENT

Governing document
The charity is controlled by its governing document, a deed of trust, and constitutes an unincorporated charity.

Structure, governance, and management
SOAS Students’ Union is a Registered Charity, Charity Number 1150717, and was registered on the 6/2/2013. SOAS SU is constituted under the Education Act 1994 as a charity with internal regulations and a Constitution approved by the Governing Body of the SOAS (the University) and the Charities Commission. SOAS SU's aims and objectives, as laid out in its constitution, is to provide representation and support for the students' of the University, are supplemented by the further Object of helping members to develop their own charitable activities as active participation in civil society.

SOAS SU is administered by its Executive Committee of students elected annually by cross-campus secret ballot of the SOAS SU membership. The four Co-President posts are full-time, or 'sabbatical', posts remunerated as authorised by the Education Acts and cannot exceed two years' duration for each holder. The four full-time and sixteen part-time Executive Officers' posts are regarded as the charity trustees of SOAS SU for the purposes of the Charities Act. (For voting purposes Officers doing a job share are counted as half a vote if they are both present). During 2015-16 it was agreed to pilot a new Co-President post to deal with equality and liberation campaigns, this post was being trialled in academic year 2016-17.

SOAS SU operates on democratic principles, with supervisory power vested in the democratically elected Trustees. The Trustees meet at least four times a year to oversee the Union finances, strategic plan, operating plan and risk register. The Trustees report to the membership via the Union General Meeting, which can question decisions made by the Trustees and holds ultimate democratic veto of no confidence over them. The Union General Meeting membership comprises all of the ordinary members of SOAS Students’ Union as defined by the SOAS SU Constitution. The SOAS UGM meets monthly during term time and an Emergency Meeting can be called at three working days notice by ordinary members as laid out in the constitution.

The Trustees (Executive Committee), assisted by sub-committees where appropriate, has delegated the day-to-day running of SOAS SU to a General Manager. As the charity trustees, all Executive Officers receive an induction into their legal and administrative responsibilities, with an ongoing training programme as and when needed during their term of office. In addition to this they meet as an Executive Committee weekly during term time to receive reports from individual officers, sub-committees and the General Manager, to review the Union's performance and administration and to decide policy issues. SOAS SU also employs six additional non-student permanent members of staff for the sake of continuity in the management of its many activities. Those staff are accountable to the Trustees via the General Manager for the performance of their duties.
STRUCTURE, GOVERNANCE AND MANAGEMENT

Relationship with SOAS
The relationship between the University and SOAS SU is established in the Standing Orders of the University and detailed in the SOAS SU constitution approved by both organisations. SOAS SU receives a Block Grant from the University, agreed annually and part-occupies both the SOAS buildings. This non-monetary support is intrinsic to the relationship between the University and SOAS SU. In addition to the grant provided to SOAS SU of £302,856 the School also provides the SOAS Students’ Union with utilities, office space, IT and administrative support and certain staff free of charge. The fair value of this donation was approximately £550k in 2016-2017. Although SOAS SU continues to generate supplementary funding from various mutual trading activities, it will always be dependent on the University’s support.

There is no reason to believe that this or equivalent support from the University will not continue for the foreseeable future, as the Education Act 1994 imposes a duty on the University to ensure the financial viability of its student representative body.

Risk Management
The responsibility for Risk Management sits with the Trustees who have tasked the General Manager to prepare and update a risk register for them. Scrutiny of the risk register is a standing item on the Trustee meeting agenda, and through it the Trustees consider the major business, strategic, reputational and operational risks faced by SOAS SU. Where appropriate, systems or procedures have been established to mitigate the risks the Union faces.

Budgetary and internal control risks are minimised by the implementation of procedures for authorisation of all transactions and projects. Procedures are in place to ensure compliance with health and safety of staff, volunteers and participants on all activities organised by the Union. These procedures are periodically reviewed to ensure that they continue to meet the needs of the Union.

Reportable Issues 2016-17
Whilst there were no reportable issues occurring in 2016-17, there were two significant issues of note with regards to the operation of the Charity. Both regard issues of Freedom of Speech which are becoming increasingly prominent within the news regarding Students’ Unions. The SU has a commitment to Freedom of Speech and is proud to have not banned or cancelled any meetings upholding critical engagement with ideas.

The Students’ Union were contacted by the Charity Commission in November, 2016 regarding a complaint they had received regarding Anti-Semitism within a meeting of the SU’s Palestine Society. The Union responded, with a recording of the meeting, that there had been no anti-Semitism, however the room had not been booked properly under our own regulations and so the society was censured. This started a correspondence over four months regarding the Students’ Unions booking procedures and risk assessment. The Charity Commission seemed firmly to believe that we should not be putting on controversial external speakers, whereas the Students’ Union disagreed. However the process did improve our room booking procedure and the correspondence concluded without any formal investigation.

Secondly, in April on 2017 the Jewish Society and the UN society organised a meeting with the Israeli Ambassador Mark Regev. Due to the Union’s position of Boycott Divest and Sanctions of Israeli Institutions this caused a lot of controversy within the student body. However the Union worked with the School to make sure this event took place – though there were protests and counter-protests and intense media scrutiny on this meeting.
OBJECTIVES AND ACTIVITIES

Aims, Objectives and Activities

The SOAS SU has reviewed its constitution in June 2016 and has confirmed the aims and objectives of the SU in line with the constitution review of 2010 which are as follows:

1. The Union's objects are the advancement of education of Students at The School of Oriental and African Studies for the public benefit by:
   1.1 promoting the interests and welfare of Students at The School Of Oriental and African Studies during their course of study and representing, supporting and advising Students;
   1.2 being the recognised representative channel between Students and The School Of Oriental and African Studies and any other external bodies; and
   1.3 providing social, cultural, sporting and recreational activities and forums for discussions and debate for the personal development of its Students.

In pursuit of these aims for the public benefit, SOAS SU will ensure the diversity of its membership is recognised, valued and supported and has established services for use by its members and to support its work with the University. These include the SOAS Shop, SOAS Bar, the SOAS Class Rep System and over 200 sports and societies. SOAS SU representatives sit on all the relevant committees of the University including the SOAS Board of Trustees.

SOAS SU continues to represent the students of the University on relevant local, national and international issues by maintaining a high proportion of student representatives. SOAS SU gets a high proportional turnout for a Students' Union in the UK in its sabbatical elections and student representatives attend all School academic departmental meetings which allows the Union to cater effectively to the needs of the students. The Students’ Union aims to have student representatives present on all relevant policy and strategy making bodies.

To further enhance the student experience the Union works closely with the School in a number of partnership initiatives. The Union fully supports the School's Student Advice and Wellbeing unit and works closely with the Careers Service, in particular with the Student Volunteering Unit, supporting SOAS Student volunteering in the community. After concerns about the proliferation of sexual violence on campus cases within Higher Education, the Students’ Union in partnership with SOAS, instigated a course of two hour consent workshops for all new students. The Union has also partnered closely with SOAS on developing its Decolonising The Curriculum project, including a number of internal pilots, and the Co- Presidents presented with the School on this issue at a conference in South Africa.

When reviewing our objectives and planning our activities, we give due consideration to the Charity Commission's general and relevant supplementary guidance on public benefit.

ACHIEVEMENT AND PERFORMANCE

2016-17 was a relatively quiet year for the Students’ Union with regards to direct student action during the academic year. It was the first year of our new strategic plan, which we engaged with the School on with varying levels of success, and the first year of the whole student body being united on one campus with the opening of the Paul Webley Wing. Unfortunately the closure of Vernon Square removed one of the Students’ Union trading outlets, and no space was given to the Union to make up for the loss of the Vernon Square Common Room and Multi-Purpose Hall. This caused a significant number of issues with active societies, as we did not have space for a number of martial arts and dance societies. This was exacerbated by room rental in PWW meaning both that there were fewer rooms available for society activities, and that we could not run any active or music societies in those spaces. This has hit many of our extra-curricular activities and a number of societies closed down without spaces to practice.

We were unsure how the opening of the PWW would affect our commercial activities, particularly as we were not given any commercial facilities in the building. After a slow start we found that our Snack and Stationary Shop quickly came back to comparable numbers and the first full year of trading with the new outside area meant the bar increased by about 15% on turnover. This did however underline an issue that the student population were not happy with the catering options available and that the new facility in PWW was seen to be too expensive. The SU started on discussions regarding the future of catering – which was pre-empted by a Student Occupation after the end of term regarding the future of the catering staff. The eventual outcome of this was the agreement to bring all outsourced services including cleaning and catering in-house – the culmination of an ten year plus campaign supported by the Students’ Union. The SU intend to be fully involved in the discussion for the development of these services over the next academic year.
The SU piloted the position of Co-President Equalities and Liberation – and secured funding for it from SOAS in future years (the Union paid for the position in 2016-17 – setting aside £30,000). This was also the first year the Students’ Union ran consent training for all new students. Whilst the pilot had some teething troubles the feedback from the students on the training was excellent – and SOAS have agreed to support this for the next five years. We also presented our BME attainment gap research which came out ahead of national attainment gap statistics which showed SOAS had significant work to do in this area. The School has engaged thoroughly in this work, and our work in Decolonising The Curriculum and have set up a number of working groups on these issues. The SU Sabbaticals, along with the Registrar of SOAS, also presented at a conference in South Africa on our decolonising work.

For the third year SOAS Union maintained its NSS satisfaction remaining in the top quartile of UK Students’ Unions for Satisfaction, and the highest rated Union in a University Of London institution. We had record election turnout at 38%, the third highest proportion in the country, and we were recognised in the Which? University Student Survey 2017 as the most political students’ union in the UK for the third year running.

In other core campaigns, Solar SOAS installed its first crowd funded solar panels on the roof of SOAS. The Union also supported two of the Sanctuary Scholarships set up by SOAS for refugee students. The Union also ran its first ever Varsity Sports competition against London Metropolitan University. Run over three days this saw SOAS students contest over 21 sports and activities, engaging in more sports than we can usually focus on. Whilst London Met (who have twice the number of students as SOAS) won the competition 14-7, the event was a great success.

Please find below specific movement on our operating plan for the year:

<table>
<thead>
<tr>
<th>Objective</th>
<th>Achievement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EDUCATION:</strong> Curriculum Development</td>
<td><strong>EDUCATION:</strong> Curriculum Development</td>
</tr>
<tr>
<td>i) The Union will engage fully in the curriculum review pilot in History.</td>
<td>i) Student Reps fed into the process and stressed student outputs.</td>
</tr>
<tr>
<td>ii) The Union will engage and consult on restructuring with the aim that it will create a focus for curriculum development.</td>
<td>ii) The Union were represented on all of the restructuring committees.</td>
</tr>
<tr>
<td>iii) The Union will develop its own curriculum around Consent Training.</td>
<td>iii) Consent Training curriculum developed with Camden Rape Crisis – and used as a model for others (including Goldsmiths and Manchester SU’s).</td>
</tr>
<tr>
<td>iv) Degrees Of Racism report completed and accepted by SOAS.</td>
<td>iv) The report was completed and welcomed by SOAS who have subsequently set up a working group on Attainment Gaps.</td>
</tr>
<tr>
<td><strong>EDUCATION:</strong> Decolonising the Curriculum</td>
<td><strong>EDUCATION:</strong> Decolonising the Curriculum</td>
</tr>
<tr>
<td>i) Run a number of Decolonising The Curriculum events to engage the student population in the campaign.</td>
<td>i) The Union ran eight large events on Decolonising the Curriculum, including a 500 person lecture in Freshers Week, and working groups to identify positive actions in the classroom.</td>
</tr>
<tr>
<td>ii) Engage Academic Board on the issue to get the School to take this on as a core workstream.</td>
<td>ii) Academic Board set up a Decolonising The Curriculum Working Group co-chaired by the Students’ Union making core recommendations as part of restructuring.</td>
</tr>
<tr>
<td>iii) Do outreach to other institutions and society to spread the message of Decoloniality.</td>
<td>iii) The Union did a number of events with NUS. The National Press also got interested in January 2017 – which led to some difficult and aggressive press, however the message was largely spread.</td>
</tr>
</tbody>
</table>
**Objective**

**EMPLOYABILITY**
- i) Run a number of Careers Development activities jointly with the Careers Service – particularly around using societies as a stepping stone into a career.
- ii) Improve society training to do courses on specific skills, financial management, budget setting, event management.

**WELFARE: Mental Health**
- i) Run “Look After Your Mate” mental health first aid training to support vulnerable students.
- ii) Set up and run BME male and female peer support groups with SOAS Advice And Wellbeing.
- iii) Get SOAS to invest in an online/mobile Cognitive Behavioural Therapy (CBT) app to give students mental health support outside of counselling.

**WELFARE: Accommodation**
- i) Run a Monthly Meeting/Residence Council to hear student feedback on accommodation both in halls, and in private accommodation to shape ongoing policy.
- ii) Work with SOAS to implement a central accommodation application process run by SOAS, not Sanctuary Housing.

**WELFARE: Financial Support**
- i) Review of Student Advice and Wellbeing finances to identify strengths and weaknesses of the School’s financial support provisions.
- ii) Lobby for an increase of at least £50,000 to the School’s Hardship Fund.

**Achievement**

**EMPLOYABILITY**
- i) SOAS Radio event run successfully, but later events were not organised.
- ii) General Manager ran finance course to 20 society presidents, but further courses were rolled into general society training, to be made compulsory in 2017-18.

**WELFARE: Mental Health**
- i) We ran six “Look After Your Mate” trainings with Advice and Wellbeing – however they were not well attended, so a review of this as outreach to be done.
- ii) Ran monthly Women’s BME peer support group. Men’s group did not attract similar interest but we did run a Male BME Mental Awareness Lecture which was heavily attended (over 60 attendees).
- iii) Agreed by Student Experience Committee – but no finance was found for this so has been pushed to 2017-18.

**WELFARE: Accommodation**
- i) Sanctuary Housing Residence Council set up, and dealt with a number of localised issues, but we were unable to set up a private accommodation group.
- ii) Delayed by the internal change in staff and the complexity of the issue. It has been accepted that this is the first step towards reform in accommodation, but will not be in place until 2018-19.

**WELFARE: Financial Support**
- i) Review agreed but pushed to 2017-18 as part of the One Professional Service
- ii) Due to the School’s financial position this was rejected.
FINANCIAL REVIEW

SOAS SU’s gross income from all sources this year totalled £1,294,192. Total expenditure was £1,362,955 which left a deficit for the year of £68,763. The Union held £376,016 in reserves at the end of the year. This deficit was part ring fenced money for the pilot for the Co-President Equalities and Liberation, and a slight overspend on the operational budget around sports pitches to take account for Varsity. As previously noted in accounts the Unions reserve levels are high so we passed over some retail price increases we would have maintained to produce excess profit.

SOAS SU has continued to benefit from the recognition and support of the University, who are our principal funders, and this year the Block Grant was £302,856. This money primarily supports our day-to-day charitable activities, salaries of the sabbatical officers, core staff, as well as funding for sports, societies, the student representation system and other membership services.

Other income is generated by commercial services within the Union, a student bar and social space, a stationary and coffee shop on each campus and some money raised from contracting work out from the SU Radio Studio. We run most of these student facing commercial services with a low margin as a service to students, which also provides safe social space within the University, however the Union has a reserves policy for any profits made. The Vernon Square campus was closed in the summer of 2016, and therefore the Students’ Union Shop on campus also closed. It appears that our main campus shops have absorbed this loss of income and our cash turnover remained stable between years.

The Union maintains three months running costs plus stock costs as reserves, which has been priced as £95,000. The Union aims to make a small profit on a year on year basis, and feeds 60% of this operating profit into the society’s fund, accruing the rest for capital projects.

The Union recognises that its reserves are still quite high but have been accruing reserves in anticipation of refurbishment and expanded student space in the main building. The Union feels having suitable reserves will allow any new space which is allocated to them to be of a higher specification if the Union contributes to refurbishment costs. There is also quite a significant proportion of these reserves (approximately £35,000) held as debt from SOAS which does need to be negotiated upon as some of these are debts accrued over five years.
FUTURE PLANS AND FUNDING
In 2015-2016 SOAS Students' Union undertook a new Strategic Referendum to identify the areas of concern students most wanted the Union to concentrate on. The six new areas of priority indicated by the referendum were:

- Education: Curriculum Development
- Education: Decolonising the Curriculum
- Employability
- Welfare: Mental Health
- Welfare: Accommodation
- Welfare: Financial Support

The Union has developed a KPI for each of these as below

EDUCATION: CURRICULUM DEVELOPMENT
2019 KPI: Full student involvement in the curriculum review and an ongoing procedure for curriculum review which is student led, inclusive and constantly evolving.

EDUCATION: DECOLONISING THE CURRICULUM
2019 KPI: That a decoloniality procedure has been agreed and implemented as part of the curriculum review and that 50% of the curriculum has been reviewed

EMPLOYABILITY
2019 KPI: DLHE 6 month data of students in further study or full time employment to match or be above the national average.

WELFARE: MENTAL HEALTH

WELFARE: ACCOMMODATION
2019 KPI: Increase in bed spaces secured by SOAS for students to 1800 by 2019 (70% in “affordable” price range < £170 per week).

WELFARE: FINANCIAL SUPPORT
2019 KPI: SOAS has developed a Financial Support Strategy and increases its commitment to financial support by £100,000 p.a. by 2019.

The Union has secured £13,000 ongoing for the next five years from SOAS to run the Consent Workshops for the next five years, added as an increase to the Block Grant. The Union has also successfully bid for the funding for a Fourth Sabbatical Officer from 2017-18 (Co-President Equality And Liberation).

In 2017-18 the SU will be installing contactless card payments in the bar and the shop and expect this to improve income so will be forecasting an increase in turnover in commercial services of 12%. The Union has set SOAS Radio a target of £35,000 income for the year, in line with this year – to break even on operating costs – but we are also looking at changing how we receive our income stream from SOAS – to make the operation more agile and able to take on more academic support services.
STATEMENT OF TRUSTEES RESPONSIBILITIES
The Trustees confirm that SOAS SU has sufficient funds to meet all of its obligations. The Block Grant for 2017/18 has been confirmed at £325,862 and the commercial activities are expected to generate an operational profit of £35,000 for the year to be ploughed back into student facing services.

The trustees are responsible for preparing the Report of the Trustees and the financial statements in accordance with applicable law and United Kingdom Accounting Standards (United Kingdom Generally Accepted Accounting Practice).

The law applicable to charities in England and Wales, the Charities Act 2011, Charity (Accounts and Reports) Regulations 2008 and the provisions of the trust deed requires the trustees to prepare financial statements for each financial year which give a true and fair view of the state of affairs of the charity and of the incoming resources and application of resources, including the income and expenditure, of the charity for that period. In preparing those financial statements, the trustees are required to

- select suitable accounting policies and then apply them consistently;
- observe the methods and principles in the Charity SORP;
- make judgements and estimates that are reasonable and prudent;
- prepare the financial statements on the going concern basis unless it is inappropriate to presume that the charity will continue in business.

The trustees are responsible for keeping proper accounting records which disclose with reasonable accuracy at any time the financial position of the charity and to enable them to ensure that the financial statements comply with the Charities Act 2011, the Charity (Accounts and Reports) Regulations 2008 and the provisions of the trust deed. They are also responsible for safeguarding the assets of the charity and hence for taking reasonable steps for the prevention and detection of fraud and other irregularities.

ON BEHALF OF THE BOARD:

............................................
Trustee

Date: .............................................
Opinion
We have audited the financial statements of School of Oriental and African Studies Students’ Union (the ‘charity’) for the year ended 31 July 2017 on pages eleven to twenty one. The financial reporting framework that has been applied in their preparation is applicable law and United Kingdom Accounting Standards (United Kingdom Generally Accepted Accounting Practice).

This report is made solely to the charity's trustees, as a body, in accordance with Section 144 of the Charities Act 2011 and regulations made under Section 154 of that Act. Our audit work has been undertaken so that we might state to the charity's trustees those matters we are required to state to them in an auditors' report and for no other purpose. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the charity and the charity's trustees as a body, for our audit work, for this report, or for the opinions we have formed.

In our opinion the financial statements:
- give a true and fair view of the state of the charity's affairs as at 31 July 2017 and of its incoming resources and application of resources for the year then ended;
- have been properly prepared in accordance with United Kingdom Generally Accepted Accounting Practice; and
- have been prepared in accordance with the requirements of the Charities Act 2011.

Basis for opinion
We conducted our audit in accordance with International Standards on Auditing (UK) (ISAs (UK)) and applicable law. Our responsibilities under those standards are further described in the Auditors responsibilities for the audit of the financial statements section of our report. We are independent of the charity in accordance with the ethical requirements that are relevant to our audit of the financial statements in the UK, including the FRC's Ethical Standard, and we have fulfilled our other ethical responsibilities in accordance with these requirements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

Conclusions relating to going concern
We have nothing to report in respect of the following matters in relation to which the ISAs (UK) require us to report to you where:
- the trustees' use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the trustees have not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the charity's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from the date when the financial statements are authorised for issue.

Other information
The trustees are responsible for the other information. The other information comprises the information included in the annual report, other than the financial statements and our Report of the Independent Auditors thereon.

Our opinion on the financial statements does not cover the other information and we do not express any form of assurance conclusion thereon.

In connection with our audit of the financial statements, our responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or our knowledge obtained in the audit or otherwise appears to be materially misstated. If, based on the work we have performed, we conclude that there is a material misstatement of this other information, we are required to report that fact. We have nothing to report in this regard.

Matters on which we are required to report by exception
We have nothing to report in respect of the following matters where the Charities Act 2011 requires us to report to you if, in our opinion:
- the information given in the Report of the Trustees is inconsistent in any material respect with the financial statements ; or
- sufficient accounting records have not been kept; or
- the financial statements are not in agreement with the accounting records and returns; or
- we have not received all the information and explanations we require for our audit.

Responsibilities of trustees
As explained more fully in the Statement of Trustees Responsibilities set out on page eight, the trustees are responsible for the preparation of the financial statements which give a true and fair view, and for such internal control as the trustees determine is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the trustees are responsible for assessing the charity's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the trustees either intend to liquidate the charity or to cease operations, or have no realistic alternative but to do so.
Our responsibilities for the audit of the financial statements
Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue a Report of the Independent Auditors that includes our opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.


Knox Cropper
Chartered Accountants and Statutory Auditors
Eligible to act as an auditor in terms of Section 1212 of the Companies Act 2006
153 -155 London Road
Hemel Hempstead
Hertfordshire
HP3 9SQ

Date: .............................................
## Statement of Financial Activities for the Year Ended 31 July 2017

<table>
<thead>
<tr>
<th>Notes</th>
<th>Unrestricted fund</th>
<th>Restricted funds</th>
<th>Total funds</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>£</td>
<td>£</td>
<td>£</td>
</tr>
<tr>
<td><strong>INCOME AND ENDOWMENTS FROM</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Donations and legacies</td>
<td>2</td>
<td>2,500</td>
<td>-</td>
</tr>
<tr>
<td>Charitable activities</td>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Union bar</td>
<td></td>
<td>290,625</td>
<td>-</td>
</tr>
<tr>
<td>Union shop</td>
<td></td>
<td>602,233</td>
<td>-</td>
</tr>
<tr>
<td>Vernon Square Cafe</td>
<td></td>
<td>-</td>
<td>55,884</td>
</tr>
<tr>
<td>Clubs and societies</td>
<td></td>
<td>5,730</td>
<td>-</td>
</tr>
<tr>
<td>Union entertainment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SOAS Radio</td>
<td></td>
<td>14,296</td>
<td>-</td>
</tr>
<tr>
<td>Events</td>
<td></td>
<td>7,620</td>
<td>-</td>
</tr>
<tr>
<td>Other trading activities</td>
<td>3</td>
<td>256,662</td>
<td>46,194</td>
</tr>
<tr>
<td>Investment income</td>
<td>4</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Other income</td>
<td></td>
<td>31</td>
<td>12,417</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td>1,179,697</td>
<td>114,495</td>
</tr>
</tbody>
</table>

| **EXPENDITURE ON** |
| Charitable activities | 6 |
| Welfare and campaigns | | 42,499 | - | 42,499 | 39,240 |
| Union bar | | 271,516 | - | 271,516 | 240,861 |
| Union shop | | 561,840 | - | 561,840 | 527,878 |
| Vernon Square Cafe | | 18,848 | - | 18,848 | 84,365 |
| Subscriptions and affiliation fees | | 47,771 | - | 47,771 | 42,193 |
| Clubs and societies | | 151,877 | 102,835 | 254,712 | 301,992 |
| Union entertainment | | 68,412 | - | 68,412 | 75,028 |
| SOAS Radio | | 52,112 | - | 52,112 | 55,845 |
| Events | | 13,690 | - | 13,690 | 13,494 |
| Scholarship | | 20,000 | - | 20,000 | 20,000 |
| Enough is Enough | | - | 11,555 | 11,555 | - |
| **Total** | | 1,248,565 | 114,390 | 1,362,955 | 1,399,256 |

| **NET INCOME/(EXPENDITURE)** |
| | (68,868) | 105 | (68,763) | (68,732) |

| **RECONCILIATION OF FUNDS** |
| Total funds brought forward | 403,655 | 41,124 | 444,779 | 513,511 |
| **TOTAL FUNDS CARRIED FORWARD** | 334,787 | 41,229 | 376,016 | 444,779 |

**CONTINUING OPERATIONS**
All income and expenditure has arisen from continuing activities.

---

The notes form part of these financial statements

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113
**Balance Sheet**

At 31 July 2017

<table>
<thead>
<tr>
<th>Notes</th>
<th>Unrestricted funds £</th>
<th>Restricted funds £</th>
<th>Total funds £</th>
<th>£</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>FIXED ASSETS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tangible assets</td>
<td>11</td>
<td>120,747</td>
<td>-</td>
<td>120,747</td>
</tr>
<tr>
<td>Social investments</td>
<td>12</td>
<td>10,000</td>
<td>-</td>
<td>10,000</td>
</tr>
<tr>
<td><strong>TOTAL FIXED ASSETS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>130,747</td>
<td>-</td>
<td>130,747</td>
<td>155,447</td>
</tr>
<tr>
<td><strong>CURRENT ASSETS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Stocks</td>
<td>13</td>
<td>13,903</td>
<td>-</td>
<td>13,903</td>
</tr>
<tr>
<td>Debtors</td>
<td>14</td>
<td>128,397</td>
<td>-</td>
<td>128,397</td>
</tr>
<tr>
<td>Cash at bank and in hand</td>
<td></td>
<td>123,611</td>
<td>41,229</td>
<td>164,840</td>
</tr>
<tr>
<td><strong>TOTAL CURRENT ASSETS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>265,911</td>
<td>41,229</td>
<td>307,140</td>
<td>407,337</td>
</tr>
<tr>
<td><strong>CREDITORS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Amounts falling due within one year</td>
<td>15</td>
<td>(61,871)</td>
<td>-</td>
<td>(61,871)</td>
</tr>
<tr>
<td><strong>NET CURRENT ASSETS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>204,040</td>
<td>41,229</td>
<td>245,269</td>
<td>289,322</td>
</tr>
<tr>
<td><strong>TOTAL ASSETS LESS CURRENT LIABILITIES</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>334,787</td>
<td>41,229</td>
<td>376,016</td>
<td>444,779</td>
</tr>
<tr>
<td><strong>NET ASSETS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>334,787</td>
<td>41,229</td>
<td>376,016</td>
<td>444,779</td>
</tr>
<tr>
<td><strong>Funds</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unrestricted funds</td>
<td>17</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Restricted funds</td>
<td></td>
<td></td>
<td>334,787</td>
<td>403,655</td>
</tr>
<tr>
<td><strong>TOTAL FUNDS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>376,016</td>
<td>444,779</td>
</tr>
</tbody>
</table>

The financial statements were approved by the Board of Trustees on ............................... and were signed on its behalf by:

.............................................

Trustee

The notes form part of these financial statements
Cash Flow Statement
for the Year Ended 31 July 2017

<table>
<thead>
<tr>
<th>Notes</th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>£</td>
<td>£</td>
</tr>
<tr>
<td></td>
<td>116,867</td>
<td></td>
</tr>
<tr>
<td>Cash generated from operations</td>
<td>(69,665)</td>
<td>116,867</td>
</tr>
<tr>
<td>Net cash provided by (used in) operating activities</td>
<td>(69,665)</td>
<td>116,867</td>
</tr>
<tr>
<td>Purchase of tangible fixed assets</td>
<td>(700)</td>
<td>(118,775)</td>
</tr>
<tr>
<td>Purchase of social investments</td>
<td>(10,000)</td>
<td>-</td>
</tr>
<tr>
<td>Interest received</td>
<td>-</td>
<td>420</td>
</tr>
<tr>
<td>Net cash provided by (used in) investing activities</td>
<td>(10,700)</td>
<td>(118,355)</td>
</tr>
<tr>
<td>Change in cash and cash equivalents in the reporting period</td>
<td>(80,365)</td>
<td>(1,488)</td>
</tr>
<tr>
<td>Cash and cash equivalents at the beginning of the reporting period</td>
<td>245,205</td>
<td>246,693</td>
</tr>
<tr>
<td>Cash and cash equivalents at the end of the reporting period</td>
<td>164,840</td>
<td>245,205</td>
</tr>
</tbody>
</table>

The notes form part of these financial statements
## Notes to the Cash Flow Statement
for the Year Ended 31 July 2017

### 1. Reconciliation of Net Income/(Expenditure) to Cash Flow from Operating Activities

<table>
<thead>
<tr>
<th></th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Net income/(expenditure)</td>
<td>(68,763)</td>
<td>(68,732)</td>
</tr>
<tr>
<td>Adjustments for:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Depreciation charges</td>
<td>35,400</td>
<td>33,828</td>
</tr>
<tr>
<td>Interest received</td>
<td>-</td>
<td>(420)</td>
</tr>
<tr>
<td>Decrease/(increase) in stocks</td>
<td>4,895</td>
<td>(2,433)</td>
</tr>
<tr>
<td>Decrease in debtors</td>
<td>14,937</td>
<td>158,821</td>
</tr>
<tr>
<td>Decrease in creditors</td>
<td>(56,134)</td>
<td>(4,197)</td>
</tr>
<tr>
<td>Net cash provided by (used in) operating activities</td>
<td>(69,665)</td>
<td>116,867</td>
</tr>
</tbody>
</table>
1. ACCOUNTING POLICIES

Basis of preparing the financial statements
The financial statements of the charity, which is a public benefit entity under FRS 102, have been prepared in accordance with the Charities SORP (FRS 102) ‘Accounting and Reporting by Charities: Statement of Recommended Practice applicable to charities preparing their accounts in accordance with the Financial Reporting Standard applicable in the UK and Republic of Ireland (FRS 102) (effective 1 January 2015)’, Financial Reporting Standard 102 ‘The Financial Reporting Standard applicable in the UK and Republic of Ireland’ and the Charities Act 2011. The financial statements have been prepared under the historical cost convention.

Income
All income is recognised in the Statement of Financial Activities once the charity has entitlement to the funds, it is probable that the income will be received and the amount can be measured reliably.

Expenditure
Liabilities are recognised as expenditure as soon as there is a legal or constructive obligation committing the charity to that expenditure, it is probable that a transfer of economic benefits will be required in settlement and the amount of the obligation can be measured reliably. Expenditure is accounted for on an accruals basis and has been classified under headings that aggregate all cost related to the category. Where costs cannot be directly attributed to particular headings they have been allocated to activities on a basis consistent with the use of resources.

Tangible fixed assets
Are recorded at cost. Items with a value below £1,000 are not capitalised. Depreciation is provided for at the following rates in order to write off each asset over its estimated useful life.

<table>
<thead>
<tr>
<th>Item</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improvements to property</td>
<td>-10%</td>
</tr>
<tr>
<td>Fixtures &amp; fittings</td>
<td>-20%</td>
</tr>
</tbody>
</table>

Stocks
Stocks are valued at the lower of cost and net realisable value, after making due allowance for obsolete and slow moving items.

Taxation
The charity is exempt from tax on its charitable activities.

Fund accounting
Unrestricted funds can be used in accordance with the charitable objectives at the discretion of the trustees.

Restricted funds can only be used for particular restricted purposes. Restrictions arise when specified by the donor or when funds are raised for particular restricted purposes.

Restricted funds comprise of the sports and societies fund, which represents funds raised by the individual clubs and societies for their own use.

Hire purchase and leasing commitments
Rentals paid under operating leases are charged to the Statement of Financial Activities on a straight line basis over the period of the lease.

2. DONATIONS AND LEGACIES

<table>
<thead>
<tr>
<th></th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Donations</td>
<td>2,500</td>
<td>-</td>
</tr>
</tbody>
</table>
## 3. OTHER TRADING ACTIVITIES

<table>
<thead>
<tr>
<th></th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>School grant</td>
<td>£298,139</td>
<td>£289,276</td>
</tr>
<tr>
<td>Commission income</td>
<td>£4,717</td>
<td>£4,417</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>£302,856</strong></td>
<td><strong>£293,693</strong></td>
</tr>
</tbody>
</table>

## 4. INVESTMENT INCOME

<table>
<thead>
<tr>
<th></th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Deposit account interest</td>
<td>-</td>
<td>£420</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>-</strong></td>
<td><strong>£420</strong></td>
</tr>
</tbody>
</table>

## 5. INCOME FROM CHARITABLE ACTIVITIES

<table>
<thead>
<tr>
<th>Activity</th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bar sales Union bar</td>
<td>£274,172</td>
<td>£250,077</td>
</tr>
<tr>
<td>Supplier target discount Union bar</td>
<td>£16,453</td>
<td>£5,072</td>
</tr>
<tr>
<td>Snack shop sales Union shop</td>
<td>£602,233</td>
<td>£572,430</td>
</tr>
<tr>
<td>Vernon Square Cafe Sales Vernon Square Cafe</td>
<td>-</td>
<td>£81,428</td>
</tr>
<tr>
<td>Clubs and Societies income Clubs and societies</td>
<td>£55,884</td>
<td>£93,397</td>
</tr>
<tr>
<td>Union entertainment Union entertainment</td>
<td>£5,730</td>
<td>£8,230</td>
</tr>
<tr>
<td>SOAS Radio SOAS Radio</td>
<td>£14,296</td>
<td>£18,100</td>
</tr>
<tr>
<td>Freshers Fayre Events</td>
<td>£7,620</td>
<td>£5,522</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>£976,388</td>
<td>£1,034,256</td>
</tr>
</tbody>
</table>

## 6. CHARITABLE ACTIVITIES COSTS

<table>
<thead>
<tr>
<th>Activity</th>
<th>Direct costs</th>
<th>Support costs (See note 7)</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Welfare and campaigns</td>
<td>£42,499</td>
<td></td>
<td>£42,499</td>
</tr>
<tr>
<td>Union bar</td>
<td>£230,285</td>
<td>£41,231</td>
<td>£271,516</td>
</tr>
<tr>
<td>Union shop</td>
<td>£477,676</td>
<td>£84,164</td>
<td>£561,840</td>
</tr>
<tr>
<td>Vernon Square Cafe</td>
<td>-</td>
<td>£18,848</td>
<td>£18,848</td>
</tr>
<tr>
<td>Clubs and societies</td>
<td>£206,941</td>
<td>£47,771</td>
<td>£254,712</td>
</tr>
<tr>
<td>Union entertainment</td>
<td>£20,641</td>
<td>£47,771</td>
<td>£68,412</td>
</tr>
<tr>
<td>SOAS Radio</td>
<td>£50,144</td>
<td>£1,968</td>
<td>£52,112</td>
</tr>
<tr>
<td>Events</td>
<td>£13,690</td>
<td>-</td>
<td>£13,690</td>
</tr>
<tr>
<td>Scholarship</td>
<td>£20,000</td>
<td>-</td>
<td>£20,000</td>
</tr>
<tr>
<td>Enough is Enough</td>
<td>£11,555</td>
<td>-</td>
<td>£11,555</td>
</tr>
<tr>
<td>Subscriptions and affiliation fees</td>
<td>-</td>
<td>£47,771</td>
<td>£47,771</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>£1,073,431</td>
<td>£289,524</td>
<td>£1,362,955</td>
</tr>
</tbody>
</table>

---

118
7. SUPPORT COSTS

<table>
<thead>
<tr>
<th>Activity</th>
<th>Management</th>
<th>Finance</th>
<th>Governance</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>£</td>
<td>£</td>
<td>£</td>
<td>£</td>
<td>£</td>
</tr>
<tr>
<td>Union bar</td>
<td>39,986</td>
<td>258</td>
<td>987</td>
<td>41,231</td>
</tr>
<tr>
<td>Union shop</td>
<td>81,625</td>
<td>525</td>
<td>2,014</td>
<td>84,164</td>
</tr>
<tr>
<td>Vernon Square Cafe</td>
<td>18,279</td>
<td>118</td>
<td>451</td>
<td>18,848</td>
</tr>
<tr>
<td>Subscriptions and affiliation fees</td>
<td>46,330</td>
<td>298</td>
<td>1,143</td>
<td>47,771</td>
</tr>
<tr>
<td>Clubs and societies</td>
<td>46,330</td>
<td>298</td>
<td>1,143</td>
<td>47,771</td>
</tr>
<tr>
<td>Union entertainment</td>
<td>46,330</td>
<td>298</td>
<td>1,143</td>
<td>47,771</td>
</tr>
<tr>
<td>SOAS Radio</td>
<td>1,909</td>
<td>12</td>
<td>47</td>
<td>1,968</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>280,789</strong></td>
<td><strong>1,807</strong></td>
<td><strong>6,928</strong></td>
<td><strong>289,524</strong></td>
</tr>
</tbody>
</table>

Support costs, included in the above, are as follows:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Basis of allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management</td>
<td>Student Social Enterprise - 49.5% (split as a % of turnover Student representation and activities - 49.5% )</td>
</tr>
<tr>
<td>Finance</td>
<td>Student Social Enterprise - 49.5% (split as a % of turnover Student representation and activities - 49.5% )</td>
</tr>
<tr>
<td>Governance costs</td>
<td>Student Social Enterprise - 49.5% (split as a % of turnover Student representation and activities - 49.5% )</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Activity</th>
<th>Clubs and societies</th>
<th>Union entertainment</th>
<th>SOAS Radio</th>
<th>Total activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>£</td>
<td>£</td>
<td>£</td>
<td>£</td>
<td>£</td>
</tr>
<tr>
<td>Union bar</td>
<td>36,574</td>
<td>36,574</td>
<td>1,507</td>
<td>221,663</td>
</tr>
<tr>
<td>Union shop</td>
<td>36,574</td>
<td>36,574</td>
<td>1,507</td>
<td>221,663</td>
</tr>
<tr>
<td>Vernon Square Cafe</td>
<td>187,166</td>
<td>187,166</td>
<td>187,166</td>
<td>187,166</td>
</tr>
<tr>
<td>Subscriptions and affiliation fees</td>
<td>47,771</td>
<td>47,771</td>
<td>1,968</td>
<td>289,524</td>
</tr>
<tr>
<td>Clubs and societies</td>
<td>47,771</td>
<td>47,771</td>
<td>1,968</td>
<td>289,524</td>
</tr>
<tr>
<td>SOAS Radio</td>
<td>1,968</td>
<td>1,968</td>
<td>1,968</td>
<td>1,968</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Activity</th>
<th>Total activities 2017</th>
<th>Total activities 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>£</td>
<td>£</td>
<td>£</td>
</tr>
<tr>
<td>Salaries</td>
<td>47,771</td>
<td>47,771</td>
</tr>
<tr>
<td>IT equipment and Event</td>
<td>1,968</td>
<td>1,968</td>
</tr>
<tr>
<td>Manager</td>
<td>4,899</td>
<td>4,899</td>
</tr>
<tr>
<td>Telephone</td>
<td>110</td>
<td>110</td>
</tr>
<tr>
<td>Printing and stationery</td>
<td>5,426</td>
<td>5,426</td>
</tr>
<tr>
<td>Miscellaneous costs</td>
<td>16,786</td>
<td>16,036</td>
</tr>
<tr>
<td>Depreciation - tangible assets</td>
<td>35,400</td>
<td>33,828</td>
</tr>
<tr>
<td>Bank charges</td>
<td>2,444</td>
<td>2,444</td>
</tr>
<tr>
<td>Auditors' remuneration</td>
<td>5,050</td>
<td>5,050</td>
</tr>
<tr>
<td>Election expenses</td>
<td>767</td>
<td>767</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Activity</th>
<th>Total activities 2017</th>
<th>Total activities 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>£</td>
<td>£</td>
<td>£</td>
</tr>
<tr>
<td>Salaries</td>
<td>47,771</td>
<td>47,771</td>
</tr>
<tr>
<td>IT equipment and Event</td>
<td>1,968</td>
<td>1,968</td>
</tr>
<tr>
<td>Manager</td>
<td>4,899</td>
<td>4,899</td>
</tr>
<tr>
<td>Telephone</td>
<td>110</td>
<td>110</td>
</tr>
<tr>
<td>Printing and stationery</td>
<td>5,426</td>
<td>5,426</td>
</tr>
<tr>
<td>Miscellaneous costs</td>
<td>16,786</td>
<td>16,036</td>
</tr>
<tr>
<td>Depreciation - tangible assets</td>
<td>35,400</td>
<td>33,828</td>
</tr>
<tr>
<td>Bank charges</td>
<td>2,444</td>
<td>2,444</td>
</tr>
<tr>
<td>Auditors' remuneration</td>
<td>5,050</td>
<td>5,050</td>
</tr>
<tr>
<td>Election expenses</td>
<td>767</td>
<td>767</td>
</tr>
</tbody>
</table>
7. SUPPORT COSTS - continued

8. TRUSTEES' REMUNERATION AND BENEFITS

None of the trustees were remunerated or paid expenses in respect of the performance of their duties as trustees. Trustees were remunerated in respect of their roles as sabbatical officers. See note 15

Trustees' expenses

No trustees were paid expenses in respect of the performance of their duties as trustees.

9. STAFF COSTS

<table>
<thead>
<tr>
<th></th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wages and salaries</td>
<td>£475,078</td>
<td>£438,507</td>
</tr>
</tbody>
</table>

The average monthly number of employees during the year was as follows:

<table>
<thead>
<tr>
<th></th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full time management staff</td>
<td>-</td>
<td>6</td>
</tr>
<tr>
<td>Part time staff</td>
<td>-</td>
<td>39</td>
</tr>
<tr>
<td></td>
<td>-</td>
<td>45</td>
</tr>
</tbody>
</table>

No employees received emoluments in excess of £60,000.

10. COMPARATIVES FOR THE STATEMENT OF FINANCIAL ACTIVITIES

<table>
<thead>
<tr>
<th>Unrestricted funds</th>
<th>Restricted funds</th>
<th>Total funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>£</td>
<td>£</td>
<td>£</td>
</tr>
</tbody>
</table>

INCOME AND ENDOWMENTS FROM Charitable activities

<table>
<thead>
<tr>
<th></th>
<th>Unrestricted</th>
<th>Restricted</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Union bar</td>
<td>255,149</td>
<td>-</td>
<td>255,149</td>
</tr>
<tr>
<td>Union shop</td>
<td>572,430</td>
<td>-</td>
<td>572,430</td>
</tr>
<tr>
<td>Vernon Square Cafe</td>
<td>81,428</td>
<td>-</td>
<td>81,428</td>
</tr>
<tr>
<td>Clubs and societies</td>
<td>-</td>
<td>93,397</td>
<td>93,397</td>
</tr>
<tr>
<td>Union entertainment</td>
<td>8,230</td>
<td>-</td>
<td>8,230</td>
</tr>
<tr>
<td>SOAS Radio</td>
<td>18,100</td>
<td>-</td>
<td>18,100</td>
</tr>
<tr>
<td>Events</td>
<td>5,522</td>
<td>-</td>
<td>5,522</td>
</tr>
<tr>
<td>Other trading activities</td>
<td>247,500</td>
<td>46,193</td>
<td>293,693</td>
</tr>
<tr>
<td>Investment income</td>
<td>420</td>
<td>-</td>
<td>420</td>
</tr>
<tr>
<td>Other income</td>
<td>2,155</td>
<td>-</td>
<td>2,155</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>1,190,934</strong></td>
<td><strong>139,590</strong></td>
<td><strong>1,330,524</strong></td>
</tr>
</tbody>
</table>
10. COMPARATIVES FOR THE STATEMENT OF FINANCIAL ACTIVITIES - continued

<table>
<thead>
<tr>
<th></th>
<th>Unrestricted fund</th>
<th>Restricted funds</th>
<th>Total funds</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>£</td>
<td>£</td>
<td>£</td>
</tr>
<tr>
<td>EXPENDITURE ON</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Charitable activities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Welfare and campaigns</td>
<td>39,240</td>
<td>-</td>
<td>39,240</td>
</tr>
<tr>
<td>Union bar</td>
<td>240,861</td>
<td>-</td>
<td>240,861</td>
</tr>
<tr>
<td>Union shop</td>
<td>527,878</td>
<td>-</td>
<td>527,878</td>
</tr>
<tr>
<td>Vernon Square Cafe</td>
<td>84,365</td>
<td>-</td>
<td>84,365</td>
</tr>
<tr>
<td>Subscriptions and affiliation fees</td>
<td>42,193</td>
<td>-</td>
<td>42,193</td>
</tr>
<tr>
<td>Clubs and societies</td>
<td>156,521</td>
<td>145,471</td>
<td>301,992</td>
</tr>
<tr>
<td>Union entertainment</td>
<td>75,028</td>
<td>-</td>
<td>75,028</td>
</tr>
<tr>
<td>SOAS Radio</td>
<td>54,205</td>
<td>-</td>
<td>54,205</td>
</tr>
<tr>
<td>Events</td>
<td>13,494</td>
<td>-</td>
<td>13,494</td>
</tr>
<tr>
<td>Scholarship</td>
<td>20,000</td>
<td>-</td>
<td>20,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>1,253,785</strong></td>
<td><strong>145,471</strong></td>
<td><strong>1,399,256</strong></td>
</tr>
<tr>
<td>RECONCILIATION OF FUNDS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total funds brought forward</td>
<td>466,506</td>
<td>47,005</td>
<td>513,511</td>
</tr>
<tr>
<td><strong>TOTAL FUNDS CARRIED FORWARD</strong></td>
<td><strong>403,655</strong></td>
<td><strong>41,124</strong></td>
<td><strong>444,779</strong></td>
</tr>
</tbody>
</table>

11. TANGIBLE FIXED ASSETS

<table>
<thead>
<tr>
<th></th>
<th>Improvements to property</th>
<th>Fixtures and fittings</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>£</td>
<td>£</td>
<td>£</td>
</tr>
<tr>
<td>COST</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>At 1 August 2016</td>
<td>193,242</td>
<td>130,533</td>
<td>323,775</td>
</tr>
<tr>
<td>Additions</td>
<td>-</td>
<td>700</td>
<td>700</td>
</tr>
<tr>
<td>At 31 July 2017</td>
<td>193,242</td>
<td>131,233</td>
<td>324,475</td>
</tr>
<tr>
<td>DEPRECIATION</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>At 1 August 2016</td>
<td>89,008</td>
<td>79,320</td>
<td>168,328</td>
</tr>
<tr>
<td>Charge for year</td>
<td>19,324</td>
<td>16,076</td>
<td>35,400</td>
</tr>
<tr>
<td>At 31 July 2017</td>
<td>108,332</td>
<td>95,396</td>
<td>203,728</td>
</tr>
<tr>
<td>NET BOOK VALUE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>At 31 July 2017</td>
<td>84,910</td>
<td>35,837</td>
<td>120,747</td>
</tr>
<tr>
<td>At 31 July 2016</td>
<td>104,234</td>
<td>51,213</td>
<td>155,447</td>
</tr>
</tbody>
</table>
12. SOCIAL INVESTMENTS

<table>
<thead>
<tr>
<th>Programme related investments</th>
<th>Loans</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>MARKET VALUE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Additions</td>
<td>10,000</td>
<td>10,000</td>
</tr>
</tbody>
</table>

| NET BOOK VALUE                |       |       |
| At 31 July 2017               | 10,000| 10,000|
| At 31 July 2016               | -     | -     |

13. STOCKS

<table>
<thead>
<tr>
<th></th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stocks</td>
<td>13,903</td>
<td>18,798</td>
</tr>
</tbody>
</table>

14. DEBTORS: AMOUNTS FALLING DUE WITHIN ONE YEAR

<table>
<thead>
<tr>
<th></th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trade debtors</td>
<td>51,621</td>
<td>47,920</td>
</tr>
<tr>
<td>Other debtors</td>
<td>76,776</td>
<td>95,414</td>
</tr>
<tr>
<td></td>
<td>128,397</td>
<td>143,334</td>
</tr>
</tbody>
</table>

Other debtors relates entirely to the grant received from SOAS

15. CREDITORS: AMOUNTS FALLING DUE WITHIN ONE YEAR

<table>
<thead>
<tr>
<th></th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trade creditors</td>
<td>16,727</td>
<td>53,977</td>
</tr>
<tr>
<td>Taxation and social security</td>
<td>23,261</td>
<td>20,324</td>
</tr>
<tr>
<td>Other creditors</td>
<td>21,883</td>
<td>43,704</td>
</tr>
<tr>
<td></td>
<td>61,871</td>
<td>118,005</td>
</tr>
</tbody>
</table>

16. LEASING AGREEMENTS

Minimum lease payments under non-cancellable operating leases fall due as follows:

<table>
<thead>
<tr>
<th></th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within one year</td>
<td>7,920</td>
<td>-</td>
</tr>
<tr>
<td>Between one and five years</td>
<td>19,140</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>27,060</td>
<td>-</td>
</tr>
</tbody>
</table>
### 17. MOVEMENT IN FUNDS

<table>
<thead>
<tr>
<th></th>
<th>Net movement in funds</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>At 1.8.16 £</td>
<td>At 31.7.17 £</td>
</tr>
<tr>
<td>Unrestricted funds</td>
<td></td>
<td></td>
</tr>
<tr>
<td>General fund</td>
<td>403,655</td>
<td>334,787</td>
</tr>
<tr>
<td>Restricted funds</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sports ground fund</td>
<td>236</td>
<td>1,264</td>
</tr>
<tr>
<td>Clubs and Societies</td>
<td>40,888</td>
<td>39,102</td>
</tr>
<tr>
<td>Consent Training Programme</td>
<td>-</td>
<td>863</td>
</tr>
<tr>
<td></td>
<td>41,124</td>
<td>41,229</td>
</tr>
<tr>
<td><strong>TOTAL FUNDS</strong></td>
<td>444,779</td>
<td>376,016</td>
</tr>
</tbody>
</table>

Net movement in funds, included in the above are as follows:

<table>
<thead>
<tr>
<th></th>
<th>Incoming resources £</th>
<th>Resources expended £</th>
<th>Movement in funds £</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unrestricted funds</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General fund</td>
<td>1,179,697</td>
<td>(1,248,565)</td>
<td>(68,868)</td>
</tr>
<tr>
<td>Restricted funds</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sports ground fund</td>
<td>41,831</td>
<td>(40,803)</td>
<td>1,028</td>
</tr>
<tr>
<td>Transport fund</td>
<td>4,361</td>
<td>(4,361)</td>
<td>-</td>
</tr>
<tr>
<td>Clubs and Societies</td>
<td>55,885</td>
<td>(57,671)</td>
<td>(1,786)</td>
</tr>
<tr>
<td>Consent Training Programme</td>
<td>12,418</td>
<td>(11,555)</td>
<td>863</td>
</tr>
<tr>
<td></td>
<td>114,495</td>
<td>(114,390)</td>
<td>105</td>
</tr>
<tr>
<td><strong>TOTAL FUNDS</strong></td>
<td>1,294,192</td>
<td>(1,362,955)</td>
<td>(68,763)</td>
</tr>
</tbody>
</table>

### 18. RELATED PARTY DISCLOSURES

There were no related party transactions for the year ended 31 July 2017.
### Detailed Statement of Financial Activities

SCHOOL OF ORIENTAL AND AFRICAN STUDIES
STUDENTS’ UNION

for the Year Ended 31 July 2017

<table>
<thead>
<tr>
<th></th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>INCOME AND ENDOWMENTS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Donations and legacies</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Donations</td>
<td>2,500</td>
<td>-</td>
</tr>
<tr>
<td>Other trading activities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>School grant</td>
<td>298,139</td>
<td>289,276</td>
</tr>
<tr>
<td>Commission income</td>
<td>4,717</td>
<td>4,417</td>
</tr>
<tr>
<td></td>
<td>302,856</td>
<td>293,693</td>
</tr>
<tr>
<td>Investment income</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Deposit account interest</td>
<td></td>
<td>420</td>
</tr>
<tr>
<td>Charitable activities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bar sales</td>
<td>274,172</td>
<td>250,077</td>
</tr>
<tr>
<td>Snack shop sales</td>
<td>602,233</td>
<td>572,430</td>
</tr>
<tr>
<td>Union entertainment</td>
<td>5,730</td>
<td>8,230</td>
</tr>
<tr>
<td>Vernon Square Café Sales</td>
<td>-</td>
<td>81,428</td>
</tr>
<tr>
<td>Supplier target discount</td>
<td>16,453</td>
<td>5,072</td>
</tr>
<tr>
<td>SOAS Radio</td>
<td>14,296</td>
<td>18,100</td>
</tr>
<tr>
<td>Clubs and Societies income</td>
<td>55,884</td>
<td>93,397</td>
</tr>
<tr>
<td>Freshers Fayre</td>
<td>7,620</td>
<td>5,522</td>
</tr>
<tr>
<td></td>
<td>976,388</td>
<td>1,034,256</td>
</tr>
<tr>
<td><strong>Other income</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Income</td>
<td>31</td>
<td>2,155</td>
</tr>
<tr>
<td>Enough is Enough Income</td>
<td>12,417</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>12,448</td>
<td>2,155</td>
</tr>
<tr>
<td>Total incoming resources</td>
<td>1,294,192</td>
<td>1,330,524</td>
</tr>
</tbody>
</table>

| **EXPENDITURE** |       |       |
| Salaries and wages | 253,415 | 251,341 |
| Other operating leases | 5,145  | -     |
| Union bar purchases | 125,380 | 116,809 |
| Snack shop purchases | 363,447 | 359,043 |
| Union affiliations  | 14,426 | 13,672 |
| Entertainments      | 20,641 | 32,835 |
| Campaigns           | 42,499 | 39,240 |
| Licences            | 2,022  | 730   |
| Vernon Square Café purchases | -   | 38,143 |
| SOAS Radio          | 8,696  | 12,096 |
| Sport clubs expenditure | 30,084 | 39,278 |
| Clubs and Societies | 100,526 | 129,127 |
| Sports travel       | 5,686  | 5,365 |
| Publications        | 485    | 3,222 |
| Pitch hire          | 55,234 | 63,214 |
| Carried forward     | 1,027,686 | 1,104,115 |

This page does not form part of the statutory financial statements
### Detailed Statement of Financial Activities
for the Year Ended 31 July 2017

<table>
<thead>
<tr>
<th>Charitable activities</th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Brought forward</td>
<td>1,027,686</td>
<td>1,104,115</td>
</tr>
<tr>
<td>Freshers events</td>
<td>13,690</td>
<td>13,494</td>
</tr>
<tr>
<td>Participatory budgeting</td>
<td>500</td>
<td>5,921</td>
</tr>
<tr>
<td>Scholarship</td>
<td>20,000</td>
<td>20,000</td>
</tr>
<tr>
<td>Enough is Enough expenditure</td>
<td>11,555</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total Charitable activities</strong></td>
<td>1,073,431</td>
<td>1,143,530</td>
</tr>
</tbody>
</table>

### Support costs

#### Management

<table>
<thead>
<tr>
<th>Cost</th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>221,663</td>
<td>187,166</td>
</tr>
<tr>
<td>IT equipment and Event Manager</td>
<td>6,457</td>
<td>4,899</td>
</tr>
<tr>
<td>Telephone</td>
<td>-</td>
<td>110</td>
</tr>
<tr>
<td>Printing and stationery</td>
<td>483</td>
<td>5,426</td>
</tr>
<tr>
<td>Staff training &amp; other expense</td>
<td>9,193</td>
<td>8,451</td>
</tr>
<tr>
<td>Repairs and renewals</td>
<td>3,266</td>
<td>916</td>
</tr>
<tr>
<td>Professional fees</td>
<td>979</td>
<td>380</td>
</tr>
<tr>
<td>Insurance</td>
<td>3,348</td>
<td>3,958</td>
</tr>
<tr>
<td>Bad debt write off</td>
<td>-</td>
<td>2,331</td>
</tr>
<tr>
<td>Improvements to property - Depreciation</td>
<td>19,324</td>
<td>19,324</td>
</tr>
<tr>
<td>Fixtures and fittings - Depreciation</td>
<td>16,076</td>
<td>14,504</td>
</tr>
<tr>
<td><strong>Total Support costs</strong></td>
<td>280,789</td>
<td>247,465</td>
</tr>
</tbody>
</table>

#### Finance

<table>
<thead>
<tr>
<th>Cost</th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bank charges</td>
<td>1,807</td>
<td>2,444</td>
</tr>
</tbody>
</table>

#### Governance costs

<table>
<thead>
<tr>
<th>Cost</th>
<th>2017</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auditors’ remuneration</td>
<td>5,175</td>
<td>5,050</td>
</tr>
<tr>
<td>Election expenses</td>
<td>1,753</td>
<td>767</td>
</tr>
<tr>
<td><strong>Total Governance costs</strong></td>
<td>6,928</td>
<td>5,817</td>
</tr>
</tbody>
</table>

**Total resources expended**

**1,362,955**

**1,399,256**

**Net expenditure**

**(68,763)**

**(68,732)**

---

This page does not form part of the statutory financial statements
SCHOOL OF ORIENTAL AND AFRICAN STUDIES
STUDENTS' UNION

Detailed Statement of Financial Activities
for the Year Ended 31 July 2017

This page does not form part of the statutory financial statements
SOAS, UNIVERSITY OF LONDON
EQUALITY and DIVERSITY COMMITTEE (EDC)

Wednesday 15 February 2017
Room 116, College Buildings

MINUTES

Members:
Professor Chris Bramall (Chair)
Dr Chris Ince
Marva de la Coudray (Head of Widening Participation)
Carol John (UCU Equality Rep and Leader of the BME Staff Group)
Sue Caro (Diversity & Inclusion Manager)
Adwoa Darko (SU Co-President – Activities & Events)
Zoe Davis (Student Disability Advisor)

In attendance:
Serena Yeo (Staff Learning & Development Officer)
Mark Harrison (Diversity & Inclusion Manager – Committee Secretary)
Jerry Smith (Governance & Project Officer – Minutes)
Sophie Harris (HR Diversity Advisor)
Albert Rose (Equality & Diversity Officer)

Apologies:
Professor Fareda Banda (Faculty of Law & Social Sciences)
Professor Friedericke Luepke (Faculty of Languages & Cultures)
Kevin Coutinho (Birkbeck – External Member)
Lutz Marten (Dean of the Faculty Language & Cultures)
Ayesha Abbasi (SU Co-President – Welfare and Campaigns)
Dr Somnath Batabyal (Faculty of Arts and Humanities)

The Chair welcomed all Members and attendees to the meeting

ED 16/17 2 A. Minutes of the last meeting
The minutes of the previous meeting were (with some minor amendments and acknowledgements) agreed as accurate.
ED 16/17 2 B. Action Points

• ED 16/17 1 D – Marva to follow up for next meeting
• ED 16/17 1 E – Carried forward to next meeting
• ED 16/17 1 E – Action completed and closed
• ED 16/17 1 F – Action in progress
• ED 16/17 1 G – This item is on the agenda (ED 16/17 2 H)
• ED 16/17 1 H – Action to be carried forward
• ED 16/17 1 I – Action to be carried forward
• ED 16/17 1 I – Action to be carried forward

ED 16/17 2 C. Matters arising/Matters for Report

There were no matters arising

ED 16/17 2 D. ED&I Action Plan Update

EDC noted the update on the Equality, Diversity and Inclusion Action Plan which was presented by the Diversity & Inclusion Manager (MH).

Mark gave a summary of the progress made to date (mainly green) and particularly highlighted the SU Degrees of Racism report and items 1.3, 5.2, 71, 7.32 & 9.1 from the table.

There followed discussion around action 13.2, what progress has been made?

Action: Richard Poulson to be asked to next meeting to give an update on item (Jerry Smith to contact Richard)

Marva then gave an update with regard to item 2.1: The HESA targets have been met and the Mentoring Schemes were being developed.

Chair asked for an update with regard to item 7.6? Albert Rose reported that item was still in progress. The Chair asked that this be a standing item on future agenda,

Action: Standing Item to be added to agenda on Female Academic Promotion (Mark Harris to ensure inclusion to Agenda)

ED 16/17 2 E. ED&I Training Review

EDC considered the recommendations in the ED&I training plan which was presented by the Diversity & Inclusion Manager (MH). Mark talked through the legal obligations and strategic commitments and then addressed the paper in full.

EDC accepted the recommendations within report and made the following comments:

1. Introduce elements of ED&I in to EB and BoT inductions
   a. There were no issues with this
   b. Also needs to be built in to academic leadership
2. E&D Overview training _ to be completed every 2 years
   a. This is a legislative requirement
   b. Needs to be an on-line resource
   c. Needs to be a refresher and not the whole course
   d. Issues around completion and making it mandatory
   e. How do we enforce this?
   f. Needs to be made relevant to staff
   g. Can we put staff experiences of the training on to My SOAS?
   h. We need to find other ways to deliver the training – team meetings etc
   i. Can we identify SOAS staff who could deliver the training?
   j. Can the training be built in to staff development
   k. Should this be made part of induction and/or probation
   l. How do we include staff who started prior to the introduction of E&D training?

3. Develop and offer tailored ‘Managing Diversity’ Training
   a. EDC requested more details with regard to this
   b. Should there be both initial and refresher training

4. Unconscious Bias training
   a. This addresses a range of issues
   b. This needs to be costed
   c. It will be a struggle to get people to attend
   d. We need to look at other ways to deliver – lectures, external trainers etc.
   e. It needs to be mandatory
   f. Should recruitment training need to be refreshed every 2-3 years and should UB be a module of this?

**Action:** A paper to be prepared for EB to include costings for initial and refresher training along with those for on-line and face to face training options.

**ED 16/17 2 F. Gender Reassignment and Trans Equality Policy**
The Gender Reassignment and Trans Equality Paper was presented by the Diversity & Inclusion Manager (MH).
The main points that the Diversity & Inclusion Manager wished to highlight were as follows:
- The consultation had taken place with a large range of people (comments are included in the report).
- That this is a practical policy.
- A more detailed version of the policy is required for HR Managers
- More work and resource will be required with regard to updating student’s records.

EDC approved the policy for submission to the Resource and Planning Committee

**ED 16/17 2 G. OFFA Access Agreement Monitoring Return 2015/16**
Marva explained the details of the OFFA return and obligations of the School which derived from it, she also explained the financial aspects.
Marva pointed out that the School did well on meeting the targets but that more work required in improving access, she also pointed out that the 18/19 agreement is due.

There were some questions around the figures on the return which Marva addressed.
EDC noted the OFFA Access Agreement Monitoring Return for 2015/16 which was presented by Marva de la Coudray

**ED 16/17 2 H. Family friendly Review 2016/17**
EDC received a proposal from Sophie Harris with regard to the Family Friendly Review and more specifically the Childcare Allowance and Out of Hours Care Allowance.

Albert Rose went through the details of the report and the 3 options that were being proposed. It was noted that UNISON had consulted with its members and was strongly against the childcare allowance being phased out – UNISON will provide details of their objections.

The Diversity and Inclusion Manager pointed out that Option 3 tied in Athena Swann accreditation.

EDC opted for recommendation 3: Retain the Childcare Allowance, until a 6-month review of our approach to family friendly policies is complete. In the meantime, pause a funding request for out of working hours care support and emergency care support.

**ED 16/17 2 I. Inclusive Teaching and Learning in HE as Route to Excellence.**
EDC discussed the paper: Inclusive Teaching and Learning in HE as Route to Excellence which was presented by Zoe Davis (Zoe highlighted Page 18 of report in particular).

There was group discussion and the following points/issues were raised:
- Where should this piece of work sit within the School?
- Who should be leading? This should be a senior staff member backed up by a committee
- Inclusivity – This should be looked at across the school
- This is a SU priority, especially with regard to the attainment gap
- There are lots of things happening with the School that need to be bought together under the Inclusivity umbrella.

Action: Marva to take to the next HoS (Academic Services Directorate) meeting and then report back to EDC

**ED 16/17 2 J. BME Mentoring Scheme**
EDC noted: A paper on the BME Mentoring Scheme from Ayesha Abbasi and Carol John
Carol John spoke to the report on the BME Mentoring Scheme.
The following comments and questions were raised:
- Where is the finance for this coming from (possible from OFFA funding)?
- How is success to be measured (this needs to be looked at)?
- Who will be taking this forward?
- An informal Contact will be required prior to commencement
- The hardest part will be matching mentors to mentees
- Are the correct students being targeted (there is less support for year 2 students that year 1 and 3, however year 1 has the largest drop out percentage)?
ED 16/17 2 K. Degrees of Racism/Attainment Gap
EDC received a verbal update from Chris Bramall on Degrees of Racism/Attainment Gap. The gap has not narrowed since the last report in 2015.

It was agreed that there was a need to set up a working group (approx. 15 people) that would need to meet 2 times per term.

The two elements of work to be:
1. SU Degree of Racism Report (The report on the attainment gaps by different groups is due at the end of February).
2. Biggest Gap - BME students (there are also gaps for women and disabled students).

Action: Working group to be set up to address the issues.

ED 16/17 2 L. Date of the next meeting

Date of the next meeting of EDC is Wednesday 17th May 2015
<table>
<thead>
<tr>
<th>Agenda No</th>
<th>Item</th>
<th>Action</th>
<th>Owner</th>
</tr>
</thead>
<tbody>
<tr>
<td>ED 16/17 1 D</td>
<td>Update on EDI Action Plan</td>
<td>Make contact with Colleen Amos</td>
<td>Marva de le Coudray</td>
</tr>
<tr>
<td>ED 16/17 1 E</td>
<td>E&amp;D KPIs</td>
<td>Information on what happens at promotion stage to be presented to the committee.</td>
<td>Sophie Harris</td>
</tr>
<tr>
<td>ED 16/17 1 F</td>
<td>Relocation Report</td>
<td>HR to report back to the Committee on how the relocation proposal was greeted by EB</td>
<td>Sophie Harris</td>
</tr>
<tr>
<td>ED 16/17 1 H</td>
<td>Flexible Seminar slots</td>
<td>Professor Lupke to discuss with Timetabling and report back to EDC</td>
<td>Fredericke Lupke</td>
</tr>
<tr>
<td>ED 16/17 1 I</td>
<td>Student Evaluations of Teaching (SET) and TEF</td>
<td>Report required on module evaluations to prove or disprove student bias</td>
<td>Chris Bramall/Ian Pickup</td>
</tr>
<tr>
<td>ED 16/17 1 I</td>
<td>Student Evaluations of Teaching (SET) and TEF</td>
<td>NSS report on Respondent Characteristics to come to EDC</td>
<td>Chris Bramall/Ian Pickup</td>
</tr>
<tr>
<td>ED 16/17 2 D</td>
<td>ED&amp;I Action Plan Update</td>
<td>Female Academic Promotion to be made a standing item on EDC agenda</td>
<td>Mark Harrison</td>
</tr>
<tr>
<td>ED 16/17 2 D</td>
<td>ED&amp;I Action Plan Update</td>
<td>Richard Poulson to be invited to next meeting to give an update</td>
<td>Jerry Smith</td>
</tr>
<tr>
<td>ED 16/17 2 E</td>
<td>ED&amp;I Training Review</td>
<td>Paper to EB on costings (initial and refresher – on-line and f2f)</td>
<td>Mark Harrison</td>
</tr>
<tr>
<td>ED 16/17 2 I</td>
<td>Inclusive Teaching &amp; Learning in HE as route to excellence</td>
<td>Take to HoS (Academic Services) and report back to EDC</td>
<td>Sophie Harris</td>
</tr>
<tr>
<td>ED 16/17 2 K</td>
<td>Degrees of Racism/Attainment Gap</td>
<td>Working Group to be set up to address the issues</td>
<td>Chris Bramall</td>
</tr>
</tbody>
</table>
These minutes are for information only. Any corrections to the minutes will be recorded in the minutes of the subsequent meeting of the committee.

SOAS
GOVERNANCE & NOMINATIONS COMMITTEE
Tuesday 30th January 2018

Members:
Baroness Valerie Amos
Sir Martin Harris (Chair)
Ms Marie Staunton (via phone)
Mr Kofi Adjepong-Boateng
Professor Deborah Johnston

Apologies:
Mr Andrew Popham
Ms Paula Sanderson

In attendance:
Dr Chris Ince
Miss Sally Priddle

The agenda items were not discussed in the order outlined on the agenda to ensure that Marie Staunton could contribute to key items. The items were discussed in the order recorded in the minutes.

Lay vacancies

Martin Harris left the room for this item.

The Committee agreed the decision to propose the reappointment Sir Martin Harris as Vice Chair of the Board of Trustees, to the next Board of Trustees Meeting.

Action: Submit the proposal to reappointment of Sir Martin Harris as the Vice Chair of the Board of Trustees, to the next Board of Trustees Meeting.

Lead Trustee model

The lead trustee model pilot was developed using evidence from other institutions. The model provides increased assurance on key issues however care was resigned to avoid a risk of the Board becoming too operational.

The committee agreed this model would develop how specific areas of the school were monitored. The pilot would be learning and teaching, international and research. It would also demonstrate how accountabilities of Trustees are recognised and met. The Committee raised concerns about the potential burden on the lead Trustees, and it was agreed that workload would be considered in the pilot’s evaluation.

The Committee approved the proposal to recommend the pilot to Trustees.
**Action:** The pilot will be reviewed in June, including feedback on the value and process from pro-directors and Trustees.

**Action:** Submit the Lead Trustee pilot proposal to Board of Trustees for approval.

### Committee Vacancies

**Committee Vacancies**

The Committee agreed to recommend the appointment of Sir Richard Stagg to Audit Committee.

**Action:** Submit the proposal to appoint Sir Richard Stagg to Audit Committee to the next Board of Trustees Meeting.

The Committee agreed to recommend the reappointment of Rozna Mortuza to Audit Committee, subject to her wish to continue as a co-opted member.

The Committee discussed the Investment Advisory Panel, the current vacancies and the Panel’s role. It was agreed that the Panel was not integral to the effective management of the School and the functions of the Panel could be continued and covered in other ways.

The majority of the functions would be covered by Resources and Planning Committee and the appointment of investment advisors would be undertaken by the Deputy COO (Resources and Planning; Honorary Treasurer and Lay Trustee, Kofi Adjepong-Boateng.

The Committee agreed to recommend the dissolution of the Investment Advisory Panel.

**Action:** Submit proposal to the Board to close the Investment Advisory Panel and outline how the functions would be covered by Resources and Planning Committee.

**Action:** Support the appointment of investment advisors.

### Minutes

**Minutes**

The minute of the meeting on 3rd November 2018 were approved as a true record.

**Actions**

Action point: GNC 17/18 1 J

The committee discussed the use of student handbooks and the implications of not having physical copies. The Director of Governance and Legal Services explained that the Code of Conduct is available online and when students register they confirm they have read it as part of the enrolment process. The Committee discussed the inconsistencies between departments in sharing and referring to the Code of Conduct. The Pro-Director (Learning and Teaching) outlined that it was essential that the Code of Conduct felt active to students and it governs how the School runs.

**Action:** Consider how the Code of Conduct can be improved and/or shared to feel active for students.

The committee agreed that all other action points were complete or covered within the agenda.
Matters arising

The committee noted the impact of UCU strikes and the potential implications for a number of committees.

Committee membership

Governance & Nominations Committee noted the lay membership across the various committees of the Board along with the tenure of membership.

Trustees engagement

The committee agreed that the engagement matrix would be amendment to reflect that Rozna Mortuza was on sabbatical throughout 2017 and therefore her absence was approved.

Governance & Nominations Committee noted the attendance of lay members at meetings during 2017 and made no recommendations.

Draft Trustees Code of Conduct

The committee agreed that the Code of Conduct needed to be brief but effective and clearly outline how the Trustees deliver on values aligned to the Students Charter. It was agreed that the Code of Conduct was required as soon as possible.

The committee agreed to endorse the Code of Conduct and recommend to the full Board. It was agreed that the document would be streamlined prior to submission to the Board.

Action: Streamline Trustees Code of Conduct prior to submission to the Board.

Governance Action Plan

The Director of Governance and Legal Services outlined that the governance action plan intended to address work not yet undertaken and expected upcoming challenges.

The Committee agreed that the review of the Trustee induction would include feedback from the recently inducted Trustees.

Action: Engage with recently inducted Trustees during the Trustee induction evaluation process.
## Action Points

<table>
<thead>
<tr>
<th>Minute</th>
<th>Action</th>
<th>Deadline</th>
<th>By</th>
</tr>
</thead>
<tbody>
<tr>
<td>GNC 17/18 1 I</td>
<td>Use maturity matrix to assess Board’s performance</td>
<td>September 2018</td>
<td>CI</td>
</tr>
<tr>
<td>GNC 17/18 2 D</td>
<td>Submit the proposal to reappointment of Sir Martin Harris as the Vice Chair of the Board of Trustees, to the next Board of Trustees Meeting.</td>
<td>April 2018</td>
<td>CI</td>
</tr>
<tr>
<td>GNC 17/18 2 H</td>
<td>The pilot will be reviewed in June, including feedback on the value and process from pro-directors and Trustees.</td>
<td>June 2018</td>
<td>CI</td>
</tr>
<tr>
<td>GNC 17/18 2 H</td>
<td>Submit the Lead Trustee pilot proposal to Board of Trustees for approval.</td>
<td>April 2018</td>
<td>CI</td>
</tr>
<tr>
<td>GNC 17/18 2 D</td>
<td>Submit the proposal to appoint Sir Richard Stagg to Audit Committee to the next Board of Trustees Meeting.</td>
<td>April 2018</td>
<td>CI</td>
</tr>
<tr>
<td>GNC 17/18 2 D</td>
<td>Submit proposal to the Board to close the Investment Advisory Panel and outline how the functions would be covered by Resources and Planning Committee.</td>
<td>April 2018</td>
<td>CI</td>
</tr>
<tr>
<td>GNC 17/18 2 D</td>
<td>Support the appointment of investment advisors.</td>
<td>March 2018</td>
<td>KA-B</td>
</tr>
<tr>
<td>GNC 17/18 2 B</td>
<td>Consider how the code of conduct can be improved and/or shared to feel active for students.</td>
<td>July 2018</td>
<td>DJ</td>
</tr>
<tr>
<td>GNC 17/18 2 G</td>
<td>Streamline Trustees Code of Conduct prior to submission to the Board.</td>
<td>April 2018</td>
<td>CI</td>
</tr>
<tr>
<td>GNC 17/18 2 I</td>
<td>Engage with recently inducted Trustees during the Trustee induction evaluation process.</td>
<td>March 2018</td>
<td>JS</td>
</tr>
</tbody>
</table>
## TRUSTEE CODE OF CONDUCT

**To approve** the attached Code of Conduct for all Trustees

### Executive Summary

The Board currently has some elements of a Code of Conduct across several Standing Orders or Board documents. The attached paper develops these further, with reference to the School’s Student Charter, and provides a single document for all Trustees to adopt.

### Recommendations & Next Steps

**To approve** and comment on the attached draft.

### Financial Impact

None

### Risks

None. The Code of Conduct should clarify and improve the operation of the Board.

### Equality implications

None

### Consultations

Considered at Governance and Nominations Committee on 30th January. The Code of Conduct was endorsed and recommended to the full Board. It was agreed that the document would be streamlined prior to submission to the Board. It was agreed that the guidance needed to be brief but effective and clearly outline how the Trustees deliver on values aligned to the Students Charter. It was agreed that the Code of Conduct was required as soon as possible.
SOAS Board of Trustees – Code of Conduct (Draft)

Introduction
This Code is intended as a guide for Trustees to indicate the standards of conduct and accountability which are expected of them. This will enable them to understand their legal and ethical duties, to assist them in carrying out their responsibilities and to support their relationship with the School.

This Code is intended to promote effective, well-informed and accountable governance, and is not intended to be a definitive or authoritative statement of the law.

In addition to this Code, those covered by the code are expected to be familiar with the following:

a) the School’s Charter, Articles & Standing Orders
b) the Statement of Primary Responsibilities of the Board
c) the School’s Vision & Strategy
d) the Memorandum of Assurance and Accountability with the Higher Education Funding Council
e) Associated documents indicated in this document, in particular the Higher Education Code of Governance published by the CUC.

Vision & Values
The SOAS’ core values underpin all its activities: https://www.soas.ac.uk/corevalues/

In addition, the Board subscribes to the seven Nolan Principles (https://www.gov.uk/government/publications/the-7-principles-of-public-life):

The School has also developed a Student Charter in conjunction with the staff and student bodies. The Board of Trustees will align its behaviours with this in the following ways:

<table>
<thead>
<tr>
<th>Student Charter</th>
<th>How the Board delivers</th>
</tr>
</thead>
<tbody>
<tr>
<td><a href="https://www.soas.ac.uk/about/studentcharter/">https://www.soas.ac.uk/about/studentcharter/</a></td>
<td>• All members comply with Respect at SOAS Policy</td>
</tr>
<tr>
<td></td>
<td>• Ensure fair and transparent recruitment of trustees</td>
</tr>
<tr>
<td></td>
<td>• Consideration of equality issues for all Board papers</td>
</tr>
<tr>
<td></td>
<td>• Code of Conduct for meetings at SOAS</td>
</tr>
<tr>
<td></td>
<td>• Stewardship of SOAS estate</td>
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</table>

<table>
<thead>
<tr>
<th>Respect</th>
<th>Informal meetings with academic departments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Treat all members of SOAS fairly and with dignity</td>
<td>• Detail consultation undertaken as part of any process, before a decision is made</td>
</tr>
<tr>
<td>2. Encourage diversity and promote equality</td>
<td>• Attend Graduation, lectures or institutional events – as time permits</td>
</tr>
<tr>
<td>3. Be punctual and reliable in attending meetings and classes, participate fully and support others in doing so</td>
<td>• Promote SOAS through own networks</td>
</tr>
<tr>
<td>4. Recognise the need for fairness and consistency</td>
<td></td>
</tr>
<tr>
<td>5. Use facilities sustainably and maintain them in good condition</td>
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</tr>
<tr>
<td>6. Be respectful, understanding and helpful in all interactions</td>
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</table>

<table>
<thead>
<tr>
<th>Engagement</th>
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</thead>
<tbody>
<tr>
<td>1. Seek excellence in research, teaching and learning</td>
<td></td>
</tr>
<tr>
<td>2. Participate fully as partners in a community of scholars and be guided by each other</td>
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</tr>
<tr>
<td>3. Make full use of mechanisms for representation and consultation in decision making and the development of SOAS</td>
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</tr>
<tr>
<td>4. Participate in the wider life of SOAS, such as social, cultural and political activities</td>
<td></td>
</tr>
<tr>
<td>5. Be aware of, and abide by, regulations, policies and procedures</td>
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</table>
Strategic objectives

Through its operations and discussions the Board will focus its discussions on the key themes in the School’s Vision & Strategy – Teaching & Learning, Research and International. These are underpinned by the enabling themes of People, Voice and Infrastructure.

Roles & responsibilities

Trustees have a range of obligations due to the School’s status as a charity, compliance with the CUC Code of Governance, legislation or other matters. The key responsibilities are:

- To act in good faith, in the best interests of SOAS, and to ensure assets used only for charitable purposes
- To act in the interests of the charity as a whole, and not as a representative of any particular sectoral interest
- To act impartially (avoid conflict of interest)
- To act collectively and achieve consensus
- Duty of care not to risk the School’s property or funds
- Standard of care – reasonably diligent person
- To act within powers
- To comply with legislation (expanded below)

<table>
<thead>
<tr>
<th>Equality</th>
<th>Employment</th>
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</thead>
<tbody>
<tr>
<td>Freedom of Information</td>
<td>Bribery</td>
</tr>
<tr>
<td>Freedom of Speech</td>
<td>Prevent</td>
</tr>
<tr>
<td>Data Protection</td>
<td>Students’ Union</td>
</tr>
<tr>
<td>Health and safety, including corporate manslaughter</td>
<td></td>
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</tbody>
</table>

• Act as leaders and exemplars in their behaviours
• Engage with the appraisal of Trustees and setting of individual goals
• Contribute to the overall setting of the strategic agenda for the Board
• Participate in School appeal panels
• Undertake additional training or take up development opportunities

• Regularly communicate the key matters or decisions from the Board and its committees
• Register of Interests
• Liaise with the governance team
Relationships & conflicts of interests

All Trustees are required to complete an annual declaration of any personal interests. This is done in line with the Standing Orders -
https://www.soas.ac.uk/admin/governance/standingorders/standingorderscorporategovernance/

The Board always has a formal item at the start of its agenda to remind members to declare any potential conflicts.

Confidentiality & transparency

The Board of Trustees conducts its business openly and the decisions of the board are made known through publication of its minutes and papers. The Chair of the Board and Director have particular responsibility for ensuring communication with staff, students and the public, although this is frequently delegated to senior members of staff in respect of communication with institutions and occasional in respect of public communication. Individual members of the board, in addition to observing the rules of confidentiality of debate, should avoid putting themselves in the position of seeming to act as a spokesperson for the Board without prior approval from the Chair of the Board.

Breach of Code

Standing Order XXIII includes the following on removing a Trustee from office:

4. Removal from Office
Under exceptional circumstances the Board of Trustees may decide to ask members to step down before the end of their term of office. If required a panel of two Trustees and an external member, chaired by the Chair or Vice-Chair, will be convened to review the matter and make a recommendation to the Governance & Nominations Committee and then to the Board of Trustees. This would normally occur when:

i. a serious conflict of interest occurs;
ii. a member is unable to reasonably carry out his/her duties.
iii. the conduct of a member is not in accordance with the criteria in section 2 of this Standing Order or is inconsistent, to a significant extent with the School's own policies and procedures such as the Respect at SOAS Policy.

With regard to ii) above, Governance & Nominations Committee will normally review all members’ attendance at meetings. Anyone who fails to attend more than a third of normally scheduled meetings over a two year rolling period, may be asked to stand down.

Where a member is asked to step down but refuses or does not respond to the request then the Governance & Nominations Committee will review the matter and, when necessary, make a recommendation for termination of their membership to the Board of Trustees.

Documents considered in preparing this Code:

- https://www.glyndwr.ac.uk/en/AboutGlyndwrUniversity/Governance/BoardofGovernors/CodeofConductforGovernors/
ACADEMIC BOARD
OPEN AGENDA

Friday 23rd March 2018 at 10am
(Conference Suite, Paul Webley Wing)

Minutes

Reserved minutes
The reserved minutes were agreed as an accurate record.

Open minutes
The open minutes were agreed as an accurate record with attendee amendments.

Action Points

Safeguarding Policy Implementation
The Safeguarding Working Group have been unable to meet however implementation has been initiated. A report on the implementation would be brought back to Academic Board once the Safeguarding Working Group had met.

Teaching Away Days Expectations
Teaching Away Days would be presented at LTQC on 24th April and would be brought to Academic Board following their input and approval.

Matters Arising/Matters for Report

The Board noted that Professor Nadje Al-Ali had been appointed as the Head of interdisciplinary studies; Professor Shane McCausland had been appointed as the Head of the School of Arts; Professor Alfredo Saad-Filho had been appointed as the Head of the Doctoral School.

The Board noted that Paul O’Connell had been appointed as the Associate Director for Research in the Social Sciences. An advert for Associate Director for Impact had gone out but no applications had been received and it would be published again.

Three of the existing ADLTs would be continuing in their roles. An Associate Director for Student Welfare had been offered but the recruitment process was not yet completed.

Research and Enterprise

School Research Centre Policy
Academic Board approved the School Research Centre Policy.

Research Impact update report
Academic Board noted that progress had been made since this report was produced and therefore some of the RAG ratings would be changed.
Academic Board noted that REF sub panels had been announced and 4 SOAS members of staff would be on the panels.

Academic Board noted the report and agreed that an impact report would be presented at every meeting.

**Action:** Research Impact Report to be provided at every Academic Board meeting.

**Report from Research and Enterprise Committee**

Academic Board noted the report.

**Academic Strategy and Key Performance Indicators**

Academic workload policy

Academic Board noted that the workload policy had been signed off by the workload allocation project board however would have to return to Academic Board once additional guidance on how research grants would impact departments had been added.

**Action:** Return amended Academic workload policy to Academic Board once additional guidance on how research grants would impact departments had been added.

Academic Board asked for clarity on who would see the workload allocations for each department. It was agreed that there needed to be increased transparency for staff and to decrease disparities between departments.

Academic Board asked whether there had been any indication from the soft launch of the programme as to its benefit. There had been a variety of feedback, including some extremely positive feedback on the benefit to the department.

Academic Board approved the policy.

**Languages Strategy**

The paper outlines the School’s approach to languages, the key issues to address and aligning the work to the School’s overall strategy.

The Board considered the reference to the number of languages taught at the School, the ongoing commitment this implies and how it aligns with the School wide work on resourcing and staffing of courses. The Board discussed whether this paper was being discussed prematurely given the size and shape work being undertaken.

The Board discussed the opportunities SOAS could undertake and agreed that the strategy needed to be clearer on how activities were going to be evaluated to identify what was working well and what could be tried in the future.

The Board discussed the need to review the School’s approach to languages including pedagogy and teaching hours. The SU representative shared that students would appreciate additional contact hours and reviewing the support within and outside the classroom to reduce the drop out rates in languages.

The Board agreed the strategy with the caveat that the overall School strategic objectives can
override the specifics in the strategy. The Board agreed that the strategy needs to be developed to outline clearer what actions would be implemented and when.

**OFFA Agreement and approval route (17/18)**
The OFFA Agreement had been developed through a working group that worked to Academic Development Committee and included representatives from the wider participation team, SU representatives, Deputy COOs. Every institution that charges over £6,000 fees would submit an agreement, outlining how the additional income is spent.

The working group had agreed that there would be a 3-5 year access and participation strategy agreed in partnership with the SU. The agreement had been developed based on data analysis and addressing the key issues highlighted. The data highlighted that the School are successful in increasing access for students from key groups but have been significant challenges in supporting these students to succeed in terms of drop out and end results. Substantial additional actions plans would be established in these areas. The data also showed that future employment and study was a priority area and required additional funding.

The working group had also agreed to review the processes for accessing student hardship funding and review the resources within the welfare services to ensure they would be best placed to support students.

The Board noted the contribution of SU Officers in supporting these conversations and identifying key priorities.

The Board discussed the need for increased, consistent and clear data. Data and strategies from across the School need to be aligned and monitored effectively. Improved engagement with the SU was also agreed to be a priority and an additional role would improve continuity between Sabbatical officers. The Board agreed that financial support to students should be maintained.

The Board agreed that the work required clear KPIs to measure impact, including reviewing attainment gaps and progression of students with different Characteristics. It was agreed that all posts would have an analysis remit that focused explicitly on what worked.

Action: Share Academic Board feedback on OFFA agreement with Wider Participation Team to feed into OFFA working group.

**Minutes from Senate (1st March 2018)**
Academic Board noted that the meeting was not quorate and the need to improve staff engagement.

The Board noted the paper.

**Area studies**
Conversations would continue to scope this work, aligned to other School wide projects including the offer of online degrees. It was agreed that student input would be beneficial to this project once a framework had been developed.

Academic Board noted the update.

**Two subject degrees**
A paper had been brought to a previous Academic Board proposing a change in the division of fees on two subject degrees, with the entire fee allocation going to the home departments. This proposal was not approved by Academic Board and returned to Academic Development Committee for further consideration. Academic Development Committee agreed that there would be no alternative proposals at this stage.

Academic Board noted the update.

**Teaching course metric**
Analysis of the teaching course metrics and threshold requirements has been undertaken, however due to committee schedules has not been discussed by LTQC yet. LTQC would review the metrics and would present a paper at the next Academic Board.

Academic Board noted the update.

**People and Change**

**Revised academic committees and terms of reference and proposal for committee induction**

The terms of reference for the new academic committee structure have been developed through a working group, consideration at Academic Development Committee and Academic Board and amendments by the Quality Assurance and Governance teams. The terms of reference aim to better support academic governance and decision making.

The Board discussed the size of the membership and the next steps for implementation next year. It was agreed that it would be beneficial to have additional detail on the responsibilities delegated to departments in the new structure.

The Board discussed the Student Experience and Enterprise Committee and how it would report to Academic Board whilst contributing to the Resources and Planning agenda. It was agreed that the Committee would mirror the procedures implemented by Research and Enterprise Committee.

The Board discussed how an induction for the committees this academic year would support the new committees’ understanding of their roles and responsibilities.

The Board agreed to recommend the addition of the Head of the Languages Centre to the membership of Academic Board.

**Action:** Submit recommendation of addition of the Head of the Languages Centre to the membership of Academic Board to the Board of Trustees.

The Board approved the revised terms of references.

The Board approved the additional members proposed by Academic Board.

The Board approved the proposal for a summer induction for the new committees.

**Action:** Heads of Department to confirm Academic Committee nominations to attend summer induction for the new committees.
<table>
<thead>
<tr>
<th>Item</th>
<th>Action Detail</th>
<th>When?</th>
<th>By?</th>
<th>Update</th>
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</thead>
<tbody>
<tr>
<td>AB 17/18 1 G - Student Safeguarding Policy</td>
<td>Report on implementation of Policy</td>
<td>6/6/18</td>
<td>IP</td>
<td></td>
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<tr>
<td><strong>31st January 2018</strong></td>
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<tr>
<td>AB 2017/18 3 G Decolonisation project plan</td>
<td>Identify and facilitate an appropriate platform to discuss decolonisation more widely.</td>
<td>6/6/18</td>
<td>MS</td>
<td></td>
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<td><strong>23rd March 2018</strong></td>
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<tr>
<td>AB 2017/18 4 D Research Impact update report</td>
<td>Research Impact Report to be provided at every Academic Board meeting.</td>
<td>6/6/18</td>
<td>MC</td>
<td></td>
</tr>
<tr>
<td>AB 2017/18 4 F Revised academic committees and terms of reference and proposal for committee induction</td>
<td>Submit recommendation of addition of the Head of the Languages Centre to the membership of Academic Board to the Board of Trustees.</td>
<td>July 2018</td>
<td>SP</td>
<td></td>
</tr>
<tr>
<td>Revised academic committees and terms of reference and proposal for committee induction</td>
<td>Heads of Department to confirm Academic Committee nominations to attend summer induction for the new committees.</td>
<td>6/6/18</td>
<td>Heads of induction</td>
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</tr>
</tbody>
</table>
These minutes are for information only. Any corrections to the minutes will be recorded in the minutes of the subsequent meeting of the committee.

SOAS, University of London

AUDIT COMMITTEE

Thursday 8th February 2018 at 10.00am (Room 115, SOAS)

MINUTES

Members: Mr Andrew Popham (Chair)
Mr Steve Tinton
Ms Rosna Mortuza
Mr Geoffrey Robertson
Sir Richard Stagg (via Phone)

Apologies: Mr James Aston (BDO – External Auditors)
Ms Paula Sanderson

In attendance: Baroness Valerie Amos (Director)
Dr Ian Pickup (Deputy COO, Student and Academic Experience)
Mr Graeme Appleby (Deputy COO, Resources & Planning)
Dr Chris Ince (Director of Governance & Legal Services)
Mr Neil Thomas (KPMG – Internal Auditors)
Miss Sally Priddle (Governance and Risk Officer)

Item AC 17/18 3 G was discussed prior to other items on the agenda.

Deep dive: Student welfare and the student journey AC 17/18 3 G

The Deputy COO (Student & Academic Experience) outlined that the student journey encompassed marketing; recruitment; widening participation; outcomes- both personal and professional; student advice and well-being; specialist and pastoral support and registry. The work focused on the students; assessing how they engaged with services, faculty staff and their progress through the student journey. However, it also focused on the wider elements including where students live, their commute, financial matters, visa requirements, work outside of studies and building a sense of belonging at SOAS.

The number of student services had increased over time, however, there had been criticism that the services were not sufficiently connected. The restructure had offered the chance to develop a seamless journey and experience for students. The structure aligns with the overall school strategy and links to outcomes and learning and teaching.

An extended consultation was been undertaken. The consultation had raised a number of issues but was meaningful and had resulted in a number of changes to the original proposal.
The next steps would be to develop the detail of what each team required including systems and processes. The focus would be on improving alignment and standardisation of departments to ensure consistent quality of support and responses to students.

The Committee discussed how support could be standardised when individual departments were responsible for harnessing and fostering students’ experience and connecting with the widening experience and what was the ‘dotted line’ between the experiences that needed to be worked on. There needed to be improved clarity on where students received support from for particular issues, consistency of guidance from personal advisors and improvements in the opportunities to pick up challenges at an early stage.

There had been a positive societal change in the profile of mental health and this has impacted the sector. There had been an increased demand for student mental health support. Currently 872 students had a declared disability which was up 15% from last academic session and 25% of students had a mental health disability. This had resulted in increased demand for counselling services, which had not grown in line with the demand. There was a waiting list for services but the school was meeting its 18 days support timeframe, triage sessions were used to support where appropriate. The Committee considered whether the School was doing everything to prevent or mitigate the circumstances that drive students to counselling and had any underlying issues been identified. There was an increase in people declaring issues and talking about it which in part had resulted in the increase in request for services. The School was responding to the challenge through assessment panels, evaluating the support and care and focusing on how students cope with situations and their resilience. The support had gone beyond just an academic challenge to a complex student journey where students cannot cope; the School need to empower them to cope, offer resilience solution and ensure preparation for employment.

The Director outlined that there was a cultural dimension to this discussion. The School needed to understand and assess the cultural norms for students. These norms would impact on students’ willingness to access support. The Committed noted it was important to align with those of the SU and as the Union was separate to the university environment as it would enable some students to feel able to discuss different issues. However, there was a need to further develop the working network between the School and the SU to support students. Despite a number of challenges the School did work with the SU and the SU’s welfare support had a strong relationship with the School’s team.

The Committee discussed how the School engaged with the NHS to ensure students received appropriate professional support and ensured that all international students understood how to access local services. There was a heightened expectation amongst students about the support they receive from the School. The School needed to focus on resilience and ensure that departments were working effectively to develop and support this in staff and students.

The Committee noted that the School did not have records on student suicide rates however, each incident was investigated, where appropriate. No suicide incidents had been linked to the School but had resulted from personal circumstances. The School’s Registrar
would be the formal link with the external authorities, however cases tend to be reported at a departmental level.

The Deputy COO (Student Academic and Experience) outlined the risks and links with the School’s strategy, attracting and retaining students and ensuring they go on to do great things in the world. Success would be an improved discussion on student experience and a collective notion of what it is.

The internal audit on this area had not been scoped yet but the discussion had been useful background. The audit would cover the work of the School and the SU. It was agreed that the timing of the audit was key to ensure the right people were in post and the process aligned with other planned reviews.

Minutes

The committee welcomed Richard Stagg to the Audit Committee.

The Committee approved the minutes of the meeting held on 10th November 2017 as a true record.

Action Points

The Committee agreed that all actions were covered within the agenda.

Matters Arising/Matters to Report

There were no matters arising to report.

Risk register and risk exemplar

The governance team had reviewed the risk register to improve alignment with the School’s strategy and ensure that the strategy drives the immediate and long term risk planning. It had also undertaken an analysis of the risks identified by Trustees and the influencing factors to ensure that they were covered and/or monitored through the strategy; this analysis will be returned to every two years to ensure that they continue to be mitigated and/or monitored. The SOAS Voice strand remained the least developed as a result of gaps in senior management. Committees would receive a snapshot report demonstrating the progress against milestones and any risks where sufficient progress is not being made.

The Committee discussed how the risk register could combine the long term and short term risks and whether the School’s appetite for risk had been discussed and agreed. It noted that there had not been a specific discussion around the School’s risk appetite but the risk management policy outlined the School’s overall approach. If requested the appetite would be discussed at Board of Trustees.
A driving factor for the revision was to improve user friendliness and ensure risk assessment was embedded throughout the School; this model enabled this by aligning it closely with the strategy.

The Committee agreed that qualitative feedback would also be collected to assess the effectiveness of the risk assessment. The Committee agreed that the appropriate strand and risk assessments would be tabled at the relevant committee to increase engagement with the risk register.

The Committee agreed an overview document was required to report to Board of Trustees.

**Action:** Share the exemplar risk register summary.

**Action:** Develop overview document to report to Board of Trustees.

The Committee agreed the revised risk register proposal.

### Internal Audit Report: Immigration Controls

The audit was undertaken by specialist solicitors and included a review of Tier 4, Tier 2 and Tier 5 policies, compliance and audit of files. The report outlined a series of recommendations focused on attendance monitoring. The recommendations had been shared with the Tier 4 compliance manager and adequate responses received.

The Committee agreed that the first read through of the report raised concerns about the potential for the School to lose its ability to sponsor visas, which would threaten the sustainability of the School. The reviews were undertaken from November to March so the School’s review was early and the comparative data was not yet available. KPMG explained that the current system is compliant. The Committee agreed that an improved system would support the welfare and tracking of vulnerable students.

The Committee agreed concerns remained around implementing an attendance system that supported the School and students without a negative response. The Committee agreed that the Head of the Doctoral School would be asked to consider how an attendance system would be implemented to support PhD students.

**Action:** Ask the Head of the Doctoral School to consider how an attendance system would be implemented to support PhD students.

**Action:** Circulate the Internal Auditor invoice and time breakdown.

### Internal Audit Progress Report and Recommendation tracker

KPMG tabled a Prevent Report in the meeting which was discussed alongside this item.

The core financial systems report would be sent to the financial team week commencing 12th February 2018. A plan to undertake the Charities requirements review had been developed in the absence of the Registrar.
The Committee asked for the internal auditors to review the REF. NA explained that the review needed to be scoped to ensure the outcome would align with the Committee’s expectations. The review would be in addition to the current programme.

**Action:** Scope the REF review and return a costed proposal to the Committee.

The Committee agreed that the critical IT system updates were being undertaken however the strategic recommendations would not be completed until the Chief Information Officer was recruited.

**Prevent report**
The School complied with the legislation however, it needed to demonstrate to HEFCE that its policies and procedure were being implemented.

The Committee noted that there were 3 levels of assurance: policies and procedure; management assurances and audit. If undertaken, the audit would be added to the existing programme.

The Committee discussed the School’s response to HEFCE and the assurances outlined.

The Committee agreed to undertake the additional audit to ensure the assurances within the HEFCE response are delivered.

**Action:** Agree remit and timeframe for the Prevent audit.

The Director reported that professors and PhD students had provided oral evidence at the Joint Committee on Human Rights and discussed the Prevent Duty and what it meant for SOAS; this had received positive media coverage.

**Higher Education Students Early Statistics Survey 2017-18 Audit Report**

The report outlined the estimated student numbers for the academic session. HEFCE would compare the HESES statistics with the HESA post year end return data, a high number of discrepancies would result in an increased likelihood of an audit. The grant projections feed into the grant letter.

The information within the report was updated to reflect the previous actuals. The information would always be estimations because the number of student non-continuations had to be estimated.

**Update on academic departments**

The Director reported that the academic structure was now in place, there were 11 new schools and a representative for each sits on Executive Board. Each school or department has a partner for finance and planning which had increased departmental engagement with finances and student number planning.
The planning team was supporting heads to analyse and utilise their data. The structure would be same as the structure of the strategy on a page and the monitoring processes would be the same.

Management information would be a deep dive topic for later in the year. The Committee agreed it would be beneficial to understand how management information was disseminated throughout departments and how staff engaged with it. The Committee agreed that it would be beneficial for a number of heads of department to attend a future Audit Committee to share best practice and understand the challenge of the committee.

**Action:** Arrange for heads of departments to attend Audit Committee as part of the deep dive.

**Committee terms of reference**

The Committee agreed that the terms of reference should include reference to the Committee size being between 3 and 5 people and that meetings with the auditors were periodic.

**Action:** Ensure the Committee’s feedback is built into the terms of reference prior to submission to the Board.

**Action:** Submit Audit Committee terms of reference for approval.

**School policies**

A full list of School policies had been collated and prioritised. A clear schedule for updating policies and ensuring alignment of policies would be presented to the Committee at a future meeting.

**Action:** Present policy matrix to future Audit Committee.

**US Student Loans – SOAS Compliance Audit 2015-16**

The Committee noted the US Student Loans – SOAS Compliance Audit 2015-16.

<table>
<thead>
<tr>
<th>Minute</th>
<th>Action Detail</th>
<th>By</th>
<th>Person</th>
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<tbody>
<tr>
<td>6 October 2016</td>
<td>Internal Audit Report: Library Services</td>
<td></td>
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<tr>
<td>AC 16/17 1 F</td>
<td>The timescales for taking action would be 12 months from the submission of the response to the report and the recommendations timescales would be updated accordingly.</td>
<td>February 2018</td>
<td>KPMG/ Head of Library</td>
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<tr>
<td>9 November 2017</td>
<td></td>
<td></td>
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<tr>
<td>8 February 2018</td>
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<tr>
<td>Deep dive: Student welfare and the student journey</td>
<td>Formalise link role with the local coroner.</td>
<td>May 2018</td>
<td>IP</td>
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<tr>
<td>17/18 3 G</td>
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<tr>
<td>Risk register and risk exemplar</td>
<td>Share the exemplar risk register summary.</td>
<td>February 2018</td>
<td>NA</td>
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<tr>
<td>17/18 3 D</td>
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<tr>
<td>Risk register and risk exemplar</td>
<td>Develop overview document to report to Board of Trustees.</td>
<td>May 2018</td>
<td>SP</td>
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<tr>
<td>17/18 3 D</td>
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<tr>
<td>Internal Audit Report: Immigration Controls</td>
<td>Ask the Head of the Doctoral School to consider how an attendance system would be</td>
<td>May 2018</td>
<td>VA/CI</td>
</tr>
<tr>
<td>17/18 3 E</td>
<td>implemented to support PhD students.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Internal Audit Report: Immigration Controls</td>
<td>Circulate the Internal Auditor invoice and time breakdown.</td>
<td>May 2018</td>
<td>CI</td>
</tr>
<tr>
<td>17/18 3 E</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Internal Audit Progress Report and Recommendation tracker</td>
<td>Scope the REF review and return a costed proposal to the Committee.</td>
<td>May 2018</td>
<td>NA</td>
</tr>
<tr>
<td>17/18 3 F</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Internal Audit Progress Report and Recommendation tracker</td>
<td>Agree remit and timeframe for the Prevent audit.</td>
<td>March 2018</td>
<td>NA/CI</td>
</tr>
<tr>
<td>Prevent report</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17/18 3 F</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Update on department</td>
<td>Arrange for heads of departments to attend Audit Committee as part of the deep dive.</td>
<td>September 2018</td>
<td>CI/SP</td>
</tr>
<tr>
<td>Committee terms of reference</td>
<td>Ensure the Committee’s feedback is built into the terms of reference prior to submission to the Board.</td>
<td>April 2018</td>
<td>CI</td>
</tr>
<tr>
<td>-------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>-----------</td>
<td>----</td>
</tr>
<tr>
<td>Committee terms of reference</td>
<td>Submit Audit Committee terms of reference for approval.</td>
<td>April 2018</td>
<td>CI</td>
</tr>
<tr>
<td>School policies</td>
<td>Present policy matrix to future Audit Committee.</td>
<td>May 2018</td>
<td>SP</td>
</tr>
</tbody>
</table>
SOAS, UNIVERSITY OF LONDON

ESTATES & IT GOVERNANCE DEVELOPMENT BOARD
Tuesday 16 January 2018

MINUTES

Members: Steve Tinton (Chair)
Graeme Appleby
Mehdi Baraka
Dr Nathan Hill
Prof Chris Bramall
Prof Deborah Johnston
Martin Whiteside
Francine Hill (Secretary)

In attendance: Rychard Scrase-Field

Apologies: Non

<table>
<thead>
<tr>
<th>Minute</th>
<th>Item</th>
<th>Note</th>
<th>By</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>23</td>
<td>Minutes</td>
<td>The minutes of the EDB meeting held on 21 Nov 2017 were approved as a true record.</td>
<td></td>
<td>-</td>
</tr>
<tr>
<td>24</td>
<td>Action Points</td>
<td>notes attached on 2.2 &amp; 19.1</td>
<td></td>
<td>-</td>
</tr>
<tr>
<td>25</td>
<td>Matters Arising</td>
<td>2.2 On generation of forward Maintenance plan, requirement to include KPIs to allow reporting to E&amp;IT was required. No updates from previous action points provided, due to time constraints agenda prioritised.</td>
<td>RSF</td>
<td>21/03/18</td>
</tr>
<tr>
<td>26</td>
<td>Space requirements</td>
<td>The Board discussed the initial outputs from the space consultation. Aim of the consultation was questioned - The outcomes of space consultation would be presented to E&amp;IT for prioritisation and this would be used to</td>
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<tr>
<td>Minute</td>
<td>Item</td>
<td>Note</td>
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<td></td>
<td></td>
<td><strong>generate the capital side of the estate strategy.</strong></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td><strong>.1 it was agreed</strong> consultation would be completed by March 2018 and Information reviewed highlighting potential conflicts.**</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>.2 It was confirmed both the SU and Estates studies showed the need to provide space for students who commute. Type of self-study space to be further defined.</strong></td>
<td></td>
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</tr>
<tr>
<td></td>
<td></td>
<td><strong>.3 it was Requested any space analysis take into account the need for office space in line with the 1PS and academic reorganisation.</strong></td>
<td></td>
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</tr>
<tr>
<td></td>
<td></td>
<td><strong>.4 Use of SOAS space by non SOAS members was highlighted as a concern. It was agreed SOAS should define some spaces as SOAS only, but this means spaces may be swipe access.</strong></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td><strong>.5 It was agreed that no spaces, should excluded in the review / estates strategy when moving forward.</strong></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td><strong>.6 Discussion on working from home patterns in PS. Should desk provision be at 100%</strong></td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>27</th>
<th>Capital Projects</th>
<th><strong>Student Union</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td><strong>.1 SU have completed their brief on space needs and issued to Estates on 16/01/16. It is agreed Estates will work with SU to generate a response.</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>.2 The Committee asks to be reassured that the SU space complies with all wider School, H&amp;S requirements. If it does not comply, an action plan is to be agreed to ensure compliance can occur.</strong></td>
</tr>
</tbody>
</table>

**Brunei – HEFCE funding**
Brief update provided. EB approved plans to carry out the works in the Brunei building on the 15/01/18

**.3 Concern raised that is the project doing enough to be considered a Languages project.**

**.4 It was agreed, that the loss of the catering kitchen in the Brunei would not impact on the Catering wider conversations, as it was loss of a back of house facility linked to conferencing which was no longer active, not a service**
<table>
<thead>
<tr>
<th>Minute</th>
<th>Item</th>
<th>Note</th>
<th>By</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>28</td>
<td>IT Update</td>
<td>Discussion on IT policy led by MW, on length and tone of proposed documents, Positive response provided</td>
<td>MW</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>.1 Discussed Certain elements within the policy needed more detail e.g procurement, this could be addressed with a clear link in the policy document to a flow chart or similar that sits alongside the core document.</td>
<td>MW</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>.2 The document was requested to clarify what items stood outside of a core policy, e.g cyber-attacks potential linked to research type, where actions stood outside policy, it was requested a clarity who queries should be directed at e.g Director of IT</td>
<td>MW</td>
<td></td>
</tr>
<tr>
<td>29</td>
<td>Senate House 4Q Update</td>
<td>Update to be provided at next E&amp;IT meeting, post conversations with UoL over following weeks.</td>
<td>FH/ST/GA</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>.1 Agreed if UoL move forward with proposal SOAS need to be part of the development process.</td>
<td>FH/ST/GA</td>
<td></td>
</tr>
<tr>
<td>30</td>
<td>Catering – Short term arrangements</td>
<td>Brief update provided on current catering financial situation and actions being taken to try to improve the offer e.g more reactive menu setting.</td>
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</tr>
<tr>
<td></td>
<td></td>
<td>.1 Confirmation that within the current catering contract, the risk sits with SOAS, which is predicted to be in the region of £300k this financial year.</td>
<td>-</td>
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</tr>
<tr>
<td></td>
<td></td>
<td>.2 it was agreed that in the short term, although changes were needed, no drastic change could take place outside of the catering consultation process.</td>
<td>-</td>
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<tr>
<td></td>
<td></td>
<td>.3 The paper provided to this group would go to EB and the self-delivery project board.</td>
<td>RSF</td>
<td></td>
</tr>
<tr>
<td>31</td>
<td>E&amp;IT Governance Development board Future reporting</td>
<td>Discussion on Strategy on a page, target setting and monitoring and how this will be reported to the E&amp;IT committee. Review of how to convert Strategy on a Page into strategic plan.</td>
<td>MW</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>.1 Agreed strategy support document, prioritisation of PIs and targets to be developed.</td>
<td>MW</td>
<td></td>
</tr>
</tbody>
</table>
2 IT to develop their version of the Strategy on a page, supporting document.

32 Any other Business

Next meeting to be re-scheduled to attempt to be in advance of R&P

FH 01/02/18

SOAS, UNIVERSITY OF LONDON

ESTATES & IT GOVERNANCE DEVELOPMENT BOARD

Tue 21 Nov 2017

ACTIONS

<table>
<thead>
<tr>
<th>Minute</th>
<th>Item</th>
<th>Action</th>
<th>By</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.2</td>
<td>Matters Arising</td>
<td>Update Forward Maintenance Plan to reflect improvements and the current condition of the estate</td>
<td>RP</td>
<td>Closed Notes provided</td>
</tr>
<tr>
<td>3.1</td>
<td>Terms of Reference</td>
<td>Scope of IT coverage should be reviewed and strengthened.</td>
<td>MW</td>
<td>16/01/2018</td>
</tr>
<tr>
<td>3.4</td>
<td>Terms of Reference</td>
<td>Governance Tree included within updated Terms of Reference</td>
<td>PS</td>
<td>Notes provided</td>
</tr>
<tr>
<td>6.2</td>
<td>Philips Building</td>
<td>Provide further updates on the review of emergency evacuation systems, processes and procedures.</td>
<td>RP/FH</td>
<td>On going</td>
</tr>
<tr>
<td>15.1</td>
<td>Space Requirements</td>
<td>Identify immediate and future concepts for the space requirements.</td>
<td>FH</td>
<td>Update provided</td>
</tr>
<tr>
<td>15.2</td>
<td>Space Requirements</td>
<td>Contact academic Heads of Department to consult on immediate and medium term space needs.</td>
<td>FH</td>
<td>Closed</td>
</tr>
<tr>
<td>16.1</td>
<td>Capital Projects</td>
<td>Refurbishment to the Foyer to be reprogrammed to Easter 2018</td>
<td>FH</td>
<td>Closed</td>
</tr>
<tr>
<td>Minute</td>
<td>Item</td>
<td>Action</td>
<td>By</td>
<td>Deadline</td>
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</tr>
<tr>
<td>16.2</td>
<td>Capital Projects</td>
<td>Refurbishment of the student space in the College Buildings to be reprogrammed to Easter 2018</td>
<td>FH</td>
<td>Closed</td>
</tr>
<tr>
<td>16.3</td>
<td>Capital Projects</td>
<td>Update on the Post Occupancy Evaluation of the PWW</td>
<td>FH</td>
<td>16/01/2018</td>
</tr>
<tr>
<td>17.1</td>
<td>Capital Projects (IT systems)</td>
<td>Update on the procurement processes would begin in January 2018.</td>
<td>MW</td>
<td>Closed</td>
</tr>
<tr>
<td>18.3</td>
<td>Senate House 4Q</td>
<td>Establish date for meeting with the UoL.</td>
<td>RP</td>
<td>Closed</td>
</tr>
<tr>
<td>18.4</td>
<td>Senate House 4Q</td>
<td>Update on proposed meeting with UoL and other colleges in February 2018.</td>
<td>FH</td>
<td>Closed</td>
</tr>
<tr>
<td>19.1</td>
<td>Vernon Square</td>
<td>Provide an update on the Vernon Square disposal process.</td>
<td>RP</td>
<td>Note Provided</td>
</tr>
<tr>
<td>19.3</td>
<td>Vernon Square</td>
<td>Report NPV to EB, R&amp;PC and BoT.</td>
<td>GA</td>
<td>Closed</td>
</tr>
<tr>
<td>19.4</td>
<td>Vernon Square</td>
<td>Develop negotiations for the rental of Vernon Square.</td>
<td>RP</td>
<td>Closed</td>
</tr>
<tr>
<td>20.2</td>
<td>Property Valuations</td>
<td>Report the outcome of the property valuation process to R&amp;PC.</td>
<td>GA/FH</td>
<td>Closed</td>
</tr>
<tr>
<td>21.3</td>
<td>Student Accommodation Working Group</td>
<td>Identify appropriate reporting line for the Student Accommodation Working Group</td>
<td>RP</td>
<td>16/01/2018</td>
</tr>
<tr>
<td>22.3</td>
<td>Carbon Management Plan</td>
<td>Provide further details of project specification for the revised Carbon Management plan</td>
<td>FH/SMcK</td>
<td>16/01/2018</td>
</tr>
<tr>
<td>22.4</td>
<td>Carbon Management Plan</td>
<td>Update Governance section of the revised Carbon Management Plan</td>
<td>FH/SMcK</td>
<td>16/01/2018</td>
</tr>
<tr>
<td>22.5</td>
<td>Carbon Management Plan</td>
<td>Internal communications on the progress with the carbon Management Plan.</td>
<td>FH/SMcK</td>
<td>16/01/2018</td>
</tr>
</tbody>
</table>

**ESTATES & IT GOVERNANCE DEVELOPMENT BOARD**  
**Tue16 Jan 2017**

**ACTIONS**

<table>
<thead>
<tr>
<th>Minute</th>
<th>Item</th>
<th>Action</th>
<th>By</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>26</td>
<td>Space requirements</td>
<td>Review to be undertaken, if it is possible to assess, how many non SOAS people, use SOAS facilities.</td>
<td>FH/RSF</td>
<td>21/03/18</td>
</tr>
<tr>
<td>26</td>
<td>Space requirements</td>
<td>Review to be undertaken of current use of the PC labs in the Research block.</td>
<td>FH/MW</td>
<td>21/03/18</td>
</tr>
<tr>
<td>Minute</td>
<td>Item</td>
<td>Action</td>
<td>By</td>
<td>Deadline</td>
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</tr>
<tr>
<td>27</td>
<td>Capital projects</td>
<td>Review to be undertaken of SU in relation to H&amp;S and compliance.</td>
<td>RSF</td>
<td>21/03/18</td>
</tr>
<tr>
<td>28</td>
<td>IT Update</td>
<td>IT – Final policy document to be presented to EB for Sign off.</td>
<td>MW</td>
<td>21/03/18</td>
</tr>
<tr>
<td>28</td>
<td>IT Update</td>
<td>Final iteration of IT policy to be broken down into bite sized exerts and easy to accessed and use on mySOAS</td>
<td>MW</td>
<td>21/05/18</td>
</tr>
<tr>
<td>28</td>
<td>IT Update</td>
<td>IT to confirm understanding and acceptance of Risk, if alumni and similar maintain SOAS email accounts.</td>
<td>MW</td>
<td>21/05/18</td>
</tr>
<tr>
<td>28</td>
<td>IT Update</td>
<td>IT to review below line from email policy (page 3) if it is still suitable. it is not derogatory about strategic and management decisions</td>
<td>MW</td>
<td>21/03/18</td>
</tr>
</tbody>
</table>
Action Points: Minute 2.2 Building Condition and the Forward Maintenance Plan

A proposal for renewing the Forward Maintenance Plan have been obtained from Faithful & Gould.

Key points are summarised in the table below

<table>
<thead>
<tr>
<th>Role</th>
<th>Members</th>
</tr>
</thead>
<tbody>
<tr>
<td>Building Condition</td>
<td>We are required by HESA to retune up-to-date information on the condition of the estate on a building by building basis. HESA require that for the data to be considered accurate it should be supported by full condition surveys carried out by appropriately qualified professionals on a five-year cycle. Interim data should be supported by audit. Our existing surveys fall within this bracket (undertaken and reported in 2014) however there has been substantial changes to the estate (improvement projects and the addition of the PWW) and it had been anticipated that these would be renewed following the refurbishments to the Philips Building.</td>
</tr>
<tr>
<td>Condition C and D</td>
<td>We are required to report an up-to-date cost for refurbishing or replacing build assets currently in survey condition C and D. A calculation of sustainability is determined from the relationship between the cost of repair and cost of rebuilding costs (Insurance Replacement Value). These costs are an indication of the health of the institution – if the cost of repair is high it can suggest a level of under-investment or an inability to afford essential repairs.</td>
</tr>
</tbody>
</table>
| Current situation     | Provision will need to be made for a full condition survey during 2019. These figures are likely to be in the region £60,000 to £70,000 plus VAT for the entire estate.  
Costs for this exercise have been sought and will be advised during the 2017-18 academic session. An interim option was considered, but as this depended a level of validation the costs, which approached £40,000 plus VAT were not considered to represent good value as they would not remove the need to refresh the data for the estate. |

Richard Poulson  
Estates Consultant  
16/01/2018
<table>
<thead>
<tr>
<th></th>
<th>September 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wed</td>
<td>19 15.00 – 18.30 Board of Trustees</td>
</tr>
<tr>
<td>Mon</td>
<td>24 Term 1 begins</td>
</tr>
<tr>
<td></td>
<td><strong>October 2018</strong></td>
</tr>
<tr>
<td>Tue</td>
<td>9 14.30 – 17.00 Resources &amp; Planning Committee</td>
</tr>
<tr>
<td>Thu</td>
<td>11 10.00 – 12.00 Audit Committee</td>
</tr>
<tr>
<td>Mon</td>
<td>15 09:00 – 11:00 Estates &amp; IT Governance Development Board</td>
</tr>
<tr>
<td>Wed</td>
<td>31 14.00 – 16.00 Academic Board (Committee Rm, PWW)</td>
</tr>
<tr>
<td></td>
<td><strong>November 2018</strong></td>
</tr>
<tr>
<td>Thu</td>
<td>1 09:00 – 10.00 Governance &amp; Nominations</td>
</tr>
<tr>
<td></td>
<td>10.00 – 11.00 Honorary Degrees &amp; Fellowships</td>
</tr>
<tr>
<td>Tue</td>
<td>6 10.00 – 12.00 Audit Committee</td>
</tr>
<tr>
<td>Thu</td>
<td>15 14.30 – 17.00 Resources &amp; Planning Committee</td>
</tr>
<tr>
<td>Tue</td>
<td>20 14.00 – 16.00 Estates &amp; IT Governance Development Board</td>
</tr>
<tr>
<td>Tue</td>
<td>27 15.00 – 18.30 Board of Trustees</td>
</tr>
<tr>
<td></td>
<td><strong>December 2018</strong></td>
</tr>
<tr>
<td>Wed</td>
<td>12 14.00 – 16.00 Academic Board</td>
</tr>
<tr>
<td></td>
<td><strong>January 2019</strong></td>
</tr>
<tr>
<td>Mon</td>
<td>7 Term 2 begins</td>
</tr>
<tr>
<td>Tue</td>
<td>15 14.00 – 16.00 Estates &amp; IT Governance Development Board</td>
</tr>
<tr>
<td>Tue</td>
<td>29 09.00 – 10.00 Governance &amp; Nominations Committee</td>
</tr>
<tr>
<td></td>
<td>10.00 – 11.00 Honorary Degrees &amp; Fellowships Committee</td>
</tr>
<tr>
<td>Wed</td>
<td>30 14.00 – 16.00 Academic Board</td>
</tr>
<tr>
<td>Month</td>
<td>Date</td>
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<tr>
<td>February 2019</td>
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<td>Thu</td>
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<td>Thu</td>
<td>21</td>
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<td>March 2019</td>
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<td>April 2019</td>
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<td>May 2019</td>
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<td>Tue</td>
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<td>Thu</td>
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<td>Thu</td>
<td>16</td>
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<td>June 2019</td>
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<td>July 2019</td>
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</table>
SOAS University of London’s registration with the Fundraising Regulator

The Board is asked to resolve:-

1) that the School should be registered with the Fundraising Regulator; and
2) that the School will abide by the Terms and Conditions of registration with the Fundraising Regulator.

**Executive Summary**

The Fundraising Regulator is the independent regulator of charitable funding and was established in July 2016 following the 2015 cross-party review of fundraising self-regulation.

SOAS has been registered with the Fundraising Regulator since 2016. Under the current terms and conditions of registration with the Fundraising Regulator appended at Annex 1 (Terms and Conditions), SOAS must confirm that “its governing body has resolved that it should be registered with the Fundraising Regulator and that it will abide by the Terms and Conditions”.

The Board is therefore asked to resolve:-

1) that the School shall be registered with the Fundraising Regulator; and
2) that the School shall abide by the Terms and Conditions.

**Sponsor – Valerie Amos**

**Recommendations & Next Steps**

The Board should resolve:-

1) that the School shall be registered with the Fundraising Regulator; and
2) that the School shall abide by the Terms and Conditions.

The School’s registration with the Fundraising Regulator will be reviewed annually on an ongoing basis by Development, Alumni and External Engagement and renewed if appropriate.

**Financial Implications**

The work of the Fundraising Regulator is primarily funded by a voluntary levy on those charities which do most fundraising. The current annual cost to SOAS of registration with the Fundraising Regulator is currently £1000 (no VAT payable). The levy is paid out of Development, Alumni and External Engagement’s budget.

**Risks**

There is a real risk that if the School is not registered with the Fundraising Regulator, SOAS will be perceived in an adverse way as an institution which has, for unexplained reasons, chosen not to be subject to the Fundraising Regulator’s system. This system strengthens charity regulation and promotes self-regulation.

**Equality implications**

None

**Consultations**

None required
What is the Fundraising Regulator?

The Fundraising Regulator is the independent regulator of charitable funding. It was established in July 2016 when it took over from its predecessor, the Fundraising Standards Board following the 2015 cross-party review of fundraising self-regulation. SOAS has been registered with the Fundraising Regulator since 2016. The £1000 levy charge (no VAT payable) has been agreed for all Higher Education Institutions (HEIs).

Why should SOAS be registered with the Fundraising Regulator?

Although registration with the Fundraising Regulator is not compulsory for fundraising organisations, by maintaining registration with the Fundraising Regulator, SOAS supports good fundraising practice and demonstrates commitment to the **Code of Fundraising Practice**. The Charity Commission is clear that as a matter of good governance, charities should comply with the Code of Fundraising Practice. The Commission has also confirmed that payment of the levy is a proper expense for charities to incur and has been following up with those charities who have not yet engaged with payment of the first year of the levy. Although as an exempt charity, SOAS is not registered with the Charity Commission, the same principles apply to SOAS’ fundraising practice as for a registered charity.

The Fundraising Regulator does not have the right to fine fundraising organisations but it can:-

- identify where additional guidance, support or training for the sector may be required;
- investigate cases where fundraising practices have led to significant public concern;
- adjudicate complaints from the public about fundraising practice, where these cannot be resolved by the charities themselves;
- where necessary, take enforcement action, such as orders to ‘cease and desist’ and a requirement to vet future fundraising campaigns.

It also operates a Fundraising Preference Service to enable individuals to have better control of the communications they receive via telephone, direct mail, text/SMS and email from charities registered in England, Wales and Northern Ireland.

It is therefore both the industry standard and good practice within the HEI sector to be registered with the Fundraising Regulator.

The Fundraising Regulator has stated that over 2000 charities have either paid the levy or registered and these bodies can be seen on its **public register**. They include the following HEIs as at November 2017:-

Queen Mary University of London
Goldsmiths University of London
University of London
London School of Hygiene and Tropical Medicine
Kings College London
Imperial College London
Terms and Conditions of Registration with the Fundraising Regulator

Under the Terms and Conditions SOAS must confirm that “its governing body has resolved that it should be registered with the Fundraising Regulator and that it will abide by the Terms and Conditions”.

The Terms and Conditions contain various provisions SOAS must abide by if registered with the Fundraising Regulator – see Annex 1 which can be summarised as follows:-

1. Fundraising Promise
   When fundraising SOAS must do so in accordance with the Fundraising Promise, (see Annex 2). DAEE can confirm SOAS’ compliance with the Fundraising Promise.

2. Fundraising Complaints Procedures (external and internal to SOAS)
   SOAS must have a Fundraising Complaints Procedure for external complaints (see Annex 3) and another procedure for SOAS staff members and volunteers to complain about SOAS’ fundraising practice (see Annex 4). DAEE has instituted a rigorous Fundraising Complaints Procedure for external complaints and an internal procedure for SOAS staff members and volunteers to report concerns. Both procedures comply with the Terms and Conditions. The external Fundraising Complaints Procedure is available on the SOAS website and the internal procedure is available on MySOAS.

   SOAS must also keep records of all complaints and cooperate fully with the Fundraising Regulator if a complaint is referred to them. DAEE has implemented a record keeping system. DAEE has received no complaints about fundraising practice since its registration with the Fundraising Regulator.
3. **Fundraising Materials**

Fundraising Materials are defined as *materials used in connection with soliciting donations and communicating with donors in connection with their donations* (whether via printed materials, the SOAS website or by email/other electronic communications).

3.1 SOAS must include the Fundraising Regulator registration badge on its fundraising materials unless it is impractical to do so;

3.2 Emails soliciting donations or communicating with donors about their donations must state that SOAS is registered with the Fundraising Regulator; and

3.3 Letters soliciting donations or communicating with donors about their donations must bear the Fundraising Regulator logo.

DAEE has made changes to the SOAS website, the DAEE email sign offs and headed paper used by DAEE when soliciting donations or communicating with donors about their donations so as to ensure compliance with these requirements.

It should be noted that anyone in the School (including any member of the Board of Trustees, the Director and Pro-Directors) who could be said to be ‘soliciting donations’ eg discussing the solicitation of a philanthropic gift with a donor/potential donor or communicating with donors in connection with their donations must also comply with the above requirements.

Instructions have been sent to the Directorate to ensure that anyone in the Directorate or on the Board of Trustees complies with the above requirements in full.
Annex 1 – Terms and Conditions of Registration with the Fundraising Regulator

Fundraising Regulator

TERMS & CONDITIONS OF REGISTRATION

1. Interpretation

1.1 In these Terms and Conditions the following expressions shall, unless the context requires otherwise, have the meaning set out below:

**Agreement**
the agreement between the Fundraising Organisation and the Fundraising Regulator in relation to the Fundraising Organisation's registration with the Fundraising Regulator created by The Fundraising Organisation's acceptance of these Terms and Conditions;

**Board**
the board of directors of the FR or a sub-committee of that board established with delegated authority to hear complaints;

**Fundraising Organisation**
the organisation registering with the Fundraising Regulator by entering into the Agreement;

**Code**
the Codes of Fundraising Practice and the Rulebooks for Street Fundraising and Door Fundraising issued by the FR, as varied from time to time;

**Commercial Organisation**
an organisation involved in fundraising for good causes as a professional fundraiser or a commercial participator (as those terms are defined in the Charities Act 1992);

**Complaint**
a communication alleging or indicating that there has been a breach of the Code;

**Exempt Charity**
a charitable organisation not regulated by or registered with the Charity Commission;

**Fundraising Materials**
materials used in connection with soliciting donations and communicating with donors in connection with their donations including printed materials, electronic communications and your website (if any);
Fundraising

the promise adopted by the FR, and made by

Promise

organisations registered with the FR to the public about the way in which they will fundraise (as varied from time to time);

FR

Fundraising Regulator, company no.10016446;

Levy

the amount payable each year by the Fundraising Organisation if it falls within Part I of the Appendix to these Terms and Conditions;

Registration

the act of supporting self-regulation and good fundraising practice by registering with the FR in accordance with the Agreement;

Registration Badge

the electronic badge that will be issued to the Fundraising Organisation by the FR Following (and by way of confirmation of) its registration;

Registration Fee

the amount payable each year by the Fundraising Organisation if it falls within Part II of these Terms and Conditions;

Rulebooks for Street Fundraising and Door Fundraising

the FR's Rulebooks for Street Fundraising and Door Fundraising (as varied from time to time) set out on the website;

Spend on Generating

the amount reported by a charity registered with Voluntary income

Charity Commission in its accounts for the preceding accounting period as the amount it spent on raising voluntary income;

Terms & Conditions

these Terms & Conditions of Registration, as may be varied from time to time;

us, we or our

the FR;

you or your

the Fundraising Organisation;

website

the website of the FR:

https://www.fundraisingregulator.org.uk/

written or

includes email and other electronic methods of
In writing communication a hard copy of which may be printed.

1.2 In these Terms & Conditions:

1.2.1 words importing the singular number shall include the plural number and vice versa;
1.2.2 words importing the one gender shall include all genders;
1.2.3 words importing persons shall include corporations;
1.2.4 references to any statutory provision shall include any statutory modification of that provision made after the date of these Terms and Conditions;
1.2.5 references to “days”, “months” and/or “years” shall have their ordinary meaning;
1.2.6 paragraph headings are included for guidance only and shall not affect the interpretation of any provision.

1.3 Throughout the Terms & Conditions various time limits are specified. We understand that there will be times when it will not be possible to achieve one or more of these. If you are aware that you will be unable to meet a time limit you should agree a longer period with us prior to the expiry of the deadline and/or advise those affected by the deadline of the delay and, in general terms, the reason for it. We will do likewise.

2. Good Practice in Fundraising

2.1 When fundraising you will:

2.1.1 do so in accordance with the Fundraising Promise and such of the Code as applies to the fundraising methods you will be using;
2.1.2 promote the Fundraising Promise (including, if you have a website, reproducing the Fundraising Promise on it);
2.1.3 include on your Fundraising Materials the Registration Badge (unless it is impractical to do so).

3. Your handling of Complaints

3.1 You will have in place a complaints procedure that complies with the requirements of the Fundraising Regulator as set out in paragraph 3.2 below.
3.2 A complaints procedure which complies with the requirements of Fundraising Regulator is one which is stated in writing and can be made available on request and/or is set out on your website (if you have one). It includes:

3.2.1 an explanation of how a complaint may be made;
3.2.2 a requirement for your organisation to keep a record of complaints in accordance with paragraphs 3.3 and 3.4 below;
3.2.3 contains a commitment to investigate any complaint about fundraising received within a reasonable timescale and to advise the complainant:

3.2.3.1 of the outcome of the investigation in writing within 28 days of acknowledgement of receipt of the Complaint; and
3.2.3.2 of the opportunity to refer the Complaint to the FR if they are dissatisfied with the outcome of your investigation provided that they do so within two months of your response.

3.3 Your record of complaints will be available for inspection by us (on request after reasonable notice) and will include details of the complaint, the date it was received, details of any investigation you may have undertaken and a copy of all communications regarding the issue.

3.4 You will retain your records relating to a Complaint for at least 24 months from the date on which the Complaint was made, except where data protection law requires that the information be put beyond use earlier than this (for example, where the complainant within this timeframe requests that their information be destroyed).

3.5 You undertake to:

3.5.1 provide us with copies of your Fundraising Materials if requested to do so;
3.5.2 cooperate fully with us in the event that a Complaint is referred to us and to comply with any remedy we propose pursuant to paragraph 4.2.

4. How we will handle Complaints made to us about your fundraising

4.1 If a Complaint is referred to us, we will handle it in the manner set out on the website.

4.2 If a Complaint against you is upheld by the Board, the Board shall have discretion to specify either that no further action is appropriate or to censure you and prescribe an appropriate remedy, which might include one or more of the following:

4.2.1 requiring you to apologise privately and/or issue a public apology to the complainant;
4.2.2 recommending that your fundraisers or any Commercial Organisation working with you undergo further training (or is referred to on-line materials providing appropriate guidance);

4.2.3 recommending that you suspend fundraising;

4.2.4 requiring you to send to us, in advance, details of proposed fundraising campaign for a period specified by us;

4.2.5 requiring your governing body to commission an external, independent audit of your fundraising against the requirements of the Code;

4.2.6 refer the matter to the Charity Commission or other appropriate authority;

4.2.7 terminate your Registration.

4.3 It is our intention to include in our annual report and on the website details of all Complaints referred to the Board, stating clearly whether or not they have been upheld and, at our discretion, any remedy sought.

5. Support to be provided by the FR

5.1 In addition to managing Complaints we will:

5.1.1 promote the Code and registration with the Fundraising Regulator so as to foster public confidence in fundraising and to make registration an important part of that confidence;

5.1.2 include details of all organisations registered with the FR on our website;

5.1.3 offer guidance and support relating to good fundraising practice and complaints management;

5.1.4 consult stakeholders on proposals to revise or change the Code, the Fundraising Promise or these Terms & Conditions;

5.1.5 operate (or procure the operation of) a Fundraising Preference Service to ensure that individuals who do not wish to receive specific types of fundraising communication can communicate their preferences to fundraising organisations;

5.1.6 publish an annual report on our work, our income and expenditure, Complaints that have been referred to the Board and the issues we encountered which we believe should be reported;

5.1.7 to the extent that our funds permit, to carry out or commission research into fundraising methods, practices, trends and other matters of interest to the public and to organisations raising funds for good causes and to disseminate the results of that research.
6. **Use of the Registration Badge**

6.1 In connection with the Registration Badge, you agree:

6.1.1. to comply with our guidelines in relation to its display;

6.1.2. not to adopt or use any trade mark, sign, symbol or device which incorporates or is confusingly similar to, or is a simulation or colourable imitation of the Registration Badge;

6.1.3. not to use the Registration Badge in any way which would tend to allow it to lose its distinctiveness, become liable to mislead the public, or be materially detrimental to or inconsistent with the good name, goodwill, reputation and image of the FR;

6.1.4. to use all reasonable efforts to protect the Registration Badge from unauthorised use or reproduction;

6.1.5. to remove the Registration Badge from (and if that is not possible, to withdraw from circulation) any materials bearing it or them within one month of the termination of this Agreement.

7. **Registration fee and levy**

7.1 You agree to pay annually the Registration Fee or Levy according to the nature and circumstances of your organisation.

7.2 We may vary the rate of the Registration Fee and the Levy from time to time but we will give you at least two months prior notice of any change.

8. **Termination**

8.1 This Agreement will continue, unless:

8.1.1 terminated in accordance with the provisions of paragraph 8.2, or

8.1.2 terminated by either party giving to the other not less than six months' notice in writing.

8.2 We may by notice terminate this Agreement forthwith at any time without liability for compensation or refund of all or any part of the Registration Fee or Levy if:

8.2.1 you fail to comply with any of your obligations under these Terms and Conditions and such failure (if capable of remedy) remains un-remedied for one month after being drawn to your attention by written notice from us;

8.2.2 your Registration terminated in accordance with paragraph 4.2.7; or

8.2.3 any action is taken for or with a view to winding-up the Fundraising
Organisation or it becomes insolvent or is unable to pay its debts or enters into dealings with any of its creditors with a view to avoiding, or in expectation of, insolvency or stops or threatens to stop payments generally or an encumbrancer takes possession or a receiver is appointed of the whole or any material part of the assets of the organisation.

8.3 Termination of this Agreement shall not affect your or our accrued rights and obligations at the date of termination (including, but not limited to, the confidentiality provisions of paragraph 14).

8.4 In the event of the termination of this Agreement we shall retain any Fundraising Materials, annual returns or other materials received from you for a period not exceeding five years, after which time we will destroy them.

9. Confirmations

9.1 The Fundraising Organisation confirms as follows:

9.1.1 that it is empowered to register with the Fundraising Regulator and to abide by these Terms and Conditions; and

9.1.2 its governing body has resolved that it should be registered with the FR and that it will abide by the Terms and Conditions.

10. Variation and Assignment

10.1 You may not assign or transfer any of your rights and/or obligations under this Agreement without our prior written consent.

10.2 The terms of this Agreement other than paragraph 8.3 (rights accrued prior to termination) may be varied in writing signed by both parties.

11. Waivers

11.1 No delay or omission on our part to exercise any right or power under this Agreement shall be construed as a waiver of the right or power and no single or partial exercise of any right or power shall prevent any further exercise of the right or power.

11.2 The rights and remedies in this Agreement are cumulative and not exclusive of rights or remedies provided by law.

12. Notices

Any notice under this Agreement shall be:
12.1 delivered personally or by post to the address at the top of the Agreement (or such other address as shall be notified in writing); or
12.2 sent by email to FR at registration@fundraisingregulator.org.uk or to you at the email address used by the FR to communicate with you (or such other email address as shall be notified to us).

13. Dispute Resolution
Whether or not this Agreement has been terminated, neither party will take legal proceedings for the enforcement of its terms or of any rights arising under it, without first having taken positive steps to resolve the matter by negotiation, mediation or other informal method of dispute resolution not involving publicity.

14. Confidentiality
Unless otherwise stated in these Terms and Conditions, we and you agree to treat as confidential all information concerning the affairs operating or business of the other which it acquires in consequence of or in connection with this Agreement.

15. Third Party Rights
A person who is not a party to the Agreement has no rights under the Contracts (Rights of Third Parties) Act 1999 to enforce any of its term but this does not affect any right or remedy of a third party which exists or is available apart from that Act.

16. Governing Law
These Terms and Conditions of Registration are governed by [English] [Northern Ireland] law.
REGISTRATION FEE AND LEVY
For the year July 2016 to June 2017 inclusive

Part I – The Registration Fee
Payable by registered charities with a Spend on Generating Voluntary Income of less than £100,000
£50

Part II – The Levy
The amounts specified below for the Levy includes the Registration Fee.

Registered charities which Spend on Generating Voluntary Income is £100,000 or more

<table>
<thead>
<tr>
<th>Spend on Generating Voluntary Income £</th>
<th>Levy £</th>
</tr>
</thead>
<tbody>
<tr>
<td>100,000 – 149,999</td>
<td>150</td>
</tr>
<tr>
<td>150,000 – 199,999</td>
<td>300</td>
</tr>
<tr>
<td>200,000 – 499,999</td>
<td>800</td>
</tr>
<tr>
<td>500,000 – 999,999</td>
<td>1,500</td>
</tr>
<tr>
<td>1m – 1,999,999</td>
<td>2,500</td>
</tr>
<tr>
<td>2m – 4,999,999</td>
<td>4,000</td>
</tr>
<tr>
<td>5m – 9,999,999</td>
<td>6,000</td>
</tr>
<tr>
<td>10m – 19,999,999</td>
<td>8,000</td>
</tr>
<tr>
<td>20m – 49,999,999</td>
<td>12,000</td>
</tr>
<tr>
<td>Over 50m</td>
<td>15,000</td>
</tr>
</tbody>
</table>

Exempt Charities
Levy - £1,000

Commercial Organisations

<table>
<thead>
<tr>
<th>Fundraising Turnover* £</th>
<th>Levy £</th>
</tr>
</thead>
<tbody>
<tr>
<td>Up to £99,999</td>
<td>100</td>
</tr>
<tr>
<td>100,000 - 249,999</td>
<td>200</td>
</tr>
<tr>
<td>250,000 - 499,999</td>
<td>400</td>
</tr>
<tr>
<td>500,000 - 999,999</td>
<td>600</td>
</tr>
<tr>
<td>1m or more</td>
<td>1,200</td>
</tr>
</tbody>
</table>
*Fundraising turnover

This is defined as your company turnover of goods and services provided to your clients for the purposes of undertaking fundraising activity and should exclude any bought-in third party costs (but not any mark-up related to such costs) such as design, printing, premiums, materials services and the like.
Annex 2 Fundraising Promise

FUNDRAISING PROMISE

This promise outlines the commitment made to donors and the public by fundraising organisations which register with the Fundraising Regulator. Those who register with the regulator agree to ensure their fundraising is legal, open, honest and respectful.

The standards for fundraising are set out in the Code of Fundraising Practice.

WE WILL COMMIT TO HIGH STANDARDS

- We will adhere to the Fundraising Code of Practice.
- We will monitor fundraisers, volunteers and third parties working with us to raise funds, to ensure that they comply with the Code of Fundraising Practice and with this Promise.
- We will comply with the law as it applies to charities and fundraising.
- We will display the Fundraising Regulator badge on our fundraising material to show we are committed to good practice.

WE WILL BE CLEAR, HONEST & OPEN

- We will tell the truth and we will not exaggerate.
- We will do what we say we are going to do with donations we receive.
- We will be clear about who we are and what we do.
- We will give a clear explanation of how you can make a gift and change a regular donation.
- Where we ask a third party to fundraise on our behalf, we will make this relationship and the financial arrangement transparent.
➢  We will be able to explain our fundraising costs and show how they are in the best interests of our cause if challenged.
➢  We will ensure our complaints process is clear and easily accessible.
➢  We will provide clear and evidence based reasons for our decisions on complaints.

WE WILL BE RESPECTFUL

➢  We will respect your rights and privacy.
➢  We will not put undue pressure on you to make a gift. If you do not want to give or wish to cease giving, we will respect your decision.
➢  We will have a procedure for dealing with people in vulnerable circumstances and it will be available on request.
➢  Where the law requires, we will get your consent before we contact you to fundraise.
➢  If you tell us that you don’t want us to contact you in a particular way we will not do so. We will work with the Telephone, Mail and Fundraising Preference Services to ensure that those who choose not to receive specific types of communication don’t have to.

WE WILL BE FAIR & REASONABLE

➢  We will treat donors and the public fairly, showing sensitivity and adapting our approach depending on your needs.
➢  We will take care not to use any images or words that intentionally cause distress or anxiety.
➢  We will take care not to cause nuisance or disruption to the public.

WE WILL BE ACCOUNTABLE & RESPONSIBLE

➢  We will manage our resources responsibly and consider the impact of our fundraising on our donors, supporters and the wider public.
➢  If you are unhappy with anything we’ve done whilst fundraising, you can contact us to make a complaint. We will listen to feedback and respond appropriately to compliments and criticism we receive.
➢  We will have a complaints procedure, a copy of which will be available on our website or available on request.
➢  Our complaints procedure will let you know how to contact the Fundraising Regulator in the event that you feel our response is unsatisfactory.
➢  We will monitor and record the number of complaints we receive each year and share this data with the Fundraising Regulator on request.
Annex 3 – External Fundraising Complaints Procedure

SOAS Fundraising Complaints Procedure

1. Introduction

1.1 SOAS is registered with the Fundraising Regulator (FR) and as such adheres to the Fundraising Promise which can be found here on our website. SOAS’ fundraising practice is run by the Development, Alumni and External Engagement team (DAEE).

1.2 SOAS commits to being clear, honest, open and respectful when fundraising. SOAS also commits to being:

- fair and reasonable in all interactions with donors and potential donors; and
- accountable and responsible in the way we fundraise.

1.3 If for any reason you feel that SOAS has failed to uphold these standards while engaging in fundraising, please see Section 2 below which outlines how you can make a complaint.

Any complaint should be submitted to SOAS within 12 weeks of the fundraising incident or communication of which the complaint is made.

2. Fundraising Complaints Procedure

2.1 If you wish to make a complaint please contact our Fundraising Complaints Coordinator:

- Via email fundraisingcomplaints@soas.ac.uk
- By post addressed to: Fundraising Complaints Coordinator Development, Alumni and External Engagement (DAEE)

Room 130

SOAS University of London

London

WC1H 0XG

If you are unable to submit a complaint in writing and require assistance with submitting a complaint please call the Fundraising Complaints Coordinator on +44 (0) 20 7898 4615 or please call the SOAS Switchboard on +44 (0) 20 7637 2388 and ask to speak to the Head of Development or anyone in the
Development team in the Development, Alumni and External Engagement Directorate.

2.2. SOAS shall acknowledge receipt of all fundraising complaints within 5 working days, log the complaint and start the process of investigating and resolving the complaint.

2.3. SOAS shall aim to provide the outcome of its investigation to you in writing within 20 working days of SOAS receiving the complaint.

2.4 If your complaint relates to a specific member of SOAS’ fundraising team please highlight this in the initial complaint. The complaint will be progressed to an appropriate member of the fundraising team or the SOAS senior management team so that there is no potential conflict of interest in investigating the complaint.

2.5. If you are still dissatisfied after you have received a response from SOAS you have the right to refer your complaint to the FR, provided you do so within 2 months of receiving SOAS’ response, according to the FR’s guidance. Please find details of how to do so on their website here.

2.6 Please note that SOAS will be unable to investigate any complaints when the school is closed. School closure dates can be found on the SOAS’ website.

2.7. SOAS will retain all records relating to any complaint it receives for 24 months. If you wish to have the records of your complaint destroyed before this period expires please contact the Fundraising Complaints Coordinator who will arrange for the records of your complaint to be confidentially destroyed in line with data protection law.

2.8. This procedure is in line with the terms and conditions of registration with the FR, specifically Section 3.
Accessibility and Complaints From People in Vulnerable Circumstances

If this written complaints procedure is not accessible to you and you require it in an alternative format, for example a digital recording, please contact our Fundraising Complaints Coordinator:

- By telephone on: +44 (0) 20 7898 4615
  (If unavailable please call the SOAS Switchboard on +44 (0) 20 7637 2388 and ask to speak to the Head of Development or anyone in the Development team in the Development, Alumni and External Engagement Directorate).

- Via Email: fundraisingcomplaints@soas.ac.uk

- By post addressed to: Fundraising Complaints Coordinator
  Development, Alumni and External Engagement (DAEE)
  Room 130
  SOAS University of London
  London
  WC1H 0XG

If you wish to assist an individual in vulnerable circumstances with making a complaint, or wish to make a complaint on their behalf please send a letter of authorisation signed by them to the Fundraising Complaints Coordinator by email or post.

SOAS, December 2017
Annex 4 - Internal Fundraising Complaints Procedure

SOAS Internal Fundraising Complaints Procedure
For members of staff and volunteers to report concerns regarding SOAS' fundraising practice

1. Introduction
SOAS is registered with the Fundraising Regulator and as such adheres to the Fundraising Promise which can be found here on our website. SOAS’ fundraising practice is run by the Development Alumni and External Engagement Directorate (SOAS Fundraising).

SOAS commits to being clear, honest, open and respectful when fundraising. SOAS also commits to being:

- fair and reasonable in all interactions with donors and potential donors; and
- accountable and responsible in the way we fundraise.

If you for any reason feel that SOAS has failed to uphold these standards while engaging in fundraising please see below which outlines how you can make a complaint.

2. Scope of Procedure
This procedure is designed to enable members of SOAS staff and volunteers to report any concerns they may have regarding SOAS’ fundraising practice by raising a complaint.

The type of issues that can be raised include, for example, general issues with the management of a fundraising matter and frequency of or content of communications with donors.

If the complaint is one which the individual believes shows malpractice or serious wrongdoing then the complaint may need to be dealt with under SOAS’ Whistleblowing Policy (attached as Appendix 1) (Whistleblowing Policy) rather than under this procedure. The Director of Governance and Legal Services at SOAS (the Director of Governance and Legal Services) will decide which procedure is most appropriate for each individual complaint having considered the nature of the complaint.

3. SOAS Internal Fundraising Complaints Procedure

As a SOAS staff member or volunteer how can you complain about SOAS' fundraising practice?

- In order to lodge a complaint you need to contact the Director of Governance and Legal Services in writing within 12 weeks of the fundraising incident or communication of which the complaint is made, giving details of any issues or concerns;

- the Director of Governance and Legal Services will then decide whether your complaint should be dealt with under the SOAS Whistleblowing Policy (covering serious concerns about malpractice or serious wrongdoing) or under this internal
fundraising complaints procedure (covering concerns about SOAS' fundraising practice);

- should the Director of Governance and Legal Services decide that the complaint does not need to be dealt with under the SOAS Whistleblowing Policy then the following procedure shall apply:-

3.1 SOAS Internal Fundraising Complaints Procedure – complaints about SOAS fundraising practice from members of staff and volunteers

3.1.1 The Director of Governance and Legal Services shall refer your complaint to the Director of Development, Alumni and External Engagement for investigation (unless the complaint is about the Director of Development, Alumni and External Engagement in which case the Director of Governance and Legal Services, Registrar, or a Pro-Director of SOAS shall deal with the complaint directly);

3.1.2 Upon receipt of any fundraising complaint from you as a SOAS member of staff or volunteer, SOAS Fundraising will log the complaint and start the process of investigating the complaint;

3.1.3 SOAS Fundraising shall provide its response to the Director of Governance and Legal Services in writing within 21 working days of receiving notification of the complaint from the Director of Governance and Legal Services;

3.1.4 The Director of Governance and Legal Services shall then provide SOAS' response to you. This shall normally be provided within 28 working days of the Director of Governance and Legal Services acknowledging receipt of your complaint;

3.1.5 If you are not satisfied after you have received a response from the Director of Governance and Legal Services you have the right to refer your complaint directly to the Fundraising Regulator. Their contact details are:-

Fundraising Regulator

2nd floor, CAN Mezzanine Building, 49-51 East Road, London, N1 6AH

T: 0300 999 3407
E: enquiries@fundraisingregulator.org.uk

The online complaints form can be accessed here

3.2 The following conditions shall apply to the SOAS Internal Fundraising Complaints Procedure:

3.2.1 all reasonable steps should be taken to deal with your complaint as expeditiously as possible;
3.2.2 SOAS will treat all complaints in a confidential and sensitive manner. Your identity may be kept confidential so long as it does not hinder or frustrate any investigation. However, the investigation process may reveal the source of the information and you may need to provide a written statement as part of the evidence required.

3.2.3 If you make a complaint in good faith, which is not confirmed by subsequent investigation, no action will be taken against you. If, however, the investigation shows that you have made malicious or vexatious allegations, and particularly if you persist with making them, disciplinary action may be taken against you;

3.2.4 Any victimisation or harassment of you as the complainant will be treated by the School as serious disciplinary matter.

3.3 What happens if an individual makes a complaint and internal consideration by SOAS is not possible?

In the extremely unlikely event that SOAS is not able to consider the complaint internally an individual can refer the complaint direct to the Fundraising Regulator by contacting the Fundraising Regulator:-

Fundraising Regulator

2nd floor, CAN Mezzanine Building, 49-51 East Road, London, N1 6AH

T: 0300 999 3407
E: enquiries@fundraisingregulator.org.uk

The online complaints form can be accessed here
Appendix 1 – SOAS’ Whistleblowing Policy

Whistleblowing Policy

(Approved 1998, amended August 2002)

1. Introduction

The School is committed to the highest standards of openness, probity and accountability. It seeks to conduct its affairs in a responsible manner taking into account the requirements of the funding bodies and the standards in public life set out in the reports of the Nolan Committee.

Normally any concern about a workplace situation should be raised with the employee’s immediate manager or Head of Department; in the case of students, concerns would normally be raised through the complaints procedures. However, it is recognised that because of the seriousness and sensitivity of some issues, together with the knowledge of who the employee (or student) thinks may be involved in wrongdoing, this may be difficult or even impossible.

The Public Interest Disclosure Act gives legal protection to employees again being dismissed or penalised by their employers as a result of publicly disclosing certain serious concerns provided that they are disclosed under procedures identified in the Act. It is a fundamental term of every contract of employment that an employee will faithfully serve his or her employer and not disclose confidential information about the employer’s affairs. However, where an individual discovers information which they believe shows malpractice/wrongdoing within the organisation then there should be identified procedures to enable the individual to disclose the information without fear or reprisal, and it may be necessary for the disclosures to be made independently of line management.

This policy sets out arrangements for individuals to raise serious concerns about malpractice or serious wrongdoing in ways which will protect them from reprisal. This policy is intended to meet the requirements of the Act but it goes further in two aspects. Firstly, it extends the list of concerns where a protected disclosure may be made beyond those identified in the Act. Secondly, it extends protection for disclosure beyond employees to students and to other members of the School.

It should be emphasised that this policy is intended to assist individuals who believe they have discovered malpractice or serious wrongdoing provided that they make the disclosure in accordance with the policy. It is not designed to question financial or business decisions taken by the University nor may it be used to reconsider any matters which have already been addressed under harassment, complaint or disciplinary procedures. Individuals who make disclosures outside the arrangements set out here will not be protected under this policy and may not be protected under the Act.
2. Scope of Policy

This policy is designed to enable employees or other members of the School to raise concerns or disclose information at a higher level which the individual believes shows malpractice.

A number of policies and procedures are already in place including grievance, discipline, complaints and guidelines for dealing with harassment. This policy is intended to cover concerns which are in the public interest and may (at least initially) be investigated separately but might then lead to the using of such procedures. These might include:

- financial malpractice or impropriety or fraud
- failure to comply with a legal obligation
- dangers to health and safety of the environment
- criminal activity
- miscarriage of justice
- academic malpractice
- improper conduct or unethical behaviour
- attempts to conceal any of the above.

This is not intended to be a comprehensive list and any matters raised under this policy will be considered seriously.

3. Safeguards

Protection

This policy is designed to offer protection to those employees or other members of the School who disclose such concerns provided the disclosure is made:

i. in accordance with the procedures laid down
ii. in good faith, and
iii. in the reasonable belief of the individual making the disclosure that it tends to show malpractice.

Confidentiality

The School will treat all such disclosures in a confidential and sensitive manner. The identity of the individual making the allegation may be kept confidential so long as it does not hinder or frustrate any investigation. However, the investigation process may reveal the source of the information
and the individual making the disclosure may need to provide a statement as part of the evidence required.

Anonymous Allegations

This policy encourages individuals to put their name to any disclosures they make. Concerns expressed anonymously are much less powerful, but they will be considered at the discretion of the School.

In exercising this discretion, the factors to be taken into account will include:

- the seriousness of the issues raised;
- the credibility of the concern; and
- the likelihood of confirming the allegation from alternative credible sources.

Untrue allegations

If an individual makes an allegation in good faith, which is not confirmed by subsequent investigation, no action will be taken against that individual. If, however, the investigation shows that an individual has made malicious or vexatious allegations, and particularly if he or she persists with making them, disciplinary action may be taken against the individual concerned.

4. Procedures for Making a Disclosure

Initial Step

The individual should make the disclosure to the Secretary & Registrar (the designated person). If, however, the disclosure is about the Secretary & Registrar then the disclosure may be made either to the Director & Principal or the Chair of Governing Body.

If the individual does not wish to raise the matter with any of the above then they may raise with the Chair of the Audit Committee. The names of the Chair of Governing Body and the Chair of Audit Committee are published in the Calendar and their addresses may be obtained from the Director & Principal’s office.

Initial Response

In all cases, the person to whom the concern has been made should acknowledge its receipt in writing to the whistleblower at his/her home address, and record the subsequent action taken. The person to whom the concern has been made will make a preliminary investigation, normally by appointing someone who has not previously been involved in the case or is unlikely to subsequently be involved, and will report on the findings to the Chair of the Audit Committee. This process will normally be completed within a period of three working weeks.

Outcomes

The probable outcomes of this process are as follows:

i) if, on preliminary examination, the concern is judged to be wholly without substance or merit, it will be dismissed.
ii) if it is judged that a prima facie case may exist, the matter will normally be dealt with in accordance with the School’s discipline procedure or as otherwise may be deemed appropriate according to the nature of the case.

In all instances in which a concern leads to disciplinary proceedings, the person or persons in respect of whom it is made shall be informed of the concern and the evidence supporting it and be allowed to comment on it before proceedings are concluded. All concerns including those dismissed after preliminary examination and the outcome of their investigation shall be reported to the Audit Committee. The outcome shall also be reported to the whistleblower.

5.

The following conditions shall apply:

i) all reasonable steps should be taken to deal with the matter as expeditiously as possible

ii) all reasonable steps will be taken to protect the confidentiality of whistleblowers unless they waive their rights to confidentiality or it is deemed that through the nature of the concern raised, such confidentiality is incompatible with the implementation of fair disciplinary proceedings. In such cases those who raise the concern should be informed that no further action can be taken without their agreement to waive their rights to confidentiality;

iii) any reprisals against or victimisation of the whistleblower will be treated by the School as serious disciplinary matter.
SOAS’ registration with the Fundraising Regulator – briefing for Chair of the Board of Trustees

The Fundraising Regulator is the independent regulator of charitable funding and was established in July 2016 following the 2015 cross-party review of fundraising self-regulation.

The former Director of Development, Alumni and External Engagement, Matthew Gorman advised in November 2016 that the School should be registered with the Fundraising Regulator and SOAS has been registered with the Fundraising Regulator since November 2016.

Under the current terms and conditions of registration with the Fundraising Regulator SOAS must confirm that “its governing body has resolved that it should be registered with the Fundraising Regulator and that it will abide by the Terms and Conditions”.

DAEE has therefore drafted a paper recommending that the Board of Trustees resolve that SOAS should be registered with the Fundraising Regulator and should abide by the Fundraising Regulator’s Terms and Conditions.

DAEE has implemented the necessary procedures and good practice required to ensure that the School abides by the Terms and Conditions which are:-

- the adherence by SOAS to the Fundraising Regulator’s Fundraising Promise;
- the adoption of Fundraising Complaint Procedures by SOAS to enable complaints to be raised about the School’s fundraising practices by both those external to SOAS and SOAS staff members/volunteers; and
- the adoption and correct use of the Fundraising Regulators registration logo and wording by anyone who is involved in soliciting donations eg discussing a philanthropic gift with a potential donor.

A note has been sent to the SOAS Senior Team’s PAs confirming what needs to be done to comply with this requirement (eg changing email sign offs and using the correct headed paper).

If the School is not registered with the Fundraising Regulator there is a real risk that SOAS will be perceived in an adverse way as an institution which has, for unexplained reasons, chosen not to be subject to the Fundraising Regulator’s system. This system strengthens charity regulation and promotes self-regulation.

Most of SOAS’ direct competitors and other top UK universities are registered with the Fundraising Regulator (see list in attached draft BoT paper).

DAEE recommends therefore that the Board is asked to resolve:-

1) that the School shall be registered with the Fundraising Regulator; and
2) that the School shall abide by the Terms and Conditions of registration with the Fundraising Regulator.

Development, Alumni and External Engagement
March 2018