SOAS
BOARD OF TRUSTEES
AGENDA

Wednesday 19 September from 15:00-18:30 hours (MBI Al Jaber Room, 21 Russell Square)

There will be a briefing Session from the Students Union 14:00-15:00
(Venue: Junior Common Room, Main Building)

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 Clerk to the Board by 9am on Friday 14 September 2018.

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<tr>
<th>BoT 18/19 1 A</th>
<th>Declarations of Interest</th>
<th>[Oral Update]</th>
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<tr>
<td>BoT 18/19 1 B</td>
<td>Minutes</td>
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<td>To approve: The minutes of the meeting held on 10th July 2018</td>
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<td>BoT 18/19 1 C</td>
<td>Actions Taken</td>
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<td>BoT 18/19 1 D</td>
<td>Matters Arising / Matters for Report</td>
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<td>BoT 18/19 1 E</td>
<td>Chair’s Report</td>
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<td>BoT 18/19 1 F</td>
<td>Director’s Report</td>
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<td>Copies of the Director’s report since the last meeting *</td>
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<td>BoT 18/19 1 G</td>
<td>Registrar &amp; Secretary’s Report</td>
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<td>• Summary of Financial /Budget Position</td>
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<td>• Update on final UG and predicted PGT numbers, including tariff and financial implications</td>
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<th>BoT 18/19 1 H</th>
<th>Culture at SOAS</th>
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<td>• An update from The Pro-Director Research &amp; Enterprise, Tamsyn Barton (Lay Trusee) and Youssra Elmagboul (SU Co-President Equality &amp; Liberation) on the various workstreams around Culture &amp; Harassment</td>
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<th>Update on International Strategy</th>
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<td>Registrar and Pro-Director International</td>
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<th>BoT 18/19 1 J</th>
<th>Update from recent Legal Training</th>
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<td>• Feedback and and Key Messages from Helen Pennant (Lay Trustee), and the Sabbatical Officers</td>
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<td>• Legal Presentation Slides*</td>
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<th>BoT 18/19 1 K</th>
<th>SSRC Framework</th>
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<td>• SSRC Report Cover Sheet</td>
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<td>o Proposed Terms of Reference for SSRC</td>
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<th>BoT 18/19 1 L</th>
<th>Changes to Governance Arrangements</th>
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<td>• Appoint the Clerk to the Board</td>
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<td>• Lead Trustee Update</td>
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<th>BoT 18/19 1 M</th>
<th>Research Integrity Annual Report 2017-18</th>
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<td>Pro-Director Research &amp; Enterprise</td>
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<th>BoT 18/19 1 N</th>
<th>Sub Committee Reports/Minutes *</th>
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<tr>
<td>• Investment Advisory Panel</td>
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<td>• Senate Annual Report</td>
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<tr>
<th>BoT 18/19 1 O</th>
<th>Date of Next Meeting</th>
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<td>Tuesday 27 November 2018 (15:00-18:00)</td>
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<td>The BoT Briefing session will be from 13:30-15:00: Enough is Enough Workshop run by the Sabbatical Officers (Venue tbc)</td>
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SOAS, UNIVERSITY OF LONDON

THE BOARD OF TRUSTEES (BoT)

Tuesday 10 July 2018

OPEN MINUTES

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

Members:
Ms Marie Staunton (Chair)  Sir Richard Stagg
Baroness Valerie Amos (Director)  Mr Kofi Adjepong-Boateng
Sir Martin Harris (Vice-Chair)  Professor Alfredo Filho-Saad
Mr G Dalal (Honorary Treasurer),  Mr Andrew Popham
Professor Matt Craven  Mr Dimitri Cautain
Dr Deborah Johnston  Mr Mehdi Baraka
Ms Paula Sanderson  Mr Geoffrey Robertson
Mr Steve Tinton  Mr Andrew Atherton
Dr Tamsyn Barton  Ms Helen Pennant

In attendance:
Ms Carol Tan  Professor Stephen Hopgood
Mr Michael Jennings  Miss Sally Priddle
Mr Graeme Appleby  Ms Hau-Yu Tam
Dr Chris Ince  Ms Sophie Bennett
Dr Ian Pickup  Ms Youssra Elmagboul

Apologies:
Mr Nizam Uddin  Professor Michael Charney
The Chair welcomed the new Sabbatical Officers to the meeting. The Chair congratulated Andrew Atherton on his new role.

**BoT 17/18 6 A. Declarations of Interest**

There were no conflicts raised.

**BoT 17/18 6 B. Minutes**

The Chair outlined that there were spelling mistakes on page 5 of the minutes. Item BoT 17/18 5 E would be amended to include that: ‘In terms of finances and other requirements the school met the criteria for registration however the school was facing a planned deficit which it was committed to reduce’ Item BoT 17/18 5 H would be amended to say ‘transition of sabbatical officers’.

Following the agreed amendments, the Board **approved** the minutes of the meeting on 17th May 2018 as an accurate record.

**BoT 17/18 6 C. Actions Taken**

It was **noted** that two actions had been moved to September. All other actions were closed or on the agenda.

**BoT 17/18 6 D. Matters Arising/Matters for Report**

No matters were raised.

**BoT 17/18 6 E. Chair’s Report**

The Chair reported that the Lay Trustees had convened a meeting to discuss concerns about the School’s financial position. It was agreed that there was now a sense of financial realism at the School and there was more ownership of decisions and budgets at departmental level. Executive Board had made some difficult decisions that have had financial impact but were the right thing to do including in-sourcing and holding the tariff. Executive Board would be focusing on establishing the right size and shape for the School and identifying new income streams.

They had discussed the improvements in transparency and accountability and increased monitoring in committees. The areas that the School was not making enough progress in were inclusion, celebrating diversity, tackling harassment and inclusive leadership. It was agreed that the next strategy away day would be joint with EB and focus on inclusive leadership.

They had discussed the culture of bullying at SOAS and the Board’s duty under the law and the commitment within the students’ charter to stop harassment. The duty should be a positive duty for employers. The School need to raise awareness of anti-harassment support and routes for reporting and address those who are transgressing and provide support to the victims. The School had clear policies for students and staff but there was limited data.
The Chair summarised that the financial situation was serious but the strategy being proposed had realism. The areas for progress were inclusion and anti-harassment. The School needed to move beyond saying the right things to behavioural change.

The Lead Trustees were asked to provide updates on their areas.

**International**

The Lead Trustee for International, Helen Pennant, had met with the Pro-Director (International) and the Registrar and Secretary and discussed the School’s current position and plans for the future. The current proposed partnership was a firm contract with financial, reputational and academic obligations on both sides. The risks were monitoring the regulatory and financial framework. The School were making a commitment to the region and intended to offer international experiences to students based in UK. The international work cut across the whole school but the capacity to develop this work was limited.

**Research**

The Lead Trustee for Research, Andrew Atherton, had met with the Pro-Director (Research) and discussed the School’s work towards the REF 2020. The process was being well managed and required ongoing critical challenge to the subject areas. The team were reviewing the approach to the impact and knowledge exchange framework. There had been an increase in research grant funding but it was from a low base.

**Learning and Teaching**

The Lead Trustee for Learning and Teaching, Andrew Atherton, had met with the Pro-Director (Learning and Teaching) and discussed how the School are approaching improvements in the student experience. If the School do not participate in the NSS or do not believe that the questions represent the whole student experience then other measures need to be identified to measure and monitor it. They discussed how the Student Voice is monitored and captured, 40% of students engaged in SU elections so there was an additional 60% of students whose voices were not being captured. The TEF appeal was discussed and next steps for improving the provision.

**Finance**

The Lead Trustee for Finance, Gautam Dalal, had met with the Registrar and Secretary and Deputy COO (Resources and Planning) to discuss the School’s financial position, forecasts and plans for improvements. It was agreed that the School’s cost structure did not support the income base and the restructures need to be delivered for both academic and professional services. The Student experience review and curriculum review would ensure that the School’s offer was attractive to potential students. The School’s estate would require investment however the School was not generating a surplus to justify work on the estate. The Board discussed OfS’ position on the financial sustainability of institutions and that they would not financially support institutions. Many institutions raise funding through alumnus and endowments however the School’s community do not tend to be able to support this.

The Board praised the development of Executive Board and the improved engagement of academics in School processes.

**BoT 17/18 6 F. Director’s Report**

The Director updated the Board with regard to the School’s Strategy. The Academic Strategy proposal had been shared with the School community and a whole School meeting had been held to share the proposal and receive any questions. The strategy outlined that there is an imbalance in what the School was known for and where the money was made. The School needed to secure a surplus to sustain the areas that were core to its mission. The review of Finance and Management would be supported by 3 external members and Lay Trustee Kof
Adjepong- Boateng. The major languages had high drop-out rates and low retention therefore a rapid review would be undertaken to identify how to amend teaching to resolve this.

A review of interdisciplinary studies would be undertaken to ensure that key themes were presented and collated well across the School, for example, gender and immigration. The review would be led by Andrea Cornwall.

The Board discussed that cross subsidy in higher education institutions was common however the level of support needed to be agreed to ensure that the surplus making departments were not stretched too much. Departments needed to be using data to develop growth and recovery plans.

The Board noted the financial and academic realism of the paper however clarity on timeframes and resource requirements was required. The Board discussed that the departments recommended for expansion received the lowest REF scores and whether this was a risk. The strategy did not clarify the end point or provide succinct success criteria. In addition there was no clarity on how student representation would be incorporated into the reviews.

The Board asked for a project plan with workstreams, dependencies and resources required. A sub-group of EB would become an oversight project board and would be responsible for monitoring and implementing work streams.

**Action:** Develop and share project plan.

It was agreed that the strategy was not just a financial solution but an approach that would improve the School’s provision and the student journey.

The Board noted the REF report and TEF appeals submission.

**BoT 17/18 6 G. Registrar’s Report**

The Registrar and Secretary reported on the progress of Welcome Week, the Efficiency and Investment Plan, the budget report 2018/19, the financial forecasts 2017/18 to 2022/23 and the IT Report.

The Welcome Week report was developed in consultation with the Welcome Week Steering Group, which had professional services and student representatives. It was agreed that there would be an induction phase for students, informing them over a longer period of time of the services that are available.

The Efficiency and Investment Plan outlined the realistic outcomes of the strategy and focused on cost base and income generation. There had been a further decline in recruitment as competition was intensifying and league table position became increasingly important. The rental income from Vernon Square offset the decreases in expected income.

The budget report reported that there were expenditure changes for staffing costs as a result of transferring staff in house. The pay increase had not yet been agreed with the unions and the pensions dispute was still not finalised and therefore these factors would impact the budget further this academic session. £300,000 had been agreed to establish a project management office to support TNE and business management. The restructure was projected to cost £1.4million.

There was an exceptional surplus as a result of disposing of a fixed asset, Gordon Square, which was owned in partnership with other colleges around Bloomsbury. The sale value would be a surplus of £840,000.

The risks were reported as student numbers within PGT, falling league table position, low conversion of offers, income generation not being secured, the USS pension scheme and the
unresolved pay increase. In addition any changes in the Undergraduate fees and arrangements dictated by the regulator would impact on the predictions.

The Board noted that financial forecasts would have to be reported for 5 years under the new Office for Students guidelines, 4 years plus the current year. In 5 years the forecasts report an improvement of 15 million, the improvements would result from TNE activities, foundation programmes, staff savings and non-staff savings. The estate spend was being prioritised, informed by surveys and student needs. The first priority was to secure the safety and sustainability of the buildings and the second priority was the impact the estate had on the student experience. There were two points of the 5 year period when cash fell beneath the School’s minimum threshold- July 2020 and July 2022, in these cases specific arrangements would be made with the bank.

It was reported that it was a high risk budget and all increases and dependencies would have to be delivered on. Robust monitoring had been implemented to ensure that all risks would be highlighted as soon as possible.

The Board noted the IT paper and thanked Martin Whiteside for supporting the IT structures in the interim. The strategy focused on improving the student experience, improving more regular data capture and developing systems to improve the delivery of online resources and courses. It was noted that the implementation would result in disruption to the current systems however the new systems would significantly improve the infrastructure and School provision. Feedback from the front users would be captured following full implementation.

**Action:** Capture front user feedback on the new IT systems following full implementation.

**BoT 17/18 6 H. Student Experience**

The Deputy COO (Student & Academic Experience) presented a report on School progress against the Students’ Union priorities. The SU priorities had been established for 3 years and would be reviewed and voted on by the student body during this academic session. The School and SU partnership on these priorities would be continually evaluated to ensure progress and beneficial change.

The Board discussed the need for trust between the School, the Board and the SU and the need to develop cohesion and a joint agenda. How the students’ political engagement would be channelled for positive change was discussed. It was agreed that a joint plan would aim to build trust and have sustainable achievements.

The Board discussed the narrative that students had to do something extreme to achieve change and did not engage with the established structures. It was recognised that a partnership would require negotiation and compromise on both sides.

The Board agreed that further transparency was required to ensure the student body were aware of how decisions were made and how the Board engaged with the student body. The Board noted that there would be a presentation from the SU at the September meeting.

**BoT 17/18 2 I. Equality & Diversity Annual Report**

The Registrar and Secretary presented to the Board the Annual Equality, Diversity and Inclusion Report.

The Board noted that the School would be applying for the Race Equality Charter mark and reassessing their work in relation to Athena Swann. It was essential that this would support structural and cultural change and was not just a box ticking exercise. The BME work would continue next academic sessions with participation from current and previous Sabbatical Officers. It was an opportunity to learn and share best practice.
The Board noted that there had been significant progress on the promotions done better project and the aims for next academic session would be confirmed during the summer.

The Board approved the Equality, Diversity & Inclusion Report.

**BoT 17/18 2 J. Risk Management Policy**

The Director of Governance and Legal Services presented the revised Risk Management Policy to the Board.

The Board approved: the revised Risk Management Policy

**BoT 17/18 2 K. Whistleblowing Policy**

The Director of Governance and Legal Services presented the revised Whistleblowing Policy to the Board.

The Board approved: the revised Whistleblowing Policy

**BoT 17/18 2 L. Anti-Harassment Measures**

The Director of Governance and Legal Services presented a paper outlining the School’s anti-harassment measures.

The Board discussed the School’s current approach to Anti-Harassment and the various routes for reporting or support that students had the option to access. The Sabbatical officers shared that students appreciated multiple routes for reporting. The School’s policies and procedures were reported to be robust however there was not sufficient information on how well they were utilised as there was a low level of reporting. There was not currently an anonymised reporting system.

The School have informal and formal data, as do the SU, so it was hard to have a central point of data. This would be reviewed next academic session as the joint work on ‘Enough is Enough’ was developed by the School and the SU. A Lay Trustee would be linked to this work.

**Action:** Report back to the Board on figures and actions in this area.

The Board noted the report

**BoT 17/18 2 M. Standing Orders**

Academic Board had reviewed Standing Order XiV: Procedures for the Amendment of Standing Orders and these had been approved by the Governance and Nominations Committee. These amendments were now being presented to the Board of Trustees for final approval.

The Board approved the amendments.

**BoT 17/18 2 N. Subcommittee Reports/Minutes**

The Board noted the following subcommittee minutes:

- Academic Board
- Audit Committee
- Health, Safety & Security Committee
- Resource & Planning Committee (open minutes)
BoT 17/18 2 O. Valedictions

The Board thanked Gautam Dalal, Dimitri Cautain, Mehdi Baraka and Chris Ince for their contributions and support.

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

The next meeting of the Board of Trustees will be on Wednesday 19 September 2018

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<th>Action</th>
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<tr>
<td>BoT 17/18 2 H.</td>
<td>Share Charity Commission letters with Trustees.</td>
<td>September 2018</td>
<td>SU Co-Presidents</td>
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<tr>
<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</td>
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<tr>
<td>BoT 17/18 6 F.</td>
<td>Develop and share project plan with workstreams, dependencies and resources to underpin Academic Strategy</td>
<td>November 2018</td>
<td>EB Project Board</td>
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<tr>
<td>BoT 17/18 6 G.</td>
<td>Capture front user feedback on the new IT systems following full implementation</td>
<td>Ongoing</td>
<td>Registrar</td>
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<td>BoT 17/18 2 L.</td>
<td>Report back to Board on figures and actions in regard to Anti-Harassment Measures</td>
<td>September 2018</td>
<td>SU Co-Presidents &amp; Tamsyn Barton</td>
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The Board of Trustees is asked to **note** the documents

### Executive Summary

The documents below are provided at the start of each academic session as information documents for the Board of Trustees. Please find below:

- Membership & ToR
- Procedures for the Conduct of Meetings
- Trustee Code of Conduct
- Board Annual Plan
- Board Priorities

### Recommendations & Next Step

N/A

### Financial Impact

N/A

### Risks

N/A

### Equality implications

N/A

### Consultations

N/A
Standing Orders of the Board of Trustees
These Standing Orders were first issued in July 1997 by the Board of Trustees, under the powers conferred by the then Article V (now Article IV) of the Charter of Incorporation. They have been subject to amendment by Board of Trustees since that date.

I. Board of Trustees
(i) In furtherance of its overall responsibility for the general supervision, direction and control of the School, the Board of Trustees may override any decision made by any other properly constituted body of the School or any Lay or School Officer.

(ii) The Board of Trustees will elect a Chair, Vice-Chair and Honorary Treasurer for a term of office of four years, re-electable once. The Vice-Chair and Honorary Treasurer must be elected from the membership of the Board of Trustees.

(iii) The Board of Trustees will normally hold ordinary meetings six times per annum. The Registrar and Secretary (COO), the Director of Governance & Legal Services, Deputy COO Resources & Planning and two Heads of Department will be in attendance.

(iv) The Board will hold one informal meeting per annum. This meeting will be held jointly with the Academic Board.

(v) The Board of Trustees will only amend its Standing Orders and the procedures for the conduct of committee meetings at an ordinary meeting.

(vi) The Board of Trustees will appoint the following Standing Committees and approve their membership and terms of reference:

- Academic Board
- Audit Committee
- Executive Board
- Health, Safety & Security Committee
- Honorary Degrees & Fellowships Committee
- Governance & Nominations Committee
- Resources & Planning Committee
- Senior Staff Remuneration Committee

(vii) The Board of Trustees will appoint the Director of the School and will establish an Appointments Committee for this purpose;

(viii) The Board of Trustees will appoint a Clerk to the Board of Trustees (normally the Director of Governance & Legal Services) of the School and will establish an Appointments Committee for this purpose;

(ix) The Board of Trustees will appoint Pro-Directors, on the recommendation of the Director, following appropriate internal consultation procedures. The Pro-Directors will normally serve for a period of five years, renewable once for a period of up to five years;

(x) The Board of Trustees will appoint each year external auditors on the recommendation of Audit Committee;

(xi) The Board of Trustees will keep under review the School's Charter and will approve any changes to the Charter for recommendation to the Privy Council;

(xii) In furthering its overall responsibilities the Board of Trustees will:

a. Approve the School's corporate strategic plans and financial forecasts;
b. Approve the annual budget and the annual accounts;
c. Approve capital projects and other contracts with a total cost exceeding the limit set out in the Budgetary Authorities;
d. Approve proposals for the School to raise its sector regulator determined external borrowing limit;

e. Approve changes in the allocation of the School's investment funds in excess of £2 million;

f. Seek and consider the advice of Academic Board on matters affecting the academic scope and academic structure of the School;

g. Approve changes to the academic structure of the School;

h. Implement the staffing procedures laid down by the sector regulators and other relevant legislation;

i. Provide members to serve on panels to consider final appeals under staff and student grievance and disciplinary procedures;

j. Approve the Director's annual report;

k. Approve changes to Standing Orders, such changes to be made only at an ordinary meeting of the Board of Trustees;

l. Make arrangements for the delegation of responsibility to the Chair and other Lay and School Officers;

m. Make arrangements for the declaration of interests and other governance procedures according to the sector regulator guidelines and standards of good practice recommended by the Committee of University Chairs;

n. Execute all other necessary business in the furtherance of the aims of the School;

o. Oversee the monitoring of institutional effectiveness;

p. Monitor the School’s risk environment and monitor and approve the School’s risk register.

(xiii) The Board of Trustees will publish on an annual basis the appropriate year’s audited accounts and the Director’s annual report. These will be published no later than 31 December each year.

Annexes XVII and XVIII contain information about the Board of Trustees’ primary responsibilities and reserved powers.

XVII Appointment Procedures for the Pro-Directors

1. All recruitment, selection and appointment processes will be undertaken in a manner which is consistent with the School’s Equal Opportunities Policy and best practice.

2. The Pro-Directors will normally be selected from the senior academic staff of the School. In exceptional circumstances following consultation with Executive Board, a fixed term post may be externally advertised.

3. The Director will invite applications from members of academic staff. Heads of academic, administrative or service departments may nominate suitable persons, provided those persons are prepared to stand.

4. The Director will arrange for interviews with shortlisted candidates following normal selection procedures for senior academic posts. Interview panels may include an external referee and/or a lay Member of the Board of Trustees.

5. The Director will make a recommendation to the Board of Trustees which will confirm the appointment.
XVIII Procedures for the Conduct of Committee Meetings
These procedures apply to the Board of Trustees and all of its Committees.

1. Meetings of all Committees will be scheduled annually in advance, to allow the orderly conduct of business through to meetings of the Board of Trustees.

2. In the case of a Committee which has no lay members, an agenda paper and supporting papers for each meeting will be sent to each member not later than the third working day before the scheduled meeting and normally five working days before. If a Committee has lay members, an agenda paper and supporting papers for each meeting will be sent to each member not later than the fifth working day before the scheduled meeting and normally seven working days before. This applies to ordinary and extraordinary meetings.

3. The Chair, together with the Secretary, will set a deadline for receipt of papers in order that the agenda may be distributed to Committee members in a timely fashion.

4. No business will be transacted at an ordinary meeting other than that specified in the agenda paper except for any matter of which the Chair has been advised in advance, which he/she considers urgent, and which has arisen too late to be specified in the agenda. No papers may be tabled without the consent of the Chair.

5. Committee agendas shall include reserved items where matters under discussion are of a sensitive nature for reasons of protocol or commercial interest or because they relate to individual or identifiable staff or students.

6. The School operates a core meeting hours policy for the timing of institutional meetings. Core meeting hours are 9.00am – 5.00pm Monday to Friday. All meetings should be held within core hours unless there is a very clear reason why this is not possible. If one-off events need to be organised outwith core hours e.g. Board of Trustees/Academic Board Joint Meeting, these should be announced with plenty of notice (at least 6 weeks) so that colleagues can make alternative arrangements to cover their out-of-work responsibilities.

7. There will be a quorum for all Committees which unless specified otherwise will be one third of the membership. For the Board of Trustees the quorum will be eight, the majority of whom must be lay members, for Resources & Planning Committee five, for Academic Board nine, for Audit Committee two and for Executive Board six. For the Academic Senate the quorum will be 30.

8. Where issues are put to the vote, a majority of those present and voting will be binding. Should the Committee be equally divided, the Chair may exercise a casting vote. Vote tallies (and minority opinions raised during meetings) will be minuted.

9. When necessary a Committee meeting may be adjourned but notice of the adjournment and the date it is to be reconvened will be sent to each member, giving at least three working days notice of the intention to reconvene. In the case of Committees with lay members, at least five working days notice of the intention to reconvene will be given.

10. With the exception of the first meeting of each session, the first business of every ordinary meeting of all Committees will be approval of the minutes of the previous meeting. At the first meeting of each session, the first item on the agenda will ask each committee to note its membership and terms of reference, as well as the Procedures for the Conduct of Committee Meetings.

11. The Chair is responsible for the conduct of the meeting. Members are required to cooperate with the Chair to ensure the fair and effective transaction of business, and the observance of the courtesies of debate.
12. Meetings must be conducted in a constructive, non-confrontational atmosphere and the authority of the Chair must be respected at all times. Members who are guilty of obstructive or offensive conduct will be warned by the Chair that their behaviour is unacceptable. If this behaviour continues, they may at the discretion of the Chair, be asked to leave the meeting.

13. The Chair may at any time call an extraordinary meeting.

14. The Chair will call an extraordinary meeting on the receipt of a written request to that effect stating clearly the purpose for which the meeting is required and signed by no fewer than five members in the case of the Board of Trustees, three for Resources & Planning Committee, eight for Academic Board and one third of the membership for other Committees. Extraordinary meetings of the Academic Senate, focusing on a specific issue, may be called by the Director, 50% of Academic Board, or 60 members of the Senate writing to the Senate Chair.

15. Notice of an extraordinary meeting will be issued a minimum of five working days before the meeting is convened where the Committee has no lay members, and seven working days when the Committee has lay members.

16. The agenda for an extraordinary meeting will only contain papers relevant to the issue(s) under discussion. The meeting will not be asked to approve minutes, deal with any matters arising, nor will any other business be allowed.
SOAS Board of Trustees – Code of Conduct

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>
</table>
| https://www.soas.ac.uk/about/studentcharter/ | • All members comply with the Respect at SOAS Policy, in their roles as trustees
• Ensure fair and transparent recruitment of trustees
• Consideration of equality issues for all Board papers
• Code of Conduct for meetings at SOAS
• Stewardship of SOAS estate |

<table>
<thead>
<tr>
<th>Respect</th>
<th>Engage</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Treat all members of SOAS fairly and with dignity</td>
<td>1. Seek excellence in research, teaching and learning</td>
</tr>
<tr>
<td>2. Encourage diversity and promote equality</td>
<td>2. Participate fully as partners in a community of scholars and be guided by each other</td>
</tr>
<tr>
<td>3. Be punctual and reliable in attending meetings and classes, participate fully and support others in doing so</td>
<td>3. Make full use of mechanisms for representation and consultation in decision making and the development of SOAS</td>
</tr>
<tr>
<td>4. Recognise the need for fairness and consistency</td>
<td>4. Participate in the wider life of SOAS, such as social, cultural and political activities</td>
</tr>
<tr>
<td>5. Use facilities sustainably and maintain them in good condition</td>
<td>5. Be aware of, and abide by, regulations, policies and procedures</td>
</tr>
<tr>
<td>6. Be respectful, understanding and helpful in all interactions</td>
<td></td>
</tr>
</tbody>
</table>
6. Critically engage with our history and celebrate our expertise and achievements

<table>
<thead>
<tr>
<th>Support</th>
<th>Communication</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Encourage awareness and make use of academic, pastoral and other support services</td>
<td>• Act as leaders and exemplars in their behaviours</td>
</tr>
<tr>
<td>2. Encourage awareness and make use of training and mentoring services</td>
<td>• Engage with the appraisal of Trustees and setting of individual goals</td>
</tr>
<tr>
<td>3. Participate in administrative processes appropriately and promptly</td>
<td>• Contribute to the overall setting of the strategic agenda for the Board</td>
</tr>
<tr>
<td>4. Provide and make use of timely and good quality feedback on assessments</td>
<td>• Participate in School appeal panels</td>
</tr>
<tr>
<td>5. Take advantage of opportunities for personal development</td>
<td>• Undertake additional training or take up development opportunities</td>
</tr>
<tr>
<td>6. Encourage awareness of complaints and appeals processes</td>
<td>• Show duty of care not to risk the School’s property or funds</td>
</tr>
</tbody>
</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
- Act in the interests of the charity, and not as a representative of any sectoral interest
- Act impartially
- Act fairly, respectfully and consistently
- Avoid, or declare, any conflict of interest
- Act collectively and achieve consensus, where appropriate
- Show duty of care not to risk the School’s property or funds
- Act within powers of the Board
- Comply with relevant legislation including that on equality, freedom of speech, bribery, health and safety and information compliance

**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/
BOARD & COMMITTEE PLAN. JUNE – DECEMBER 2018

Paper structure agreed with Marie:

• We would include the headings for each section of the Director's and Registrar's report on the agenda and briefing note.
• The Registrar's report would include an update on the 'Progress towards the financial strategy' at each meeting.
• The Director's report would be amended to include the objectives for each strategy component at the top of the progress and risk update box.
• We would continue to include the Director's monthly reports in the papers.
• Graeme's financial reports- which are reported to RPC- would be included in the Board Papers at the back of the pack with the minutes from other committees, for reference if required. The Registrar's report would summarise the headline

Standing Items for all Committee Meetings

• Declarations of interest
• Minutes of last meeting, actions and matters arising

Standing Items for Board Meetings

• Director’s report
• Registrar’s Report
• Risk Overview
• Sub-committee minutes/reports

Wednesday 19 September 2018 – 15.00-18:00 – Board of Trustees

• Membership & Terms of Reference
• Procedures for the conduct of meetings
• Annual Plan of work
• International update
• Update on Strategy
• Senate Annual Report
• Formal report from SSRC
• HP and new Sabbs to provide update on legal training- feedback and key messages
• Harassment- SU item
Tuesday 09 October 2018 – 14.30-17:00 – Resources & Planning Committee

- Membership & Terms of Reference
- Financial statements
- Revised Budget forecast
- Director’s Report
- Investment Advisory Panel minutes
- Capital and Debt statement and cash flow
- HR Strategic plan and risk register
- Infrastructure strategic plan and risk register
- Estates and IT Committee termly report

Thursday 11 October 2018 – 10.00-12:00 – Audit Committee

- Membership & Terms of Reference
- Deep dive: Head of a department (department to be confirmed)
- Internal audit report
- Internal audit plan for academic year
- Plan for Audit Committee Annual Report
- Role of Board in Quality Assurance
- Risk Register

Monday 15 October 2018 – 14.00-15:00 – E&IT Governance Development Board

- TBC

Wednesday 31 October 2018 – 14.00-16:00 – Academic Board

- Membership & Terms of Reference
- Research Impact Report
- Implementation of Safeguarding Policy
- Learning, Teaching and Student Experience Strategic plan and risk register
- Research Strategic plan and risk register

Thursday 01 November 2018 – 09.00-10:00 – Governance & Nominations Committee

- Membership & Terms of Reference
- Lay Trustee committee membership
- Lay Trustee committee engagement
- Committee vacancies, as required
- Skills matrix and diversity matrix
- Governance strategic plan and risk register
- Lead Trustee progress update
Thursday 01 November 2018 – 10.00-11:00 – Honorary Degrees & Fellowships

- Membership & Terms of Reference
- TBC depending on nominations received

Tuesday 06 November 2018 – 10:00-12:00 – Audit Committee

- External Audit Report
- Draft Audit Committee Report
- Internal Audit report: Chosen subject
- Draft financial statements
- Risk Register
- Summary Quality Assurance Report
- Draft Value for Money Report and Plan

Thursday 15 November 2018 – 14:30-17:00 – Resources & Planning Committee

- Financial statements
- Revised Budget forecast
- Director’s Report
- Investment Advisory Panel minutes
- Capital and Debt statement and cash flow
- HR Strategic plan and risk register
- Infrastructure strategic plan and risk register
- Estates and IT Committee termly report
- Annual Assurance return
- ASSUR Report
- Prevent return
- External Auditors Exec Report & Management Letter
- Annual Report of Audit Committee
- Draft Value for Money Report and Plan

Tuesday 20 November 2018 – 15:00-18:00 – E&IT Governance Development Board

- TBC
Tuesday 27 November 2018 – 10:00-12:00 – Board of Trustees

- Key Performance Indicators
- Financial Statements
- External Auditors Executive Report & Management Letter
- The Revised Budget
- Faculty & Institute plans
- Annual Internal Audit Report
- Annual Report of the Audit Committee
- The Annual VfM Report
- The Health & Safety Annual Report
- ASSUR Report
- Inclusion at SOAS (Including Widening Participation)
- Student well-being- SU item

Wednesday 05 December 2018 – 10:00-12:00 – Academic Board

- Research Impact Report
- Implementation of Safeguarding Policy
- Learning, Teaching and Student Experience Strategic plan and risk register
- Research Strategic plan and risk register
- Widening Participation Report

December 2018-Jan 2019

- 1-2-1 meetings to be arranged for Chair of the Board with all Committee Members
- Board of Trustees- BME attainment gap- February

Chairs of Committee meetings

- Will be added to this doc as soon as they have been planned.

Lead Trustee Meetings

- Will be added to this document as they are planned.
SOAS Board of Trustees priorities

Outlined below are the SOAS Board of Trustees priorities which were agreed at the Board’s away day in January 2018. Below each priority is the focus for the next year.

1. Financial Sustainability

2. Student experience
   a. Partnership between management of SOAS and the student body, to improve the student experience and give students a sense of contributing to the development of SOAS, through formal and informal channels
   b. Understanding, through data, How are students are experiencing university life and how the awareness of academics on how to support students is being improved
   c. Cost transparency-e.g. a format to show students how fees are spent

3. International Strategy
   a. Building teaching delivery capacity in the regions in which SOAS specializes-inviting more academics from those regions to London.
   b. Progress on outcomes e.g. 2 new transnational partnerships, £2million additional income by 2019

4. Teaching excellence, with a focus going beyond the TEF
   a. Assurance on quality of teaching, to identify where academic staff are engaging seriously with new and different models of pedagogy and staff are well trained.
   b. A “real” curriculum review freeing up resources, including by reviewing unviable courses, to innovate in education delivery.
   c. Benchmarking with other universities including using league tables

5. Research Excellence
   a. The visibility of SOAS research, its impact and partnership with other institutions internationally and outside academia. Progress towards an excellent REF submission

6. SOAS voice
   a. A distinctive, integrated and coherent SOAS voice so the School contributes to the debate on Freedom of Speech and does further work on the decolonisation agenda.
The Board of Trustees is asked to consider the following Report.

**Executive Summary**

This terms report provides contextual information on the current international and domestic student markets and updates against the School’s strategic priorities.

Valerie Amos  
September 2018

**Recommendations & Next Step**

N/A

**Financial Impact**

N/A

**Risks**

As outlined in the report

**Equality implications**

N/A

**Consultations**

This paper was developed with consultation from key stakeholders in each strategic area.
### 1. SOAS Teaching, Learning & the Student Experience

**Delivering an exceptional SOAS student learning experience that challenges traditional perspectives and develops graduates who make an impact**

#### WE WILL ACHIEVE THIS BY

- Producing high quality graduates, postgraduates and researchers who understand and engage with the world and the regions in which we specialise
- Developing well-rounded individuals who can make a difference in their communities and the world
- Staff and organisational capability for lifelong learning and ongoing renewal
- A unique and fulfilling Student Experience

#### WE WILL HAVE SUCCEEDED WHEN

- We deliver an attractive and sustainable teaching portfolio where we meet our recruitment targets consistently while maintaining quality, measured by indicators that reflect our intake and student experience
- Our teaching is recognised worldwide through informal and formal rankings, so that we achieve and sustain upper quartile domestic league tables by 2025, plus TEF Silver by 2020 and Gold (or equivalent) by 2025
- The impact of our students is visible through informal and formal metrics, such that we achieve and sustain upper quartile of graduate destinations by 2025
- A unique and fulfilling Student Experience

---

### 2. SOAS Research

**Impactful research that applies a global lens to the critical issues of our time and creates new intellectual and strategic partnerships**

#### WE WILL ACHIEVE THIS BY

- Transforming the way we do research by transitioning from individual to more collaborative and cross-disciplinary research projects building on our unique regional and global research portfolio and strengths
- Establishing innovative structures, systems and processes that increase efficiency of research support and administration to maximise research outcomes
- Bid for research funding directed towards global challenges, building on our unique regional and global research portfolio and strengths
- Developing a new generation of academic leaders through tailored support for our academic community whether early career researchers or senior academics striving for large collaborative grants
- Expanding our national and international presence by engaging with HEIs, industry and the third sector to achieve meaningful and lasting research impact
- Building SOAS as a leading institution with a holistic approach to collaboration beyond research, in strengthening local infrastructures, research support and governance
- Targeting our research at the highest quality outlets possible and making it available Open Access wherever possible

#### WE WILL HAVE SUCCEEDED WHEN

- Research income continues to grow beyond our target of £7.5m in 2020 (considering both historic data and income secured & grants awarded)
- Our research is recognised worldwide through improved league table rankings and REF performance indicated by an increase in international co-authorship and production of at least 200 peer-reviewed journal articles per year

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### 3. SOAS People

**To attract, develop and retain a diverse & successful community of staff that supports the school in achieving its shared purpose**

#### WE WILL ACHIEVE THIS BY

- Developing and implementing a property strategy and investment programme to create and manage the right physical environment to realise our aims
- Developing a new generation of academic leaders through tailored support for our academic community whether early career researchers or senior academics striving for large collaborative grants
- Transforming the way we do research by transitioning from individual to more collaborative and cross-disciplinary research projects building on our unique regional and global research portfolio and strengths
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- Targeting our research at the highest quality outlets possible and making it available Open Access wherever possible

#### WE WILL HAVE SUCCEEDED WHEN

- We attract and retain the brightest and the best, measured through high quality teaching and research metrics
- We have transformed engagement with and between staff, student and alumni communities
- We have a strengthened brand profile, reputation and perception
- We have delivered fundraising targets
- We have met our performance indicator on Internal audit confidence
- We have minimum cash balances to meet financial covenants
- There is a sustainable and funded capital plan
- The School delivers a 5% surplus for reinvestment by 2020/2021
- Infrastructure maintains high survey condition and scores highly in the NSS learning community metric
- There is a sustainable and funded capital plan
- The School delivers a 5% surplus for reinvestment by 2020/2021
- We have minimum cash balances to meet financial covenants
- We have met our performance indicator on Internal audit confidence

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### 4. SOAS Voice

**To project our core values clearly, confidently and consistently - challenging the establishment and driving social justice**

#### WE WILL ACHIEVE THIS BY

- Developing a property strategy and investment programme to create and manage the right physical environment to realise our aims
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- We have minimum cash balances to meet financial covenants
- We have met our performance indicator on Internal audit confidence

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### 5. Infrastructure

**To maximise the use of physical, financial and digital infrastructure to achieve our shared purpose**

#### WE WILL ACHIEVE THIS BY

- Developing an integrated marketing, communication, engagement, development and fundraising strategy - targeted at shared objectives, delivered by a robust, high quality operation. This will include:
  - Developing models and strategies for pay and reward structures that incentivise and motivate staff
  - Developing and implementing a property strategy and investment programme to create and manage the right physical environment to realise our aims
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Director’s Report

The overall international environment continues to be challenging for universities with the continued focus in the UK on leaving the European Union and the lack of clarity with respect to the terms of withdrawal. This lack of clarity is unsettling for staff and students, despite the announcement from Government that undergraduate EU students from EU countries attending English universities from September 2019 will incur the same annual tuition fees as students from England and will have access to student loans for the duration of their degree course. However the wider context in which the debate and discussion is framed, including perceptions of a less ‘open’ Britain, ongoing concerns about a rise in hate crime and rhetoric around immigration and refugees have to be continually addressed with prospective studies from the EU and elsewhere in the world.

The hope which universities had, that the Migration Advisory Committee report on the impacts of international students in the UK would make recommendations to reform the immigration system to encourage talented international students to choose the UK, were not realised.

Attached please find the report of the Migration Advisory Committee.  

Please find the UUK response to the Migration Advisory Committee report in Annex A.

UUK has made proposals for a new temporary global graduate talent visa to allow international students to work in the UK for a longer period after they graduate, encouraging a greater number to choose the UK. The proposal received extensive media coverage on the opening day of this year’s annual UUK conference.

Attached please find the UUK proposal and the speeches of Universities Minister Sam Gyimah and UUK President Dame Janet Beer.  
https://www.universitiesuk.ac.uk/news/Pages/New-visa-for-international-students-would-benefit-UK.aspx  

Against this backdrop, universities have been dealing with increasing competition in the annual recruitment cycle. At SOAS we faced another tough recruitment year as we wanted to maintain tariff to improve our league table performance over time and faced the challenge of 88% of students getting their first choice university place which made the clearing pool much smaller. Overall our undergraduate recruitment is down in several departments with Finance and Management, Law and History, Religions and Philosophies faring particularly badly against target. This has a significant negative impact on our bottom line despite the forecast of slight over recruitment at postgraduate level. The Registrar’s report gives the detailed figures of the admissions position.

To address the financial shortfall a number of actions are being taken, in addition to those contained in the Academic Strategy which was agreed at Executive Board in June. These are as follows:
- A phased programme of reforms to deliver efficiency and effectiveness at Departmental Level including ongoing conversations with under-recruiting department on their teaching needs to best manage the costs of teaching.
- Accelerating our retention and success and NSS strategies to improve the student experience and aid retention.
- Fast tracking the proposals for a Foundation Year.
- Fast tracking a series of new online proposals.
- Prioritising areas for partnership development.
- Accelerating moves to improve the attractiveness of our portfolio.

The full range of actions will be reported to Resources and Planning Committee in October.

August brought the good news of our successful TEF appeal and award of TEF silver. This is a testament to the diligent and focused work of Professor Johnston and colleagues who produced evidence to bring about the change.
After two years of scrutiny SOAS have been advised that we have demonstrated sufficient evidence of compliance with the Prevent duty. My thanks to Paula Sanderson and the team who worked so hard to make this possible. Below please find the monitoring of priority areas against key strategic objectives.

Valerie Amos
September 2018
Commentary:

This summer has shown the continued impact of SOAS’s slide down the league tables on applications from strong profile students. Previous work to tighten tariff will take another year to impact on league table positioning. This makes strengthening other aspects of our league table vital. The most important is the NSS, as this is diverging strongly from sector averages and also has a rapid impact on league tables.

In EB, we have agreed on a strong NSS approach with our SU and our wider student body, with two parallel foci: improving underlying performance in assessment, student support and teaching quality; and an institution level debate about the impacts of the politicisation of the NSS at SOAS. Our NSS has seen dramatic falls in all categories since the SU boycott, in a way that does not seem to reflect underlying student experience.

The impact of TEF Silver is expected to be felt in the 2019 recruitment round. However, we need to continue to make improvements and to prepare ourselves for TEF Subject level in 2019/20.

5 professional service groups are being relocated to repurpose G1 as student space. This will increase the School’s student space by 280 m2. This project was agreed following a student staff consultation, which highlighted the need for more quiet and flexible student space.

On 6th September 2018, Institute of Ismaili Studies (IIS) hosted a celebratory event at the Aga Khan Centre to commemorate the signing of the Memorandum of Agreement between SOAS and IIS. SOAS will award MA degrees
for the Graduate Programme in Islamic Studies and Humanities (GPISH) and the Secondary Teacher Education Programme (STEP).

A proposal for a £7.5m gift to create and support the International Hausa Studies Programme was submitted to the Dangote Foundation, Nigeria, over the summer. The proposal was authored by Prof Mashood Baderin and Prof Lutz Marten. The Emir of Kano (who attended the President’s Drinks Reception in July) has backed this proposal to the Foundation. The proposal provides a financially sustainable approach to the teaching of Hausa at SOAS.
Research

Strategic objectives:
• Transforming the way we do research by transitioning from individual to more collaborative and cross-disciplinary research projects building on our unique regional and global research portfolio and strengths
• Establishing innovative structures, systems and processes that increase efficiency of research support and administration to maximise research outcomes
• Bidding for research funding directed towards global challenges, building on our unique regional and global research portfolio and strengths
• Developing a new generation of academic leaders through tailored support for our academic community whether early career researchers or senior academics striving for large collaborative grants
• Expanding our national and international presence by engaging with HEIs, industry and the third sector to achieve meaningful and lasting research impact
• Building SOAS as a leading institution with a holistic approach to collaboration beyond research, ie strengthening local infrastructures, research support and governance
• Targeting our research at the highest quality outlets possible and making it available Open Access wherever possible.

Key Achievements
• Internal funding has been awarded to strategically important projects via the Seed Corn Fund; in addition, the Engagement and Impact Fund and Knowledge Exchange Fund have been launched and funding will be awarded by July.
• REO have run their REO Workshop series, including for the first time a specialist programme on understanding research impact, writing impact case studies and gathering evidence of impact. Online training is being scoped for implementation in 2018/19.
• An analysis of each department’s REF submissions and progress has been undertaken and key actions have been agreed with all departments. Moderation guidance will be provided to departments to ensure consistent and effective use of moderators.

Risks
• Work on-going with IT and Finance to establish WT/Agresso interface
• There was lower than anticipated participation in the Research Ethics training. This training will be expanded next academic year to ensure that all staff have the appropriate understanding of ethics and research integrity.

Commentary:
August is traditionally a quiet month, but nonetheless awards totalling in excess of £2m were secured from the British Academy, UKRI and the European Research Council.

In our progress towards REF preparedness, we’ve focused on two principal activities: a review of the current state of our outputs, including a detailed look at the situation in departments where there are people who are yet to submit a REF-able output, and a stock-take of impact case studies. On outputs, targeted interventions will be delivered over the coming months. On impact, we are commissioning one of the leading external providers to provide expert advice on the initial drafts of our case studies and establishing a high-calibre Impact Advisory Board, and making full use of impact support funds to ensure we do this as well as we can. The School’s draft Impact Strategy, which has been in development for some months, will be considered by the Resources and Enterprise Committee in October, and will be published as soon as final approval is given.

We have begun a programme of work on enhancing the research environment at SOAS. This includes: devising and piloting a revised staff development review process that creates a stronger basis for professional development, career planning and the setting of expectations; moving towards completion on WAMS with an accelerated immersive “workload in a week” process and better integration of research into workload planning; and strengthening the architecture of research governance that includes restructuring of the Associate Director for Research roles so each of these roles speaks to the three REF areas: impact, environment and outputs. A programme of reforms to the Doctoral School has been launched, including establishing a means of engaging our doctoral researchers more actively in the process of improvement. Our Knowledge Exchange Fund has made a round of
grants to a series of very promising initiatives. Discussions are underway on revitalising our Enterprise work, including on creating an Enterprise Hub that would host an incubator for social entrepreneurs.
### People

#### Strategic Objectives
- Developing SOAS as an employer of choice both internally and externally
- Developing models and strategies for pay and reward structures that incentivise and motivate staff
- Organisational development and change
- Developing a culture of quality and high performance

#### Key Achievements
- Facilities Management staff transferred to SOAS employment with effect from 28 August 2018. In line with the commitments made, staff have transferred onto SOAS terms and conditions of employment.
- Operational plans for all elements of the People Strategy are now in place.
- Two new business partners have started within the HR directorate. The business partners will continue work to embed business partnering across the School. The model remains the principal vehicle for the development of performance management practice.
- We have successfully completed our first year using the new contracting and payment system for fractional staff. Some key developments have been applied to the system for the 2018/19 year to further improve the experience of our fractional colleagues.
- A revised timescale for implementation of One Professional Services is being developed with a view to achieving greater clarity on operating structures across all areas from October 2018. The HR Change Director starts on 17 September.
- A new Equality and Diversity Officer has started within the HR directorate. The role holder will initially play a key role in supporting our Athena Swan submission and action plan, together with supporting the development and implementation of an integrated equality and diversity people strategy.

#### Risks
- Equalities framework including key charter marks. There is a need for wider and deeper organisational management buy in and follow through on key changes and working practices.
- Develop core recruitment processes. Work might be hampered by capacity and turnover across all areas.
- Delays in the 1PS Consultation process have resulted in key recruitments not being made within agreed timeframe. Resistance to change remains an ongoing risk.
- High numbers of fixed term contracts within the professional services directorates create a risk to continuity and to staff engagement.
- Staff Turnover presents some continuity and capability risks. Key work is being managed and prioritised accordingly, but there is some risk of development activity slowing down. Need to continue ongoing consultation and communication to facilitate change.

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### Commentary:

**Employer of choice**

A revised recruitment policy is now in place, together with secondment and acting up policies. Take up of secondment and acting up methods has been high within professional services, demonstrating a commitment to staff development and engagement across the School.

Revised job recruitment packs with updated branding have been rolled out. A programme of work will begin in September to review our employer branding including benchmarking internal and external perception, candidate experience, and benchmarking our benefits across sectors, together with a review of our recruitment web pages.

**Pay and Reward**

Launching in September 2018, the School will run a second opportunity for staff to apply for a reward. Staff normally have the opportunity to apply for one off payments and additional increments in the summer term. However, as part of the School’s commitment to recognising positive performance, and incentivising and motivating staff, we have introduced a second opportunity for staff at grade 9 and below to apply for one off rewards.

**Universities Superannuation Scheme:**
The statutory USS employer consultation commences on 3rd September for two months. The Joint Expert Panel (JEP) set up to examine the valuation of the Universities Superannuation Scheme (USS) is expected to report to UCU and UUK in September.

National Pay Award:
A minimum 2% cost of living pay increase has been applied to base salaries in August. Higher increases, up to a maximum of 2.8%, will be applied to salaries on grades 2 to 4. These increases reflect the current offer made by the Universities and Colleges Employers Association (UCEA), on behalf of represented universities, as part of the national pay bargaining process. The offer has not been agreed by the trades unions (including UCU and Unison), who are now in dispute, nationally, about this matter. Both UNISON and UCU will be balloting for industrial action in September and October.

London Allowance:
SOAS London Allowance increased from £3,227 to £3,500 in August 2018. London allowance will be consolidated into basic pay with effect from August 2019.

Organisational development
In collaboration with AdvanceHE, and in concert with colleagues from Finance and Planning, in June the directorate led a workshop with key partners from across the School to explore and develop understanding of the business partnering model, and to develop best practice across the School.

Following the success of the workshop, a regular forum has been established for colleagues across professional services in business partner or equivalent roles to develop their understanding of the School’s strategic objectives and enable them to effectively contribute to their successful realisation. The first forum, which uses a world café discussion format, focussed on teaching and learning took place in July. A forum focussing on research is in place for September.
Commentary:
SOAS's commitment to bring facilities management and catering services in house reached an important stage with staff transferring to SOAS employment. Colleagues working in Catering, Hospitality, Security, Cleaning, Maintenance and Logistics Services became SOAS employees on Wednesday 29 August 2018. Estates and Human Resources teams have been working closely with Unison representatives to ensure a smooth transfer in line with the commitment made by the School on 4 August 2017.

Excellent progress has been made on the Brunei renovation project over the summer with the lower ground floor works due to complete on 14 September. Stage 1 of this project will deliver a fully refurbished 290 person lecture theatre with audio and media capacity to allow cinema-quality screening of foreign language films. Stage 2 of this project will commence in October and will deliver the conversion of a conferencing open plan area and kitchen, into a large languages lab and linked study/multi-use zone and the refurbishment of a range of learning spaces with appropriate layout and sound-proofing. A series of office moves is currently underway which will free up 280m2 of space immediately off the newly refurbished main building entrance foyer for use as additional student study space. The recruitment projections for September 2018 indicate a potential annual income shortfall of £0.7m for 2018-19 rising £5.4m by 2020-21 should recruitment remain at these levels. This will necessitate an increase in savings and income growth targets.

The Office for Students (OfS) are currently reviewing our application to be a registered provider of higher education. To date we have received minimal communications from them with only two requests for additional information/clarification on the financial sums within our Access and Participation Plan and how we ensure our...
Trustees are 'fit and proper'. OfS have confirmed that our responses thus far have been satisfactory. They have however suggested that a number of (other) applications had taken significantly longer to review than anticipated and therefore are unlikely to issue their decision until the end of September at the earliest. The new time frame does mean that there will be a further delay in our inclusion on their register of providers. This is not ideal as we are therefore unable to confirm to students our fees or their access to student finance for 2020-21 onwards. We are still however able to publish our proposed fees online and certain suggested caveats.
Commentary:
During Graduations this July, SOAS Honoraries were invited to preside over the six ceremonies, this approach was received well with each presenter giving a unique message in their address to students. The Honorary degrees that were presented this year have received a range of media coverage with Forest Whitaker’s address to students featured in the press (Nigeria Press, West End Extra and The Voice) and Chimamanda Ngozi Adichie’s address being widely shared on social media.

Times Higher Education reported on the preliminary findings from a three-year SOAS research project looking at Islam on UK campuses. The research, led by Professor Alison Scott-Baumann and funded by the AHRC and ESRC, found that many Muslim students modify their behaviour as a result of the government’s Prevent strategy by self-censoring or disengaging from campus life and their studies for fear of being stigmatised, labelled extremist or subjected to discrimination. Earlier this year Professor Scott-Baumann also gave evidence the Joint Committee on Human Rights on free speech and the importance of strengthening interfaith work on campus.

As outlined in the response to admissions section above, each department will be reviewing their approach to marketing and how they use HE sector information to identify key areas for growth or promotion. This analysis will be undertaken at departmental level and embedded into their operational plans.

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**Voice**

**Strategic objectives**
- Implementing a marketing and brand building strategy - to underpin sales, recruitment and strategic partnerships in key markets.
- Embedding an internal culture of excellence, enabling and driving change to establish SOAS as a first class institution
- Improve the external profile of the institution and increase opportunities to promote the uniqueness and values of SOAS.

**Key Achievements**
- A Director of External Engagement, Policy and Alumni took up post on 10\textsuperscript{th} September 2018.
- There have been a number of media reports on the work of SOAS and its staff both domestically and internationally.

**Risks**
- Delays in the recruitment of key posts have resulted in significant delays to key pieces of work including the external engagement and marketing plans.
- The Voice strand has not yet been developed and the actions to achieve the objectives have not been identified. This will be priority for the new Director of External Engagement, Policy and Alumni to ensure there is clear vision and strategy within this area.
Commentary:
SOAS has made reasonably good progress in a short period of time in establishing an overseas teaching partnership which will serve as a model for similar schemes of this sort. Our priority now is to find other opportunities where we can develop similar partnerships. There are also a series of other initiatives – foundation year teaching, online learning – where the rapid development of new initiatives is both feasible and desirable. All of these will contribute to the growth of our global engagement profile. In a time of greater competitiveness, it is essential that we prioritise those possibilities for increasing our global outreach that both secure our reputation and increase our revenue while remaining close to our core values and mission.
Annex A: UUK Response to Migration Advisory Committee report on international students

Universities UK responded today to the publication of the Migration Advisory Committee (MAC) report on the impacts of international students in the UK.

Responding to the report, Professor Dame Janet Beer, President of Universities UK and Vice-Chancellor of the University of Liverpool, said: “While the report recognises the enormous contribution international students make to life in the UK, we are disappointed with its main recommendations. We agree that the government and the sector should continue to work together to grow the number of international students, but growth will only be possible if we have an immigration system that encourages talented international students to choose the UK.

“The ability to work in a skilled job for a limited period after graduation is, for many prospective international students, an important part of the overall package when deciding where to study. Universities UK called last week for a new graduate visa that would make the UK more attractive to students and would allow a wider range of employers, in all parts of the UK, to benefit from access to talented graduates from around the world. This improved post-study visa would put us on a par with what is offered by countries such as the US, Canada and Australia.

“While the UK continues to count international students as long-term migrants in its net migration target, there is a continued pressure to reduce their numbers. This adds to the perception that they are not welcome here. In countries such as the US, Canada and Australia, international students are classified as temporary migrants, alongside tourists and visitors. A change of policy from government in this area would have public backing. Polling suggests that the British public does not see international students as long-term migrants, but as valuable, temporary visitors.

“We know from the latest government data that there is very high visa compliance by international students. The vast majority come to the UK for a period of study, then return home.

“This is an area in which the UK can say it is truly world-leading. While the UK remains one of the most popular locations in the world for talented international students and staff, we have seen a slowdown in recent years compared to other countries. The UK could be doing much better than this, with the potential to be one of the world’s fastest growing destinations for international students and staff. There is now a real opportunity for the UK to develop an immigration policy that recognises the value of international students as temporary visitors and tells the world that they are welcome here.”

ENDS

Notes

1. The Migration Advisory Committee (MAC) report is available to download from the MAC website.

2. In 2016-17, 442,375 international students made up 19% of all students registered at UK universities (6% from the EU and 13% from non-EU countries). The income and economic activity of these students resulted in £25.8 billion in output and 206,600 jobs for the UK economy in 2014-15 alone. International students also enhance the academic experience of domestic students and add to the UK’s soft power abroad, with 57 current world leaders having been educated in the UK.

3. In other countries, it is widely accepted that international students are temporary citizens whereas in the UK they are categorised alongside those who have a route to staying in the UK permanently. For example, in the USA international students are classified as non-immigrants alongside tourists, business visitors and those on cultural exchange programmes, in Australia they are classified as temporary migrants alongside tourists and visitors and in Canada they are classified as temporary residents.

4. In terms of international student enrolments, countries such as USA, Australia, France and Germany all continue to grow at a faster rate than the UK, with growth rates in 2014-15 of 9.4%, 10.7%, 1.8% and 8.7%
respectively. Over the same period, the UK’s international enrolments grew by just 0.5%. See the latest *International Facts & Figures* publication.

5. During its annual conference last week, Universities UK called for a new visa to allow international students to gain work experience in the UK for up to two years after graduation. In 2012, the UK government scrapped the post-study work visa which had allowed international (non-EU) students to stay in the UK and work for up to two years after graduation. The new visa would allow a wider range of employers – in all parts of the UK – to benefit from access to talented graduates from around the world, including small and medium employers who do not have Tier 2 sponsorship licences, usually due to the high costs and bureaucracy involved.

6. A new poll published last week from ComRes, based on the views of more than 4,000 British adults, revealed also that in relation to the UK government’s immigration policy, only a quarter (25%) of British adults say that they view international students coming to study at UK universities as immigrants. It revealed also that nearly three quarters (72%) of British adults polled think that international students should be able to stay in the UK post-graduation for one year or more to gain work experience.

7. Universities UK is the collective voice of 136 universities in England, Scotland, Wales and Northern Ireland. Its mission is to create the conditions for UK universities to be the best in the world; maximising their positive impact locally, nationally and globally. Universities UK acts on behalf of universities, represented by their heads of institution. Visit: [www.universitiesuk.ac.uk](http://www.universitiesuk.ac.uk)
Director’s Report
Summer 2018

Spotlight on Graduation 2018

We completed our 2018 SOAS Graduation Ceremonies at the end of July with 1500 students graduating in six ceremonies over three days.

As our President Dame Graça Machel was unable attend due to commitments in South Africa linked to the Nelson Mandela Centenary, we were delighted that SOAS Honorary Fellows and Graduates Sir David Adjaye OBE, Kanya King CBE, Sokari Douglas Camp CBE, Zeinab Badawi, Professor David Khalili and Claudia Roden were able to preside on her behalf. Each brought a unique message and insight linked to our values, their area of expertise and their personal experience of engaging and connecting globally.

L-R: Professor Mashood Baderin (SOAS), Cllr Jenny Headlam-Wells (Mayor of Camden), HRH Muhammad Sanusi II, CON, The Emir of Kano, Baroness Valerie Amos, Michael Palin, June Givanni and Forest Whitaker

During the week of ceremonies, actor and social activist Forest Whitaker; writer and activist Chimamanda Ngozi Adichie; world-renowned author Dr Jung Chang; leading film curator June Givanni and prominent human rights activist Vrinda Grover were honoured, with each giving a special message to our graduating students in their address. In her speech, Dr Chang noted that SOAS was the place where she wrote her critically-acclaimed novel Wild Swans: Three Daughters of China.
The ceremonies were live streamed via the SOAS website and many pictures of graduating students, as well as special moments from the ceremonies, were shared on the day. Chimamanda Ngozi Adichie and Forest Whitaker’s messages were replicated on social media and also in the press.

I was pleased to welcome the Emir of Kano, Honorary Fellow and SOAS supporter Michael Palin and Jenny Headlam-Wells Mayor of Camden as well as Honorary Fellows and graduates, staff, guests, Trustees and other SOAS supporters to the President’s Drinks in advance of graduation.
Sanctuary Scholar Ahmad Al-Rashid from Syria graduated this year. Congratulations to Ahmad and to all our graduating students.

I would like to thank all the staff who helped to make graduation special and ensured the days ran smoothly, including having to deal with a fire alarm in the middle of one ceremony! We had 200 members of staff helping on the day as well as 20 student ambassadors. The atmosphere as always was special. Our musicians, Grupo Lokito, Kadiay Kouyate, Yijia Tu, Peadar Connolly Davey and Reylon Yount did a fantastic job. My thanks to all of them.

Self-delivery update

At the end of August, colleagues working in Catering, Hospitality, Security, Cleaning, Maintenance and Logistics Services transferred to SOAS employment. To mark the occasion, a BBQ event was held to welcome new colleagues from across the catering and facilities teams.

Over recent months our Estates and Human Resources teams have worked closely with Unison representatives to agree a framework for staff to transfer to SOAS terms and conditions. This is in line with the commitment made by the School on 4 August 2017.

My thanks to Steve Tinton who chaired the Project Board which oversaw the transfer and to everyone who worked so hard to make this possible in the time frame agreed.

The SOAS Food team are launching the new food offer for the start of the new term and welcome feedback on the new service.

TEF appeal – SOAS awarded Silver

We are all extremely pleased that SOAS has been awarded a silver TEF ranking, following a successful appeal to the Office for Students (OfS). However we cannot be complacent. As a strong global university with a diverse student body we offer a distinctive teaching and learning experience. We will continue to focus on driving up standards in teaching, assessment and feedback which are critical to enhancing the student experience at SOAS. We also need to address our poor continuation rates in some areas and for all of our students we must provide an environment that develops their skills, opportunity and wellbeing.

University Challenge

Huge congratulations to the SOAS University Challenge team for making it through to the televised rounds for the third year in a row. The students representing the School were Mark Thomas (BA Global Cinemas and Screen Arts); Chad Beamann (BA Japanese); their captain Harriet Gemmill (MA Sinology); and Tom Pollitt (LLM International Law). The
episode is available to watch on BBC iPlayer. Despite SOAS putting up a strong performance, the team did not make it to the next round.

Reception/ G1

I hope that everyone has seen the changes to the reception area which improves the flow of people and creates a more open and welcoming space. The next phase will be putting in place the images and SOAS branding.

The School will also provide additional open and flexible study space for students at the heart of SOAS. Room G1 on the ground floor of College Building, behind our main reception, is being opened for use by students in the new academic year.

The space will contain some fixed desks, with power and USB charging sockets, some with PCs. Areas for quiet study and more flexible seating will also be provided. The space can also be used for workshops and practising presentations. This type of flexible provision has proved popular with students in the Paul Webley Wing.

The changes to G1 have in large part been funded through a legacy gift from an alumna of the school.

Thank you to the staff who have moved to other parts of the school to make this possible.

Academic Restructuring

The transitional year following the introduction of the School’s new academic structure ended on 31 July. The terms of office of the Interim Deans, Chris Bramall and Lutz Marten, have also now ended. The new roles of Associate Director of Research and Learning & Teaching have come into effect, replacing the former faculty-level positions of Associate Dean. The implementation of IT systems changes related to the restructuring and the introduction of the School’s new Workload Allocation Management System (WAMS) continue.

Human Resources

Interim HR Director Claire Appleby finished her assignment at SOAS at the end of August. Our thanks to Claire for her contribution to the school.

From 17th September, Erica Burke will join us as Interim Change Director, assuming responsibility for the 'One Professional Service' change programme and supporting implementation of the reforms in the Academic Strategy. Erica joins us from Birmingham City University and has extensive experience in change management and organisational development.
Recruitment to the substantive HR Director role, is being managed by Minerva Search, with interviews likely to take place in early November.

**SOAS Alumni Philanthropy Calling Campaign 2018**

Between the middle of June and end of July, a team of 25 current students called alumni around the world to help to keep them engaged with SOAS and to endorse them to opt in to communications with SOAS.

Our student callers reached just under 4000 alumni. Many expressed an interest in signing up for SOAS Connect and becoming alumni ambassadors as well as wanting to help the Sanctuary Scholarships campaign.

A number of alumni made financial commitments to SOAS campaigns totalling £41,637.

**SOAS in the media – July and August 2018**

SOAS academics commented on major world issues over the summer including the Mali elections, the outcome of the Zimbabwe elections, the future of South Sudan, President Mandela’s 100th birthday, President Trump’s visit to the UK and Prime Minister May’s visit to Africa.

Our Honorary Fellows celebrated at Graduation 2018 were featured in the Evening Standard, West End Extra and in The Voice.

Coverage of the new Brunei Gallery exhibition ‘Empire of the Sikhs’ was featured internationally and domestically, including in the Times (UK), Radio 4, Times of India, Hindustan Times, Des Pasdes, Scroll and others.

The exhibition From Madras to Bangalore: Picture Postcards as Urban History of Colonial India, curated by SOAS scholars Stephen Hughes and Emily Stevenson received coverage in The Hindu, describing the postcard exhibition as ‘The Instagram of the 1900s’.

Griseldis Kirsch discussed the hit reality show Terrace House on BBC News online and Arshin Adib-Moghaddam published an article on Iran’s Grand Bazaar in The Conversation. Alison Scott-Baumann was interviewed on the Today Programme on free speech. Ayesha Siddiqa, James Caron and Amina Yaqin provided commentary on the Pakistan elections. Stephen Chan gave extensive commentary on the Zimbabwe election outcome. Steve Tsang discussed the banning of the film Christopher Robin in China. Phil Clark gave a number of interviews on Theresa May’s visit to Africa and Mike Jennings published an article in The Conversation on the same topic.

**In addition:**

Haaretz: Yair Wallach published the article ‘How to Properly Protect British Jews From Labour’s Institutional anti-Semitism’
BBC Asian Network: Meera Sabaratnam discussed the Decolonising SOAS project

BBC Radio London: SOAS alumna Adwoa Darko was interviewed on why she picked SOAS, timed with A-Level results day


Financial Times: Article on research conducted by SOAS academics including Ulrich Volz on climate change and debt faced by countries (also in Reuters and syndicated widely)

The Conversation: Yuka Kobayashi published the article ‘China is building bridges with the world while the US puts up walls’

The Conversation: Aisha Phoenix published article ‘Colourism – how shade bias perpetuates prejudice against people with dark skin’

BBC Gardener’s World: Mehreen Chida-Razvi was a guest on the programme discussing the six Islamic Gardens at the Aga Khan Centre

**Valerie Amos**
September 2018
Registrar’s Report
The Board of Trustees is asked to **consider** the report

**Executive Summary**
The Registrar’s report provides a general update on Prevent, Office for Students and the One Professional Services Change process and a detailed report on the outcome of the 2018/19 recruitment round.

There are 4 appendices to the report that provide additional information:
1. Appendix A  Adjusting and Clearing
2. Appendix B  Undergraduate Admissions- detailed analysis
3. Appendix C  UG Financials by Department
4. Appendix D  PG Financials by Department

**Recommendations & Next Step**
N/A

**Financial Impact**
As outlined in the paper.

**Risks**
As outlined in the paper.

**Equality implications**
N/A

**Consultations**
This paper was developed with consultation from key stakeholders in the relevant Professional Services directorates.
1. General Update

This paper provides brief update on 3 priority for the School however will predominantly focus on the outcome of the 2018/19 recruitment round.

Prevent

We have been successful in providing sufficient evidence to the Office for Students to obtain a positive outcome of ‘having due regard’ to the Prevent duty. Board of Trustee member will be aware that this is an important factor in our OFS registration and it is the first time that the institution has been considered to be fully compliant under the Prevent Duty.

OfS

As at the time of writing this paper we had only received minor queries in relation to our OfS registration and we await the full outcome, which is expected in September. We have spoken to other institutions and understand that the majority are also awaiting the result of their registrations.

OPS Change Process

An update on the One Professional Services Change proposal will have been submitted to Executive Board on 17th September and proposes a timeline that sees the One PS Change process concluded this academic year.
It is proposed that departmental restructuring runs concurrently across the institution. Detailed project and communications plans have been drafted for consultation and Directors of Professional Services will review these at a OPS planning day on the 18th September.

Two Change Managers have been recruited and are now in post to support the change process.

In the meantime, we have been able to welcome Julia Race to the post of Director External Engagement and Public Affairs. Recruitment to the posts of Director of Human Resources and University Librarian are well in progress with the recruitment processes expected to conclude in early October. We are also out to recruit for the role of Head of Legal and Governance.

National Pay Award:
The trade unions are balloting nationally for industrial action linked to the annual pay award. The ballots close in October which would enable the unions to call for industrial action during the period November 2018-April 2019, assuming a ‘yes’ vote.
The UCU ballot is disaggregated (independent to each HEI) while the UNISON ballot is aggregated (cumulative across all participating HEIs).

The School is considering the impact of action during this period, particularly in relation to student outcomes.

Universities Superannuation Scheme:
The statutory USS employer consultation commenced on 3rd September for two months. The Joint Expert Panel (JEP) set up to examine the valuation of the Universities Superannuation Scheme (USS) is still expected to report to UCU and UUK in September and the School awaits the outcome of the review.

London Allowance:
Locally, SOAS UNISON have made a claim for an increase to London allowance and have rejected the School’s return offer.

2. Admissions Update

Sector trends

A fall of 2.5 per cent in the number of 18-year-olds in the UK population has had the anticipated impact in the number of UK students accepted into UK Universities. This trend is set to continue for a further 2 years with numbers then returning strongly. Despite the falling student age population, a higher proportion of 18 years olds continue to enter higher education. In England, a record 27.9 per cent of the 18-year old population received acceptances through UCAS.

Early reports by both Wonkhe and UCAS indicate that lower-tariff institutions will continue to be impacted most significantly in this period of falling student numbers. According to UCAS, higher-tariff
institutions – those with the top entry requirements – increased their overall number of placed applicants this year by 1 per cent, to 133,860. Lower-tariff institutions saw a decline of 3 per cent – 4,070 students – this year. This is an improvement on the 6 per cent decline the previous year. Middle-tariff institutions also lost out, by 1 per cent.

In a highly competitive year for institutions, 88% of students achieved their first choice University. Whilst we gained 94 students in clearing, we made relatively small net gain of 46 students. UCAS actively encouraged students to trade up and we lost 48 students to other institutions. A detailed schedule is included at Appendix A.

During Confirmation and Clearing we invested an additional spend of circa £23k on advertising through both Student Room and Facebook. Traffic to Clearing page on A’Level results day was up by 122% from 5,598 in 17/18 to 12,449 in 18/19 and on day two up by 81% on 17/18. However there was clear evidence on the phone lines in our call centre that potential students "shopping" around before making decisions.

UG Admissions

For SOAS, this has resulted in a difficult recruitment round as we continue a strategy of maintaining high tariff entry requirements.

As at the 10\textsuperscript{th} September, we had 681 (528 Home/EU and 153 International) confirmed students against a target of 874 (709 Home/EU and 165 International) being 181 Home/EU students and 12 International students off target. 22% below target recruitment levels.

We have maintained an average institutional tariff of 156.4 (154.7 in 17/18).

We have 80 students for whom results are still pending (54 Home/EU, 26 International). Detailed department by department schedules are attached at Appendix B.

Our expectation is that these numbers will change marginally before the 1 December census data. Changes will result from non-enrolment, attrition and some conversion of students still awaiting results. At this point we would expect to have 665 new students enrolled, a shortfall against target of 201 Home/EU students and 8 overseas students.

PGT Admissions

As of 28 August the enrolment projections based on PGT recruitment data would suggest we will enrol 1,487 PGT students compared to our target of 1,464, 23 students over our target. Breaking down this by fee type we would have a shortfall against target of 20 Home/EU students and an over-shoot of 43 overseas students.

3. Financial Impact update

Undergraduate (UG) recruitment

There is a UG fee income shortfall of £1.87m against target. Our expectation is that will result in a UG fee income shortfall of £1.99m against target when final numbers are known.
In preparing our financial forecasts in June some provision was made for UG under-recruitment. We had anticipated that we would recruit 771 students hence our revised projection of 665 students falls short by 83 Home/EU students and 23 overseas students, giving rise to a projected UG fee income shortfall of £1.16 against the draft budget.

An analysis by department is included in Appendix C. Finance & Management, History, Religions & Philosophies and Law are projected to have the largest financial shortfalls against target at £0.43m, £0.57m and £0.48m respectively. Almost all departments (other than Finance & Management and Languages, Cultures & Linguistics) and expected to fall short of our June projections. Given our June projections were based on prior year enrolment patterns this would seem to suggest a worsening of conversion rates, which would suggest increased competition within the UG market.

Postgraduate taught (PGT) recruitment.

We are currently predicting additional projected PGT fee income of £0.56m against target (and budget).

An analysis by department is included in Appendix D. Anthropology & Sociology, Economics and Law are projected to have the highest additional PGT fee income at £0.5m, £0.23m and £0.22m respectively. Arts and Languages, Cultures & Linguistics are expected to have the highest PGT fee income shortfalls at £0.36m and £0.23m respectively.

Taking UG and PGT enrolment projections together would suggest an overall fee income shortfall of £1.43 against target and £0.6m against draft budget.

5. Efficiency and Effectiveness

Work to direct resources more efficiently towards areas of institutional priority is continuing.

A number of the senior team met the Higher Education team at KPMG for a half day planning session in July and explored tools for achieving greater efficiency and effectiveness in our operation, alongside reporting institutional and departmental performance through a dashboard.

In particular we explored support to:

- Programme level costing
- A simplified income distribution model that incentivises behaviours in support of institutional priorities
- KPI dashboard reporting to Board
- Student Journey – effectiveness work to ensure resources are pointed towards areas of most significance to students

The One PS budget includes some capacity to support these areas and we are now exploring procurement options.

In addition the School have commissioned Hanover to undertake research into retention across the sector, both domestically and internationally. This research will support the School in identifying trends, best practice and further enable the more effective directing of resource.
Gains and Losses from Clearing and Adjustment
(as of 09.50 Monday 10th September 2018)

Outgoing Adjustments (SOAS U/Fs released during Adjustment)

<table>
<thead>
<tr>
<th>Department/Section</th>
<th>U/Fs</th>
<th>League Table U/Fs</th>
<th>Average Tariff</th>
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Incoming Clearing (Clearing applicants plus Incoming Adjustments)

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Net Change

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### Modelling tariff table

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<th>Home/EU Students Required to Meet Financial Target</th>
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<th>Average Actual Tariff of Students for 17/18 Entry</th>
<th>Average Tariff Difference</th>
<th>Estimated League Table Ranking for Subject (all other things being equal)</th>
<th>Current League Table Ranking for Subject (published Sept '17)</th>
<th>Estimated Tariff Ranking Difference (negative indicates improvement)</th>
<th>Required Difference</th>
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**Total**

**Old Tariff**

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<th>Overseas</th>
<th>Financial Shortfall / Surplus Against Target</th>
<th>Home/EU Students Required to Meet Financial Target</th>
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<th>Current League Table Ranking for Subject (published Sept '17)</th>
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**New Tariff**

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<th>Overseas</th>
<th>Financial Shortfall / Surplus Against Target</th>
<th>Home/EU Students Required to Meet Financial Target</th>
<th>Average Applicant Tariff for current entry</th>
<th>Average Actual Tariff of Students for 17/18 Entry</th>
<th>Average Tariff Difference</th>
<th>Estimated League Table Ranking for Subject (all other things being equal)</th>
<th>Current League Table Ranking for Subject (published Sept '17)</th>
<th>Estimated Tariff Ranking Difference (negative indicates improvement)</th>
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<th>Total Intake</th>
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[Table continued with detailed financial and ranking data for each department]
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<th>Total</th>
<th>Surplus</th>
<th>Tariff of Against</th>
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<th>Current League Table Ranking for Subject (published Sept ’17)</th>
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<td>Overseas Financial Shortfall/ Surplus Against Target</td>
<td>Overseas Home/EU Students required to Meet Financial Target</td>
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<td>Estimated Tariff Difference (negative indicates improvement)</td>
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Total

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<th>Forecast Variance between Forecast UG on 1 Dec and Target</th>
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<th>Undergraduate Projection (June RPC)</th>
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## 2018/19 FINANCIAL SUMMARY: PGT new Students

Financial position, as at: 28/08/18

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<th>Department</th>
<th>PGT Target</th>
<th>PGT Forecast</th>
<th>Variance from Target</th>
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**Note:** PGT ** = PGT Forecast Financial (Shortfall) / Surplus against Target
# Culture at SOAS

The Board of Trustees is asked to **discuss** the following Report

## Executive Summary

The Culture@SOAS initiative has grown out of an Executive Board Working Group established to identify key actions to develop a respectful, tolerant and collaborative culture at SOAS. The initiative has the overarching goal of building a culture of equality, diversity & inclusion, accountability, dignity and respect.

This report outlines the work that is planned and ongoing in this area.

Author Sally Priddle

## Recommendations & Next Step

The next steps are outlined in the activity plan at the end of the report.

## Financial Impact

**N/A**

## Risks

1. Improving the culture of SOAS is a priority and it would be a significant risk to SOAS Community if a culture of equality, diversity and inclusion, accountability and dignity and respect was not established.
2. A number of topics covered within the Culture at SOAS work will be emotive and challenging for members of the community. There will be a number of differing voices and perspectives that will be heard and incorporated into the projects.

## Equality implications

All work within the Culture at SOAS piece aims to improve and promote an inclusive culture across the School and SU. Full consultation will be undertaken throughout the development of this work.

## Consultations

This paper was written in consultation with Tamsyn Barton (Lay Trustee), Andrea Cornwall (Pro-Director Research and Enterprise), Sally Priddle (Head of Governance), Arvind Sandhu (Diversity and Inclusion Manager), Youssra Elmagboul (Co President of Equality and Liberation) , Sophie Bennett (Co-President Activities and Events) , Jess Kumwongpin-Barnes (Co-President Welfare and Campaigns) and Hau-yu Tam (Co-President Democracy & Education)
Culture@SOAS

The Culture@SOAS initiative has grown out of an Executive Board Working Group established to identify key actions to develop a respectful, tolerant and collaborative culture at SOAS. The initiative has the overarching goal of building a culture of equality, diversity & inclusion, accountability, dignity and respect. It has three proposed objectives:

1. To clarify and agree community norms that help us create and maintain an environment for study and work that embodies our values:
   - SOAS Charter
   - SOAS Staff & SOAS Student Codes of Conduct

2. To review and aligning policies, procedures, processes and practices relating to our internal culture, including three areas of priority:
   - Dignity at Work & Study – updating SOAS’ Respect policy, putting in place anti-harassment contact people throughout the institution, clarifying procedures, gathering evidence, improving reporting
   - Sexual and Gender Violence – updating SOAS’ guidance on SGBV, putting in place a clearer care pathway and reporting structure, including support for victims/survivors
   - Complaints and Disciplinary- updating SOAS’ complaints and disciplinary policy, ensuring that all policies are clear about the stages of the policy, the potential outcomes and how they can access support throughout these processes

3. Raising awareness, building capacities, changing mindsets:
   - Devising and implementing a communications strategy to make all members and visitors to SOAS aware of our norms and values and the consequences of breaching them
   - Raising awareness among staff and students of what is/ isn’t acceptable in interpersonal interaction, including any form of harassment and the use of inappropriate language
   - Ensuring all those engaged in student-facing roles are trained in SGBV and harassment disclosure, are aware of the correct pathways of action and support available to students and staff. This includes ensuring all of those in management roles are equipped with the knowledge and skills to deal with reports of bullying and harassment or SGBV from staff.

Culture@SOAS will act as a coordinating mechanism for collaboration between the Students’ Union and our professional services, to include Governance, Diversity & Inclusion, Student Wellbeing and Advice, HR and Communications. With the departure of the original chair, Professor Nadje Al-Ali, the incoming Pro-Director Research and Enterprise, Andrea Cornwall, will now lead the initiative. We will devise and deliver whole-community interventions, monitor the progress of the various projects across the School that aim to address particular issues that contribute to a negative culture at the School, and seek to align these various projects and ensure that there is effective coordination and communication. Plans are underway for an initial intervention in the autumn term that will convene key stakeholders with the SOAS community to begin the values clarification work that can help us to renew our commitments to shared values, and revise and reaffirm the SOAS Charter (formerly the SOAS Student Charter) and an associated framework of acceptable and unacceptable behaviour.

This report details work that has been undertaken to date in collaboration with the Students’ Union. This has been an emergent process in which various strands of activity are beginning to coalesce. An important impetus for this has been the SU’s Enough is Enough campaign.

Enough is Enough Working Group
The Enough is Enough working group was established by the Students’ Union to expand the work and profile of the SU Enough is Enough campaign to tackle sexual harassment and violence. It has representation from key professional service leads from the School, including Governance, Diversity & Inclusion, Student Wellbeing and Advice and Communications.

**Review of Policies and Procedures**

The Enough is Enough working group will undertake a review the School’s policies, procedures and guidance on SBGV, conduct and harassment, engaging expertise within the School in this process. The group will look at how they are understood by and communicated to the community, including how to raise awareness of the no tolerance agenda and the support available to staff and students. The policies will be better signposted on the School’s website, MySOAS and the Students Union’s website and embedded into the new ‘Report and Support’ system. The working group will also work with the Communications team to identify how the processes within the policies can be pictorially represented and communicated to the School.

**Provision of Independent Sexual Health Advice in Partnership with Rape Crisis**

The Enough is Enough Working Group have agreed that it is a priority that there is specialist advice in situ to provide support for victims of sexual assault. The Students Union have brokered a relationship with the local Rape Crisis team and an initial meeting about the remit of the support will be held on 24th September, this meeting will be attended by representatives from the School and Students Union. The aim of the partnership is to establish a regular drop in space for students to meet with an Independent Sexual Violence Advisor (ISVA). The ISVA is completely independent and all reports are confidential, however ISVAs are able to share appropriate information and concerns with an institution to enable them to address any particular trends or issues they have identified. This is a model utilised at Queen Mary’s and Goldsmiths, the School will speak to these institutions about how they implemented the model and learn from their best practice. The drop-in sessions will be paid for by the School.

**Training and Awareness Raising**

Over the past 3 years the SU has run mandatory consent workshops during Welcome Week. These consent workshops are attended by the majority of undergraduate and postgraduate students. The content of the workshop is being reviewed by the Students Union with the external agency supporting the project to ensure it is effective and up to date.

This academic session, the Enough is Enough training will be implemented for staff and the Board of Trustees. Executive Board and the Board of Trustees will attend face to face Enough is Enough training delivered by two of the Sabbatical Officers, during these sessions attendees will be asked to consider how they can contribute to this agenda. The outcomes of these sessions will be reviewed and considered by the Enough is Enough Working Group to ensure recommendations are implemented and impact is monitored. Feedback on the content within the sessions will also be collated and considered as part of the development of an online staff module to ensure that the key messages resonate at the staff level.

The training delivered to students will form the basis of an online training module developed for staff. The module will cover all aspects of the training delivered to students but will be amended to reflect the context of a staff member and relevant HR policies and procedures. This module will be developed in partnership with the Students Union to ensure that key messages are retained when the resources are amended to reflect the staff context. A key part of the training will be the use of
language and ensuring that all members of the SOAS community use appropriate and respectful language when communicating with each other.

The online module will be developed for launch in Spring 2019. It will be launched alongside a communications strategy that outlines the importance of this training and the expectation of staff to undertake it. Expectations will be disseminated through Heads of Department and Directors of Professional Services. The engagement with the training will be tracked via the Staff Development team and reported to the Enough is Enough Working Group. The plan to develop and deliver this training has been shared with the union representatives. In addition to the online module, the School is brokering disclosure training for frontline staff to ensure that they are aware of how to respond to appropriately disclosures and how to support students or staff making them. The Students Union will be invited to participate in all training provided by the School.

SLiICE Funding

Last academic session SOAS were successful in a bid to a HEFCE's Catalyst Fund for student led projects to promote the safety and wellbeing of students on campus. The School was awarded £52,000 for Student Leadership in Inclusive Campus Environments (SLiICE).

The SLiice project is a co-run project between the Students Union and SOAS to develop leaders and generate positive culture change within our community. The student community were asked to submit proposals for projects that would fit within this initiative. Following a review of the applications a number of projects have been agreed:

- 6 x Podcasts exploring hate crime and harassment
- 2 BME Empowerment Workshops
- 10 Enough is Enough podcasts further exploring the issues discussed in the consent workshops.
- 5 Inclusion and diversity workshops run by New Beings
- 'All the Piece I Am' Photography and social media campaign
- 2 day Consented summer school Conference

The Students Union will lead on two further projects:

1. Student Leadership Course
The Students Union, in partnership with the School will develop a leadership course which will be centred around developing student leaders through a variety of 'hard' and 'soft' skills. It will include looking at what it is to be a leader, how to lead inclusive and safe spaces and how to lead without leading outcomes. It will also provide training in key leadership skills such as facilitator training and public speaking.

All members of the SOAS student community will be able to apply to undertake this course, however the Students Union will target key leadership posts which already exist within the Union’s structure including society presidents and sports team captains.

The project intends to have the course as a micro credential on Linked In. This would incentivise students to undertake the course and provide a tangible outcome that would be recognised by employers.

2. Online Toolkit
The online toolkit will be hosted on the new ‘report and support’ platform of the School and Students Union’s website. It will be a platform through which students can engage with and learn about important debates and topics at SOAS.

The platform will be populated ‘SOAS 101s’- key topics for the SOAS community. The content produced by students, for students and each topic will have information in a variety of mediums: podcasts, videos, essays, info sheets, definitions, and FAQs.

The topics that have already been identified and planned for are: consent, ableism, classism, castism, privilege, microaggressions, greyscale sexualities, xenophobia and cultural awareness. This list is not exhaustive, more topics will be identified and planned following consultation with students and students will be invited to write on topics they think impact the culture at SOAS.

In addition to the content of the SOAS 101s being created by students, students will be encouraged to hire or work alongside other students who have the skills to support the development or creation of the product, for example videography, podcast production etc. This intends to provide students with unique opportunities to utilise and develop their skills, obtain experience to support their employability and help ease the cost of London living.

Improving our Response: Report and Support

Report and Support is an online platform that is embedded within the School’s and Students Union’s website that enables staff and students to anonymously report concerns and access a wealth of information regarding the internal and external support available to them. The system was developed in partnership with Manchester University and has been implemented at 30 Higher Education institutions, including Goldsmiths. The system enables an institution to personalise the platform to their needs and priorities. The SOAS platform would cover all aspects of harassment, bullying and discrimination.

The anonymised reporting system will allow the School to gather data on incidents which can be analysed to identify if there is an area of the School where there is a particular issue or there is a need for a School wide response on a particular issue. A group will be established to review this data on a fortnightly basis and will agree actions required to mitigate or educate, for example this analysis may result in the group identifying that a particular department or directorate requires training. The system will be clear that the School will not investigate individuals as a result of reports made anonymously, as outlined in our complaints procedure. This position will be reviewed as part of the complaints and disciplinary review. The system also enables students and staff to make reports with their name and contact information. These reports would be responded to and could result in an investigation, the offer of support or invitation to meet with a relevant member of staff. The Enough is Enough Working Group agreed that this is an essential part of the system however needs to be established effectively. They agreed that this part of the system would not be made available until the review of Student Advice and Wellbeing had been completed to ensure there was an established system and process for receiving and responding to the reports in a timely manner.

The implementation of an online reporting system aims to increase the number of reports the School receives. An increase in reports would be a clear measure of the School’s engagement with the system. Although we are proposing to delay the implementation of the named reporting part of the system, publishing the system and raising the profile of these issues across the School is likely to increase the number of reports made through the current reporting channels. The current systems include the School’s complaints policy, the School’s disciplinary policy, the Respect@SOAS policy and
the HR procedures. As outlined later in this report, there are plans in place to review and improve these procedures to ensure that students and staff are clear which policy or procedure would best support them.

The second benefit of the platform is establishing a centralised location for support available to the community, this includes both educational resources and details of services available. The support aspect of the system will collate the services available from the School, Students Union and external agencies. It will provide information on the policies and procedures staff and students should use if they wish to report an incident, make a complaint or request support in relation to their work or academic studies. The implementation of the system has begun and key staff from the Students Advice and Wellbeing team and the Sabbatical Officers are now agreeing the content for the support area of the system. The content for this area will be continually added to and reviewed to ensure it meets the needs of the community.

Review of Complaints and Disciplinary policies and procedures

As outlined at the last Board of Trustees meeting, the School committed to review their student complaints and disciplinary policies and procedures. The review will be chaired by Deborah Johnston, Pro-Director Learning and Teaching. The review will also be supported by a representative Mills and Reeves and the policy officer for NUS. The review group will be made up of representatives from across the School community including academics, professional services, students union. The School will ask members of staff who have been involved in the complaints and disciplinary processes at all levels to provide information or feedback on the processes to the review group. Best practice from across the sector will be collated and share with the review group. The complaints and disciplinary review intends to be completed by the end of the autumn term. The policy changes will be reviewed and approved through the committee structure and implemented for September 2019. Key recommendations to support and practice will be able to be implemented during the Spring and Summer terms.

Anti- Harassment Contacts

The School have had a small number of anti-harassment officers for 3 years. Over the past year the number of anti-harassment officers has reduced and there is no longer a sustainable pool of people to fulfil these roles. The Equality and Diversity office have sent an open invitation to members of the SOAS community inviting them volunteer to become anti-harassment contacts. To date the Equality and Diversity office have received 11 applications. These members of staff have been contacted and confirmed. Training for anti-harassment contacts will be provided by an external agency with specialism in best practice in anti-harassment and will include a minimum requirement of Gender Based Violence. Once staff have been trained their details and locations within the School will be shared with the School community and included on the support section of the ‘Report and Support’ platform.

Key Areas of Impact

- Our commitment to living our values – through activities engaging people with affirming our values and community norms in a SOAS charter, communications that reinforce those messages and set out clearly what happens when people breach SOAS’ codes of conduct, awareness raising through training about SGBV, bullying and harassment

- Our policies and procedures – through review, revision, re-launch of our policies, procedures and guidance, creation of an overarching policy framework bringing together all of our
instruments relating to internal relations within our community, i.e. bullying & harassment, sexual & gender violence, relationships.

- Our capacity to respond to sexual and gender violence and all breaches of our community norms – through training, production of process maps, clear allocation of responsibilities, collaboration with external services

### Activity Plan

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<th>Activity</th>
<th>Timeframe</th>
<th>Owner</th>
<th>Intended impact</th>
</tr>
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<tbody>
<tr>
<td>1 Provision and funding of an ISVA (Independent Sexual Violence Adviser)</td>
<td>September/October</td>
<td>Student Advice and Well-being and SU</td>
<td>Students have an independent source of advice and support on sexual and gender violence, and referral into services</td>
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<tr>
<td>2 Training in SGBV/Enough is Enough</td>
<td>September/October</td>
<td>SU</td>
<td>Awareness raising contributing to behaviour change</td>
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<tr>
<td>3 Review of SGBV guidance and re-launch and dissemination across the whole School</td>
<td>September/October</td>
<td>Diversity &amp; Inclusion Officer, in liaison with SU, HR, Governance, unions and the SOAS community</td>
<td>Updated guidance on how we support victims/survivors of sexual violence and processes for reporting sexual violence.</td>
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<td>4 Implementation of anonymous reporting system</td>
<td>October</td>
<td>Student Advice and Well-being, governance and SU</td>
<td>Initially, a “heat map” of incidence. Longer-term, once procedures are in place, safer reporting for victims/survivors of perpetrators of multiple incidents of sexual harassment and assault</td>
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<td>5 Culture@SOAS all-community summit</td>
<td>Early November</td>
<td>Culture@SOAS</td>
<td>All-community facilitated space to renew SOAS charter and codes of conduct and create a collective agenda for change.</td>
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<td>6 Revision and re-launch of Respect@SOAS guidance</td>
<td>By end of November</td>
<td>Diversity &amp; Inclusion Officer, in liaison with SU, HR, Governance, unions and the SOAS community</td>
<td>Clearer guidance on how we deal with unacceptable behaviour and create a culture of respect.</td>
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<td>7 Production of a coherent policy framework that brings together all relevant policies and procedures relating to the management of intra-community relations –</td>
<td>By end of autumn term</td>
<td>Culture@SOAS working group</td>
<td>A coherent, consistent set of policies and procedures with clear guidance for implementation, including raising awareness of their</td>
</tr>
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including SGBV guidance, our relationships policy, Respect@SOAS, student and staff disciplinary procedures

existence amongst staff and students

Andrea Cornwall, Sally Priddle, Sophie Bennett and Youssra Elmagboul
September 2018
Duties of Trustees
SOAS, University of London

24 May 2018

Kate Allan

MILLS & REEVE
Overview

- Context of the School
- Who are the trustees?
- OfS, CUC and Nolan principles
- Other duties
SOAS

- Charity
- Corporate Body
- College of the University of London
- Governing Documents – Charter and Articles
- Standing Orders and Annexes

MILLS & REEVE
Trustees

- Charitable trustees
- 'Directors'
- Promote the interests of the institution, act prudently, lawfully and in accordance with the governing instruments
The Office for Students

- New charitable regulator and distributor of (limited) funds

- (Previous HEFCE position) Memorandum of assurance and accountability:
  - risk management, control and corporate governance
  - monitor use of public funds for charitable purposes - VFM
  - sustainable financial viability and compliant audit & financial reporting
  - quality assurance of data for HESA, SLC, OfS and other funding/regulatory bodies
  - quality of learning and teaching - maintaining academic standards
OfS requirements for funding
(transition period)

Effective governance to ensure the HEI:

- Has a robust and comprehensive system of risk management, control and corporate governance, including prevention and detection of corruption, fraud, bribery and irregularities.
- Has regular, reliable, timely and adequate information to monitor performance and track the use of public funds.
- Plans and manages its activities to remain sustainable and financially viable.
- Informs OfS of any material change in its circumstances.
- Uses public funds for proper purposes and seeks to achieve value for money from public funds.
- Complies with the mandatory requirements relating to audit and financial reporting, set out by OfS.
- Sends OfS: i. The annual accountability return. ii. Other information OfS may reasonably request. iii. Any data requested on OfS or Research England’s behalf by the Higher Education Statistics Agency (HESA).
- Has adequate and effective arrangements for the management and quality assurance of data submitted to HESA, the Student Loans Company, the OfS and other funding or regulatory bodies.
- Has an effective framework — overseen by its senate, academic board or equivalent — to manage the quality of learning and teaching and to maintain academic standards.
- Considers and acts on OfS assessment of its risk specifically in relation to these funding purposes.
OfS conditions of registration – E1-5

- Governing documents must uphold the public interest governance principles that are applicable to the provider.

- Provider must have in place adequate and effective management and governance arrangements to:
  - Operate in accordance with its governing documents.
  - Deliver, in practice, the public interest governance principles that are applicable to it.
  - Provide and fully deliver the higher education courses advertised.
  - Continue to comply with all conditions of its registration.

- The governing body of a provider must:
  - Accept responsibility for the interactions between the provider and the OfS and its designated bodies.
  - Ensure the provider’s compliance with all of its conditions of registration and with the OfS’s accounts direction.
  - Nominate to the OfS a senior officer as the ‘accountable officer’ who has the responsibilities set out by the OfS for an accountable officer from time to time.

- The governing body of the provider must notify the OfS of any change of which it becomes aware which affects the accuracy of the information contained in the provider’s entry in the Register.

- The provider must comply with guidance published by the OfS to facilitate, in co-operation with electoral registration officers, the electoral registration of students.
Fit and Proper Persons

- To satisfy the management and governance conditions SOAS needs to demonstrate that the organisation is managed by ‘fit and proper’ persons.
- The purpose of the ‘fit and proper’ test is to ensure that the ownership and management arrangements for a provider are appropriate and do not present a risk to students or to public funds.
- To assess whether SOAS is managed by ‘fit and proper’ persons, OfS will ask for information on the application form about key individuals including: nominated ‘accountable officer’, the chair of the governing body, and directors or trustees.
OfS public interest governance principles

- Academic Freedom
- Accountability
- Student Engagement
- Academic Governance
- Risk Management
- Value for Money
- Freedom of Speech
- Governing Body
- Fit and Proper
Additional Principles

- For those with DAPs, for certain HEIs not to amend DAP provisions without OfS consent
- If funded by OfS/UKRI, to have independent members of the governing body, and
- To ensure regularity, propriety and value for money
Assurances to OfS (old position)

- Loss of assets through fraud, theft or other cause
- Donations of more than £25,000 from unknown donors
- Abuse or mistreatment of a charitable beneficiary
- Disqualification of a trustee
- Known or alleged links (other than for bona fide academic reason) with proscribed organisations or terrorism
CUC

- **Code of Governance** sets out core values:
  - Autonomy
  - Academic freedom and high-quality research, scholarship and teaching
  - Good governance
  - Publication of accurate and transparent information
  - HEIs are in a contract with stakeholders who pay for their service and expect clarity about what is received
  - Equality of opportunity and diversity throughout the institution
  - HE should be available to all those who are able to benefit from it
  - Full and transparent accountability for public funding
Statement of Primary Responsibilities

- Standing Order XXI
- Proper conduct of business (Nolan, monitoring and evaluation of the Board, delegated authority)
- Strategic planning, policies and strategies (mission, vision, KPIs)
- Monitor performance
- Financial stewardship and estate management
- Audit and risk management
- Student issues (Union operating in a fair and democratic way)
- Health & safety
- Employment (appointment of the Director and Secretary)
- Legal matters (meeting obligations, taking advice)
- Reputation
Nolan

- Selflessness
- Integrity
- Objectivity
- Accountability
- Openness
- Honesty
- Leadership
Duties

- 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 (comply with governing document)
- To comply with legislation (expanded below)
Key Legislation

- Health and safety, including corporate manslaughter
- Employment
- Equality
- Bribery
- Freedom of Information
- Data Protection
- Freedom of Speech
- Prevent
- Students' Union
The Prevent duty aims to stop people becoming terrorists or supporting terrorism.
The Government created two sets of statutory guidance, one of which is specifically for higher education bodies.
OfS has taken on the monitoring role under the Counter Terrorism and Security Act 2015 from HEFCE.
To comply with the Prevent duty, providers need to:
- assess the risks associated with Prevent and draw up a plan to mitigate these
- have effective welfare support systems, linking to local authorities or the police if necessary
- make arrangements for sharing information about vulnerable individuals
- have systems for assessing and mitigating risks around external speakers and events on campus, while maintaining the existing duty to promote freedom of speech
- arrange ongoing Prevent training for relevant staff
- have an IT usage policy which covers the Prevent duty
- ensure that students’ unions and societies are aware of policies concerning activities on campus.
Established providers need to do the following:

- Submit an annual report in December or March each year.
- Throughout the year, notify the OfS as soon as possible of:
  - any changes to core policies which the OfS has previously assessed (such as a significant change to an information technology policy)
  - any significant changes of circumstance affecting the provider’s Prevent responsibilities (such as a change in Prevent lead)
  - any serious Prevent-related incidents.
Balancing duties

Data-Protection
Safeguarding
Freedom-of-Speech
Defamation
Academic-Freedom
Public-Order
Prevent
Freedom-of-Information

MILLS & REEVE
Students’ Union

- Operates in a fair and democratic manner and is accountable for its finances
- Various including that elections are fairly and properly conducted (expanded below)
- Standing Order 27
- Code of Practice
- Financial Memorandum
Requirements to be observed in relation to students' unions.

(1) The governing body of SOAS shall take such steps as are reasonably practicable to secure that the SU operates in a fair and democratic manner and is accountable for its finances.

(2) The governing body shall in particular take such steps as are reasonably practicable to secure that the following requirements are observed by or in relation to the SU —

(a) the union should have a written constitution;

(b) the provisions of the constitution should be subject to the approval of the governing body and to review by that body at intervals of not more than five years;

(c) a student should have the right—

(i) not to be a member of the union, or

(ii) in the case of a representative body which is not an association, to signify that he does not wish to be represented by it, and students who exercise that right should not be unfairly disadvantaged, with regard to the provision of services or otherwise, by reason of their having done so;
(d) appointment to major union offices should be by election in a secret ballot in which all members are entitled to vote;

(e) the governing body should satisfy themselves that the elections are fairly and properly conducted;

(f) a person should not hold sabbatical union office, or paid elected union office, for more than two years in total at the establishment;

(g) the financial affairs of the union should be properly conducted and appropriate arrangements should exist for the approval of the union's budget, and the monitoring of its expenditure, by the governing body;

(h) financial reports of the union should be published annually or more frequently, and should be made available to the governing body and to all students, and each such report should contain, in particular—

(i) a list of the external organisations to which the union has made donations in the period to which the report relates, and

(ii) details of those donations;
(i) the procedure for allocating resources to groups or clubs should be fair and should be set down in writing and freely accessible to all students;

(j) if the union decides to affiliate to an external organisation, it should publish notice of its decision stating—

(i) the name of the organisation, and

(ii) details of any subscription or similar fee paid or proposed to be paid, and of any donation made or proposed to be made, to the organisation,

and any such notice should be made available to the governing body and to all students;

(k) where the union is affiliated to any external organisations, a report should be published annually or more frequently containing—

(i) a list of the external organisations to which the union is currently affiliated, and

(ii) details of subscriptions or similar fees paid, or donations made, to such organisations in the past year (or since the last report),

and such reports should be made available to the governing body and to all students;

(l) there should be procedures for the review of affiliations to external organisations under which—

(i) the current list of affiliations is submitted for approval by members annually or more frequently, and

(ii) at such intervals of not more than a year as the governing body may determine, a requisition may be made by such proportion of members (not exceeding 5 per cent.) as the governing body may determine, that the question of continued affiliation to any particular organisation be decided upon by a secret ballot in which all members are entitled to vote;
(m) there should be a complaints procedure available to all students or groups of students who—
(i) are dissatisfied in their dealings with the union, or
(ii) claim to be unfairly disadvantaged by reason of their having exercised the right referred to in paragraph (c)(i) or (ii) above,
which should include provision for an independent person appointed by the governing body to investigate and report on complaints;
(n) complaints should be dealt with promptly and fairly and where a complaint is upheld there should be an effective remedy.
(3) The governing body of SOAS shall for the purposes of this section prepare and issue, and when necessary revise, a code of practice as to the manner in which the requirements set out above are to be carried into effect in each of the requirements details of the arrangements made to secure its observance.
(4) The governing body of SOAS shall as regards the SU bring to the attention of all students, at least once a year—
(a) the code of practice currently in force under subsection (3),
(b) any restrictions imposed on the activities of the union by the law relating to charities, and
(c) the provisions of section 43 of the Education (No.2) Act 1986 (freedom of speech in universities and colleges), and of any code of practice issued under it, relevant to the activities or conduct of the union.
(5) The governing body of SOAS shall bring to the attention of all students, at least once a year, and shall include in any information which is generally made available to persons considering whether to become students at the establishment—
(a) information as to the right referred to in subsection (2)(c)(i) and (ii), and
(b) details of any arrangements it has made for services of a kind which a students' union at the establishment provides for its members to be provided for students who are not members of the union.
Personal Liability & Insurance

- Unlikely to arise, providing trustees have acted honestly, diligently, in good faith, and avoid conflicts of interest
- Difficulties where reckless disregard of professional advice or a clear breach of a fiduciary duty
The School’s Senior Remuneration Committee (SSRC) met on 17th July 2018.

The paper reports to the Board of Trustees, key decisions made by SSRC at that meeting.

The Board of Trustees is asked to note the following summary report.

Executive Summary

The SSRC considered a suite of frameworks emerging from the recently published CUC Remuneration Code and the CUC Guidance on Decisions taken about Severance Frameworks.

These frameworks are provided in full to the Board of Trustees under separate cover, as a basis for approval.

The SSRC considered and approved an application from the Pro Director (International) for re-banding from Career Band B to Merit Band B. Otherwise, The Committee agreed that based on the current financial situation there should be no pay awards recommended for executive post holders this year.

The SSRC reviewed and agreed recommendations from the Internal Advisory Panel for pay awards for 18 professorial staff and 2 senior members of Professional Services staff.

Recommendations from the Halpin Review were reviewed and responses reported direct to the Secretary to the Board of Trustees.

Author: Sophie Harris

Recommendations & Next Step

The Board of Trustees are asked to note this summary report.

Financial Impact

The total cost of the 21 approvals made by SSRC were £58,431 + on costs (recurrent), plus a single cost of £3,000 + on costs.

Risks

Not Applicable
**Equality implications**

Equality considerations were properly reviewed in relation to the salaries of the executive post-holders and an equality analysis had been undertaken on the Internal Advisory Panel process and outcomes.

The number of female applicants for pay awards through the Internal Advisory Panel was broadly proportionate to the number of women within the eligible groups but BAME applicants were underrepresented. It is acknowledged that both female and BAME staff are under-represented within the senior grades. The School is taking steps to improve representation for both female and BAME staff at this senior level.

**Consultations**

Not applicable
The School's Senior Remuneration Committee (SSRC) met on 17th July 2018.

The paper recommends to the Board of Trustees some changes in the terms of reference for SSRC and the introduction of revised remuneration frameworks.

Executive Summary

The Chair and Members of SSRC recommend that the Board of Trustees approve the following:

- SSRC Terms of Reference
- Senior Remuneration Framework
- School Director: Remuneration Framework

These local frameworks have been discussed and agreed by members of SRRC in the context of the new CUC Remuneration Code, and to ensure compliance with this Code.

They are recommended to the Board of Trustees for approval.

Author: Sophie Harris

Recommendations & Next Step

Terms of Reference

SSRC are requested to approve the revised Terms of Reference for SSRC (attached). These incorporate the requirement under the new Code, for SSRC to be chaired by a lay governor who is not the Chair of the governing body.

SSRC recommends that SSRC be chaired by Dr Tamsyn Barton with immediate effect.

The Chair of the Board of Trustees will continue to be a member of SSRC and the Committee will meet twice yearly.

Senior Remuneration Framework

In the light of the new CUC Code, SSRC recommends to the Board a comprehensive reference framework for the consideration of all matters relating to the pay and conditions of the groups within its purview (attached).

Remuneration Framework for the School Director

SSRC recommends to the Board a reference framework for the consideration of all matters relating to the pay and conditions of the School Director (attached).
## Financial Impact
None, although the frameworks ensure full and appropriate reporting of salaries and financial impacts.

## Risks
The frameworks ensure fair and appropriate management of senior remuneration, and associated transparency and accountability.

## Equality implications
Equality considerations are fully and properly referenced within the revised Terms of Reference and across the two remuneration frameworks.

## Consultations
The Director and Deputy Director of Finance were consulted on aspects of these frameworks and legal advice was sought where necessary.
PROPOSED TERMS OF REFERENCE FOR SSRC

IX Senior Staff Remuneration Committee

Senior Staff Remuneration Committee reports to the Board of Trustees, and will produce an annual remuneration report to the Board of Trustees

(i) The membership of the Senior Staff Remuneration Committee will comprise

Chair:
A lay member of the Board of the Board of Trustees nominated by the Board of Trustees

Ex-officio Members:
Chair of the Board of Trustees
Vice-Chair of the Board of Trustees
Honorary Treasurer

Other Members
1 lay member of the Board of Trustees nominated by the Board of Trustees
1 lay member appointed to SSRC who is an established expert in pay and reward

(ii) The Committee will be supported in its operation by the following

- The Director of Human Resources will be in attendance at meetings as Secretary.

The Committee will normally hold two ordinary meetings per annum.

(iii) Senior Staff Remuneration Committee will have the following terms of reference.

(a) To decide upon the remuneration and terms and conditions of service for the School’s Executive post holders. The group will comprise the School Director, the Registrar & Secretary (COO) the Deputy Chief Operating Officer (Resources and Planning) the Deputy Chief Operating Officer (Student and Academic Experience) and the Pro-Directors

(b) To provide oversight and monitoring of pay levels, and the distribution and management of remuneration of the School’s Senior post holders. This group comprises grade 10 senior academic (professorial) and senior professional services staff.

(c) Any severance payment for individuals who earn more than £100K within the groups listed above.

(d) To monitor pay levels for executive and senior managers, based on gender and ethnicity and to review equal pay gaps across the groups listed above.

(iv) Senior Remuneration Framework

The Senior Staff Remuneration Committee will operate in accordance with SOAS Remuneration Framework and all related regulatory codes.

EXISTING TERMS OF REFERENCE

IX Senior Staff Remuneration Committee

Senior Staff Remuneration Committee reports to the Board of Trustees.

(i) The membership of the Senior Staff Remuneration Committee will comprise

Chair:
Chair of the Board of Trustees
Ex-officio Members:
Vice-Chair of the Board of Trustees
Honorary Treasurer

Other Members:
2 lay members of the Board of Trustees nominated by the Board of Trustees

(ii) The Registrar & Secretary (COO) will be in attendance at meetings and will nominate a Secretary. The Committee will normally hold one ordinary meeting per annum.

(iii) Senior Staff Remuneration Committee will have the following terms of reference.

To decide upon the following:

(a) The remuneration and terms and conditions of service of the Director, the Registrar & Secretary (COO) and the Pro-Directors, taking due account of the performance of the individual post-holder in the preceding 12 months;

(b) Any severance payment for the staff listed above.
SCOPE

The CUC Higher Education Senior Staff Remuneration Code provides a framework for Higher Education Institutions to ensure best practice in the remuneration and reward of its executive and senior managers.

The School’s Board of Trustees welcomes and supports the new code and this local framework which relates to executive and senior manager salaries only, sets out the core principles through which the Code will be observed here at SOAS.

DEFINITIONS

For the purposes of this framework, the School’s Executive post holders are: the School Director, the Registrar and Chief Operating Officer, The Deputy Chief Operating Officer (Resources and Planning) The Deputy Chief Operating Officer (Student and Academic Experience) and the designated Pro Directors. Decision making responsibility for remuneration for this group lies with the Senior Staff Remuneration Committee.

For the purposes of this framework, the School’s Senior post holders are: professorial staff and senior professional services managers at grade 10. Decision making responsibility for staff remuneration for this group lies with the School Director. Senior Staff Remuneration Committee will be responsible for the provision of oversight and monitoring.

PRINCIPLES AND FRAMEWORK

The School will ensure fair and appropriate remuneration for its executive and senior post holders

- Pay levels should be proportionate to the scale and complexity of an individual post and the contribution /performance of the post -holder
- Remuneration should be commensurate with each role and its level within the School.
- Incentives or performance based pay awards should reward outcomes that lead to, and reflect, sustainable and measurable added value, achieved in accordance with the University’s strategy and values., and should represent an ongoing exceptional personal contribution
- The level of any incentive based remuneration should not lead to inappropriate risk taking or behaviours in order to realise performance objectives at the expense of core services or quality of services
- Levels of pay should be affordable.
- Pay levels should be sufficient to attract, retain, and motivate talented individuals of sufficient calibre to lead and deliver high quality services but will not be more than is necessary for this purpose
- Reward levels must reflect the School’s equality principles, and equality data will be produced annually for the purposes of monitoring the level of distribution
- Terms and Conditions agreed with senior post holders must be fair, reasonable and justifiable and must not expose the School to significant potential liabilities – atypical terms must be fully explained- for example, enhance leave provision or notice periods in excess of 6 months
- Severance payments must be reasonable and justifiable, and should be considered in line with CUC Guidance on Decisions taken about Severance Payments in HEIs, and the local SOAS Severance Framework
The School will ensure a consistent approach to remuneration based on a consistent procedural framework, with decisions based on accurate assessments of the scale and complexity of roles and an individual’s performance within them.

- Pay levels and structures for executive staff should be set by Senior Remuneration Committee
- The SSRC should act independently, exercising judgement in taking the broader strategic interests of the School into account. It will be chaired by a lay member of the Board of Trustees and will demonstrate that in setting salary levels for executive post holders, and in agreeing any increases it has considered:
  - Markets from which the School draws its talent
  - Exceptional performance based on short term objectives and long term strategy set by the School and how these inform remuneration levels
  - The School’s financial position
  - The wider approach to remuneration across the School
- Pay levels and increases for senior post holders will be determined in accordance with the School’s Senior Staff Remuneration Policy and Procedure
- Pay levels will be informed by relevant and appropriate market comparators and relevant internal comparators. The School will take into account published pay multiples and how these are impacted by changes in remuneration levels.
- Final salaries will not be inflated as a basis for enhancing pension benefits

The School will ensure Transparency and Accountability in the management of Remuneration

- The School should avoid any appearance of offering additional reward without reference to performance success
- Executive and senior salaries should be disclosed at least in accordance with statutory and regulatory requirements
- The School will publish a remuneration annual statement.
- The School will publish a pay multiple and which illustrates and explains any changes and trends
- SSRC must report and justify their decisions to the Board of Trustees and where appropriate other stakeholders. This should include relevant comparator data, and performance considerations.
- There should be a clear and consistent basis for any individual retaining any income generated from external bodies in a personal capacity but under the aegis of the School or a result of an association with the School, and any such income such be disclosed to the School as a basis for any considerations about remuneration levels
- Any recommendations for severance payments for any individual earning more than £100k will be reported to, and agreed by, the Board of Trustees

SENIOR STAFF REMUNERATION COMMITTEE

Revised Terms of Reference for the Senior Staff Remuneration Committee have been developed alongside this framework.
SOAS University of London

Remuneration Framework for the School Director

Introduction

The School Director will be appointed in accordance with The Schools’ Stranding Orders. The appointment will reflect the need to secure and retain a leader of exceptional calibre who has the skills, experience and personal qualities to assume the responsibilities of School Director and to undertake these fully and well.

The remuneration package for the School Director will be agreed by the Senior Staff Remuneration Committee and will be subject to approval by the Board of Trustees. Detailed discussions and negotiations with the preferred candidate may be led by the Chair of the Board of Trustees, liaising closely with the Chair of Senior Staff Remuneration Committee and based on advice and information provided by the Director of HR and where appropriate, the lay member of Senior Staff Remuneration Committee with established pay expertise.

Key Considerations: Senior Remuneration Framework

Remuneration will be agreed based on the School’s Senior Remuneration Framework. In particular, full and proper consideration will be given to:

- The responsibilities, scale and complexity of the role of School Director, and the need to ensure that pay and remuneration are sufficient to attract, retain, and motivate talented individuals of sufficient calibre to lead the institution.
- Market comparators from within the HE sector and where appropriate outside of the Sector.
- The impact on the School’s pay multiple and wider published pay multiples across the Sector.
- The impact on equality pay gaps and wider published pay gaps across the Sector.

Senior Remuneration Committee may reasonably take into account the current remuneration package of the preferred candidate.

Remuneration

The salary for the School Director should be based on the expectation that she/he will deliver and develop the School Strategy, maintaining the highest standards of quality and performance, at all times.

As such remuneration packages should not include an element of variable (bonus) pay.

The Director is entitled to be a member of the Universities Superannuation Scheme. Any consideration of a pension replacement allowance will be considered only where the Director has no alternative but to withdraw from the pension scheme, based on the Lifetime Allowance tax thresholds, and is at the absolute discretion of Senior Staff Remuneration Committee. Any allowance must not exceed the School’s costs in making contributions on behalf of the Director, to the Universities Superannuation Scheme.

Cost of living increases agreed through national bargaining arrangements may be applied annually to the Director’s salary.

Any further increases or allowances are at the absolute discretion of Senior Staff Remuneration Committee and will be based on
o Exceptional performance based on short term objectives and long term strategy set by the School.
○ The School’s financial position
○ The wider approach to remuneration across the School.

**Terms and Conditions**

The Director shall be offered the same terms and conditions governing executive and senior managers employed by the School. Any variation in these terms and conditions must be fully justified and is at the absolute discretion of Senior Staff Remuneration Committee. Any recommended changes must be approved by the Board of Trustees.

**Accommodation within the Vicinity of the School**

It is currently a requirement of employment that in order for the proper performance of their duties as School Director she/he occupies the accommodation provided for them by the School. Residence at the accommodation provided, includes official entertaining, meetings, overnight stays and call outs as deemed appropriate.

Based on these requirements the residence is exempt from taxation, and HMRC have confirmed tax clearance in writing.

**Transparency and Reporting**

The Senior Staff Remuneration Committee must report and justify its decisions to the Board of Trustees and where appropriate other stakeholders. This should include all relevant information considered as a basis for agreeing or recommending the remuneration package.

Remuneration for the School Director should be disclosed at least, in accordance with statutory and regulatory requirements.
SOAS University of London

Remuneration Framework for the School Director

Introduction

The School Director will be appointed in accordance with The Schools’ Standing Orders. The appointment will reflect the need to secure and retain a leader of exceptional calibre who has the skills, experience and personal qualities to assume the responsibilities of School Director and to undertake these fully and well.

The remuneration package for the School Director will be agreed by the Senior Staff Remuneration Committee and will be subject to approval by the Board of Trustees. Detailed discussions and negotiations with the preferred candidate may be led by the Chair of the Board of Trustees, liaising closely with the Chair of Senior Staff Remuneration Committee and based on advice and information provided by the Director of HR and where appropriate, the lay member of Senior Staff Remuneration Committee with established pay expertise

Key Considerations: Senior Remuneration Framework

Remuneration will be agreed based on the School’s Senior Remuneration Framework. In particular, full and proper consideration will be given to:

- The responsibilities, scale and complexity of the role of School Director, and the need to ensure that pay and remuneration are sufficient to attract, retain, and motivate talented individuals of sufficient calibre to lead the institution.
- Market comparators from within the HE sector and where appropriate outside of the Sector.
- The impact on the School’s pay multiple and wider published pay multiples across the Sector.
- The impact on equality pay gaps and wider published pay gaps across the Sector

Senior Remuneration Committee may reasonably take into account the current remuneration package of the preferred candidate

Remuneration

The salary for the School Director should be based on the expectation that they will deliver and develop the School Strategy, maintaining the highest standards of quality and performance, at all times.

As such remuneration packages should not include an element of variable (bonus) pay

The Director is entitled to be a member of the Universities Superannuation Scheme. Any consideration of a pension replacement allowance will be considered only where the Director has no alternative but to withdraw from the pension scheme, based on the Lifetime Allowance tax thresholds, and is at the absolute discretion of Senior Staff Remuneration Committee. Any allowance must not exceed the School’s costs in making contributions on behalf of the Director, to the Universities Superannuation Scheme

Cost of living increases agreed through national bargaining arrangements may be applied annually to the Director’s salary

Any further increases or allowances are at the absolute discretion of Senior Staff Remuneration Committee and will be based on
Exceptional performance based on short term objectives and long term strategy set by the School.
- The School’s financial position
- The wider approach to remuneration across the School.

**Terms and Conditions**

The Director shall be offered the same terms and conditions governing executive and senior managers employed by the School. Any variation in these terms and conditions must be fully justified and is at the absolute discretion of Senior Staff Remuneration Committee. Any recommended changes must be approved by the Board of Trustees.

**Accommodation within the Vicinity of the School**

It is currently a requirement of employment that in order for the proper performance of their duties as School Director they occupy the accommodation provided for them by the School. Residence at the accommodation provided, includes official entertaining, meetings, overnight stays and call outs as deemed appropriate.

Based on these requirements the residence is exempt from taxation, and HMRC have confirmed tax clearance in writing.

**Transparency and Reporting**

The Senior Staff Remuneration Committee must report and justify its decisions to the Board of Trustees and where appropriate other stakeholders. This should include all relevant information considered as a basis for agreeing or recommending the remuneration package.

Remuneration for the School Director should be disclosed at least, in accordance with statutory and regulatory requirements.
Appointment of Clerk to Board of Trustees

The Board of Trustees is asked to approve the appointment of Miss Sally Priddle as Clerk to the Board of trustees.

Executive Summary

The role of Clerk was previously filled by the Director of Governance and Legal Services, upon their departure an interim structure was established to enable the School to identify what support and structure was required within this service.

An interim Head of Governance was appointed for 6 months in July 2018.

It is proposed that the interim Head of Governance will act as Clerk to the Board of Trustees until the substantive staffing structure is established.

Author: Sally Priddle

Recommendations

To approve the appointment of Miss Sally Priddle as Clerk to the Board of Trustees.

Financial Impact

None

Risks

None

Equality implications

None

Consultation

The role was discussed with the Chair of the Board, Director and Registrar and Secretary.
The Board of Trustees is asked to note the following Report

**Executive Summary**

The Lead Trustee model was piloted last academic session however is not yet embedded enough to evaluate the impact of the process.

As outlined in previous reports, the aim of the Lead Trustee model is to provide assurance to the Board of Trustees through high quality, focused conversations between the Lead Trustee and the School lead. An effective Lead Trustee model will reduce the requirement for committees and provide more focused assurance to the Board on the progress, risks and priorities within key areas of the School.

Reducing the dependence on Committees will empower managers and School leads to make informed but rapid decisions to improve progress and mitigate risks within their key area. The Lead Trustee would then be able to provide assurance to the Board on the processes and evidence utilised to inform these decisions.

The model also aims to improve interaction between the Lay Trustees and the wider School community, as part of their visits the Lead Trustee can request to meet with different individuals or groups across the community that could provide a different perspective on the issue being reviewed.

The Governance and Nominations Committee would monitor the Lead Trustee model throughout the academic session and evaluate whether the model is fit for purpose, effective and provides sufficient assurance to the Board.

Draft Lead Trustee report templates are included in Annex A. The templates include the objectives from the School’s Strategy on a Page that relate to the area being reviewed. They also include a section to summarise the activities undertaken and the actions agreed during the meeting, this could include the agreed focus for the next meeting.

Annex B summarises the dates of Lead Trustee meetings that have been scheduled.

Author: Sally Priddle

**Recommendations & Next Step**

*None*

**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 academic session with qualitative reports provided at each Board of Trustees meeting. The Governance and Nominations Committee will review the model as a standing item.

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. This will also be built into the evaluation process and considered by the Governance and Nominations Committee.

**Equality implications**

None

**Consultations**

The Lead Trustee model has been discussed and approved by the Governance and Nominations Committee and the Board of Trustees during the last academic session.

All lead trustees and the School leads have been consulted on the expectations within this approach.
Annex A: Template reports for the Lead Trustee areas

**Priority Area: Learning and Teaching**

<table>
<thead>
<tr>
<th>Lead Trustee</th>
<th>Andrew Atherton</th>
<th>School Lead</th>
<th>Deborah Johnston</th>
</tr>
</thead>
</table>

Objectives from the School’s Strategy:

1A - Producing high quality graduates, postgraduates and researchers who understand and engage with the world and the regions in which we specialise

1B - Developing well-rounded individuals who can make a difference in their communities and the world

1C - Staff and organisational capability for lifelong learning and ongoing renewal

1D - A unique and fulfilling Student Experience

**Activities undertaken during meeting:**

For example:

- Visit to a particular department or meeting with Head of department
- Discussion about key priorities
- Review of key data measures that contribute to league tables or TEF outcomes
- In depth review of particular area of the Learning and Teaching Strategy

<table>
<thead>
<tr>
<th>Agreed actions</th>
<th>Timeframes</th>
<th>Owner</th>
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<tbody>
<tr>
<td>A summary of the actions agreed during the meeting</td>
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</table>

**Priority Area: International**

<table>
<thead>
<tr>
<th>Lead Trustee</th>
<th>Helen Pennant</th>
<th>School Lead</th>
<th>Deborah Johnston</th>
</tr>
</thead>
</table>

Objectives from the School’s Strategy:

6A. Developing high-quality partnerships with education providers in Asia, Africa and the Middle East. This will include teaching our degrees in these regions, validating the courses of others taught there and permitting the teaching of our material by others with the appropriate quality safeguards.

6B. Deepening our research links with universities and higher education and research institutions in Asia, Africa and the Middle East, focusing on joint activities including grant applications and publications.

6C. Extending our global outreach efforts to disseminate SOAS’s research and teaching portfolio and raise our reputation for excellence in both. We will do this both by profile-raising among new academic constituencies, and by working with our alumni.

6D. More specifically, ensuring that SOAS becomes known as widely for being a School of critical social science and law as it is a School of languages, cultures, arts and humanities of Asia, Africa and the Middle East.

**Activities undertaken during meeting:**

For example:

- Review of the Singapore Partnership
- Discussion on potential international initiatives and the due diligence processes

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<td>A summary of the actions agreed during the meeting</td>
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</table>
### Priority Area: Research

**Lead Trustee**: Andrew Atherton  
**School Lead**: Deborah Johnston

**Objectives from the School’s Strategy:**

2A - Transforming the way we do research by transitioning from individual to more collaborative and cross-disciplinary research projects building on our unique regional and global research portfolio and strengths

2B - Establishing innovative structures, systems and processes that increase efficiency of research support and administration to maximise research outcomes

2C - Bidding for research funding directed towards global challenges, building on our unique regional and global research portfolio and strengths

2D - Developing a new generation of academic leaders through tailored support for our academic community whether early career researchers or senior academics striving for large collaborative grants

2E - Expanding our national and international presence by engaging with HEIs, industry and the third sector to achieve meaningful and lasting research impact

2F - Building SOAS as a leading institution with a holistic approach to collaboration beyond research, ie strengthening local infrastructures, research support and governance

2G - Targeting our research at the highest quality outlets possible and making it available Open Access wherever possible.

**Activities undertaken during meeting:**

For example:

- Analysis of REF progress within all departments and across the School
- Discuss and review the research income portfolio and key priorities
- In depth review of particular area of the Research Strategy

**Agreed actions**

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<tr>
<th>Agreed actions</th>
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<th>Owner</th>
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</thead>
<tbody>
<tr>
<td>A summary of the actions agreed during the meeting</td>
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</table>

122
### Priority Area: IT

<table>
<thead>
<tr>
<th>Lead Trustee</th>
<th>Dickie Stagg</th>
<th>School Lead</th>
<th>Hilary Sellars</th>
</tr>
</thead>
</table>

Objectives from the School’s Strategy:
1. Embedding secure and trusted systems that protect and enhance the delivery of our services by using our core systems as platforms for growth

Activities undertaken during meeting:
- Review of the School’s current provision, including discussing key priorities and risks
- Discussion on the implementation of new systems
- Discussion on the implementation of the new staff structure and support infrastructure

Agreed actions

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<tr>
<th>A summary of the actions agreed during the meeting</th>
<th>Timeframes</th>
<th>Owner</th>
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</table>

### Priority Area: People (HR)

<table>
<thead>
<tr>
<th>Lead Trustee</th>
<th>David Skinner/ Tamsyn Barton</th>
<th>School Lead</th>
<th>Sophie Harris</th>
</tr>
</thead>
</table>

Objectives from the School’s Strategy:
1. Developing SOAS as an employer of choice both internally and externally
2. Developing models and strategies for pay and reward structures that incentivise and motivate staff
3. Organisational development and change
4. Developing a culture of quality and high performance

Activities undertaken during meeting:
- Review of the School’s current provision, including discussing key priorities and risks
- Review and analysis of staff disciplinary or complaints data
- Discussion on the implementation of the HR Business Partner model
- Discussion on particular element of the People strategy

Agreed actions

<table>
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<tr>
<th>A summary of the actions agreed during the meeting</th>
<th>Timeframes</th>
<th>Owner</th>
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</table>
### Priority Area: Estates

<table>
<thead>
<tr>
<th>Lead Trustee</th>
<th>Dickie Stagg</th>
<th>School Lead</th>
<th>Rychard Scrase- Field and Francine Hill</th>
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</thead>
</table>

Objectives from the School’s Strategy:
- SA - Developing and implementing a property strategy and investment programme to create and manage the right physical environment to realise our aims
- SD - Delivering modern and flexible teaching and learning tools, spaces and services

**Activities undertaken during meeting:**
- Visit to a particular area of the School
- Discussion on the implementation of the new catering and estate management provision
- Review short term and long term space
- Review short term and long term estate strategy, including investment priorities

**Agreed actions**

\[
\text{A summary of the actions agreed during the meeting}
\]

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### Priority Area: Finance

<table>
<thead>
<tr>
<th>Lead Trustee</th>
<th>Steve Tinton</th>
<th>School Lead</th>
<th>Graeme Appleby</th>
</tr>
</thead>
</table>

Objectives from the School’s Strategy:
- SB - Employment of robust financial management that generates surpluses for future investment into key strategic priorities

**Activities undertaken during meeting:**
- Review of current budget, key savings and strategies agreed with departments and directorates
- Discuss the progress against financial KPIs agreed at Resources and Planning Committee
- Discuss key priorities/areas for support to ensure sustainable contributions from all areas of the School

**Agreed actions**

\[
\text{A summary of the actions agreed during the meeting}
\]
Annex B: Dates agreed for the academic year 2018-19

Current dates planned

<table>
<thead>
<tr>
<th>Area</th>
<th>Before 19\textsuperscript{th} September (if possible)</th>
<th>Before 27\textsuperscript{th} November</th>
<th>Before 2\textsuperscript{nd} April</th>
<th>Before 8\textsuperscript{th} July</th>
</tr>
</thead>
<tbody>
<tr>
<td>Learning and Teaching</td>
<td>19\textsuperscript{th} September (via skype)</td>
<td>27\textsuperscript{th} November</td>
<td>2\textsuperscript{nd} April</td>
<td>8\textsuperscript{th} July</td>
</tr>
<tr>
<td>Research</td>
<td>19\textsuperscript{th} September (via skype)</td>
<td>27\textsuperscript{th} November</td>
<td>2\textsuperscript{nd} April</td>
<td>8\textsuperscript{th} July</td>
</tr>
<tr>
<td>International</td>
<td></td>
<td>11\textsuperscript{th} October</td>
<td>27\textsuperscript{th} March</td>
<td>13\textsuperscript{th} June</td>
</tr>
<tr>
<td>Finance</td>
<td></td>
<td>14\textsuperscript{th} November</td>
<td>19\textsuperscript{th} March</td>
<td>2\textsuperscript{nd} July</td>
</tr>
<tr>
<td>Estates</td>
<td>19\textsuperscript{th} September</td>
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<tr>
<td>IT</td>
<td>19\textsuperscript{th} September</td>
<td></td>
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<tr>
<td>People (HR)</td>
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</table>
The Board of Trustees is asked to note the following Report

Executive Summary

The University signed up to the Concordat to Support Research Integrity in 2012. As part of our commitment to implementing the principles of the Concordat, this is the first of our annual reports summarising our range of activities in this regard. Since our becoming signatory, Research England requires those eligible to receive research funding to be compliant with the Concordat, which sets out five commitments as follows:
1) Maintaining the highest standards of rigour and integrity in all aspects of research;
2) Ensuring that research is conducted according to appropriate ethical, legal and professional frameworks, obligations and standards;
3) Supporting a research environment that is underpinned by a culture of integrity and based on good governance, best practice and support for the development of researchers;
4) Using transparent, robust and fair processes to deal with allegations of research misconduct should they arise;
5) Working together to strengthen the integrity of research and to reviewing progress regularly and openly.

Professor Andrea Cornwall

Recommendations & Next Step

Research Misconduct Policy needs to be revised this academic year.

Financial Impact

N/A

Risks

N/A

Equality implications

NA
Consultations

This paper was prepared by the Research Manager (Secretary to the Research Ethics Panel) in consultation with Professor Matthew Craven and Professor Andrea Cornwall.
Research Integrity Annual Report 2017-18

The University signed up to the Concordat to Support Research Integrity in 2012. As part of our commitment to implementing the principles of the Concordat, this is the first of our annual reports summarising our range of activities in this regard. Since our becoming signatory, Research England requires those eligible to receive research funding to be compliant with the Concordat, which sets out five commitments as follows:

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3) Supporting a research environment that is underpinned by a culture of integrity and based on good governance, best practice and support for the development of researchers;

4) Using transparent, robust and fair processes to deal with allegations of research misconduct should they arise;

5) Working together to strengthen the integrity of research and to reviewing progress regularly and openly.

Summary of actions and activities that have been undertaken to support and strengthen understanding and application of research integrity issues:

During the year 2017-18 SOAS reviewed its research ethics policy and procedures. The major changes to the research ethics policy was to place a greater emphasis on the requirement of our researchers to undertake training regarding research integrity. SOAS has subscribed to the Epigeum Research Integrity online course since January 2016. Since then the course has formed part of the PhD upgrade process and from the beginning of 2017/18 academic year all PhD students must pass the course prior to beginning their second year. All relevant forms/documents have been reviewed e.g. the code of practice for using personal data, the upgrade and ethical review form, and the fieldwork application and Travel and security form. Detailed Scholarly Communication pages have also been developed during the 17/18 academic year to provide improved guidance on data management. Additionally, it is now a condition that any member of staff who has an externally funded research grant must have completed and passed the online integrity course. SOAS is in the process of ensuring this is the case and have recently recruited a Research Governance Officer to undertake an audit of this to insure compliance. Finally, all our research ethics procedures and the documents relating to those have been reviewed considering GDPR and have been updated to insure compliance with this.

We used the audit tool provided by the UK Research Integrity Office to assess how well SOAS was delivering on the Concordat for Research Integrity. Our assessment identified a broad level of compliance with ethical approval procedures and the ethics policy. However, our review did identify a weakness regarding SOAS management systems to ensure that potential concerns are identified at an early stage. These findings were reported to the Research and Enterprise Committee who approved a project to develop uniform procedures for internal spot checks (audits) of live projects (staff or student) to ensure that consent forms and data are being collected properly.
In addition to the research integrity online course SOAS also offers Research ethics workshops as part of the REO training series. This year UKRIO came and ran a workshop as well.

**Research Misconduct:**

The SOAS procedure for investigating and resolving allegations of misconduct in academic research closely follows the UK Research Integrity Office’s model and as such has appropriate principles and mechanisms to ensure that investigations are thorough and fair, carried out in a transparent and timely manner, and protected by appropriate confidentiality. However, the policy is due for renewal following SOAS academic restructure and is expected to be revised and submitted to the October Research and Enterprise Committee for approval.

**Research Misconduct Cases:**

This year saw one research misconduct case from the East Asian languages Department. The alleged misconduct was plagiarism of a student’s thesis by a member of staff. The Named Person convened a Screening panel, which found the allegation to be mistaken.
Investment Advisory Panel (IAP) – Minutes
12 June 2018

I Minutes and Matters Arising

The minutes of the meeting held on 13th March 2018 were approved.

II Endowment Asset Investments

a) Newton presentation (Appendix B)

BS gave a presentation on the School’s investment fund. It was reported that:

- At 31 May 2018 the value of the fund stood at £38,819,185, 0.9% higher than the value reported as at 28 February 2018 of £38,469,049.
- Newton continued to be cautious, with equities at 67% versus a benchmark weighting of 75%.
- The current projected income for 2017/18 was £1,003k vs a target of £933k. RL noted that there was a transfer of £1m into the portfolio after the target was set and going forward the target would be increased whenever a transfer was made [Action: RL].
- The return of the fund over the year to 31 May 2018 was 3.2% compared with a benchmark of 6.1% and average weekly earnings statistic (AWE) + 3.5% of 6.1%.

It was noted that UK equities were at 21.62% of the portfolio at 31 May 2018 and very close to the lower limit allowed of the 20% - 40% UK equity range. It was agreed to recommend to RPC that the distinction between UK and overseas equities be removed so that equities would simply be in the range of 0 – 75%. [Action: GD]

Newton were asked to provide at the next meeting the direct and indirect portfolio exposure to emerging markets now and looking forward. Newton to include a slide showing risk and yield. [Action: Newton]

1 Full hard copies of this report were provided
It was noted that since the transfer of custodianship from Newton to Bank of New York Mellon (BNYM), there had been a substantial increase in tax administration for SOAS which had previously been taken care of by Newton. Newton indicated that other clients had made similar observations and apologised for the situation.

III Treasury Matters

1. & 2. Capital & debt statement and cash flow forecast (App. C and D)

A capital & debt statement and cash flow forecast were received. It was noted that SOAS was comfortably within the borrowing limits imposed by its loan covenants and those imposed by HEFCE.

The 5 year covenant position was included in the 5 year forecast submitted to RPC.

IV Any Other Business

It was agreed that the BNYM mandate be simplified to allow signing within Finance. [Action: RL]

It was agreed that there should be a tender for investment management services in the near future. [Action: DD]

V Dates of Meetings

Thursday 15th November 2018 at 12.30 (room 115)
Tuesday 12th March 2019 at 12.30 (room 115)
Tuesday 18th June 2019 at 12.30 (room 115)
Senate
Draft Annual Report 2017/18

Summary
• Senate continued to be active and feed back on events, issues and initiatives in the School including academic freedom, One Professional Service, the School’s Online Strategy and others
• We made progress regarding deeper engagement with SU/Board of Trustees
• Senate activity/attendance was lower in 2017/18 than 2016/17

Priorities for 2018/19
• Engagement with and input into the School’s Academic Strategy
• Dialogue between Senate members and student body, Trustees
• Engagement with strategic issues for School, e.g. academic freedom/freedom of speech; research and teaching culture; public engagement
• Improved mobilisation, awareness and attendance

Updates on 2017/18 priorities
• Wider engagement and mobilisation of staff on institutional policy, strategy, transparency, and accountability as well as the wider HE context
  o Partially delivered; affected by industrial action and timings of Senate meetings; to continue
• Building better connections with Students’ Union and Board of Trustees
  o Stronger connections developed with SU sabbatical officers and BoT members (especially Chairs); to look at developing more joint conversations
• Encouraging better attendance and cross-Departmental debate / dialogue
  o Attendance was slightly down this year; to continue to encourage/engage
• Engagement with initiatives focusing on administrative / professional support at SOAS (e.g. One Professional Service)
  o Good engagement with consultation on student support services and the establishment of Departmental level support structures

Senate Activities 2017/18
This was Senate’s second year in operation. During the year, Senate met twice and voted on four motions (2016-17; four meetings, seven motions). It also discussed five further items (2016-17 thirteen further items). All of the Senate papers and minutes are available on the Senate section of MySOAS.

Meetings
• October 11th 2017
• March 1st 2018

Motions
• Motion endorsing co-location of administrative staff in Departments
• Motion Concerning Events Pertaining to Israeli Ambassador Mark Regev’s Event at SOAS on 27 April 2017
• Motion in support of non-censorship and open access for SOAS Journals
• Motion on USS Pension Scheme

All of the above were followed by an electronic vote. In total, 477 votes were cast on the various motions (1252 in 2016-17).

Items for noting / discussion
• School’s Online Future
• Workload Modelling
• Student Bursaries
• Open Access Journal

Dates for Senate 2018/19

The regular meetings of Senate in 2017/18 will be 28th November 2018, 13.00-15.00 and 28th Feb 2019, 15.00-17.00. If necessary, extraordinary meetings may be called as well.

Chair’s Comments

2017/18 was a quieter year for Senate than 2016/17 with respect to our meetings, although the previous year had heavily been influenced by the debates around academic restructuring. Our first meeting was very early in the academic year, meaning that the agenda was probably lighter than it might have been. Our second meeting fell in the middle of extensive industrial action and snow, which again affected both the number of items on the agenda and the attendance. We have attended to the timings of Senate meetings this year which puts them later in the term, although of course further industrial action cannot be ruled out.

That said, it is clear that the space organised by Senate continues to be a valuable platform for a considered face-to-face discussion on matters within its remit. Relating to the motions in the first meeting, there was considerable engagement with the proposals around the structuring of academic and student support and this influenced the eventual outcome of this process. This is true of both academic members and colleagues from Professional Services contributing to Senate discussions. It has also been useful to have updates and reports on the progression of various policies within the School.

Key to the School’s future will be the further development and implementation of the Academic Strategy announced in late June. We strongly encourage all staff to read and consider the analysis proposals carefully, and to provide feedback through the various channels available to them – directly to the Pro-Director International, to specific Review teams, through Heads of Department and Department Meetings, through elected members to Academic Board, and also through Senate. This strategy encompasses a wide range of issues that directly affect each member of SOAS and will shape the direction of the institution in years to come. It is important that it is informed by the collective input of the School at this crucial stage.

Beyond that, we continue to receive many enquiries from colleagues in universities across the UK and beyond regarding our efforts to open up and strengthen academic governance at SOAS. The Senate Chair and Deputy Chair have been involved in various networks, discussions and meetings, and our recent experiences at SOAS
have been widely appreciated and welcomed. In this and a number of other respects our work at SOAS is inspiring action elsewhere.

In the next year we will continue to find ways to strengthen participation across the institution, in particular through building up the connections between Senate and the student body.

Meera Sabaratnam, Chair
Matt Nelson, Deputy Chair

September 2018