

**SCHOOL OF ORIENTAL AND AFRICAN STUDIES
GOVERNING BODY**

AGENDA

Friday 5th October 2012 from 9.30-11.30am

Room 116, College Buildings, Thornhaugh St. Russell Square, WC1H 0XG

Items marked with an asterisk are formal business, not intended for discussion. If members wish to discuss any issues arising from these items they should inform the Secretary by 9am on Tuesday 2nd October 2012

I	Membership, Terms of Reference, procedures for the conduct of meetings, and annual plan of work for 2012/13 To note:	[Appendix A]
II	Conflicts of Interest	[Oral Update]
III	Minutes To approve: The minutes of the meeting held on 5 th July 2012	[Attached]
IV	Actions Taken	
V	Matters Arising / Matters for Report	
VI	Questions on the Director's report (<i>the Director's monthly report will be dispatched on the 1st October 2012</i>)	[Appendix B] To follow
VIII	Key Performance Indicators (KPI's) To receive	[Appendix C]
IX	The Percival David Foundation Funds To approve	[Appendix D]
X	Update to Barclays Bank Mandate To approve	[Appendix E]
XI	<p>To note: Next meetings of Governing Body: Tuesday 28th November 2012 at 16.00pm Friday 19th April 2013 at 9.30am Thursday 4th July 2013 at 16.00pm</p> <p>Informal Evening meetings of Governing Body will be held on the following dates: Thursday 1st November 2012 4-8pm (venue - Senate House) Thursday 30 May 2012 4-8pm (venue – SOAS, Brunei Suite)</p> <p>The Governing Body Away day will be held on Monday/Tuesday 4th/5th February 2013 at Couldson Manor & Golf Course, Couldson Court Road, Old Coulsdon, Croydon, CR5 2LL.</p> <p>Full details of these events will be provided by the Secretariat Officer (sec-officer@soas.ac.uk)</p>	

Governing Body is asked **to note** the membership, terms of reference, procedures for the conduct of meetings, and annual plan of work for 2012-13

Powers of the Governing Body (ARTICLE IV)

1. Subject to the provisions of this Our Charter, the Governing Body shall have absolute power within the School with overall responsibility for the general supervision, direction and control of all aspects of the School. Such powers of the Governing Body shall include without limitation the following powers:
 - (a) to appoint the Members of the Governing Body specified in sub-clauses (a) and (b) of clause 1. of Article V and to remove such persons;
 - (b) to appoint and to remove the Director of the School;
 - (c) to appoint committees for the proper exercise and discharge of all or any of the Governing Body's powers and responsibilities;
 - (d) to approve the annual audited financial statements of the School and to consider the annual budget and financial forecasts;
 - (e) to ensure compliance by the School with all legislation (including without limitation all relevant Education Acts for the time being in force) and the Charter;
 - (f) to establish procedures for staff appointments (whether academic or otherwise), discipline and appeals;
 - (g) to approve the academic scope and academic structure of the School, and any changes to such scope or structure, after having received advice from the Academic Board;
 - (h) to act as trustees for any purpose to promote, or otherwise in relation to, the objects of the School;
 - (i) to make a Standing Order relating to the employment of academic staff, with power from time to time to revoke amend or add to this Standing Order, provided always that no such Standing Order or such revocation amendment or addition shall take effect until approved by the Lords of Our Most Honourable Privy Council of which approval a certificate under the hand of the Clerk of Our said Privy Council shall be conclusive evidence.
 - (j) to make other Standing Orders subject to this Our Charter for governing, or otherwise in respect of any matter of whatever nature relating to, the School or its constituent parts, for the promotion of the objects of the School and for the facilitation of any of the provisions of this Our Charter; the power to make Standing Orders shall include the power from time to time to add to, amend or repeal any Standing Orders so made.
2. The School may pay any properly incurred and reasonable expenses to any Member of the Governing Body as the Governing Body may from time to time determine.

Membership of the Governing Body (ARTICLE V)

1. There shall be a Governing Body which shall comprise 21 members:
 - (a) the Chair, who shall be appointed by the Governing Body and who shall be a lay member;
 - (b) twelve further lay members, to be appointed by the Governing Body except for one who shall be appointed on the nomination of the Secretary of State for Foreign and Commonwealth Affairs;
 - (c) the Director of the School, ex officio;
 - (d) five members of the Academic Board, nominated by the Academic Board, comprising the two Pro-Directors ex officio, two academic and one professional services staff members;
 - (e) two student members, nominated by the Students' Union Executive Committee, each of whom must either be a Sabbatical Officer of the SOAS Students' Union or a full-time registered student of the School.
2. None of the persons to be appointed under sub clauses (a) or (b) above shall be an employee, the holder of any office or a registered student of the School.
3. All members, except those specified in clause 1 (e) above and ex officio members, shall be appointed for a term of office of four years. They may be re-appointed for one further term of four years.
4. Members specified in clause 1 (e) shall serve for one year. They may serve for one further year only.
5. The Chair shall be appointed by the Governing Body for a term of office of four years. They may be re-appointed to this position for one further term of four years.
6. Lay members of the Governing Body shall be appointed by the Governing Body to act as a Vice-Chair, an Honorary Treasurer and a Chair of the Audit Committee. They shall be appointed to these positions for a term of office of four years. They may be re-appointed to these positions for one further term of four years.
7. No member serving under clauses 5 and 6 above shall serve in total on the Governing Body for a period longer than twelve years.
8. A casual vacancy in the Governing Body by death, resignation, incapacity or otherwise shall be filled as soon as conveniently may be and the person appointed to fill a casual vacancy shall be so appointed for the remainder of the term of office of the person in whose place the new member is appointed.
9. The acts or proceedings of the Governing Body shall not be invalidated by any vacancy in their number, nor by any irregularity in the appointment at any time of any Member of the Governing Body.
10. Any Member of the Governing Body may at any time resign by writing addressed to the Chair of the Governing Body.

11. The Governing Body shall appoint a Clerk to act as Secretary to the Governing Body and this shall normally be the Registrar and Secretary.

Standing Orders of Governing Body

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

I Governing Body

- (i) In furtherance of its overall responsibility for the general supervision, direction and control of the School, Governing Body may override any decision made by any other properly constituted body of the School or any Lay or School Officer.
- (ii) Governing Body will elect a Chair, Vice-Chair and Honorary Treasurer for a term of office of 4 years, re-electable once. The Vice-Chair and Honorary Treasurer must be elected from the membership of Governing Body.
- (iii) Governing Body will normally hold ordinary meetings four times per annum. The Registrar & Secretary, the Director of Finance & Planning and the Deans shall be in attendance.
- (iv) Governing Body will only amend its Standing Orders and the procedures for the conduct of meetings at an ordinary meeting.
- (v) Governing Body will appoint the following Standing Committees and approve their membership and terms of reference:
 - Academic Board
 - Audit Committee
 - Executive Board
 - Health & Safety Committee
 - Honorary Degrees & Fellowships Committee
 - Nominations Committee
 - Resources & Planning Committee
 - Senior Staff Remuneration Committee
- (vi) Governing Body will appoint the Director of the School and will establish an Appointments Committee for this purpose;
- (vii) Governing Body will appoint a Clerk to the Governing Body¹ of the School and will establish an Appointments Committee for this purpose;
- (viii) Governing Body will appoint two 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;
- (ix) Governing Body will appoint three Deans of Faculty on the recommendation of the Director following appropriate appointment procedures. The Deans of Faculty will normally serve for five years, renewable once for a period of up to five years;

¹ The Clerk to the Governing Body would normally be the Registrar & Secretary as set out in Article V(11).

- (x) Governing Body will appoint each year external auditors on the recommendation of Audit Committee;
- (xi) Governing Body 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 Governing Body 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 HEFCE 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 University Commissioners 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 Governing Body;
 - (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 Higher Education Funding Council for England 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 Schools risk environment and monitor and approve the School's risk register.

- (xiii) Governing Body 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 Governing Body's primary responsibilities and reserved powers.

Procedures for the Conduct of Committee Meetings

These procedures apply to Governing Body 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 Governing Body.
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. There will be a quorum for all Committees which unless specified otherwise will be one third of the membership. For Governing Body the quorum will be eight, for Resources & Planning Committee five, for Academic Board nine, for Audit Committee two and for Executive Board three. No formal business may be transacted at meetings without a quorum of members present.
7. 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.
8. 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.
9. 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.
10. 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.
11. 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.

12. The Chair may at any time call an extraordinary meeting.
13. 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 Governing Body, three for Resources & Planning Committee, eight for Academic Board and one third of the membership for other Committees.
14. 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.
15. 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.

GOVERNING BODY ANNUAL PLAN OF WORK 2012-13

Meeting 1: Friday 5 October 2012 at 09.30-11.30

OPEN AGENDA

Membership, Terms of Reference,
Procedures for the conduct of meetings,
Annual Plan of work

Minutes of the last meeting
Matters Arising

Questions on the Director's Report
Governing Body Key performance Indicators

RESERVED AGENDA

Minutes of the last meeting
Matters Arising

League Tables: An action Plan for
Improving the School's performance in the next
three years

Student Recruitment Data: A presentation
Update on the North Block

Meeting 2: Tuesday 28 November 2012 at 16.00-18.00

OPEN AGENDA

Minutes of the last meeting
Matters Arising
Questions on the Director's Report

LMEI Annual Report

To approve:
Financial Forecast
Financial Statements 2011-12
Faculty Plans
Professional Services Plan

The Student's Union Annual Report and Financial Statements

To approve:
Annual Internal Audit Report
Annual Report of the Audit Committee

RESERVED AGENDA

Minutes of the last meeting
Matters Arising
North Block Project Update

OPEN AGENDA

To note: Sub Committee Reports/Minutes
To note Sub Committee Reports/Minutes
Academic Board Minutes
Audit Committee Minutes
RPC Chair Approved Minutes
Resources & Planning Committee

RESERVED AGENDA

North Block Project Update

Health & Safety Committee
RPC Minutes
Reports from Nominations & Honorary
Degrees & Fellowships Committees

Meeting 3: Friday 19th April 2013 at 9.30-11.30

OPEN AGENDA

Minutes of the last meeting
Matters Arising

RESERVED AGENDA

Minutes of the last meeting
Matters Arising
North Block Project Update

The Director's Report

The mid year financial forecast: financial forecast out-turn

Equality & Diversity – Annual Report

Meetings Schedule for GB & Committees with lay
Members for 2013/14

To note: Sub Committee Reports/Minutes
Academic Board Minutes
Audit Committee Minutes
Health & Safety Committee
Resources & Planning Committee

To note: Sub Committee Reports/Minutes
RPC Minutes
Reports from Nominations & Honorary
Degrees & Fellowships Committees

Meeting 4: Friday 4th July 2013 at 16.00-18.00hrs

OPEN AGENDA

Minutes of the last meeting
Matters Arising

The Director's Report

To note: League Tables Report from Planning
Emeritus Status
Valedictions

To approve: The Risk Register as recommended by
The Audit Committee

To note: Sub Committee Reports Minutes

RESERVED AGENDA

Minutes of the last meeting
Matters Arising

North Block Project Update

To endorse: Academic Promotions
To approve: Recommendations for Honorary
Degrees & Fellowships

SCHOOL OF ORIENTAL AND AFRICAN STUDIES

GOVERNING BODY

Thursday 5th July 2012

OPEN MINUTES

Dr T Miller (Chairman)
Ms E Wright (Vice-Chair)
Professor P Webley (Director)
Professor N Rao (Pro Director)
Mr M French (Honorary Treasurer)

Dr F Adamson
Mr D Beaton
Professor Sir I Crewe
Mr G Dalal
Professor G Furniss
Sir Graham Fry
Mr A Khan

Ms R Mortuza
Dr J Parker
Mr J Robinson
Professor S Subedi
Ms A Tassinari

In attendance: Mr G Appleby (Director of Finance & Planning)
Mr D Beaton (Registrar & Secretary)
Professor S Chan (Dean of Law & Social Sciences)
Professor A Pauwels (Dean of Languages & Cultures)
Professor G Singh (Dean of Arts & Humanities)
Dr C Ince (Minutes)

Mr H Lanigan-Coyte (SU Sabbatical Officer)
Ms A Fulton (SU Sabbatical Officer)
Ms K Ono (SU Sabbatical Officer)

Apologies: Mr N Lerner
Professor B Harriss-White

43. Apologies for absence

The apologies were **noted**.

44. Minutes

The minutes of the meeting 20th April 2012 were **approved**.

45. Actions Taken

(i) MIN 32 – PGT Portfolio Review

The Pro-Director, Learning & Teaching **reported** that of the 300 courses identified with low student numbers 65 had been withdrawn already and a further 137 across faculties would be considered for deletion in 2012/13. The remaining 98 would be kept under review but were essential to the School's overall mission and external brand.

(ii) MIN33 – Distance Learning

The Director of Finance & Planning **confirmed** that the figure reported for distance learning income in the forecast outturn was correct, at £100K below last year's actual figure.

46. Matters Arising/Matters for Report

There were no matters for report other than those on the agenda.

47. Questions on the Director's Report

The Director **reported** that, in addition to his reports circulated at the end of May and June, the new Vice-Chancellor of the University of London, Professor Sir Adrian Smith, would be starting on 1 September 2012. Therefore, he would be acting Vice-Chancellor for August.

Governing Body **noted** that the drop in applications for 2012/13 entry was comparable to the national trends in subjects but that the picture was vary varied as the system moved to the new fee regime. The drop in both applications for language degrees could be due to the financial implications for student's undertaking a 4-year degree programme. However, it was hoped that the latest changes to HEFCE funding in this area might allow the School to reduce the fee for the year abroad element to zero.

Governing Body congratulated John Hollingworth on his award of the MBE in the Queen's Birthday Honours.

48. Finance

To approve

Appendix A – The Financial Forecast 2012

Appendix B – the proposed budget for 2012-13

The Honorary Treasurer **reported** that Resources & Planning Committee had considered the Financial Forecast and its assumptions in detail and agreed that the budget should be considered as a separate paper to better explain the reasons for why in 2012/13 there was a reduction in the predicted surplus due to costs rising faster than income. The Finance Director explained that the budget showed a £1.3M decrease in the surplus but this included a £1M contingency provision for failure to meet recruitment targets but the latest data showed these were likely to be met. Staff costs and the School's cost base would be considered as part of Resources & Planning's review of the Financial Strategy and its benchmarks in the next academic year.

The Director of Finance & Planning **agreed** that he would take advice from the Pensions Regulator on the assumption around auto-enrolment in pension schemes from 2013.

Governing Body **approved** capital budget envelopes of £1.55M for long term maintenance projects in 2012/13, noting that a list a specific projects would come back to the next meeting, and £800k for IT equipment projects, delegating authority to allocate funds the specific projects to Executive Board. It **noted** that the Honorary Treasurer had taken Chair's Action, on behalf of the Resources & Planning Committee, to approve the re-acquisition of the sub-lease of 21/22 Russell Square from the School of Pharmacy at a cost of £700K.

The Director of Finance & Planning **reported** that the School was considering introducing the option for students to pay their fees by instalments, as requested by the Students' Union. This would require tighter credit control as the School did not use preventing access to academic resources as a credit control mechanism.

Discussing the Financial Forecast, Governing Body **noted** the proposed increase in fees for overseas PGT students. These were consistent with the School's high quality offering, had many related scholarships and were benchmarked against competitor institutions.

Governing Body **approved** the Forecast and revenue budget for 2012/13.

49. Amendments to Standing Orders

To approve: Appendix C & its annexes

The Registrar & Secretary **reported** that the proposed changes to the Standing Orders tidied up a number of inconsistencies in terminology. The main change was to delegate the authority for the approval of most non-academic policies and minor strategies to the Executive Board, although some would still be discussed at the Board's sub-committees. An annual report would be presented to Governing Body and it would continue to be responsible for approving the School's Strategy and its eight key sub-strategies.

Governing Body **approved** the changes to its Standing Orders and that in future agendas would start with an item reminding members to declare any conflict of interests with items on the agenda.

50. League Table Report

Appendix D – to receive

The Dean of Arts & Humanities **presented** the report from the League Table Working Group that provided a statement of action taken in the current academic year, and that planned for 2012/13, to address the School's performance in national and international league tables. The key metric was that of student satisfaction and any actions to improve this needed to be embedded in faculty plans.

The newly implemented Personal Adviser System meant that every student was allocated a personal adviser and required to visit them at induction and then another two times during the year at key points in the academic cycle, backed up by electronic contact. The take-up varied between departments and was anticipated to be between 60-70% in the first year.

Governing Body **noted** that with student satisfaction a small drop in the rating could lead to a large drop in the league tables due to its high weighting and bunching of institutions. The relationship between the Head of Department and staff was seen as a major factor in how the student experience was improved. The School received feedback from students in many ways and had a good understanding of the issues it needed to address and worked closely with the Students' Union on its annual priorities.

Governing Body **agreed** that it would consider a comprehensive report at its next meeting. This would include targets for each metric used in the league tables and milestones for the School's performance along with a detailed action plan.

51. Vision and Strategy for the Centenary

Appendix E – to approve

The Director **reported** that the revised Vision and Strategy was recommended to the Governing Body by the Academic Board and Resources & Planning Committee. There had been a wide consultation and a consensus to stay with the School's existing strengths but include the Diasporas of its regions. The document outlined the agreed priorities with a greater emphasis on the student experience and employability.

Governing Body **approved** the new Vision and Strategy for the Centenary noting that there were eight underpinning sub-strategies it would continue to monitor. A history of the School was being researched and written to coincide with the centenary celebrations.

52. Equality & Diversity

Appendix F – to approve

The Dean of Languages & Cultures, and Chair of the Equality & Diversity Committee, **reported** that the paper covered the ongoing work to meet the School's duties under the Equality Act. Governing Body **approved** the recommendations in the paper.

53. Risk Register

Appendix G (Annexes A&B) – to approve

The Registrar & Secretary **reported** that the new Risk Register had been prepared with the new internal audit team from KPMG and had revised the methodology used and reduced the number of institutional risks from 22 to 9. It had been considered in detail by the Audit Committee on a number of occasions and showed a clear ownership of the risks and mitigating actions. Governing Body **approved** the Risk Register, which would be updated for the next meeting of the Audit Committee in September.

54. SOAS Safety Policy

Appendix H, Annex A – to approve

Governing Body **approved** the revised Safety Policy, which would be signed by the Chairman and the Registrar & Secretary.

55. Sub – Committee Reports

To Receive: Open Minutes/Reports from the following Sub-Committees:

- (i) Academic Board Minutes 6th June 2012 (Appendix I)
 - (ii) Audit Committee Minutes 31st May 2012 (Appendix J)
 - (iii) Health & Safety Committee 22nd May 2012 (Appendix K)
 - (iv) Resources and Planning Committee Minutes 7th June 2012 (Appendix L)
 - (iv) Nominations Committee 3rd May 2012 (Appendix M)
 - (vi) Honorary Degrees and Fellowships Committee (Appendix N)
- To receive a report of the meeting 3rd May 2012
To approve the criteria for the award of SOAS Honorary Degrees

The Governing Body **received** the reports and **approved** the criteria for the award of SOAS Honorary Degrees.

56. Outsourced Cleaning Services at SOAS

Appendix O – to consider

Governing Body **discussed** a paper from Mr A Khan and Ms A Tassinari that considered the School's outsourced cleaning contract and the employees terms and conditions of employment. This was an issue on which many staff and students had strong feelings and they requested that the School consider the issue again. Governing Body had last reviewed the School's outsourced contracts, which also covered security, maintenance and catering & conferences in 2010.

Governing Body **noted** that whilst the paper related to the cleaning contract the working group had considered all outsourced contracts and the review of this area conducted by

QMW. The financial impact to the School of changing was in the order of £1.5M. It **agreed** that the Resources & Planning Committee would consider the issue in more detail at its next meeting.

57. Valedictions

To note: the following Governors terms of office comes to an end 31 July 2012

- Mr Michael French (Honorary Treasurer)

The following Governors' terms of office come to an end 31 August 2012

- Professor Surya Subedi, OBE
- Mr Ali Khan
- Ms Arianna Tassinari

Governing Body **recorded** its formal thanks to those members leaving over the summer, in particular Mr French who had served as Honorary Treasurer since 2004 and made a significant contribution to the work of the School during his time on Governing Body.

58. *Emeritus Status

To note: the award of emeritus status to:

- (i) Professor Phil Jaggar
- (ii) Professor Tudor Parfitt

Governing Body **noted** the award of emeritus status to two professors.

59. Date of next meetings

To note:

Next meetings of Governing Body:

Friday 5th October 2012 at 9.30am

Tuesday 27th November 2012 at 16.00pm

Friday 19th April 2013 at 9.30am

Thursday 4th July 2013 at 16.00pm

SCHOOL OF ORIENTAL AND AFRICAN STUDIES

GOVERNING BODY

5th July 2012

Action Points 2011/12

Minute	Item	Action	Deadline For Report	By
11	Health & Safety Annual Report	A more detailed annual report from the Director	5/10/12	PW/DB
48	Budget 12/13	Advice from Pensions Regulator on auto-enrolment assumption	5/10/12	GAS
49	Standing Orders	Agendas to include initial item on declaring any conflicts of interest	5/10/12	CI
50	League Tables	Full discussion paper on league tables	5/10/12	GS
56	Outsourced cleaning contract	RPC to consider a more detailed paper	13/11/12	GA

Update on SOAS Key Performance Indicators (KPIs)

Governing Body is asked to **receive** the following report

Executive Summary

The report details the School's KPIs for the 2011/12 academic session.

Recommendations

N/A

Financial Impact

N/A

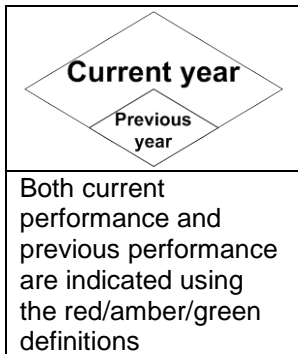
Risks

N/A

Update on SOAS Key Performance Indicators (KPIs)

Governing Body is asked to **receive** this report.

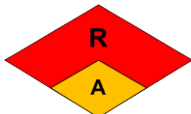
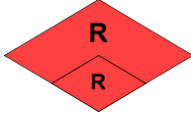

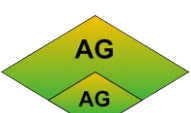
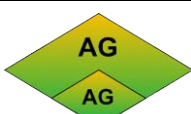
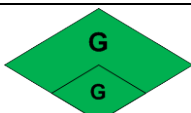
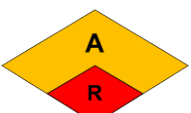
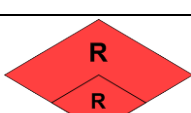
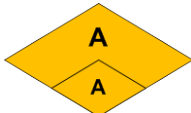
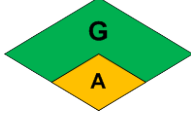
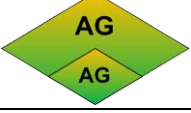
The SOAS KPIs summary is presented overleaf, the Key to the indicators is as follows:



Green: Good Low Risk On Track No action required	Amber-Green: Satisfactory Some concerns Broadly On Track	Amber: Mixed Medium Risk Some significant concerns Potentially damaging	Red: Problematic High Risk Serious concerns Threatening overall performance

Alison Hartrey
Head of Planning
25 September 2012

SOAS KPI Summary – End of academic session 2011/12

	Description	Status	Monitoring Committee	Lead
KPI 1	National Student Survey: Overall score		Academic Development Committee	Director of Academic Development
KPI 2	Student Experience*		Student Experience Committee	Director of Student & Registry Services
KPI 3	Undergraduate degree students studying a language		Academic Development Committee	Dean of Languages & Cultures
KPI 4	Student FTEs profile		Executive Board/ Academic Development Committee/ Research & Enterprise Committee	Pro-Director (Learning & Teaching)/ Pro-Director (Research & Enterprise)/ Deans
KPI 5	Performance of the estate		Estates & Infrastructure Committee	Director of Estates & Facilities
KPI 6	Active PGR student FTE per research active academic FTE		Research & Enterprise Committee	Pro-Director (Research & Enterprise)
KPI 7	Income per academic staff FTE		Executive Board/ Academic Development Committee/ Research & Enterprise Committee	Pro-Director (Learning & Teaching)/ Pro-Director (Research & Enterprise)/ Deans
KPI 8	Research income per research active academic FTE		Research & Enterprise Committee	Pro-Director (Research & Enterprise)
KPI 9	Surplus/Deficit as percentage of income		Resources & Planning Committee	Director of Finance & Planning
KPI 10	Number of “engaged” alumni*		External Relations Committee	Director of External Relations & Development
KPI 11	Staff pulse survey*		Human Resources Committee	Director of Human Resources

*New KPIs 2011/12

KPI 1: National Student Survey (NSS) Overall Score

	SOAS Score in the NSS	Benchmark Score (Top Quartile)	% agreed	Benchmark % agreed (Top Quartile)	Benchmark Score/ % agreed (Top Quartile) Benchmark group
2011	4.1	4.3	86%	89%	4.3 / 88% 4.2 / 87%
2010	4.1	4.3	85%	89%	
2009	4.1	4.3	86%	89%	
2008	4.2	4.3	85%	89%	
2007	4.1	4.2	84%	88%	

Benchmark group = 23 HEIs identified as SOAS competitors in the 2009/10 admissions round (ie for student entry in 2010). Data from ipsos MORI.

The reporting of the NSS overall score has been updated to show the percentage of students who agreed to the question regarding overall satisfaction with their student experience at SOAS, since this gives a clearer indication of where SOAS is positioned in relation to the upper quartile of the data set.

KPI 2: National Student Survey (NSS) Percentage of satisfaction with Academic Support

	SOAS students % satisfied	Sector average % satisfied	Benchmark Sector% satisfied Top Quartile
2011	64%	77%	81%
2010	64%	75%	80%
2009	62%	74%	79%
2008	59%	74%	79%
2007	62%	72%	77%

KPI 3: Percentage of UG Degree students who study a language (Headcount)

	Language Degree	Non-Language Degree	Total	Percentage participation
2011/12	897 out of 1098	231 out of 1215	1128 out of 2544	44.3%
2010/11	947 out of 1080	188 out of 1357	1135 out of 2437	46.6%
2009/10	866 out of 1083	184 out of 1404	1070 out of 2487	43.0%
2008/09	795 out of 1014	166 out of 1407	961 out of 2421	39.7%
2007/08	719 out of 917	202 out of 1435	921 out of 2352	39.2%

Target = 50% language study participation by the end of the 2011/12 academic session

This data has been updated to include registrations on the Undergraduate Language Entitlement Scheme from 2009/10 academic session onwards.

Please note: Those students on language degrees not taking a language course either relate to joint subject degree students who are concentrating on their non-language subject, after initial language acquisition, or year abroad, or those students on a language studies degree where the element of language learning is reduced.

**KPI 4: Student Numbers profile (FTE)
(Actual student numbers against overall targets for degree students across all years)**

Students on campus:

	UG Low Fee	UG High Fee	PGT Low Fee	PGT High Fee	PGR Low Fee	PGR High Fee
2011/12	102.95%	101.43%	103.11%	94.07%	102.32%	113.27%
2010/11	102.20%	110.95%	93.76%	95.28%	85.31%	104.48%
2009/10	100.38%	100.00%	108.86%	106.77%	106.90%	116.94%
2008/09	104.80%	88.19%	103.99%	93.17%	119.65%	106.67%
2007/08	105.88%	109.33%	108.08%	106.68%	115.43%	116.43%

*Live degree enrolments where SOAS is the lead institution; split by fee type
(Low Fee = Home/EU standard; High Fee = Overseas and Home/EU full-cost programmes).
Data from 1 December snapshot in each academic year.*

Distance Learning Students:

Distance learning registrations are based on calendar years (1 Jan – 31 Dec).

CeDEP: Centre for Development, Environment & Policy

CeFiMS: Centre for Finance & Management Studies

	FTE	Headcount	CeDEP FTE	CeDEP Headcount	CeFiMS FTE	CeFiMS Headcount
2011	615	3,763	187	1,366	428	2,397
2010	597	3,401	193	1,286	404	2,115
2009	523	3,306	162	1,183	361	2,123
2008	469	2,820	160	1,065	309	1,755

Note: The FTE value for CeFiMs and CDEP are an approximation based on the fact that an on-campus full-time Masters student = 1 FTE.

CeFiMs students will need to pass 8 modules to achieve a Masters degree so the FTE value is calculated on modules sold divided by 8.

CDEP students will need to pass 10 modules to achieve a Masters degree so the FTE value is calculated on modules sold divided by 10.

KPI 5 Performance of the Estate

(a) Total property costs psm NIA

2006-07	2007-08	2008-09	2009/10	2010/11	Lower Quartile	Median	Upper Quartile
101	110	131	138	152	103.75	121.5	139.25

Benchmark group = 30 HEIs - including 1994 Group & other small but well regarded institutions. Data from HESA Heidi data sets

The increasing property costs reflect SOAS' investment to improve standards. This investment is being underpinned by improved contract management arrangements and other value for money measures.

(b) Building condition % GIA Condition A and B

2006-07	2007-08	2008-09	2009/10	2010/11	Lower Quartile	Median	Upper Quartile
48.0	51.0	47.0	68.8	75.8	68.85	81.95	89.43

Benchmark group = 30 HEIs - including 1994 Group & other small but well regarded institutions. Data from HESA Heidi data sets

Target: All buildings to achieve a survey condition of A or B by 2016

(c) Energy consumption kW/h psm GIA

2006-07	2007-08	2008-09	2009/10	2010/11	Lower Quartile	Median	Upper Quartile
268	255	342	360	297	228.25	276	340.75

Benchmark group = 30 HEIs - including 1994 Group & other small but well regarded institutions. Data from HESA Heidi data sets

The building management systems which have been put in place appear to have been effective in reducing energy consumption across the School.

KPI 6: Active PGR Student FTE per Research Active Academic FTE

	2006/07	2007/08	2008/09	2009/10	2010/11
SOAS	1.44	1.37	1.71	1.77	1.52
Median of Benchmark Group	1.07	1.04	1.14	1.25	1.20
Lowest Value	0.67	0.68	0.63	0.67	0.71
Highest Value	1.66	1.54	1.71	1.80	1.71

Benchmark Group = 1994 Group. Data from HESA Heidi data sets; Research active students include those who are writing-up, but not those on maintenance (dormant).

KPI 7: Income per Academic Staff FTE

	2006/07	2007/08	2008/09	2009/10	2010/11
SOAS	£115k	£131k	£141k	£143k	£153k
Average of Benchmark Group	£165k	£177k	£191k	£196k	£188k
SOAS Ranking	30	28	29	29	30

Benchmark group = 30 HEIs - including 1994 Group & other small but well regarded institutions. Data from HESA Heidi data sets Figures exclude income from residences and catering.

Target = £165,000 per academic by 2012/13

(SOAS Financial Strategy 2009/10-2012/13)

KPI 8: Research Income per Research/Research & Teaching Academic Staff FTE

	2006/07	2007/08	2008/09	2009/10	2010/11
SOAS	£12.1k	£11.9k	£14.4k	£14.5k	£15.7k
Average of Benchmark Group	£29.5k	£30.5k	£32.8k	£30.14k	£31.2k
SOAS Ranking	27	26	26	25	24

Benchmark group = 30 other HEIs - including 1994 Group & other small but well regarded institutions. Data from HESA Heidi data sets

Target = £24,000 per academic by 2012/13

(SOAS Financial Strategy 2009/10-2012/13)

KPI 9: Surplus/Deficit as Percentage of Income

2006/07	2007/08	2008/09	2009/10	2010/11	2011/12 (projected from budget)
0.7%	3.5%	1.5%	3.3%	3.3%	2.9%

Target = 3.5% by 2014/15

KPI 10: The percentage of contactable alumni (by email) from the total number of alumni known.

	2008/09	2009/10	2010/11
SOAS	24%	30%	48%
Median of Benchmark Group			49%
Lowest Value Highest Value			21% 66%

Benchmark Group = 1994 Group

Source: 1994 Group survey

Target = 52% by end 2012/13

KPI 11: Staff Pulse Survey Key Question “The School is a good place to work”

	SOAS 2010	SOAS 2012	HE Benchmark (2012)
Scale Summary Score *	3.29	3.20	3.43

Target(s): a) A scale summary score * of 3.0 or greater;
b) A scale summary score * equal to or above the HE Benchmark;

* In order to calculate the scale summary score CAPITA use a simple arithmetical format to show the strength of feeling associated with statements and issues covered in the survey.

Within the questionnaire, statements were made which required the staff to agree, tend to agree, tend to disagree or disagree. Depending on the construction of each statement the following values were assigned to the responses to the statements where agree was the preferred answer, *but the values were inverted where disagree was the preferred answer:*

Agree 4
Tend to Agree 3
Tend to Disagree 2
Disagree 1

For each perceptive question in the survey a total value based on the responses received has been generated. The scale summary score is then calculated based on the number of responses to a particular question. In simple terms, the lower the scale summary score a question generates the more negative the perceptions of respondents.

A scale summary score of 3.0 or above is considered a good result.

TRANSFER OF MONIES TO THE PERCIVAL DAVID FOUNDATION ACADEMIC AND RESEARCH FUND

Executive Summary

A new charity was approved in February 2012 to oversee the allocation of research funds from the Sir Percival David Foundation Academic and Research Fund. As all charitable financial assets must be under the full control of the charity itself the School is no longer able to hold assets on behalf of the new charity.

Recommendations

Governing Body is asked to approve the transfer of PDF Academic and Research Fund currently held by the School to the new charity.

Financial Impact

Reduction in permanent endowments of £2,092,455

Risks

N/A

PERCIVAL DAVID FOUNDATION FUNDS

Until 2009, the activities of the Sir Percival David Foundation were overseen by the Percival David Foundation Council, a sub-committee of the School's Governing Body. The Council was chaired by the Director, and its members included the two Protection Nominees, in effect the trustees of the Percival David loan of his collection of ceramics and his library to the University of London. The two principal responsibilities of the Council were to ensure that the ceramics and library were well maintained [both were held in 53 Gordon Square] and to allocate awards from the Foundation's financial resources to support research in the field of Chinese art history. Those funds consisted of a substantial permanent endowment, the interest earned on the endowment, and income from, for example, the sale of postcards of the ceramics housed at 53 Gordon Square. The School managed those funds, both in the sense of managing the endowment fund and in administering payments into and from the Foundation's income.

In 2008, the ceramics collection was transferred to the British Museum. The library was to continue on loan to the School, although it has been held in storage since 53 Gordon Square was closed for renovation. Shortly after the ceramics were transferred, the Percival David Foundation Council was abolished. In its place, two new charities have been established. The first, the Sir Percival David Foundation Trust, oversees the loan of the ceramics to the British Museum and of the library to the School. The second, the Sir Percival David Foundation Academic and Research Fund, will oversee the allocation of research funds from the charity's financial resources.

The two charities were approved by the Charity Commission in February 2012 (the approved scheme is available on request). The School will appoint two trustees to Sir Percival David Council who will also act as Trustees to the Sir Percival David Foundation Academic and Research Fund.

It is the case that a charity's financial assets must be under the full control of the charity itself: in other words, it is not possible, even were it desirable, for the School to continue to manage the Percival David funds on behalf of the new charities. Accordingly the fund, that is the endowment and the accumulated income, must be transferred to them. As at 31 July 2012 the total value of the fund was £2,092,445. It is proposed that this valuation is used to calculate the monies to be transferred. In anticipation of this transfer the School's investment managers have already been asked to liquidate sufficient cash funds within the endowment investment portfolio to enable this transfer.

Governing Body is therefore asked to approve the transfer of £2,092,445 to the Sir Percival David Foundation Academic and Research Fund.

Professor Ian Brown
Professor of Economic History of SE Asia

Graeme Appleby
Director of Finance & Planning

Update to Barclays Bank Mandate

GB is asked to **approve** the recommendations in the paper.

Executive Summary

The paper deals with updating the School's bank mandate with Barclays Bank. The Barclays Bank mandate stipulates specific wording for the resolution to be approved by the Governing Body and this is reproduced where relevant in the paper.

Recommendations

In summary, Governing Body is asked to approve the update to the Barclays Bank mandate enabling any two members from the following list to authorise transactions with Barclays bank.

Professor Paul Webley
Professor Graham Furniss
Mr Donald Beaton
Mr Graeme Appleby

Financial Impact

N/A

Risks

There is an operational risk to the School if the bank mandate is not regularly reviewed and kept up to date with current requirements.

Equality implications

None.

GOVERNING BODY PROPOSAL – UPDATE TO BARCLAYS BANK MANDATE

As part of the School's financial control procedures, bank mandates are updated regularly to represent current post holders within the School. This proposal deals with updating the School's bank mandate with Barclays. The Barclays bank mandate stipulates specific wording for the resolution to be approved by the Governing Body and this is reproduced where relevant below.

Section 1

The Governors are asked to resolve that:

1. The School cancels the existing mandate to Barclays (except in relation to cheques and other instructions given before Barclays receives this resolution);
2. The School accepts the terms of the Barclays Corporate Customer Agreement and confirms such acceptance to Barclays by completing the Bank's form of Mandate;
3. The School authorises any individual named in Section 2 (an 'authorised person') with another authorised person in accordance with Section 3 to:
 - (a) enter into any transactions or agreements with Barclays whatsoever, subject to Barclays' right to request separate evidence of due authorisation in respect of any specific transactions or agreements as determined by Barclays; and
 - (b) give instructions concerning the operation of the School's bank accounts and otherwise communicate with Barclays in each case in writing or verbally, in accordance with the Barclays Corporate Customer Agreement; and
 - (c) register the School for Barclays' online and telephone banking services.

The Governors are asked to note that if the School has or becomes registered for Barclays' online and telephone banking services, any of the authorised person(s) acting in accordance with the approval processes in force at the time for the services would be responsible for amending the School's 'customer profile' which (among other things) determines:

- the accounts that can be accessed by computer or telephone;
- security procedures and the number of individuals required to approve each instruction issued to Barclays (approval processes);
- the individuals ('Users') allowed to use the service for making payments and other purposes (within any specified limits).

The Governors are also asked to note that Barclays is entitled to act on all instructions given by a User in accordance with the correct security procedures until the School notifies the appropriate online or telephone banking service that the User is no longer authorised to act for it.

Section 2

Professor Paul Webley
Professor Graham Furniss
Mr Donald Beaton
Mr Graeme Appleby

Section 3

Instructions to be given to Barclays by any two authorised persons.