1 Mission, roles and principles

1.1 Birkbeck’s mission and purpose

Birkbeck’s mission is to provide higher education to meet the changing educational, cultural and vocational needs of adults. It has a unique role as the only UK multi-faculty higher education institution to specialise in part-time, face to face provision. The College combines its inclusive approach to learning and teaching with a culture of research excellence, which in a number of subject areas is of international standing. Part of the University of London, Birkbeck shares the academic standards of the University and awards its degree.

The College has developed its mission from the objects defined in its Royal Charter: “to promote for the public benefit and to provide for persons who are engaged in earning their livelihood during the daytime and other persons, education, instruction and means for research and such facilities as may be deemed appropriate”.

1.2 The role of the Governing Body

The Governing Body, referred to in the College as Governors, is collectively responsible for overseeing Birkbeck’s activities. The Charter invests in Governors the authority to exercise the powers of the College, its management and control and the administration of its property and income.

The Governing Body determines Birkbeck’s future direction and promotes the fulfillment of the College’s mission, the advancement of its values and the potential of all its learners. The Governing Body is responsible for ensuring compliance with the College’s constitutional and regulatory framework and takes all final decisions on strategic matters and issues of fundamental concern to the College.
1.3 The role of the Academic Board

Academic Board is responsible, as set out in the Charter, for the academic work of the College, subject to the general superintendence and control of the Governors. Academic Board advises Governors on academic matters; no final decision on an academic matter may be taken by the Governors until they have sought and considered the opinion of Academic Board.

1.4 The role of the Master

The Master is the chief academic and administrative officer of the College. Governors have delegated to the Master the executive management of the College. The Master leads and is supported by the academic and administrative infrastructure of the College, which is summarised at Annex A.

1.5 The role of the committees

Governors are supported by a number of committees. Their role is to oversee and advise on specific areas of activity and, in certain cases, to exercise powers delegated to them by the Governing Body. Governors have adopted a Statement of Primary Responsibilities setting out the responsibilities reserved for their collective exercise and the responsibilities delegated by them to Committees. The Statement is set out in Annex C.

Birkbeck is a collegiate institution which is active in cultivating inclusive values. In 2009, following a strategic review, the College refocused its strategic aims in the areas of research, teaching, lifelong learning, widening participation, student experience, employer engagement, international links and developments at Birkbeck Stratford. To enable this, a new academic structure and a devolved planning and budgetary system have been introduced.

The system of College committees that support Governors and the Academic Board has been restructured to complement these changes. A new framework of School Committees has also been put in place, to ensure that decision making and reporting within the new Schools articulates with the College's revised committee structure and supports the relationship between Schools and the academic, resource and planning committees in achieving the College’s strategic aims.

Colleagues from Schools and professional services participate actively in the work of these committees, contributing towards meeting our strategic aims, ensuring our academic standards, making the most efficient use of our resources and to maximising our participation in London's changing and growing part time Higher Education market.

The mechanisms of the committee structure are set out in section 3 and the terms of reference of individual committees in Annex D.

1.6 Principles of College governance
The Governing Body regulates the College’s framework of governance and takes the lead in ensuring its efficacy, looking to Academic Board to act similarly in respect of academic governance and seeking to have in place arrangements that are coherent, internally consistent, proportionate to risks and opportunities and which support the Governing Body and the Academic Board in their roles, in particular through:

- Retaining a focus on the College’s objects and mission and the outcomes for stakeholders of decisions and actions;
- Ensuring that clear definitions of the roles and responsibilities of Committees and of College officers are in place and are adhered to;
- Promoting mechanisms for transparent and informed decision making and for risk management;
- Establishing and using clear and operable lines of accountability;
- Involving and engaging stakeholders, who may include students, staff, employers, communities, other educational organizations; and local and national bodies and authorities;
- Fostering in Governors and all committee members an appropriate range of skills and knowledge, to include planning for succession in membership.

2 Governance Code of Conduct

To assist it in fulfilling its role, the Governing Body has adopted a Code of Conduct which takes account of the specific role of Governors at Birkbeck and of principles of good practice in governance identified for the HE sector nationally.

Role of the Governing Body

2.1 The Governing Body has responsibility for overseeing the College’s activities, determining its future direction and promoting the fulfilment of its mission, the advancement of its values and the potential of all its learners. Governors collectively are responsible for
- ensuring compliance with the statutes, standing orders and regulations;
- regulating the College and its framework of governance;
- considering the College’s strategic direction and long-term sustainability;
- supervising the financial management of the College;
- taking all final decisions on strategic matters and issues of fundamental concern to the College.

2.2 Governors conduct themselves in accordance with the accepted standards of public life: selflessness, integrity, objectivity, accountability, openness, honesty and leadership.

2.3 The Governing Body meets at least four times a year. Governors attend regularly and participate actively.
2.4 Governors have adopted a Statement of Primary Responsibilities setting out the responsibilities reserved for their collective exercise and the responsibilities delegated by them to Committees and sub-committees. The Statement includes provisions for:

- approval of Birkbeck’s mission, strategy and long term business plans;
- approval of Key Performance Indicators;
- approval of annual budgets;
- appointment of the Master and arrangements for monitoring his or her performance;
- systems of control and accountability, including financial and operational controls and risk assessment; and procedures for handling internal grievances and managing conflicts of interest;
- Monitoring of Birkbeck’s performance against approved plans and KPIs.

2.5 The Statement of Primary Responsibilities is made widely available on the College website and in the Annual Report.

2.6 Governors exercise their responsibilities in the interests of the College as a whole rather than as a representative of any constituency. A register of interests of Governors is updated annually and made publicly available.

2.7 The Chair of Governors is responsible for the leadership of the Governors, and is ultimately responsible for their effectiveness. He or she ensures that Governors are active in promoting Birkbeck’s connections with its stakeholders, including students, staff, employers, communities, other educational organizations; and local and national bodies and authorities.

2.8 The Master, as chief academic and administrative officer, is responsible for advising Governors on strategic direction and for the management of the College. He or she is the accounting officer in respect of the use of Funding Council funds. The Master is appointed by and accountable to the Governors and has powers and duties entrusted to him or her by the Governors. The Governing Body makes clear, and regularly reviews, the powers and duties entrusted to the Master, having regard also to those conferred directly by the Charter.

**Structure and Processes**

2.9 A balance of skills and experience is maintained among individual Governors, for example from financial, social, cultural, charitable, legal, community, commercial, business and educational perspectives, sufficient to enable the Governing Body to meet its primary responsibilities and to ensure stakeholder confidence.
2.10 There are 21 Governors, the majority of whom are external and independent of the institution.

2.11 Appointments of lay Governors are managed by the Nominations Committee, which is chaired by the Chair of Governors. The Nominations Committee maintains written criteria for the selection of suitable candidates. When selecting a new Chair of Governors, a full job specification will be produced, including an assessment of the time commitment expected, recognising the need for availability at unexpected times.

2.12 The Chair ensures that new Governors receive a full induction on appointment, that opportunities for further development for all Governors are provided regularly in accordance with their individual needs, and that appropriate financial provision is made for such support.

2.13 The Clerk to the Governors is responsible for ensuring compliance with College procedures and for ensuring that papers are supplied in a timely manner, with information in a form and of a quality appropriate to enable the Governing Body to discharge its duties. All Governors have access to the advice and services of the Clerk; and the appointment and removal of the Clerk is reserved for the collective decision of the Governors.

2.14 The proceedings of the Governing Body are conducted in as open a manner as possible. Information and papers are circulated widely unless the wider interests of the College, contractual obligations or the public interest demands otherwise.

Effectiveness and Performance Reviews

2.15 Governors will keep their effectiveness under review. Not less than every five years they will undertake a formal and rigorous evaluation of their own effectiveness and that of their committees; and revise structure or processes accordingly. Effectiveness will be measured both against the Statement of Primary Responsibilities and compliance with this Code and the Committee of University Chairmen Governance Code of Practice. Governors expect the Academic Board to undertake similar regular reviews of itself and its committees.

2.16 In reviewing the performance of the Governing Body, Governors will reflect on the performance of the College as a whole in meeting agreed strategic objectives and Key Performance Indicators (KPIs). Where possible, Birkbeck’s performance will be benchmarked against the KPIs of other comparable institutions.
The results of effectiveness reviews and the College's annual performance against KPIs, where available, will be published on the College website and in the Annual Report.

3 Committee structure and function

3.1 Committees of the Governors

The Governing Body is supported in fulfilling its role by committees as shown in the table below:

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<th>Governors</th>
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<td>Nominations Committee</td>
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<td>Remuneration Committee</td>
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<td>Finance and General Purposes Committee</td>
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<td>Audit Committee</td>
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<td>Equalities Committee</td>
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<td>Academic Board</td>
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</table>

Each Committee makes regular Reports to the Governors, setting out recommendations on matters for which it is responsible for giving advice; noting action taken on matters which the Governing Body has delegated with the proviso that it is kept informed; and conveying any information which is of strategic importance to the College. Information on the location and delegation of specific responsibilities is set out in the Statement of Primary Responsibilities (Annex C) and the Terms of Reference of individual Committees (Annex D).

3.2 Finance and General Purposes Committee and its Committees

The Finance and General Purposes Committee (F&GPC) has overall responsibility, on behalf of the Governors, for the conduct of the College's financial affairs. It is responsible for controlling and reporting on all matters relevant to the income and expenditure of the College. F&GPC presents to Governors annual audited Accounts and submits an annual College level budget of income and expenditure and an Income Distribution Model, devolving budgets to Schools and professional services on the basis of their approved strategic plans.

F&GPC also oversees the provision of all services and amenities necessary for the efficient running of the College. In recognition of the substantial breadth and impact of its responsibilities, it has established a number of committees to advise and assist it, as shown in the table overleaf:
Each of these Committees make regular Reports to the Finance and General Purposes Committee, setting out recommendations on matters for which it is responsible for giving advice; noting action taken on matters which the Committee has delegated with the proviso that it is kept informed; and conveying any information which is of strategic importance to the College. Information on the location of specific responsibilities is set out in the Terms of Reference of individual Committees (Annex D).

3.3 Audit Committee

The Audit Committee acts independently of the Finance and General Purposes Committee to ensure financial and organisational probity and control. It oversees external and internal audit processes and is responsible for considering the soundness of arrangements in relation to the annual financial statements in the presence of the external auditor, in accordance with HEFCE's Accounts Directions policy on fraud and irregularity. It also keeps under review risk management, control and governance arrangements; arrangements to ensure the integrity of student data returns; and arrangements to promote economy, efficiency and effectiveness.

3.4 Academic Board and its Committees

While not technically a Committee of the Governors, Academic Board makes regular reports to the Governors. It is responsible for the academic work of the College, subject to the general superintendence and control of the Governors, and advises Governors accordingly. No final decision on an academic matter may be taken by the Governors until they have sought and considered the opinion of the Academic Board.

Academic Board has established a range of Committees and has delegated the detailed consideration of academic matters to those Committees, through the co-ordination and management of the Academic Board Executive Committee (ABExCo), as shown in the table overleaf. It has also established College Boards of Examiners to discharge its responsibilities in relation to the assessment of students and the award of degrees and other qualifications.

Each academic Committee makes regular Reports to the Academic Board through ABExCo, setting out recommendations on matters for which it is responsible for giving advice and noting action taken on matters for which it has delegated responsibility.
ABExCo acts as the steering group for Academic Board and is responsible for decisions on routine academic matters and matters delegated to it by the Academic Board. It acts as the College-level co-ordinating point for discussion of matters of academic strategy, regulation and policy, advising the Strategic Planning Committee as appropriate. Academic Board retains oversight of academic policy and is responsible for advising the Governors on academic matters, making regular Reports to the Governors.

3.5 User Fora and Advisory Groups

Advisory Groups and User Fora have key roles in advising support service providers directly about user needs. They do not have formal Committee reporting requirements, but their advice will be sought during policy review and development and in the annual planning and budget setting round. School colleagues who are members of Advisory and User Groups play important College roles in maintaining an active interface between academic Schools and professional services. Advisory and User Groups are managed and organised by the relevant professional services section.

3.6 Working groups

Committees may establish working groups as necessary to progress strategic developments or to advise in specialist areas. These groups do not have formal Committee reporting requirements but are important in allowing the College to fulfil its strategic aims.
3.7 School Committees

The School committee structure consists of the School Executive Board, the School Teaching and Quality Enhancement Committee and the School Research Committee.

School Executive Boards are the primary decision making bodies in the new Schools. They have collective responsibility for the School budget and strategic plan and they meet regularly to review both, receiving reports on delivery against targets and working on the annual iteration of the school strategic plan against the College’s strategic needs and the academic opportunities available, for submission to the College Strategic Planning Committee.

School Teaching and Quality Enhancement Committees and School Research Committees are responsible for advising School Executives on the development of School strategy in these areas, ensuring engagement with College strategies and objectives. They maintain strong links with the College Teaching and Quality Enhancement and Research Committees and make regular reports to them.

Baseline Terms of Reference for these committees are set out in Annex D.

4 Review

Governors will keep their effectiveness and the effectiveness of their Committees under regular review.

The review process consists of two phases:
- annual monitoring of performance against agreed indicators and of Governors’ views on the effectiveness of the Governing Body and its supporting Committees;
- quinquennial review, which is an opportunity to reflect systematically on the effectiveness of the College’s governance mechanisms and arrangements, the requirements of national bodies and the long term perspective of performance against agreed indicators.
4.1 **Annual monitoring**

Governors and Committees should monitor their effectiveness annually at the first meeting of the academic session. This review should include:

- the relevance and currency of the Terms of Reference and whether the Terms of Reference are being fulfilled;
- management information on performance in the committee’s area of remit against strategic objectives during the previous session;
- the outcome of surveys of members’ views on the effectiveness of the committee.

4.2 **Quinquennial Review**

Governors will undertake a formal evaluation of their own effectiveness and that of their committees every five years, normally by convening a working group of Governors. The working group will be tasked with carrying out a comprehensive and rigorous review and reporting back to the Governing Body, highlighting areas of good practice, identifying areas with the potential for improvement and making recommendations on how such improvements might be achieved.

Effectiveness will be measured against:

- the Statement of Primary Responsibilities;
- the Birkbeck Governance Code of Conduct;
- the Committee of University Chairmen Governance Code of Practice and any other national benchmarks of good practice in governance in HE;
- the performance of the College in meeting its agreed strategic objectives;
- the performance of the College over the previous five years through a range of Key Performance Indicators, benchmarked where possible against similar HE institutions;
- any other information Governors consider appropriate.

Governors will revise structures or processes if the review process indicates a need to do so.

The results of effectiveness reviews and the College’s annual performance against Key Performance Indicators, where available, will be published on the College website and in the Annual Report.

Governors expect the Academic Board to undertake similar regular reviews of itself and its committees.
College structure

The Schools:
- **School of Arts**: English, European Languages and Cultures, Iberian and Latin American Studies, Media and Creative Industries and Visual Culture and Art History.

- **School of Business, Economics and Informatics**: Economics Maths and Statistics, Management, Organizational Psychology, and Computer Science and Information Systems.

- **School of Law**
  School of Science: Biological Sciences, Earth and Planetary Sciences and Psychological Sciences.

- **School of Social Sciences, History and Philosophy**: Applied Linguistics and Communication, Education and Social Policy, Geography Environment and Development, History Classics and Archaeology, Philosophy, Politics and Psychosocial Studies.
## Statement of Primary Responsibilities of Governors and responsibilities delegated to Committees

<table>
<thead>
<tr>
<th>Areas of Primary Responsibility</th>
<th>Powers and responsibilities specified in the Charter</th>
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<th>Actions reserved for Governors acting collectively in relation to their powers and responsibilities</th>
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<tbody>
<tr>
<td><strong>Strategic Planning</strong></td>
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<tr>
<td>To approve the mission and strategic vision of the institution, long-term academic and business plans and key performance indicators, and to ensure that these meet the interests of stakeholders</td>
<td>C4. The objects of the College shall be to promote for the public benefit and to provide for persons who are engaged in earning their livelihood during the daytime and other persons, education, instruction and means for research and such facilities as may be deemed appropriate, in all or any of the subjects comprised in the faculties of the University into which the College has been or may be admitted and any other subjects as the Governors may from time to time determine.</td>
<td>Contribution to the formulation of strategy, including annual consideration and discussion of the College’s strategic direction and long-term sustainability.</td>
<td>Advice on strategic objectives and approval of School strategic plans to deliver those objectives by F&amp;GPC advised by SPC</td>
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<td>Approval of the College Corporate Plan and HEFCE Annual Monitoring statement.</td>
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<td>Approval of Five Year Financial Forecasts on the recommendation of F&amp;GPC.</td>
<td>Detailed review and consideration of the Five Year Financial Forecasts by F&amp;GPC.</td>
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<td>Consideration and approval of major strategic initiatives with long term organisational, academic and financial implications.</td>
<td>Advice from SPC via F&amp;GPC.</td>
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<td>Approval of strategic partnerships and collaborations with other institutions and organisations.</td>
<td>Provision by F&amp;GP and Academic Board of relevant advice.</td>
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<td>Approval of appropriate key performance indicators in relation to the College’s mission, objectives and plans.</td>
<td>Advice on key performance indicators through SPC/F&amp;GPC and Academic Board.</td>
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<tr>
<td></td>
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<td></td>
<td>Monitoring of key performance indicators.</td>
<td>Detailed review of individual performance indicators and provision of commentary and advice on issues to Governors by SPC/F&amp;GPC and Academic Board.</td>
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<td>objects and without prejudice to the generality of the foregoing shall have powers: 5.1 to award diplomas and certificates to persons who have pursued courses of study approved by the College; 5.2 to prepare persons for examinations of the University and to award degrees of the University;</td>
<td>S14. … no final decision on an academic matter shall be taken by the Governors unless the Academic Board shall have had an opportunity of expressing an opinion upon it and the Governors shall have considered such expression of opinion.</td>
<td>Academic Board and its Committees: Formulation, implementation and monitoring of detailed academic policy and academic quality assurance.</td>
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<tr>
<td>C15. There shall be an Academic Board of the College whose members shall be as prescribed by or under Standing Orders and (subject to the general superintendence and control of the Governors) it shall be the body responsible for the academic work of the College.</td>
<td>S14. The Governors shall conduct the general business of the College consistently with the provisions of the Charter and the Statutes, and shall supervise the expenditure of all moneys on account of the ordinary business of the College and shall have power to fix the fees or other charges payable by Students of the College.</td>
<td>Approval of the College’s financial strategy as part of the Corporate Plan.</td>
<td>F&amp;GP to consider in detail issues of financial strategy and advise Governors</td>
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<tr>
<td>S14. The Governors shall conduct the general business of the College consistently with the provisions of the Charter and the Statutes, and shall supervise the expenditure of all moneys on account of the ordinary business of the College and shall have power to fix the fees or other charges payable by Students of the College.</td>
<td>Approvals of the Annual College Budget and Income Distribution Model (IDM) on recommendation from F&amp;GP.</td>
<td>Approval of any significant in-year changes to the budget/IDM on recommendation of F&amp;GP.</td>
<td>F&amp;GP to approve the College’s accounting policies and financial regulations.</td>
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<tr>
<td>To approve the College’s financial strategy and oversee its financial performance, ensuring its solvency and safeguarding its assets.</td>
<td>To ensure measures are in place to promote and secure value for money in the use of resources</td>
<td>To ensure the establishment and monitoring of systems of control and accountability, including risk management.</td>
<td>Audit Committee to keep under review the effectiveness of the risk management, control and governance arrangements.</td>
<td></td>
</tr>
<tr>
<td>Financial Management, Audit and Risk Management</td>
<td>Approval of the Annual College Budget and Income Distribution Model (IDM) on recommendation from F&amp;GP.</td>
<td>Approval of any significant in-year changes to the budget/IDM on recommendation of F&amp;GP.</td>
<td>Detailed review of the proposed Annual Budget and IDM by F&amp;GP.</td>
<td>Consideration of any proposed alterations to the Budget/IDM.</td>
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</table>

F&GPC = Finance and General Purposes Committee; SPC = Strategic Planning Committee
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<td>The Audit Committee: to ensure that all significant losses have been properly investigated and that the internal and external auditors, and where appropriate the HEFCE Accounting Officer, have been informed; to oversee the institution’s policy on fraud and irregularity, including being notified of any action taken under that policy.</td>
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<td>Consideration of a termly report on financial performance in relation to the Budget/IDM prepared by F&amp;GP.</td>
<td>Detailed termly review of financial performance against Budget/IDM by the F&amp;GP.</td>
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<td>Approval of the College’s annual Financial Statements on the recommendation of the Audit Committee and F&amp;GP.</td>
<td>F&amp;GP to lay annually before Governors audited Accounts with a report and recommendations for approval.</td>
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<td>The Audit Committee to consider elements of the annual financial statements in the presence of the external auditor, including the auditor’s formal opinion, the statement of members’ responsibilities and the statement of internal control, in accordance with HEFCE’s Accounts Directions and make recommendations on their approval to Governors.</td>
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S23. True accounts shall be kept of the receipts and expenditure of the College.

S24. There shall be an audit of the Accounts of the College made every year by one or more Auditors, being members of a body of accountants recognised by the Secretary of State under Section 389(1) of the Companies Act 1985, to be appointed by the Governors. The Auditors shall make a report to the Governors.

S.25 …The Auditors’ report and audited accounts shall, in addition to being presented annually to the Governors, be furnished to such persons corporations and bodies contributing to the revenue of the College as the Governors shall from time to time determine.

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<td>S24. There shall be an audit of the Accounts of the College made every year by one or more Auditors, being members of a body of accountants recognised by the Secretary of State under Section 389(1) of the Companies Act 1985, to be appointed by the Governors...</td>
<td>S26. No person shall be appointed or remain Auditor who is or any one of whose partners is a Governor or a member of the Staff. S25. If more Auditors than one be appointed the continuing Auditor or Auditors shall have power to act notwithstanding any casual vacancy....</td>
<td>Appointment of the External Auditors and approval of the Audit Fee, on the recommendation of the Audit Committee.</td>
<td>The Audit Committee: to advise the governing body on the appointment of the external auditors and the audit fee; to monitor annually the performance and effectiveness of the external auditors, including matters affecting their objectivity, and to make recommendations to the governing body concerning their re-appointment, where appropriate.</td>
</tr>
<tr>
<td>C5. The College subject to this Our Charter and the Statutes and to the Statutes and Regulations of the University shall have power to do any lawful thing in furtherance of its objects and without prejudice to the generality of the foregoing shall have powers:</td>
<td>S27. Monies in the hands of the College and available for investment may be invested by the College in accordance with financial regulations agreed by the Governors from time to time.</td>
<td>Approval of strategic freehold and long leasehold property acquisitions and disposals, major estates developments and capital investment in equipment and infrastructure.</td>
<td>F&amp;GP and Estates Committee to provide advice Estates Committee to oversee the development and implementation of the College’s long term maintenance plan.</td>
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<td>5.3 to acquire, own, maintain,</td>
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<td>manage and dispose of real and other property;</td>
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<td>5.4 to solicit, receive and administer grants, subscriptions, donations, endowments, legacies, gifts and loans of any property whatsoever whether real or personal;</td>
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<td>5.5 to demand and receive fees, subscriptions and deposits</td>
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<td></td>
<td>5.6 to act as trustees for and in relation to endowments, legacies and gifts;</td>
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<td>F&amp;GP to review fundraising activity and strategy. Audit Committee to ensure that internal and external audit covers trustee responsibilities</td>
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<td>5.7 to invest any monies in the hands of the College and available for investment in accordance with the relevant law and the Statutes;</td>
<td>Approval of the appointment of Investment Advisors and powers and restrictions on investments on the recommendation of F&amp;GP and Investments Committee.</td>
<td>The Investments Committee to review the performance of the College’s investment Advisors and make recommendations to F&amp;GPC on their appointment; to review and make recommendations to F&amp;GPC on investment policy and restrictions; to monitor in detail the college’s investment performance and make investment decisions in accordance with the investment policy. F&amp;GPC to approve the College’s bankers and the opening of College bank accounts.</td>
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<td>5.8 to borrow and raise money and give security for loans; 5.9 to give guarantees; and 5.10 to enter into engagements and to accept obligations and liabilities in all respects without any restriction whatsoever and in the same manner as an individual may manage his or her own affairs.</td>
<td>Approval of any loan involving a mortgage or charge against College property overdraft and credit facility limits on recommendation by F&amp;GPC.</td>
<td>F&amp;GPC to provide advice and recommendations in relation to loans, borrowing and overdrafts.</td>
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F&GPC = Finance and General Purposes Committee; SPC = Strategic Planning Committee
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<td>Annual Review and approval of the College's Risk Register on the recommendation of the Audit Committee.</td>
<td>Audit Committee: Detailed scrutiny of the Risk Register forwarded by the SPC.</td>
</tr>
<tr>
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<td></td>
<td>Approval of the College's Value for Money Strategy on the recommendation of the Audit Committee</td>
<td>Audit Committee: Detailed scrutiny of the Value for Money Strategy and programme</td>
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<td>Consideration of an annual report from the Audit Committee on internal and external audit work and progress in implementing audit recommendations, the internal audit plan and value for money activities.</td>
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<td></td>
<td>Appointment of the Internal Auditor.</td>
<td>Audit Committee to consider and advise on the appointment and terms of engagement of the internal auditors and the audit fee.</td>
</tr>
<tr>
<td>C10. The Governors shall have the custody and sole use of the Common Seal of the College and arrangements for its safe-keeping and manner of authentication shall be as prescribed in Standing Orders.</td>
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<td></td>
<td>Approval of the use of the Common Seal of the College.</td>
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**Human Resources**

| To appoint and set the terms and conditions for the Master and other designated senior posts. | C11. There shall be a Master of the College who shall be appointed by the Governors and who shall be the chief academic and administrative officer of the College. | S15. The Governors shall appoint the Master of the College, the Vice Master, the Dean, the President and the Clerk and shall be responsible for the employment of all staff of the College. The Governors shall also appoint any other officers of the College it shall consider necessary for the proper and effective management of the College and shall | Approval of the process, criteria and selection panel for the appointment of the Master. | |
|------------------------------------------------------------------------------------------|-----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                         |                                                                  |                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                 |
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<tr>
<td>To ensure the College has in place an appropriate human resource strategy and employment policies including pay and conditions of employment for all categories of employee.</td>
<td>prescribe in Standing Orders the nature of their duties.</td>
<td>Academic Board and the approval of the Master</td>
<td>Remuneration Committee: to review and determine annually the salary of the Master; to review and determine applications for additional salary awards made by Professors and Senior Administrative staff; and to determine the level of allowances made for attached to the posts of Vice-Master, Pro-Vice-Masters and the College Dean.</td>
<td></td>
</tr>
<tr>
<td>Effectiveness and Conduct</td>
<td>Academic Board and the approval of the Master</td>
<td>Approval of the appointment of the Clerk.</td>
<td>Approval of new Human Resources polices and procedures and significant changes to existing policies and procedures.</td>
<td>HR Strategy and Policy Committee via F&amp;GPC to review and oversee the development of HR policies and procedures and approve minor changes to existing policies.</td>
</tr>
<tr>
<td>To ensure the effective operation of the Governors, and observe the highest standards of corporate governance, demonstrating integrity</td>
<td>S4. The rules of selection of each of the Governors shall be prescribed in Standing Orders.</td>
<td>Appointment of independent (external) Governors on the recommendation of the Nominations Committee.</td>
<td>Nominations Committee to advise on the appointment of independent Governors.</td>
<td>Nominations Committee to advise on the appointment of the</td>
</tr>
<tr>
<td></td>
<td>S5. Every Student Governor shall be appointed for a term of one year.</td>
<td>Approval of the rules for election of Governors elected by the full-time</td>
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| and objectivity in the transaction of business, and wherever possible following a policy of openness and transparency in the dissemination of decisions | The other Governors shall be appointed for a term of three years such term being reckoned from the dates of expiration of the terms of office of the respective predecessors and expiring as specified in Statute 7.  
S6. Governors (other than the Student Governors) may be reappointed for such further terms as may be prescribed by the Governors in Standing Orders.  
S7. Unless otherwise prescribed by the Charter or Statutes, the date of expiration of the term of office of any Governor shall be 30th September in the concluding year of the term for which he was appointed. | academic staff in consultation with the Academic Board.  
Approval of the rules for election of Governors elected by the full-time non-teaching staff.  
Approval of the rules for election of Governors elected by the Birkbeck Society.  
Approval of the rules for election of Governors elected by the Students | Chair and Deputy Chair of Governors  
Academic Board to elect Academic Governors and determine the rules for election.  
Academic Board to advise on rules of election for Academic Staff Governors |
| Chair and Deputy Chair of Governors | Academic Board to elect Academic Governors and determine the rules for election.  
Academic Board to advise on rules of election for Academic Staff Governors | Appointment and election of the Chair and Deputy Chair and determination of their terms of office on the recommendation of the Nominations Committee. | |

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<td>S9. There shall be held in every year not less than four meetings of the Governors to be called Ordinary Meetings.</td>
<td>S10. The quorum at meetings of the Governors shall be seven Governors of whom at least four shall be independent Governors.</td>
<td>Approval of Standing Orders for the conduct of meetings and the passing of resolutions.</td>
<td>C15. The income and property of the College, whencesoever derived, shall be applied solely towards the promotion of the objects of the College.</td>
</tr>
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<td></td>
<td>S11. If within half an hour of the time appointed for the holding of the meeting a quorum is not present, the meeting shall stand adjourned to the same day the next week at the same time and place or to such other day, time and place as the Chairman may determine. If at such an adjourned meeting a quorum is not present within half an hour from the time appointed for holding the meeting the Governors present shall form a quorum.</td>
<td>S12. The procedures for the regulation of the meetings of Governors shall be prescribed in Standing Orders.</td>
<td>S8. No Governors shall take or hold any interest in any property belonging to the College otherwise than as a trustee for the purposes</td>
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<td>S13. Subject to the conditions prescribed in Standing Orders, resolutions of the Governors approved in writing or by email shall be as valid as a resolution actually passed at a meeting of the Governors.</td>
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<td></td>
<td>College set forth in these Presents and no portion thereof shall be paid or transferred directly or indirectly by way of dividend or bonus or otherwise howsoever by way of profit to the persons who at any time are or have been Governors of the College or to any of them or to any person claiming through any of them or to any other member of the College.</td>
<td>thereof or be interested directly or indirectly in the supply of work or goods at the cost of the College.</td>
<td>Approval of Standing Orders for the appointment and removal of Governors. Notification of vacancy in relation to co-opted Governors absence from Governors’ meetings. Expulsion, reprimand or warning of any Governor in relation to issues of conduct. Approval of the Governance Handbook, including guidelines on the roles, responsibilities and conduct of Governors. Approval of a statement of primary responsibilities, matters reserved for Governors collective decision and matters delegated to other bodies. Approval of process for reviewing Governors’ effectiveness on an ongoing basis. Review of Governors’ effectiveness every five years Approval of mechanisms for recording</td>
<td>Notification by relevant nominating group in relation to Governors’ absence from meetings.</td>
</tr>
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<td>interests and declaring conflicts of interest</td>
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<td><strong>Equal Opportunities</strong></td>
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<td></td>
<td>To ensure that non-discriminatory systems are in place to provide equality and diversity of opportunity for staff and students.</td>
<td>C13. It shall be open to all persons both in the United Kingdom and elsewhere to become Students or members of the Staff without any distinction whatsoever. No religious test shall be imposed upon any of the Staff or Students nor shall any disability be imposed on the grounds of political belief, sex or race. The only qualification required of any of the Staff or Students shall be fitness to contribute to or pursue studies of or cognate to a University education. 12. The educational facilities provided by the College shall be available at such times as the Governors may determine having especial regard to the convenience of persons who are engaged in earning their livelihood.</td>
<td>Consideration of an annual report on equal opportunities issues, development in legislation and best practice requiring action and the operation and implementing the equal opportunities policy</td>
<td>Equalities Committee to monitor the College's existing equal opportunities, diversity and widening participation policies and recommend the introduction of new policies designed to address any problems identified by the review, or to issue guidelines on new initiatives. monitor developments in legislation and make recommendations for any necessary change required to policy and practice.</td>
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<td><strong>Students’ Union</strong></td>
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<td>To take such steps as are reasonably practicable to ensure that the students’ union operates in a fair and democratic manner and is accountable for its finances.</td>
<td>C17. Insofar as it shall further the educational purposes of the College there shall be a Students’ Union of the College for the benefit of the Students of the College and in their interests as Students.</td>
<td>S22. There shall be a Students’ Union of the College which shall conduct and manage its own affairs in accordance with a constitution approved by the Governors. The Students’ Union constitution and its financial and other reporting requirements will be prescribed in Standing Orders.</td>
<td>Review and approval of the Constitution of the Students’ Union and of its financial and other reporting requirements. Approval of the audited annual accounts of the Students Union.</td>
</tr>
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<td>Health and Safety</td>
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<td>To consider, at least annually, a report from the Safety Committee via the F&amp;GP.</td>
<td>Safety Committee to advise on questions of safety policy, to draw attention to its legal obligations relating to safety and to forward to F&amp;GPC recommendations for such action as is thought necessary to ensure that reasonable steps are being taken to promote the safety of staff, students and other persons on Birkbeck premises.</td>
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<td>To approve and keep under review the College’s written policy on Health and Safety.</td>
<td>Safety Committee to oversee the implementation of the Birkbeck Safety Policy.</td>
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<td></td>
<td>To be responsible for the health and safety of employees, students and other individuals while they are on the College premises and in other places where they may be affected by its operations.</td>
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<td>To ensure that the institution has a written statement of policy on health and safety, and arrangements for the implementation of that policy.</td>
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Updated with new Committees 2009-10
Draft to be submitted to Governors 26 November 2009

F&GPC = Finance and General Purposes Committee; SPC = Strategic Planning Committee
Committee Terms of Reference

College Committees

- Finance and General Purposes Committee (F&GPC)
- Audit Committee
- Equalities Committee
- Nominations Committee
- Remuneration Committee
- Academic Board

- Committees reporting to F&GPC:
  - Estates Committee
  - HR Strategy and Policy Committee
  - Strategic Planning Committee
  - Investment Committee
  - Safety Committee

- Academic Board Executive Committee

- Academic Committees:
  - Teaching and Quality Enhancement Committee
  - College Boards of Examiners
  - College sub-boards of examiners
  - Research Committee
  - Student Experience and Widening Participation Committee

School Committees

- School Executive
- School Teaching and Quality Enhancement Committee
- School Research Committee
Finance and General Purposes Committee

The Finance and General Purposes Committee meets once per term and reports to the Governors

Terms of Reference

Finance

1. The Finance and General Purposes Committee shall have overall responsibility, on behalf of the Governors, for the conduct of the College's financial affairs and for such other matters as shall be delegated by Governors from time to time. The Committee's advice and decisions shall be directed to the protection and enhancement of the College's assets and the best use of its income so that the objects of the College, as defined in its Charter and Statutes, may be achieved.

2. Within these general terms, the Committee is specifically required:

(i) to lay annually before Governors audited Accounts with a Report thereon;

(ii) to submit to the Governors an annual budget of income and expenditure and to revise the budget at such intervals as may be laid down from time to time;

(iii) to control, and to report on to the Governors whenever necessary, all questions relating to banking operations, investments, cash statements, auditors' reports, invoices, and any other matters relevant to the income and expenditure of the College;

(iv) to recognise officers with accounting responsibility for specified areas of financial expenditure (including Faculties) and to monitor and control expenditure within such areas;

(v) to encourage the inflow of money from grant-giving bodies, both for the support of specific research and for the general support of the purposes of the College, and to ensure that any contingent liability arising from a grant or benefaction shall be acceptable to the College;

General

3. To appoint with terms of reference and to receive the Reports of the Buildings, House, Investment, Safety and Staffing Committees and such other groups or Working Parties as the Committee may from time to time appoint;

4. To oversee generally the provision of such services and amenities as may be necessary for the efficient running of the College.

Scheme of Membership

The Master, who may designate the Vice-Master to represent him or her
The Chair of Governors, who may designate the Deputy Chair of Governors ¹ to represent him or her
Two Academic Governors
One non-teaching staff Governor
One Student Governor nominated by the Students' Union Council, who may nominate a deputy to represent him or her
Six independent members:
- up to two of whom may be co-opted members with expertise and experience in financial matters who are neither Governors nor members of staff or students;
- the rest to be independent Governors who are neither members of the staff nor students.

Quorum

Four, including at least two independent members.

¹ Not applicable if the Deputy Chair is a member of the Audit Committee.
Audit Committee

Terms of Reference

1 The Audit Committee reports to the Governors on the College’s risk management, control and governance arrangements and its arrangements for ensuring economy, efficiency and effectiveness.

Duties

2 To advise the Governors on the appointment of the external auditors, the audit fee, the provision of any non-audit services by the external auditors and any questions of resignation or dismissal of the external auditors.

3 To discuss if necessary with the external auditors, before the audit begins, the nature and scope of the audit.

4 To consider the audit aspects of the annual financial statements in the presence of the external auditors, including the external auditors’ formal opinion, the statement of Governors’ responsibilities, the statement of internal control and any relevant issues raised by the external auditors, in accordance with HEFCE’s Accounts Directions.

5 To discuss with the external auditors problems and reservations arising from the audits, including a review of the management letter incorporating management responses; and any other matters the external auditors may wish to discuss (in the absence of management where necessary).

6 To consider and advise the Governors on the appointment and terms of engagement of the internal auditors, the audit fee, the provision of any non-audit services by the internal auditors and any questions of resignation or dismissal of the internal auditors.

7 To review the internal auditors’ audit risk assessment and strategy; to consider major findings of internal audit investigations and management’s response; and to promote co-ordination between the internal and external auditors.

8 To keep under review the effectiveness of risk management, control and governance arrangements, and in particular to review the external auditors’ management letter; the internal auditors’ annual report; and management responses.

9 To monitor the implementation of agreed audit-based recommendations, from whatever source.

10 To ensure that all significant losses have been properly investigated and that the internal and external auditors, and where appropriate the HEFCE accounting officer, have been informed.

11 To oversee the College’s policy on fraud and irregularity, including being notified of any action taken under that policy.

12 To satisfy itself that satisfactory arrangements are in place to promote economy, efficiency and effectiveness.

13 To receive any relevant reports from the National Audit Office, HEFCE and other organisations.

14 To monitor annually the performance and effectiveness of the external and internal auditors, including any matters affecting their objectivity, and to make recommendations to the Governors
concerning their reappointment, where appropriate.

15 In the event of the merger or dissolution of the College, to ensure that the necessary actions are completed, including arranging for a final set of financial statements to be completed and signed.

Authority
16 The Audit Committee is authorised by the Governors to investigate any activity within its terms of reference and to seek any information it requires from any employee; all employees are directed to co-operate with any request made by the Committee.

• to obtain outside legal or other independent professional advice, where it considers it necessary, up to a limit of £5,000 in any one year. Expenditure beyond this amount requires Governors’ prior approval.

Meetings
17 The Committee will meet at least three times each financial year, normally once per term. The external or internal auditors may request a meeting if they consider it necessary.

Reporting
18 A report will be drafted following each meeting of the Committee and circulated to all Governors.

19 The Committee will prepare an annual report covering the College’s financial year and any significant issues up to the date of preparing the report. The Committee should, where appropriate, confirm with the internal and external auditors that the effectiveness of the internal control system has been reviewed; and comment on this in its annual report. The annual report will give the Committee’s opinion, based on the information presented to it, on the adequacy and effectiveness of the College’s arrangements for:

• risk management, control and governance, including the accuracy of the statement of internal control included with the annual statement of accounts;
• economy, efficiency and effectiveness (value for money).

20 The report will be addressed to the Governors and the Master as designated officer. It should normally be considered by the Governors before the Letter of Representation is signed and the annual financial statements approved.

Scheme of Membership
The Audit Committee is appointed by Governors on the recommendation of the Nominations Committee.

It consists of at least three Governors who are neither staff nor students and who do not have significant interests or executive responsibilities in the College. The Committee may co-opt an additional non-Governor member with relevant expertise and experience.

At least one member should have recent and relevant experience in finance, accounting or auditing. No member may also be a member of the Finance and General Purposes Committee.

The Committee elects its Chair for the following session at the last meeting in each session.

Quorum
Two members.
Equalities Committee
(draft)

Terms of Reference

1. To promote equality and diversity among staff and students across the College.

2. To monitor College policy on equal opportunities and diversity, to recommend the introduction of new policy as appropriate and to issue guidelines on new initiatives.

3. To monitor developments in legislation and make recommendations for any necessary changes required to policy and practice.

4. To ensure implementation of the College’s Single Equality Strategy and other related policies by:
   - Facilitating consultation and involvement across the College;
   - Reviewing and improving the monitoring of equal opportunities statistics at the recruitment stage and during employment for staff, and from admission and throughout study for students;
   - Monitoring trends and developing planned responses to recruitment and retention difficulties or any other area of concern;
   - Using the data currently available to monitor progress, determine priorities, set equality objectives; recommend policies to meet objectives where necessary and set targets;
   - Ensuring compliance with all relevant employment legislation.

5. To make an annual report on equal opportunities monitoring and developments in equality and diversity to the Governors (usually in the Spring Term).

6. To have regard for the College’s objectives for widening student participation and to support the delivery of these objectives, in consultation with the Student Experience Committee.

7. To convene a Disability Committee to advise on disability-related issues specific issues; and to receive reports and consider recommendations from the Disability Committee.

8. To report and make recommendations to Governors as appropriate.

Scheme of Membership

The College Diversity Champion (who will normally take the Chair)
The College Dean
The Chair of the Disability Committee*
The Academic Registrar*
An independent Governor
An external representative from another HEI
A nominee of Birkbeck College Students’ Union Council
The Director of the Centre for Learning and Professional Development*
The Director of HR*
One member of staff from each School (normally an Assistant Dean or Assistant School Manager, to be nominated by the Executive Dean to serve for a fixed term)

* Ex-officio members may nominate an appropriately senior colleague to attend on their behalf.

Quorum:
The quorum shall be five members
Terms of Reference

1 The Nominations Committee makes recommendations to the Governors on the appointment of:
   • The President;
   • The Chair and Deputy Chair of Governors;
   • The Independent Governors;
   • The membership of the Finance and General Purposes Committee; the Audit Committee; the Remuneration Committee; and such other committees as the Governors may from time to time direct;
   • Fellows of the College;
   • Honorary Life Members of the College.

2 In making its recommendations the Committee shall have regard to
   • the procedures and criteria for the appointment of Governors agreed by Governors in July 2007;
   • the procedures for the nomination and appointment of Fellows agreed by Governors in December 2000.

Scheme of Membership

3 The Members of the Nominations Committee are:
   • The Chair of Governors
   • The Deputy Chair of Governors
   • The Master
   • Two Academic Governors
   • A nominee of Birkbeck College Students' Union
   • Three other independent Governors

4 The Members are appointed annually by the governing body in the prior summer term.

5 The Committee shall be chaired by an independent Governor.

6 The quorum is four members, including at least one independent Governor.
Remuneration Committee

Terms of reference

1. To review and determine annually the salary of the Master taking into consideration available information on the remuneration of Vice-Chancellors/Chief Executives in other comparable Higher Education Institutions.

2. To review annually those applications made by Professors and Senior Administrative staff at professorial-equivalent grade for an additional award in accordance with the procedures approved by the Finance & General Purposes Committee, 7 March 1995, reported to Governors 23 March 1995; and to determine whether and what value awards should be made.

3. To review annually and revise as appropriate, taking into account pay increases and/or changes in duties, the level of salary allowance attached to the posts of Vice-Master, Pro-Vice-Masters, Faculty Deans and the Dean of the College and such other posts as Governors may authorise from time to time.

4. To report annually to Governors, through the Finance & General Purposes Committee on any salary award made to the Master, on the salary allowances decided on for postholders and on the number of successful and unsuccessful applications received from Professors and Senior Administrative staff and the total cost of awards made.

5. To consider and determine any severance payment proposed for a senior employee, and to report to Governors the outcome.

Scheme of Membership

Panel A - Remuneration of the Master

The Chair of Governors
The Deputy Chair of Governors
The Chair of Finance & General Purposes Committee
Up to three other Independent Governors co-opted by the Panel.

Panel B – Professors Directors and Postholders’ Remuneration

The Chair of Governors
The Deputy Chair of Governors
The Chair of Finance & General Purposes Committee
Up to three other Independent Governors co-opted by the Panel.
The Master
**Academic Board**
(from its Standing Orders)

1. To be responsible, subject to the general superintendence and control of the Governors, for the academic work of the College;

2. To consider and make representations to the Governors on all academic matters and on such other matters as may be referred to them by the Governors; no final decision on an academic matter shall be taken by the Governors unless the Academic Board shall have had an opportunity of expressing an opinion on it and the Governors shall have considered such expression of opinion;

3. To appoint an Executive Committee and other standing and ad hoc committees formed from its own number or otherwise.
Estates Committee

The Estates Committee meets once a term and reports to the Finance and General Purposes Committee.

Terms of Reference

1. To consider and make recommendations to F&GPC and Governors on strategic, developmental and policy and matters related to the estate, including environmental policy.

2. To oversee the development and ongoing review of the College's Estates Strategy, in the context of the overall corporate plan and strategic objectives, for approval by F&GPC and Governors.

3. To monitor the overall delivery of the Estates Strategy and to make an annual report to F&GPC and Governors.

4. To establish Key Performance Indicators for estates and to monitor these in the context of the targets identified in the Estates Strategy, making periodic reports to F&GPC.

5. To have responsibility for oversight and monitoring of current major and College-level estates projects*, reporting on significant budget variances and making recommendations as necessary, including oversight of the use of specific grants.

6. To evaluate and advise Governors and F&GPC on new proposals for major and College-level estates projects and bids for project funding.

7. To approve the long term maintenance plan and the annual programme of long term maintenance work and to make recommendations on funding to the F&GPC.

8. To promote the efficient use of space throughout the College

9. To advise F&GPC on the College's property portfolio and the acquisition and disposal of property and leases.

* Major and College-level research projects are projects using HEFCE or other external funding, or with a budget of over (£50K), or projects affecting common space or the facilities and activities of more than one School.

Scheme of Membership

The Master (Chair)
The Vice-Master
The Executive Deans (or their nominees)
An independent Governor
A student nominated by the Students’ Union Council
An independent member with relevant expertise may also be co-opted

Quorum

The quorum shall be three members
HR Strategy and Policy Committee

The HR Strategy and Policy Committee meets once a term and reports to the Finance and General Purposes Committee.

Terms of Reference

1. To oversee the development and implementation of the College’s HR Strategy

2. To monitor annually the implementation of the HR Strategy and recommend changes where necessary

3. To champion and promote the HR Strategy

4. To keep abreast of HR best practice, develop appropriate policies and make recommendations to Finance and General Purposes Committee for changes required to existing policy and practice

5. To monitor developments in legislation and agree minor revisions to existing policies. Where these are required by legislation and have no direct financial or strategic implications, the Committee has delegated authority from Governors to approve revisions without the need for further approval by Finance and General Purposes Committee and Governors.

6. To be responsible for the conditions of service and career structure of all staff, including arrangements for probation, promotion, merit pay, regarding and appraisal.

7. To appoint members of the following review panels:
   - Academic Staff Probation Review Panel
   - Academic Staff Review Panel: Lecturer A to Lecturer B
   - Academic Staff Review Panel: Lecturer to Senior Lecturer
   - Academic Staff Review Panel: Conferment of Title

8. To consider the reports of all review panel decisions and also any recommendations they may make.

9. To receive for information the reports of the gradings process and the annual contribution-related pay process for professional and support staff.

10. To appoint the members of the College sides of the Staff Joint Committee and receive for information any reports to Governors of the Joint Committees.

11. To consider equality and diversity in all aspects of its discussion and decision-making

12. To report and make recommendations to the Finance and General Purposes Committee.

Scheme of Membership

Master/Vice Master (Chair)
College Secretary
Director of Human Resources
Executive Deans (or their nominees)
An independent Governor
Human Resources Manager
Human Resources Policy Adviser
Learning and Organizational Development Manager

Quorum
The quorum shall be four members
Strategic Planning Committee

The Strategic Planning Committee will normally meet six times a year. It will meet once a term and report to the Finance and General Purposes Committee on the establishment, agreement and monitoring of School and central service plans and the budgets devolved to Schools and services under the Income Distribution Model. It will also meet to discuss broader strategic issues, including annual evaluation of the delivery of strategic objectives and identification of strategy for the coming year. The Chair may invite additional colleagues to the broader strategic meetings as noted under the Scheme of Membership below.

Terms of Reference

1. To consider College-wide strategic issues and priorities and to advise F&GPC and Governors accordingly as part of the annual and five-year planning cycle
2. To develop and keep under review internal planning and resource allocation policy and procedures, including the income distribution model, ensuring that these reflect the College’s strategic priorities
3. To set the strategic context and objectives for the annual planning round, taking into account College objectives as defined in the five-year corporate plan and through Governors’ annual consideration of the College’s strategic direction
4. To oversee the annual planning and budgeting process, to give feedback to Schools and central services on developing plans and to co-ordinate and integrate plans for presentation to F&GPC
5. To discuss annual iterations of School plans with the Executive Deans and to consider and approve School and central service plans against the objectives set, provided that
   a) Academic activities and programmes are approved and monitored through the procedures overseen by the Academic Board and its Committees
   b) Budgets are approved by the F&GPC and Governors
6. To establish and to regularly monitor Key Performance Indicators that measure performance against the objectives set, overall and against School and central service plans
7. To report to and advise F&GPC and ABExCo as appropriate on matters arising from the annual planning round
8. To take into account the advice of the Executive Deans and ABExCo on planning priorities and cross-School issues
9. To establish a Fees Bursaries and Scholarships Committee, to consider recommendations from it on fee and scholarship policy and levels and to advise F&GPC and Governors accordingly
10. To ensure an annual report on the disbursement of scholarship funds is made by the Fees and Bursaries Committee to ABExCo

Scheme of Membership

Master (Chair)
Vice-Master
The Pro-Vice-Masters
College Secretary
Director of Finance
Director of Planning
Director of Human Resources

Colleagues who may be invited to broader strategic meetings
Executive Dean
Heads of central services, as appropriate to the subject(s) being considered.
A nominee of the Students’ Union Board of Trustees.

Quorum
The quorum shall be four members
Safety Committee

Terms of Reference
1. To advise Birkbeck on questions of safety policy, to draw attention to its legal obligations relating to safety and to send forward to the Finance and General Purposes Committee recommendations for such action as is thought necessary to ensure that reasonable steps are being taken to promote the safety of staff, students and other persons on Birkbeck premises.

2. To oversee the implementation of the Birkbeck Safety Policy.

3. To receive reports from the Health and Safety Officer and appropriate sub-committees.

4. To report, at least annually, through the Finance and General Purposes Committee, to the Governors of Birkbeck, University of London.

5. To advise schools, departments and sections of Birkbeck on the inculcation of safety consciousness in staff and students.

6. To organise the provision of appropriate first aid training and facilities.

7. To ensure that a complete record of occupational accidents is maintained.

8. To advise those responsible for arranging insurance of specific hazards within Birkbeck.

9. To maintain liaison with extra-mural organisations concerned with safety.

Scheme of Membership
A Chair appointed by the Finance and General Purposes Committee
The Chair of the Finance and General Purposes Committee
The Master
The Vice-Master
The College Secretary and Clerk to the Governors
The Director of Human Resources
The Director of Estates and Facilities
Two persons nominated by the Birkbeck Branch of the UCU
Two persons nominated by the Birkbeck Branch of the AMICUS
The President and one student nominated by the Students' Union
Two persons nominated by the Birkbeck Branch of the UNISON
Investment Committee

Terms of Reference
1. To be responsible to and to report to the Finance and General Purposes Committee for all investments;

2. To recommend to the Finance and General Purposes Committee and the Governors the appointment of investment managers to undertake the day-to-day management of the College’s investments in accordance with agreed policy;

3. To formulate and to keep under review the policy governing the College's investments, including the “Powers and Restrictions”, and to make recommendations to the Finance and General Purposes Committee thereon;

4. To receive regular reports from the investment managers and to keep their performance under review.

5. The aims of the Funds are to provide growth in income and capital over the long term.

Powers and Restrictions

6. The investment managers may invest in securities which are dealt with on any recognised stock exchange, subject to the restrictions set out in the College’s Financial Regulations;

7. With regard to equities, normally no one holding should bring the total holdings in that organisation above 5% of the market value of the Fund or 5% of the issued share capital of the company;

8. Where urgent action is required the Director of Finance is empowered to act on behalf of the Committee. Such action shall be reported to the next meeting of the Committee.

Scheme of Membership

Four independent Governors who are members of the Finance and General Purposes Committee, one of whom shall be Chair

The Master

The Committee may co-opt up to two additional non-Governor member with relevant expertise and experience.
Academic Board Executive Committee

Terms of Reference

(i) To act as a steering and executive group for the Academic Board and to be responsible for the general management of the business of the Board, to allow it to fulfil its responsibility for overseeing the academic work of the College;

(ii) To advise the Strategic Planning Committee on academic matters arising from School and College level planning processes; and to take into account the advice of the Strategic Planning Committee in relation to the College's strategic priorities;

(iii) To act as the College-level co-ordinating point for discussion of matters of academic strategy, regulation and policy and to deal with all academic matters of a routine nature which do not raise issues of policy, subject to report to the Academic Board;

(iv) To consider Reports made to the Academic Board by its academic Committees and the College Boards of Examiners; and to advise the Board accordingly;

(v) To advise the Academic Board on academic support service policy, including for Library and IT provision;

(v) To receive an annual report from the Fees, Bursaries and Scholarships Sub-Committee and to maintain an overview of the disbursement of scholarships and other student financial support;

(iv) To act on behalf of the Academic Board on all other matters delegated to it, decisions on such matters being deemed to be decisions of the Academic Board and implemented as such, subject to report.

Scheme of Membership

- The Master;
- The Vice-Master;
- The Pro-Vice Masters;
- The Executive Deans;
- The Academic Board Governors;
- The Academic Staff Governors;
- Two Students nominated annually by the Students' Union Council.

The Librarian, the Director, IT Services, the Chairs of the College Boards of Examiners, the Head of the College Research School and the Director of External Relations shall be invited to attend as required.

The Committees of the Academic Board (the academic Committees) are currently the Teaching and Quality Enhancement Committee, the Research Committee and the Widening Participation and Student Support Committee.
Teaching and Quality Enhancement Committee (TQEC):

The TQEC is a Committee of the Academic Board

Terms of Reference

- To exercise powers delegated by the Academic Board for **central oversight** of the College's activities relating to: (i) quality assurance and enhancement; (ii) learning and teaching; as closely related not distinct areas.

- To maintain an interface between (a.) the College and the external world (e.g. HEFCE, QAA, HEA) and (b.) the College and Schools in developing **quality assurance/enhancement and learning/teaching activities**, setting College strategy, regulations, policy and procedure and considering the extent to which this is congruent with what goes on in Schools (ensuring that Schools act in the interest of the College as a whole, but also influencing College policy on the basis of Schools’ own needs and perceptions).

- To develop and implement arrangements as may be necessary to ensure engagement with **national standards and codes of practice** on matters relating to the assurance of academic quality and standards and to learning and teaching including: the academic infrastructure of the Quality Assurance Agency for Higher Education (QAA); HEFCE developments; Professional, Statutory and Regulatory Bodies (PSRBs) requirements etc.

- To drive both **quality assurance and enhancement** through the College's **Quality Strategy for 2009-12** including conducting a mid-cycle review of the priorities/targets set.

- To manage the College’s processes (codes of practice and procedures) for **assuring quality and standards** (as informed by the Quality Strategy) by receiving reports summarizing the key issues raised through internal review, annual programme monitoring, student feedback (including the National Student Survey), visiting examiners etc. **Not to play an operational role** in such but to approve methodology and receive reports that confirm that the methodology has been carried out properly and achieves its objectives.

- To **oversee the work undertaken through Quality Monitoring Working Groups** conducting the above activities. To receive regular reports from these groups and to **review how much of this work could be devolved to Schools** under strong committee guidance.

- To advise Schools on all matters relating to **quality of the student learning experience**, particularly through providing a strong link to School Learning and Teaching Committees for all quality assurance/enhancement and teaching/learning activities.

- To implement the **College’s Learning and Teaching Strategy (LTS) 2009-2012**, including conducting a mid-cycle review of the priorities/targets set, with the overarching aim being to enhance the student learning experience.

- To receive **annual reports from School TQECs** regarding their **engagement with the College LTS** and all areas of their learning and teaching activities.
To embed quality enhancement through disseminating issues raised through quality assurance/enhancement and learning/teaching processes to Schools and the College, using these to inform strategic discussion/developments at the committee level. To share the results of these processes across the College, for example, through an annual learning and teaching event for the discussion of pedagogy and the sharing of good practice.

To provide oversight of the programme approval process, informing strategy and policy in this area as well as receiving recommendations for new programmes from the College Programmes Committee, ensuring developments are in line with the College’s Mission, Corporate Plan and relevant strategies.

To liaise with the following committees in developing and enhancing the College’s quality assurance/enhancement and learning/teaching activities: College Programmes Committee; Student Experience Committee (its remit and role in the student learning experience); Fees and Bursaries Committee (in its links to student financial support); Equalities Committee (in its role with the Disability Office).

To report to the Academic Board Executive Committee and Academic Board, with recommendations where appropriate.

Scheme of Membership of the TQEC and Related Committees/Working Groups/Panels:

- **TQEC Membership:** College-wide officers (PVM as Chair, Registrar, Librarian, Students’ Union) plus two members of each School – one to be the Chair of the Learning and Teaching Committee/Assistant Dean plus one other School representative (possibly the Assistant Dean responsible for recruitment and progression), Chair of the Programmes Committee, College e-Learning Coordinator, Director of the CLPD, Learning and Organisational Development Manager, Assistant Registrar (Academic Quality Assurance).

- **Quality Monitoring Working Group membership as required to include:** representation of the TQEC, representation from Schools, coordinated by ‘Quality Enhancement, Validation & Partnerships’ section of Registry Services.

- **Programmes Committee Membership:** PVM Learning and Teaching or nominee (Chair), Chair of School Learning and Teaching Committee (x5) (Assistant Dean for Learning and Teaching), Academic Registrar, Assistant Registrar QA, Co-opted expert members as appropriate – e.g. Stratford or FD.

- **Programme Development Panel Membership:** Chair to be agreed by Registry Services and the relevant School Learning and Teaching Committee, programme proposer, Chair of School Learning and Teaching Committee or nominee (from different department to proposer), Head of Department, relevant members of academic staff from collaborating institutions, Registry representative, Planning/Finance representative, External subject expert, Co-opted expert input – e.g. for FDs and bespoke, tailored programmes could include employer representative. Where a proposal is being considered for a programme with specialized features (e.g. foundation degrees or those involved with collaborative provision and flexible and distributed learning including distance and e-learning) the Programme Development Panel should include an individual with expertise in this area.
College Boards of Examiners

Terms of Reference

The terms of reference of College Boards of Examiners for all programmes and modules within the Board’s purview are:

1. To consider recommendations from Sub-Boards of Examiners and to approve awards to candidates on behalf of Academic Board;

2. To consider recommendations from Sub-Board of Examiners relating to the termination of registration for individual students from the programme and / or College in line with the regulations and procedure relating to the termination of registration due to academic failure;

3. To consider the use of discretion by Sub-Boards of Examiners in making recommendations of awards to candidates and to report to Academic Board on the consistency of this use;

4. To consider the use of discretion by Sub-Boards of Examiners in the award of “Compensated Fails” to candidates, and to report to Academic Board on the consistency of this use;

5. To consider the treatment by Sub-Boards of Examiners of applications for consideration of mitigating circumstances by candidates, and to report to Academic Board on the consistency of this treatment;

6. To review reports from Sub-Boards of Examiners on numbers of candidates permitted to undertake reassessment and numbers required to re-take modules;

7. To analyse trends relating to awards made by the College across subjects and across years;

8. To consider responses from Sub-Boards of Examiners to reports from External Examiners, requesting any further consideration or referring matters to other bodies as appropriate;

9. To consider any other matters referred by Academic Board.

Constitution

The constitution of College Boards of Examiners is:
A Chair appointed by Academic Board;
2 Members of Academic Board from each School that offers programmes or modules within the College Board’s remit;
An intercollegiate examiner appointed by Academic Board;
An external examiner appointed by Academic Board;
The Academic Registrar will nominate a Secretary to the Board. The Secretary will not be a member of the Board.
Sub-Boards of Examiners

Terms of Reference

The terms of reference of Sub-Boards of Examiners for all programmes within the Sub-Board’s purview are:

1. To nominate external examiners for the Sub-Board as appropriate;

2. To be responsible for the setting of assessments, including examination papers, and to ensure that regulations and policies relating to assessment have been followed correctly;

3. To be responsible for the setting of marking schemes for programmes not included in the Common Awards Scheme;

4. To approve marks for all elements of assessment and overall module results and to determine which students have passed or failed individual modules within the Sub-Board’s remit;

5. To determine for students who have not passed a module whether they should be permitted to be re-assessed in one or more elements of assessment or retake the module concerned in line with the relevant assessment regulations;

6. To determine the format and timing of all reassessments;

7. To assign, at the Sub-Board’s discretion, a compensated fail to students who have fulfilled the appropriate criteria;

8. To apply the College’s Policy on Late Submission;

9. To form, at the Sub-Board’s discretion, a mitigating circumstances panel, to assess applications for mitigating circumstances and inform the Sub-Board of their recommendations, in line with the College Policy on Mitigating Circumstances;

10. To consider the recommendations of the relevant mitigating circumstances panel in determining a decision regarding an element of assessment or overall module result;

11. To ensure that, where an investigation into an assessment offence is ongoing, any mark or overall module result related to the alleged offence is withheld until such time as the investigation is concluded;

12. To consider and make recommendations for the termination of registration (exclusion) from the programme and College in line with the regulations and procedure relating to the termination of registration due to academic failure;

13. To consider reports from external examiners, making responses and recommendations to the relevant College Board of Examiners as appropriate.

Where a Sub-Board is responsible for making recommendations on the conferment of awards, the Sub-Boards will also:

3 Programmes not included in the Common Awards Scheme will normally only include programmes for which professional body requirements preclude their inclusion, some programmes offered in partnership with other organisations or where existing pre-CAS programmes are being discontinued. Any new programme should gain the specific approval of Academic Board to be offered outside of the Scheme.
14. Recommend awards and classifications\(^4\) in line with the appropriate regulations and the individual programme specification;

15. Make recommendations for and/or approve aegrotat\(^5\) awards in accordance with the conferment regulations.

16. Ensure that any candidate who satisfies the minimum requirements is recommended the appropriate award.

**Constitution**

The constitution of Sub-Boards of Examiners is as outlined in the College Policy on the Operation of Boards and Sub-Boards of Examiners.

\(^4\) Classification: Shall relate to any classification of an award whether it be undergraduate honours classification (first, upper second etc) or distinction, merit and pass employed on other undergraduate or postgraduate awards.

\(^5\) See Regulations for Taught Programmes of Study, Regulation 62
Research Committee

The Research Committee is a Committee of the Academic Board.

**Terms of reference**

The Research Committee has been established to support the College’s mission in relation to all research-related matters, and specifically the provisions of the College’s mission to

- Maintain and develop excellence in research and provide the highest quality research training in all our subject areas.
- Make available the results of research, and the expertise acquired, through teaching, publication, partnerships with other organisations and the promotion of civic and public debate.

The Committee also has responsibility for supporting the College in its objective of achieving and maintaining strong research cultures in support of interdisciplinary work in each School.

In pursuit of its objectives the Committee will:

(i) advise Academic Board on the adoption of College strategies to support research, including strategies to support the maximisation of research grant success rates and income;
(ii) advise Academic Board on the adoption of any College policy in support of the College’s research;
(iii) advise Academic Board on all matters relating to the College’s research degrees, including the consideration of College regulation, policy, support for MPhil and PhD research students and the Code of Practice for Postgraduate Training and Research for the MPhil and PhD degrees, making recommendations where appropriate to Academic Board;
(iv) consider matters concerning the provision and use of resources to support research, including the establishment of research centres;
(v) taking into consideration past research performance and present and future needs of Schools, advise on policy concerning the distribution of resources to support research;
(vi) administer any funds to support research for which responsibility is delegated to the Committee by resolution of the Academic Board;
(vii) advise Academic Board and Governors on ethical matters related to the College’s research, in accordance with the College’s Procedures for Ethical Review.

**Scheme of membership**

*Ex-officio*

The Pro-Vice-Masters
The Head of the College Research School
The Assistant Dean for Research from each Academic School of the College

**School representatives**

One additional representative nominated by each School

**Students’ Union representative**

A representative of the Students’ Union

**Quorum**

8 members of the Committee will constitute a quorum

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6 Responsibility for the consideration of “Specialist Doctorate” programmes (eg the D.Psych Doctorate in Psychotherapy), their programme specifications and regulation will remain with the Teaching Committee.

7 This will normally be by delegation to a Research Student Sub-Committee.
Student Experience and Widening Participation Committee

The Student Experience and Widening Participation Committee is a Committee of the Academic Board.

**Terms of Reference**

1. To support the College’s strategic objectives for student experience and widening participation, which currently are:

   - To provide appropriate, timely and seamless advice, guidance and support to all students at every stage of their Birkbeck journey from first point of contact to graduation.
   - To pay particular attention to the needs of non traditional students and under represented groups in HE.
   - To create seamless communication with all students throughout their Birkbeck journey and to ensure that the ‘student voice’ is heard.
   - To maintain and develop a learning environment that responds effectively to the needs of a diverse student body.
   - To ensure that a positive student experience maximises student:
     - Aspiration;
     - Recruitment;
     - Diversity;
     - Retention;
     - Success.

2. To develop a student experience and widening participation strategy, for approval by the Academic Board;

3. To monitor, review and evaluate the implementation of this strategy and to evaluate the work of the College in this area, making recommendations for action and reporting as appropriate to Academic Board;

4. To promote the cross College co-ordination and presentation of student advice and support;

5. To receive reports on student support provision across the College and to ensure the quality of that support;

6. To have regard for the College’s objective of ensuring equality of opportunity for all students;

7. To advise other Committees of the College as appropriate on student experience;

8. To influence the national student experience agenda, particularly as it relates to part-time students.

**Scheme of Membership**

- Pro-Vice-Master (Student Experience) (Chair)
- Pro-Vice-Master (Learning and Teaching)
- Pro-Vice-Master (Lifelong Learning and Engagement)
- The College Secretary
- The Academic Registrar
- One representative from the Library
- One representative from IT Services
- Disability Officer
- One representative from Learner Support (Bloomsbury)
- One representative from Student Support (Stratford)
- Head of Outreach and Widening Participation
Head of My Birkbeck Services
Project Officer – Equality and Diversity
One representative from each School
One student representative nominated by the Students' Union and One member of the Students' Union staff
Up to two additional members with expertise in areas under the Committee's remit to be co-opted by the Committee for renewable appointments of one year

**Quorum:** Five members
School Executive Boards

Baseline Terms of Reference

1 To act as the principal body for decision-making in the School and to have oversight of all operations, projects and activities within the School.

2 To ensure delivery at School level of College objectives including research; teaching; quality enhancement; student recruitment and retention; international links and recruitment, Birkbeck Stratford; engagement, partnerships and widening participation; and ensuring equality for students and staff.

3 To develop a five-year budgeted strategic plan with annual iterations, reflecting the College’s strategic priorities and the academic opportunities available, for approval by the College Strategic Planning Committee.

4 To have responsibility for the School budget and the delivery of the School strategic plan and to monitor both of these, receiving monthly reports on the budget and on delivery against targets and making termly reports to the College Strategic Planning Committee.

5 To agree resource allocation within the overall School budget by setting operational and other budgets for all activities.

6 To formulate and submit proposals on appropriate tuition fee bands to the Strategic Planning Committee through its Fees, Scholarships and Bursaries Subcommittee.

7 To consider bids and proposals for new developments and activities forwarded from Departmental meetings.

8 To establish, and to receive regular reports from, a School Research Committee and a School Teaching and Quality Enhancement Committee.

9 To be responsible, normally through Chair’s action, for School-level approval of individual research grant applications prior to forwarding to the College for approval.

10 To convene regular meetings to which all staff in the School are invited, and at these meetings to report on the Executive’s activities and decisions.

Membership
The Executive Dean (Chair)
The Assistant Deans
The School Manager
Assistant School Managers as agreed by the School Manager and the Executive Dean

Meetings
Normally monthly
School Teaching and Quality Enhancement Committee (STQEC)

Baseline Terms of Reference

1. To advise the School Executive on the development, implementation and review of the School’s learning, teaching and quality enhancement activities, contributing to the School strategic plan, ensuring engagement with the College Learning and Teaching Strategy and setting targets addressing the priorities of the College Learning and Teaching Strategy.

2. To make an annual report to the College Teaching and Quality Enhancement Committee on all areas of the School’s learning, teaching and quality enhancement activities.

3. To consider and if appropriate to approve in principle proposals for new programmes prior to submission to the College Programmes Committee (by 28 February in the calendar year before programme launch.)

4. To appoint STQEC members to Programme Development Panels convened to advise on the development of new programmes that have been approved in principle; and to formulate recommendations for their formal approval.

5. To consider and if appropriate to endorse the recommendations of Programme Development Panels on the formal approval of new programmes prior to submission to the College Programmes and Teaching and Quality Enhancement Committees.

6. To consider and if appropriate to approve proposals for new modules and for module and minor programme amendments, reporting to the College Programmes Committee.

7. To ensure consideration and completion of on-line feedback forms for annual monitoring reports on cognate groups of undergraduate and postgraduate programmes; and to co-ordinate the School’s response to the College TQEC panels’ scrutiny of the annual programme monitoring reports.

8. To consider reports arising from student surveys (Student Withdrawal Survey, End of Year Survey, PRES (Postgraduate Research Experience Survey), course-unit (module) surveys]; and to identify appropriate action and ensure its implementation.

9. To consider reports arising from the National Student Survey, including matters highlighted by the QEV section of Registry Services; and to identify appropriate action and ensure its implementation.

10. In liaison with the QEV section of Registry Services, to coordinate any necessary external accreditation exercises by Professional Statutory and Regulatory Bodies.

11. To ensure responses are made to External Examiners’ reports and that any follow up action identified by the STQEC or the Academic Services section of Registry Services is implemented.

12. To set External Examiner fees and to have oversight of payment of fees and expenses to External Examiners.

13. To confirm an internal review schedule for the School, produced by the QEV section of Registry Services and taking in all subject areas and levels in the School; to assist Departments preparing for internal review.

14. To consider the outcomes of internal review reports, including commendations and recommendations made; and to identify appropriate action and ensure its implementation.

15. To participate in the development of internal and external strategies, policies and procedures and responses to national developments in learning and teaching and quality assurance and
enhancement, in liaison with the QEV section of Registry Services and reporting to the College TQEC.

Membership
Assistant Dean (Learning Teaching and Quality Enhancement) as chair;
Other assistant Deans with relevant strategic portfolios as appropriate/for specific items
Assistant School Managers with relevant strategic portfolios
A representative of each subject area/teaching cluster within the School.
Executive Dean
School Manager
A representative of Registry Services
School Research Committee
Baseline Terms of Reference

1 To advise the School Executive on the development, implementation and review of the School’s research activity, contributing to the School strategic plan and ensuring engagement with the College Research Strategy.

2 To make an annual report to the College Research Committee on all areas of the School’s research activity.

3 To consider and where appropriate to forward to the College Research Committee proposals for new research Centres; and to be active in the establishment of new Centres in strategically important areas.

4 To receive annual reports on actual and planned activities of research Centres and Institutes; and to forward these to College Research Committee as appropriate.

5 To have responsibility delegated from the School Executive for monitoring research Centre budgets within the School, reporting to the School Executive and the College Research Committee.

6 To set and review realistic and achievable targets for research grant income in the context of the School’s research aims and strategic plan.

7 To ensure there are mechanisms in place in the School to facilitate high quality research grant applications, including sharing of best practice and proactive identification of new research opportunities.

8 To develop and oversee mechanisms to support academic staff within the School in developing their research, particularly those in the early stages of their careers; to have responsibility delegated from the School Executive for monitoring budgets for these mechanisms; and to report to the School Executive and the College Research Committee.

9 To have oversight of the preparation for the REF of all subject areas within the School, contributing to the development of and implementing College strategies and reporting to the College Research Committee.

10 To ensure that there are appropriate mechanisms in place for considering ethical issues raised by research projects, including work undertaken by research students, convening working groups in keeping with the College’s responsibilities, and reporting back to the College Research Ethics Committee.

11 To oversee the admission, support, assessment and performance of research students, ensuring engagement with the College Code of Practice for postgraduate training and research and reporting to the College Research Committee.

12 To advise the School Executive on the development of a consistent and visible School research studentship strategy, which may include fee remission, and/or guaranteed teaching or research assistantships.

Membership
Assistant Dean (Research) (Chair)
Other assistant Deans with relevant strategic portfolios as appropriate/for specific items;
Assistant School Managers with relevant portfolios
A representative of each subject area/research cluster within the School;
At least one representative of research Centres/Institutes within the School
Executive Dean
School Manager
Representative from Registry Services.