

Academic regulatory framework

Contents

	<i>page</i>
Section 1: General provisions	3
Section 2: Admission, enrolment & registration	5
Section 3: General assessment regulations for taught programmes	9
Section 4: Research degree regulations	17
Section 5: The student experience	23
A: Student Code of Conduct & disciplinary procedure	25
B: Course participation policy	37
C: The Principal's emergency powers of suspension	43
D: Student complaints procedure	45

Section 1: General provisions

1 Authority

- 1.1 The academic regulations are made by the Teaching & Learning Board under delegated authority from the Board of Governors.
- 1.2 Amendments to the regulations approved during the academic year will come into effect on the first day of the next academic year except where the Teaching & Learning Board has made a special resolution for an in-year amendment.
- 1.3 A request for a special resolution will be highlighted on the agenda of the Board and will require a reasoned argument to be submitted in writing.
- 1.4 Students will be entitled to be examined in accordance with the regulations in force at the time of enrolment for that academic year. Special resolutions made under 1.2 above, and any programme amendments (see 4.5 below) will have due regard to this entitlement.
- 1.5 The Teaching & Learning Board (or the Chair or Deputy acting on the Board's behalf) may consider applications for suspension of the academic regulations. Applications, including a reasoned case, must be made to the Director of Corporate & Student Services (or nominee¹) by the relevant academic Director.² Suspension of the requirements for award will not be considered.
- 1.6 Any suspension of regulation relating to a named student will only be applicable to that student and will not, in itself, set a precedent.

2 Delegations

- 2.1 Under these regulations a named officer may delegate specifically or generally any of his/her powers to another officer holding a similar position or to a deputy recognised for that purpose. Further, serial, delegation is not permitted without the permission of the original named officer.
- 2.2 The Teaching & Learning Board may establish ad hoc and standing committees and may delegate any of its powers except:
 - the approval of School-level academic regulations;
 - the approval of new academic programmes;
 - the approval of academic partnerships.

3 Academic year

- 3.1 The academic year will run from 1 August to 31 July and the dates of the main teaching terms will be determined by the Principal.

¹ In this instance the Head of Registry Services and Quality Assurance & Enhancement.

² Suspensions relating to the rules of a validating institution will follow the same procedure for recommendation to the relevant authority.

- 3.2 The word 'year' when used in these regulations without limitation will refer to the academic year.

4 Programme approval, amendment & review

- 4.1 The Teaching & Learning Board may establish programmes of study³ on the recommendation of the relevant departmental committee⁴ and will specify the approval procedure. A programme of study must have financial approval from the Executive Directorate as well as academic approval in principle before it may be marketed to potential students.
- 4.2 Each taught programme of study will have a programme specification. Each module forming part of the programme will have a module specification. The level of study for each year of study and/or each module will be identified and correspond with a level specified in *The framework for higher education qualifications in England, Wales and Northern Ireland (FHEQ)*.
- 4.3 Any taught programme leading to an award identified in the FHEQ must meet the minimum credit requirements for that award in accordance with the Quality Assurance Agency's guidance *Academic credit in Higher Education in England* or its successor.
- 4.4 Research programmes leading to an award at level 8 will not be credit-rated.
- 4.5 The maximum and minimum period of study, including any periods of interruption, will be stated in the relevant programme specification. However, in no instance shall the maximum period of study be more than 7 years (full or part-time study) except for a doctoral programme where the maximum period of study shall be four years full-time or eight years part-time.
- 4.6 Amendments to a programme or module specification must be considered by the relevant departmental committee and all major amendments presented to the Teaching & Learning Board for approval.⁵ Amendments approved during the academic year will come into effect on the first day of the next academic year except where a special resolution for an in-year amendment has been made by the Teaching & Learning Board (see 1.3 above).
- 4.7 All programmes will be subject to periodic review. Each periodic review will take place within five years of a programme's approval or its previous review. However, the Teaching & Learning Board may require a review at any point.⁵

³ Programmes leading to the award of a validating body will follow the same procedure for recommendation to the relevant validating authority.

⁴ In this instance the Music or the Drama Programme Board.

⁵ Additional requirements may apply to programmes leading to an award of a validating body.

Section 2: Admission, enrolment & registration

1 Admission of students

- 1.1 Applicants who meet the general entrance requirements of the School and the specific requirements of an approved programme of study may be admitted to the School on behalf of the Principal by the Head of Administration for the relevant academic area, or their nominee, subject to the procedures for enrolment established by the School.

2 Entrance qualifications & requirements

- 2.1 In order to be admitted to the Guildhall School of Music & Drama a student must:
- i) meet the specific requirements for the programme of study detailed in the programme specification including, but not limited to, any of the following: a specified level of previous study; assessment at audition, interview, and group work; and assessment of folio submission, recording submission, or references;
 - ii) have demonstrated to the School's satisfaction, taking into account individual circumstances, the intellectual maturity necessary to gain full advantage from the educational experience offered by the programme of study;
 - iii) have satisfied the School about any arrangements which are considered necessary if the student is under 18 years of age;
 - v) demonstrate a satisfactory criminal records check where applicable;
 - vi) have an appropriate visa, where applicable;
 - vii) comply with the enrolment procedure laid down by the School, including the payment of fees.
- 2.2 Except by mutual agreement in one-to-one lessons, the language of instruction in the School is English and all students must have a good command of English and be able to apply this in an academic environment. All applicants for whom English is not their first language, except applicants for the BA in Acting programme, will be required to provide certificated proof of their competence in English prior to registration except where this has been waived by the Head of Programmes.⁶ The standard of proficiency required by the School will be published annually in the prospectus. For the acting programme English language fluency must be demonstrated at audition.
- 2.3 An unsuccessful applicant may submit an appeal against the decision of the School not to make an admissions offer. A request for an appeal must be submitted in writing within 14 days of confirmation of the School's decision. An appeal will only be considered on the grounds of unfairness or prejudicial conduct. There is no appeal against the School's assessment of an applicant's abilities or in respect of extenuating circumstances not made known to admissions staff before or on the day of audition/interview.
[The full procedure is available to applicants from the Registry on request.]

⁶ The Head of Programmes may waive the requirement where proficiency has been demonstrated in another form.

3 Non-standard entry

- 3.1 All applications for non-standard entry will be considered on a case-by-case basis and coordinated in accordance with the procedures laid down by the School. All non-standard admissions will be approved by the relevant Programme Board and reported to the Teaching & Learning Board.⁷

Transfer from another higher education institution

- 3.2.1 Subject to meeting the School's general requirements, applicants may transfer directly to an appropriate point on an approved programme in a similar field of study.
- (a) To be eligible for the award of an undergraduate degree a student must complete successfully a minimum of two years of consecutive study with the Guildhall School, including the final year of the programme.
 - (b) To be eligible for the award of a taught postgraduate degree a student must complete a minimum of two terms of study for a programme of one calendar-year full-time duration or a calendar year for a programme of two calendar-years full-time duration. The period of study must include the final recital and/or any research component/folio submission where relevant.⁸
 - (c) For research students see Regulations 2.8 to 2.10 of the *Research degree regulations*.
- 3.2.2 Following successful completion of the programme of study, the award of honours or other classification will be based solely on the assessment undertaken under the direction of the School.

APEL: Accreditation of prior (experiential) learning

- 3.3 An applicant whose qualifications do not conform to those prescribed in the relevant programme specification, may be considered for admission on the basis of their professional background and/or experience or general education, scholarship, and/or training. Confirmation of admission and continuing registration may be subject to a further examination or qualifying period of study, or special scheme of study, as specified by the relevant academic department.⁷

4 Enrolment & registration of students

- 4.1 Students wishing to follow a programme of study or to undertake research are required to enrol annually according to the procedures laid down by the School. Registration on a programme of study must be confirmed within three weeks of the official start date of the programme except where specific arrangements have been approved by the relevant academic Director. Where applicable, a student failing to register may forfeit any deposit paid.
- 4.2 Any student indebted to the School may not be permitted to re-enrol at the beginning of an academic year.
- 4.3 The enrolment process will include the student signing an agreement to comply with any regulations, policies or directions which are from time to time made or given by the School, by the Principal, or by other members of staff acting with the authority of the Principal. Regulations and policies will be available to students via the School intranet and key documents will be summarised in the *Student Handbook*.

⁷ Formal approval may also be required by a validating body.

⁸ More stringent and/or different requirements may be applied by a validating body.

- 4.4 A student who has been awarded a qualification by the School, or has exhausted all available assessment attempts leading to that qualification, may not subsequently be registered on a programme of study leading to the same qualification.
- 4.5 Students may not normally transfer their registration to another programme of study within the School.

5 Attendance

- 5.1 All students will follow the approved programme of study as set out in the programme specification for that year except where variation, by way of a special scheme of study, has been approved for an individual student in advance of his/her annual enrolment. A special scheme of study will require the approval of the Programme Board and, where the scheme varies the assessment methods, the School Assessment Board.⁷
- 5.2 The programme specifications will state the duration of the programme in full-time and, where applicable, part-time mode. They shall also specify the minimum period of study for the award and the maximum period for which credit for the award may be counted. In no instance shall the maximum period of study be more than 7 years (full or part-time study) except for a doctoral programme where the maximum period of study shall be four years full-time or eight years part-time.
- 5.3 A student may transfer his/her registration to another mode of attendance (where offered) subject to the following conditions:
- (i) that there are good academic reasons for the transfer;
 - (ii) that the transfer takes place by **25 November**;
 - (iii) that the transfer has the approval of the relevant academic Director; and
 - (iv) that, where relevant, scholarship money awarded for a more intensive mode of study is returned.
- 5.4 The period of study shall normally be continuous. However, an academic Director, may at his/her discretion, permit a student to interrupt his/her studies for a period of one year on the grounds of illness or other adequate cause, provided that the total duration of the student's programme of study, including any such interruption, does not exceed the maximum period specified for the currency of credit for the award. A second year of interruption will be considered exceptional and will require the approval of the Teaching & Learning Board.⁹
- 5.5 Except where the programme of study specifies otherwise, or where explicit permission has been granted by the relevant academic Director for an outside engagement, a student is required to centre her/his academic activities on the School and to attend personally for studies and assessment at such times as the School might require. Students are required to participate fully in the procedures that the School has in place to monitor their progress and absences without good cause may be investigated under the *Course participation policy: attendance monitoring & case consultation & progress review procedures* and may result in action under the Student *Disciplinary code*.
- 5.6 Systematic poor participation leading to a meeting of the Progress Review Committee may result in a student's registration being terminated and/or, for overseas students, a report being submitted to the UK Border Agency.

⁹ Or for programmes validated by City University, the School Assessment Board.

6 Withdrawal

- 6.1 A student who wishes to withdraw from their programme of study should notify their academic Director and Student Services and complete the relevant proforma (available from Registry).
- 6.2 At least one term's notice is required for withdrawal otherwise a penalty fee will be payable.

7 Termination of studies

- 7.1 Decisions on admission are taken in good faith by the School on the basis that the information given is accurate and correct. If it is subsequently discovered that information given is untrue or inaccurate the School may refuse admission or terminate without notice a student's registration.
- 7.2 Any student required to demonstrate a satisfactory criminal records check prior to registration should inform the School of any breaches of the law during their programme of study which fall within the category of those required to be disclosed at admission. Where a specific breach of the law would render the student ineligible to continue on their programme of study, the student's registration will be terminated without notice. Failure to disclose a breach of the law may result in disciplinary action under the School's *Code of Conduct*.
- 7.3 A student's registration may also be terminated for:
 - (i) lack of academic progress (see *Course participation policy*); or
 - (ii) failure to meet the requirements of the programme including failure at examinations (see Regulation 9.5, Section 3); or
 - (iii) as a misconduct penalty (see Regulation 5.8, Section 5A and the academic misconduct regulations of the relevant validating body).
- 7.4 The School reserves the right to terminate a student's registration for non-payment of fees or failure to meet any other debt to the School associated with his/her academic studies provided notice has been given in accordance with the *Tuition fee payment, enrolment and debt collection policy*.

Section 3: General assessment regulations for taught programmes

1 Authority

- 1.1 The Teaching & Learning Board is responsible for all teaching, assessment and research undertaken within the School and the School's academic reputation. However, the authority to confer and revoke the following awards lies with the validating institution as listed:

City University London

- BA in Acting
 - MA in Training Actors (Voice or Movement)
 - MA in Acting
 - BA in Stage Management & Technical Theatre
 - BMus
 - MMus
 - MLead (Guildhall Artist)
 - MPerf (Guildhall Artist)
 - MComp (Guildhall Artist)
 - MPhil/DMus
 - MA in Music Therapy.
- 1.2 The authority to issue the following formal recognition of study resides with the Teaching & Learning Board and is delegated to the Music Programme Assessment Board.
- AGSM (Associate of the Guildhall School)
 - Advanced Certificate.
- 1.3 The Teaching & Learning Board may recommend to the relevant validating institution the revocation of any award if it is discovered at any time and proved to the satisfaction of the Teaching & Learning Board that:
- a) there was a significant administrative error in the decision making process leading to the award; or
 - b) subsequent to award, relevant and significant information, which was unavailable at the time the award decision was made, determines that a candidate's classification and or award should be altered.

2 Principles of assessment

- 2.1 Assessment will be:
- related to the learning outcomes specified in the associated programme/module specification;
 - rigorous and designed to support high standards;
 - transparent in process;
 - equitable in both design and operation;
 - varied, both supporting individual development (formative) and evaluating individual achievement (summative);
 - reliable.

- 2.2 In furtherance of these principles, the School will:
- have regard to the *Code of practice for the assurance of academic quality & standards in higher education*;
 - facilitate the maintenance of standards in awards by ensuring that external scrutiny of its programmes of study is undertaken through the appointment of External Examiners;
 - ensure that, wherever practicable, all initial assessment decisions involve two or more examiners acting together either via panel assessment, double marking or sample moderation;
 - ensure that the criteria for the assessment of awards are kept under review;
 - have in place procedures for the consideration of extenuating circumstances;
 - ensure that proper mechanisms exist for the resolution of complaints and appeals of an academic nature;
 - establish regulations and procedures for dealing with misconduct of an academic nature, specifically that concerning examinations and assessments and research;
 - encourage students to participate in the improvement of teaching and assessment practices in the College by facilitating arrangements for obtaining and considering student feedback;
 - have regard to the rules of any validating or external professional accrediting body.

3 Programme Assessment Boards: terms of reference & membership

- 3.1 The Teaching & Learning Board shall establish two Programme Assessment Boards, one for Music and one for Drama, which shall oversee the assessment processes for that subject area and shall make recommendations, as appropriate, to the designated assessment body of the relevant validating institution.¹⁰
- 3.2 The Programme Assessment Boards shall have the following terms of reference:
- (i) to agree the marks obtained by each candidate in the separate component assessments which make up the overall module mark, any aggregate marks where relevant and the overall module marks and credit to be awarded, in accordance with the assessment rules and programme regulations;
 - (ii) to make recommendations to the assessment body of the relevant validating institution in respect of final awards and classifications, and reassessment and progression;
 - (iii) to agree the marks and resit provisions, on an interim basis, obtained by candidates in half-year module and other assessments where relevant;
 - (iv) to make recommendations to the assessment body of any validating institution relating to cases of extenuating circumstances, cases of academic misconduct, and any special measures relating to placements or periods of study abroad;
 - (v) to ensure that assessment is operated fairly within programmes and that the principles and policies of assessment are applied consistently;
 - (vi) to keep under review the validity of the assessment criteria;
 - (vii) to ensure that the reliability of assessment is demonstrated;
 - (viii) to make recommendations to the relevant Programme Board and the Teaching & Learning Board on the scheduling and amount of assessment, as appropriate;
 - (ix) to ensure compliance with the School's Equal Opportunities policy, including the receipt of declarations of interest, involvement or relationship with any student whose assessments are being considered.

¹⁰ The *School Assessment Board* for City University

3.3 Each Programme Assessment Board shall have the following membership:

- relevant Academic Director (in the Chair)
- Director(s), Assistant Director(s) responsible for the programme(s)
- Head of Programme/Studies (or equivalent)
- All Heads of Department
- All module leaders or internal assessors
- The External Examiner(s) for the programme

and the following shall be in attendance:

- Head of Registry Services and Quality Assurance & Enhancement
- Head of Music or Drama Administration or nominee (Executive Officer)
- Assistant Registrar (Assessment & Progression)
- Head of Student Services or nominee.

4 Programme Assessment Board: conduct of meetings

4.1 The Programme Assessment Boards shall meet as often as necessary to consider student results in a timely manner but at least twice a year in June/July and September.

4.2 The quorum for an ordinary meeting shall be one third of the membership including at least one External Examiner.

4.3 The quorum for an interim meeting shall be one third of the membership.

4.4 Decisions of a Programme Assessment Board shall be arrived at by a majority vote of the members present. The Chair shall have an additional casting vote.

4.5 The Chair shall ensure that a proper record is kept of the proceedings and the decisions of the Programme Assessment Board, and that the confidentiality of such proceedings and decisions and the record of them is preserved.

5 Appointment of External Examiners & Specialist External Assessors

5.1 External Examiners will be appointed by the relevant validating institution in accordance with the criteria and procedures of the validating institution following consultation at the relevant Programme Board and the Teaching & Learning Board.

5.2 The duties of an External Examiner will be prescribed by the validating body but will include:

- familiarisation with School assessment procedures and criteria;
- taking an overview of assessment incorporating, as appropriate, moderation, attendance at assessment events, review of recordings of assessment events, review of marked coursework, and monitoring of assessment procedures;
- attendance at the Programme Assessment Board and the assessment body of the relevant validating institution where required;
- submission of an annual report to the validating institution.

5.3 Specialist external assessors for Music will be appointed by the Music Programme Board under delegated powers from the Teaching & Learning Board. Appointments will be considered on an annual basis at the summer-term Programme Board.

- 5.4 The appointment of a specialist external assessor will be determined by the individual's professional standing in the relevant Principal Study area¹¹. The Music Programme Board may exclude or terminate an appointment where:
- (i) an assessor has been a teacher of the student being examined in the last two years;
 - (ii) an assessor has served for more than four years in a row (reappointment may not occur until a period of two years has elapsed);
 - (iii) an assessor is an External Examiner for the School or has previously served as an External Examiner for the School within the last two years.
- 5.5 The duties of a Specialist External Assessor are:
- familiarisation with School assessment procedures and criteria;
 - attendance at specified assessment events;
 - contributing to panel discussions and arriving at an agreed final mark;
 - submission of written feedback for the student being assessed.

6 Setting of assessment

- 6.1 The methods of assessment will be listed for each module in the module specification. Students will be entitled to be examined in accordance with the module specification extant at the time of annual enrolment.
- 6.2 External Examiners will be required to comment on the validity of the assessment methodology in their annual report.
- 6.3 A Programme Assessment Board may recommend exceptionally to the validating body that provision is made for a student to undertake an alternative form of assessment where it is impracticable for a candidate to be assessed or reassessed in the prescribed elements and/or methods of the examination. However, a student given alternative arrangements shall be assessed on equal terms with other students.

7 Attendance at examinations & submission of coursework

- 7.1 Students are required to attend all scheduled assessment events. Non-attendance without prior approval or good cause (see 7.4) will result in a mark of zero being awarded.
- 7.2 Students are required to submit coursework by the dates published in the relevant programme handbooks. Late submission will be subject to an escalating penalty (as detailed in the relevant programme handbook) and non-submission more than five working days after a deadline without good cause will result in a mark of zero being awarded.¹²
- 7.3 A student may not submit the same piece of work, or present the same piece for performance, for more than one module or module component. Neither may a student count a formal assessment event towards more than one module or module component.
- 7.4 The rescheduling (deferral) of an examination or deadline may be granted for extenuating circumstances of a medical, personal, or professional nature.
- (i) In the case of a medical reason, a doctor's note must be submitted at the first opportunity along with the relevant proforma. Students may submit a self-certification form (which is available from Student Services), but must be aware of the limited validity of this if it is not followed by a proper medical note.

¹¹ Eg institutional affiliations, recent high-profile engagements.

¹² Acceptance of coursework after this date will be at the discretion of examiners and in no instance will the work be eligible for more than the pass mark.

- (ii) In the case of professional reasons, students must seek permission in advance using the relevant proforma (as detailed in the relevant programme handbook). In general, all extensions and rescheduling for professional reasons will normally be required at least a week in advance of the original date.

Any deferral granted prior to the Extenuating Circumstances Panel will be subject to confirmation by the Panel (see 7.5 below).

- 7.5 An Extenuating Circumstances Panel will be established for each Programme Assessment Board to:
- (i) evaluate extenuating circumstances submissions made prior to a scheduled assessment event or deadline for confirmation or alteration of decisions to defer;
 - (ii) consider extenuating circumstances submissions made after the scheduled assessment event or deadline with a view to recommending to the Programme Assessment Board retrospective approval of deferral;
 - (iii) consider extenuating circumstances submissions made after the scheduled assessment event or deadline with a view to recommending to the Programme Assessment Board that consideration be exercised in the determining of a student's mark or award classification.
- 7.6 Extenuating circumstances submitted after a School Assessment Board can only be considered under the academic appeal procedures (see 12 below).

8 Marking

- 8.1 Assessment criteria for a programme of study will be drawn up at validation and reviewed as part of programme review.
- 8.2 All examiners and assessors will be given a copy of the relevant assessment criteria and the relevant classification bands.
- 8.3 All marking decisions will, where practicable, involve at least two examiners/assessors in addition to the assessment overview of an External Examiner. For recitals and other practical examinations at least two examiners/assessors shall act together either in person as a panel or through the recording of the event. For written submissions, as a minimum, there will be one marker followed by internal moderation.
- 8.4 Feedback on assessment will be provided to the student within six weeks of the assessment event or the coursework deadline.

9 Reassessment

- 9.1 A student will be permitted a maximum of two attempts at an assessment.
- 9.2 Where a student has failed at a first attempt the Programme Assessment Board will determine the method and timing of the reassessment in line with the policy of the validating body. The Programme Assessment Board will recommend to the School Assessment Board whether reassessment will require the student's attendance at additional classes.
- 9.3 A resit fee will apply and in addition, where attendance at classes is required, the student will be liable for the costs of any additional teaching.
- 9.4 All reassessment will be capped at the pass mark.

- 9.5 Failure at reassessment, where a failed module or a failed component can not be compensated, may lead to a recommendation of Fail/Withdraw to the relevant assessment board and termination of the student's student status.

10 Consideration of results

- 10.1 The module requirements for award, compensation provisions, the method for calculating the degree classification (or other award divisions), and the availability of an exit award (and award requirements) shall be detailed in the programme specification. However, the following minimum pass marks and classification boundaries shall apply:

(i) Undergraduate awards (levels 4, 5 & 6)

Pass for a module and a pass (third class) overall shall be 40%

Lower second class shall be 50%

Upper second class (or merit) shall be 60%

First class (or distinction) shall be 70%.

(ii) Masters level awards (level 7)

Pass for a module and a pass overall shall be 50%

Merit shall be 60%

Distinction shall be 70%.

10.2 Consideration of borderline classification (Music only)¹³

The following procedure will be used to consider borderline degree classifications:

- (i) Students with an overall pass mark 0.5% or less short of the next classification category will normally be considered eligible for upgrading. Other students will not normally be considered for upgrading.
- (ii) The numeric order is maintained. A student will not be upgraded when a student with a higher mark is not upgraded. Consideration of upgrading begins with the student whose mark is closest to the next classification category.
- (iii) The following points are considered:
 - Performance profile, with the final year Principal Study module mark as the main contributor;
 - Academic profile, the Year 3 Tutorial Group module mark is the main contributor, followed by most recent academic-based electives;
 - Professional Profile, with most recent Professional Practice and Independent Performance Project marks as main contributors.
- (iv) A student with a mark 0.5% or less below the pass mark may also be considered for upgrading on the same criteria with particular note taken of failed module assessment component grades. Each student in this category is considered separately: there is no maintenance of numeric order.
- (v) In any case of upgrading, marks are not altered.
- (vi) Composite module marks may be considered for upgrading: individual Module marks and Component marks may not.

10.3 Chair's action

The School Assessment Board may authorise the Chair of the School Assessment Board to take action on its behalf outside of a meeting in respect of matters urgent or non-contentious. Such matters include, but are not limited to, the approval of student progression or the award of a degree where results have missed being considered by the full Board due to deferral for extenuating circumstances. Chair's action will be reported to the next meeting.

¹³ Agreed by the Teaching & Learning Board summer 2008 that this would be trialled in Music.

11 Academic misconduct (including plagiarism)

- 11.1 Students are required to abide by the relevant general and specific regulations governing assessment. Failure to observe any of the regulations may result in a fixed penalty mark (eg where a recital is too long or short) or consideration under the validating body's academic misconduct procedure.
- 11.2 Any coursework presented for assessment may be submitted to a plagiarism/collusion detection service and the findings considered as part of an investigation under the academic misconduct procedure.
- 11.3 Where a validating body's procedure permits a local investigation in the first instance, the student will be called to interview with at least two examiners. A note of that meeting will be kept and the outcome reported to the Programme and School Assessment Boards.

12 Academic Appeals

A student may request a review of an Assessment Board's decision in accordance with the criteria and procedures of the validating body but in no instance will a challenge to the academic judgement of the examiners, embodied in the decision of a Board, be considered.

13 Publication of results & transcripts

- 13.1 Students will be notified of the decision of a School Assessment Board within 5 working days of its decision or ratification by the validating body (where applicable). The recommendations of a Programme Assessment Board may be communicated to a student prior to the School Assessment Board provided that they are clearly marked as 'recommendations'.
- 13.2 Marks will be released only to the relevant student except where disclosure to a third party is a contractual requirement of the student's sponsorship (eg Student Finance England and Research Councils).
- 13.3 Award classifications will not be made public but prizes and the achievement of a distinction for a final recital will be indicated in graduation documentation.
- 13.4 The School complies with the Data Protection Acts 1984 and 1998 which establish legal rights for individuals with regard to the processing of personal data, including examination marks and results. However, the School reserves the right to withhold a transcript, certificate and/or invitation to a graduation ceremony where a student is indebted to the School.

Section 4: Research degree regulations

1 Research degrees: scope

1.1 These regulations set out the minimum requirements of the School for the following programmes:

- Doctor of Music (DMus) in Composition, *and*
- Master of Philosophy (MPhil) in Composition

Individual programme handbooks may specify more stringent requirements.

1.2 A doctoral level research degree programme of study must extend over at least two years of full-time study, or the part-time equivalent, and incorporate a substantial research component. A doctoral programme may have a linked Masters by research award. Eligibility for consideration for a linked research award at Masters level will require attendance at the School for at least one year of full-time study, or the part-time equivalent.

2 Registration & submission deadlines

Minimum period of registration

2.1 The minimum period of registration for a doctorate degree shall be two calendar years of full-time study, or the part time equivalent, excluding any period of interruption.

Registration status

2.2 A Programme Director may grant a period of interruption to a student's programme of study on grounds of illness or other adequate cause, provided that the period of interruption does not exceed two years and that the total duration of the student's programme of study, excluding any such interruption, does not exceed the maximum period specified below. A student who is not registered will not be permitted to make a submission for examination.

2.3 Unless exceptionally exempted from this requirement (see paragraph 2.8 below), a student following a doctoral programme will be registered initially on the linked Masters/Doctor pathway (eg MPhil/DMus) but may upgrade to the doctorate pathway after satisfying the programme team at an upgrade interview (see section 4 below).

2.4 Subject to any programme specific limitations, there will be three bands of registration, as follows:

- full-time registration;
- part-time registration;
- 'writing-up' (with access to library and computer facilities but not formal supervision).

The amount of any fee will be set annually according to procedures established by the School.

2.5 A student registered on a doctoral programme may apply to transfer status from registration as a full-time or part-time student to that of 'writing-up' status according to the procedure outline in section 5 below. The transfer of registration status will be

permitted only when the student's doctoral submission is nearing completion. A student will only be permitted to be registered as 'writing-up' for a maximum period of one calendar year.

Doctoral submission

- 2.6 Excluding any period of interruption, a full-time student will be required to submit for examination within four years of first registration and a part-time student within eight years of first registration.

Submission for linked Masters by research¹⁴

- 2.7 Excluding any period of interruption, a full-time student will be required to submit for examination within 2 years of first registration, and a part-time student within 4 years of first registration.

Transfer & advanced standing

- 2.8 Where a School considers that an applicant for registration as a research student is exceptionally well qualified or has exceptional ability, such a candidate may, on the recommendation of the Head of Department concerned to the Academic Board, be permitted to register directly for the doctoral pathway. In such cases, the programme of study followed may not be less than two calendar years or the part-time equivalent.¹⁵
- 2.9 A School may register a student on a research programme with exemption from part of the programme of study, where the student has commenced a programme of study for an equivalent degree of another higher education institution in the United Kingdom or overseas. In such a case, the programme of study followed at the School may not be less than one calendar year or its part-time equivalent.¹⁵
- 2.10 Transfer of registration may not take place after a candidate has entered the examination for any one of the degrees mentioned above.

3 Attendance & programme of study

- 3.1 Every student registered for a research degree at the School is required to pursue a formal programme of study including induction and training programmes where prescribed.

Supervision of thesis

- 3.2 The principal supervision of the student's research leading to the research degree submission shall be undertaken by a member of the academic staff of the School recognised for this purpose.¹⁶ A second supervisor, or a supervisory panel, will also be allocated to the student.

Attendance

- 3.3 Full-time students are required to devote the great majority of their working time to the programme, equivalent to a minimum of 30 hours per week for 45 weeks each calendar year. Part-time students are expected to devote the equivalent of 15 hours per week for 45 weeks each calendar year to the research programme.
- 3.4 A student will be entitled to 7 weeks of holiday allowance per calendar year (inclusive of any periods of School closure and bank holidays). The student should inform the

¹⁴ Not currently available

¹⁵ Non standard entrants may require the additional approval of the validating body.

¹⁶ Recognition may be dependent upon meeting criteria specified by the validating body for the specific degree programme.

supervisor of any periods taken as holiday. Absence for illness should also be reported to the supervisor.

- 3.5 Except as provided for in Regulation 3.6 below, a student is required to centre her/his academic activities on the School and to attend personally for studies at such times as the School might require. Students are required to participate fully in the procedures that the School has in place to monitor their progress, and failure to do so may result in their registration being terminated.
- 3.6 For the purposes of undertaking research, a student may be permitted to spend part of her/his programme in 'off-campus study' not exceeding six months. The terms of the off-campus study will be agreed with the relevant Programme Director and will include:
- i) a schedule for maintaining contact with the supervisor(s);
 - ii) a plan for monitoring the off-campus study and the student's progress;
 - iii) a timetable for attending training and seminars to ensure an overall equivalency in the student experience whether on or off campus.
- 3.7 Except for justifiable absence, see 3.4 above, non-attendance at scheduled supervisory meetings, research seminars, or other training sessions may result in action being taken under the School's *Course participation regulations*.

4 Upgrade procedure

- 4.1 Upgrade to a doctorate pathway may only occur after 12 months of full-time study and no later than 18 months of full-time study (24 and 36 months respectively for part-time students).
- 4.2 Upgrade to the doctorate pathway will only take place following a formal review of the student's progress. The student will be required to present evidence of their research progress to date (the format of the submission will be specified in the relevant programme handbook) and be interviewed by an upgrade panel. Upgrade will require the support of the principal supervisor.
- 4.3 The upgrade panel, comprising a senior supervisor appointed by the Principal (in the Chair)¹⁷ and at least one subject specialist (excluding the student's principal supervisor),¹⁸ will assess the suitability of the student to progress to the doctoral pathway. The student will be notified of one of the following outcomes:
- (i) upgrade to the doctorate pathway;
 - (ii) the decision to upgrade deferred for a specified period pending further research activity by the student, a revised submission, and attendance at a second upgrade panel;
 - (iv) upgrade refused but the student granted permission to prepare for submission for a linked masters award (where applicable);
 - (iv) upgrade refused and the student's registration terminated.

In the event of (iii) or (iv), it is expected that the student will have received written notice at the 12 month annual review that their progress on the programme was likely to be insufficient for upgrade.

¹⁷ Usually the relevant Programme Director.

¹⁸ The supervisor may attend the interview and, where a requirement of validation, a member of staff from the validating institution may also be present.

- 4.4 In the event of (iv) and (v) above, the student will be permitted to appeal against the decision. The appeal process to be followed will be detailed in the relevant student handbook and will either be:
- (a) the appeal process of the validating body;¹⁹
 - or
 - (b) by written submission to the Principal within 14 working days.²⁰ The Principal will allow an appeal to be heard if the Principal is satisfied that either or both of the following criteria apply:
 - (i) there is evidence of procedural irregularities in the conduct of the upgrade;
 - (ii) there is evidence that the student's progress may have been adversely affected by illness or other factors which the student was unable, or for valid reasons unwilling, to divulge at an earlier stage to the Programme Director.
- The appeal will be heard by a panel consisting of two senior academic members of staff (Chair to be appointed by the Principal) and a postgraduate student.²¹ The decision of the appeal panel will be final.

5 Transfer to 'writing up' status

- 5.1 Transfer to 'writing up' status will only be available to students who have already been upgraded to the doctorate pathway and are nearing completion of their research and submission. A student who has completed four years of full-time registration (or its part-time equivalent) will not be eligible for transfer to 'writing up' status.
- 5.2 The decision to allow transfer to writing-up status or to grant a fourth year of supervised study (or its part-time equivalent) will be taken by the Programme Director in consultation with the principal supervisor. If the student has not already given formal notice of their intention to submit then a time-frame for submission (and, where relevant, any associated public performance) will be agreed with the student.

6 Submission & examination

- 6.1 The decision to submit for examination rests with the student alone.
- 6.2 A student will be required to give written notice to the School, by submitting an examination entry form,²² of his/her intention to submit for examination at least three months prior to submission.
- 6.3 Following notification of the intention to submit, the School will appoint the examiners in accordance with the rules of the validating body.
- 6.4 A thesis must be presented for examination in accordance with the procedures and in the format specified by the School and the validating body. The thesis must be accompanied by a signed declaration by the candidate that the work presented in the thesis is his/her own.²³
- 6.5 The format and timing of the examination, including any performance element and/or viva voce examination, will be in accordance with the rules of the validating body. Any appeal by the student in response to a decision of the examiners will be in accordance with the rules of the validating body.

¹⁹ For MPhil/DMus students see City University's *Research Studies Handbook*.

²⁰ The Principal may delegate consideration of the appeal to another senior officer of the School.

²¹ One of the members of staff may be drawn from the relevant validating institution.

²² The entry form may be specific to the validating institution.

²³ Again, the completion of specific forms may be required by the validating institution.

Availability of submission

- 6.6 It is a requirement for the award of the degree that one copy of a successful submission is placed in the library of the School in addition to any requirements of the validating body.
- 6.7 The submission will normally be placed in the public domain immediately after the award of the degree. Exceptions to this requirement will only be made in very exceptional circumstances such as grounds of commercial exploitation, and will be granted for a maximum period of two years from the date of the award. A candidate may apply to the Academic Board for restriction of access to her/his thesis prior to, or at the same time as, submission of the examination entry form, the candidate's written application must be supported by the supervisor.²⁴

7 Allegations of plagiarism or other research misconduct during the programme of study

- 7.1 A suspected case of research misconduct during the programme of study will be investigated in accordance with the School's *Governance Framework for Good Practice in Research* and may result in action being taken under either the validating institution's assessment regulations or the School's *Student Code of Conduct and Disciplinary Procedure*.
- 7.2 A student may not submit for examination whilst an investigation is being conducted under Regulation 7.1 above. Where research misconduct is suspected during the assessment of the submission or during the viva voce examination the assessment process will be halted and held in abeyance until such time as an investigation has been completed.

²⁴ The decision may require ratification by the validating body.

Section 5: The student experience

A: Student Code of Conduct & Disciplinary Procedure

Appendix a: Examples of breaches of the Code of Conduct

Appendix b: Policy on referral to the Police or the ISA

B: Course Participation Policy

C: The Principal's emergency powers of suspension

D: Student complaints procedure

Appendix a: List of relevant contacts

Section 5A: Student Code of Conduct & Disciplinary Procedure

1 Introduction

1.1 This code and procedure applies to:

- students admitted or enrolled by the School for a programme of study leading to an award;
- students admitted or enrolled by the School on the AGSM or Advanced Certificate programme;
- students admitted for extra mural study;
- the President of the Students' Union;
- (student) Fellows.

This code is not applicable to students registered with Junior Guildhall; a separate code applies.

1.2 The School's jurisdiction under this Code is not limited to its own premises. The Code includes misconduct occurring in any place to which a student is guaranteed access by virtue of his/her status as a student. This would, therefore, include external engagements, placements including clinical placements, community/school experiences, and outside performances and recitals.

1.3 Regulations and policies will be available to students via the School intranet and key documents will be summarised in the *Student Handbook*. Each student is personally responsible for making sure that he/she understands the School's regulations: ignorance is not a valid excuse for failing to observe regulations or policy.

2 General conduct

2.1 The School expects students to conduct themselves at all times in an orderly manner, respecting the rights, privacy and property of others.

2.2 No student shall engage in conduct which amounts to the improper interference, in the broadest sense with the proper functioning of the School, those who work or study within it, or its reputation. Such interference will be regarded as misconduct and investigated under the disciplinary procedure below; examples of the types of behaviour that will be construed as misconduct are given in Appendix a. (The list is not intended to be exhaustive.)

2.3 Specific regulations exist with respect to accommodation, use of computing, Library, and other School facilities and equipment. Students are required to observe these regulations. In some circumstances failure in such observance may also result in the matter being pursued under this Code at which point this Code takes precedence.

2.4 Contact details

It is the responsibility of students to keep the School informed of their current home and term-time addresses and mobile number at all times while they remain members of the School. Students on placements or attachments, or intermitting, are not exempt from this requirement.

2.5 **Communication**

The primary method of formal communication with all registered students shall be via the student's Guildhall School email address issued at enrolment. It is the student's responsibility to ensure that they activate their School email account and regularly check the account for messages. Failure to check a School email account regularly will not be accepted as a reason for failing to observe an instruction sent by email.

- 2.6 Each student is expected to show respect for the environment by helping to ensure that the School premises are not damaged or disfigured by litter, unnecessary noise or other pollutants.
- 2.7 Animals are not permitted on School premises, except for guide dogs for disabled students and authorised visitors, or if required in a performance.
- 2.8 Furniture, equipment and other property owned or leased by the School must not be removed from the building without proper authority. Anything moved in contravention of this regulation may be recovered without notice by authorised staff. Those responsible may be liable for recovery costs.
- 2.9 No student shall wilfully damage or deface, or wrongfully treat as his or her own, any property owned or leased by the School. A student will be required to make good in whole or in part, to the satisfaction of the School, any damage of this kind that he or she causes, in addition to any other penalty imposed.
- 2.10 No student shall wilfully damage, or wrongfully treat as his or her own, the property of any other person on School premises. The School accepts no responsibility for private property lost or damaged on School premises.
- 2.11 If asked to do so by a member of staff or an authorised representative of the School, a student must give his or her name and address and produce a Guildhall School Identity Card. The Identity Card must be produced on demand and may be withdrawn.
- 2.12 Members of School staff have authority to check breaches of the rules of discipline. If a member of staff feels it necessary, he or she may require a student, whose conduct is believed to be in breach of this Code, to withdraw from any room or facility affected by the conduct in question.
- 2.13 **Smoking**
Smoking creates a health and safety hazard. All buildings of the Guildhall School are designated as NO SMOKING AREAS. Smoking is only permitted on the Lakeside between the hours of 8am and 6pm.

Smoking in the School's buildings is a serious offence. Should a student persist in smoking after repeated warnings, disciplinary procedures will be invoked.

3 **Misconduct**

- 3.1 Improper interference, in the broadest sense, with the proper functioning or activities of the School, or with those who work or study in the School; or action which otherwise damages the School, or action that deviates from accepted institutional, professional, academic or ethical standards, will be regarded as misconduct and an infringement of these regulations (see Appendix a).
- 3.2 In all disciplinary proceedings a student will be presumed to be innocent of the allegation or charge until the contrary is proved on the balance of probabilities.

- 3.3 Consistent lack of punctuality for programme activities is a matter for invoking disciplinary procedures.

4 Misconduct which may constitute a criminal offence & related matters

- 4.1 Where alleged misconduct could also constitute an offence under the criminal law special provisions will apply and the School's own disciplinary investigations or proceedings may be delayed until such time as the police and/or courts have completed their investigations and proceedings (see *Principal's Emergency Powers* and Appendix b).
- 4.2 Where a student has also been convicted and sentenced by a criminal court in respect of the same facts, the findings of the court and the penalty set will be taken into consideration at any hearing conducted by the School.
- 4.3 Students following a programme of study where it is a requirement to undergo a Criminal Records Bureau check as a condition of enrolment are required to notify the Head of Registry Services, in writing, of any criminal convictions subsequently imposed.
- 4.4 The School has a requirement to refer information to the Independent Safeguarding Authority (ISA) as soon as:
- an individual who is working closely with vulnerable groups has harmed, or may harm, a child or vulnerable adult;
 - an individual who might in the future work closely with vulnerable groups has harmed, or may harm, a child or vulnerable adult; or
 - the School thinks the ISA may consider it appropriate to bar the individual.

5 Disciplinary procedure overview

- 5.1 The Principal has ultimate responsibility for all matters of student discipline. The Principal may delegate his/her powers under this Code to the Director of Corporate & Student Services either generally or in a particular case.²⁵ In the case of 'informal action' this delegation may also include Head of Department or Head of Programme. Reference in this Code to the Principal should also be read as a reference to his/her designated deputy.
- 5.2 Any complaint about the conduct of a student, whether made by a member of staff or by a member of the public, or by one student about another, shall be considered in the light of the rules laid down in this Code. However, allegations from parents, relatives or friends, on behalf of a student who chooses not to make an allegation him/herself, cannot be pursued under this Code (except where the student concerned is a minor).
- 5.3 Where a complaint has been made, the Principal may rule that it should not be subject to further action under this Code.
- 5.4 If the Principal considers that action *is* required, he/she shall exercise his/her discretion to determine whether the formal or informal procedure is to be used. The Principal's decision on how to proceed shall be final. If a decision is taken to proceed formally, the student will be given a copy of this Code and procedure.

²⁵ For practical purposes the Director of Corporate & Student Services may further delegate some of his/her responsibilities to the Head of Registry Services.

- 5.5 If more than one student has been accused of the same or substantially similar conduct, then the authorised officer shall decide whether the cases of all or any of the students shall be investigated and/or heard together.
- 5.6 The School abides by the principles of natural justice and in the context of this Code, the following applies. Students will:
- be presumed to be innocent of an allegation or charge until the contrary is proved on the balance of probabilities;
 - be made fully aware of the nature of allegations made against them;
 - be given an opportunity to reply to any allegations and to be represented;
 - be given a fair and unbiased hearing before the Student Disciplinary Committee, at which all relevant circumstances can be taken into account;
 - have the right to appeal against any decision of the Student Disciplinary Committee which involves suspension, exclusion or expulsion.
- 5.7 The operation of informal procedures is underpinned by the following principle:
- that where allegations of misconduct are of a minor nature it is desirable to address these, where appropriate, as close as possible to the source of the alleged offence.
- 5.8 Informal procedures are to be used for minor acts of misconduct and the following actions can be taken:
- a) Dismissal of the case.
 - b) Verbal warning with a requirement to desist from any further such action.
 - c) Written warning reprimanding the student; a copy of the warning to lie on file for the duration of the student's period of study with a requirement to desist from any further such misconduct.
 - d) A fine and/or restitution of any damage caused by way of payment with a requirement to desist from any further such misconduct.
 - e) Referring the case back for formal process.
- 5.9 With the informal procedure the Principal may choose to delegate functions or day to day responsibilities under his/her authority in these matters through the Director of Corporate & Student Services to the Head of Registry Services or the relevant Head of Department or Head of Programme. Complaints may be dealt with in consultation with any relevant personnel. The matter may be referred back to the Director Corporate & Student Services at any stage. Notes of any action taken and copies of any letters written will be lodged with the Head of Registry Services.

6 Formal procedures

- 6.1 Formal procedures are to be used for:
- a) Repetition of minor acts of misconduct.
 - b) Where informal action has failed or is considered inappropriate.
 - c) For serious allegations.
- 6.2 Such misconduct may be subject to any of the following actions through a Disciplinary Hearing:
- a) Dismissal of the case.
 - b) Verbal warning with a requirement to desist from any further such action.
 - c) Written warning/reprimanding the student; a copy of the warning to lie on file for the duration of the student's period of study with a requirement to desist from any further such misconduct.

- d) Final written warning.
- e) A fine and/or restitution of any damage caused by way of payment with a requirement to desist from any further such misconduct.
- f) Suspension where this is defined as a temporary prohibition on attendance.
- g) Exclusion where there is a partial or selective prohibition on access to school facilities.
- h) Expulsion.

7 Action & investigation

- 7.1 The Principal shall rely on the Director of Corporate & Student Services to instigate action either directly or through an authorised officer.
- 7.2 In the circumstances of an allegation the Director of Corporate & Student Services will require a written statement of the allegation from the complainant(s) with any evidence or corroboration available. This should also include a statement of desired outcomes where possible and where appropriate.
- 7.3 The Director of Corporate & Student Services shall provide written information to those who are the subject of the allegation – of its nature and the anticipated timescale for investigation.
- 7.4 The Director of Corporate & Student Services will instigate an investigation of the allegation, securing further evidence where this is possible.
- 7.5 He/she shall be entitled to call for such evidence in writing from any relevant party or examine any witnesses to the alleged events. This process should normally be undertaken within two weeks.
- 7.6 If there is no corroborative evidence to the initial complaint then the Director will advise all concerned, in writing, of the insecurity of the allegation and the complaint will terminate. All records of the case will be destroyed.
- 7.7 Where corroboration is available, the student against whom the allegation is being made will be required to attend a meeting of the Student Disciplinary Committee.

8 Student disciplinary committee

- 8.1 The student against whom an allegation is made for which there is corroboration available will be advised in writing of the case against them and provided with details of all evidence acquired (a report from the Director of Corporate & Student Services). This will be provided at least one week before the Student Disciplinary Committee meets.
- 8.2 He/she will be informed of their rights to be heard at a meeting of the Committee and to be accompanied by a friend/adviser/representative. This person can, with the leave of the Committee, speak on behalf of the student. The name of such an adviser will be notified in advance to the Director of Corporate & Student Services.
- 8.3 The student will be advised of the procedures of the Committee including the calling of witnesses in support of either the allegation or the student and the consideration of any written statements/documentation from the student. Where the student provides a written statement/documentation this will be submitted to the Director of Corporate & Student Services at least three days before the meeting to enable proper consideration.

8.4 The Director of Corporate & Student Services will be responsible for convening the meeting of the Student Disciplinary Committee. The Committee shall normally consist of the following:

- The Principal or deputy (in the Chair)
- Another member of the School Senior Management Team but not the Director of Corporate & Student Services
- A student who shall normally be the Students' Union (SU) President or a member of the Students' Union Executive*
- A Head of Department or Head of Programme (who is independent of the case and has not contributed to the student's programme of studies).

The quorum for the Disciplinary Committee will be three and shall include the student member.

A secretary to the Panel will also be appointed

** The inclusion of a student does not prevent the student against whom the allegation has been made being represented by an SU Officer or other member of the student body.*

8.5 The Committee will require attendance of the student against whom the allegation has been made (together with any friend/adviser or representatives) and the Director of Corporate & Student Services, with any witnesses as necessary. However, none of the proceedings outlined in this code and procedure will be invalidated or postponed by reason of the absence of the student provided that the student has been given written notice of the interview or hearing within the timescales laid down.

8.6 A formal record will be kept of all Disciplinary Committee business.

8.7 At the meeting, the Committee will interview the student, receive a report of the event(s) from the Director of Corporate & Student Services and any evidence available and hear the response of, and receive, any written submission from the student.

8.8 At the conclusion of the meeting the Committee will reach a decision based on what has been disclosed and if it decides that a penalty is appropriate, will impose a penalty as set out in paragraph 6.2 above. The Committee will make their decision known to the student in writing within three working days.

8.9 The records of the case of a student against whom charges have been proven are normally entered on the student's record.

8.10 If the case is dismissed all records of the case will be absolutely and unconditionally destroyed after a period of 6 months.

8.11 All proceedings shall be recorded but remain confidential, but the findings and order where relevant of the Committee shall be publicised.

8.12 The Committee shall conduct its business in accordance with a procedure which shall accord with principles of natural justice, but it is not required to observe formal rules of evidence. It shall be recorded whether or not any decision reached has been unanimous and it shall be announced if a decision is not unanimous.

8.13 The student shall have the right of appeal to the Student Disciplinary Appeal Panel against any decision which involves suspension or exclusion or expulsion. This right of appeal does not apply to any suspension/exclusion/expulsion carried out in advance of the meeting of the Student Disciplinary Committee.

8.14 There is no right of appeal on any other decision of the Student Disciplinary Committee.

9 Student Disciplinary Appeal Committee

9.1 If a student wishes to appeal against any decision of the Student Disciplinary Committee to suspend/exclude or expel s(he) must lodge that appeal, in writing, with the Head of Registry Services within 10 working days of the issuing of the Committee's decision. The grounds for the appeal must be clearly stated as part of the request and appropriate documentation supplied.

9.2 The Head of Registry Services will refer the matter to the Chair of the Board of Governors (or his/her Deputy) who will allow an appeal to be heard if he is satisfied that either or both of the following criteria apply:

- i) that there is new evidence that could not have been, or for good reason was not, made available at the time of the hearing;
- ii) that evidence can be produced of significant procedural error on the part of the School before or during the hearing.

9.3 A Student Disciplinary Appeal Committee shall normally be constituted to hear the appeal within 10 working days of the receipt of the appeal.

9.4 The Appeal Committee shall consist of:

- The Chair of the Board of Governors or his/her deputy (in the Chair)
- Two members of the Board of Governors as nominated by the Chair of the Board of Governors (excluding any Governor who may have participated in prior proceedings of the case)
- An independent member nominated by the Chair.

The quorum for the Appeal committee shall be three.

A secretary to the Appeal Committee shall be appointed by the Head of Registry Services.

9.5 The Appeal Committee shall make no further enquiry into matters of fact relating to the allegation and the evidence, *unless new evidence is forthcoming*. They shall have access to the full documentation on the case.

9.6 The appellant will be informed of his/her rights to be heard at a meeting of the Appeal Committee and to be accompanied by a friend/adviser/representative. This person can, with the leave of the Appeal Committee, speak on behalf of the student. The name of such friend/adviser/representative will be notified in advance to the Head of Registry Services.

9.7 The Appeal Committee shall hear the appeal as follows:

- a) The Chair of the Disciplinary Committee, the appellant and any witnesses as the Appeal Committee considers appropriate will present the report of the Student Disciplinary Committee which will include a summary of process, evidence, and conclusions and decisions together with all papers associated with the case;
- b) The appellant (and/or friend) will have the opportunity to address the Appeal Committee in support of the grounds for appeal;
- c) Members of the Appeal Committee will be able to question the Chair of the Disciplinary Committee and the appellant;
- d) The Chair of the Disciplinary Committee will then sum up;
- e) The appellant will then sum up;
- f) The Chair of the Disciplinary Committee and the appellant will then leave the room.

9.8 The Appeal Committee may consider and determine the appeal in the absence of the appellant if the Appeal Committee is satisfied that the date, time and location of the hearing have been notified in writing to the appellant and that the appellant has not notified the Head of Registry Services that he/she will not be able to attend. The Appeal Committee may exercise its discretion to adjourn the hearing at any time.

9.9 The Appeal Committee will deliberate on the appeal and come to a decision. The Appeal Committee may reject the appeal or uphold the appeal. Where the Appeal Committee upholds the appeal, the Committee may order one or more of the following measures:

- i) modify or reverse the finding of the Disciplinary Committee;
- ii) modify or reverse the order of the Disciplinary Committee.

The decision of the Appeal Committee shall be final.

9.10 The decision of the Appeal Committee shall be communicated to the appellant, in writing, within three working days of having been made.

9.11 The Appeal Committee shall have absolute discretion to regulate its own procedures, subject to keeping within the spirit of this procedure, with power to vary or adapt its procedures.

9.12 Any decision whether by the School Disciplinary Committee or the Student Disciplinary Appeal Committee which results in suspension or expulsion shall be reported to the next meeting of the Board of Governors.

10 Office of the Independent Adjudicator (OIA)

10.1 If a student is dissatisfied with the outcome of the appeal stage they may take their complaint to the *Office of the Independent Adjudicator (OIA)*. The Head of Registry Services will provide the complainant with a "Completion of Procedures Letter" and all the necessary information the complainant needs to enable them to pursue their complaint with the OIA.

Appendix a: Examples of breaches of the Code of Conduct

The following exemplifies the behaviour and conduct which would constitute a breach of the Student Code of Conduct, although not exclusively:

- a) Disruption of the academic, administrative, recreational, social, or other activities of the School.
- b) Obstruction of the functions, duties or activities of any student, member of staff or other employee of the School or any authorised visitor to the School.
- c) Behaviour which restricts the legitimate freedom of speech, ideas, actions, or inquiry of any other student or member of staff.
- d) Behaviour which is in breach of School regulations on health and safety, smoking, or eating and drinking on School premises.
- e) Behaviour which brings the School into disrepute – including antisocial behaviour in and around the student residence.
- f) Violent, indecent, disorderly, threatening or offensive behaviour or language whilst on School premises or engaged in any School activity.
- g) Malicious damage to School property which includes *inter alia*, the hall of residence, School managed property, Students' Union property or the property of any student, member of staff or visitor.
- h) Unauthorised access to School information systems or IT networks, or permitting or causing unauthorised access by others.
- i) Conduct, including the possession or use of drugs or other illegal substance, which constitutes a criminal offence, where that conduct:
 - took place on School or School managed property, or
 - affected or concerned other members of the School community, individuals or groups in related School organisations or partner institutions and organisations, or
 - damages the good name of the School, or
 - is an offence of dishonesty, where the student holds an office of responsibility in the School, or
 - poses a danger to other members, or to the good order, of the School community.
- j) Any breach of the School's Equal Opportunities Policy including sexist, racist or homophobic activity or behaviour.
- k) Any form of harassment*, including the racial, sexual or religious harassment of any student, member of staff or other employee of the School or any visitor to the School.

*** Harassment**

Harassment is unwarranted, unwelcome and uninvited behaviour, which is intimidating, offensive or distressing to the recipient/s. Sexual, racial and/or disability harassment occurs when the harassment is motivated by or related to the sex, race, or disability of the recipient. Examples of harassing behaviour are:

- *Offensive gestures, language, gossip or jokes.*
- *Insulting or abusive behaviour or comments.*
- *Physical contact, ranging from an invasion of personal space and/or inappropriate touching, to serious assault.*

- *Display of sexually aggressive, pornographic, racist or otherwise offensive pictures or other material, or the transmitting of any such messages or images via electronic mail.*
 - *Intentional isolation or exclusion.*
 - *Humiliating or demeaning behaviour and/or persistent criticism.*
- l) Behaviour which would be likely to cause fear, distress or offence to others.
- m) Failure to comply with the written policies and directions, including financial regulations, IT, library, attendance, punctuality, tuition and submission of academic work as identified in the relevant programme handbook.
- n) Theft, fraud, deceit, deception or dishonesty in relation to the activities/documents of the School or the property of the School or its staff or other students of the School.
- o) Failure to follow a reasonable instruction from a School officer, including failure to disclose your name and other relevant details in circumstances when it is reasonable to require that such information be given.
- p) Behaviour which is counter to professional codes of practice in programmes which require professional validation.
- q) Failure to comply with a previously imposed penalty under this Code or other School regulation.

Appendix b: Policy on referral to the Police or the Independent Safeguarding Authority

General principles

It is important to note that anyone may report a matter to the police and it should not be prevented.

The School will encourage and support members of the School community to report criminal conduct to the police, such as conduct which is closely related to the academic or other work of the School; or occurred on School premises; or involved members of the School community; or jeopardises or damages the good name of the School; or raises potential dangers to other members of the School community.

The School will offer support and advice to anybody coming forward to report such matters to the police.

Policy

- 1 In certain circumstances it is a legal requirement to report incidents to the police, for example, under the Acts of Parliament relating to the prevention of terrorism and where a person has harmed or may harm children or vulnerable adults.
- 2 The School is also required to refer information to the Independent Safeguarding Authority (ISA) in respect of students or other individuals working closely with vulnerable groups (see Regulation 4.4 above).
- 3 Where a criminal offence is committed against the School, the matter shall normally be reported to the police, whether or not the culprit has been identified.
- 4 Where the victim of an alleged crime does not wish the matter to be reported to the police, but the matter has come to the School's attention:
 - (a) The Principal (or nominee) shall be informed and the final decision to inform the police on behalf of the School will rest with him/her. Where the victim of an alleged serious offence has decided not to refer the matter to the police, the disciplinary procedures will not normally be invoked, but the School reserves the right to do so.
 - (b) At the discretion of the Principal, the School may report a matter to the police against the wishes of the victim; this will only occur in exceptional circumstances and after careful consideration.
 - (c) Exceptional circumstances may arise when failure to report a matter to the police may be against the public interest or the interest of the School community. For example, when significant violence has been used in an alleged crime which may subsequently put other School members or the public at risk.
- 5 The School shall seek and maintain informal liaison with the police. Advice may be sought on whether a matter is considered by the police to be serious or not serious and whether there are compelling grounds for reporting a matter formally where the victim is opposed to such action.

- 6 In a serious matter under police investigation or awaiting trial, the School may consider taking immediate action itself under the Student Disciplinary Code, for example, or suspending or excluding a student until the outcome of police or court action is known (see Section 5D).

Section 5B: Course participation policy: attendance monitoring & case consultation & progress review procedures

1 Background

This document provides guidance for tutors and students on the matter of course participation and progress review for all taught programmes. Reference should also be made to the policies and procedures on the certification of illness (self-certification and formal certification) and departmental procedures for leave of absence for professional engagements.

2 School obligations

The School has a responsibility to HEFCE, the City of London Corporation, its validating bodies, professional accreditation bodies, and the student body to maintain the standards of the programmes of study offered at the School and the quality of the student experience. To this end it is necessary (i) to ensure that students attend the programmes of study for which they are registered and (ii) that students are encouraged to take full advantage of the educational opportunities on offer, so that students can meet the learning outcomes of the programme and achieve success at assessment. The contractual obligations connected with payment of fees, bursaries and loans are increasingly supplemented by quality control initiatives which require the School to monitor a range of activities including student achievement.

3 Mutual obligations & responsibilities

In higher education communities there is an interdependence of staff and student rights and responsibilities; these are set out in detail below.

4 The student's responsibilities concerning participation.

- 4.1 It is a student's responsibility to ensure that the arrangements of their personal circumstances enable them to participate in all aspects of their programme as required. Their place of term-time residence should be notified to the Registry and any changes notified subsequently.
- 4.2 Attendance in term-time is required in the following instances:
 - Recitals, examinations and assessments scheduled for a particular date and time;
 - Placements and other commitments of a professional nature, e.g. outside engagements/orchestral commitments, which are part of term-time activity;
 - Activities which involve the individual alone or as part of a group and any preparatory work which must be of a co-operative nature;
 - Teaching sessions which contribute to a professional qualification and which cover material required in course approval by professional bodies (e.g. Music Therapy).

- 4.3 In the case of other classes not covered above, students are expected to attend all sessions under normal circumstances and permitted exceptions to this rule will be specified in the programme handbook. Absences without good cause may be grounds for judging that a student has not made a serious attempt to follow a programme.
- 4.4 Where a student thinks they may miss a class due to a timetable clash (eg due to scheduling of a formal School rehearsal) the student must inform the departmental administrator as soon as possible.
- 4.5 A student will be required to comply with any and all procedures established by the School and/or department to monitor their attendance. Mechanisms may include, but will not be limited to, electronic swipe-in, signature against a register in the Drama or Music Office, and class registers. Deliberate failure to comply, or any other breach against the spirit of this rule (eg signing in for another student) will be subject to disciplinary action under the *Student Code of Conduct*.
- 4.6 Absences should be communicated to the relevant Head of Administration and then must be supported by medical certificate or equivalent documentation, which should be provided as early as possible and without prompting. Documentation will be forwarded to the Head of Programme and the Assistant Registrar (Assessment & Progression). However, students should note that where only self-certification is provided it is unlikely that examination boards will give much credence to it when marks are discussed and determined.
- 4.7 Failure to participate and unjustifiable absences will be recorded and monitored. Any student missing five expected consecutive contacts (eg fails to swipe-in for five consecutive term-time days without good cause notified to the School) will be called to an interview with the relevant Head of Administration and action may be taken under regulation 6 of this policy if a satisfactory explanation for the non-attendance is not supplied. Where an international student requiring a visa to study in the UK misses ten expected consecutive contacts the School has a legal duty to report the student's non-attendance to the UK Border Agency. This rule is in addition to any individual class requirements (see 5.4 below).

5 School responsibilities

- 5.1 The School will ensure that this policy is applied fairly and equitably.

The above participation requirements and any requirements specific to a module/programme will be made available at the start of each year to each student. Exceptions to the general requirements will also be specified in the published handbook for the programme.

- 5.2 At the first session of each module the tutor will communicate participation requirements and check that all students have read and understood the participation criteria as they relate to that module/course, together with details of the module timetable and assessment procedures.
- 5.3 Unsatisfactory participation in modules and/or performance activities will be dealt with by means of a Case Consultation and/or Progress Review meeting.
- 5.4 Tutors will take reasonable measures to determine whether students are attending their class and will keep records as appropriate. They should inform the relevant Head of Administration after two consecutive absences.

- 5.5 The School will make every effort to keep the number of timetable clashes to a minimum and, where notified of a clash that affects meeting the minimum requirements for a programme of study the School will make alternative study arrangements for affected students.²⁶
- 5.6 Participation reports will be a standing item on the Reserved Items agenda of a Programme Board.

6 Poor performance and/or poor attendance procedures

6.1 Poor performance and/or poor attendance may be subject to three stages of action:

- 1a) *for non-attendance under 4.7 above*, an interview with the relevant Head of Administration
- 1b) *for other poor performance/participation*, a letter to the student from the Head/Deputy Head of Department(s)
- 2) a Case Consultation
- 3) a meeting of a Progress Review Committee.

6.2 Interview with the Head of Administration

6.2.1 A student who misses five expected consecutive contacts will be summoned at the earliest opportunity to a meeting with the relevant Head of Administration (or other nominated senior member of staff).

6.2.2 The student will be asked to provide evidence of good cause for their non-attendance, with supporting documentation where relevant (eg medical certificate), as well as an explanation why the reason for their absence could not be communicated to the School at an earlier date.

6.2.3 Where good cause is demonstrated no further action under this policy will be taken provided the student's attendance improves immediately or their continued absence is covered by a medical certificate or similar. However, if a student is called more than once for an interview under 4.7 above, even though good cause is demonstrated, the Head of Administration has the discretion to issue a disciplinary warning.

6.2.4 Where good cause is not demonstrated the Head of Administration will issue a disciplinary warning.

6.2.5 Where a student misses ten expected consecutive contacts and has not responded to a summons under 6.2.1 a case consultation meeting (see 6.4) will be convened. The Registry will be informed and the UK Border Agency will also be notified where the student requires a visa to study in the UK.

6.3 Letter from Head of Department

6.3.1 The Head/Deputy Head of Department will give written notification to a student whose performance and/ participation is not satisfactory as a means of drawing the student's

²⁶ There is no right to an exact replacement of a missed class; alternative arrangements are designed to support the student in meeting the overall learning outcomes of the programme and may include, but will not be limited to, a short one to one tutorial, additional directed reading, or a recommendation to attend another scheduled class.

attention to potential problems at an early stage. A response to the letter is required within one week. A copy of this letter should be sent to the Registry for the student file.

6.3.2 If no satisfactory response is received the Head of Programme(s) will be notified and who will, within a week, convene a Case Consultation meeting.

6.4 Case consultation meeting

6.4.1 A case consultation will include, as a minimum, the Head of Programme(s), the Head/Deputy of Department and the student. The student will be invited and may be accompanied by a friend. The student will be contacted by email using the student's School email address, a copy of the communication will be sent to both term-time and home addresses (with a copy to the Registry).

6.4.2 The case consultation meeting will not be invalidated by the student's absence provided notification of the meeting has been sent.

6.4.3 The case consultation meeting will determine:

- (i) whether the student's poor participation/attendance is wilful and necessitates a formal warning; and/or
- (ii) whether the student is in need of Student Services or additional academic support, in which case an action plan will be agreed upon.

A note of the meeting shall be taken and the student will be issued with a formal summary. A copy of the note and the summary will be forwarded to the Registry for inclusion in the student's file.

6.5 Progress review or disciplinary action

6.5.1 In the case of a second warning under 6.2.3 or 6.2.4, or a second notification under 6.3.1, and/or breach of the agreed action under 6.4.3, the Head of Programme(s) in consultation with the Assistant Registrar (Progression & Assessment) will determine whether this is an academic or a disciplinary matter for referral under the progress review procedures or the Student *Disciplinary procedure* as appropriate.

6.5.2 The purpose of the Progress Review Committee will be to investigate exceptional shortcomings in a student's performance and instigate or recommend help, remedial measures and/or action relating to academic misconduct matters. It is not the function of the Progress Review Committee to monitor overall levels of performance; the School Assessment Board has this responsibility.

6.5.3 Similarly the Progress Review Committee does not have responsibility for non-academic disciplinary matters, these falls under the Student *Disciplinary procedure*. Failure to comply with a procedure to monitor attendance shall be considered as "a failure to follow a reasonable instruction", ie a disciplinary offence.

6.6 Progress Review Committee

6.6.1 A matter referred to the Progress Review Committee will be considered within fifteen days. The meeting will be convened by the Head of Programme(s) in consultation with the Assistant Registrar (Progression & Assessment).

6.6.2 The Head of Programme(s) will write to the student concerned informing him/her of the reasons for convening the meeting and informing him/her of the date, time and venue.

6.6.3 Notification will always be in writing and will give at least 5 working days notice.

6.6.4 A student shall always be permitted to bring one supporter who may accompany him/her and who may speak on behalf of the student. The name of the supporter and their relationship to the student must be given to the Head of Programme(s) in advance of the meeting.

6.6.5 The membership of the Committee shall be:

- Director for the area of study (if different from Head of Programme) in the Chair
- Head of Programme(s)
- Head of Department or Deputy or other relevant senior member of the teaching staff
- Students' Union President

The quorum shall be three. Where a member of the Committee cannot attend the meeting, a written report may be submitted.

6.6.6 The following staff members will be in attendance

- Assistant Registrar (Progression & Assessment)
- Head of Student Services or Deputy (where relevant)
- Secretary to the Progress Review Committee (provided by the Department)

6.6.7 The Committee shall receive and consider a summary of the student's performance, including a copy of any case consultation meeting notes, copies of any warnings, relevant module reports and regulations relating to academic progression.

6.6.8 The student and his/her supporter will then be invited to join the meeting to answer any questions of the Committee. The student will be invited to make a statement.

6.6.9 The Committee will endeavour to communicate its recommendations (see 6.7.1) to the student at the meeting.

6.6.10 The deliberations and recommendations of the Progress Review Committee will be recorded.

6.6.11 The student will be sent a copy of the minutes of the meeting, which will be posted to his/her home address and term-time address.

6.7 Recommendations of the Progress Review Committee

6.7.1 The Progress Review Committee may recommend:

- a) procedures whereby the student may be helped, or
 - c) close and regular monitoring of work, and/or
 - b) a final written warning,
- or in exceptional circumstances make a recommendation to the School Assessment Board, that:
- d) the student be required to repeat a year, or
 - e) termination of programme of study. (The UK Border Agency will be notified of any termination of programme where the student requires a visa to study in the UK.)

6.7.2 Failure to meet the conditions of a final written warning will result in an immediate recommendation to the School Assessment Board for termination of the student's programme of study.

6.8 Appeal procedures

- 6.8.1 The student has the right to appeal against the decision of the Progress Review Committee in respect of c), d) or e) above. S(he) must lodge that appeal, in writing, with the Head of Registry Services within 10 working days of the issuing of the Committee's decision. The grounds for the appeal must be clearly stated as part of the request and appropriate documentation supplied.
- 6.8.2 The Head of Registry Services will refer the matter to the Principal (or his/her Deputy) who will allow an Appeal Panel to be established if he is satisfied that either or both of the following criteria apply:
- i) that there is new evidence that could not have been, or for good reason was not, made available at the time of the Progress Review Committee;
 - ii) that evidence can be produced of significant procedural error on the part of the School before or during the Progress Review Committee hearing.
- 6.8.3 An Appeal Panel shall normally be constituted to hear the appeal within 10 working days of the receipt of the appeal.
- 6.8.4 The Appeal Panel will normally be chaired by the Principal and will consist of:
- A senior member of the School not so far involved with the complaint or its investigation
 - A representative of the Students' Union
 - A governor of the School who is not a member of School staff.
- A secretary to the Panel will be appointed by the Head of Registry Services.
- 6.8.5 The proceedings of the Panel will follow the regulations for a Disciplinary Appeal Panel (see Section 5a, Regulation 9.5 to 9.12).

Section 5C: The Principal's emergency powers

1 General

- 1.1 The Principal or, in his or her absence, the Director of Corporate & Student Services or the Director of the Department in which the student is studying, shall have power to suspend or exclude a student from attendance at the School for good and urgent cause as outlined in regulations 2 and 3 below and for a limited period. This period of suspension or exclusion shall not exceed twenty-eight days in the first instance.
- 1.2 Suspension involves a total prohibition on attendance at or access to the School and participation in School activities; but it may be subject to qualification, such as permission to attend for the purpose of an examination.
- 1.3 Exclusion involves selective restriction on attendance at or access to the School and selective prohibition on exercising the functions or duties of any office or committee membership in the School or the Students' Union, the exact details to be specified in writing.
- 1.4 Suspension or exclusion under this procedure will not be used as a penalty. The power to suspend or exclude under this provision is to protect the members of the School community in general or a particular member or members (and includes protecting the School's reputation), and the power shall be used only where the Principal is of the opinion that it is urgent and necessary to take such action. Written reasons for the decision shall be recorded and made available to the student.
- 1.5 Every effort will be made to minimise the effect of exclusion/suspension on the student's capacity to engage in the learning experience and to access Student Services.
- 1.6 Suspension of access to facilities under the tuition fee policy is unaffected by this policy.

2 Suspension/exclusion to protect the health & safety of the community

- 2.1 A student who is considered a danger to her/himself or others may be excluded or suspended by the Principal. Failure to comply with the terms of the suspension or order may result in action under the Student *Disciplinary procedure*.
- 2.2 Suspension will be used only where exclusion from specified activities or facilities is deemed to be inadequate.
- 2.3 An order of suspension or exclusion may include a requirement that the student should have no contact of any kind with a named person or persons.
- 2.4 No student shall be suspended or excluded under this section unless s/he has been given an opportunity to make representations in person or in writing to the Principal (or his deputy).
- 2.5 In cases of great urgency, the Principal shall be empowered to suspend a student with immediate effect, provided that the opportunities mentioned in 2.4 above are given and the matter is reviewed within five working weekdays.

- 2.6 The Principal or other person who took the original decision shall review the suspension or exclusion at least every 28 days in the light of any developments and/or representations made by the student or anyone else on her/his behalf.

3 Suspension pending disciplinary action

- 3.1 Where a student is subject to a criminal charge or police investigation, the School may suspend or exclude the student or limit their interaction with the School community pending investigation under the School's disciplinary procedures and/or until such time as the police and/or courts have completed their investigations and proceedings.
- 3.2 Where a suspension is ordered under 3.1 above, the suspension shall be reported to the Chairman of the Board of Governors (or his or her deputy), and to the President of the Students' Union.
- 3.3 The Principal shall have the sole discretion to determine whether the nature of the alleged offence is such that the School's disciplinary proceeding should be adjourned pending police and court proceedings. Where there is no adjournment a Disciplinary Hearing will take place within 10 working days of the suspension/exclusion. Where there is an adjournment the decision to suspend or exclude shall be reviewed at least every 28 days in the light of any developments and/or representations made by the student or anyone else on her/his behalf.

Section 5D: Student complaints procedure

Equal Opportunities Statement

The Guildhall School of Music & Drama is a department of the City of London which has a comprehensive equal opportunities policy to which the School is fully committed. Its aim is to ensure that everyone receives fair treatment regardless of gender, sexual orientation, race, nationality, ethnic origins, religious beliefs and non-beliefs, colour, disability, marital status, age, trade union affiliations or political beliefs. The School is committed to fostering an environment for students and staff free from discrimination, prejudice or harassment and to pursuing equality of opportunity in the delivery of its services and facilities.

1 Scope

1.1 The scope of this procedure relates to any complaint made against the School except those covered by separate procedures for appeals against academic judgements. The complaints procedure relates to student and staff disciplinary procedures but is separate from them. Complaints may relate to:

- Dissatisfaction with School academic provision or the student experience;
- Dissatisfaction with quality of corporate services;
- Dissatisfaction with actions or lack of action on the part of members of staff of the School (excluding assessment decisions);
- Failure to maintain student confidentiality.

1.2 The procedure will apply to complaints initiated by one or more students of the School. Complaints can be made by students who have withdrawn or graduated from the School if a complaint is initiated within three months of departure.

2 Principles

2.1 In seeking to resolve a complaint, the School will:

- Make its procedures clear to students;
- Seek to resolve the issue as promptly as possible consonant with the circumstances of the case;
- Seek to resolve the issue as closely as possible to the point of occurrence, but with the provision of increasingly formal procedures where necessary;
- Observe appropriate confidentiality;
- Investigate the matter as impartially as possible, involving staff who are not directly implicated to investigate a complaint;
- Attempt to resolve a complaint as fairly as possible with due consideration both to the complainant and those against whom the complaint is made (while the School will ensure that legitimate complaints are investigated responsively, it will also seek to protect its staff from vexatious or malicious complaints);
- Provide written feedback to a complainant on the outcome of the investigation.

3 Advice

- 3.1 Students who think that they have a complaint against the School should familiarise themselves with the procedures set out below.
- 3.2 They must first seek to have the matter resolved informally at the point at which the incident which is the source of the complaint arose. Many matters can be resolved satisfactorily at this stage. If they believe that they have not received a satisfactory response, they should seek advice on how to proceed further. Advice can be obtained from members of staff such as Heads of Programme, the Registry or from the Students' Union. In considering whether to pursue a complaint, students should assure themselves that a complaint is not of a malicious or vexatious kind and that they have the evidence to support the complaint which they are making.
- 3.3 A student making a complaint against the School may be accompanied by a supporter at any interview or hearing conducted in connection with the investigation of the complaint provided that the name of the supporter and their relationship to the student is made known prior to the meeting.

4 Timescales

- 4.1 Timescales set out in this procedure are advisory and refer to *working days*. Complicated matters can take longer to investigate. The School will acknowledge complaints and seek to keep a complainant informed of the progress of the investigations.

5 Stage One

- 5.1 STAGE ONE of the School's complaints procedure should be invoked if it has not been possible to resolve a matter brought informally to the attention of those concerned at the point at which the incident occurred.
- 5.2 The complainant should address the complaint, in writing, to the appropriate person for the service or department concerned (normally the head of department or service see appendix a for examples). The complaint should be lodged within 10 working days of the incident or of the informal discussions relating to it. In exceptional circumstances and at the discretion of the appropriate person, complaints may be accepted after 10 working days.
- 5.3 The appropriate person will investigate and respond, normally within 10 working days of receiving the complaint, copying the complaint and the written response, or record of action, to the Head of Registry Services.
- 5.4 Where a complaint is made against a fellow student and the nature of the allegation indicates a substantive breach of the School's regulations, the matter shall be referred by the appropriate person to the Head of Registry Services for report to the Principal and investigation under the *Student Disciplinary procedure*. Action arising from this investigation shall be reported to the complainant and shall constitute the conclusion of this procedure at STAGE TWO.

6 Stage Two

- 6.1 STAGE TWO of the process will normally only be invoked after STAGE ONE has been exhausted. In exceptional circumstances, a complainant may move directly to STAGE TWO, possibly where the appropriate person is seen as part of the problem or where the substance of complaint is exceptionally serious.
- 6.2 The complaint, in writing and dated, should be addressed to the Head of Registry Services,²⁷ who will reserve the right to refer the matter in the first instance back to STAGE ONE if it is considered that STAGE ONE has not been appropriately completed. The complaint should indicate the perceived deficiencies in the response made locally under STAGE ONE. The complainant should lodge the complaint within 10 working days of the incident or the receipt of a response from STAGE ONE. In exceptional circumstances and at the discretion of the Head of Registry Services, a complaint may be accepted after 10 working days.
- 6.3 Complaints relating to the conduct of a member of staff will be referred to the Human Resources Department and subsequent action, including investigation, will be carried out in accordance with the School's staff disciplinary procedures.
- 6.4 For complaints other than complaints about individual members of staff, the Head of Registry Services will within five working days of receiving the complaint:
- Identify an appropriate member of the School's senior management team to investigate the complaint (the investigating officer) and to propose a resolution where appropriate. The investigating officer will normally be a senior member of staff and in determining the choice of investigating officer due regard to impartiality and equal opportunities will be given;
 - Acknowledge the complaint and communicate the process and time scale for the investigation to the complainant;
 - Copy the letter of complaint, STAGE ONE response and letter setting out the process and time scale to the senior member of the School staff who will investigate the complaint, the person against whom the complaint is made and the head of the department or service concerned;
 - Invite the person against whom the complaint is made or the head of department concerned to respond to the complaint in writing within 15 working days to the investigating officer.
- 6.5 The investigating officer, having received the written response and conducted any other investigations or interviews which he or she deems necessary, will prepare a report.

The report will:

- **Either** indicate that reconciliation has been effected.
- **Or** uphold the complaint, all or in part, and if appropriate propose remedial action.
- **Or** dismiss the complaint if it is deemed vexatious, invalid or to lack substance.
- **Or** recommend that the complaint should be referred to a School Complaints Panel.

In addition, the investigating officer may include in the report recommendations to amend policies or processes.

²⁷ Where the 'appropriate person' at STAGE ONE was the Head of Registry Services, a STAGE TWO complaint should be referred to the Director of Corporate & Student Services.

- 6.6 The report will be sent to the Head of Registry Services within 25 days of the receipt of the letter of complaint and will be communicated by the Head of Registry Services to the complainant and the party against whom the complaint is made.
- 6.7 The Head of Registry Services will communicate to the complainant further options for the pursuit of his or her complaint.

7 Stage three

- 7.1 If the complainant is not satisfied with the response of the investigating officer, he or she may appeal against the finding and/or the remedy. The appeal should be sent, in writing, to the Head of Registry Services within 10 days of receipt of the report of the investigating officer.
- 7.2 The Head of Registry Services will refer the appeal to the School Principal. The Principal will either uphold the decision, which will conclude the investigation into the complaint, or will refer the matter to a School Complaints Panel.

Referral to the School Complaints Panel will be dependent upon the complainant demonstrating to the satisfaction of the Principal one or more of the following:

- (i) that the report arising from STAGE TWO does not provide a detailed and clear explanation of the reason for the decision taken;
 - (ii) that there is clear evidence of a significant administrative error in the conduct of STAGE TWO;
 - (iii) that sufficient evidence remains that the complaint warrants further consideration.
- 7.3 The School Complaints Panel will normally be chaired by the Principal and will consist of:
- A senior member of the School not so far involved with the complaint or its investigation
 - A representative of the Students' Union
 - A governor of the School who is not a member of School staff.

The quorum shall be three.

A secretary to the Panel will be appointed by the Head of Registry Services.

- 7.4 The composition of the Panel will be determined by the Principal in consultation with the Head of Registry Services with regard to the nature of the complaint and the principle of impartiality.
- 7.5 If a complaint is lodged against the Principal directly, the Head of Registry Services will refer the matter to the Chair of the Board of Governors who will either uphold the decision, which will conclude the School's investigatory processes, or will refer the matter to the School's Complaints Panel if the grounds for appeal in 7.2 are demonstrated. The Chair of the Board of Governors will then Chair the School's Complaints Panel, according to the principles outlined in 7.3 and 7.4 above.
- 7.6 The Head of Registry Services will arrange a date for the hearing of the Complaints Panel as soon as convenient, giving at least 10 working days notice of the hearing.
- 7.7 The Head of Registry Services will supply the Panel with all documentation so far assembled in connection with the investigation of the case. This will be circulated at least five working days before the meeting.

- 7.8 The complainant and the person²⁸ against whom the complaint is made will have the right to appear before the Panel and to supply additional information or to call witnesses. Additional information and a list of witnesses should be supplied to the Head of Registry Services in time for circulation to the Panel at least five working days in advance of the hearing. Any information supplied after such time may be accepted only at the discretion of the Panel.
- 7.9 All information available to the Panel will also be made available to the complainant and person against whom the complaint is made.
- 7.10 The Panel will determine its way of operating (including calling witnesses) with the proviso that both the complainant and the person against whom the complaint is made will both have an opportunity to make their case in person to the Panel. If either party does not choose to appear before the Panel, the Panel may make whatever inference it sees fit.
- 7.11 The complainant and the person against whom the complaint is made may be accompanied by a supporter provided that the name of the supporter and their relationship to the complainant, or the person against whom the complaint is made, is made known to the Head of Registry Services prior to the meeting.
- 7.12 The Panel will reach a decision and propose a remedy, if appropriate, and communicate its decision to the Head of Registry Services within 3 working days of the hearing. The Head of Registry Services will communicate the outcome of the complaint to all parties and will also ensure that the complainant is informed that the School's investigation of the complaint is now completed. The Head of Registry Services will advise the complainant that if they are dissatisfied with the final outcome they may take their complaint to the *Office of the Independent Adjudicator (OIA)*: s/he will provide the complainant with the "Completion of Procedures Letter" and all the necessary information the complainant needs to enable them to pursue their complaint with the OIA.

8 Record of Complaints

- 8.1 The Head of Registry Services will make a record of all complaints investigated by the School at STAGE 2 or beyond and will make an annual summary report of such complaints and their outcomes to the Teaching & Learning Board.
- 8.2 The Head of Registry Services will consider the annual summary of complaints and make any recommendations for amendments of School procedures to the Teaching & Learning Board, as part of the annual report.

9 Malicious Accusations

- 9.1 The School will reserve the right to take disciplinary action against any student who is found to have initiated a malicious complaint against the School or a member of its staff. A complaint will be deemed to be malicious if it is found to be baseless.

²⁸ Where the complaint is against a department rather than a named individual, 'person' in this instance shall refer to the Head of Department or their nominee.

Appendix a: List of relevant contacts

The Head of Registry Services and Quality Assurance & Enhancement is:

Katharine Lewis
Guildhall School of Music & Drama
Silk Street
London EC2Y 8DT
Telephone: 020 7382 7143
E mail: katharine.lewis@gsmd.ac.uk

A list of appropriate persons to contact in relation to complaints made under STAGE ONE of the procedure follows. (The list is not exhaustive. If you are in doubt as to where you should address a complaint, please ask). Contact details can be found at the School main reception.

Registry	Head of Registry Services <i>or</i> Deborah MacCallum Director of Corporate and Student Services
Finance	Niki Cornwell Chief Accountant
Student Accommodation (facilities related); Estates, Catering, Domestic Services & Client Service Managers, Parking	Martin Auger Facilities Manager
Student Accommodation (community related)	Lisa Déry Student Services Officer
Library	Kate Eaton Head of Library
IT Services	Richard Antonel IT Manager
Student Services	Diana Altman Head of Student Services
Technical Theatre*	Ben Sumner Deputy Director of Technical Theatre
Acting*	Wyn Jones Director of Acting * or Sue Thornton Director of Drama
Music (programmes)	Alessandro Timossi Head of Music Programmes
Music (other)	Relevant Head of Department <i>or</i> Jonathan Vaughan Director of Music