This guidance provides additional information about how the Student Disciplinary Procedure (Ordinance E2) operates. If you are subject to student disciplinary action or involved in a case, you are strongly advised to read this guidance in conjunction with the procedure. It is not intended to repeat or replace the Student Disciplinary Procedure but aims to assist anyone involved with the process to provide clarity about how the procedure operates and to provide support and further information.

Contents

1. Introduction ........................................................................................................................................... 1
2. Scope and responsibilities ......................................................................................................................... 2
3. Support.................................................................................................................................................. 3
4. Reporting an Allegation .............................................................................................................................. 4
5. Initial Assessment ................................................................................................................................... 4
6. Investigation............................................................................................................................................. 5
7. Preparing for the Panel ............................................................................................................................... 6
8. What should you expect at the Panel hearing? .......................................................................................... 7
9. After the Panel Hearing............................................................................................................................. 8
10. When is an appeal appropriate? ............................................................................................................... 8
11. Closing a case ......................................................................................................................................... 9
12. Witnesses ............................................................................................................................................... 9
13. Confidentiality ....................................................................................................................................... 10
14. Record keeping....................................................................................................................................... 10
15. What are my options if dissatisfied with the way the College has handled a disciplinary matter? ............................................................................................................................................... 10

APPENDIX 1: Sexual Violence and Misconduct Allegations ........................................................................ 12
APPENDIX 2: Flowcharts .......................................................................................................................... 16

1. Introduction

1.1 The Student Disciplinary Procedure (Ordinance E2), is the procedure that is followed where the College has received allegations that student conduct has fallen below, or has not met, the expected standards of behaviour.

1.2 Due to the sensitive and complex nature of allegations involving sexual violence and misconduct, Appendix 1 provides additional information about how sexual violence and misconduct allegations will be handled. This appendix, along with the Sexual Harassment, Sexual Misconduct and Sexual Violence Policy, includes sources of help and advice, and explains the difference between disclosing and reporting.
1.3 The terms ‘complainant’ and ‘respondent’ as used in the Student Disciplinary Procedure are referred to in this guidance as ‘reporting party’ and ‘responding party’.

1.4 The procedure is summarised in the flowcharts at Appendix 2.

2. **Scope and responsibilities**

2.1 Students are members of the College community and as such are expected to behave responsibly, respect people and property and to comply with the College’s rules and regulations, whether on College premises or elsewhere, including field trips and when interacting on social media. Where there is reason to believe that a student has broken the College rules or regulations, or their behaviour has not met the required standards (see paragraph 10 of the Procedure for an indicative list of the types of misconduct), the College will take action as outlined in the Procedure.

2.2 The table below explains the responsibilities and roles of staff required by the Procedure:

<table>
<thead>
<tr>
<th>Roles and Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Academic Registrar</strong></td>
</tr>
<tr>
<td>To decide, based on advice from the casework team assessment of the allegations, whether a case should be investigated and dealt with as a minor offence under the Summary Procedures or by a College Disciplinary Panel as major misconduct.</td>
</tr>
<tr>
<td>To appoint investigators.</td>
</tr>
<tr>
<td>To refer students to the Provost where suspension may be appropriate, having undertaken a risk assessment.</td>
</tr>
<tr>
<td>The Academic Registrar may appoint a nominee.</td>
</tr>
<tr>
<td><strong>Chair</strong></td>
</tr>
<tr>
<td>Appointed person responsible for the running of a Residence Tribunal or College Disciplinary Panel.</td>
</tr>
<tr>
<td>Where voting is necessary to reach a decision, the Chair shall have a casting vote.</td>
</tr>
<tr>
<td><strong>Clerk (Secretary)</strong></td>
</tr>
<tr>
<td>Assigned to each panel to provide administrative support, including correspondence with all parties.</td>
</tr>
<tr>
<td><strong>College officer</strong></td>
</tr>
<tr>
<td>Person designated in the procedure to take summary disciplinary action. May nominate a colleague to act on their behalf.</td>
</tr>
<tr>
<td><strong>Friend</strong></td>
</tr>
<tr>
<td>A registered student, Students’ Union Officer or member of College staff accompanying the responding party to a meeting or hearing.</td>
</tr>
<tr>
<td><strong>Investigator</strong></td>
</tr>
<tr>
<td>Responsible for assembling evidence impartially. Will present investigation findings to the Panel, Tribunal or College Officer (summary offences).</td>
</tr>
<tr>
<td><strong>Panel</strong></td>
</tr>
<tr>
<td>To determine whether there has been a breach of the student disciplinary policy and, if so, to determine if any penalties should be placed on the responding party.</td>
</tr>
<tr>
<td><strong>Provost</strong></td>
</tr>
<tr>
<td>May suspend a student or impose restrictions on attendance at College / facilities pending an investigation or hearing decision.</td>
</tr>
<tr>
<td>May appoint a nominee to act on their behalf, i.e. in their absence.</td>
</tr>
<tr>
<td><strong>Reporting party</strong></td>
</tr>
<tr>
<td>The person reporting an allegation of misconduct.</td>
</tr>
</tbody>
</table>

2
Responding party (respondent)  The student against whom allegations are made.

Senior Adviser to the College Disciplinary Panel  The Head of Central Secretariat or nominee.

Student Casework Officer  Member of staff who will assess the report of an allegation and will make a recommendation to the Academic Registrar about how the allegation should proceed. Will act as point of contact for the student during the investigation.

Witness  Person called to give evidence to a panel.

3. Support
3.1 When an allegation is made, the College will offer support to both the reporting and responding parties where they are members of the College community. The College’s Student Support Zone and the College’s Human Resources web pages provide information about accessing support and advice. The main support options are outlined in the table below.

<table>
<thead>
<tr>
<th>Accessing Appropriate Support</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Support Service</strong></td>
</tr>
<tr>
<td>Faculty Senior Tutor</td>
</tr>
<tr>
<td>Personal Tutor</td>
</tr>
<tr>
<td><strong>Imperial College Union Advice Centre</strong></td>
</tr>
<tr>
<td>HR Business Partner</td>
</tr>
<tr>
<td>External Support</td>
</tr>
<tr>
<td><strong>Sexual Violence Liaison Officers (SVLOs)</strong></td>
</tr>
</tbody>
</table>
Harassment Support Contacts (HSCs) | They will listen to any relevant issues and help staff explore the informal and formal options available. | Staff

4. **Reporting an Allegation**

4.1 Any member of the College community wishing to report an incident involving a student will need to make a written statement which explains what has happened, who was involved, and provide any evidence to support the event(s) to student.disciplinary@imperial.ac.uk.

4.2 Students are encouraged to resolve disputes informally where they feel comfortable doing so. Discussion with family and friends, a Faculty Senior Tutor or personal tutor, students’ union advisor, or another trusted person, can be helpful. Where there has been unacceptable behaviour that cannot be resolved informally, or is repeated or severe, it may be appropriate to report the incident to the College. Paragraphs 17 and 18 of the Student Disciplinary Procedure explains that the College will only intervene in incidents relating to the breakdown of personal relationships off campus in limited circumstances, i.e. major offences or those reported to the Police.

4.3 The Students' Union (ICU) has its own Disciplinary Procedures for incidents on their premises or in relation to clubs and societies (see paragraph 25 of the Student Disciplinary Procedures). This provides for major offences to be referred to College Disciplinary Panel, and the Union will be notified of the decision.

4.4 Reports must be from a named person. It will not be possible to investigate anonymous complaints. The College has an online disclosure tool where reports of serious misconduct can be disclosed anonymously, but these will not be investigated.

4.5 It is recommended that allegations of criminal acts, such as physical assault, rape or sexual assault, are reported to the police immediately. The College may report allegations of criminal activity to the police in cases where there is a legal obligation to report and where there are serious safeguarding concerns and perceived risks to others.

4.6 Where the College receives an allegation of student misconduct which is also being investigated by the police, the College disciplinary procedures will be paused until the police investigations and/or court processes have concluded, so as not to prejudice any outcome of their processes. The College does not receive regular updates from the police, and as such is it the responsibility of the reporting and responding parties to keep the College informed. Accordingly, the College will not be able to update reporting or responding parties on cases subject to external investigation.

**What Happens When A Report Is Made?**

5. **Initial Assessment**

5.1 The Student Casework Team will send an acknowledgement on receipt of the report.

5.2 The Team will then consider the submission. If they think more information, clarification or evidence is needed, the Team will contact the reporting party. If they think that it should be handled through a different procedure, they will let the reporting party know.

5.3 The Casework Officer will make a recommendation to the Academic Registrar about whether there is case to answer and, if so, whether it should proceed under the summary procedures and/or should be referred for investigation as a possible referral to a residence tribunal or Student Disciplinary Panel.

5.4 If it is decided that the allegations cannot proceed under the College Procedures, the reporting party will be informed, and they may be directed to further sources of support and advice (see section 3 above).

5.5 The Casework team will notify the responding party that allegations have been made, information on the next steps and how to access support.
5.6 The Academic Registrar will also assess the risk to the wider College community, and where applicable, the public. S/he will consider the case information, evidence submitted, the type and circumstance of the reported incident(s), and the impact on studies for all parties. S/he may consult with the relevant Head(s) of Academic Department or Support Services.

5.7 Where recommended by the Academic Registrar, the Provost will be asked to approve a temporary suspension or other conditions of any student’s involvement in College life whilst the disciplinary process is proceeding (see paragraph 68 of the Student Disciplinary Procedures). Any such precautionary action will be reviewed regularly whilst the investigation is ongoing. Conditions may require a student to avoid certain areas of campus, for example specific buildings or areas, or to agree to non-contact arrangements, to minimise the risk of contact with another party.

5.8 If suspension or conditions are imposed, the student will be informed. Those also informed may include the Head of Department, Security staff, Faculty Senior Tutors and ICU. Paragraph 76 explains that students may appeal against a suspension or similar precautionary action to the President. This should be sent to student.disciplinary@imperial.ac.uk who will send it onto the President for consideration, with information about the case.

6. **Investigation**

**Summary Procedures (for minor offences)**

6.1 Paragraph 36 of the Student Disciplinary Procedures sets out the College Officers responsible for investigations and paragraph 37 explains that the responding party must be provided with a written statement of the allegations being made against them and given an opportunity to respond either in writing or in person. The officer dealing with the matter may feel that it would be helpful to interview the responding party, and if so, notes of the discussion will be kept.

6.2 Following the investigation, a College Officer may feel it is appropriate for the allegations to be referred to the College Disciplinary Panel. This is also likely where there is a repeated pattern of behaviour. If College Officers wish to refer the allegations, they will consult the Casework Team.

6.3 The respondent should be informed in writing within five working days of the decision. Decision letters and notes must be copied to the Casework Team. If the respondent feels that the decision is unfair, or that procedures have not been followed, they may be able to request an appeal – see section 10 below.

**Residence Tribunal and College Disciplinary Panel**

6.4 The purpose of the investigation is not to build a case against the respondent, but is a fact-finding process focused on gathering evidence impartially. The Investigator will work to establish the relevant evidence and circumstances of the case, building up the facts impartially.

6.5 Where there is an incident involving Sexual Violence or Misconduct, or other serious allegations, the Academic Registrar may engage an external Investigator with specific skills and experience.

6.6 All parties involved in the investigation process are encouraged to share and submit all relevant evidence at the time of the investigation. The responding party will be given reasonable opportunity to provide evidence. This can take the form of emails, screenshots of messages (provided it is clear which parties are involved), or supportive statements from witnesses.

6.7 Normally, the investigation will proceed in the following order:

- Interview with the reporting party
- The allegation and evidence will be shared with the respondent
- Interview with the responding party
- Interviews with witnesses for either party may take place when the investigator feels would be most useful.

6.8 The investigator will explain that notes of investigation meetings with students and staff will be provided to the interviewee for comment before they are finalised. They will be used to help
determine the next steps. When a case progresses to a panel, both parties and the panel members will receive a copy.

6.9 On completion the Investigator will write a detailed report on the findings which will be submitted to the Casework Team. The Academic Registrar will review the report, and either refer the case to the College Disciplinary Panel (supported by the Central Secretariat) or move the case to the Summary Procedures.

**What happens if a case is referred to a Panel?**

7. **Preparing for the Panel**

Residence Tribunal

7.1 Offences committed in a College Residence will be referred to a warden for investigation, to be considered by a Residence Tribunal as set out in paragraph 44 of the Student Disciplinary Procedures.

7.2 The Academic Registrar (or nominee) will appoint a clerk to the tribunal, who will write to the responding party to notify them that the case has been referred, convene the tribunal and inform all parties of the date and time. They will circulate any supporting papers and explain the process as appropriate.

7.3 All members of the Tribunal and the responding party will receive:

- 7.3.1 A copy of the Student Disciplinary Procedure and accompanying guidance notes
- 7.3.2 Documents received from the Warden setting out the case and any supporting evidence or statements
- 7.3.3 Any documents submitted by the responding student subsequent to the investigation

7.4 In some circumstances, certain documents or information may be redacted to protect third party information. For example, contact details or health information.

7.5 The responding party would normally be present at the hearing. They are entitled to be accompanied by a ‘friend’. This may be a registered student of Imperial College London, an officer or advisor of the Imperial College Union or a current member of staff at the College but cannot be a solicitor or barrister. The responding party may also ask the clerk to the Tribunal to call witnesses – see section 12 of this guidance.

7.6 The Warden will be present at the hearing to explain the investigation findings. S/he may be accompanied by a sub-warden, member of the security team, or other staff member.

7.7 The Tribunal members are expected to scrutinise the case file in advance, identifying any areas where further clarification is required in the hearing. They must be prepared to ask questions of the respondent and to contribute fully to the decision-making process.

7.8 One member of the panel will be designated as Chair. The role of the Chair is to facilitate the fair hearing of the case conduct it in line with the procedure. The Chair should display a good knowledge of the procedures and should be thorough, objective and impartial.

7.9 Allegations against a group of students will be considered at one hearing as far as possible, to enable all the respondents to hear all the evidence. Each respondent will have the opportunity to meet with the Tribunal privately to explain any private or personal circumstances they wish to offer as mitigation. If it is not possible to hold a group hearing every effort will be made to appoint the same members.

**The College Disciplinary Panel**

7.10 On receipt of a case referral from the Academic Registrar (or nominee), the Head of Central Secretariat will nominate a clerk to the panel, who will be the point of contact for the Panel members and all parties in relation to the panel.
7.11 The clerk will write to the responding party to notify them that the case has been referred. They will convene a panel as set out on paragraph 44 of the Student Disciplinary Procedure and will notify the responding party. The notification will include papers and explain the process.

7.12 All members of the Panel and the responding party will receive:

- The disciplinary procedure and accompanying guidance notes
- A copy of the Student Disciplinary Regulations
- Documents received from Registry setting out the case and any supporting evidence or statements
- Any documents submitted by the responding student subsequent to the investigation

7.13 In some circumstances, certain documents or information may be redacted to protect third party information. For example, contact details or health information.

7.14 The responding party would normally be present at the hearing. They are entitled to be accompanied by a ‘friend’. This may be a registered student of Imperial College London, an officer or advisor of the Imperial College Union or a current member of staff at the College but cannot be a solicitor or barrister.

7.15 The panel members are expected to scrutinise the case file in advance, identifying any areas where further clarification is required in the hearing. They must be prepared to ask questions of the respondent and to contribute fully to the decision-making process.

7.16 One member of the panel will be designated as Chair. The role of the Chair is to facilitate the fair hearing of the case conduct it in line with the procedure. The Chair should display a good knowledge of the procedures and should be thorough, objective and impartial.

7.17 Allegations against a group of students will be considered at one hearing as far as possible, to enable all the respondents to hear all the evidence. Each respondent will have the opportunity to meet with the Panel privately to explain any private or personal circumstances they wish to offer as mitigation. If it is not possible to hold a group hearing every effort will be made to appoint the same members to the Student Disciplinary Panel.

8. **What should you expect at the Panel hearing?**

8.1 It is common for the panel to have a pre-meeting immediately before the hearing. The investigator and responding party may be asked to wait a short time before being invited (at the same time) into the hearing room. Witnesses will be asked to wait until the point in the Panel when they will need to provide information to the Panel. See section 12 for further guidance on witnesses.

8.2 At the beginning of the Panel, the Chair will explain the process and confirm that the responding party (and any witnesses) understands the hearing procedure.

8.3 Normally the hearing will proceed as below:

1. Introductions
2. The Chair will explain the purpose of the hearing and the allegations
3. Investigator will present the findings.
4. The Panel may ask questions of the Investigator
5. The responding party will present their response.
6. The Panel will ask questions of the responding party.
7. For each witness, the Panel may ask questions of the witness, and then the responding party may ask questions (through the Chair)
8. The responding party will have the opportunity to make some final comments.
9. Next steps

8.4 Breaks during the hearing can be requested by anyone present and agreed by the Chair. If the responding party leaves, the investigator (and any witnesses if present) will also be required to leave and vice versa. At no point will either party (or witnesses, if present) be in the room with the panel without the other present.
8.5 At the end of the hearing the panel will remain to have a private discussion, so all other parties will leave. When deciding on any penalty, the involvement of the responding party in any previous discipline cases will be taken into account.

8.6 Panels will decide whether the misconduct has occurred on balance of probability. If a vote is required, in the case of a tie the Chair will have a second casting vote. If it is determined that misconduct has occurred, the panel will decide on an appropriate penalty as set out in paragraph 64 of the Student Disciplinary Procedures.

8.7 The Panel will also consider any restrictions imposed by the Provost, and either uphold, amend or cancel them. In doing so, the Panel will take into account any aggravating or mitigating circumstances. For example, being under the influence of alcohol or recreational drugs will be considered an aggravating factor, whereas difficult personal circumstances may be considered as a mitigating factor.

9. **After the Panel Hearing**

9.1 The responding party and Academic Registrar will be informed of the decision of the Panel in writing, usually within 5 working days. The clerk will update the responding party if more time is required. The decision will explain the decision, the reasoning and any penalty.

9.2 The decision will be provided to the respondent, the Academic Registrar, the Head of Central Secretariat and the Head of the Department.

9.3 If a responding party does not appeal the decision the matter will be considered closed and a letter will be sent to the responding party to confirm this.

10. **When is an appeal appropriate?**

10.1 If a responding party is dissatisfied with the decision of a College Disciplinary Panel AND they believe they have the grounds to request another hearing, they should refer to paragraphs 78 to 84 of the Student Disciplinary Procedure.

10.2 Reporting parties will be told by the College member of staff supporting them (the relevant Faculty Senior Tutor or the person appointed by them) of the stages which the disciplinary process has reached, but the decision of the College Disciplinary Panel is confidential to the responding party. As such they do not have a right of appeal against the decision of a panel, in terms of the decision taken or any sanction imposed. However, if they feel there has been a procedural irregularity in how the case has been handled, they may submit a complaint as set out in the Student Complaints Procedure (Ordinance E3). If any restrictions have been imposed on a responding party which relate to a responding party, the College will write to the responding party setting these out and explain how any breach of these restrictions can be reported to College.

10.3 Requests for appeal by the responding party must explain clearly the grounds that apply and the reasons why they believe the appeal grounds are met. Failure to do so may result in the appeal being considered ineligible.

10.4 On receipt of an appeal, the Head of Central Secretariat (or their nominee) will consider whether there are grounds for a review, and if so will either refer an appeal against a Summary decision to the Academic Registrar, or will establish an Appeals Panel to consider an appeal against a decision of the Residences Tribunal or a College Disciplinary Panel.

10.5 Appeals against Summary decisions are considered by a senior member of Registry with no prior involvement in the case (see paragraph 81 of the Student Disciplinary Procedures), and a written decision will be provided.

10.6 The purpose of an appeal is to examine the grounds of appeal and any new evidence, and if they are upheld, to make any adjustments to the original decision and/or to the penalty. Appeal panels will not re-hear the case. They may confirm or set aside the original sanction, reduce or increase the penalty. Where the appeal panel has agreed that there is new relevant evidence, they may refer the case to a new College Disciplinary Panel.
10.7 The Appeals Panel will meet privately to consider their decision. The clerk will provide the responding party with a written outcome, explaining the decision and reasons. The decision of the Appeals Panel is the final decision of the College. Where there is new evidence and the Appeals panel refers the case back to a College Disciplinary Panel the decision of the new Panel is the final decision.

10.8 The College aims to complete appeals within 30 days of receipt of the submission explaining why the grounds apply.

11. Closing a case
11.1 A disciplinary matter will be closed when:
   a. a responding party does not appeal within 10 working days of the written decision,
   b. Appeal procedures have been completed.
11.2 A letter will be sent to the responding party confirming that the case has been closed, and will advise any next steps, including support.
11.3 If the final decision includes a penalty that impacts on a service or another individual, the individual or the Head of the Service will be notified as necessary. For example, if a student is required to complete community service the President and the Managing Director of ICU will be informed, if a student is restricted from certain areas of campus security will be notified.
11.4 If a student is required to sign an undertaking not to contact a named student, once the agreement has been received the named student will be informed. The purpose of this notification is to provide support and clarity in cases where they have been adversely impacted by the behaviour of the responding student. No other information about the hearing will be disclosed.
11.5 Reporting parties will receive confirmation that the procedures have concluded, and they will be informed of any conditions that may be relevant them in order to alleviate concerns relating, for example, to ongoing contact restrictions etc.

12. Witnesses
12.1 During the investigation the reporting or responding party may provide the names of witnesses to the incident. Where the investigator deems it appropriate, they may contact a witness to request an interview at any point during the investigation.
12.2 Witnesses to an incident may be asked to:
   - Submit a written statement which will be shown to the responding party and the panel.
   - Attend a meeting with an Investigator to create a written record of what has been witnessed, to show to the panel (Paragraph 56 of the Student Disciplinary Procedures allows witnesses to choose to attend the panel rather than submit a statement).
   - Attend a panel where, at the request of the panel, investigator or respondent you may be asked questions by the Chair at the panel.
   - Witnesses should be aware they will not be told the outcome of the disciplinary proceedings.
   - Witnesses will be asked to keep their involvement in the investigation confidential.
12.3 The responding party may ask the clerk to the Student Disciplinary Panel or Residence Tribunal to call witnesses to the hearing to support their case. They may also ask the Chair to invite witnesses interviewed by the investigator (for either party) to attend the panel to be questioned about their evidence.
12.4 Witnesses will be provided with support as appropriate, co-ordinated by their Faculty Senior Tutor.
13. Confidentiality
Confidentiality during consideration of a case

13.1 All parties are required to keep information relating to a case confidential, once it has been reported. The College will only disseminate information about specific cases to those whose responsibilities require them to need to know about it.

13.2 Documentation will be kept confidentially by Registry and the Central Secretariat. All parties to a disciplinary case are to be reminded of the need to avoid any sharing of information about it, especially on social and other media. Breaching confidentiality may be considered a disciplinary offence.

13.3 Hearings will proceed confidentiality and Panel members will be reminded of this.

Confidentiality after the Panel decision

13.4 The outcome of the student disciplinary process will remain confidential to the College and the responding party.

13.5 Where there is a reporting party, they will be informed when the disciplinary procedure has been completed. If a disciplinary panel finds that a disciplinary offence has occurred, and that the respondent should be allowed to remain a student subject to conditions, then any of the conditions relevant to the reporting party should be made known to them, to alleviate future concerns.

13.6 These requirements for confidentiality should be made known to the reporting party from the beginning of the process, and part of the role of the Faculty Senior Tutor who is providing support to the reporting party (or the member of staff appointed by them to do so) is to help the reporting party understand clearly the stages of the disciplinary process from the report to the investigation, panel and outcome, so that they are aware of how their privacy, and that of others, is protected by confidentiality.

14 Record keeping

14.1 The Registry Casework team is responsible for keeping records of all misconduct, both summary and major. As such all records should be provided to them. Registry will maintain all case records in line with the College Records Retention Schedule.

14.2 Registry will report annual to Senate on the operation of the Procedures. Such reports will not include personal or identifiable information.

15 What are my options if dissatisfied with the way the College has handled a disciplinary matter?

15.1 The College subscribes to the independent scheme for the review of student complaints. Where a responding party is dissatisfied with a disciplinary decision they may be able to apply for a review of their complaint to the Office of the Independent Adjudicator for Higher Education (OIA), provided that the complaint is eligible under the OIA Rules.

15.2 Responding parties who have exhausted the College Procedures (including appeal) will be provided with a Completion of Procedures letter as required by the OIA. The letter will be provided within 28 days of the final appeal decision. Students wishing to submit a complaint to the OIA are advised to contact the Students’ Union for support and advice. If a student is dissatisfied but does not submit an appeal, they may request a letter to enable them to submit a complaint to the OIA but should note that the OIA will only accept such complaints in exceptional circumstances. The OIA website (https://www.oiahe.org.uk/) provides guidance on what they consider to be eligible complaints.

15.3 If a reporting party is dissatisfied with the procedure under which their allegations have been handled, and consider there has been an irregularity they may be able to submit a complaint, see the Student Complaints’ Procedure (ordinance E3) or the Staff Grievance Procedure (see section 10.2 above). Again, they are advised to contact the Students’ Union or their Faculty
Senior Tutor for support and advice. Normally reporting parties will not be provided with a Completion of Procedures letter until their complaint has been considered by the College.
APPENDIX 1: Sexual Violence and Misconduct Allegations

1. Allegations of sexual violence and misconduct by students are considered as set out in the Student Disciplinary Procedure. However, due to the complexity and sensitivity of these cases we have set out this further guidance which explains how the College will address incidents of sexual harassment, sexual misconduct and sexual violence where the responding party is a student.

2. Students who are witness to, know of, have received, or are accused of, sexual violence or misconduct are encouraged to seek support. The table below sets out possible sources of support.

Reporting an allegation

3. Disclosures or reports could relate to current and historic incidents but noting that the College may not be able to investigate historic incidents, for example, where the students have left the College. Likewise, the College policy applies in and out of the College environment, including social events, field trips, and on social media.

4. The Sexual Harassment, Sexual Misconduct and Sexual Violence policy distinguishes between the actions of ‘Disclosing’ and ‘Reporting’. Students may choose to do either or both.
   a. **A disclosure** involves an individual deciding to tell a member of staff about their experience of Sexual Misconduct. A disclosure is usually a first step to seek support. It is not a report and will not lead to an investigation under the Student Disciplinary Procedure. A disclosure can be made anonymously using the online disclosure tool.
   b. **A report** is a formal report for the purpose of initiating the investigation process set out in the Student Disciplinary Procedure. Anonymous reports cannot be investigated. Reports should be sent to the Academic Registrar (disciplinary@imperial.ac.uk).

5. Although disclosures can be made to any member of the College community the reporting party trusts, the following people have received specific training and are experienced in providing support and guidance for those disclosing and reporting.

<table>
<thead>
<tr>
<th>Harassment Support Contacts</th>
<th>Trained staff volunteers. They will listen in confidence and help explore informal and formal options available, including support.</th>
<th>Contact HSOs directly. Details at <a href="https://www.imperial.ac.uk/equality/support-for-staff/harassment/">https://www.imperial.ac.uk/equality/support-for-staff/harassment/</a>.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sexual Violence Liaison Officers (SVLOs)</td>
<td>Trained College and ICU staff who can provide confidential 1-2-1 support and information. They guide students who disclose or report sexual violence through the options and can support throughout the investigation process.</td>
<td>Details of the SVLO team members are available at <a href="https://www.imperial.ac.uk/student-support-zone/student-services/sexual-violence-support/meet-the-sexual-violence-liaison-officer-team/">https://www.imperial.ac.uk/student-support-zone/student-services/sexual-violence-support/meet-the-sexual-violence-liaison-officer-team/</a> . Contact at <a href="mailto:svlo@imperial.ac.uk">svlo@imperial.ac.uk</a>.</td>
</tr>
<tr>
<td>Equality, Diversity and Inclusion Centre</td>
<td>Additional source of support for responding parties.</td>
<td>Details of the team are available at <a href="https://www.imperial.ac.uk/equality/contact/">https://www.imperial.ac.uk/equality/contact/</a>.</td>
</tr>
</tbody>
</table>
Faculty Senior Tutors

Experienced staff responsible for ensuring both reporting (or disclosing) and responding parties have access to support. They work with academic departments, Senior Tutors and support services to ensure high quality support throughout the College processes.

Details of the faculty Senior Tutors are available at https://www.imperial.ac.uk/personal-tutors-guide/understanding-your-role/your-senior-tutor-and-faculty-senior-tutor/.

6. In addition, the College has an online disclosure tool which enables staff and students to disclose incidents anonymously or provide contact details. Disclosures will be monitored, and when the person disclosing provides a name, the disclosure will be followed up to offer support that is appropriate for the person making the disclosure.

What happens when a disclosure is made?

7. Anyone receiving a disclosure will help the disclosing party access appropriate support. If they have received training, they may provide the support themselves or they may provide information about sources of support.

8. Following a ‘disclosure’, there are four reporting options available:
   - Making no report.
   - Report the incident to the Police.
   - Report the incident to the College.
   - Report the incident to the College and the Police.

   It is strongly advised that students seek support from their Faculty Senior Tutor or an SVLO to help them make the best decision for them.

9. Normally the College will uphold the decision of a named disclosing party and will not proceed with an investigation or similar unless the disclosing party has decided that they wish the College to do so. However, occasionally there are circumstances when the College will be obliged to share information, for example, where there are safeguarding considerations, or incidents involving someone under the age of 18.

10. Where the person disclosing is a third party, for example has witnessed or has been informed of misconduct, the Academic Registrar (or their nominee) will decide whether any action is required, considering the decision of the person who experienced the incident.

11. Disclosures will be monitored by the Student Casework Team and the HR Employee Relations Team to identify and address any emerging issues of concern. For example, a series of related cases. Anonymised statistics and trends will be reported to the Equality and Diversity Committee to support reviews of the sexual harassment, sexual misconduct and sexual violence policy.

What happens when a report is made?

12. A report should include as much information as possible about the incident, the situation in which it took place, witnesses and a description of the misconduct. Where possible, evidence such as screenshots or emails should be provided. The Reporting Party will also need to provide a crime reference number if they have reported the incident to the Police.
13. On receipt of a report, the Casework Team will follow the same process for all reports of misconduct – acknowledge receipt, request any clarifications as required, and recommend how the case should proceed (see section 5 of the guidance document). Normally, incidents and allegations made under the Sexual Harassment, Sexual Misconduct and Sexual Violence Policy will be considered major misconduct.

14. The Casework team will notify the responding party that allegations have been made, provide information on the next steps and on how to access support. The Academic Registrar will also assess the risk to the wider College community, and where applicable, the public. S/he will consider the case information, evidence submitted, the type and circumstance of the reported incident(s), and the impact on studies for all parties. S/he may consult with the relevant Head(s) of Academic Department or Support Services, and may recommend to the Provost a temporary suspension from part of all of the student’s involvement in College life whilst the disciplinary process is ongoing (see paragraph 68 of the Student Disciplinary Procedures and section 5 of the guidance document).

15. The Casework Team will notify the relevant Faculty Senior Tutor, who will be responsible for offering the student(s) responding to allegations of sexual misconduct appropriate support. Where the reporting party is in the same Faculty a different Faculty Senior Tutor or other appropriate person will be asked to co-ordinate support.

Investigation

16. Allegations of sexual harassment, misconduct or violence will be investigated in the same way as any allegation of misconduct and as described in section 6 of the guidance document. Where there is an incident involving Sexual Violence or Misconduct, or other serious allegations, the Academic Registrar may engage an external Investigator with specific skills and experience. The purpose of an investigation is to establish the facts with a view to informing a decision about whether the College’s regulations have been breached.

17. As explained in section 4 of the guidance document, College investigations will be paused if an incident is being investigated by the Police until the outcome is known. Any temporary conditions will be regularly reviewed to check they remain proportionate and fair to all parties. It is the responsibility of the reporting party to inform the Academic Registrar when the police investigation or action is completed. The Academic Registrar will then review the case and decide whether College action is required and will notify the reporting party.

18. Both the reporting and responding parties may be accompanied to investigation meetings by a member of the College community.

19. The investigator will provide the Academic Registrar with a detailed report on their findings. The Academic Registrar, or their nominee, will decide whether the allegations should be considered by the College Disciplinary Panel, or whether the allegations should be referred to the Summary Procedure. Both the reporting and responding parties will be informed of the decision.

After a referral to the College Disciplinary Panel

20. On receipt of a case referral from the Academic Registrar (or nominee), the panel will proceed as set out in sections 7 and 8 of the guidance document.

21. It is expected that responding parties will attend the hearing in person. If this is not possible, or where there are good reasons, other arrangements can be considered, for example, participation by video conference.

22. Reporting parties and witnesses will normally provide detailed statements and evidence to the investigation, which will be shared with the panel members. Reporting parties and
relevant witnesses may be invited to attend part of the hearing to speak to the panel. If they choose to do so they may be accompanied, and may be asked questions by the panel, usually to provide clarification, and by the responding party (through the Chair). Alternative arrangements can be made for people to participate if appropriate, for example by video conference. The clerk to the panel will be able to work with students and support networks so that appropriate adjustments are in place. Reporting parties and witnesses are not able to attend for the duration of the entire hearing.

The Outcome

23. The Responding Party will receive a letter explaining the decision of the panel, any sanctions, and the reasoning for their decision. The Responding Party may be asked to agree by conditions such as partial campus restrictions or no contact agreements. If they do not agree the case will be referred to the College Disciplinary Panel for further consideration, and they may decide that revised sanctions are appropriate.

24. The Reporting Party will receive information as set out in section 13 of the guidance.

25. Both parties have the option to continue receiving support, co-ordinated by the relevant Faculty Senior Tutor.

The Appeal

26. The outcome letter will explain that the responding party may appeal the decision of the College Disciplinary Panel if they are dissatisfied with the outcome AND they believe they have the grounds to request another hearing (see paragraphs 78 to 84 of the Student Disciplinary Procedure and section 10 of the guidance document).

Closing the Matter

27. Sexual violence and misconduct disciplinary cases will be closed as outlined in section 11 of the guidance document.

28. It is intended that the support arrangements will minimise any adverse impact on the reporting student by being implemented in a timely way during the process, for example, advice on deadline extensions, submitting mitigating circumstances, etc. At the closure of the case, the Head of Central Secretariat and the Academic Registrar will review how any adverse impact on the reporting party has been addressed, and whether they consider any further measures might be desirable.

29. Support for both parties will continue after the case has been closed as appropriate.
1. Initial assessment of disciplinary report

Report received by Registry. Initial assessment carried out and recommendation made to Academic Registrar.

Academic Registrar will consider whether it is appropriate to suspend or impose restrictions on the student pending the outcome of the hearing (paragraphs 68-77)

- No case to answer. No further action taken
- Summary Procedures (diagram 2)
- Residence Tribunal (diagram 3)
- Disciplinary Panel (diagram 4)
- Refer to another procedure (e.g. Fitness to Practise)
2. Summary Procedure

Case referred to College Officer (paragraph 36) by Academic Registrar.

College Officer or their nominee investigate case

Student provided with a written statement of the allegations made against them and given an opportunity to respond.

College Officer decides whether a breach of discipline has occurred and, if appropriate, will issue a penalty (a – f, paragraph 64). Student informed in writing within 5 working days of the decision and their right to appeal

Student appeals decision: See diagram 5

No appeal received. Registry notify Department and monitors Student’s compliance with any penalties issued.
3. Residence Tribunal

- Investigated by the Hall Warden

- Academic Registrar appoints a Clerk to the Panel

- Clerk arranges a hearing date and writes to the student to notify them of the meeting, providing details of the Panel and the allegations made against them giving at least 10 working days’ notice.

- Residence Tribunal Hearing

- Outcome letter sent to the student within 5 working days of the decision being made setting out the Panel decision and reasons and any penalties issued (a – h, paragraph 64)

- Student appeals decision: See diagram 5

- No appeal received. Clerk notified Registry and Warden and monitors Student’s compliance with any penalties issued.
4. Disciplinary Panel

Investigated by the Academic Registrar

Case referred to the Head of Central Secretariat to appoint a Clerk to the Panel.

Clerk arranges a hearing date and writes to the student to notify them of the meeting, providing details of the Panel and the allegations made against them giving at least 10 working days’ notice.

Disciplinary Panel Hearing

Outcome letter sent to the student within 5 working days of the decision being made setting out the Panel decision and reasons and any penalties issued (a – k, paragraph 64)

Student appeals decision: See diagram 5

No appeal received. Clerk notifies Registry and Department and monitors Student’s compliance with any penalties issued.
5. Appeal

Appeal Sent to Central Secretariat within 10 working days of receipt of outcome
(Paragraph 80 – 86)

- Appeal assessed for eligibility against stated grounds. Student informed in writing.

- Summary Punishment
  - Appeal is considered by a senior member of Registry staff who has not previously been involved in the case.
  - Accept appeal. May confirm penalty or refer back to a College Officer for reconsideration of penalty.
  - Reject appeal

- Disciplinary Panels and Residence Tribunals
  - Head of Central Secretariat will establish an Appeals Panel
  - Accept appeal
  - Set aside or reduce penalty
  - Confirm penalty
  - Increase penalty
  - If there is relevant new evidence may refer the case back for consideration by a newly constituted College Disciplinary Panel (See Paragraph 80 – 86)

- Case closed. Student provided with Completion of Procedures letter

Notify student of outcome and issue Completion of Procedures letter