



## ST ANNE'S COLLEGE REGULATIONS GOVERNING JUNIOR MEMBERS 2024-25

Explanations, useful information and advice are, where appropriate, added in square brackets, but do not form part of the Regulations as such.

In these Regulations, words importing the feminine gender shall include the masculine and vice versa, where the construction so permits and the Regulations do not otherwise expressly provide.

### Contents

<b>1</b>	<b>General</b> .....	<b>3</b>
1.1	Definitions.....	3
1.2	Compliance with Regulations and Codes of Practice.....	3
1.3	Regulations in relation to the University .....	3
1.4	The Principal and Tutors.....	4
<b>2</b>	<b>Administrative Matters</b> .....	<b>4</b>
2.1	Communication with the College authorities.....	4
2.2	College records.....	4
2.3	Entry of names for Examinations.....	5
<b>3</b>	<b>Residence</b> .....	<b>5</b>
3.1	Residence requirements .....	5
3.2	Residence in College and College houses .....	6
3.3	Vacation residence.....	6
<b>4</b>	<b>Academic Matters</b> .....	<b>8</b>
4.1	Change of course.....	8
4.2	Academic requirements.....	9
4.3	Failure or failure to be classified in Public Examinations .....	9
4.4	Persistently unsatisfactory work.....	11
4.5	Plagiarism.....	12
4.6	Essay-writing Services .....	13
4.7	Prizes .....	13
<b>5</b>	<b>Financial Matters</b> .....	<b>13</b>
5.1	Payment of fees and charges.....	14
<b>6</b>	<b>Disciplinary Matters</b> .....	<b>15</b>

6.1	Discipline .....	15
6.2	Activities for which decanal permission is required.....	17
6.3	Penalties .....	18
6.4	Procedure .....	19
<b>7</b>	<b>College Premises and College Property .....</b>	<b>19</b>
7.1	Damage to College property.....	19
7.2	Occupation of rooms.....	20
7.3	Use of public rooms .....	20
7.4	Noise .....	21
7.5	Visitors .....	21
7.6	Security .....	21
7.7	Safety .....	22
7.8	Use of electrical equipment .....	22
7.9	Kitchens .....	23
<b>8</b>	<b>Bicycles and Motor Vehicles.....</b>	<b>23</b>
8.1	Bicycles.....	23
8.2	Motor vehicles.....	24
<b>9</b>	<b>Welfare Matters .....</b>	<b>24</b>
9.1	Welfare provision and Advisers.....	24
9.2	Medical requirements .....	24
9.3	Illness .....	25
9.4	Drugs.....	26
	<b>ANNEXE I: Disciplinary Procedure.....</b>	<b>27</b>
	<b>ANNEXE II: Codes of Practice .....</b>	<b>34</b>
C.1.	Freedom of Expression .....	34
C.2.	Code of Practice: Equal Opportunities Policy .....	46
C.3.	Code of Practice: Harassment .....	47
C.4.	Code of Practice: Confidentiality in Student Health and Welfare .....	64
C.5.	Staff-Student Relationships Policy .....	65
C.6.	Junior Member' Complaints and Appeals Procedure Code of Practice .....	68
C.7.	St Anne's College Guidelines for Social Media Engagement .....	73
C.8.	Covid 19 St Anne's College Community Responsibility Agreement .....	81

# 1 General

## 1.1 Definitions

In these Regulations the following words have the meanings described below.

- (i) 'junior member' means an undergraduate or graduate student (including a Visiting or Associate Student)
- (ii) 'expel' has the meaning that the term has in the University Statutes, namely deprive a junior member permanently of her membership of the College and of the University.
- (iii) 'require to withdraw from the College' means deprive a junior member permanently of her membership of the College.
- (iv) 'require to withdraw temporarily from the College' means suspend the membership status in the College and in the University of a junior member for some specified period or until specified conditions are met. Such suspension of membership also applies to a junior member who is permitted to withdraw voluntarily for a period.
- (v) 'rustication' means the withdrawal of the right of access to the premises and facilities of the College for a fixed period or until specified conditions are fulfilled.
- (vi) 'suspension by the College' means a withdrawal of the right of access as in rustication where action is taken as an interim measure pending further investigations, or where action is required in a non--disciplinary situation. Withdrawal may be for a limited period pending the fulfilment of certain conditions or may be for an indefinite period.

## 1.2 Compliance with Regulations and Codes of Practice

- (i) Junior members of the College must make themselves familiar and comply with these Regulations, and with any others which may be made from time to time. Lack of knowledge about a particular Regulation is not acceptable as an excuse.
- (ii) Every member of the College shall comply with the provisions of the Codes of Practice approved from time to time by the Governing Body pursuant to the duties imposed by Acts of Parliament.

## 1.3 Regulations in relation to the University

- (i) Junior members (except Visiting or Associate Students) are required to be both matriculated members of the University and members of the College.

[This is a necessary requirement in order to read for a degree of the University of Oxford.]

- (ii) Junior members must also comply with the Proctors' and Assessor's Memorandum (University Regulations).

[Issued annually as the booklet "The University Student Handbook".]

- (iii) Junior members are required to pay any fees due to the University.

#### 1.4 The Principal and Tutors

- (i) Each undergraduate shall be assigned a Tutor who shall be known as the Personal Tutor.

[The Personal Tutor supervises a student's academic progress and takes pastoral responsibility for her.]

- (ii) Each graduate shall be assigned a College Adviser.

- (ii) An annual interview with the Principal is required for each undergraduate and is offered to each graduate. Undergraduates must attend an annual interview with the Principal. Junior members must attend an interview with the Principal when summoned.

[Arrangements for annual interviews are indicated on the Principal's notice board and circulated electronically.]

[The Principal, in accordance with College Statutes and By-laws, supervises the conduct, residence and education of junior members of the College. She is also available to assist junior members with any College or personal problems.]

## 2 Administrative Matters

### 2.1 Communication with the College authorities

The method of personal communication between the College's Officers and its undergraduates and graduates is via the pigeon holes and email. Junior members must have an email account with the prescribed form of address (firstname.familyname@st-annes.ox.ac.uk): Junior members must use their college email address for correspondence with College Officers and staff. Junior members are expected to check their pigeonholes and email every 24 hours. Junior members must respond to Tutors and College Officers when summoned to a meeting or requested to reply.

### 2.2 College records

- (i) Changes of name, home address and next-of-kin must be notified immediately to the College Registrar. Junior members not living in College accommodation must communicate contact details to the College Registrar.
- (ii) Junior members living out of College (i.e. not having a room on site or in any of the College houses) must notify the College Registrar of their Oxford address

and contact telephone number (if available) not later than Thursday of Week 0 of Michaelmas Term and must also notify her immediately of any subsequent change of such address.

### 2.3 Entry of names for Examinations

If you are required by the University to enter your name for examinations to choose the options you wish to take, you will be sent an e-mail by the central University once the examination window for your exam opens. Further details relating to exams can be found online at: <https://www.ox.ac.uk/students/academic/exams/entry?wssl=1>

In the case of a late entry a candidate is liable to a payment to the University of a late entry fee at the current rate.

If you wish to change an option outside of the exam entry window please contact the Academic Administrator in the Academic Office, [academic.administrator@st-annes.ox.ac.uk](mailto:academic.administrator@st-annes.ox.ac.uk)

If your examinations consist of core assessment only (no options choices), the details of your core assessment exams will be made available via Student Self Service.

## 3 Residence

This section covers “Residence” and junior members must read all of the points if they live in College accommodation. This section also covers the detailed regulations relating to Vacation Residence.

### 3.1 Residence requirements

- (i) Each room is licensed to an undergraduate under a Tenancy Agreement which must be signed by the undergraduate within 21 days of the date of the Room Ballot for the Year Group (i.e. 4th, 3rd, or 2nd Year).
- (ii) Undergraduates must come into residence by 2 pm on the Thursday of the week before Full Term [Week 0], unless excused in writing by their Personal Tutor. This written authority must be copied to the Senior Tutor and the Accommodation Department by the undergraduate before Thursday of Week 0.
- (iii) An undergraduate must not leave Oxford at the end of term earlier than the last Saturday of Full Term [Week 8] without her Personal Tutor’s and the Senior Tutor’s permission. The undergraduate must also report this permission to the Accommodation Department (preferably by email).
- (iv) Any undergraduate leaving Oxford for longer than three nights (including weekends) during full term must inform her Personal Tutor and the Accommodation Department (preferably by email).

- (v) Junior members, living in College, are required to sign the book in the Lodge if they are going to be absent from College overnight (including weekends).

[This is a safety precaution since in case of fire or other emergency it may become necessary to account for residents.]

- (vi) Undergraduates in their first year are expected to live in College accommodation. Exceptions must be requested by 31 August in the year of entry and will require the permission of the Principal and subject tutors.

[Junior members are reminded that the University Regulations require a minimum period of residence within the University of at least six weeks in each term which is to count towards fulfilment of the number of terms' residence required for a degree or other qualification.]

### 3.2 Residence in College and College houses

- (i) If, for any reason other than withdrawal on medical grounds, a junior member vacates or fails to occupy a room in College or a College house during the academic year she will be liable for full maintenance charge or rent for the remainder of the academic year. This does not apply to junior members who are required by their Faculty or Divisional Board responsible for their subject to spend periods out of Oxford in term time as part of their course of study.
- (ii) A junior member who loses her membership of the College shall be required to vacate her room in College or a College house immediately.
- (iii) Undergraduates must comply with the arrangements for the allocation of rooms published by the Domestic Bursar each year. Allocations may be changed by the Domestic Bursar if room availability changes.
- (iv) A junior member must not stay as a guest in another member's room once the former has handed their key back to the Lodge at the end of term, or before they have collected their key at the start of term.

[For the purpose of this Regulation the academic year shall be deemed to run from the Thursday before the first day of Michaelmas Full Term to the last day of the following Trinity Full Term.]

- (v) Junior members must not leave their personal belongings in their room or in the kitchens once they have vacated the room for a Vacation. Items left will be removed and disposed of as College lacks the facility to store them.

### 3.3 Vacation residence

- (i) Academic Policy: The College sets as part of its academic policy that vacation residence be encouraged but on stipulated conditions and within stipulated limits and that, accordingly, it be treated under the following headings:

- (a) for undergraduates and fourth-year students sitting University examinations that occur during the vacation;
  - (b) for undergraduates and fourth-year students preparing assignments that form part of a University examination and that need to be undertaken in Oxford – for example, a thesis, dissertation or extended essay, or a laboratory-based project;
  - (c) for academic reading in connection with work set or approved by college tutors;
  - (d) for students formally estranged from their families with no alternative place to stay;
  - (e) for overseas students affected by special circumstances
- (ii) Compliance: All undergraduates living in College and College houses, whether or not they intend to be in residence for any part of the vacation, must comply with the instructions concerning vacation arrangements on the application form. The Domestic Bursar needs to know, by a stated deadline, the exact number of undergraduates who wish to be in residence on given dates. Support from Personal Tutor's may be sought. Applications which miss the deadline will not be considered. The Domestic Bursar will determine whether to grant such permission depending upon the availability of accommodation. Undergraduates who do not observe College Regulations may be charged the commercial rate for the room that they occupy beyond the contracted period.
- (iii) Definition of 'term' and 'vacation': For the purposes of vacation residence, 'term' shall be taken to mean the period from 8.00am on the Thursday before the beginning of Full Term to 12 noon on the Saturday of Eighth Week. 'Vacation' shall be taken to mean any period outside these dates.
- (iv) Conditions under which a room is licensed to a junior member:
- (a) In term: the room must be vacated by noon on the Saturday of Eighth Week and shall not be occupied by that junior member between that time and noon on the Monday of the week before the following full term (Week 0) except by special arrangement with the Domestic Bursar or in accordance with the provisions of paragraphs (v), (vi) and (vii) below.
- [This requirement does not apply to rooms in any College house which may for the time being be let on a basis other than the maintenance charge.]
- (b) In vacation: Where permission is given for vacation residence, there is no presumption that this will be in the room licensed to the junior member for the preceding term or terms. Any vacation residence approved will be in rooms allocated at the Domestic Bursar's discretion, and may be in off-site houses.
  - (c) Students who have been granted permission for vacation residence are not permitted to accommodate guests, including other students of the College, as overnight guests at any time.

(v) University Examinations

- (a) An undergraduate is entitled to a room on site for a maximum period of up to seven days prior to a written paper and twenty-four hours following the paper's conclusion. Every attempt will be made to ensure that the room concerned will be the undergraduate's own room, but no guarantee to this effect can be given. The residence is free of charge for any period that falls outside of term (as defined above) and the Personal Tutor's permission need not be sought.
- (b) An undergraduate summoned for a viva is entitled to a room on site for a period up to two days prior to the examination and twenty-four hours following the examination's conclusion. The residence is free of charge for any period that falls outside of term (as defined above) and the Personal Tutor's permission need not be sought.
- (c) An undergraduate is entitled to a room on site for a maximum period of up to seven days prior to and twenty-four hours following the deadline for work submitted as part of a University Examination. This includes essays, dissertations, and take-home exams. For deadlines falling outside of term (as defined above), the residence is free of charge for any period up to and including Saturday of ninth week and the Personal Tutor's permission need not be sought.

An undergraduate who wishes to apply for vacation residence may do so after discussing with her Personal Tutor the length of time for which she may reasonably apply, and her reasons for doing so. An undergraduate who, in light of advice from her Personal Tutor, wishes to apply for vacation residence must do so to the Domestic Bursar on the official form and by the stipulated deadline.

[Grants for vacation residence are met, on a limited scale, by the College from its own resources. The Personal Tutor's recommendation for a grant for vacation residence is necessary whether or not an undergraduate resides in College. The period for which a grant is recommended will not necessarily be the same as the period spent either in College or in Oxford. Applications for vacation grants must be made in advance. The procedure is announced on College notice boards, by email and on the College website.]

- (vi) Fresher Helpers; Admissions Assistants; Library Help; Telephone Fundraising Assistants. Special arrangements apply in respect of junior members undertaking the above activities. Only Fresher Helpers are permitted to have Vacation Residence in Michaelmas Term on Mondays and Tuesdays of Week 0.

## **4 Academic Matters**

This section covers "Academic Matters" and junior members must read all of the points listed.

### **4.1 Change of course**



- (i) Undergraduates are permitted to read for a degree only in the subject or subjects for which they have been admitted. In exceptional circumstances, a student may be permitted to change subject; in this case permission must be obtained from Tutorial Fellows in both the releasing and accepting School in discussion and consultation with the Principal and Senior Tutor, and funding for the new course confirmed. It is the responsibility of the student to seek such permission. An undergraduate may not transfer to a School which is not currently offered by the College at admissions.

#### 4.2 Academic requirements

- (i) An undergraduate is required, as directed by her Personal Tutor in consultation with other tutors,
  - (a) to submit prescribed written work by the date set for submission;
  - (b) to attend all scheduled tutorials, classes, and practicals, and to attend lectures appropriate to her course as advised by the Personal Tutor;
  - (c) to sit Collections, as required,  
  
[Collections are College examinations following upon a course of prescribed study either in term or during vacation and normally held at the end of Week 0.]
  - (d) to attend termly report readings with her Personal Tutor, unless previously dispensed, through illness or other reasonable cause.
- (ii) Undergraduates have a duty to see their Personal Tutors when summoned. Undergraduates must also attend as required meetings with other Tutors.
- (iii) Undergraduates must inform, consult, and seek the endorsement of their Personal Tutors before standing for election to any JCR office or taking on other substantial extra-curricular activity. Where after such consultation undergraduates decide to stand for election or to take on such an activity, they shall inform their Personal Tutor in writing with a copy to the Senior Tutor. An undergraduate who does not follow the Personal Tutor's advice to refrain from standing for election to any JCR office or to refrain from taking on substantial extra-curricular activity must, ahead of making any formal commitment, arrange to meet with the Senior Tutor who will clarify for the student College's academic expectations and the consequences of unsatisfactory work (see 4.4 below).

#### 4.3 Failure or failure to be classified in Public Examinations

- (i) Failure in Public Examinations may result in an undergraduate being required to withdraw from the College.
- (ii) An undergraduate who has not successfully completed the current year's First Public Examination will be allowed a second attempt only with the approval of her

Tutors in consultation with the Senior Tutor. Where a second attempt is approved, the undergraduate shall be sent a letter requiring her to sit the examination again at the appropriate time for her subject. Should she subsequently fail, she will be required to withdraw from College, subject to the decision of the Academic Adjudication Committee, to which she is entitled to appeal.

- (iii) In the case that a candidate has satisfied the examiners in Honour Moderations but has not been classified, the procedure shall be as follows: the Tutor(s) concerned and the Principal (or in her absence, the Senior Tutor) shall consider whether the undergraduate be required to withdraw or alternatively be permitted nevertheless to proceed to a Final Honour School, be put on probation in accordance with the procedure under 4.4 below, or any combination of these courses of action; and the undergraduate shall be informed in writing of the recommendation. If she accepts the recommendation, then this shall be reported to the Governing Body.

In the case of a recommendation that the undergraduate be required to withdraw from the College, or not be permitted to proceed to a Final Honour School, then she may request that her case be considered by the Academic Adjudication Committee.

If a candidate has sat examinations whose mark is to contribute substantively to a Public Examination in a subsequent academic year, and has been awarded an average mark below the level for Honours, the same procedure shall be followed.

- (iv) In the case of an undergraduate who having failed Honour Moderations has subsequently passed the appropriate Preliminary Examination, the Tutor(s) concerned and the Principal (or in her absence, the Senior Tutor) shall confer as soon as possible and the same procedure shall be followed as in (iii) above.
- (v) If an undergraduate, having failed a Public Examination, chooses to withdraw voluntarily (usually to transfer to another university with her Tutor's help) the matter shall be reported at the next meeting of Council. The undergraduate shall not be required to pay fees and charges by having failed to give three months' notice of withdrawal.
- (vi) An undergraduate who has twice failed her first Public Examination shall be required to withdraw from the College unless her Tutors and the Principal (or, in her absence the Senior Tutor) are satisfied that personal or medical factors notified before the results are known may have adversely affected her preparation for, or performance in, the examination. The undergraduate has the right to appeal to the Academic Adjudication Committee under the procedures set out in By-law 3.12.
- (vii) In the case of any referral to the Academic Adjudication Committee, it shall be the responsibility of the Personal Tutor to furnish the Academic Adjudication Committee with a written statement setting out the recommended action and the case in support of this. A copy will be supplied to the undergraduate.

#### 4.4 Persistently unsatisfactory work

- (i) “Persistently unsatisfactory work” will result in an undergraduate, in the absence of mitigating circumstances, being required to withdraw from the College.
- (ii) Prima Facie evidence of unsatisfactory work will be provided by one or more of the following:
  - (a) Failure on the part of any undergraduate to submit prescribed written work of a satisfactory standard by the date prescribed for submission;
  - (b) Failure to attend tutorials, classes, practicals or collections where appropriate, unless previously dispensed;
  - (c) Poor performance in a collection or collections as required by a Tutor following upon a course of prescribed study either in term or during vacation;
  - (d) Poor performance in a Public Examination; or
  - (e) Unsatisfactory termly reports.
- (iii) Where a Personal Tutor is dissatisfied with the work of an undergraduate or where another tutor reports adversely on an undergraduate’s academic progress, and where the informal process to find an informal solution has been exhausted for unsatisfactory work described under 4.4 (ii), the Personal Tutor shall write to the Senior Tutor describing the standard of the undergraduate’s work.

The Principal and Senior Tutor shall then interview the undergraduate in the presence of the Personal Tutor and other available Tutors in the School. The Personal Tutor’s written statement shall be given to the undergraduate before the interview and the undergraduate shall be warned that further action (see 4.4 (i)) may be taken in the event that no significant and sustained improvement in her academic performance is forthcoming.

The Principal, Senior Tutor and Personal Tutor may set conditions which the undergraduate must fulfil. These conditions may include but are not limited to the following:

- (a) satisfactory performance in a penal collection which shall be externally assessed;
- (b) satisfactory performance in tutorials, practicals and classes;
- (c) satisfactory tutorial reports.

Criteria for leaving the formal process should also be set out.

In addition to an oral warning at the interview, the Senior Tutor shall send a formal written warning to the undergraduate summarising the conditions set.

Should the conditions not be met, the Principal, Senior Tutor and Personal Tutor may after a further interview recommend to the Academic Adjudication Committee that the undergraduate be required to withdraw from the College.

- (iv) If within three terms of receiving a formal warning from the Principal the undergraduate's work should again become unsatisfactory, her case may after a further interview be referred direct to the Academic Adjudication Committee.

#### 4.5 Plagiarism

- (i) In the case of College assessed work (formative assessment), such as tutorial essays or Collections, where a Personal Tutor or another tutor suspects, identifies or becomes aware of plagiarism in the work of a Junior Member, the Personal Tutor may write to the Senior Tutor describing the details of the case. The Principal and Senior Tutor will determine whether a Junior Member has committed 'intentional' or 'reckless' (unintentional) plagiarism, based on the evidence submitted by the Personal Tutor or other tutor.
- (ii) The Principal and Senior Tutor shall then interview the Junior Member in the presence of the Personal Tutor and selected other members of the School. The Personal Tutor's written statement shall be given to the Junior Member before the interview and the Junior Member shall be warned that further action may be taken. After the interview the Junior Member will retire.
- (iii) The Principal, Senior Tutor and Personal Tutor may set conditions which the Junior Member must fulfil. These conditions may include but are not limited to the following:
  - (a) satisfactory performance in a penal collection which shall be externally assessed (i.e. outside of College);
  - (b) satisfactory performance in tutorials, practicals and classes;
  - (c) satisfactory tutorial reports;
  - (d) remedial tutorial on plagiarism.

The Principal shall send a formal written notification to the Junior Member summarising the outcome of the interview and any conditions set.

- (iv) If the Junior Member is found to have committed plagiarism a second time, the Principal, Senior Tutor and Personal Tutor may recommend that the Junior Member be required to read for a Pass Degree or to withdraw from the College. The Junior member may appeal to the Academic Adjudication Committee.
- (v) A Junior Member may appeal to the Conference of Colleges Appeal Tribunal (CCAT) against a College decision involving a 'substantial penalty,' which CCAT defines as

*'Substantial penalty includes the penalties of expulsion, rustication or suspension, substantial fines, and other penalties of similar severity.'*<sup>1</sup>

- (vi) In the case of plagiarism in University Public Examinations (summative assessment) a Junior Member shall be referred directly by the relevant body to the Proctors. If the Proctors find that plagiarism may have occurred they will refer the case to the University's Student Disciplinary Panel (SDP).<sup>2</sup>

#### 4.6 Essay-writing Services

In accordance with the Statute XI University Code of Discipline<sup>3</sup>, no member of the College is allowed to contribute to essay-writing services (whether directly with the recipient or through commercial companies) in circumstances where the work provided could be submitted by someone else in any examination worldwide.

Students buying or otherwise obtaining material to pass off as their own in either College assessed work or University Examinations can expect to be the subject of disciplinary procedures.

#### 4.7 Prizes

- (i) A First or Distinction awarded in University First Public Examinations will be recognised by the award of a College prize.

College Scholarships and Exhibitions may be awarded on the recommendation of tutors in recognition of exemplary work or examination performance, and may be renewed if the student maintains her work at the same high standard.

Students gaining a First in the University's Final Honour School will receive a College prize.

- (ii) Prizes may be awarded for Collections. The College awards a half prize for a first class level in one paper, a full prize for a first class level in two or more papers in College collections and a half prize for a meritorious performance - in particular where there is a marked academic improvement. A Special Prize recognises a wholly exceptional performance.

### 5 Financial Matters

This section covers "Financial Matters" and junior members must read all of the points listed.

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<sup>1</sup> Conference of Colleges Appeal Tribunal ('The Tribunal') Regulations, <https://weblearn.ox.ac.uk/access/content/group/test1-conf-coll/Public%20Documents/Appeal%20Tribunal/Conference%20of%20Colleges%20Appeal%20Tribunal%202011-12/CCAT%20Regulations%20February%202012.pdf>

<sup>2</sup> Plagiarism

<http://www.ox.ac.uk/students/academic/guidance/skills/plagiarism>

<sup>3</sup> [http://www.admin.ox.ac.uk/statutes/352-051a.shtml#\\_Toc28142344](http://www.admin.ox.ac.uk/statutes/352-051a.shtml#_Toc28142344)

## 5.1 Payment of fees and charges

- (i) Members of the College are required to pay their debts to both the College and the University by the due dates.
- (ii) Fees, charges and dues payable to the College by Junior Members are handled by the Treasury.
- (iii) For the purpose of this clause, debts shall include fees, rent, battels or any penalties or charges imposed on the member.
- (iv) Termly debts payable to the College are payable by the beginning of Week 3 in Michaelmas Term and the beginning of Week 2 in Hilary and Trinity Terms. The Treasurer may, if in his opinion good cause is shown, agree to an extension of time for payment, provided application is made before the due date.
- (v) Where a Junior Member fails to pay fees which are due and payable, whether to the College or the University. If the fees are owed to the College, the Treasurer may in consultation with the Principal and Senior Tutor require the member to withdraw temporarily from the College until the debt is discharged or impose such conditions as to payment as she sees fit. Any such conditions and temporary withdrawal will be reasonable and proportionate to the sum owed. If the fees are owed to the university the College will notify the University which will follow its own suspension process.
- (vi) The Junior Member may appeal to the Disciplinary Adjudication Committee against any requirement to withdraw temporarily from the College.
- (vii) In addition to any action taken to recover the debt, a junior member who has not paid her debts to the College by the due date is liable to be charged an extra fee of £5.00 for each weekday during which she is in arrears.
- (viii) Normally fees will not be refunded to or on behalf of any junior member.
- (ix) Any junior member issuing a cheque in favour of the College which is subsequently dishonoured shall be charged £30 administration costs and the original debt shall be resurrected, save that the Treasurer shall have discretion to waive the charge if it would be unjust in any particular case.
- (x) An undergraduate who wishes to withdraw before the end of her course must give three months' notice of her intention. In default of such notice she is liable to pay full charges for one term. This provision does not apply to undergraduates who go down voluntarily as a result of failing a Public Examination.

## 6 Disciplinary Matters

This section covers “Disciplinary Matters” and junior members must read all of the points listed.

Note in particular 6.2 about activities which require permission from the Dean and/or the Domestic Bursar.

### 6.1 Discipline

- (i) Junior members are required to read and comply with all College Regulations.
- (ii) Junior members are expected to comply with the College Regulations and any alleged breaches taking place within a ‘College Context’ will be addressed under the College’s procedures for the maintenance of discipline. College Context is defined as Conduct that takes place:
  - on College premises; or
  - in the course of a College event or function, including a College sporting activity; or
  - if it involved the use of College facilities (such as computer networks) or privileges (such as room bookings); or
  - it was committed against any other member, visitor, officer or employee of the College; or
  - it threatens to bring the College into disrepute.

Electronic communications and online activity are within a College Context if they pass through the College’s network or use a College email address, or utilise a College social media account or other account associated with the College. The Dean will decide whether other communications or activity are within a College context having regard to all of the circumstances of the matter, as explained above.

- (iii) No Junior Member shall intentionally or recklessly:
  - a) engage in violent, indecent, disorderly, threatening, or offensive behaviour or language.
  - b) engage in conduct likely to disrupt teaching or study or research or the administration (including domestic administration) of the College or disrupt or attempt to disrupt the lawful exercise of freedom of speech by members, Junior Members and employees of the College or of the University or by visiting speakers or obstruct or attempt to obstruct any officer, employee, or member of the College in the performance of her duties.
  - c) Engage in harassment, including sexual harassment, as defined in the Harassment Policy, or sexual misconduct, which is defined as “any behaviour of a sexual nature which takes place without consent where the person alleged to have carried out the misconduct has no reasonable belief in consent”.
  - d) Engage in any activity likely to cause injury to others or to impair their safety.
  - e) Intentionally or recklessly interfere with or misuse any equipment provided in the interest of health and safety, for example, it is strictly forbidden to

discharge or to remove fire extinguishers unless required to do so in an emergency.

- f) Infringe health and safety regulations or instructions in published notices concerning safety precautions in any part of the College or College houses, for example, lighted candles, incense sticks or cones and similar naked flames pose a fire hazard and are forbidden in Junior Member rooms.
  - g) misuse any part of the IT system, including the network, College computers and printers. The Computing Rules are designed to ensure that the network can be used legally and efficiently for academic study by all members of College. Rules, which are subject to change from time to time, can be viewed online at: <http://www.ict.ox.ac.uk/oxford/rules/>.
  - h) Damage or deface or unreasonably remove any property of the College or of other members of the College.
  - i) No junior member shall use College property otherwise than in accordance with the rules made therefore by any authority of the College. Access the roofs, window ledges, and balcony railings of all College buildings is prohibited and all are strictly out of bounds.
  - j) Interfere with or misuse any equipment provided in the interest of health and safety or infringing safety regulations or instructions in published notices concerning safety precautions in any part of the College or College houses as set out in Regulation 7.7 on Safety.
  - k) Bring a firearm (even if licensed), air pistols, or any other weapons or other objects whose possession in a public place is prohibited by law onto College premises.
  - l) Decline or refuse to obey any reasonable instruction of an officer or employee of the College, including but not limited to its Associate Deans and Porters
  - m) Refuse to disclose his or her name and other relevant details to an officer or an employee or agent of the College, University or of any college in circumstances where it is reasonable to require that that information be given.
  - n) Use, offer or sell or give to any person drugs or other substances, the possession or use or supply of which is illegal.
  - o) Occupy or use or attempt to occupy or use any property or facilities of the College except as may be authorised by the College authorities concerned.
  - p) Forge, falsify or alter expressly or impliedly any University or College certificate or document or knowingly make false statements concerning standing or results obtained in any examination.
  - q) Engage in conduct likely to bring the College into disrepute
- (iv) In order to maintain the health and safety of all members of College, Junior members must comply with the standards of behaviour outlined in the Covid -19 St Anne's College Community Responsibility Agreement. Any repeated or serious breaches of this will be reported to the Dean as an offence. For details of the Covid-19 St Anne's College Community Responsibility Agreement see Appendix, Annex II: Codes of Practice C.8.
- (v) It is essential that all parties to a disciplinary investigation or procedure (including those accused, complainants, witnesses and those supporting their welfare and interests) observe the strictest confidentiality consistent with operating the



procedures. Anyone who reports a sexual offence is legally entitled to remain anonymous for life under the Sexual Offences Act 2003 and it would be a criminal offence to breach their anonymity. Serious accusations, such as of theft and harassment, are potentially defamatory. This is not intended to prevent any party seeking professional legal, health or welfare support, where those professionals are bound by professional codes of confidentiality.

- (vi) Further to the conclusion of a disciplinary process other members of College staff and others who are affected by the outcome may need to be informed as deemed necessary taking into consideration the circumstances of the individual case. This could include senior members of staff such as the Senior Tutor, as well as the Junior Member's Subject Tutor or Graduate Supervisor, and College Staff. If relevant, Departmental Staff may also need to be notified. All documentation regarding the disciplinary procedures must be kept securely and not shared with unauthorised parties. Disciplinary records are retained in line with the Data Protection Act 2018.
- (vii) Breaches of the regulations can trigger automatic administrative charges as a contribution towards the costs incurred by the University and/or the College in dealing with the misuse. These administrative charges will be passed directly to the junior member responsible. Any breach of regulations will also be reported to the Dean and/or University Proctors who may take further action.
- (viii) The Governing Body reserves the right to take action in cases where a junior member has been found guilty by a criminal court or has been proceeded against by the University Proctors. Moreover, a junior member must inform the Principal, in writing, within 48 hours of being told that they are subject to any form of criminal proceeding or being proceeded against by the University Proctors. Finally, a junior member must keep the Principal informed, in writing, of the progress and outcome of any case previously reported under this Regulation.
- (ix) The Dean will normally notify Personal Tutors when junior members commit certain serious disciplinary offences and are engaged in behaviour, including alcohol-related incidents and anti-social behaviour that runs seriously counter to the purpose and culture of the College as a place of study.

## 6.2 Activities for which decanal permission is required

- (i) Permission must be obtained from the Dean for giving interviews on College premises to the media, including newspapers, on-line newspapers, television or radio.

[This is not intended to prohibit the peaceful exercise of the liberties of freedom of expression or of association (see Annexe II.C.1 (Freedom of Expression)).]

- (ii) The Dean, in consultation with the Domestic Bursar, has overall responsibility for student events which take place in college. Permission in the first instance must be obtained from the Domestic Bursar for the giving of parties or the holding of meetings or any other functions with external speakers on College premises. The Dean may be asked to specify any conditions on which such functions may be held. This is not intended to prohibit the peaceful exercise of the liberties of freedom of expression or of association (see Annexe II.C.1 (Freedom of Expression)). Ten days' notice is required.
- (iii) Following the granting of permission arrangements for the use of any public area in College are to be made with the Deputy Domestic Bursar. Seven days' notice is required. All electrical equipment used must be issued with a current PAT certificate beforehand.

### 6.3 Penalties

- (i) In cases where there is an allegation of behaviour in breach of the College Regulations the Dean shall investigate the matter and interview the junior member against whom the allegation has been made.
- (ii) The Dean and in her absence the Senior Tutor shall have the power to impose fines up to £150, and/or to impose such other penalties as she considers appropriate (except that she may not rusticate a junior member, or require her to withdraw from College, or expel her) and/or to require such compensatory payments or actions as she considers fit. A record shall be kept of any penalties imposed and any other measures required, and the Dean shall report these to the Governing Body at the end of each academic year. When a penalty for a breach of discipline has been imposed under the terms of this clause, the junior member concerned shall forthwith be told of her right to appeal to the Disciplinary Adjudication Committee as set out in By-law 3.13. An appeal must be made in writing within seven days of the penalty being imposed, and must state the grounds for appeal.

At any time when there is no requirement to reside in Oxford placed on junior members of the College by the University Proctors, then the penalties that the Dean (and in her absence the Senior Tutor) may impose under section 6.3(ii) will include, where appropriate, the power to require students to leave residential accommodation provided by the College within 24hours for a specified period or indefinitely. She may also, as appropriate, impose a ban on attending the College site or the use of specified facilities such as the Bar or Dining Hall. Such penalties may be imposed with immediate effect and are subject to the usual appeal mechanisms, although notification of an appeal will not delay the imposition of the sanction.

- (iii) In the event of non-payment of any disciplinary fine by the deadline specified for payment, and so long as no appeal has been lodged, the fine will be increased by 50% and the Junior Member may be rusticated as in (iv) below.
- (iv) If the Dean considers that the breach of the College Regulations is sufficiently serious as to warrant a penalty greater than she is empowered to impose under Regulation 6.3 (ii), or in the event of non-payment of a fine as detailed in 6.3(iii) above, she shall refer the matter to the Principal. The Principal, in consultation with the Dean, shall have power to rusticate and to recommend that a junior member be required to withdraw or be expelled. Any such action shall be reported to the Governing Body.
- (v) Where the Principal and Dean have rusticated a junior member or recommended that a junior member be required to withdraw or be expelled for reasons involving a breach of discipline, the junior member may appeal to the Disciplinary Adjudication Committee as set out in By-law 2.6. An appeal must be made in writing within seven days of the penalty being imposed, and must state the grounds for appeal.

#### 6.4 Procedure

The procedure for disciplinary matters are set out in Annexe I

## 7 College Premises and College Property

This section covers “College Premises and Property”. This section has many detailed points and, in particular, covers many aspects of living and working in College. It sets out standards of behaviour that are essential for a large community living together and committed to academic excellence. Some of the points cover the safety and security of individuals. Thus, a clear understanding of this section is vital.

### 7.1 Damage to College property

- (i) Damage to College property or to that of its members must be reported to the Accommodation Department at once. The cost of repairing damage will be charged to the person responsible or to the group of junior members involved in causing the damage, if this group can be identified.
- (ii) Residents in College and College houses may be held responsible for any damage done in their rooms and for the behaviour of other people in their rooms. Damage in communal areas of a particular staircase (Ruth Deech Building) or floor (Wolfson, Rayne, Claire Palley and Trenaman) or house may be charged to a particular group of students from that location if the person responsible does not identify herself.
- (iii) Junior members should affix notices to noticeboards and not to other surfaces (e.g., doors and windows). Notices not on noticeboards will be removed.

## 7.2 Occupation of rooms

- (i) Junior members who live in College rooms are required to keep their rooms in a reasonable state of tidiness and to allow access when necessary for the purpose of management, maintenance and cleaning and in any emergency.
- (ii) Junior members are not allowed to keep any kind of pet or live animal in their rooms or elsewhere on College premises.
- (iii) Students are issued with a key to their room at the beginning of each academic year. The key must be carefully safeguarded. If the key or fob is lost or not returned upon going down for Vacation, students will be charged £30 to replace the key or fob. If the student does not immediately return the key or fob on going down, they must not use that key or fob on return to College because the “check-in” at the Lodge must be performed first. [In the past, a student has returned early and used the key only to find a guest in their room causing significant embarrassment.]

When a student needs temporarily to borrow the spare key to their room, she will be asked for a £10 deposit or her University Card by the Lodge. This will be returned to the student when the spare key is returned to the Lodge.

- (iv) Students are not permitted to make their own copies of keys to their room.

## 7.3 Use of public rooms

- (i) Permission must be obtained from the Domestic Bursar for use of the Hall, common rooms, lecture rooms and seminar rooms and gardens and any other College property. (See also 6.2(iii).)

- (ii) Prohibition of smoking

The College is generally a no smoking area and there are designated places where smoking materials may be used (known as Smoking Points marked with grey bins and shown on the College site plan). Smoking is not permitted in any other location. As far as electronic cigarettes are concerned, they must only be used outside, but not necessarily at Smoking Points. They may be used in places with benches that are not next to a Smoking Point. Care should be taken when disposing of this material.

- (iii) Music hours

The Music Practice Rooms may be used between the hours of 8.00 am and 10.00 pm. Users must sign the book at the Lodge for the period required. The piano in the Annie Barnes Room is limited to Music students and those nominated by the Tutor in Music.

The permission of the Tutor in Music must be obtained for use of the pianos in the Annie Barnes Room and the Mary Ogilvie Lecture Theatre.

#### 7.4 Noise

- (i) Junior members are required not to disturb their neighbours. In particular noise must be kept to a minimum between 23.30 and 08.00. Junior members and their guests should take care to enter and leave College buildings as quietly as possible.

[Junior members are asked to note that conversations on stairs, in corridors, in kitchens and in the Library can distract those working.]

- (ii) Musical instruments and all forms of audio equipment unless inaudible in neighbouring rooms may not be played except with the permission of the Dean.

#### 7.5 Visitors

- (i) Visitors, whether accompanied by a member of the College or not, may enter and leave College at any time. However, as a security measure in the interests of all College members, the porters have the right to challenge anyone behaving suspiciously or in an anti-social manner.

- (ii) Junior members are responsible for those they have invited on to College premises and will be charged for any damage caused by such visitors.

- (iii) No junior member shall allow a guest to occupy her room in her absence.

- (iv) Guests may stay overnight in guest rooms, which must be booked in advance through the Accommodation Department, or in junior members' rooms. A junior member must not put up a guest overnight in her own room for more than two nights in any period of seven days. Only one guest per junior member may be accommodated at a time and the presence of a guest should not cause nuisance to neighbours or inconvenience them in their use of College facilities. A junior member intending to have a guest staying in her own room overnight must enter her own name and room number in the Guest Book at the Lodge as a safety precaution in case of fire.

[A charge is made for the use of a guest room, to include breakfast and laundry.]

#### 7.6 Security

- (i) Any criminal incident must be reported to the Lodge without delay.
- (ii) Junior members must ensure that gates and doors to rooms and buildings are locked or closed behind them. Junior members must lock their College rooms whenever they leave the room, even if this is only for a short while.
- (iii) Gate or door lock codes should never be divulged to individuals who are not St Anne's members or who do not have a legitimate reason to have access to College premises.

- (iv) Access to and from the College site is via the Lodge (or external gates during normal working hours). The climbing of walls, fences or gates is forbidden.
- (v) The College Nursery and courtyard are out of bounds excepting those students who are carers of children in the nursery.

## 7.7 Safety

- (i) Junior members shall not intentionally or recklessly interfere with or misuse any equipment provided in the interest of health and safety.
- (ii) Junior members shall not infringe safety regulations or instructions in published notices concerning safety precautions in any part of the College or College houses. It is strictly forbidden to discharge or to remove fire extinguishers unless required to do so in an emergency. Lighted candles, incense sticks or cones and similar naked flames pose a fire hazard and are forbidden in student rooms.

Interference with any fire precaution installations is a serious disciplinary offence and carries a minimum penalty of rustication for one week, a fine of £50, plus, if appropriate, the cost of any damage (or replacement) incurred.

- (iii) Junior members shall not smoke except in designated smoking areas (see 7.1 (ii))
- (iii) Cooking or toasting food in College outside the designated kitchens is forbidden. [Smoke can set off fire alarms.]
- (iv) Playing ball games, (with the exception of croquet in Trinity Term on the quad behind Claire Palley Building), kicking or throwing balls or similar objects of any material (including “frisbees”) is not permitted on the College site. Balls must be carried within the College (e.g. on the way to a match) and not kicked or dribbled.
- (v) Recycling bins must be kept in bedrooms and should not be kept in corridors or on balconies.

## 7.8 Use of electrical equipment

- (i) A junior member must make sure that her own equipment is electrically safe. If she sees equipment which is unsafe she has an obligation to take action, either by persuading the owner to do something about it; or failing that, by reporting it to the Estates Manager.

[In case of doubt, advice should be sought from the Estates Manager.]

- (ii) No power may be taken from the sockets in the corridors.

[These are strictly for the use of cleaning and maintenance staff.]

- (iii) No cooking equipment (toasters, coffee makers, rice cookers, microwaves etc.) may be used in any College room.

[This is unnecessary, as kitchen facilities are provided in all houses.]

- (iv) All appliances with a maximum power over 400 watts must be fitted with a standard 13 amp fused plug (the large plugs with square pins).
- (v) Any adaptor or multiple trailing socket that is connected to a 13 amp socket must be fitted with a fuse (13 amp or less).
- (vi) Junior members are required to make sure the plugs on all their electrical equipment are appropriately fused.
- (vii) The Bursary staff or Dean may prohibit the use in the College of specific electrical equipment if they consider it to be unsafe.

## 7.9 Kitchens

- (i) Kitchens are for the use of occupants of the building or staircase (plus invited guests). No Kitchen is to be used as a centre for parties which stop other occupants using the facilities. Users of the JCR Computer Room and Laundry in 58/60 Woodstock have no right of access to this building's Kitchen.

## 8 Bicycles and Motor Vehicles

### 8.1 Bicycles

- (i) Junior members are encouraged not to cycle without wearing a helmet.  
[Helmets may be purchased at the Lodge.]
- (ii) Cycling is forbidden throughout the College for safety reasons.
- (iii) Bicycles may be left only in bicycle stands located at the rear of College adjacent to the Banbury Road. The bicycle stands located at 27 and 37 Banbury Road and 48 Woodstock Road are for Fellows and Lecturers using those buildings. Bicycles must not be left in corridors, passageways, rooms or blocking entrances, nor along the wall in front of the Gatehouse. Incorrectly parked bicycles will be removed and locked away by Lodge Porters.
- (iv) Bicycles must be registered with the University Security Scheme (free packs available at the Lodge). Bicycles abandoned on the College premises either when junior members leave the College or when bicycles become unusable or are left unclaimed will be sold. Once a year all bicycles will be examined, and unidentified or unclaimed bicycles will be removed for sale. Prior notice of the removal will appear on College notice boards and via email.

- (v) When a student requests a bicycle lock to be cut (because she has lost the key), College will only do this if the bicycle is registered and upon payment of a £10 charge.  
[Junior members should be aware that cycle theft in Oxford is very common. They are strongly advised that any bicycle left unattended should be secured with a good lock.]

## 8.2 Motor vehicles

- (i) The University and Oxford City Council actively discourage students from bringing cars, motor cycles, mopeds and scooters to Oxford.
- (ii) No vehicle may be parked on the main College site except for the purposes of unloading and loading at the beginning and end of term.

## 9 Welfare Matters

### 9.1 Welfare provision and Advisers

Junior members who wish to raise any disciplinary or personal or academic issues or matters connected with these Regulations or who wish to discuss any College or other problems in confidence, may contact any of those listed below.

Personal Tutors  
Dean  
Assistant Deans  
Welfare Dean  
Advisers to junior members  
Senior Tutor  
Academic Registrar  
Treasurer  
Domestic Bursar  
College Counsellor  
College Nurse  
College Doctors  
Principal

### 9.2 Medical requirements

- (i) Junior members in residence must register with a General Practitioner in Oxford.
- (ii) New members of the College must notify the College Registrar by the end of Week 3 of Michaelmas Term of the name and address of their doctor in Oxford.
- (iii) Any subsequent change of doctor must be notified to the College Registrar.

[The Dean and the College Lodge hold lists of registrations based on these returns which require to be kept up to date. In cases of serious illness, accident



or other emergency it is important for the College to be able to find out quickly the name of the general practitioner concerned. Registration may, but need not be, with the College doctors. A list of other doctors with surgeries near the College can be seen at <http://www.nhs.uk/servicedirectories/pages/Trust.aspx?id=5QE&v=2.>]

### 9.3 Illness

- (i) The term 'illness' includes any mental or physical condition which renders a junior member unfit for academic work.
- (ii) In the case of contagious or infectious diseases the junior member concerned may be required to move out of residence without delay, subject to satisfactory arrangements for alternative accommodation being made.
- (iii) Illness, including personality disturbance manifesting itself in disruptive conduct, may be a ground for imposing conditions on remaining in residence, for suspension or in severe cases for requiring withdrawal from the College, having regard to the obligations of the College under the Equality Act 2010.
- (iv) A junior member who is by reason of illness unfit for academic work or who is likely to disrupt the life of the College or of some of its members, or may bring the College into disrepute, shall be required to refrain from such behaviour and may have further conditions imposed upon her including but not limited to temporary exclusion from the College.

In the event that the student disputes the recommendation of the Senior Tutor to seek immediate medical help, the student shall be required to obtain reports from two medical professionals on her condition. In considering these reports, the College may seek the advice of a medical professional before making any stipulations.

In the event of non-compliance with any stipulations imposed, including failure to obtain satisfactory medical reports, the case shall be referred to the Academic Adjudication Committee. The Academic Adjudication Committee may permit the junior member, subject to conditions it prescribes, to remain in residence or may require the junior member to withdraw until the conditions have been complied with, or medical reports to its satisfaction have been presented to it. In cases of seriously disruptive behaviour or where the undergraduate is likely to bring the College into serious disrepute, the Academic Adjudication Committee may also recommend to the Governing Body that the junior member be expelled.

- (v) An undergraduate who is given permission to withdraw voluntarily for a period on grounds of illness shall be informed in writing at the time this permission is granted that she will be required to comply with stated conditions before she is allowed to return to residence. These conditions shall include the requirement to obtain from her College doctor a medical report indicating her fitness to resume her course and may include academic conditions drawn up by the Personal Tutor in consultation with the Senior Tutor.

In the event of non-compliance with any condition imposed, including failure to obtain a satisfactory medical report, the case shall be referred to the Academic Adjudication Committee.

The Committee may permit the undergraduate, subject to conditions it prescribes to resume her course, or may require the continued suspension of her College membership until the conditions have been complied with to the satisfaction of the Committee, or it may decide that the undergraduate shall be required to withdraw from the College.

- (vi) In any case where, in the opinion of the Academic Adjudication Committee having considered the evidence, it would be seriously disruptive of the work of any person within the College community, or the conduct of a junior member who is ill is likely to bring the College into serious disrepute, it may recommend to the Governing Body that the junior member be expelled.
- (vii) Following completion of the internal process, College may refer a case to the University's Fitness to Study Panel. The Panel shall only consider a student's fitness to study where all other normal procedures (whether at college or University level) have been exhausted or are inappropriate. Further information may be accessed via the University's Statutes and Regulations.

#### 9.4 Drugs

It is a criminal offence to take, possess, manufacture, pass to others or sell certain drugs, or to be knowingly concerned in the management of premises where any of these things is done.

- (i) A junior member who becomes involved in possession, taking, manufacturing, passing to others, or selling hard drugs (defined as Class A by the 1971 Misuse of Drugs Act e.g. heroin, amphetamine sulphate, LSD, cocaine, 'crack', ecstasy, etc.) must expect to be expelled by the College following procedures given in the By-laws.
- (ii) Governing Body also takes a very serious view of involvement with drugs defined as Classes B and C by the 1971 Misuse of Drugs Act. According to the circumstances of individual cases, it would take disciplinary action up to and including expulsion following procedures given in the By-laws. Junior members involved in distributing such drugs can expect to be required to withdraw.
- (iii) Governing Body wishes to stress the risks of the abuse of drugs:
  - (a) although addiction to drugs is sometimes curable, it is commonly not; therapy is usually a prolonged and specialised matter;
  - (b) drug taking may involve further health risks, e.g. exposure to infection with hepatitis, AIDS and other diseases, and risks to personal safety;
  - (c) because of the very high cost of such drugs, taking them may lead to selling them and to other forms of criminal activity.

- (v) While Governing Body believes that strict disciplinary actions are required in the interest of the College as a whole and of all its members, it also recognises a pastoral duty towards individuals who might become involved with drugs. In pursuance of this pastoral duty, it would recommend one or other of the following courses of action to anyone with a drugs problem:
- (a) they might seek medical help, either from the College Doctor (telephone Oxford 311234) or another general practitioner or by direct self-referral to the Drugs Clinic at the Littlemore Hospital (the Ley Clinic, telephone Oxford 778911). The College Doctor is, like all other doctors, bound by the rules of medical confidentiality and will not inform the College authorities without the patient's consent;
  - (b) They might seek help from the various counselling services:
    - The University Counselling Service (telephone Oxford 270270)
    - Nightline (telephone Oxford 53456)
    - The Samaritans (telephone Oxford 722122)
    - The Libra Project (telephone Oxford 749800)
    - Chiltern Clinic, Warneford Hospital (telephone Oxford 226287)
  - (c) They might approach the Fellows appointed as Advisors to Junior Members, or the Principal, a tutor or officer of the College, bearing in mind that a senior member's responsibility to other members of the College might impose some limit on the degree of confidentiality which could be maintained.
  - (d) It is open to any member of College to approach the Drugs Squad of the Thames Valley Police (telephone Oxford 249881).

[This course of action might be appropriate for a person wishing, in the public interest, to assist with the conviction of drugs suppliers; in such circumstances, the police might be expected to maintain confidentiality.]
  - (e) Above all, Governing Body advises all junior members, in their own and in the general interest, to keep clear of involvement with illegal drugs in any shape or form.

## **ANNEXE I: Disciplinary Procedure**

The disciplinary processes will be kept separate from issues of academic progress, monitoring and support.

The standard of proof for findings that there has been a breach of the College Regulations will be the balance of probabilities. The case against a student will be presented by the College's presenting officer and not (if applicable) the student complainant. The burden of proof lies with the College. For the avoidance of doubt, it is not for the accused student to prove they have not breached the College Regulations.

Any time limits may be extended at the discretion of the Dean, Principal or the Disciplinary Adjudication Committee

The Dean may delegate her part or aspects of it to other members of the College who are suitably qualified or to an external investigator. Any reference to the Dean shall also refer to the Dean's delegate.

The Principal may delegate her part of the process or aspects of it to other members of the College who are suitably qualified or to an external expert, including but not limited to another Head of House, with their agreement. Any reference to the Principal shall also refer to the Principal's delegate.

Anonymous reports will only be considered under this procedure in exceptional circumstances where there are compelling reasons to do so. Malicious or vexatious allegations may result in disciplinary action against the complainant.

Once an allegation has been determined under this process, it will not usually be reconsidered, other than by way of an appeal. However, the Dean may determine that it is appropriate to reconsider an allegation in the event that new evidence emerges which, for good reason, could not have been obtained by the College at the time. In deciding whether it is appropriate to consider an allegation for a second time, the College will consider:

- Whether the outcome of the first process has been called into question, and if so why;
- The length of time that has elapsed and the effect of this on the reliability of any evidence to be considered;
- The severity of the alleged offence; and
- The impact on the Junior Member, or other individuals who would be involved in a second disciplinary process.

The Governing Body reserves the right to take action in cases where a junior member has been found guilty by a criminal court or has been proceeded against by the University Proctors. Moreover, a junior member must inform the Principal, in writing, within 48 hours of being told that they are subject to any form of criminal proceeding or being proceeded against by the University Proctors. Finally, a Junior Member must keep the Principal informed, in writing, of the progress and outcome of any case previously reported under this Regulation.

### **Investigation and Summary Process**

In the event of an alleged breach of the College Regulations, the Dean shall write to the Junior Member and require them to attend for interview at a time and place stipulated. The Dean will provide the Junior Member with details of the alleged breach of the College Regulations. For the avoidance of doubt a summons by the Dean has precedence over all other commitments.

In the event the allegations relate to conduct which could amount to serious criminal conduct, or sexual harassment or violence, the College may specify any additional procedures or considerations in its Regulations.

In such cases the Dean has the discretion to seek assistance from a legally qualified advisor to assist with matters of process.

The Junior Member may be accompanied by a third party to their interview. The Disciplinary Procedures are internal to the College and do not have the same degree of formality as a court of law. It will not be appropriate, in most cases, for any party to be legally represented at any stage of the Disciplinary Procedures. Junior Members may apply for permission to be legally represented in exceptional circumstances. The decision about whether to allow the Junior Member to be represented will be made by the Dean.

Before interviewing a Junior Member, the Dean will explain:

- that the Junior Member does not have to answer questions and that any responses or documents provided may be used by the College in evidence against the subject;
- that, if the reported conduct could constitute a criminal offence, the police might be able to obtain any records from the disciplinary process in a future investigation; and
- that if the Junior Member refuses to answer questions this may be taken into account.
- The Dean shall make reasonable efforts to obtain all relevant evidence from the Junior Member and from witnesses, whether orally or in writing.
- The interview may be adjourned if either the Dean or the Junior Member reasonably require evidence in relation to the alleged breach to be provided by other persons.
- If the Junior Member admits the alleged breach, the Dean shall elicit all information about the breach relevant to the penalty and allow the Junior Member a reasonable opportunity to present a justification or excuse for the offence, and evidence in mitigation bearing on the penalty.
- If the Junior Member denies the alleged breach, the Dean shall investigate whether the alleged breach is established.

The Dean can, on a summary basis, impose the following any of the following penalties including in combination:

- A formal warning to remain on the Junior Member's College record for a defined period;
- A fine of up to £150;
- Community service or mandatory training related to the nature of the offence;
- An order not to contact other students (no contact order);
- Suspension from some College privileges, to include social and recreational facilities and premises but nothing which will affect the Junior Member's academic work or access to welfare support.

Before imposing a penalty the Dean must be satisfied from the evidence that, on the balance of probabilities, the offence was committed by that Junior Member, and in circumstances

warranting a penalty; and allow the Junior Member a reasonable opportunity to present a justification or excuse for the offence, and a plea in mitigation bearing on the penalty.

### **Principal's process**

If the Dean considers that the breach of the College Regulations is sufficiently serious as to warrant a penalty greater than she is empowered to impose under these Regulations, or in the event of non-payment of a fine, she shall refer the matter to the Principal.

The Principal has the discretion to appoint a legally qualified legal assessor to assist the Principal in matters of process.

The referral shall state the details of the alleged breach of the College Regulations, including, wherever possible, the time and the names of any complainants or other witnesses.

If possible, within five days of the referral the Principal shall write to the Junior Member and require them to attend for a hearing, to be held in private at a time and place stipulated. The Junior Member will usually be provided with at least five days' notice. In the event the case is particularly complicated the Junior Member may request an extension of this notice period. Factors that could warrant an extension include but are not limited to the case involving a large volume of evidence or the questioning of witnesses.

The Junior Member is entitled to have copies of all documents given to the Principal. The Junior Member is also permitted to recommend witnesses and to submit evidence. If the Junior Member wishes to submit any written evidence, it must be provided to the Principal at least three days before the date of the Hearing.

If any person required to attend such a hearing before the Principal fails to make an appearance, the Principal may, at her discretion, adjourn the proceedings and in particular, if the Junior Member concerned fails to appear, may deal with the case in their absence, if satisfied that proper notice has been given.

The Principal shall permit the Junior Member to be accompanied by a third party. The Disciplinary Procedures are internal to the College and do not have the same degree of formality as a court of law. It will not be appropriate, in most cases, for any party to be legally represented at any stage of the Disciplinary Procedures. Junior Members may apply for permission to be legally represented in exceptional circumstances. The decision about whether to allow the Junior Member to be represented will be made by the Principal.

The Principal shall explain the procedures to be followed at the hearing and shall read out the allegations in the referral.

The Principal, may ask questions of the Junior Member and the Dean and may call witnesses as appropriate.

The Junior Member may make a statement, call witnesses, and ask questions of the witnesses through the Principal. The Junior Member may not cross examine witnesses directly.

The Junior Member and their supporter will leave the room before the Principal reaches a decision.

The Principal shall determine, taking into account any representations made by or on behalf of the Junior Member, whether any breach of the College Regulations has been established.

At the conclusion of the hearing, if a breach has been found, the Principal shall determine the appropriate penalty (if any) taking into account any representation made by or on behalf of the Junior Member.

The Principal shall have the full range of sanctions available to them, including:

- All those available to the Dean,
- Requiring a Junior Member to withdraw from the College either temporarily or permanently.
- Any penalties imposed will be in proportion to the gravity of the offence.

The Principal shall normally inform the Junior Member in writing of its determination within five days. If there is a delay in determination, the Junior Member will be informed.

In accordance with the College Statutes, the Governing Body will confirm the decision to expel a Junior Member; or to require them to withdraw permanently such that their name is removed from the Register.

A list of indicative sanctions is included in the College Regulations.

#### Precautionary measures

The Principal or the Dean may suspend rights of access to all or any specified College premises and facilities as necessary (even in a non-disciplinary situation) to protect the College or any of its members, or as an interim measure pending further investigation or disciplinary proceedings.

Any restrictions placed on a Junior Member in this manner are a neutral act and shall have no bearing on any later decision.

Precautionary measures should aim to cause the minimum restriction necessary to protect the individuals concerned or other members of the College from an identified risk, or to protect an investigation under this procedure, and should take into account safeguarding considerations where relevant.

Precautionary measures are particularly likely to be appropriate in cases involving a risk to any individual's mental or physical health, issues of a highly sensitive or confidential nature and/or where there is a threat of serious disruption to College activities.

The College may also determine that it is appropriate to refer a matter to the police or seek guidance from the police, the University or another appropriate authority, where the report relates to serious criminal conduct and/or where there is a significant imminent risk of harm to Junior Members or staff. Any such referral or consultation will take place in accordance with data protection legislation.

## Appeal

i) There shall be a Disciplinary Adjudication Committee, to which the Governing Body shall delegate the power to take decisions in relation to appeals relating to disciplinary action against Junior Members. For the avoidance of doubt appeals can only be made relating to the outcome of investigation into serious transgressions.

ii) No member of the Governing Body who has had any prior direct involvement in the assessment, investigation, or preliminary hearing, informal or formal, of a particular case, or who has a teaching or pastoral relationship with any of the students involved in the case shall act as a member of the Committee in its consideration of that case.

iii) College Officers shall not be eligible to serve on the Committee.

The Committee shall consist of the Vice-Principal, and of four other members of the Governing Body, who shall be selected alphabetically and serve for one year on the Committee, followed by one year on the panel of reserves to act in place of any member(s) of the Committee debarred from hearing a case by prior involvement in that case or by other good cause.

In exceptional cases, the Vice-Principal may determine that one member of the Committee may be external to College.

The Vice-Principal shall act as the Chairman of the Committee save that, if she is debarred from acting, the Committee shall appoint its own Chairman from among its members.

The Academic Registrar shall act as secretary to the Committee unless she has had any prior direct involvement in the investigation, or preliminary hearing, informal or formal of a particular case. In such an instance, the secretary shall be drawn from the senior administrative staff of the College.

iv) In order for a case to be referred to the Disciplinary Adjudication Committee the Investigation and Summary Procedure (if relevant), or Principal's Procedure (if relevant) must have concluded.

Any request for the referral of a case to the Committee must be made within 14 days of the conclusion of the relevant procedure and must be made in writing to the Principal by the Junior Member concerned, stating her grounds for appeal and special factors, if any, which she considers relevant to showing there has been one of:

- a procedural irregularity;
- new evidence has come to light that was not previously available;
- or an earlier decision was manifestly unreasonable, including that the penalty imposed is disproportionate and therefore unreasonable.

v) If a case is referred to the Disciplinary Adjudication Committee, a meeting of the Committee shall normally be convened within 21 days.

vi) A Junior Member whose case is being considered shall have the right to make further representations in writing. Any such representations must be sent to the Academic Registrar on behalf of the Disciplinary Adjudication Committee at least 7 days before the Committee is convened.



vii) The Disciplinary Adjudication Committee may, after taking into account any representations which the Junior Member has made in writing, accept, modify, or reject the earlier ruling. The Disciplinary Adjudication Committee shall inform the Junior Member in writing, as soon as practicable of its determination that there has been a procedural irregularity; that new evidence that was not previously available has been accepted; or an earlier decision was manifestly unreasonable.

viii) If the decision is that the Junior Member be required to permanently withdraw from the College or be expelled then the Junior Member shall be informed at the same time of her right to approach the Conference of Colleges Appeal Tribunal for review. When the Conference of Colleges Appeal Tribunal has determined the appeal, the Junior Member shall be informed that the internal complaints procedures have been exhausted, and of her right to complain to the Office of the Independent Adjudicator for Higher Education.

ix) If following the completion of all appeal processes, a decision to expel the Junior Member, or to require them to withdraw permanently, is upheld, this must be confirmed by Governing Body.

x) In the event that a penalty has been imposed but the Junior Member has not been required to withdraw from the College and has not been expelled, the Junior Member shall be informed of her right to complain to the Office of the Independent Adjudicator for Higher Education at the conclusion of the Disciplinary Adjudication Committee process.

## **ANNEXE II: Codes of Practice**

### C.1. Freedom of Expression

#### **CODE OF PRACTICE ON FREEDOM OF EXPRESSION INCLUDING SPEECH, DISPLAY OF NOTICES, TEMPORARY SIGNS, AND THE DISTRIBUTION OF LITERATURE**

Issued by the Governing Body of St Anne's College on 1st September 1987 pursuant to its statutory duty under Section 43 (3) of the Education (No 2) Act 1986, as amended on 31st October 2001

#### **I. INTRODUCTION**

##### **Statutory Obligations**

The Education (No 2) Act 1986, Section 43, imposes on the authorities of universities and their constituent colleges obligations to safeguard the lawful exercise of freedom of speech and requires each of them to issue a code of practice to facilitate the discharge of its duties under the Act. The authorities are further required to take such steps as are reasonably practicable (including where appropriate the initiation of disciplinary measures) to ensure compliance with the code of practice. The duties imposed by Parliament in section 43 of the above Act, and the interpretation provisions, are set out in Appendix 1 hereto.

The University's own statutes include under Tit. XIII (Of University Discipline) the provisions set out in Appendix 2 hereto.

In addition to the specific provisions of this Code, the College's Regulations include the provisions set out in Appendix 3 hereto.

This Code of Practice operates in accordance with the Counter-Terrorism and Security Act 2015 which imposes a duty on the College to have 'due regard to the need to prevent people from being drawn into terrorism' (the PREVENT duty) and full account should be taken of this Act and any relevant College policies, codes of practice and statements, including the 'Free Speech Statement for St Anne's College' adopted by Governing Body on 18/05/2016 and set out in Appendix 4 hereto.

## II. CODE OF PRACTICE

The following provisions constitute the Code of Practice adopted by St Anne's College to operate with effect from 1st September 1987, as amended on 31st October 2001 to facilitate the discharge of the duty imposed by Section 43 (1) of the Education (No. 2) Act 1986 in relation to the College.

### PART 1 – General Duties

#### 1. General duty to uphold freedom of expression

Members, students, and employees of the College are bound at all times so to conduct themselves as to ensure that freedom of expression within the law is secured for members, students and employees of the College and for visiting speakers.

#### 2. The term "freedom of expression" includes freedom of speech and other forms of expression including but not limited to the display of posters, notices, temporary signs and distribution of literature. Particular provisions are made in section 18 below relating to such displays and distribution.

#### 3. The freedom protected by para. 1 of this Code of Practice is confined to the exercise of freedom of expression within the law. Examples of expressions which involve a breach of the criminal law are incitement to commit a crime including incitement to being drawn into terrorism, stirring up racial hatred and causing unlawful harassment, alarm or distress in contravention of statute. Expressions may also be unlawful if they are defamatory, obscene, indecent, in breach of confidentiality or copyright or constitute a contempt of court.

#### 4. The term "unlawful conduct" wherever it occurs in this Code of Practice shall be deemed to include conduct in breach of the civil law, the criminal law or conduct which does not conform to the principles of this Code.

#### 5. General duty not to impede access to, or egress from, places at which the right of freedom of expression is exercised on premises of the College.

Subject to such limitations on access as may lawfully be imposed by the competent College authorities, it shall be the duty of every member, student, and employee of the College not to impede any person entitled to be present, from entering or leaving a place where the right of freedom of expression is being or is to be exercised on premises of the College, or premises hired by the College.

6. For the avoidance of doubt it is lawful for the College to deny access to any individual or body of persons to premises of the College, or premises hired by the College where there is reason to believe that such individual or body of persons will commit unlawful conduct or where the presence of such individual or body at those premises is reasonably considered to be likely to lead commission of unlawful conduct or to cause damage to those premises.
7. This Code is designed to ensure that all duly authorised meetings and activities will proceed without disruption, without access or exit of speakers or audience being improperly impeded, without the safety of those attending being endangered, without intimidation and without breach of the peace.
8. Right of peaceful protest  
  
Nothing in this Code of Practice shall be taken to prohibit the legitimate exercise of the right to protest by peaceful means; provided always that nothing is done which contravenes the foregoing general principles, or the other requirements of this Code, or which is unlawful and contravenes the Statutes, Bylaws or Regulations of the College and/or of the University.

#### PART 2 – Academic Activities

9. All persons concerned with the organisation or conduct of an activity which forms part of the College's teaching, study or research (such as a tutorial, lecture, seminar, class, conference, research work or examination) shall immediately give notice to the Dean, or in his/her absence a Fellow designated by him/her to act as his/her delegate, of any facts coming to their notice which indicate that such activity is likely to be delayed or disrupted by unlawful conduct.
10. The Dean shall be empowered to give such directions and to adopt such measures as seem appropriate to the Dean to prevent or minimize the delay or disruption of an academic activity and all persons concerned with organisation or conduct of the academic activity under threat shall co-operate in carrying out the Dean's directions and in facilitating the measures adopted.
11. In the event that any academic activity is delayed or disrupted unlawful conduct, a report shall forthwith be made to the Dean by the person or persons responsible for the conduct of such activity.

#### PART 3 – Meetings and assemblies on premises of (or hired by) the College of clubs, societies and other organisations

12. (i) The holding of meetings or any other functions on College premises (or premises hired by the College) requires leave from the Dean who may specify any conditions on which such functions may be held.
- (ii) Use of the Hall, common rooms, lecture rooms, seminar rooms, gardens and any other College property requires the permission of the Bursar and the Dean, preferably in that order.

13. Any member, student or employee of the College who, whether alone or in collaboration with other persons, makes arrangements for the holding on premises of the College of any meeting or assembly of persons (including any meeting of any club, society or other organisation and whether with or without a restriction to College membership), and who becomes aware of facts indicating that such a meeting or assembly is likely to be delayed or disrupted by unlawful conduct, shall immediately report such facts to the Dean.
14. In relation to any such meeting or assembly which he believes to be threatened, the Dean shall be empowered to give such directions and to require the adoption of such measures as seen appropriate to the Dean to prevent or minimise the improper delay or disruption and all persons concerned shall be bound to co-operate in carrying out the Dean's directions and facilitating the measures required to be adopted.

#### PART 4 – Powers of the Dean in relation to threatened meetings

15. (i) Directions and measures to be adopted  
In relation to any academic activity or any meeting or assembly of persons which the Dean believes to be threatened by disruption, the Dean may give direction and require measures to be adopted pursuant to paras. 10 and 14 of this Code on the following (amongst other) matters:-
  - (a) the number of persons to be admitted to the premises where the meeting is to be held;
  - (b) the issue of tickets of admission;
  - (c) the designation of one or more persons as the official organisers of the meeting with direct responsibility to the Dean for all the arrangements thereof;
  - (d) the designation of a person as the chairman of the meeting with responsibility for the proper conduct of such meeting;
  - (e) the admission (or non-admission as the case may be) of members of the University who are not members of the College, or members of the public generally;
  - (f) the appointment of stewards to assist with the control of the meeting;
  - (g) the employment of security staff to ensure the orderly of the meeting and safe access to egress from the meeting;
  - (h) the carrying of banners, placards, flags and similar objects into the meeting;
  - (i) the place where the meeting is to be held and planning of entry/exit routes, timing and duration of the meeting;
  - (j) liaison and cooperation with the police;

- (k) requiring the meeting to be declared public (which would permit a police presence);
  - (l) control of press, radio and TV reporting facilities;
  - (m) the Dean may nominate a Controlling Officer who shall have the right to be present on behalf of the College at a meeting and who may issue directions to the participants if considered necessary, including, but not limited to, the requirement of the withdrawal of persons or the closure of the meeting or event;
  - (n) conditions that no article or object may be taken onto any College premises in circumstances likely to lead into intimidation, injury or damage.
- (ii) The organiser of a meeting or event is required to satisfy the Dean that all such conditions will be complied with. Permission to hold the meeting or activity may be refused or cancelled by the Dean where such assurance is not provided.

- (iii) Meetings where serious disruption is foreseen

The Dean may as necessary consult with the Proctors and the local police about forthcoming meetings and activities covered by this Code of Practice. In any case where serious disruption may be anticipated the Dean shall have power, having taken into consideration such advice from the police as may be available, to order the cancellation, postponement or relocation of the meeting.

- (iv) Expenses incurred in safeguarding academic activities and other meetings

Where expenses are incurred (eg in the engagement of stewards or the employment of security staff) to safeguard an academic activity under Part 2 of this Code of Practice the cost thereof shall be borne by the College. In all other cases the cost shall be borne by the person or persons organising the meeting, save that the Dean may (is so advised) make representations to the Governing Body of the College suggesting that the cost shall be borne in whole or in part by the College and the Governing Body may decide the matter.

#### PART 5 – College premises made available for use by outside organisations

16. In any case where the College is proposing to grant permission to an outside organisation or group to hold meeting on its premises, the attention of such outside organisation or group will be drawn to the contents of this Code of Practice and permission to use the premises may be refused unless the outside organisation or group both undertakes to secure that the principles embodied in this Code will be upheld and satisfies the College authorities of its ability to discharge its obligations in regard to upholding freedom of expression.

#### PART 6 – Refusal to Authorise Event or Withdrawal of Authorisation

17.1 The Dean has the authority to refuse the College facilities for any meeting or activity:

17.1.1 on the ground referred to in Paragraph 6 above (likelihood of unlawful conduct etc); or

17.1.2 by reason of the likelihood of:

- (a) breach of the provision of Paragraph 7 above; or
- (b) breach of any conditions under Paragraph 15 above; or
- (c) breach of any of the provisions of this Code; or

17.1.3 Failure to meet any of the conditions made under Paragraph 15 above or otherwise under this Code.

17.2 The authority in Paragraph 17.1 may be exercised at any time, even after the meeting or event has commenced, and even if the Dean has previously agreed to allow the meeting or event to proceed, whether or not subject to conditions.

17.3 Nothing in this Code shall preclude refusal to accept a booking on administrative grounds, such as unavailability of suitable accommodation, inability to agree arrangements, past payment record, past behaviour record, inadequate notice, etc.

#### PART 7 – Display of Posters, Notices, Temporary, Signs and the Distribution of Literature

18.1 The display of posters, notices and temporary signs is restricted to the College's officially designated notice-boards and to the College's official portable purpose-built signposts or to other official portable purpose-built signposts authorised by an appropriate College officer. The display of such material on doors, walls or any other surface either internal or external is not permitted (except for appropriate safety or emergency notices when authorised by an appropriate College officer).

18.2 Before any material is displayed or made available for public distribution, permission to display such material on notice-boards or to deposit such material at distribution points must first be obtained from the person, office or organisation designated as responsible for the notice-board or distribution point.

18.3 Except for official College notices and official distribution points, permission to display or distribution will normally be granted only to staff and students representing recognised internal groups, societies or other organisations.

18.4 Display material should normally be presented in the English Language or accompanied by an English language translation.

18.5 Material displayed in contravention of these rules will be removed and the perpetrator(s) required to pay for the cost of such removal together with the cost of any necessary repairs or cleaning to surfaces.

18.6 Any displayed material, whether in single-sheet, pamphlet or booklet form, must contain the name of the group responsible for its promulgation and the name and department/address of an authorised person/officer.

- 18.7 Breaches of these rules may be treated as misconduct under the College's student or staff disciplinary procedures.
- 18.8 Any student or member of staff responsible for a poster, notice, sign or any other publication which is threatening, abusive or insulting and likely to cause harassment, alarm or distress, or to stir up racial hatred, or which is obscene, indecent, in contempt of Court, blasphemous, defamatory or otherwise unlawful will be subject to disciplinary action.

#### PART 8 – Miscellaneous

- 19 The Governing Body of the College is under a duty pursuant to Section 43(3) of the Education (no 2) Act 1986 to keep this Code of Practice up to date. No revision of the Code will, however, take effect until after due notice has been given.

A copy of the Code and any amendments thereto shall be published on the College notice board, communicated to the Presidents of the respective Common Rooms and sent to each College employee.

20. Failure to comply with the provisions of this Code of Practice may render the offender liable to disciplinary proceedings. Nothing in this Code of Practice affects the normal operation of the criminal law.

In all places in this document mention of the Dean shall be taken to mean the Dean or in his/her absence a Fellow of the College nominated by him/her as his/her delegate.



## APPENDIX 1

### CODE OF PRACTICE ON FREEDOM OF EXPRESSION SECTION 43 OF THE EDUCATION (No. 2) ACT 1986

- (1) Every individual and body of persons concerned in the government of any establishment to which this section applies shall take such steps as are reasonably practicable to ensure that freedom of speech within the law is secured for members, students and employees of the establishment and for visiting speakers.
- (2) The duty imposed by sub-section (1) above includes (in particular) the duty to ensure, so far as it reasonably practicable, that the use of any premises of the establishment is not denied to any individual or body of persons on any ground connected with –
  - (a) the beliefs or views of that individual or of any member of that body; or
  - (b) the policy or objectives of that body.
- (3) The governing body of every such establishment shall, with a view to facilitating the discharge of the duty imposed by subsection (1) above in relation to that establishment, issue and keep up to date a code of practice setting out:
  - (a) the procedures to be followed by members, students and employees of the establishment in connection with the organisation of meetings which are to be held on premises of the establishment and which fall within any class of meeting

specified in the code; and of other activities which are to take place on those premises and which fall within any class of activity so specified;

- (b) the conduct required of such persons in connection with any such meeting or activity; and dealing with such other matters as the governing body consider appropriate.
- (4) Every individual and body of persons concerned in the government of any such establishment shall take such steps as are reasonably practicable (including where appropriate the initiation of disciplinary measures) to secure that the requirements of the code of practice for that establishment, issued under sub-section (3) above, are complied with.

## APPENDIX 2

### CODE OF PRACTICE ON FREEDOM OF EXPRESSION UNIVERSITY STATUTES OF UNIVERSITY DISCIPLINE TIT.XIII

2. (a) No member of the University shall in a university context intentionally or recklessly:
- (i) disrupt or attempt to disrupt teaching or study or research or the administrative, sporting, social, or other activities of the University, or disrupt or attempt to disrupt the lawful exercise of freedom of speech by members, students, and employees of the University and by visiting speakers, or obstruct or attempt to obstruct any employee or agent of the University in the performance of his or her duties;
  - (ii) damage or deface any property of the University or of any college or of any member, officer, or employee of the University or of any college, or knowingly misappropriate such property;
  - (iii) occupy or use or attempt to occupy or use any property or facilities of the University or of any college except as may be expressly or impliedly authorised by the university or college authorities concerned;

- (iv) forge or falsify any university certificate or similar document or knowingly make false statements concerning standing or results obtained in examinations;
  - (v) engage in any activity likely to cause injury or to impair safety;
  - (vi) engage in violent, indecent, disorderly, threatening, or offensive behaviour or language;
  - (vii) engage in any dishonest behaviour in relation to the University or the holding of any university office;
  - (viii) refuse to disclose his or her name and other relevant details to an officer or an employee or agent of the University or of any college in circumstances where it is reasonable to require that that information be given;
  - (ix) use, offer, sell or give to any person drugs, the possession or use of which is illegal;
  - (x) Engage in the harassment of any member, visitor, employee, or agent of the University or of any college.
- (a) Every member of the University shall, to the extent that such provisions may be applicable to that member, comply with the provisions of the Code of Practice on Freedom of Speech issued from time to time by Council pursuant to the duty imposed by Section 43 of the Education (No. 2) Act 1986 and duly published in the University Gazette.

## APPENDIX 3

### THE COLLEGE'S REGULATIONS

Reg 1.2 (ii) Every member of the College shall, to the extent that such provisions may be applicable to that member, comply with the provisions of the Codes of Practice approved from time to time by the Governing Body pursuant to the duty imposed by Acts of Parliament.

Reg. 6.1 (ii) No junior member shall intentionally or recklessly engage in conduct likely to bring the College into disrepute.

Reg. 6.1 (iii) No junior member shall engage in conduct likely to disrupt teaching or study or research or the administration (including domestic administration) of the College or disrupt or attempt to disrupt the lawful exercise of freedom of speech by members, students and employees of the College or of the University and by visiting speakers or obstruct or attempt to obstruct any officer or servant of the College in the performance of her duties.

Reg. 6.1 (iv) Conduct of which other members of the College might reasonably complain even when not otherwise specified in the Regulations, is to be avoided and may be treated as an offence. This applies particularly to the making of excessive noise and behaviour, including drunken behaviour, detrimental to the smooth functioning of the College as a place of study.

Reg. 6.2 (ii) The Dean, in consultation with the Domestic Bursar, has overall responsibility for student events which take place in college. Permission in the first instance must be obtained

from the Domestic Bursar for the giving of parties or the holding of meetings or any other functions with external speakers on College premises. The Dean may be asked to specify any conditions on which such functions may be held. This is not intended to prohibit the peaceful exercise of the liberties of freedom of expression or of association (see Annexe II.C.1 (Freedom of Expression)). Ten days' notice is required.

#### APPENDIX 4

##### **FREE SPEECH STATEMENT FOR ST ANNE'S COLLEGE**

Free speech is the lifeblood of a university. It enables the pursuit of knowledge. It helps us approach truth. It allows students, teachers and researchers to become better acquainted with the variety of beliefs, theories and opinions in the world. Recognising the vital importance of free expression for the life of the mind, a university may make rules concerning the conduct of debate but should never prevent speech that is lawful.

Inevitably, this will mean that members of St Anne's College are confronted with views that some find unsettling, extreme or offensive. St Anne's College must therefore foster freedom of expression within a framework of robust civility. Not all theories deserve equal respect. A university values expertise and intellectual achievement as well as openness. But, within the bounds set by law, all voices or views which any member of our community considers relevant should be given the chance of a hearing. Wherever possible, they should also be exposed to evidence, questioning and argument. As an integral part of this commitment to freedom of

expression, we will take steps to ensure that all such exchanges happen peacefully. With appropriate regulation of the time, place and manner of events, neither speakers nor listeners should have any reasonable grounds to feel intimidated or censored.

It is this understanding of the central importance and specific roles of free speech in a university that underlies the detailed procedures of St Anne's College, laid out in its policy documents found at [www.st-annes.ox.ac.uk/home](http://www.st-annes.ox.ac.uk/home).

23.05.16

## C.2. Code of Practice: Equal Opportunities Policy

The College welcomes diversity amongst its students, staff and visitors, recognising the particular contributions to the achievement of the College's mission that can be made by individuals from a wide range of backgrounds and experiences.

We provide equal opportunities and are committed to the principle of equality regardless of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation (all possible changes will be examined and advice will be sought) in order to accommodate a person with Disability. We will apply employment policies that are fair, equitable and consistent with the skills and abilities of our employees and the needs of the College. We look for your support in implementing these policies to ensure that all employees are accorded equal opportunity for recruitment, training and promotion and, in all jobs of like work, on equal terms and conditions of employment.

We will not condone any discriminatory act or attitude in the conduct of our business with the public or our employees. Acts of harassment or discrimination on the grounds of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation are disciplinary offences.

In relation to staff, the policy and practice of the College require that all the staff are afforded equal opportunities within employment and that entry into employment with the College and the progression within employment will be determined only by personal merit and the application of criteria which are related to the duties of each particular post and the relevant salary structure.

In all cases, ability to perform the job is the primary consideration. Subject to statutory provisions, no applicant or member of staff will be treated less favourably than another because of his or her age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

The College will also avoid, in the fields of employment, education and provision of goods, facilities, services and premises the use of ostensibly neutral criteria which have disproportionate adverse impact on members of a particular age, disability, race, religion or belief, sex or sexual orientation, unless such use is objectively justifiable.

This policy statement is supported by the College's Equal Opportunities Policies and Codes of Practice for students, the College's Single Equality Scheme and Objectives, the University's Equal Opportunities Policies for Staff and Students and Codes of Practice on Harassment, and remains subject to existing rights including those covered by the Education (No 2) Act 1986, the Human Rights Act 1998, the Equality Act 2010, the Counter-Terrorism and Security Act 2015 and data protection legislation.

C.3. Code of Practice: Harassment

# **St. Anne's College Harassment Policy**



# 2020

## Harassment Policy

### Introduction

1. St Anne's College does not tolerate any form of harassment or victimisation and expects all members of the College community, its visitors and contractors to treat each other with respect, courtesy and consideration.
2. The College is committed to fostering an inclusive culture which promotes equality, values diversity and maintains a working, learning and social environment in which the rights and dignity of all members of the College community are respected.
3. The aims of the College as reflected in this Policy are to:
  - a. Promote a positive environment in which people are treated fairly and with respect;
  - b. Make it clear that harassment is unacceptable and that all members of the College have a role to play in creating an environment free from harassment;



c. Provide a framework of support for staff and students who feel they have been subject to harassment; and

d. Provide a mechanism by which complaints can wherever possible be addressed in a timely way.

4. Those in positions of authority within the College have formal responsibilities under this Policy and are expected to familiarise themselves with the Policy and Procedures on appointment. All members of the College have a duty to implement this Policy and to make every effort to ensure that harassment and victimisation do not occur in the areas for which they are responsible or in which they are operating and that, if they do occur, any concerns are made known and then investigated promptly and effectively.

5. All members of the College community have the right to expect professional behaviour from others, and a corresponding responsibility to behave professionally towards others. All members of the College community have a personal responsibility for complying with this Policy and Procedure and must comply with and demonstrate active commitment to this Policy by:

a. Treating others with dignity and respect;

b. Discouraging any form of harassment by making it clear that such behaviour is unacceptable; and

c. Supporting any member of the College who feels they have been subject to harassment, including supporting them to make a formal complaint if appropriate.

6. This Policy and associated Procedures are designed to deal with harassment which occurs primarily within the College environment. Incidents of harassment that occur outside the college environment and/or solely within the University environment will normally be dealt with under the appropriate University procedure.<sup>4</sup> If there is doubt as to whether the college or University procedure applies, you are advised to seek advice from the relevant college officers described in this Procedure, the Office of the Director of Student Welfare and Support Services or the University's Harassment Line.

7. This Policy and associated Procedures should be read alongside other St Anne's College policies and procedures, including College Staff-Students Relationships Policy, Equal Opportunities, Safeguarding, Disciplinary Policy and Privacy Policy. These can be found at: <https://www.st-annes.ox.ac.uk/policies/>

8. Any member of the College community who feels they have been subject to harassment can also contact the University Harassment Advisory Service, or their local Harassment Officer, for support. The Service is also available to those against whom an allegation of harassment has been made. Other sources of help and advice can be found at:

[www.admin.ox.ac.uk/eop/harassmentadvice.shtml](http://www.admin.ox.ac.uk/eop/harassmentadvice.shtml)

Definitions

9. A person subjects another to **harassment** where they engage in unwanted and unwarranted conduct which has the purpose or effect of:

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<sup>4</sup> [www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure/](http://www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure/)

- violating another person's dignity, or
- creating an intimidating, hostile, degrading, humiliating or offensive environment for another person.<sup>5</sup>

The recipient does not need to have explicitly stated that the behaviour was unwanted.

10. Freedom of speech and academic freedom<sup>6</sup> are protected by law though these rights must be exercised within the law. Vigorous academic debate will not amount to harassment when it is conducted respectfully and without violating the dignity of others or creating an intimidating, hostile, degrading, humiliating or offensive environment for them.

11. **Bullying** is a form of harassment and may be characterised as offensive, intimidating, malicious or insulting behaviour, or misuse of power through means intended to undermine, humiliate, denigrate or injure the recipient.

12. The College seeks to protect any member of the College community from **victimisation**, which is a form of misconduct which may itself result in a disciplinary process. The College will regard as victimisation any instance where a person is subjected to detrimental treatment because they have, in good faith:

- a) made an allegation of harassment, or
- b) indicated an intention to make such an allegation, or
- c) assisted or supported another person in bringing forward such an allegation, or
- d) participated in an investigation of a complaint, or
- e) participated in any disciplinary hearing arising from an investigation, or
- f) taken any other steps in connection with this Policy and associated Procedures, or
- g) is suspected of having done so.

#### Behaviours

13. Harassment may involve repeated forms of unwanted and unwarranted behaviour, but a one-off incident can also amount to harassment.

14. The intentions of the alleged harasser are not always determinative of whether harassment has taken place. The perception of the complainant and the extent to which that perception is in all the circumstances reasonable will also be relevant.

15. Being under the influence of alcohol, drugs or otherwise intoxicated is not an excuse for harassment.

16. Harassment can take a variety of forms:

- a) Through individual behaviour
  - face to face, either verbally or physically

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<sup>5</sup> Statute XI: University Discipline: ([www.admin.ox.ac.uk/statutes/352-051a.shtml#\\_Toc28142342](http://www.admin.ox.ac.uk/statutes/352-051a.shtml#_Toc28142342))

<sup>6</sup> Freedom of Expression Policy: <https://www.st-annes.ox.ac.uk/policies/>

- through other forms of communication, including but not limited to, written communications and communications via any form of electronic media or mobile communications device: such behaviour may also amount to a breach of the university's regulations: <https://governance.admin.ox.ac.uk/legislation/it-regulations-1-of-2002>
  - directly to the person concerned, or to a third party
- b) Through a prevailing workplace or study environment which creates a culture which tolerates harassment or bullying, for example the telling of homophobic or racist jokes.

17. Examples of behaviour which **may** amount to harassment under this Policy include (but are not limited to) the following:

- a) unwanted physical contact, ranging from an invasion of space to an assault, including all forms of sexual harassment, such as:
  - i. inappropriate body language
  - ii. sexually explicit remarks or innuendoes
  - iii. unwanted sexual advances and touching
- b) offensive comments or body language, including insults, jokes or gestures and malicious rumours, open hostility, verbal or physical threats: these include all forms of harassment and abuse on the grounds of disability, race or sexual orientation
- c) insulting, abusive, embarrassing or patronising behaviour or comments
- d) humiliating, intimidating, and/or demeaning criticism
- e) persistently shouting at, insulting, threatening, disparaging or intimidating an individual
- f) constantly criticising an individual without providing constructive support to address any performance concerns
- g) persistently overloading an individual with work that they cannot reasonably be expected to complete
- h) posting offensive comments on electronic media, including using mobile communication devices
- i) threatening to disclose, or disclosing, a person's sexuality or disability to others without their permission
- j) deliberately using the wrong name or pronoun in relation to a transgender person, or persistently referring to their gender identity history
- k) isolation from normal work or study place, conversations, or social events
- l) publishing, circulating or displaying pornographic, racist, homophobic, sexually suggestive or otherwise offensive pictures or other materials.

**18. Stalking may** also be a form of harassment and may be characterised by any of the following repeated and unwanted behaviours:

- a) Following a person;
- b) Contacting, or attempting to contact, a person by any means;
- c) Publishing any statement or other material –

- i. Relating or purporting to relate to a person, or
  - ii. Purporting to originate from a person;
- d) Monitoring the use by a person of the internet, email or any other form of electronic communication;
- e) Loitering in any place (whether public or private);
- f) Interfering with any property in the possession of a person;
- g) Watching or spying on a person including through the use of CCTV or electronic surveillance.

## Contacts

College officers who may be contacted for advice and guidance are listed on the following page of our website: <https://www.st-annes.ox.ac.uk/current-students/welfare-access/>

Advice external to College:

- **The Harassment Line**  
To speak with an advisor entirely unconnected with your department, faculty, or college, you can call 01865 270760 or email [harassment.line@admin.ox.ac.uk](mailto:harassment.line@admin.ox.ac.uk)
- **Welfare and Wellbeing**  
To access a range of services from the Student Welfare and Support Services (SWSS) <https://www.ox.ac.uk/students/welfare>
- **The Counselling Service**  
Advisors who will provide confidential support for personal, emotional, social and academic problems. The Service also offers a variety of supportive resources including workshops, advice, and individual and group counselling, further information is available on their website <https://www.ox.ac.uk/students/welfare/counselling?wssl=1>.  
Call 01865 270300 or email [counselling@admin.ox.ac.uk](mailto:counselling@admin.ox.ac.uk)
- **The Student Union's Student Advice Service**  
The service provides a confidential and impartial listening and advice service. Whether you feel you are being harassed currently, or that you have been in the past, the service allows you to talk through your feelings and experiences with an advisor, more information can be found on their website <https://www.oxfordsu.org/wellbeing/student-advice/>  
Call 01865 288452 or email [enquiries@oxfordsu.ox.ac.uk](mailto:enquiries@oxfordsu.ox.ac.uk)
- **Director of Student Welfare and Support Services Office**  
In cases where informal action has not succeeded, or would not be appropriate, or when it is not clear where to take a harassment concern, you can contact the Director of Student Welfare and Support Services Office. That Office will ensure that students can access appropriate support in cases involving University staff and other students, including through the formal complaint stage, if appropriate. Support is also available to students accused of harassment. Email [supportservice@admin.ox.ac.uk](mailto:supportservice@admin.ox.ac.uk)

## Application of the Policy

19. Harassment is a serious offence. Any member of the College community who feels they have been subject to harassment can make a complaint via the appropriate Procedure: see **Annexe A for the Procedure in relation to complaints about staff**; and **Annexe B for the Procedure in relation to complaints about students**.

20. When a criminal offence may have been committed, the relevant Harassment Procedure may not be appropriate. These cases will include, but not be limited to, serious assault or threat of serious assault. Student members can seek advice from the relevant College contact: <https://www.st-annes.ox.ac.uk/current-students/welfare-access/> and/or approach the Police directly; staff members can seek advice from the HR Manager, Senior Tutor or Harassment Officer and/or approach the Police directly. Further guidance on dealing with cases of sexual assault or sexual violence is available from the University at: <https://www.ox.ac.uk/students/welfare/supportservice?wssl=1>

21. Incidents of harassment that occur outside of the college environment and within the University environment will normally be dealt with under the appropriate University procedure. These procedures can be found at: [www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure/](http://www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure/)

22. If a complainant is deemed to have known or to have reasonably been expected to know that a complaint was unfounded, the allegation of harassment may be judged to be vexatious or malicious, and disciplinary action may be taken against them. No action will be taken if a complaint which proves to be unfounded is judged to have been made in good faith.

23. All parties involved in a complaint (including any witnesses who may be interviewed as part of any investigation, or trade union representatives supporting any of the parties) should maintain the confidentiality of the process. Those involved in advising complainants should, where possible, seek the consent of the individual for the onward disclosure of relevant information to those with a clear need to know. Where such consent is not forthcoming, the person entrusted with the information should make it clear that, in exceptional circumstances, it may be necessary to disclose the information, taking account of the duty of care which may be owed to the individual and/or others.

24. This Policy and associated Procedures will be subject to regular review by the Equal Opportunities committee and/or HR committee.

### **Annexe A: Complaints of harassment against College staff**

1. The Procedure below applies in all cases where the person who is the subject of the complaint is a member of College staff, or who has an association with a particular college, short of an employment contract. The Human Resources Manager will have oversight of all cases, and will take the lead as appropriate in liaising with the relevant College Officer with responsibility for that member of College staff, and/or other parts of the collegiate University.

2. Where the complainant is a student, welfare support during this process will be provided to the student by the Dean of Welfare.

3. Where the complainant is a staff member, welfare support during this process will be provided by their line manager or another member of staff as appropriate. In addition, the College offer access to a 24/7 hour confidential Employee Assistance Program for independent support. Details are available from the HR department.

### **Initial actions – Informal Approach: to be taken if appropriate**

4. It is sometimes possible and appropriate to resolve a complaint informally. The HR Manager and relevant College Officer will explore with the complainant and with the subject of the complaint whether the matter can be resolved informally. If this does not happen, or is not successful, or it is not appropriate for an informal approach to be taken, the Formal Complaints Procedure below will apply.

5. In some situations, it may be appropriate to ask the parties to consider entering into a mediation or conciliation process. Although mediation or conciliation may be attempted at any time before or after a formal investigation, it may be particularly helpful if it is considered at an early stage before the formal procedure is invoked. In the case of a complaint involving two members of staff, an experienced mediator or conciliator acceptable to both parties will normally be nominated by the HR Manager. Where the member of staff is a joint appointment between the College and the University, advice may be sought from the University's Director of Human Resources. The mediator or conciliator will meet with the parties separately and as soon as practicable to begin to seek a resolution. The normal expectation is that resolution would be achieved within 20 working days of the initial meetings with the parties but this time limit may be extended by agreement. Any agreed outcome will normally be recorded in writing. All those involved in the mediation or conciliation process must maintain appropriate confidentiality.

### **The Formal Complaints Procedure**

6. If informal action described above does not succeed in resolving the situation, or would not be appropriate given the nature of the complaint, the complainant should make a formal written complaint. If the complainant is a member of staff, the complaint should be submitted to the HR Manager or the College Officer with responsibility for the subject of the complaint (the alleged harasser). If the complainant is a student, the complaint should be submitted to the Senior Tutor who will then liaise with the HR Manager and relevant Manager/College Officer in charge of that department. A student complainant may at any time seek welfare support from the Dean of Welfare. In cases where it is not immediately clear to whom a complaint should be addressed, or if the complainant feels it is not appropriate to approach the HR Manager or relevant College Officer or Senior Tutor, or wishes to make a complaint against one of these office holders, advice may be sought from another College Officer. Students and staff can also seek advice from College Harassment Officers for Staff and for Students throughout the complaints process. If the student or staff member does not feel comfortable contacting a College Harassment Officer, they can contact the Harassment Line for details of another advisor (Tel. 01865 270760 or email [harassment.line@admin.ox.ac.uk](mailto:harassment.line@admin.ox.ac.uk)).

### **Submission of the complaint**

7. In the submission to the HR Manager, College Officer or Senior Tutor (as appropriate), the complainant should set out as clearly and succinctly as possible:

- a) the nature of the behaviour that they are concerned about;
- b) the effect of this behaviour on them; and
- c) the resolution they are seeking.

The complaint should include dates and details of any witnesses to any incidents referred to in the complaint, together with any documentary evidence. The complainant should also explain what attempts, if any, have been made to resolve the difficulties, and the outcome they are seeking.

8. Every effort will be made to achieve a prompt resolution to the complaint – the aim being to conclude the investigation within a period of no more than six weeks. Both the complainant and the person who is the subject of the complaint will be expected to co-operate with the College in achieving that result. In exceptional cases, an investigation may take longer than six weeks, and both parties will be kept updated about the progress of the investigation.

9. Both parties to the complaint have the right to be accompanied and supported by a trade union representative if applicable, or by a colleague of their choice from within the College, at any meeting held under this procedure. Students making complaints may be accompanied at any meetings by another student member of the College or a member of the College's welfare team, a senior member of the College, or a member of staff from OUSU's Student Advice Service. These people must maintain appropriate confidentiality.

10. There may be circumstances in which an aggrieved party is not willing or able to make a formal complaint, but the HR Manager in consultation with the College Officer or Senior Tutor considers that the implications for the aggrieved person or others actually or potentially affected are serious. This may include cases where other parties, but not the aggrieved party, have made a complaint. In this case, the HR Manager may initiate an investigation and make a decision on further action on the basis of such evidence as is available.

#### **Action by the College on receipt of a complaint**

11. On receipt of a complaint, the most appropriate person to investigate the complaint initially will be identified. This will usually be the HR Manager, the College Officer in charge of the department in which the staff member who is the subject of the complaint works, or the Senior Tutor.

12. The person initially investigating the complaint (the 'Initial Investigator') will take such steps as deemed necessary and appropriate to understand the nature of the complaint and the outcome sought. Actions will include:

- a) informing the person against whom a complaint has been made of the allegations against him or her;
- b) meeting separately with the complainant and the alleged harasser (both parties can be accompanied if they so wish, as described above);

- c) speaking to other relevant people on a confidential basis; and/or
- d) obtaining further relevant information.

13. The Initial Investigator will then decide how to proceed and will inform the parties in writing. Where circumstances preclude them from concluding the matter in a timely fashion at this stage of the process, they may commission a further, more detailed, Formal Investigation by an Investigating Officer.

14. An Investigating Officer will be identified and appointed by the Initial Investigator. This person should not have had previous involvement with the case and could be drawn from the staff of the College or from outside the College as appropriate to the case in question.

15. The Initial Investigator may also determine that immediate interim action is necessary pending the outcome of a longer formal process.

#### **Formal Investigation**

16. The purpose of a Formal Investigation is to establish again the relevant factual evidence in connection with the allegation(s) made by the complainant.

17. The investigation should be concluded as soon as is reasonably practicable. The Investigating Officer will prepare a report and may, if specifically requested to do so by the College, make recommendations on possible courses of action.

18. The HR Manager, or Initial Investigator if different, as appropriate, will inform the complainant and the person who is the subject of the complaint in writing (i) of the conclusions the Investigating Officer has reached having reviewed the evidence, including any investigation report; (ii) of the action the College intends to take; and (iii) of the reasons for any such action.

19. The Initial Investigator will also inform any other parties who have been asked to participate in an investigation that the investigation has been concluded.

#### **Formal Investigation procedure**

20. The procedure for an investigation will normally be as follows, but may be adapted by the Investigating Officer to meet the needs of the case:

- a. The Investigating Officer will meet the complainant to confirm the details of the complaint.
- b. The complaint as clarified will be forwarded to the person complained against together with any other relevant material that the Investigating Officer has.
- c. The Investigating Officer will interview, where reasonably practicable, individuals identified by the complainant as having relevant evidence.
- d. The Investigating Officer will meet the person complained against to hear their response to the complaint and any further evidence that has come to light.
- e. The Investigating Officer will interview, where reasonably practicable, individuals identified by the person complained against as having relevant evidence.



f. Having considered all the evidence, including any relevant documents, the Investigating Officer will prepare a written report of their findings, in relation to which they may check relevant sections in draft with the parties before finalising.

g. The report will be forwarded to the complainant, the person who is the subject of the complaint, and the HR Manager or Initial Investigator, if different, as appropriate. A copy will usually also be sent to the Principal and relevant College Officer (if they have not already received the report). In cases involving students, consent should be sought from the complainant to inform their department if appropriate according to the circumstances of the case.

### **Possible outcomes of a complaint**

21. Depending on the nature of the complaint and the evidence found, including the findings of any investigation, the HR Manager, in consultation with the relevant College Officer(s), will either:

- a) Take no further action, other than, where appropriate, implementing or suggesting steps that would help to restore reasonable professional relationships between the parties. or
- b) Initiate resolution of the issues (e.g. by requiring that certain individuals undergo specific training, or implementing practical arrangements to improve professional relationships or minimise contact between staff member and student). If a successful resolution is achieved the case will be closed, but the situation will be monitored for an appropriate period. or
- c) Institute disciplinary proceedings where the HR Manager is reasonably satisfied that there is evidence to support allegations of harassment of a sufficiently serious nature that should be further examined through the disciplinary process. In this event, the HR Manager in liaison with the relevant College Officer will determine what intermediate measures are necessary, including any re-allocation of duties, in consultation as appropriate with the relevant department. or
- d) In rare cases disciplinary action may be instituted against the complainant if the HR Manager is satisfied that the complaint of harassment was unfounded and not made in good faith.

### **Appeal process**

22. If either party does not accept the outcome of the complaint (including any judgement that the complaint was vexatious), they may invoke the relevant grievance or complaint procedure within the time scales specified. For staff see the College Appeals procedure and for students see the College procedure.

23. If a student complainant is not satisfied with the outcome following the investigation of the formal written complaint, and they have exhausted all College and University appeal procedures, they may be able to apply to the Office of the Independent Adjudicator for Higher Education (OIA) for a review of the case. Any such application must be made within one year of the date of the Completion of Procedures letter.

### **Potentially criminal conduct**

24. This Procedure may not be applicable where the allegations are of behaviours that may attract criminal sanction. This would include, but not be limited to, cases of serious assault or threat of assault. The HR Manager will decide which procedure is appropriate.

### **Confidentiality**

25. Information concerning allegations of harassment must so far as reasonably possible be held in confidence by those to whom it is divulged. Unnecessary disclosure of such allegations may attract disciplinary sanction. Information will be shared on a need-to-know basis, including as appropriate with the individual against whom a complaint is brought. Once a formal complaint is pursued, it is likely to be appropriate and/or necessary for certain information to be provided to others within the College, the University, or to external bodies.

26. Those to whom disclosure may be made outside the University include the police, the Office of the Independent Adjudicator (“OIA”) and the civil and criminal courts. The College will not normally report a matter to the police without the complainant’s agreement, except in those rare circumstances where there is sufficient evidence to suggest that an individual poses an extreme risk.

### **Records**

27. The College and all those involved in this process must comply with the principles of the General Data Protection Regulations 2018 (GDPR). These include ensuring that personal data is kept accurate and up-to-date, held securely, and is not kept for longer than necessary.

28. Those interviewed in the course of any investigation will be asked to review the notes of their individual discussions with the Initial Investigator and Investigating Officer as soon as is reasonably possible in order to comment on any inaccuracies or omissions.

29. The Data Protection Officer should be consulted about filing and retaining any notes and documents, all of which must be held in confidence.

### **Annexe B: Complaints of harassment against students**

1. This Procedure is designed to deal with student complaints of harassment by other students that arise in a College context. Complaints of harassment brought by students against staff will be dealt with under the College staff procedure above (see Annexe A). If a student is unsure whether a particular instance of harassment falls under the University’s procedures or College procedures, they should seek advice from a Harassment Officer for Students, the Dean of Welfare or the Dean.

2. If a member of College staff wishes to make a complaint of harassment against a student, this will normally be considered as a disciplinary issue. In the first instance, the member of staff should seek support and guidance from the HR Manager or the Senior Tutor. As the matter is dealt with as a student disciplinary issue, the Dean will lead the investigation.

3. The Dean of Welfare and the Harassment Officer for Students can provide support to students. For staff requiring advice on cases involving students, the Harassment Officer for

Staff is available, as is the Senior Tutor, the HR Manager, and the College Officer with responsibility for the department in which the staff member works. The Dean will have oversight of all cases referred to them under this Procedure (Annexe B), and will take the lead in liaising with other parts of the collegiate University as appropriate. The Dean will also be responsible for the recording and reporting of cases referred to their office under this Procedure.

4. In serious cases, it is likely to be appropriate to proceed directly to stages 2 and 3 of this Procedure.

#### **Stage 1 - Informal action**

5. In some cases, a student who feels that they are being harassed by another student may feel able to approach the person in question to explain what conduct they find upsetting, offensive or unacceptable, and to ask that person to refrain from that behaviour. At no time should a student feel obliged to approach an alleged harasser, and the College does not wish to suggest that a student who feels that they have been harassed is responsible for rectifying the situation. It may often be appropriate to proceed directly to stages 2 and 3 of the procedure.

6. Before taking informal action, the student could discuss the situation with a College Harassment Advisor for Students, the Dean of Welfare or the Dean. If the student does not feel comfortable contacting a College Harassment Advisor, they can contact the Harassment Line for details of another advisor (Tel. 01865 270760 or e-mail [harassment.line@admin.ox.ac.uk](mailto:harassment.line@admin.ox.ac.uk)). Harassment Advisors will not approach the alleged harasser on behalf of an individual. Details of the role of the harassment advisor can be found at [www.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/equalityanddiversity/documents/harassment/role.pdf](http://www.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/equalityanddiversity/documents/harassment/role.pdf).

7. Other sources of advice when considering informal resolution include relevant College Officers, JCR and MCR welfare representatives, Student Peer Supporters, and OUSU's Student Advice Service (Tel. 01865 288466 or e-mail [advice@ousu.org](mailto:advice@ousu.org)).

8. These sources of support and advice are also available to students who have been accused of harassment. Actions taken will vary depending on the case, but the support will be equivalent to that available to a student who feels that they are being harassed by another student, including referral to appropriate support services. The Dean of Welfare will ensure that, where a complainant and a student complained against are both seeking support, they will be dealt with by different members of staff, who will maintain appropriate confidentiality.

#### **Stage 2 - Mediation or conciliation or referral of the case to another college**

9. If informal action described in stage 1 above does not succeed in resolving the situation, or would not be appropriate given the nature of the behaviour, actions taken by the Dean may include:

- a) Facilitating a mediation or conciliation process between the student complainant and the alleged harasser, if both parties agree. An experienced mediator or conciliator acceptable to both parties will normally be nominated by the Dean. The mediator or conciliator will meet with the parties separately and as soon as practicable to begin to seek a resolution. The normal expectation is that resolution would be achieved within

20 working days of the initial meetings with the parties (although this time limit may be extended by agreement). Any agreed outcome will normally be recorded in writing. All those involved in the mediation or conciliation process must maintain appropriate confidentiality;

- b) Referring a case to the University or another College, if it transpires that the alleged harassment took place within a University environment or between students at different colleges where the alleged harasser is at another college;

10. The Dean will ensure that relevant members of staff within the collegiate University are informed of the case as appropriate, with the student's consent, and having due regard for obligations of confidentiality owed to others.

11. Brief records will be kept of all meetings held and actions taken in relation to the case at this stage. These records will be managed in accordance with the principles of the General Data Protection Regulations 2018 (GDPR). These include ensuring that personal data is kept accurate and up-to-date, held securely, and not kept for longer than necessary.

### **Stage 3 - Formal written complaint**

12. If action taken at stages 1 or 2 does not succeed in resolving the situation, or would not be appropriate given the nature of the complaint, the student should make a formal written complaint to the Dean. In some cases, it will be appropriate to proceed directly to this stage. In these cases, if the complainant has not already been offered appropriate support from a trained member of staff, this will happen.

13. The complaint should normally be made as soon as possible after the event(s) to which the complaint refers, or normally within one month of the completion of any resolution attempts made at stages 1 and 2.

14. The complainant should set out as clearly and succinctly as possible:

- a) the nature of the behaviour that they are concerned about;
- b) the effect of this behaviour on them; and
- c) where possible, the resolution they are seeking.

The complaint should include dates and details of any witnesses to any incidents referred to in the complaint, together with any documentary evidence. The complainant should also explain where appropriate any attempts that have been made to resolve the difficulties. If the complainant has already made a statement about the behaviour under stage 2, this may be sent as their formal written complaint, with the proviso that the Dean may request further information.

15. The Dean or another person appointed by them, will investigate the case to establish the relevant factual evidence and decide on any actions which should be taken. This may include:

- a) informing the person against whom a complaint has been made of the allegations against him or her;
- b) meeting separately with the complainant and the alleged harasser;
- c) speaking to other relevant people on a confidential basis; and/or

- d) obtaining further relevant information.

At all times both parties will have the right to be accompanied at meetings by another student member of the College, a member of the College welfare team, a senior member of the College, or a member of staff from OUSU's Student Advice Service.

16. Every effort will be made to achieve a prompt outcome to the complaint – the aim being to conclude the complaint within a period of one month. Both the complainant and the student who is the subject of the complaint will be expected to co-operate with the College in achieving that result. If it is not possible to resolve the issue within this timeframe, for example for reasons of complexity or the absence of relevant parties from Oxford, both parties will be kept informed.

17. At all times both the complainant and the student complained against will be kept informed of proceedings. Both parties will be informed in writing of the outcome of the investigation of the complaint.

18. In some circumstances, in the interests of the complainant and/or the student complained about, it may be necessary for interim action to be taken, pending the outcome of the investigation. This may include making arrangements to limit contact between the parties concerned.

19. Investigation of a formal written complaint of harassment may result in:

- Deciding that the alleged harasser should face disciplinary procedures<sup>7</sup>
- Taking actions in College, or recommending to a department/faculty actions to take, including making arrangements to limit contact between the parties concerned.
- Referring either or both parties to appropriate support services
- Referring a case to the University or another college, if it transpires that the alleged harassment did in fact take place outside of the college environment and within the University environment or another college.
- Taking no further action other than, where appropriate, implementing or suggesting steps that would help to restore reasonable relationships between the parties. This approach will usually be appropriate where the claim(s) of harassment are considered to be unfounded and where there is a continuing relationship between the parties
- In rare cases disciplinary action may be instituted against the complainant if there is evidence that the complaint of harassment is unfounded and not made in good faith.

20. If the complainant is not satisfied with the outcome following the investigation of the formal written complaint, they may be able to appeal this decision using the College appeals procedure or, if they have exhausted all mechanisms of appeal within College, take their case to the University, and if procedures there are exhausted, apply to the Office of the Independent Adjudicator for Higher Education (OIA) for a review of the case. The complainant should seek advice from Senior Tutor if they are considering taking this action. If applying to the OIA they must do so within three months of the date of the Completion of Procedures letter.

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<sup>7</sup> Disciplinary Policy: <https://www.st-annes.ox.ac.uk/policies/>

21. Following the outcome of the complaint, the Dean will take such action, including informing others, and arranging for support for all parties following the outcome, as may be appropriate in the circumstances.

22. There may be circumstances in which an aggrieved party is not willing, or able, to make a formal complaint but the Dean considers that the implications for the aggrieved person or others actually or potentially affected are serious. This may include cases where other parties, but not the aggrieved party, have made a complaint. In this case, the Dean may initiate an investigation and make a decision on further action on the basis of such evidence as is available.

### **Referrals**

23. On occasion, complaints of harassment which should be considered under this Procedure may be made to staff other than the Dean. In this situation, staff should explain the Procedure, and ask the complainant if they would like the case referred to the Dean.

### **Potentially criminal misconduct**

24. This Procedure may not be applicable where the allegations are of behaviours that may attract criminal sanction. This would include, but not be limited to, cases of serious assault or threat of assault. Where the complaint is of potentially serious criminal behaviour by a student, the college should consider whether it would be appropriate for the University to investigate, given the University's access to experienced external investigators. Further guidance on cases of sexual assault and sexual violence, including support available, is available from the University at [www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure/guidance/](http://www.admin.ox.ac.uk/eop/harassmentadvice/policyandprocedure/guidance/). Issues including but not limited to those around teaching, examinations and accommodation/social activity may need to be considered.

25. Support for any student affected by such an incident may be sought from the Dean of Welfare, Harassment Officers and other relevant College Officers.

26. In addition the Dean of Welfare in consultation with the Dean will consider whether it is appropriate to make recommendations to appropriate bodies regarding arrangements that would have the purpose of limiting contact between students for so long as may be considered reasonably necessary.

### **Confidentiality**

27. Information concerning allegations of harassment must so far as reasonably possible be held in confidence by those to whom it is divulged. Unnecessary disclosure of such allegations may attract disciplinary sanction. Information will be shared on a need-to-know basis. Once a formal complaint is pursued, it is likely to be appropriate and/or necessary for certain information to be provided to others within the College, the University, or to external bodies.

28. Those to whom disclosure may be made outside the University include the police, the Office of the Independent Adjudicator ("OIA") and the civil and criminal courts. The College will not normally report a matter to the police without the complainant's agreement, except in those rare circumstances where there is sufficient evidence to suggest that an individual poses an extreme risk.

### **Records**

29. The College and all those involved in this Procedure must comply with the principles of the General Data Protection Regulations 2018 (GDPR)<sup>8</sup>. These include ensuring that personal data is kept accurate and up-to-date, held securely, and not kept for longer than necessary.

30. Those interviewed in the course of any investigation by the Dean or their representative will be asked to review the notes of their individual discussions as soon as is reasonably possible in order to comment on any inaccuracies or omissions. All notes will be preserved during the process and until such time as the College's internal processes and any external processes are concluded.

31. The Data Protection Officer should be consulted about filing and retaining any notes and documents related to this Procedure, all of which must be held in confidence.

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<sup>8</sup> Information Security policy: <https://www.st-annes.ox.ac.uk/policies/>

#### C.4. Code of Practice: Confidentiality in Student Health and Welfare

St Anne's College respects the privacy and confidentiality of its members in matters relating to the health and welfare of individuals. The Human Rights Act 1998 provides that everyone has the right to respect for his private and family life, with certain qualifications in the interests of inter alia, prevention of disorder or crime, the protection of health and morals, and the rights and freedoms of others.

Nevertheless, in certain circumstances, the College may have to take action on information provided in confidence: where, for example, there may be potential harm to an individual or to others, or where there is a need to prevent people from being drawn into terrorism as defined under the Counter-Terrorism and Security Act 2015, and the College considered that it had a duty to minimise risk. Wherever relevant, the consent of individuals for the disclosure of information will be sought but, in exceptional circumstances, it may be necessary in any case to disclose the information to others on a limited basis.



In recognising its legal obligations toward Her Majesty's Governments' policy on PREVENT, St Anne's College, noting where the risk of individuals being drawn into terrorism is judged to be low, has adopted policies that are proportionate and risk-based and which remain subject to, and do not undermine, existing rights including under the Education (No 2) Act 1986, the Human Rights Act 1998, the Equality Act 2010 and the Data Protection Act of 1998.

Doctors and counsellors observe separate but similar professional confidentiality guidelines. In respect of students aged over 18, they are legally adult and the College no longer has a role in loco parentis. Since almost all students are aged above 18, families will not normally be contacted without consent. Nevertheless, it is to be expected that the student or College would want to inform parents of serious illness or accident.

Students should be reassured that it may be helpful to discuss personal matters with others without fearing disclosure and that such discussions will not be seen as resulting in adverse academic, employment or other consequence.

Junior members have the same general obligation as staff to respect the privacy of others in their everyday behaviour and also in what they say to the press and in email. Advice on confidentiality may be sought from the College Doctor, Senior Tutor or the Principal if required.

## C.5. Staff-Student Relationships Policy

The purpose of this policy is to protect students and staff members and provide clarity of the process. The policy relates to staff who have any responsibility for a student with whom they are having or have had a personal relationship.

### **Introduction**

1. This policy covers current and former close personal or intimate relationships, however brief, between members of staff and students where the staff member has any responsibility for the student. Relationships include, but are not limited to: marital, sexual, romantic, or emotional whether they are conducted in person or online.

For the purposes of this policy, a 'member of staff' should be understood as including but not limited to any individual who is working within the College under a formal contract of employment or as a casual paid worker (including graduate students working as teaching assistants), and any other individual (such as visiting academics) to whom the College offers any of the privileges or facilities normally available to its employees.

A student should be understood as any individual who is studying for an undergraduate or postgraduate qualification, or who is a student on any course arranged by or through the College or any part of the University.

2. The College regards the professional relationship between members of staff and students as central to the student's educational development and wellbeing. Professional relationships are any in which the staff member through his or her employment with the College has any educational, administrative, pastoral or supervisory involvement with a student. The College reminds staff of the importance of maintaining academic and professional integrity and of their responsibility for the welfare of students.

3. Implicit in the professional role of staff members is an obligation to ensure that conflicts of interest do not arise, and that relationships with students for whom the staff member has any responsibility remain strictly professional, respecting the trust inherent in them.

4. While the College does not wish to regulate the private lives of its staff or students, it strongly advises staff not to enter into a close personal or intimate relationship with a student for whom they have any responsibility, irrespective of whether the student did not appear to object, appeared to give consent, gave consent or instigated the behaviour.

5. A close academic relationship between staff who have teaching, professional or pastoral responsibility and student may cause the boundaries between the personal and the professional to become blurred. Some staff may not be conscious that there is a very significant imbalance of power and authority in the relationship. It must be understood by staff in a position of teaching, professional or pastoral responsibility that students are in a position of vulnerability which must not be taken advantage of (whether deliberately or inadvertently). Responsibility lies with the staff member to maintain professional boundaries at all times and avoid giving anyone an impression of treating individual students more or less favourable than their peers.

Examples of appropriate conduct are:-

- To avoid physical contact or unnecessary close proximity
- To refrain from making any personal comments good or bad including about appearance
- To treat all students equally and avoid making gender based generalisations (or commenting on other protected characteristics)
- To avoid social activities with students other than those organised for professional reasons through the College or Departments.
- Extra care should be taken on occasions where alcohol is served.

### **Guidance for staff on relationships and the need for disclosure**

6. The College requires that any close personal or intimate relationship with a student for whom a staff member has any responsibility is brought to the attention of the Senior Tutor in order that action can be taken to mitigate any unintended consequences. The member of staff should also disclose any former relationship with a current student for whom they are given or are to be given responsibility. If the staff member is unsure if they have any responsibility for the student, they should declare the relationship to the Senior Tutor, in order that she can assess the risk of unintended consequences arising. Any declaration of this kind will, so far as possible and subject to the specific provisions of this policy, be treated in confidence, and every effort will be made to ensure that it does not disadvantage either party with regard to their professional advancement or academic progress.

7. Disciplinary action may be taken against a member of staff who fails to declare a close personal or intimate relationship as required by this policy.

8. Attention is drawn to the fact that relationships involving students under the age of eighteen or an adult at risk, could fall within the scope of the Sexual Offences Act 2003 relating to persons in positions of trust having sexual relations with children under eighteen or vulnerable adults. Members of staff must not enter into a close personal or intimate relationship with a student under eighteen years of age or a vulnerable adult for whom they have any responsibility.

9. If a close personal or intimate relationship is pre-existing between a member of staff and a candidate for admission as a student, the member of staff must make the Senior Tutor aware of this at the outset of the admissions exercise, so that steps can be taken to avoid any conflict of interest arising. The matter will, as far as possible, be handled in confidence to ensure that there is no detriment to the candidate.

### **Senior Tutor's responsibilities**

10. If a personal or intimate relationship is disclosed by a member of staff to the Senior Tutor, they should take steps to:

- assess whether any inappropriate conduct has occurred
- consult with the member of staff and the student to identify any impact their relationship may have within the College where appropriate; and,
- ensure that appropriate action is taken to minimise the potential negative effect of the relationship on the parties involved and other staff and/or students.

If the Senior Tutor is personally involved in the situation, the details will be referred to the Principal.

11. The Senior Tutor as far as possible will deal with the situation in a manner that protects the dignity and privacy of all parties, and those involved will be expected to comply with any reasonable decision or action. There can be no obligation on the parties involved to keep their relationship confidential.

12. The Senior Tutor may seek advice on a confidential basis from Human Resources.

### **Guidance for students on relationships and the need for disclosure**

13. The College strongly advises students not to enter into any relationship with a member of College staff with any responsibility for them. A student with any concerns should make contact with the Senior Tutor.

### **Non-consensual relationships or inappropriate behaviour**

14. If any student finds themselves in receipt of unwanted or inappropriate behaviour or involved in a relationship that they do not consider to be truly consensual, or if they consider that they have been adversely affected by a misuse of power, authority, or conflict of interest, they should refer to the [College's policy on harassment](#).

Members of staff who experience unwanted advances and other unwelcome behaviour from students should raise the issue with the Senior Tutor.

## Support and guidance

15. Any member of staff or student who has questions about this policy and its application should discuss them with the Senior Tutor in the first instance.

Additional support for staff may be sought from Human Resources or from an appropriate trade union.

Additional support for students may be sought from the [Student Welfare and Support Services](#) or the Dean of Welfare/College Harassment Advisors.

## C.6. Junior Member' Complaints and Appeals Procedure Code of Practice <sup>9</sup>

### Introduction

1. St Anne's College fosters a sense of community in which the rights and dignity of all its staff and students are respected. It is grateful for feedback from its members and it takes seriously complaints about any aspect of its operation. Wherever possible, the College endeavours to resolve complaints promptly and locally.
2. The Complaints and Appeals Procedure outlined below is intended to be followed in cases of disagreement with regard to:
  - Domestic matters (e.g. accommodation and services, including catering)
  - Financial matters (e.g. battels for fees and domestic charges, student support)
  - Academic matters (e.g. award of prizes, tutorial arrangements)
3. Typically, complaints will refer to isolated incidents and the provision of services by the College. The College has separate procedures for complaints about individuals which involve harassment (e.g. bullying, victimisation, racial or sexual harassment), detailed in the College Regulations. This policy does not apply to appeals against the outcome of a general or academic or

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<sup>9</sup> Formulated with guidance from the 'Good Practice Framework For Academic Complaints and Appeals', produced by the Office of the Independent Adjudicator

disciplinary procedure. These have their own procedures set out in Bylaws 3.13 and 9.6. In addition, some complaints may more appropriately be dealt with by the police.

4. The majority of cases will normally be settled by the complainant resolving their grievance directly with the relevant tutor or college staff member or departmental manager. Where this has been attempted and resolution is not possible, complainants can adopt an informal procedure (described in section 2 below), but a formal procedure is also available where a complainant wishes to register a written grievance (described in section 3). This procedure also details how appeals can be made. A flowchart illustrates the various stages of the process (see Appendix 1).
5. Anonymous complainants or complaints made on behalf of someone else will not be considered, unless there are compelling reasons for doing so. Such reasons should be clearly stated.
6. Disciplinary action may be taken against anyone who victimises or retaliates against a student who brings a complaint in good faith, and against any student who brings malicious or vexatious complaints.

## **SECTION 2: Informal Procedure**

7. Under the informal procedure, the junior member is asked to raise his or her complaint with the relevant College Officers. The relevant College Officers are as follows:
  - for academic matters: **the Senior Tutor**
  - for issues involving domestic College staff and services e.g. food and accommodation and related financial matters; security; maintenance: **the Domestic Bursar**
  - for financial and computing matters: **The Treasurer**
  - other behavioural and general disciplinary matters: **the Senior Tutor**
  - for matters pertaining to the Library: **the Librarian**
  - for welfare matters: **the Dean of Welfare**
  - for complaints about a College Officer: **the HR Manager**
8. In case of doubt about the appropriate College Officer the Senior Tutor will advise.
9. This informal procedure is intended to encourage discussion and understanding of the problem, and in some cases, may lead to its resolution without submission of a formal complaint. The complainant can be accompanied at any stage of the informal procedure by another member of College.
10. To resolve the complaint the relevant Officer will normally arrange a meeting with the complainant and:
  - seek to offer helpful and confidential advice and/or
  - try to find a remedy, or a reconciliation (in cases where relations have broken down between individuals, and the complainant does not object to this course).
  - note the withdrawal of a complaint where the complainant decides to do so.
  - record the outcome in a written response to the complainant.
11. The outcome may involve instigation of action under another College procedure.

### **SECTION 3: Formal Procedure**

12. All formal complaints must be made in writing to the to the Vice-Principal via the Academic Registrar, the Vice-Principal then hears/convenes a panel including himself and 2 Governing Body fellows of the College.
13. The formal procedure will normally be used only when the informal procedure has not achieved a resolution. In cases where the complainant has adopted the formal approach immediately, it will be open to the Vice-Principal to refer the complaint back to an earlier stage in this process. Formal complaints will not normally considered three months after the occasion of the complaint or in cases when the matter is being addressed under another College procedure.
14. If a formal complaint is taken forward, the Vice-Principal will convene an ad hoc committee of not less than three members of the Governing Body, not including the student's tutor(s) or college adviser to hear the complaint. All those chosen will be bound by the requirements of confidentiality. The adhoc committee will be free to invite a representative of the appropriate Common Room Committee to the hearing. The role of the representative will be to provide a student perspective to inform the committee's decision.
15. The complainant may take advice in advance of the hearing and may be adequately represented at the hearing itself, being given the chance either to make a written submission, or, if they prefer, to appear before the committee. The complainant may, in the latter case, be accompanied by a member of college. Along with the complainant and their representative, the tutor(s) and any member of staff involved in the presentation of the case against the complaint will withdraw before a decision is made. The committee's decision will be conveyed in writing to the Governing Body. The committee's written decision will include all the relevant facts. A copy of it will be given to the complainant.
16. If a complaint remains unresolved the complainant may refer the case to the Principal of St Anne's College to appeal the committee's decision. The Principal will arrange a meeting with both sides of the complaint and reserves the right to either uphold the committee's decision or to recommend a reconsideration of the complaint by the committee.

#### **Conference of Colleges Appeals Tribunal:**

17. If a complaint remains unresolved after the College's possible three stage internal process has been exhausted a junior member may appeal to the Conference of Colleges' Appeals Tribunal (CCAT), of which St Anne's is a member. The student should file such an appeal with the Secretariat of the Conference of Colleges within five days of the ad hoc Committee's determination. Information on the procedure for applying to the Tribunal is available from the St Anne's College Academic Office. On completing consideration of a complaint, the Tribunal will issue its decision and this concludes the College procedures for the formal examination of a complaint.

#### **Office of the Independent Adjudicator:**

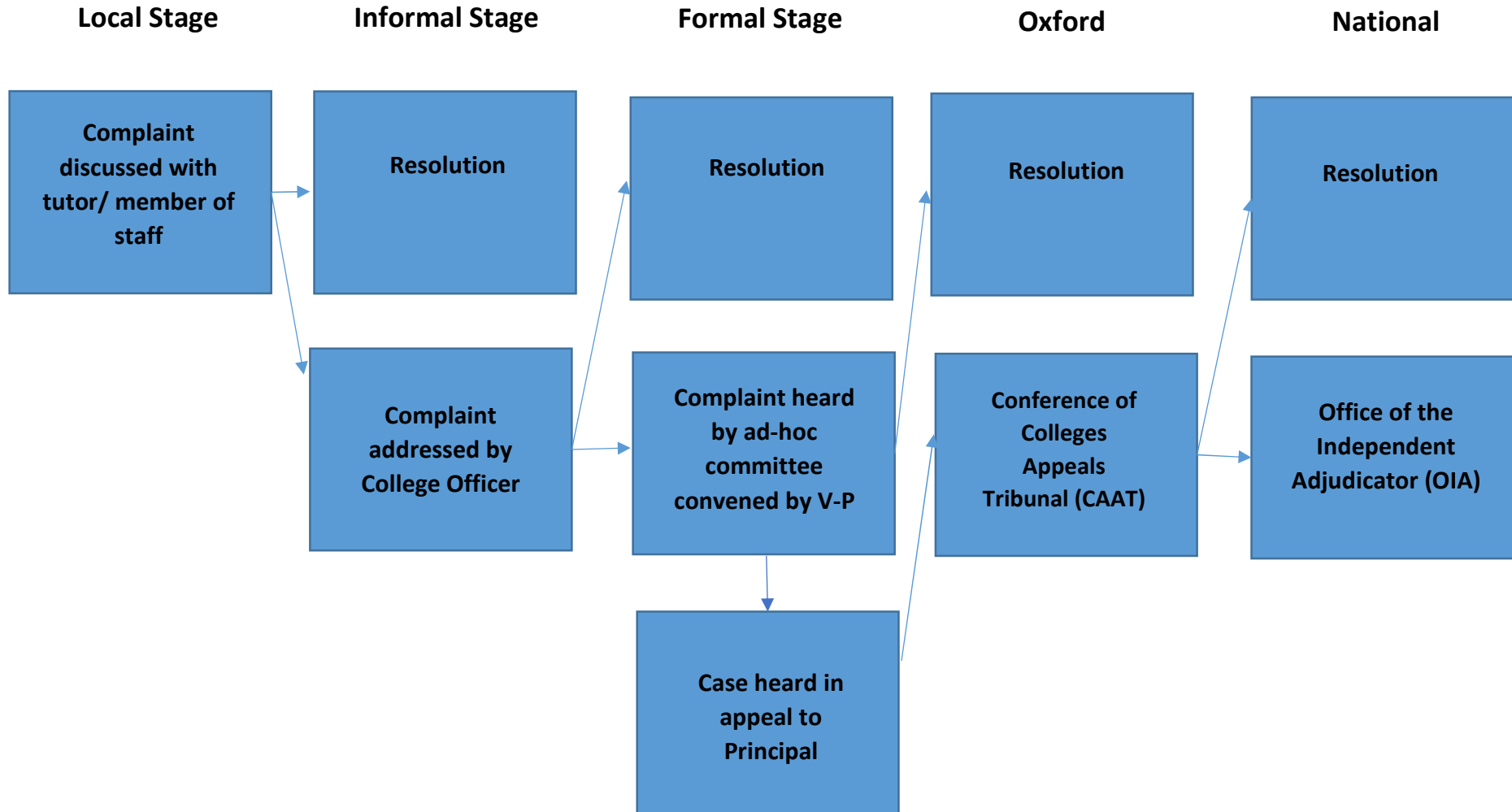
18. If a complaint remains unresolved after the CCAT procedures have been exhausted a student may ask for the complaint to be reviewed by the Office of the Independent Adjudicator for Higher Education (see [www.oiahe.org.uk](http://www.oiahe.org.uk) for further information). Application forms and guidance notes are available from the St Anne's College Academic Office. Please note that complaints relating to student discipline and academic matters are also within the scope of the OIAHE. However, complaints relating to matters of academic judgement (i.e. about academic performance or admissions) cannot be dealt with by the OIAHE.

### **Monitoring Arrangements**

19. The Academic Office will keep a register of the number of complaints made using the formal procedure in an academic year, and a summary of numbers and outcomes will be collected submitted to the Governing Body, along with recommendations for any action required in response to the issues identified in complaints. The register will indicate how many formal complaints have been registered and what stage they reached (categorised into resolved by the Committee, recommendation to Governing Body in favour of the complainant or not in favour of the complainant, appeal to the Principal, appeal to the Conference Tribunal).

Various sources of advice and support for students is available in your Student Handbook. Please refer to the section on Welfare. Your Fresher Parent, Personal Tutor, the Senior Tutor, the Assistant Deans, the Dean of Welfare, the College Nurse are all available to you during Term Time in Oxford. Please seek out their contact details in the Handbook.

**APPENDIX 1 – ST ANNE’S COLLEGE COMPLAINTS PROCEDURE FLOWCHART**





## C.7. St Anne's College Guidelines for Social Media Engagement

These guidelines are intended for anyone who uses social media to engage in a St Anne's College context – whether on a private Twitter or Facebook account on which you identify yourself as a member of College, in a Facebook group intended for members of College, or on College-related 'dark social', i.e. WhatsApp groups.

Please also make sure that you adhere to wider policies on use of social media including the University of Oxford's guidance for [staff](#) and [students](#).

### Introduction

The term 'social media' describes web services and tools such as Twitter, Facebook, LinkedIn, Instagram and YouTube that allow you to interact with others in the sharing of information, opinions and content. With social media, the emphasis is very much on building communities of interest and encouraging people to participate, rather than simply broadcasting information.

Social media can help you in many ways in your role, for example to:

- Communicate with the public
- Consult and engage
- Be transparent and accountable
- Access help and support from other experts

**All information conveyed through social media should be considered public. It should be assumed that unless particular restrictions are put in place all such information could end up anywhere at any time.**

**Be careful with private accounts - remember; personal views can too easily get read as the College's or wider University's views.**

### Social media principles

1. **Be aware that social media posts have a long life.** Anything you post in a public space will live there for a very long time and may be copied, re-purposed and redistributed in different contexts from the one in which it was posted. Even though posts can be deleted they will have already appeared in other users' timelines, and may have already been shared, saved on website archives or been screenshotted.
2. **Don't fire off posts in anger or frustration.** Consider what you have written carefully before posting and, if you have any doubts, don't ignore them; come back to it later or ask a colleague to check it. Remember, you are personally responsible for what you write.
3. **Protect privacy.** You are personally responsible for the content you publish. Use available privacy settings, and never give out your postal address or phone numbers. Limit the personal data you publish.
4. **Identify yourself - name and, when relevant, role at St Anne's** - when you do wish to highlight your research or related matters, and write in the first person.

5. **Own your posts.** If you publish content to any website outside of St Anne's and it has something to do with work you do or subjects associated with the College, include a statement, such as: "These are my own views, not those of my employer." Write in the first person ('I think...'). These are your opinions and you take personal responsibility for them.
6. **Respect the law.** Respect copyright, fair use and financial disclosure laws. Don't post libellous content. Do not post anything which could be construed as harassment or hate speech. Under most laws it is the individual that is liable for any breach of UK or international law. Remember, laws of other nations may apply to any posts. Do not be fooled by the informal nature of social media – the law still applies and a disclaimer will not protect you e.g. a UK Local Authority has utilised US law to access a Twitter account.
7. **Respect your audience and peers.** Don't use personal insults, obscenity, or engage in any conduct that would not be acceptable in the workplace. You should protect others' privacy and take care around topics that may be considered objectionable or inflammatory—such as politics and religion. People may disagree with what you say and express it in many ways, from the helpful to the downright rude. Rise above it and ensure your engagement is constructive and positive. Remember, some comments are not worthy of a response.
8. **Consider policy and confidentiality.** Respect what you can legitimately say about St Anne's in public - don't provide confidential or other proprietary information. Bear in mind any policies or initiatives relating to the area you are posting on, and don't contradict them. Don't share any documents if you are at all unsure that they are appropriate to be shared in a public domain. Don't report on conversations that happened at St Anne's and are meant to be private. If in doubt, ask the person the information was sourced from.
9. **Consider reputation.** Your own and the College's. Conversing with people is what social media is all about, but if you receive or come across a comment online that could cause reputational damage to either you or St Anne's, please let the Communications Officer and/or the Principal know as soon as possible. Bear in mind that any response could be taken as speaking on behalf of St Anne's and spread as such across social media sites.
10. **Think about how you are presenting yourself and who you are talking to.** Be aware of your association with St Anne's and the University in online social networks. If you identify yourself as working here, ensure your profile and related content is consistent with how you wish to present yourself with colleagues and stakeholders. When there is contact with national journalists on social networks, you should treat it like any usual media enquiry and contact the Communications Officer, copying in the University of Oxford [news office](#).
11. **Have integrity.** Encourage constructive criticism and deliberation and be honest about your thinking. Be cordial, professional and the first to correct your own mistakes. Don't alter previous posts without indicating that you have done so (and when), or delete comments just because they are critical – chances are you will be found out and exposed. Owning up to a mistake on social media is a good opportunity to be human.
12. **Write about what you know.** You add value by contributing views, opinions and perspective on topics you know something about. The image of St Anne's is best represented by its people and what you publish will reflect on College, so be aware that you can potentially damage the College's reputation by posting on subjects where you are not an expert or are not aware of all the facts.
13. **Provide timely responses.** A key point of social media is to participate in conversations and receive replies to your posts. If someone who replies expects a response, try to respond in a timely manner, even if you do need to reflect or look something up. Where you have a lot of

comments, you don't need to respond individually to every comment, but could post one response that references a selection of comments.

14. **Be responsible.** Be sensible with the amount you use social media websites, and don't forget your other work. Even though you are using social media in a work context, it should constitute a small amount of your work. Don't neglect other commitments.
15. **Be secure.** Do not use the same password for all social media sites, and definitely do not use the same passwords on social media sites as you would in the office or sites containing your personal or payment card information. Do not post information that you do not want to be public, even if the site seems secure. Remember, many of these sites may not have safe practices concerning the privacy or storage of your information and are often the target of hackers.
16. **Be sure.** Read the terms and conditions of use of a site and abide by them; failure to comply may have consequences you were unaware of. Some sites have privacy settings or secure areas that make you feel you can make comments securely between friends. Sometimes, more people can view these than you realise at the time you post, and the information could be released under subpoena laws without your knowledge.
17. **Be aware of Freedom of Information (FOI).** Information or comments posted on social media sites may be subject to FOI and data protection requests.

## The basics

For the nuts and bolts of how Twitter works, read Twitter's own [Getting started with Twitter](#) guidance. There are also help pages for [Facebook](#), [YouTube](#), [Instagram](#) and [LinkedIn](#).

The different channels are broadly accepted as meeting slightly different needs. Facebook, for example, can work particularly well for communities wanting to discuss particular topics, whereas Twitter is more of a fast-moving newsfeed and way to directly engage with people. YouTube can allow you to access large numbers of members of the public with the right content, and LinkedIn is great for more career related topics. But there are no hard and fast rules — it's the message, not the medium, which determines who you reach and engage with.

The simple rule to remember is that the principles covering the use of social and other digital media are the same as those that apply for any other activity:

1. Honesty about who you are
2. Clarity that your opinions are your own personal ones
3. Respect and humility in all communication
4. Good judgment in sharing only public information
5. Awareness that what you say is permanent

## Where to begin

If you're establishing a new social media account, taking one over from a colleague or revamping the way you do things, there are a few essentials to think about:

- Why are you doing this? Because you feel you should, or because you have identified a genuine need for it and have clear objectives?
- Who is the audience? Do you know if those people use the social media channel you're proposing to establish a presence on? For example, if you want to directly engage children in science, is Twitter the place to do that?
- What will the content of the channel be? How will you source or produce content?
- How much resource will that require, and do you have enough to achieve your aims?

We won't all want or need to have a presence on all channels. It's much better to think through the objectives and realities of a social media presence and decide against it than it is to establish one and then allow it to lie fallow. It's also fine to close down accounts that are no longer meeting your needs.

Make sure you consider channels together. How will your professional Twitter account work with your YouTube account? Do they have the same audiences with different content, or potentially different audiences for the same content? Will the same person/people be responsible for it? How will you coordinate them?

Don't assume that you can set up a social media profile and it will look after itself. Social media requires investment in time, often on a daily basis. There's no set rule for how often you need to post, but it should look as if it is being maintained when people visit it. Don't post for the sake of it, but don't be afraid of repeating posts about the same thing, particularly on Twitter when tweets will disappear quickly out of your followers' timelines.

### **Names, appearance and branding**

If you decide to use multiple platforms, it's a good idea to keep your appearance consistent across all social media channels so that you are recognisable. For example, the St Anne's College accounts display our beaver mascot and feature photographs of College across both Facebook and Twitter.

Try as much as possible to keep your name consistent across all profiles to reduce confusion.

Channels come with the option of including a short bio. Always fill this in – it's an opportunity to grab the attention of your audience. Write the bio in the first person – social media is all about being human. Take advantage of the opportunity to link back to your research group pages on the St Anne's College website.

People may decide whether to follow/like/subscribe to a channel within seconds, so make it easy for them to see what you're about.

### **Who tweets? Teams and working**

In terms of who actually has access to accounts, it's a good idea to keep this to a handful of people at most, for example research group pages. This is to ensure that the style and tone of your social media content has some consistency (therefore helping you build and maintain a 'voice') and so that you know who is responsible for each piece of communication which goes out. It also reduces the chance of duplication and confusion. You might want to create a rota for who is looking after social media on particular days.

### **Tone and style**

One of the things that sets social media apart from some other communications activities is that it's an opportunity — and a requirement — to be human.

Try to adopt an informal, conversational style. It's a chance to engage with people on a personal level, as if you were talking to them at a conference.

Be respectful. This may be an informal space, but offensive language, personal insults and other disrespectful behaviour are just as unacceptable here as in your work environment. Remember that you're representing the College and yourselves.

## **Emoji**

Emoji offer the opportunity to be more informal, save space in character-restricted contexts, and highlight posts by drawing the eye. Beware the double meaning of some emoji though.

Remember that the same emoji present differently on different devices and platforms, so avoid using ones that differ greatly between platforms and run the risk of being misinterpreted. Emojipedia shows how different emoji look in different systems.

Our use of emoji should be a natural extension of how we speak anyway, and use those that we think will resonate with and be understandable by our audience. Assuming that only a small portion of our audience will be extensive emoji users, we should therefore keep things simple.

Emoji should be part of a post, rather than making up the entire thing. Use them sparingly and with impact, rather than making posts completely unreadable.

## **What and when to post**

Remember that social media is about being part of a community – as well as posting your own content, share interesting and relevant things of others that you think your followers might be interested in.

Another important part of being a community member is crediting people. If you've found out about something from another social media account, say so. If you're using [creative commons](#) licensed images, add a credit.

As well as sending out information, take a look at what other people are saying and, if appropriate, get involved. Carve out your niche. Produce content about what you — or your group — know. Add value by contributing expert views and opinions. But take the opportunity to be human and go off-topic occasionally as well.

Try to avoid automated posting, particularly the obvious kind where the same content is posted across all your social networks. For example, though it saves time, it can look obvious if all your tweets are being posted to your Facebook page using a service like Hootsuite.

Keep things brief. Even on channels where you have no constraints on how much you write, less is often more, particularly on Twitter and Facebook.

### **Engaging with comments and questions**

One of the aspects of social media that people are most concerned about is opening up to engagement with your audience — both positive and negative. But this is the whole point of social media, so you should be prepared to interact with people.

Sometimes people might mention you in a negative way, or in a way that is clearly intended to draw you into a difficult debate, but which is not a direct question. At this stage, deciding whether to reply is dependent on whether the account appears to exist purely or largely to cause trouble, and whether there is misinformation that requires correction.

Remember, some comments are not worthy of a response, and I'd not recommend responding to comments which are abusive. Sometimes you may start to engage with someone and it will become clear that you're not going to be able to have a constructive conversation, in which case it's fine to stop the interaction, or suggest that it is moved to another medium. If you're concerned about an interaction, get in touch with the Communications Officer for support.

If you receive responses that are difficult to deal with within character limits, or look like there may be better discussed in private, you can suggest they email — it's generally not a good idea to have an argument in public (unless you want to do so to demonstrate your position on something).

### **Hashtags**

**Hashtags are used largely on Twitter and Instagram as a way of collecting together posts on a particular topic e.g. #cellimaging. It's a good idea to use a hashtag if appropriate because they can make searching easier (though anyone searching for the words 'cell imaging' in search bar would obviously find those tweets too). Try not to use more than a couple of hashtags in one tweet — they change the colour of the words, so using too many can render a tweet unreadable.**

**Where hashtags really come into their own is for events, whether they are real-world conferences or scheduled Twitter Q&As. When lots of people from a conference are tweeting using the same hashtag, their collective tweets can become a useful resource for people who couldn't attend the event, or as ways of identifying themes within a conference itself (they also help with arranging**

to meet up afterwards). Some hashtags will have a short life specifically for one event, others such as #MRCFestival have longevity.

When choosing a hashtag:

- **Make it unique (or as close to unique as possible).** The whole point of hashtags is that they help to cut through the noise. Check what's available – if the acronym for your research symposium is also used as a hashtag to discuss dog grooming and DIY, it's not going to be of much use!
- **Make it short.** People don't want to use valuable characters on using your hashtag – make it easy for them (and yourself).
- **Make it relevant (and therefore more memorable).** #d3pf9 may be unique, but it's not going to be easy to remember as the hashtag for a conference on open data, or help people know what you're talking about.
- **Think about future-proofing a hashtag.** If your event is called Cell Splash and you'd like to run it on a yearly basis, are #CellSplash2021 and #CellSplash2022 free of any conflicts or does it pull up something already in existence?
- **Before you invent a hashtag think: 'Do I really need one? Will it get used?'** If not consider using a topic hashtag. For example "Heard about lots of great #immunology research today at our event."

**Tweet in good time to let people know what your hashtag is, and use it in any promotional material you produce. If you don't make up a hashtag, someone else might, so it's best to make it fit in with your theme.**

## Evaluation

You can only evaluate your success on social media if you know what your objectives were in the first place.

For example, if you've stated that your aim for your Twitter account is to engage with and stimulate discussion among a specific research community, you'll want to be looking at parameters like the kinds of followers you have (ie whether they are in that community), the engagement rates for your tweets, and your rates for responding rather than broadcasting. Your number of Twitter followers is less important, because the people you're trying to reach are relatively small in number and finite.

If, on the other hand, you've stated that you want to reach a broad public audience with the aim of boosting attendees at your annual science festival, the overall number of followers is more important, as is looking at the number of festival attendees and asking them where they heard about the event.

At a smaller scale, you can use analytics to look at which of your tweets, Facebook posts etc has done the 'best' in terms of what you think is most important (ie the reach of a particular post or

engagement in terms of clicks, favourites and likes). This will help you understand what your audience is interested in and how it likes information it to be presented.

Most social media channels offer a basic level of analytics for free. Twitter's analytics can be found at [analytics.twitter.com](https://analytics.twitter.com). If you're logged in to Twitter, it will take you straight to an analytics dashboard. Facebook and YouTube analytics can be found in the dashboard.

### **Before you hit tweet...**

- Is that definitely the most engaging way you can express that idea?
- Could it be shorter/simpler and say the same thing?
- Is there a picture/video/audio? If so, can we use it and how should we credit it? Who should we tag in the picture?
- Have you added an image description for accessibility (this is known as alt text, which screen-readers can read in place of images).
- Are there any relevant hashtags?
- Which handles could you include to increase reach? Could you tag someone in the photo?
- Is this the best time to tweet this particular thing? If not, schedule.



## C.8. Covid 19 St Anne's College Community Responsibility Agreement

1. As a collegiate University, Oxford is committed to fostering an [inclusive culture](#) which promotes equality, values diversity and maintains a working, learning and social environment in which the rights and dignity of all its students and staff are respected.

2. The purpose of the St Anne's Community Responsibility Agreement is to secure everyone's agreement to protect ourselves and each other within College, the University and the wider Oxford community. It is an affirmation of shared values – community, consideration for others, respect and tolerance, and inclusion. It supplements students' and staff's existing responsibilities under University and College policies.

3. Adapting to life at St Anne's, in University buildings and in the city of Oxford under COVID-19 safety measures is new to everyone. Students and staff will need to develop new habits and make adjustments to their daily life, so, we need to treat each other with patience and understanding.

4. The University and colleges have committed to putting measures in place to minimise health risks to students, staff and the wider Oxford community. Each member of our community also has a responsibility for both their own health and that of others, especially those with vulnerabilities. Maintaining social distance at all times in community spaces, avoiding large gatherings and being mindful of the needs of those alongside whom we live, work and travel will help reduce the risks for everyone.

5. In order to protect our community's health and support our collective wellbeing during the COVID-19 pandemic, each member of the St Anne's community is expected to make the following eight commitments about their behaviour  
by signing this Agreement.

i. I will abide by all [national public health](#) regulations brought in to stop the spread of COVID-19. I will also follow the [University](#) and/or St Anne's College's specific guidance on health measures, together with [local public health](#) guidance as relevant for the circumstances I am in.

ii. I will request a test via the University's [Testing for Covid-19 – Early Alert Service \(EAS\)](#) immediately if I experience COVID-like symptoms, and I will notify the Lodge accordingly, as well as my Department nominated contact. I will follow all instructions from the EAS, including in relation to self-isolation.

iii. I understand that COVID-19 is a public health issue and will cooperate fully with the University, St Anne's and public health authorities, including participating fully in any contact tracing as requested.

iv. I will practise effective hygiene methods to limit contact transmission, including regular thorough handwashing with soap, the use of hand sanitisers as requested, the wiping down of surfaces and the correct wearing and disposal/washing of face coverings.

v. If I live in St Anne's or University accommodation, I will follow appropriate guidelines on how I may interact with and share communal spaces with members of my household. If I live in a private household I will follow the relevant Government/Public Health England guidance. I will also follow guidance regarding how or whether I may enter others' households and any limits on the number of people allowed to visit a household.

vi. I will show respect and consideration for the collegiate University and wider Oxford community. I will adhere to social distancing requirements and maximum group size rules. I will follow all rules and signage about expected behaviour for the space I am in when interacting with anyone outside my household, whether in college, University premises, on public transport or elsewhere in the city.

vii. I will adhere to the [University's policy](#) and Government rules on wearing face coverings, which will include the requirement for face coverings to be worn for in-person teaching indoors and in any shared indoor spaces.

viii. I understand that I am responsible for ensuring that my guests adhere to these same standards of behaviour in University, College or other spaces.

Signature

Name (BLOCK CAPITALS)

Date

To find out more please visit:  
[www.ox.ac.uk/covid-health](http://www.ox.ac.uk/covid-health)