



## **Governance and Effectiveness Committee of the Board of Governors of the Guildhall School of Music & Drama**

**Date:** TUESDAY, 2 OCTOBER 2018  
**Time:** 1.45 pm  
**Venue:** COMMITTEE ROOMS - 2<sup>ND</sup> FLOOR, WEST WING, GUILDHALL

**Members:** Sir Andrew Burns  
Deputy John Bennett  
Deputy Michael Cassidy  
Professor Geoffrey Crossick  
Marianne Fredericks  
Gareth Higgins  
Michael Hoffman  
Ann Holmes  
Vivienne Littlechild  
Lynne Williams

**Enquiries:** Martin Newton  
tel. no.: 020 7332 3154  
martin.newton@cityoflondon.gov.uk

**Lunch will be served in the Guildhall Club at 1pm**

**NB: Part of this meeting could be the subject of audio video recording**

**John Barradell  
Town Clerk and Chief Executive**

# AGENDA

## Part 1 - Public Agenda

1. **APOLOGIES**
2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**
3. **COMMITTEE TERMS OF REFERENCE**  
To note the terms of reference of the Committee approved at the Board of Governors meeting in May 2018.  

**For Information**
4. **ELECTION OF CHAIRMAN**  
To appoint a Chairman in accordance with Standing Order No. 29.  

**For Decision**
5. **ELECTION OF DEPUTY CHAIRMAN**  
To appoint a Deputy Chairman in accordance with Standing Order No. 30.  

**For Decision**
6. **PUBLIC MINUTES**  
To agree the public minutes of the meeting held on 27 February 2018.  

**For Decision**  
(Pages 1 - 4)
7. **SKILLS SURVEY 2018**  
Report by the Town Clerk.  

**For Decision**  
(Pages 5 - 16)
8. **BOARD AGENDA PLAN**  
Report by the Principal.  

**For Decision**  
(Pages 17 - 20)
9. **FUTURE SUB-COMMITTEE ARRANGEMENTS**  
Report by the Principal.  

**For Decision**  
(Pages 21 - 28)

10. **COMPLIANCE STATEMENT WITH THE HE CODE OF GOVERNANCE**

Report by the Principal.

**For Decision**  
(Pages 29 - 36)

11. **AMENDMENTS TO STUDENT STATUTORY REPORTING**

Report by the Principal.

**For Information**  
(Pages 37 - 48)

12. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

13. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**

14. **EXCLUSION OF THE PUBLIC**

**MOTION** - That under Section 100A(4) of the Local Government Act 1972, the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Local Government Act.

**Part 2 - Non Public Agenda**

15. **NON PUBLIC MINUTES**

To agree the non-public minutes of the meeting held on 27 February 2018.

**For Decision**  
(Pages 49 - 52)

16. **CAPITAL PROJECTS STRATEGIC WORKING GROUP**

Report by the Principal.

**For Decision**  
(Pages 53 - 54)

17. **NON PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

18. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE BOARD AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

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## GOVERNANCE AND EFFECTIVENESS COMMITTEE OF THE BOARD OF GOVERNORS OF THE GUILDHALL SCHOOL OF MUSIC & DRAMA

Tuesday, 27 February 2018

**Minutes of the meeting of the Governance and Effectiveness Committee of the Board of Governors of the Guildhall School of Music & Drama held at the Guildhall EC2 at 1.45 pm**

### **Present**

#### **Members:**

Sir Andrew Burns (Chairman)	Christina Coker O.B.E.
Deputy John Bennett (Deputy Chairman)	Lynne Williams

#### **Officers:**

Martin Newton	-	Town Clerk's Department
Katharine Lewis	-	Guildhall School of Music and Drama

### **1. APOLOGIES**

Apologies for absence were received from Professor Geoffrey Crossick, Gareth Higgins, Michael Hoffman and Vivienne Littlechild.

### **2. MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**

There were no declarations.

### **3. PUBLIC MINUTES**

**RESOLVED** – That the public minutes of the meeting held on 16 June 2017 be approved as a correct record with the addition of Christina Coker in the apologies list.

### **4. TERMS OF REFERENCE**

The Committee considered the terms of reference of the Board of Governors of the Guildhall School of Music and Drama and, with the agreement of the Chairman, the late circulated Instrument and Articles of Government of the School.

The following matters were raised:-

- Noted that the term of office of the appointed Governors set out in the terms of reference did not correspond exactly with the associated wording in the Articles.
- Members were informed that comments on the terms of reference and other associated matters had been submitted to the Chairman by Professor Geoffrey Crossick with the suggestion that the terms could be amended to include the following:-

- (a) the addition to (a) ... '; and to assure itself that appropriate steps are being taken to deliver the institutional strategic plan, and that there are effective systems of control and risk management;'
- (b) the addition of a new term (f) 'responsibility to ensure that the requirements of the Office for Students, UK Research and Innovation and other relevant statutory bodies are followed and that compliance with these requirements is monitored.'
- (c) inclusion of a term (g) referring to the Board's responsibility for the promotion of equality and diversity throughout the School.
- (d) Consideration of including a new term (h) covering the responsibility of the Board to ensure institutional sustainability.

- The terms of reference did not make reference to the “statement of primary responsibilities” in the Articles.
- Noted that amendments to the Articles would be required in the future as a result of the introduction of the Office for Students as the regulator. The amendments would need to be approved to come into effect from March 2019.
- On the future potential to produce one composite governance schedule encompassing the current terms (a) to (e) and the Instrument and Articles of Government, a Governor made the point that this would present a far longer document in a format that would be unusual for the Court of Common Council to consider.

It was noted that streamlining of the Articles would be possible by removing sections on procedures for meetings by way of cross reference to the established provisions in the Corporation's Standing Orders, or by including these sections in an appendix to the main document.

The Town Clerk undertook to report back on the possible progression of a future composite governance schedule with regard to established Court procedures.

- The Town Clerk confirmed that the procedure for approval to terms of reference changes would be for the Board of Governors to firstly recommend changes to Policy and Resources Committee, prior to final consideration by the Court of Common Council, and that it would therefore not be possible for any changes to be confirmed for submission to the Court at its April meeting when terms of reference of committees were normally considered.

**RESOLVED – That**

(a) the Board consider a paper from the Principal at its next meeting in May 2018 on proposed changes to (i) include the addition of points identified by Professor Geoff Crossick; (ii) clarify other minor anomalies with cross referencing to the Articles where appropriate; (iii) alert Governors to the future requirement for a redrafting of the governance documents to comply with changes arising from the introduction of the Office for Students and the scope for streamlining the section on meeting procedures and (iv) clarify where possible the requirements for Governors' earlier experience; and

(b) the Town Clerk report back on the most appropriate way to progress future changes to the governance documents in relation to established Court procedures and the potential to produce one composite governance schedule.

**5. QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

There were no questions.

**6. ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**

There were no urgent items.

**7. EXCLUSION OF THE PUBLIC**

**RESOLVED** – That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the remaining items on the grounds that they involve the likely disclosure of exempt information as defined in Part I of the Schedule 12A of the Local Government Act.

**8. NON PUBLIC MINUTES**

**RESOLVED** – That the non-public minutes of the meeting held on 16 June 2017 were approved as a correct record.

**9. CHANGES TO INSTRUMENT AND ARTICLES OF GOVERNANCE**

With the approval of the Chairman, the Committee considered the further late discussion report of the Academic Registrar on the terms of reference of the School, Office for Students, and changes to the Instrument and Articles of Government.

**10. UPDATE ON ACTIONS IN RESPECT OF GOVERNANCE AND EFFECTIVENESS**

With the approval of the Chairman, the Committee considered the late discussion report of the Academic Registrar on updates on actions in respect of governance and effectiveness.

**11. NON PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

The Committee considered one non-public question.

**12. ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE BOARD AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

There were no urgent items.

**The meeting closed at 3.37 pm**

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Chairman

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<b>Committee:</b>	<b>Date:</b>
Governance and Effectiveness Committee of the Board of Governors of the Guildhall School of Music and Drama	2 October 2018
<b>Subject:</b> Skills Survey 2018	<b>Public</b>
<b>Report of:</b> Town Clerk	<b>For Decision</b>

## Summary

The last skills survey of Governors was carried out in 2014 and, at the request of the Board Governors, a new survey has therefore been carried out to assess personal skills and attributes including specialist and technical areas relating to the School.

The skills survey form is attached at **Appendix A** and the received results at **Appendix B**. These results demonstrate that the Board is strong in areas of governance, strategic management and risk and audit and that Governors have an interest and knowledge of the arts. There is, however, a lack of identified skills with regard to teaching experience (all categories listed), legal and estates and facilities management.

The review also highlights that the Board is comprised of a number of Governors who have specific and relevant skills and knowledge to carry out their role, such as Governors who sit on other educational governing bodies or have Higher Education Policy background, Research with HE / Performing Arts context, and those with qualifications in Education, Music and Theatre, which all serve to strengthen the governance of the School.

The Governance and Effectiveness Committee is asked to consider and evaluate the results of the review and consider any actions for recommendation to the Board of Governors.

## Recommendation

The Committee is asked to note the contents of this report and the results of the skills survey and to consider any appropriate actions to recommend to the Board.

## Appendices

- Appendix A – Skills Survey
- Appendix B – Survey Results

**Martin Newton**

Committee and Member Services Officer  
Town Clerk's Department

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## Board of Governors of the Guildhall School of Music & Drama - Skills Survey

If you prefer to print and complete the form manually, please return it to Martin Newton, Town Clerk's Department, Guildhall, London, EC2P 2EJ

Please return your completed form no later than 15 January 2018.

Name:

## SKILLS AUDIT SECTION

Please assess your level of skill, knowledge and experience in the areas below using the following scale:

- 1 No skill, previous knowledge or experience
- 2 Basic level
- 3 Intermediate level
- 4 Advanced level
- 5 Advanced level *plus* the ability to transfer knowledge and skills

Please ensure you respond to every question.

### A) CORPORATE MANAGEMENT

Area of Skill, Knowledge or Experience	Level of Competence (1-5)	Would like to develop <i>(please tick)</i>	Please comment on how you'd like to develop the skills ticked in the spaces provided.
<b>Governance</b> (good practice in corporate governance, legal obligations of Governors, other Board experience)			
<b>Strategic Management and Business Planning</b> (work and business planning, monitoring and evaluation, policy development, implementation and review)			
<b>Change Management</b> (aligning practice with mission and vision)			

### B) FINANCIAL MANAGEMENT

Area of Skill, Knowledge or Experience	Level of Competence (1-5)	Would like to develop <i>(please tick)</i>	Please comment on how you'd like to develop the skills ticked in the spaces provided.
<b>Finance</b> (budgets, forecasts, cash flow and final accounts)			

<b>Investments</b> (investment strategy, bench marking, performance measurement)			
<b>Insurance</b> (risk, public liability, employers liability, property)			

### C) SPECIALIST AND TECHNICAL AREAS

Area of Skill, Knowledge or Experience	Level of Competence (1-5)	Would like to develop (please tick)	Please comment on how you'd like to develop the skills ticked in the spaces provided.
Acting, including stage or production management			
Arts			
Campaigning			
Charity Organisation			
Creative Learning			
Drama			
Education Management			
Equalities and Diversity			
Enterprise/Business development			
Estates and Facilities Management			
Fundraising			
Area of Skill, Knowledge or Experience	Level of Competence (1-5)	Would like to develop (please tick)	Please comment on how you'd like to develop the skills ticked in the spaces provided.
Health and Safety			

Human Resources and Personnel			
Information and Communications			
Legal			
Local Authorities			
Marketing			
Mediation			
Music			
Project Management			
Public Relations			
Public Sector Organisations			
Quality Systems			
Relationship Management			
Risk and Audit			
Student Wellbeing			
Safeguarding			

<b>Teaching:-</b>			
a) Primary			
b) Secondary			
c) Further			
d) Higher			
Technology			
<b>Area of Skill, Knowledge or Experience</b>	<b>Level of Competence (1-5)</b>	<b>Would like to develop (please tick)</b>	<b>Please comment on how you'd like to develop the skills ticked in the spaces provided.</b>
Theatre			
Visual Arts			
Widening Participation			
Other areas not mentioned above (please state below...)			

Please provide details of any relevant skills related qualifications and training you have (if applicable).

Are there any skills which you feel are important but are not sufficiently represented on the Board? If so, please provide details in the box below.

*Thank you for completing this Survey.*



## Skills Audit Section

The Board of Governors rated their personal skills, knowledge and experience. The charts below demonstrate the results.

### Brief analysis of overall results:

The areas which are represented at a high level (50 and over) include:-

- governance
- strategic management & business planning
- risk and audit
- change management; and
- the arts.

The areas which are represented at a basic level (up to 35) include:

- teaching – all categories listed
- legal and;
- estates and facilities management.

## Corporate and Financial Management

		2018 (max 80) *	2014 (max 85) *
1.	Insurance	39	72
2.	Investments	47	43
3.	Finance	53	56
4.	Change Management	53	57
5.	Strategic Management and Business Planning	60	60
6.	Governance	56	62
	<b>Total</b>	<b>308</b>	<b>350</b>

## Specialist and Technical Areas

		2018 (max 80) *	2014 (max 85) *
1.	Health and Safety	35	40
2.	Fundraising	36	32
3.	Estates and Facilities Management	31	37
4.	Enterprise / Business Development	42	45
5.	Equality and Diversity	44	47
6.	Education Management	45	40
7.	Drama	43	43
8.	Creative Learning	33	41
9.	Charity Organisation	49	45
10.	Campaigning	37	39
11.	Arts	52	56
12.	Acting	39	33
13.	Relationship Management	40	51
14.	Quality Systems	38	32
15.	Public Sector Organisations	45	56
16.	Public Relations	38	48
17.	Project Management	48	58
18.	Music	48	53
19.	Mediation	36	40
20.	Marketing	42	49
21.	Local Authorities	42	54
22.	Legal	32	37
23.	Information and Communications	46	50
24.	Human Resources and Personnel	38	47
25.	Widening Participation	39	38
26.	Visual Arts	38	36
27.	Theatre	45	44
28.	Technology	31	27
29.	Teaching - Higher	31	40
30.	Teaching - Further	24	33
31.	Teaching - Secondary	25	29
32.	Teaching - Primary	28	25
33.	Safeguarding	48	51
34.	Student Wellbeing	41	39
35.	Risk and Audit	50	52
	<b>Total</b>	<b>1379 (max 3,280)</b>	<b>1487 (max 3,485)</b>

\*

2018 – 16 governor returns so maximum possible score in each section is 80

2014 – 17 governor returns so maximum possible score in each section is 85

**Other skills not mentioned in the survey but recorded as relevant by governors**

International relations and culture outside UK

Customer Care

Research (incl. impact)

Higher Education Policy

Westminster & Whitehall Relations

Cultural Policy

Research within HE/Performing Arts context

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# Agenda Item 8

<b>Committee:</b> Governance & Effectiveness Committee of the Board of Governors of the Guildhall School of Music & Drama	<b>Date:</b> 2 October 2018
<b>Subject:</b> Draft agenda plan for the Board of Governors	<b>Public</b>
<b>Report of:</b> Principal	<b>For Decision</b>
<b>Report author:</b> Katharine Lewis	

## Summary

The proposed agenda plan covers the usual set of required reporting plus also suggests that meetings are themed to ensure that the full range of the School's activities is covered in detail at some point during the year.

At each meeting the Principal's reports will also include updates on the achievements and challenges for each directorate.

It is intended that the Board should move to a 4 meeting cycle with an away day in July ensuring an even spacing of contact and update.

The cycle and agenda plan is based on current Office for Students (OfS) reporting requirements but these may change. [Housekeeping matters have not been included.]

During discussions a view on "virtual meetings" would be welcome, ie where the approval of non-contentious and urgent business can be conducted by email (recent five year forecasts for OfS refers).

## Recommendation

Members are asked to:

- Endorse the agenda plan (subject to amendment if required) for onward approval by the Board of Governors

Katharine Lewis  
Secretary & Dean of Students

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Meeting	Item description (excludes usual minutes and other housekeeping etc)	Strategic	Statutory/ regulatory	CUC Code and good practice	Other committees
<b>September BoG</b>	<b>Main theme: under 18s</b>				
	Strategic Plan update (could be included in Principal's report)	x			
	Principal's public and private reports (to include NSS/WSS results and update on enrolments)	x		x	
	Safeguarding public and non public and revisions to policy		x		
	Under 18s annual report and short 10 min presentation (from Sept 2019)	x		x	
	Financial forecasts for OfS (this year Sept but might revert back to summer)		x		Finance & Resources first
<b>November BoG</b>	<b>Main theme: Higher Education - academic and other assurances</b>				
	Strategic Plan update (could be included in Principal's report)	x			
	Principal's public and private reports	x		x	
	Academic Assurances: Academic Board annual report			x	Academic Assurance Working Group
	Academic Assurances: working group report			x	
Page 19	Compliance with the CUC Code of Governance(for inclusion in the annual assurance statement)			x	To be seen by Governance & Effectiveness Committee first
	"Single conversation" with OfS (financial statements for previous academic year, audit assessment, assurances etc) -		x		Audit & Risk, and Finance & Resources
	Budget for City of London	x		x	Ideally Finance & Resources
<b>February BoG</b>	<b>Main theme: Research, Knowledge Exchange &amp; Barbican Alliance</b>				
	Strategic Plan update (could be included in Principal's report)	x			
	Principal's public and private reports (to include student number snapshot)	x		x	
	Research & Knowledge Exchange annual report and short presentation			x	
	Short report on Barbican Alliance				
	Prevent: report to Board following annual monitoring report to OfS for previous year (for info) - to be extracted from Safeguarding going forward.		x		
	Access Agreement/Participation Plan: report on monitoring for previous year (for discussion)		x		Senior Management Team first

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<b>Committee:</b> Governance & Effectiveness Committee of the Board of Governors of the Guildhall School of Music & Drama	<b>Date:</b> 2 October 2018
<b>Subject:</b> Proposal to combine Nominations and Remuneration Committee	<b>Public</b>
<b>Report of:</b> Principal	<b>For decision</b>
<b>Report author:</b> Katharine Lewis	

## Summary

There is a concern that there are too many committees which places a strain on members of the Board and can on occasion make organising a meeting difficult. However, equally there is a sector expectation and requirement that all the roles of the current subcommittees of the Board of Governors are covered. Finance and Audit & Risk must necessarily be separate but there is no reason why some of the other committees could not be combined.

It is proposed, therefore, that the two committees with the smallest amount of business, Nominations and Remuneration, are combined into a single committee. In both instances neither committee covers the full range of business that would normally be considered in similar committees within a standard Higher Education Provider due to the unique governance arrangements with the City of London, and the Board of Governors not being the employer.

The proposed constitution for the combined committee takes into account the CUC HE Code of Governance, the new The Higher Education Senior Staff Remuneration Code, published by the CUC in June 2018 see: <https://www.universitychairs.ac.uk/wp-content/uploads/2018/06/HE-Remuneration-Code.pdf> and also ensures that terms of reference are aligned with the Instrument & Articles of Government. References to the codes are given in italics, changes to terms of reference are in grey highlight.

## Recommendation

Members are asked to:

- Endorse the proposal (subject to amendment as appropriate) for onward approval by the Board of Governors.

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Secretary & Dean of Students  
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## **Main report: revised terms of reference and membership for a combined Remuneration & Nominations Committee**

The Remuneration & Nominations Committee provides advice to the Board of Governors. The joint Remuneration and Nominations Committee combines two distinct roles for which there are separate expectations within the CUC HE Code of Governance. Therefore, wherever possible, the agenda will define the two distinct areas of business. It is recognised that all matters relating to the employment of staff fall within the purview of the City of London's Establishment Committee.

### **Constitution**

Chair of the Committee: a senior independent governor who is not the Chair of the Board (*CUC HE Code of Governance refers*)

Other members:

- The Chairman of the Board of Governors of the Guildhall School of Music & Drama (*a requirement of the CUC HE Code*)
- The Deputy Chairman of the Board of Governors of the Guildhall School of Music & Drama
- At least two non-Common Council Governors
- At least one other Common Council Governor
- One senior member of the Academic Staff (not a Vice-Principal)
- May include up to two other lay/independent members (who are not necessarily members of the governing body)

*[Note a Remuneration Committee should have a majority of independent members; in this instance this means independent of the School but not necessarily independent of the City of London.]*

In attendance:

- The Principal of the Guildhall School of Music & Drama (except when the Committee discusses his or her remuneration)
- VP for Advancement (except when the Committee discusses his or her remuneration)
- Head of HR
- Secretary & Dean of Students

**Quorum:** of any five Committee Members.

All Members are entitled to vote.

## Terms of reference

### *Nominations*

- To keep and review a skills register for the Board of Governors and its subcommittees
- To reflect upon the composition of the Board and its subcommittees and take steps to ensure that the Board and its committees reflect societal norms and values (CUC Code refers)
- To seek out and recommend the appointment of new lay/independent/co-opted members to the Board of Governors and its subcommittees. The Committee will consider advertising vacancies in order to increase the pool of talent available. (CUC Code and Instrument of Government refer)
- Satisfy itself that plans are in place for an orderly succession of the Board's membership
- To consider and recommend any application(s) for nominations for Fellowships and/or Honorary Fellowships.

*Note: The issue of inclusion of members of the local community (the School's instrument of Government refers) is addressed via the elected Common Council members. I propose that this requirement is therefore removed from the Instrument at the next revision of the Instrument & Articles.*

### *Remuneration*

- To take note of staff remuneration, the pay structure and benchmark the School against the rest of the higher education sector generally
- To consider all characteristics protected under the Equality Act 2010 and to flag any significant discrepancies within the School's staffing composition.
- To satisfy itself with the procedures in place at the School to allow staff to make representations about their pay.
- To satisfy itself that any ad hoc or personalised payments, including severance payments, that might distort the basic remuneration structure are made according to transparent and justifiable rules.
- To benchmark the salary of the Principal and Vice-Principals (the senior post holders) against a defined list of sector comparators and is (or is not) content with the outcome of the benchmarking.
- To make recommendations to the Board of Governors and the Establishment Committee in respect of overall staffing pay structure, having regard to equal opportunities.
- To produce an annual report to the Board of Governors that provides assurance that the committee has collectively discharged its responsibilities and produce a public annual statement (see note).

*Note on annual report:*

*The report should cover senior staff remuneration (Principal and Vice-Principals) and include, amongst other things, the approach to remuneration and type of factors used in considering*

*reward proposals such as performance against strategic objectives, reference to job evaluation schemes etc, and the current value for the university of the pay multiple of the Principal's earning against the median of all staff and how this indicator has changed over an extended period of time (Remuneration Code and "Possible outline structure for a Remuneration Annual Report" refer).*

*It is recommended that the annual report and the annual statement are one and the same but modifications may be necessary to preserve commercial confidentiality (Remuneration Code refers). Whilst the full report to the Board may be private it should not be withheld from any member of the Board of Governors (CUC HE Code of Governance refers).*

Sept 2018

## **Appendix 1: original terms of reference**

### **Remuneration Committee – Terms of Reference**

The Remuneration Committee provides advice to the Board of Governors of the Guildhall School of Music & Drama. It is recognised that all matters relating to the employment of staff are within the purview of the City Corporation’s Establishment Committee.

#### **Constitution**

- The Chairman of the Board of Governors of the Guildhall School of Music & Drama
- The Deputy Chairman of the Board of Governors of the Guildhall School of Music & Drama
- At least three non-Common Council Governors
- Two Common Council Governors
- May include up to three other lay/independent members (who are not necessarily members of the governing body)

**Quorum:** At least three Governors

**In attendance** (but not a member of the Committee)

- The Principal of the Guildhall School of Music & Drama (except when the Committee discusses his or her remuneration)

#### **Terms of Reference**

- To take note of staff remuneration, the pay structure and benchmark the School against the rest of the higher education sector.
- To consider all characteristics protected under the Equality Act 2010 and to flag any significant discrepancies within the School.
- To satisfy itself with the procedures in place at the School to allow staff to make representations about their pay.
- To satisfy itself that any ad hoc or personalised payments that might distort the basic remuneration structure are made according to transparent and justifiable rules.
- To benchmark the salary of the Principal and Vice-Principals (the senior post holders) against sector comparators and is (or is not) content with the outcome of the benchmarking.
- To make recommendations to the Board of Governors and the Establishment Committee in respect of overall staffing pay structure, having regard to equal opportunities.

## **Nominations Committee – Terms of Reference**

### **Membership**

- Chairman and Deputy Chairman of the Board shall serve as Chairman and
- Deputy Chairman of the Nominations Committee.
- Members should include three co-opted Governors, three Common Council Members and one senior Member of the Academic Staff.

Quorum of any three Committee Members.

All Members are entitled to vote.

### **Remit**

- To consider any application(s) for nominations for Fellowships and/or Honorary Fellowships and;
- To make recommendations to the Board of Governors of the Guildhall School of Music & Drama on any applications, as and when required.
- To seek out and recommend the appointment of new lay/independent/co-opted members to the Governing Body

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<p><b>Committee:</b> Governance &amp; Effectiveness Committee of the Board of Governors of the Guildhall School of Music &amp; Drama</p>	<p><b>Date:</b> 2 October 2018</p>
<p><b>Subject:</b> Compliance statement with the HE Code of Governance</p>	<p><b>Public</b></p>
<p><b>Report of:</b> Lynne Williams, Principal</p>	<p><b>For Decision</b></p>
<p><b>Report author:</b> Katharine Lewis, Secretary &amp; Dean of Students</p>	

## Summary

The primary elements of the Code of Governance are the hallmarks of effective governing bodies operating in the UK Higher Education sector. The Board of Governors is expected to comply with the CUC HE Code of Governance or explain why it is unable to comply.

The Board of Governors needs to:

- be confident that it has in place all of the primary elements. In order to do so it will be necessary for the Board of Governors to meet or exceed the requirements of the supporting ‘must’ statements that prescribe essential components within the element; or
- explain where it considers a whole primary element or supporting ‘must’ statements inappropriate. In such cases the rationale should be clearly noted and the alternative arrangements summarised within an institution’s report on its use of the Code.

At its meeting in July 2017, the Board approved the compliance statement and agreed that compliance would be monitored annually. CUC HE Code of Governance was amended in June 2018 in light of new requirements under the Remuneration Code.

Small amendments, noted by tracked changes, are proposed.

## Recommendation

The Board’s report on its use of the Code is set out below referencing the “must” statements and the associated legal obligations set out in the Code; non-compliance with aspects of the Code relate to areas of dissonance with City of London regulations or operational practices.

Members are asked to:

- review the compliance statement, and
- approve for recommendation to the Board of Governors, the minor changes to the compliance statement.

**Katharine Lewis**

Secretary & Dean of Students

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## The Seven Primary Elements of Higher Education Governance

### **(1) The governing body is unambiguously and collectively accountable for institutional activities, taking all final decisions on matters of fundamental concern within its remit.**

The Guildhall School, uniquely, is not an autonomous legal entity and its Board of Governors does not necessarily have the final decision on all matters of fundamental concern, being a committee within the local authority committee structure of the City of London. However, the Board does seek assurance that the School meets its legal and regulatory responsibilities, and this has been reviewed and endorsed by HEFCE in both 2011 and 2016. The School is currently seeking registration with the Office for Students.

The Board's statement of primary responsibilities is set out in its *Instrument & Articles of Government* (approved by the Privy Council 2016). All members of the Board are bound by the seven principles of public life.

The School does not have charitable status.

As the Board of Governors is a committee within a Local Authority structure and is not autonomous, the positions of the different types of Member on the Board are not the same:

- (i) as the Chairman or Deputy Chairman must be able to report to the Court of Common Council only members of the Board who are drawn from the Court of Common Council can stand for election as the Chairman or Deputy Chairman
- ~~(ii) — only members of the Board drawn from the Court of Common Council can count for quoracy. Whilst in practice it is unlikely that any meeting would go ahead without representation from the co-opted, or School members, this latter issue is under review.~~
- ~~(iii)~~(ii) the board is unusual within the City's local authority structure in having staff members on the board as well as staff members in attendance as officers. How the respective responsibilities of a member of staff and board member are reconciled is a matter of continuing discussion with the City of London.

Previously, quoracy was achieved by reference to the Court of Common Council members only, but now the quoracy requirement also includes the co-opted membership.

The public agenda, minutes and papers of the Board of Governors are published at:  
<http://democracy.cityoflondon.gov.uk/mgCommitteeDetails.aspx?ID=387>

Details of the Common Council members of the Board of Governors are also published on this website. Details of other members of the Board are not published on this website as this has wider implication for the City of London in respect of all its local authority committees. However, full Board details will be published on the School's website in due course.

**(2) The governing body protects institutional reputation by being assured that clear regulations, policies and procedures that adhere to legislative and regulatory requirements are in place, ethical in nature, and followed.**

All members of the board are required to abide by the principles of public life.

All members of the board are asked to complete a declaration of interests. However, at present only the interests of members of the Court of Common Council are published on the City of London's democracy webpages in line with its processes for all other local authority committees.

Whilst it is possible for areas of tension to arise for those members of the Board of Governors who are drawn from the Court of Common Council and who have to act in the best interests of the parent body as well as the best interests of the School, at the macro level the strategic objectives of the School and the City of London, which owns it, are aligned.

The Students' Union of the Guildhall School is an unincorporated association and does not have charitable status. Its constitution is reviewed by the Board of Governors and the schedules attached to the constitution set out the mechanisms for its organisation ensuring that it operates in a democratic, accountable and sustainable manner.

The City of London has an overarching whistleblowing policy which encompasses the staff of the School.<sup>1</sup>

**(3) The governing body ensures institutional sustainability by working with the Executive to set the institutional mission and strategy. In addition, it needs to be assured that appropriate steps are being taken to deliver them and that there are effective systems of control and risk management.**

The Board approves the Strategic Plan and receives an update from the Principal at each meeting on progress and other matters of strategic interest. The Board approves the annual budget and the end of year Financial Statements.

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<sup>1</sup> <https://www.cityoflondon.gov.uk/about-the-city/how-we-make-decisions/Pages/whistleblowing.aspx>. ~~Note: since the compliance statement was first drafted, the public link has been removed from the City's website and it is only available from the Employee Handbook.~~ The scope of the policy does not cover Members of the Board but does cover members of the public with a concern about the City of London's services.

The Board reviews the Financial Statements and budget. However, as the School is not an autonomous body it does not receive donations directly or manage investments directly. Similarly pensions do not fall within the Board's remit. Money received directly by the School is managed by the City of London. Charitable donations are received by the Guildhall School Trust which has its own board of trustees and is entirely independent of the Board of Governors.

A range of KPIs are reported to the Board.

The Board can explain the processes, and types of evidence, the School uses to provide assurances to funders.

The Board of Governors receives assurances that the institution is meeting the conditions of funding. The Audit & Risk Management Committee, on behalf of the Board, reviews regularly the School's risk register. An internal audit plan is agreed annually.

Data supplied for funding purposes complies with directions published by the respective funding body.

The Audit & Risk Management Committee is comprised of members independent of the School, but not all members are independent of the City of London. The Chair of the Audit & Risk Management Committee is a co-opted member, ie is entirely independent of the School and the City.

The Financial Management of the School is undertaken by the Finance Department reporting to the Chamberlain within the City of London. Whilst not reporting directly to the Principal the Head of Finance has access to the Principal and is a member of the Senior Management Team.

#### *Remuneration*

It is not possible for the School to be compliant in respect of 3.13 of the HE Code. As the School is a department of the City of London, remuneration of all staff members, including the Principal and other senior staff members, is set by the City of London.

There is, however a Remuneration Committee, which is comprised of members independent of the School (~~but it is has no member independent of the City of London at present~~). ~~It has been agreed that T~~this committee ~~should~~ meets regularly to consider, amongst other things, comparative data on salaries and staffing profiles to inform

discussions with the City. The Board notes the new requirement that the Chair of the committee should be a senior independent governor who is NOT the Chair of the Board.

**(4) The governing body receives assurance that academic governance is effective by working with the Senate/Academic Board or equivalent as specified in its governing instruments.**

The Teaching & Learning Strategy is approved by the Board of Governors on the recommendation of the Academic Board. Updates on strategy are reported by the Principal at each meeting of the Board.

The terms of reference and membership of the Academic Board are approved by the Board of Governors in line with the Instrument of Government. The Board receives an annual report from the Academic Board in November covering a wide range of academic and student experience issues to help the Board arrive at the assurances required of the funding body; this includes information on student complaints. The annual report also includes an action plan and an update on the action plan is received in the summer term each year.

The *Maintaining good campus relations in higher education* policy statement sets out the School's commitment to freedom of expression and the right to express and to challenge controversial views and opinions and for rigorous debate, subject to operating within the law.

**(5) The governing body works with the Executive to be assured that effective control and due diligence take place in relation to institutionally significant external activities.**

As a department of the City of London many commercial activities, contract tendering etc, fall under the City's direct remit, not the School's. However, as part of the City's procedure, the Board receives regular reports on significant capital expenditure. The City has a clear scheme of delegation relating to Board business.

Charitable donations are received by the Guildhall School Trust which has its own board of trustees and is entirely independent of the Board of Governors. However, the Board receives an annual report on development and fundraising activity.

**(6) The governing body must promote equality and diversity throughout the institution, including in relation to its own operation.**

The School operates an equal opportunities policy in respect of both its staff and students and has an *Equality scheme* and action plan. The scheme was last reviewed and approved internally in April 2016 and sets out not only to eliminate unlawful discrimination but also to promote equality. The scheme is currently under review and is due for approval during the 2018/19 academic year. The student body is monitored by the Board in respect of equality and diversity by way of a student profile including new entrants by protected characteristics (February Board of Governors each year), and the outcome of monitoring undertaken in respect of admissions and assessment by protected characteristics (November Board of Governors each year via the Academic Board's annual report).

The SU President and staff members are elected by and from their constituent bodies, and the Principal is appointed through the City of London which has an equal opportunities policy. The Nominations Committee considers nominations in respect of the six co-opted members. Common Council members are elected members of the local authority. Whilst there can be no official statement promoting or encouraging diversity in those standing for election which might be perceived to interfere with the electoral/democratic process, when encouraging members of local networks/groups to attend meetings to find out more about standing for election to the Court, the City acknowledges its wish to increase the number of Councillors from a range of backgrounds and different experiences to enrich the City's knowledge and expertise and better reflect the communities it serves.

**(7) The governing body must ensure that governance structures and processes are fit for purpose by referencing them against recognised standards of good practice.**

*Composition and appointments*

The majority of the members of the Board are external to the School, but the majority are not external to the School and the City of London (which owns the School). As the School is not an autonomous legal entity, and its Board is a committee within the City of London, the majority of members are drawn from the Members of the Court of Common Council of the City of London (eleven Common Council members, four School members, and six co-opted lay members). The Board has an established procedure within its *Articles of Government* for the appointment of a Deputy Chairman. The Chairman and Deputy Chairman must be drawn from the Common Council membership (see section 1 above).

The Board of Governors does not have the power to remove a member from office. However, a serious allegation of a breach of good conduct by a board member, including a co-opted member, will be investigated by the City's Standards Committee and removal could result.

The Board has established a Nominations Committee to consider nominations for co-opted members and the balance of skills, knowledge and experience required by the Board.

All Board members are limited to three terms of three years with the exception of the Principal whose membership is ex-officio.

The Clerk to the Board provides an induction to the City of London and its committees, and a handbook of information including relevant documentation about the School. An additional higher education induction is to be introduced to be delivered by the School.

The membership of the Board provides for staff and student members.

Board members are not remunerated.

#### *Operation*

The Town Clerk is the Clerk to Board; this is set out in the *Instrument and Articles of Government*. In practice, standard committee support is provided by the Committee and Members Team within the Town Clerk's Department. The Team also offers advice on City of London standing orders, processes and related legal matters. Advice on HE operational and regulatory matters is provided to the Board by officers working within the School.

#### *Review*

The Board reviews its effectiveness via the work of the Governance and Effectiveness Committee. A comprehensive review of the Board and its committee was started summer term 2017 and this work will continue in 2018/19 with consideration of the number of committees and frequency of meetings.

The Board will monitor compliance against the HE Code of Governance annually.

KML/June 2017

Updated September 2018



<b>Committee:</b> Governance & Effectiveness Committee of the Board of Governors of the Guildhall School of Music & Drama	<b>Date:</b> 2 October 2018
<b>Subject:</b> Amendments to student statutory reporting	<b>Public</b>
<b>Report of:</b> Principal	<b>For information</b>
<b>Report author:</b> Katharine Lewis	

## Summary

Given the significant changes to the student data statutory reporting being rolled out over the next two years, amendments to the Board of Governors induction document are proposed.

The new HESA Data Futures live, year round, return is a very large project and there are significant risks attached.

## Recommendation

Members are asked to:

- Note the report.

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# Data collections & returns

## Background:

As part of its responsibilities as a Higher Education Provider, the School is required to collect and return a range of data sets relating to its finances, the student body, its staff, its estate and its research activity.

It is a requirement under *The Higher Education Code of Governance* that the governing body MUST seek assurance that the institution meets all legal and regulatory requirements imposed on it as a corporate body and MUST be in a position to explain the processes and the types of evidence used and provide any assurances required by funders.

Therefore, as a starting point, and part of Board members' ongoing induction, it would be useful for members to be aware of the types of data collection and returns undertaken during the year, where internal and external audits have been undertaken in respect of these returns, and areas where the School intends to make changes to its processes.

The Internal Audit's audit of Student returns generated an amber priority recommendations relating to overall arrangements for returns management in the School this is being addressed for the 2018/19 reporting cycle.

September 2018

# Section 1: Student returns (Registry)

The internal audit department of the City of London undertook a general high level audit of the School's student returns in early 2018 and determined that there was an adequate control framework in place but there were weaknesses which might put some system objectives at risk.

## HESA - Student Record Return (until 2020)

### *Compliance requirements*

The data collected as part of the *Student record* is used extensively by various stakeholders and is fundamental in the formulation of:

- Funding
- Performance Indicators
- Publications (including UNISTATS)
- League tables

The *Student record* is collected in respect of all students registered at the School who follow programmes that lead to the award of a qualification or provider credit. The *Student record* collects individualised data about students active during the preceding academic year. A wide range of data items are collected, including: the student's entry profile and personal characteristics, module and course level data, funding information and qualifications awarded. There are differing requirements for different types of student, and for some students it is possible to make a reduced return, submitting only a subset of the fields of the *Student record*.

All data is stored within SITS, the student record system, and exported from there to form the HESA return.

### *Internal decision making*

Most fundamental HESA decisions are historic and were made when HESA was first implemented in the School in 2005/6 and are still relevant. Minor decisions are agreed with the relevant stakeholder: finance, departments, registry and are implemented as appropriate – more noteworthy decisions are communicated to the Principal prior to signing off the data.

### *Quality Assurance/Audit*

The *Student record* data that forms the basis of the return is subject to rigorous internal checks. Applicant and enrolment data forms the bedrock on which student progress data is built; applicants and enrolled students play a part in checking and updating their own data and legal identity and qualifications are checked for each individual by Registry staff.

On the assessment side each stage of the process - marking, moderating, inputting marks, programme assessment board reports, and School Board of Examiners reports – provides opportunity for scrutiny and reality check. Outside of assessment, student status changes (intermission, withdrawal, change of mode of attendance or programme) are subject to a stepped approval process before a change is implemented.

There have been no external data audits relevant to HESA.

## **HESA Data Futures (to replace the HESA student return from August 2020)**

### **Data Futures is the biggest change in the history of HESA statutory reporting.**

It is huge project requiring significant remodelling of the Schools' processes & systems. The project will take around 2 year to complete with yearly ongoing changes expected after competition alongside the management of the new continuous reporting cycle.

### **Overarching timeframe**

The Principal will be required to sign off on the School being Data Futures ready in October 2019 and a mandatory trial Data Futures return will be require to be submitted in early 2020.

Data Future will then officially replace the current Student Record return from 1<sup>st</sup> August 2020.

### **Concepts**

The key concepts of Data Futures are:

- Continuous reporting cycle throughout, which isn't restricted by academic year.
- Timely data, returned as close to the "event" as possible
- Each data entity (grouping of like individual pieces of data) will have an "in scope" period when HESA will be expecting to receive the data and when they expect to have that piece of data signed off by. There will be 3 sign off dates per year. Data within scope can be revised by submitting a revision or deletion.
- HESA is expecting data to be received daily, weekly, monthly etc. not necessarily in 3 big chunks around the sign off dates. [Cycle for the School yet to be determined.]
- Data is expected to be "known" at the point of returning it i.e. not an estimate
- To collect new and revised data sets not previously collected
- The use of data errors & warnings will be removed and replaced with tolerance levels – every item of data will have a tolerance level - with many being 0. Tolerance levels will be able to be negotiated on an individual institution level and all have to agree by all stakeholders.
- There will be a continuous data checking and cleansing cycle.
- A HESA "course" has a very high level definition which will require some (or significant) academic modelling.
- Continuity of student data becomes a much wider issue. HESA will be looking for continuity of student curriculum data, not just that a student is still enrolled as expected as they have previously done.
- Once HESA has our data, in theory we only need to submit new data & updates to previous data.

## Risks

- Capacity to deal with the change whilst also still having to make the usual returns – a home risk
- Timing – government is constantly changing the goal posts, hard to keep up with decision making – sector risk
- Reliant on third party implementation (eg Tribal and changes to SITS system) – sector risk
- We do not know what HESA expects of us is for the 2019/20 return with regard to continuing students –sector risk
- Academic model may need significant reconfiguration but we have no teaching & learning lead– a home risk
- Need for whole School buy-in, particularly Finance and Music & Drama admin (teaching staff also need to understand that flexibility and bespoke-ness will be reduced) – home risk
- Graduate Outcomes reporting is also changing at the same time; burden will need to be shared with Alumni – home risk

## Graduate Outcomes (replacing Destination of Leavers in High Education from December 2018)

### Scope

Like the DLHE, the Graduate Outcomes survey will collect information in respect of successful leavers of the School after their completion of study. In addition to familiar questions from the DLHE survey, the Graduate Outcomes survey asks new questions to provide a richer picture of the diversity of graduate outcomes. These new 'graduate voice' measures capture three areas:

- How meaningful or important they feel their activity to be
- Whether they are using the skills they gained from their qualification in their current activity
- How they are progressing towards their future goals.

There will be core, opt-in and bespoke questions that the School may ask at the end of the survey.

### Administration

HESA's model of open centralisation means that the Graduates Outcomes survey will be administered in a central survey operation overseen by HESA. This operation will be responsible for contacting graduates, quality checking responses, completing additional coding and returning the data to HESA.

HE providers will be required to maintain and supply comprehensive and accurate contact details for their graduates to this contractor. HESA anticipates exceeding a response rate of 70% for the survey to enable publishing of data at course level.

HE providers are expected to have near real-time access to dashboards containing survey data and a significant stake in the survey's governance through the Graduate Outcomes steering group.

### *Contact methods and survey timing*

Graduates will be surveyed by telephone or online approximately 15 months after completing their studies. This is a significant change from the current DLHE survey, which contacts graduates after six months. 15 months has been chosen as it gives graduates a meaningful opportunity to progress in their post-graduation activities, while still being close enough to the point of completing studies that high response rates should be achievable.

### *Risks*

- Until now the six month time-frame after completion means that the School has held fairly up to date graduate contact details. There is concern that the longer time frame will mean a lower response rate if contact details are not current. There will be a greater pressure on the Alumni Department to keep the relationship warm at the early career stage.
- Alumni staff have had difficulties modelling the Razors Edge XLM Graduate Outcomes file so a student record system solution (via SITS) will need to be brought into play at short notice by Registry staff
- Registry staff are already heavily engaged in the HESA Data Futures project

## **HESES (Higher Education Students Early Statistics Survey)**

### *Compliance requirements*

The Higher Education Students Early Statistics Survey, better known as the HESES return, is a student numbers return which is made to HEFCE. The return requires total student numbers and full-time equivalents to be identified within different categories at the 1st December census date each year.

The HESES return is a statutory return that is made by all Higher Education institutions to HEFCE. The return gives an early indication of the number of higher education students studying within a given academic year. Together with data supplied to HESA, the HESES return also informs the School's allocation of teaching funds for the following academic year.

All data used in the return is stored in SITS and then exported from there and transferred into the HESES excel workbooks. The return is heavily reliant on accurate enrolment and assessment data, both current and historic. Historic data is particularly important in the calculation of certain non-completion averages.

### *Internal decision making*

Most fundamental HESES decisions are historic and were made when HESES was first implemented in the School in 2005/6 and are still relevant. Minor decisions are agreed with the relevant stakeholder: finance, departments, registry and are implemented as appropriate – more noteworthy decisions are communicated to the Principal prior to signing the data off.

### *Quality assurance/audit*

An internal audit/spot check relating to two aspects of enrolment (tuition fees and ID cards) was undertaken on the 2015 entry data. There was one recommendation arising concerning periodic

reconciliations between SITS and the access control system. This has been implemented via new automated daily reporting which allows the access control system to update itself. Other aspects of the student record are regularly checked as part of the pre-audit testing relating to the School's accountability return.

The School's HESES returns should be subject to regular (3 yearly) external audits. However, the School has not had its return audited since April 2009. Audit requirements are extensive and comprehensive thus each HESES return is prepared with an impending audit in mind.

The last audit findings were:

“We have concluded that we have gained assurance over the systems and protocols used in deriving the return and over the accuracy of the return in terms of the funding position. In reaching this conclusion, we have made one lesser grade recommendation which, if implemented, should help to improve the accuracy of future returns.”

“Recommendation 1: The key processes involved in the construction of the return, specifically around the extraction of data, forecast of non-completions and the completion of the data tables within the return should be formally documented. The document should be reviewed annually and updated as necessary to ensure compliance with the latest HESES guidance and funding rules, and made available to all relevant staff”

## **Unistats record (previously Key Information Sets (KIS))**

### *Compliance requirements*

Whilst the published Unistats record includes information collected by other means [eg National Student Survey (NSS) and Destination of Leavers from Higher Education (DLHE)] the School provides information to HEFCE specifically for this purpose by way of an annual return detailing contact hours and assessment types concerning all the School's undergraduate degree provision.

The data for each programme is drawn from the programme and module specifications for each programme of study (known internally as the *Gold Copy*) in approval for the year of the return. As the numerical values of the return are based on the average student journey in each year of the programme, the average journey is derived from live student enrolment data on modules in the year of the return using the student record system (SITS), and the most 'popular' modules form the basis of the average student journey.

It is a requirement of the *Memorandum of Assurance* with HEFCE that the Unistats/KIS widget is displayed on each course page, please see bottom of the Acting page for an example:

[http://www.gsmd.ac.uk/acting/programmes/ba\\_honours\\_in\\_acting/](http://www.gsmd.ac.uk/acting/programmes/ba_honours_in_acting/)



### *Internal decision making*

Where a choice is made about the appropriateness of a particular student journey (ie why one module is chosen over another), that decision is recorded and noted in the briefing to the Principal prior to sign-off by the Principal.

### *Quality assurance /audit*

All programmes are subject to revalidation (at least every five years) during which contact hours and assessment types associated with each module are reviewed and reapproved. The Academic Board oversees the revalidation process. During the period of validation, amendments to a programme and its modules, including contact hours and assessment types, must be approved by the Academic Board. A *Gold copy* is produced for each programme for each academic year and is the definitive statement to the student of the hours to be delivered in that academic year.

The Whole School Survey (WSS) at the end of the academic year collects student feedback on the programme and provides an opportunity for students to complain about non-delivery of contact hours (if it hasn't already been raised through other student feedback routes).

The recent internal audit of Principal Study hours in music arose from complaints in the WSS relating to non-delivery.

The Unistats record/KIS has only been running a couple of years and the School has not, as yet, had an external HEFCE audit.

## **Access Agreement and National Student Scholarship monitoring**

*Access Agreements have changed to Access & Participation Plans for 2019/20. The Office for Students is currently consulting on significant change to Access & Participation Plans for 2020 onwards.*

### *Compliance requirements*

In January each year, the School is required to submit a return in respect of its performance against its milestones and its ~~OFFA~~-accountable access spend in the previous academic year.

The return is compiled from information gathered from a number of sources:

- Registry - Applicant, enrolment and progression data drawn from the student records system (SITS)
- Creative Learning – project spend, project reach and evaluation (in the form of an annual report to Senior Management Team)
- CYM, Junior Guildhall – assisted places spend and student progression information
- Enterprise/Widening Participation Officer – summer school assisted places spend and relevant progression and evaluation information
- Finance – salary and on-costs of roles referenced within the Access Agreement
- Student Finance Officer – data relating to Access Bursary recipients

### *Internal decision making*

The return is currently compiled by the Secretary & Dean of Students.

An overview of the School's performance is considered by the Senior Management Team prior to submission and received for information by the Board of Governors after submission.

The return is signed off by the Principal. The Principal is notified of any significant points in advance of sign-off.

### *Quality Assurance and Audit*

Once submitted, ~~HEFCE and OFPA~~ OfS will consider the submissions and may query aspects of the returns.

The School has not yet been externally audited on its Access monitoring return. ~~The National Student Scholarship Programme has now closed with 2014/15 last year of new recipients.~~

## **Information to the Student Loans Company**

### *Compliance requirements*

The School is required to provide to the Student Loans Company:

- a list of eligible courses for the purposes of government loans – undergraduate and postgraduate ~~and research (new for 2019 entry)~~
- confirmation of the registration and attendance of individual students who have applied for a loan so that payments can be made directly to the School (undergraduate tuition fees only) and to the student (undergraduate maintenance and postgraduate loan)
- notification of student status changes affecting eligibility for a loan (eg intermission and withdrawal).

### *Internal decision making*

The Registry staff determine what is, and is not, an eligible programme under the rules of the scheme. For the School's undergraduate programmes this is not difficult as the School only offers full-time undergraduate degree programmes. For the new postgraduate scheme this has been more difficult as the scheme sets a maximum two-year limit on eligible programmes and mixed modes of attendance are not permitted. Given the flexibility of the Guildhall Artist Masters programme with its different entry and exit points (eg in its most extended form it can be 3 full-time years or 2 full-time and 2 part-time years, but it can also be just 1 full-time year), the Registry made the different routes more explicit to new enrollers (with programme code for the student records system) so that students wishing to apply for the postgraduate loan would be able to choose an eligible route.

### *Quality Assurance and Audit*

Applicants and students are responsible for submitting their own data to Student Finance. Once the enrolment process has been completed, and a student is fully enrolled, confirmation is sent to Student Finance. As noted above there are numerous checks and balances in place for enrolment. The area of difficulty in the student loan process is students thinking they are personally eligible when they are not. There are different rules for the different home nations and this is of most significance in the postgraduate scheme. A Scottish student who has lived and worked in London

for 4 years would be eligible for a postgraduate loan; a Scottish student who has been living in London for the purpose of studying in London for 4 years would not. Checking whether students applying for the postgraduate loan are personally eligible can only be done in retrospect.

## **Information to the US Government**

The School offers US government tuition fee and maintenance loans to undergraduate and taught postgraduate students.

### *Compliance requirements*

The School is required to provide:

- a “Cost of Attendance” for each applicant and programme in the summer prior to start of the programme,
- confirmation of the registration of individual students
- monthly reporting of attendance,
- notification of student status changes affecting eligibility for a loan,
- proof of student entrance and exit counselling.

### *Internal decision making*

The Registry staff determine what is, and is not, an eligible programme and the cost of attendance under the rules of the scheme.

### *Quality Assurance and Audit*

Applicants and students are responsible for applying for the FAFSA with the US Federal Government. Students and applicants complete and return Guildhall’s CoA(Cost of Attendance) and provide the School with their MPN (Master Promissory Note) for each loan and entrance counselling completion and credit check(if applicable). The School verifies the information on their SAR (Student Aid report) to ensure they have not over-borrowed and that there is nothing strange. Once Registry has the required documents and evidence, it will originate the loan. US Loans enrolment reporting occurs on a monthly basis with additional checks immediately following the School’s enrolment in September. (As noted above there are numerous checks and balances in place for enrolment.) There is an ‘end of the academic year closeout’.

The School is required to complete its SAM registration every year circa February (as a federal contractor). This has just been completed for 2017 and the new Principal’s details have been provided. There is an annual compliance audit process due 31 January each year and undertaken by external US government appointed auditors. The Principal will be required to sign the auditor’s letter of engagement. Every three years recertification is required (last done 31 December 2016,) also requiring the Principal’s signature.

Katharine Lewis

Revised September 2018

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