

REGULATIONS FOR THE MANAGEMENT OF UNIVERSITY COLLEGE LONDON (UCL)

[March 2017]

1. INTERPRETATIONS [Statute 1(2)]

- 1.1 In these Regulations, the 'Council' shall mean the Council of UCL.
- 1.2 (a) In the Statutes and these Regulations, except where provided otherwise in (b) and (c) below, 'year' shall be the period of twelve months ending on 30 September.
- (b) In reference to the period of Student membership of the Council, of the Academic Board, and of such Committees and other bodies as the Council may from time to time determine, 'year' shall mean the period of twelve months ending on 16 July in the case of any member of the Students' Union Executive, as defined in the document 'Constitution of University College London Union'.
- (c) The financial year shall be the period of twelve months ending on 31 July.
- 1.3 In the Statutes and these Regulations, 'Departments' are Academic Units established by the Council (and listed in Regulations 10.1 and 10.2) and 'Heads of Departments' are the academic heads of such Units.
- 1.4 In the Statutes and these Regulations, 'Honorary Senior Clinical Lecturer' in relation to any persons means the holders of posts of Consultant Status in the employ of the National Health Service who hold the title of Honorary Senior Clinical Lecturer on the Academic Staff of UCL.

2. THE COUNCIL

- 2.1 The Council's Nominations Committee is charged by its terms of reference to make recommendations to Council for the appointment or reappointment of the external members of Council appointed to Council under Statute 3(1)(B). Vacancies for external members of Council will be notified widely to attract a broad range of candidates.
- 2.2 Three Members of the Council under Statute 3(1)(C)(i) shall be elected by and from among the Professorial Members of the Academic Board for service on Council during the next three ensuing years. Similarly, the three Members of the Council under Statute 3(1)(3)(ii) shall be elected by and from among the Non-Professorial and Honorary Senior Clinical Lecturer Members elected under Statute 7(1)(C)(i) for service on Council during the next three ensuing years. A ballot for two of these six elected places shall be held annually, normally not later than the end of the second term, for election to the Council with effect from 1 October in the next academic year. The method of conducting the ballot shall be decided from time to time by the Academic Board. Where an individual will be a serving member of the Provost's

Regulations for Management

- Senior Management Team, he or she is not eligible to stand for election. [Statute 3(1)(C)(i)-(ii)]
- 2.3 The Members of the Council elected under Statute 3(1)(C)(i) and (ii) shall be eligible for re-election for a second or further period not exceeding three years; provided that no person shall be re-elected who has completed six consecutive years of membership until a period of at least one year has elapsed. [Statute 3(3)(B)]
 - 2.4 Any casual vacancy among the Members of the Council elected under Statute 3(1)(C)(i) shall be filled by a person elected by the Professorial Members of the Academic Board from among their own number. An Elected Member filling a casual vacancy shall retain his or her membership only until the next due date for triennial elections to the Council, but shall be eligible for re-election. [Statute 3(5)-(6)]
 - 2.5 Any casual vacancy among the Members of the Council elected under Statute 3(1)(C)(ii) shall be filled by a person elected by the Non-Professorial and the Honorary Senior Clinical Lecturer Members of the Academic Board from among their own number. An Elected Member filling a casual vacancy shall retain his or her membership only until the next due date for triennial elections to the Council, but shall be eligible for re-election. [Statute 3(5)-(6)]
 - 2.6 Any Member of the Council filling a vacancy for the remainder of a period of membership under the provisions of Statute 3(6), shall be eligible for re-appointment or re-election for such further period or periods as the Council may at the time determine, provided that the period of continuous service shall not exceed that permitted under Statutes 3(1), (2) and (3) for a person in the same capacity. [Statute 3(6)]
 - 2.7 Where the circumstances of an elected member of Council change in a way that has the potential to make them ineligible as a future candidate for election to Council, or that obliges them to be absent from three or more meetings of Council, the following provisions shall apply: (i) Where the change is temporary, following consultation with the member concerned, the Chair of Council shall make a recommendation to Council on the appropriate course of action. This might be one of that person recusing or absenting themselves from meetings for a defined period of time. During their absence, the Chair may decide to recommend to Council that another staff member, typically the next person in the election, shall fill their place, or that the place remain vacant for that period. (ii) Where the change of circumstances becomes permanent, and the staff member is no longer eligible for Council membership, they shall be asked to resign from Council and a casual vacancy will arise.
 - 2.8 UCL Officers shall attend the meetings of the Council in accordance with Council's requirements and, when in attendance thereat, shall have the right to speak but shall not by virtue of their office have a right to vote.
 - 2.9 The Council may make and vary Standing Orders. It shall be the duty of the Secretary of the Council to keep a record of Standing Orders of the Council.
 - 2.10 On the request of one third or more of the Members present at a meeting further consideration of any question where previous notice has not been given in the agenda shall be adjourned to the next day on which the Council meets. Council shall not alter or rescind any previous decision without prior written notice in the agenda of the proposal to do so.

Regulations for Management

- 2.11 Ten members, of whom at least five shall be external persons appointed under Statute 3(1)(B), shall be a quorum of a Meeting of the Council. [Statute 5(4)]
- 2.12 The dates of Ordinary Meetings of the Council in any one year shall be settled before the commencement of that year. [Statute 5(1)]
- 2.13 The following are Formal Committees of Council:
- (a) *Academic Committees Reporting to Council*
Academic Committee
 - (b) *Formal Standing Committees of Council*
Audit Committee
Finance Committee
Honorary Degrees and Fellowships Committee
Nominations Committee
Remuneration and Human Resources Strategy Committee

Council approves the terms of reference and constitution of its Formal Standing Committees, with the exception of Academic Board which is governed by Statute. Formal Standing Committees may establish standing sub-committees as required, and approve their terms of reference and constitutions, in order to assist in the discharge of their duties. The establishment of standing sub-committees shall be reported to Council.

[Statute 5(5)]

- 2.14 (a) The Chair of the Council shall be *ex officio* Chair of the following Standing Committees established by Council:
- Honorary Degrees and Fellowships Committee
 - Nominations Committee
- (b) The Chair of the Council shall be *ex officio* a member of the Finance Committee and the Remuneration and Human Resources Strategy Committee.
- (c) The Provost shall be *ex officio* Chair of the Academic Board and of the following Standing Committees established by the Council:
- Academic Committee
- (d) The Provost shall be *ex officio* a member of the following Standing Committees established by the Council:
- Finance Committee
 - Honorary Degrees and Fellowships Committee
 - Nominations Committee
 - Remuneration and Human Resources Strategy Committee¹

[Statute 5(5)]

- 2.15 In accordance with the constitution of UCL, Council has established an Appeal Body, as a sub-committee of Council, to which a UCLU Trustee removed from office in

¹ Except when the Provost's own salary is under consideration

accordance with the procedures set out in the constitution shall be entitled to appeal the decision to remove them.

3. ACADEMIC BOARD

3.1 The number of Appointed Members of the Academic Board shall not exceed 40.

3.2 (a) (i) In accordance with Statute 7(1)(C)(i), the officers of the Academic Board shall ensure, in conducting periodic elections to membership of the Board that the number of Elected places available shall be not less than a quarter nor more than a third of the total membership of the Board, with representation from each of the following constituencies:

Faculty of Arts and Humanities²
Faculty of Brain Sciences
Faculty of the Built Environment
UCL Institute of Education
Faculty of Engineering Sciences
Faculty of Laws
Faculty of Life Sciences
Faculty of Mathematical and Physical Sciences
Faculty of Medical Sciences
Faculty of Population Health Sciences
Faculty of Social and Historical Sciences³

Representation shall be in proportion as closely as may be to the number in each constituency of Non-Professorial and Honorary Senior Clinical Lecturer members of the Academic Staff, and of grant-supported non-professorial research staff. The Elected Members shall also include other categories of staff set out in sub-paragraph (ii) below which have been designated by the Council as Academic Staff of UCL for the purpose of participation in elections to Academic Board.

(ii) The other categories of staff so designated by Council for the purpose of participation in elections to Academic Board shall include: not more than 70 staff to be elected by and from the Teaching Fellows of UCL; one technical staff member of each of the Faculties on Grade 6 or above to be elected by the members of technical staff of each of these constituencies; ten non-academic staff members elected by and from the combined non-academic staff members (Grade 7 and above) of the Professional Services Divisions and other non-academic units of UCL; ten non-academic members elected by and from the combined non-academic staff (Grade 7 and above) of Academic Units and Faculty offices.

(b) The names of Elected Members of the Academic Board under Statute 7(1)(C)(i) shall be determined by ballot of those Non-Professorial and Honorary Senior Clinical Lecturer Members of the Academic Staff of UCL entitled to take part in the election under that Statute. The ballot shall be held biennially, normally not later than the end of the second term, for appointment to the Academic Board for the next two ensuing years. The method of

² Including staff of relevant academic units within the School of Slavonic and East European Studies.

³ Including staff of relevant academic units within the School of Slavonic and East European Studies.

Regulations for Management

conducting the ballot shall be decided from time to time by the Academic Board.

- (c) The Non-Professorial Members of the Academic Staff in each constituency defined in paragraph (a)(i) above, entitled to take part in the elections under Statute 7(1)(C)(i), shall constitute separately the electorates for the vacancies in their respective constituencies. Members of each constituency shall be entitled to nominate and to vote for candidates from among their own number. In addition, the Convenor of the Elected Academic Staff Members of the Academic Board shall be entitled to nominate or endorse the nominations for election of candidates in any constituency defined in paragraph (a)(i). For the purpose of the election Non-Professorial Members of the Academic Staff shall be deemed to be within the Faculty to which their Department is assigned under Regulation 11.1.
- (d) Of the Members elected from each of the Faculties of Brain Sciences, Medical Sciences and Population Health Sciences constituencies, not more than one third shall be Honorary Senior Clinical Lecturer Members of the Academic Staff.
- (e) Elected Members of the Academic Board under Statute 7(1)(C)(i) shall remain members for a period of two years and shall be eligible for re-election for successive periods of two years at a time up to a maximum of six years consecutively. Elected Members of the Academic Board who have completed six consecutive years of membership shall not normally be eligible for re-election until a period of at least one year has elapsed, except in instances where they are concurrently serving as Elected Members of Council, in which case their membership of Academic Board shall normally be extended, as an exceptional arrangement, to be coterminous with their current term of membership on Council. Similarly, in the event that Elected Members of the Academic Board fail to be re-elected to serve on Academic Board for a further term while they are concurrently serving as Elected Members of Council, their membership of Academic Board shall also normally be extended, as an exceptional arrangement, to be coterminous with their current term of membership on Council.
- (f) The Elected Non-Professorial and Honorary Senior Clinical Lecturer academic staff members of Academic Board may also participate in elections to certain other Standing Committees of UCL as laid down in Regulation for Management 4.11.
- (g) A casual vacancy within any constituency set out at paragraph 3.2(a)(i) above shall be filled either by the candidate from that constituency who polled the next highest number of votes to the members elected, or, if there shall not have been any other candidate, by a person eligible for candidature nominated by the members elected from that constituency. A casual vacancy on any other committee which includes Elected Non-Professorial Members of the Academic Board shall be filled either by the candidate who polled the next highest number of votes to the members elected, or, if there shall not have been any other candidate, by a person eligible for candidature nominated by the Elected Non-Professorial Members of the Academic Board. Any person filling a casual vacancy during the course of a period of election shall retain his or her membership only for the remainder of that period, but shall be eligible for re-election. [Statute 7(1)(C)(i)]

Regulations for Management

- (h) Where the number of nominations arising from a constituency exceeds the representation allowed that constituency under the terms of paragraph 3.2(a)(i) above, the Academic Board may allow the election of representatives of the constituency concerned to exceed the maximum allowed according to the terms of paragraph 3.2(a)(i), provided that a sufficient number of vacancies exists among the total number of staff elected to the Board and that the Board is satisfied that the balanced representation of constituencies intended by the terms of paragraph 3.2(a)(i) is satisfactorily preserved.
- 3.3 (a) The Elected Members of the Academic Board under Statute 7(1)(C)(ii) shall be registered full-time Students of UCL. They shall be 13 in number with the proportions of undergraduate and postgraduate students determined to reflect the overall proportions of these groups in the UCL student population. Students shall be elected from amongst those elected by the Course Constituency groups of Students.
- (b) The 13 Members referred to in paragraph (a) shall be elected such that there shall include at least one student drawn from each one of these Constituencies:
- (i) Faculty of Arts and Humanities⁴
 - (ii) Faculty of Brain Sciences
 - (iii) Faculty of the Built Environment
 - (iv) UCL Institute of Education
 - (v) Faculty of Engineering Sciences
 - (vi) Faculty of Laws
 - (vii) Faculty of Life Sciences
 - (viii) Faculty of Mathematical and Physical Sciences
 - (ix) Faculty of Medical Sciences
 - (x) Faculty of Population Health Sciences
 - (xi) Faculty of Social and Historical Sciences⁵.
- (c) The Union Council shall make the necessary arrangements for the election of Members of the Academic Board in accordance with Statute 7(1)(C)(ii) and this Regulation, including arrangements for the filling of any casual vacancy that may occur.
- (d) Elected Members of the Academic Board under Statute 7(1)(C)(ii) shall remain members for a period of one year, or, if elected to fill a casual vacancy in the course of a year, for the remainder of that year, and shall be eligible for re-election for one further year. [Statute 7(1)(C)(ii)]
- 3.4 The quorum at a Meeting of the Academic Board shall be 40 members. [Statute 7(8)]
- 3.5 The Provost may summon a Meeting of the Academic Board at any time. On the requisition of the Council or of the Dean of one of the UCL Faculties or of not fewer than ten members of the Board, in accordance with Statute 7(6), the Secretary of the Board shall convene a Special Meeting of the Board within seven days after receipt of such requisition to be held within 14 days of the date of the notice convening the Meeting for the purpose specified in the requisition. [Statute 7(6)]

⁴ Including students registered in relevant academic units within the School of Slavonic and East European Studies.

⁵ Including students registered in relevant academic units within the School of Slavonic and East European Studies.

Regulations for Management

- 3.6 The Academic Board may make and vary Standing Orders. It shall be the duty of the Secretary of the Board to keep a record of Standing Orders of the Board.
- 3.7 On the request of not less than one third of the Members present at a Meeting further consideration of any question where previous notice has not been given in the agenda shall be adjourned to the next day on which the Academic Board meets. A question where previous notice has not been given in the agenda shall not be determined at any Meeting if it involves the alteration or rescission of any previous determination of the Academic Board.
- 3.8 If the Council lay any matter before the Academic Board under these Regulations, and if the Academic Board does not make a final decision on such matter by the end of the next Ordinary Meeting of the Board held after the one at which the matter was laid before the Academic Board, it shall be lawful for the Council to act in such matter without further delay, unless the Academic Board specifically, and with reasons acceptable to the Council, request otherwise.
- 3.9 The dates of Ordinary Meetings of the Academic Board in any one year shall be settled before the commencement of that year. [Statute 7(5)]

4. STANDING COMMITTEES ESTABLISHED BY THE COUNCIL

- 4.1 Standing Committees established by the Council in accordance with the provisions of Statute 5(5) shall include representation either of Staff or Students, or both, as the Council shall deem necessary from time to time. Such Standing Committees may also include such Members who are neither Staff nor Students of UCL as the Council shall deem appropriate from time to time.
- 4.2 The Chair of the Council and the Provost may request to be *ex officio* members of any Standing Committee where they are not already a member. The Chair of the Council may attend any meeting of a Standing Committee of Council.
- 4.3 Any Standing Committee shall in the exercise of the powers delegated to it conform to any Regulations imposed on it by the Council, Academic Board, Finance Committee or any other Standing Committee or body to which it is designated to report according to the provisions of Regulation 4.4 below.
- 4.4 In the interests of dissemination of information and accountability, each Standing Committee shall report to the Council, Academic Board, Finance Committee or any other Standing Committee or body to which it is charged by the Council to report, by sending Minutes of all its meetings to the relevant Chair and/or Secretary of each of these bodies as appropriate.
- 4.5 The Council, Academic Board, Finance Committee or any other Standing Committee or body to which a Standing Committee reports may also require the reporting Standing Committee to submit an annual (or other periodic) report. The requirement to submit an annual (or other periodic) report in this way shall be prescribed in the terms of reference of the Standing Committee concerned.
- 4.6 Standing Committees, while required to send Minutes of all their meetings to the Chair and/or Secretary of each of the bodies to which they are charged by the

Regulations for Management

Council to report, have authority to take decisions according to their own terms of reference and delegated powers, and need not refer such decisions to these bodies for formal ratification. However, the Chairs of such bodies are empowered to determine which, if any, of the reporting Standing Committee's decisions or other proceedings need be conveyed in writing to meetings of these bodies, and the bodies themselves shall be empowered to review, refer or, if they deem appropriate, overturn the decisions of the reporting Standing Committee.

- 4.7 The requirements for a quorum at meetings of the Council and Academic Board are set out at Regulations for Management 2.11 and 3.4 respectively. For all other Standing Committees of UCL, a quorum shall normally be not less than half of the total membership of the committee.
- 4.8 The requirements for length of membership of non *ex officio* Members of the Council and Academic Board are set out at Regulations for Management 2.3 and 3.2(e) respectively. Except where the requirements of another relevant authority provide otherwise, all non *ex officio* Members of Standing Committees shall serve as Members of the Standing Committee normally for no longer than six consecutive years.
- 4.9 Except where either the UCL Charter, Statutes and Regulations for Management or the requirements of another relevant authority provide otherwise, any Standing Committee may co-opt to its membership such additional members as the Committee sees fit for such period of time as the Committee deems necessary. Standing Committees are not expected to co-opt additional members unless they are satisfied that such members' contribution is essential. Where they are satisfied that this is the case, Standing Committees are expected to co-opt additional members only for as long as they deem necessary and normally for no longer than six years.
- 4.10 Except where either the UCL Charter, Statutes and Regulations for Management or the requirements of another relevant authority provide otherwise, any Standing Committee may set up such working groups etc as the Committee sees fit, with terms of reference and constitution as determined by the Committee, for such period of time as the Committee deems necessary, and may disband such bodies as and when the Committee deems appropriate.
- 4.11 The membership of the following Standing Committees shall include such number of Non-Professorial and Honorary Senior Clinical Lecturer staff as may be prescribed in the constitution of the Standing Committee in question, elected annually by and from the Non-Professorial and Honorary Senior Clinical Lecturer Members elected under Statute 7(1)(C)(i) for service on the Academic Board during the next two ensuing years:
- Academic Committee
 - Education Committee
 - Library Committee
 - Research Degrees Committee.
- 4.12 The arrangements for the election of the Non-Professorial and Honorary Senior Clinical Lecturer Members to the Standing Committees indicated under Regulation 4.11 shall be determined from time to time by the Academic Board.

5. APPOINTMENT OF PROVOST

[Statute 11(1)]

- 5.1 Subject to the approval of the Council, the process of selection of a new Provost shall be conducted by a Joint Committee of the Council and the Academic Board.
- 5.2 The constitution of the Joint Committee shall comprise:
- (a) five external members of Council, who shall include:
 - (i) the Chair of Council
 - (ii) the Vice-Chair of Council
 - (iii) the Treasurer of UCL
 - (iv) two other external members nominated by the Chair of Council;
 - (b) two academic staff members of Council, including one professorial and one non-professorial member, nominated by the Chair of Council;
 - (c) three representatives of the Academic Board, nominated by the Academic Board;
 - (d) up to two other members of academic staff, nominated by the Chair of Council, to take account of factors such as gender balance, ethnicity and the need for balanced representation of subject areas;
 - (e) a UCL student, nominated by the Chair of Council;
 - (f) the Vice-Provost (Operations).
- 5.3 The Chair of the Council shall serve as Chair of the Joint Committee.
- 5.4 In addition to the above membership, the Chair may co-opt to the Joint Committee a suitably qualified external adviser, who would be a non-voting member.
- 5.5 The Secretary to Council shall serve as Secretary to the Joint Committee.
- 5.6 On conclusion of its discussions, the Joint Committee shall submit to the following meeting of Council for approval the name of the person nominated by the Joint Committee for appointment as Provost.

6. PROFESSORS AND READERS

- 6.1 In accordance with University of London Regulation 3, UCL is authorised:
- (i) to establish University of London Chairs and Readerships tenable at UCL, and to disestablish, rename or otherwise modify such Chairs and Readerships, subject to the terms of any relevant Trust Deeds;
 - (ii) to appoint persons to established Chairs and Readerships tenable at UCL;
 - (iii) to appoint members of Academic Staff of UCL as Professors or Readers of the University of London as a result of internal promotion;

Regulations for Management

- (iv) to confer the title of Emeritus Professor or Emeritus Reader of the University of London upon a retiring Professor or Reader of the University respectively.
- 6.2 UCL procedures for the exercise of powers delegated by the University of London in accordance with University of London Regulation 3 shall be prescribed by the Academic Board.
- 6.3 University of London Regulation 3 provides that exceptionally, at the discretion of the Vice-Chancellor and following receipt of a reasoned application from a College, a person who is neither an employee of that College nor an employee of a Research Council or similar organisation may be considered for appointment as a Professor or Reader to a post tenable at that College. The UCL body responsible for determining whether reasoned applications submitted under this Regulation should be sent forward for consideration by the Vice-Chancellor shall be the Academic Board.
- 6.4 No Member of the Academic Staff shall, unless for a reason approved by the Council, or unless otherwise expressly provided by the terms of his or her appointment, resign his or her appointment except at the close of the year, and after giving to the Council, not later than 30 April, notice of his or her intention to resign. [Statute 6(2)(K)]

7. VISITING PROFESSORS

- 7.1 In accordance with University of London Regulation 3, UCL is authorised to confer the title of Visiting Professor or Visiting Reader on persons judged by UCL to be of appropriate distinction and whose connections with UCL are appropriate to the Visiting title.
- 7.2 The Academic Board may, under powers delegated by the Council, confer the status and title of Visiting Professor on persons in appropriate subjects, who may be from other academic or research institutions or from other fields of activity. Visiting Professors shall be members of the Academic Staff of UCL and shall be attached to an academic Department. Nominations shall be made to the Director of Human Resources by the Head of the Department to which the Visiting Professor is to be attached.
- 7.3 Appointments may be for such period as a Head of Department recommends to the Director of Human Resources and are renewable, subject to the approval of the Director of Human Resources.
- 7.4 The appointments may involve the following duties:
 - (a) Lectures, seminars, and tuition.
 - (b) Participation in the research and other activities of the Department to which the Visiting Professor is attached.

8. HONORARY DEGREES, HONORARY FELLOWSHIPS

- 8.1 The Council may approve the award of Honorary Degrees and election to the Honorary Fellowship of UCL [Statute 14]. Recipients of both these awards will normally have or have had a close association with UCL. However, for recipients of

Regulations for Management

Honorary Degrees, this requirement may be balanced in certain cases by scholarly or intellectual excellence that is linked to UCL's ethos and values.

Criteria for Honorary Degrees

- 8.2 An Honorary Degree is awarded principally in recognition of exceptional scholarly or intellectual achievement and contributions of unusual importance in academic fields or in public life. An Honorary Degree shall not normally be conferred on a serving politician or Head of State.
- 8.3 The number of Honorary Degrees conferred each year shall not normally exceed six.

Honorary Master of Arts

- 8.4 The Honorary Degrees awarded will normally be Honorary Doctorates. However, the Council may on the direct nomination of the Provost approve the award of an Honorary Master of Arts degree to any UCL employee or former employee who in their opinion has made an exceptional and sustained contribution to UCL.

Criteria for Honorary Fellowships

- 8.5 The Council may elect as an Honorary Fellow any person who has rendered exceptional service or made a significant or outstanding contribution, including philanthropic support, to UCL.
- 8.6 The number of persons elected to the Honorary Fellowship each year shall not normally exceed six.

Nomination rights for Honorary Degrees and Honorary Fellowships

- 8.7 All members of UCL shall be entitled to nominate persons to be considered for award of a UCL honorary degree or election to the UCL Honorary Fellowship.

Honorary Degrees and Fellowships Committee

- 8.8 In exercising its powers under Regulation 8.1 above, the Council shall be advised by an Honorary Degrees and Fellowships Committee, comprising:
- (a) the Chair of Council (in the Chair), *ex officio*;
 - (b) the Provost, *ex officio*;
 - (c) the Vice-Provost (International), *ex officio*;
 - (d) the Executive Director of Development and Alumni Relations, *ex officio*;
 - (e) two additional external members of Council appointed by the Council;
 - (f) the Deans of the Faculties or their respective nominees;
 - (g) the UCLU Education and Campaigns Officer, UCL Union.
- 8.9 The Honorary Degrees and Fellowships Committee, in considering nominations for election of Honorary Fellows, shall receive an annually updated summary of the Honorary Degrees and Honorary Fellowships conferred by UCL to date, this summary to indicate, for each recipient, the field or fields in which they have achieved distinction and/or been active.
- 8.10 The Report and recommendations of the Honorary Degrees and Fellowships Committee shall normally be submitted to Council's second meeting of the Autumn Term.

Regulations for Management

Procedure

- 8.11 A notice inviting nominations for award of Honorary Degrees and election of Honorary Fellows in the ensuing calendar year shall be issued on behalf of the Provost each year in June.
- 8.12 Nominations for Honorary Degrees and or Honorary Fellowships shall be submitted by way of the appropriate nomination form and shall be signed by a nominator and by a seconder (the latter shall normally be the relevant Dean of Faculty or a Vice-Provost). Nominations must be received by the Secretary of the Honorary Degrees and Fellowships Committee by no later than 30 September.
- 8.13 Up to two nominations for Honorary Degrees and two nominations for Honorary Fellowships in any academic year may be made at any time by the Provost directly to the Council, following such prior consultation as he or she may deem appropriate. Direct nominations by the Provost may be brought to any meeting of the Council.

9. THE FACULTIES

- 9.1 There shall be 11 Faculties in UCL, namely: Arts and Humanities; Brain Sciences; the Built Environment; the UCL Institute of Education; Engineering Sciences; Laws; Life Sciences; Mathematical and Physical Sciences; Medical Sciences; Population Health Sciences; Social and Historical Sciences. [Statute 8(1)]
- 9.2 Deans of Faculties shall be appointed by the Council on the advice of the Provost. The Provost will make a recommendation on the appointment to Council on the advice of a committee set up to conduct the selection process and to report to the Provost, that committee to include appropriate academic colleagues and usually to be chaired by the relevant Vice-Provost. A Dean shall be appointed for such period as the Council, on the advice of the Provost, shall determine. The appointment shall be renewable at the discretion of the Council, for such further period or periods as the Council on the advice of the Provost shall determine, provided that the staff of the Faculty shall first have been invited to convey their views to the Provost in writing, via the Secretary to Council.
- 9.3 The duties of each Faculty shall include the following:
- (a) In accordance with the provisions of the relevant Statute, to appoint a Vice-Dean or Vice-Deans from among the Professors, Readers, Senior Lecturers and Senior Clinical Lecturers of the Faculty.
 - (b) To approve the award of the exhibitions, scholarships, bursaries, studentships, medals, prizes, diplomas and certificates falling within its purview.
 - (c) To collaborate with the administrative officers of UCL in making such arrangements for the examination of students as it deems desirable, subject to the approval of the Council and in accordance with any Regulations of UCL or the University of London that may be applicable.
 - (d) Any other matter referred to it by the Council or the Academic Board, and any other duty laid upon it under the Statutes and Regulations.

Regulations for Management

- 9.4 The Faculty shall establish such committees as either the Dean of the Faculty deems necessary or as required by the Council or Academic Board or by policy laid down in the UCL Academic Manual, for the purpose of discharging the duties set out in Regulation 9.3 or to consider academic matters or questions falling within the purview of the Faculty, including the organisation of teaching, examining, research and courses of instruction. The membership of committees established in accordance with policy laid down in the UCL Academic Manual shall reflect the requirements of such policy.
- 9.5 Each Faculty, through its relevant committees, shall have power to consider and advise the Council or the Academic Board upon any academic matters or questions falling within its purview and affecting the educational policy of UCL, the organisation of teaching, examining, research and courses of instruction, and the conditions of award of exhibitions, scholarships, bursaries, studentships, medals, prizes, diplomas and certificates. [Statute 8(5)]
- 9.6 All communications from the Council or the Academic Board to a Faculty shall be made through its Dean.

10. THE ACADEMIC UNITS OF UCL

- 10.1 The assignment by Council to the several Faculties of those Academic Units of UCL established by Council in accordance with Statute 10 shall be as follows:

FACULTY OF ARTS AND HUMANITIES

Department of English Language and Literature
School of European Languages, Culture and Society
Slade School of Fine Art
Department of Greek and Latin
Department of Hebrew and Jewish Studies
Department of Information Studies
Department of Philosophy

FACULTY OF BRAIN SCIENCES

Ear Institute
Institute of Neurology
Institute of Ophthalmology
Division of Psychiatry
Division of Psychology and Language Sciences

FACULTY OF THE BUILT ENVIRONMENT

Bartlett School of Architecture, Building, Environmental Design and Planning

UCL INSTITUTE OF EDUCATION

UCL Institute of Education

FACULTY OF ENGINEERING SCIENCES

Department of Biochemical Engineering
Department of Chemical Engineering
Department of Civil, Environmental and Geomatic Engineering
Department of Computer Science
Department of Electronic and Electrical Engineering
UCL School of Management

Regulations for Management

Department of Mechanical Engineering
Department of Medical Physics and Biomedical Engineering
Department of Science, Technology, Engineering and Public Policy
Department of Security and Crime Science
UCL Australia

FACULTY OF LAWS

FACULTY OF LIFE SCIENCES

Division of Biosciences
MRC Laboratory for Molecular Cell Biology
School of Pharmacy

FACULTY OF MATHEMATICAL AND PHYSICAL SCIENCES

Department of Chemistry
Department of Earth Sciences
Department of Mathematics
Department of Physics and Astronomy
Department of Science and Technology Studies
Department of Space and Climate Physics
Department of Statistical Science

FACULTY OF MEDICAL SCIENCES

Cancer Institute
Eastman Dental Institute
Division of Infection and Immunity
Division of Medicine
Division of Surgery and Interventional Science
UCL Medical School

FACULTY OF POPULATION HEALTH SCIENCES

Institute of Cardiovascular Science
UCL Great Ormond Street Institute of Child Health
Institute of Clinical Trials and Methodology
Institute of Epidemiology and Healthcare
Institute for Global Health
Institute of Health Informatics
Institute for Women's Health

FACULTY OF SOCIAL AND HISTORICAL SCIENCES

Institute of the Americas
Department of Anthropology
Institute of Archaeology
Department of Economics
Department of Geography
Department of History
Department of History of Art
Department of Political Science

- 10.2 The Council has agreed that, exceptionally, the following should be established as an Academic Unit of UCL but not assigned to any Faculty thereof:

Sainsbury Wellcome Centre for Neural Circuits and Behaviour
School of Slavonic and East European Studies
UCL in Qatar (UCL-Q).

Regulations for Management

- 10.3 Heads of Departments shall be appointed by the President and Provost, under delegated authority from the Council on the advice of a committee of at least three senior staff set up to conduct the selection process and to report to the Provost, that committee to include the Dean of the Faculty concerned.
- 10.4 Each Head of Department shall be responsible to the Council via the Dean of the Faculty and ultimately the Provost for the organisation and general conduct of his or her Department. A person appointed as Head of Department shall normally be appointed for a term of between three and five years. The appointment of a Head of Department shall be renewable at the discretion of the Provost, under delegated authority from the Council, for such further period or periods as the Provost shall determine, provided that the staff of the Department, and Heads of other Departments within the Faculty, shall first have been invited to convey their views to the Dean and the Provost in writing, via the Secretary to Council. Council may also, according to the above procedure for consultation, appoint, on the recommendation of the Provost, an Acting Head of Department either (i) in the event that a Head of Department is on sabbatical leave or other period of leave extending over at least one term of the period of his or her current headship or (ii) as an interim arrangement in the event of an interregnum resulting from the resignation of a Head of Department before the end of her or his appointed term or from other unforeseen circumstances causing a vacancy for the headship [Statute 10(2)].
- 10.5 Each Department listed in Regulations 10.1 and 10.2 above shall hold a Staff Meeting (Departmental Staff Meeting hereafter) at least twice in every academic year, except that the Faculty may, if it considers this appropriate according to the internal structure of the Faculty, direct that such Meetings be held at sub-department rather than Departmental level. Subject to the agreement of staff entitled to attend such Departmental Staff Meetings (as set out in Regulation 10.7 below), the Head of Department may, on behalf of the Department, request the Faculty to agree to a variation of the requirement to hold such Meetings, on the grounds that the particular structure of the Department justifies such variation [Statute 10(4)]. Such Meeting shall discuss any matter of interest to the Department, whether in the area of teaching content and method, admissions policy, examinations and other forms of student assessment, allocation of resources, staffing and distribution of teaching duties, or other matters of general concern.
- 10.6 All Professors, Readers, Senior Lecturers, Senior Clinical Lecturers, Lecturers, Clinical Lecturers, Honorary Senior Clinical Lecturers and grant-supported research staff in the Department shall be members of such Departmental Staff Meetings. Members of a Department who are also members of Academic Board shall have the right to attend such Departmental Staff Meetings. [Statute 10(4)]
- 10.7 Such Meeting may invite other members of staff (including grant paid staff, technical staff or other non-academic staff) to attend. [Statute 10(4)]
- 10.8 The Head, or Acting Head, of Department shall take the Chair or, in his or her absence, a person nominated by him or her. In the case of Joint Headships, the Joint Heads shall decide which of them shall take the Chair. [Statute 10(4)]
- 10.9 Conclusions reached at such Meetings shall not be binding upon the Head of Department, who is responsible to the Council via the Dean of the Faculty and ultimately the Provost for the conduct of his or her Department.

11. STAFF-STUDENT COMMITTEES

- 11.1 In each academic Department there shall be at least one Staff-Student Consultative Committee. Each Staff-Student Consultative Committee shall meet at least twice in each academic year. The Head of the Department shall ensure that the constitution and the procedures of this Committee are acceptable to the staff and the students of the Department or Faculty. The minutes of each meeting of each such Committee shall be forwarded to Academic Services.
- 11.2 Subject to the provisions of Regulation 11.3 below, there shall be, for each combined studies degree programme operating within UCL and involving more than two Departments of UCL, a Staff-Student Consultative Committee, which shall meet at least twice in each academic year. The academic staff responsible for the co-ordination of such a degree programme shall ensure that the constitution and procedures of this Committee are acceptable to the staff and students involved in the degree programme. The minutes of each meeting of each such Committee shall be forwarded to Academic Services.
- 11.3 Where the academic staff responsible for the co-ordination of a combined studies degree programme operating within UCL and involving more than two Departments of UCL consider that it will not be appropriate for a separate Staff-Student Consultative Committee to operate for the degree programme in question, those staff shall ensure that the views of students following the programme can be expressed instead either through (i) the Staff-Student Consultative Committees of the Departments concerned, as prescribed in Regulation 11.1, or through (ii) an annual meeting which all students following the programme shall be invited to attend, or through both (i) and (ii).

12. ADMISSION OF STUDENTS

[Statute 6(2)(B), 11(2)]

- 12.1 The conditions prescribed for the admission of students to UCL are as set out in such regulations or other official documents as may be published and amended by UCL from time to time.

13. ACADEMIC INSUFFICIENCY

- 13.1 A Student may be suspended from any or all of his or her studies at UCL or have his or her studies at UCL terminated or may be excluded from UCL or its precincts for reasons of his or her academic insufficiency.
- 13.2 In such cases the decision to suspend or exclude a Student or terminate his or her studies shall be taken by the Tutor to the Students of the relevant Faculty or the Faculty Graduate Tutor, as appropriate, after consultation with the Heads and tutors or supervisors of the relevant Departments, and after due warning and an opportunity to explain his or her case have been given to the Student. [Statutes 11(3) and 11(4)]

14. JURISDICTION OVER STUDENTS

14.1 REGULATIONS FOR DISCIPLINE

[Statute 13]

14.1.1 There shall be regulations for students that cover discipline and general requirements as well as the requirements for achievement of their award.

14.2 CONDUCT OF EXAMINATIONS

[Statute 6(2)(F)]

14.2.1 Examinations and assessments conducted by UCL shall be subject to the relevant regulations and procedures.

14.2.2 Offences, misconduct or irregularities under the regulations governing examinations and assessments shall be dealt with in accordance with procedures prescribed for that purpose which shall be published and made available to students.

14.2.3 Misconduct under the regulations governing examinations and assessments may, if appropriate, be referred to the Registrar for consideration under the Disciplinary Code and Disciplinary Procedure and may be dealt with accordingly.

14.3 PAYMENT OF FEES AND DUES

[Statute 6(2)I]

14.3.1 Students are required to make prompt payment of all accounts for UCL and University fees and dues where these are payable by the Student.

14.3.2 UCL may at any time suspend the registration of a Student who is in debt to UCL for academic provisions without acceptable reason, where the circumstances of the case justify the action. The decision in such a case shall be made by the Registrar. The Registrar shall have the power to reinstate a Student when the debt has been settled or appropriate arrangements made for settlement.

14.3.3 Any Student informed by UCL that he or she is liable to be suspended for non-payment of fees or dues will be informed that he or she has the right to seek advice from and have representations made on his or her behalf by, amongst others, the Students' Union.

15. AWARD OF DEGREES

- 15.1 UCL, according to powers enshrined in its Charter (Article 4(16)), is empowered, inter alia, to award Degrees, Diplomas and Certificates. UCL is thereby empowered to award both taught Degrees (including both undergraduate and graduate taught Degrees) and research Degrees, according to procedures laid down in Academic Regulations. The Registrar is responsible for the dissemination and maintenance of UCL's Academic Regulations. These Academic Regulations shall include, inter alia, regulations on academic dress.
- 15.2 The Academic Committee approves the title of awards established under the powers in the Charter and is responsible for putting in place appropriate procedures for the approval, amendment and withdrawal of programmes of study leading to those awards. A list of awards that may be conferred by UCL shall be provided in the Academic Regulations.

16. UCL TERMS

- 16.1 The dates of UCL Terms, and the times and length of the vacations and closure dates, shall be determined by the Registrar, in accordance with the relevant policies.

17. USE OF THE UCL SEAL

[Statute 6(2)(l)]

- 17.1 The Council shall designate an officer of UCL to provide for the safe custody of the Common Seal of UCL on behalf of the Council.
- 17.2 The UCL officer designated by the Council for this purpose shall normally be the Secretary to the Council or the Assistant Secretary to Council, acting on behalf of the Secretary to Council.
- 17.3 Except as provided in Regulations 17.6-17.11 below, the Seal shall not be affixed to any deed or document except in the presence of one Member of the Council, and one authorised officer of UCL. The Registrar, as the UCL officer designated by the Council under Regulation 17.1 above, shall maintain a list of other UCL officers authorised for this purpose.
- 17.4 A Seal Book shall be kept by the Registrar in which the Registrar (or any other of the UCL officers specified in Regulation 17.3 above) shall enter the date of each occasion on which the Seal is affixed, and the nature of the deed or document Sealed. Those present at the affixing of the Seal shall sign against each entry in the Seal Book.
- 17.5 Regulations 17.3 and 17.4 shall apply to all deeds and documents except: UCL Diplomas and Certificates which shall be Sealed in accordance with procedures prescribed in Regulations 17.6 and 17.7 below; building and related contracts of a value of not less than £50,000 and not more than £5,000,000 which shall be sealed in accordance with procedures prescribed in Regulations 17.8 and 17.9 below;

Regulations for Management

commercial contracts of a value of not more than £5,000,000 which shall be sealed in accordance with procedures prescribed in Regulations 17.10 and 17.11 below.

- 17.6 The Registrar, who is the sole authorised signatory of UCL Diplomas and Certificates, may authorise designated staff of Student and Registry Services to administer the Sealing of such documents which have been signed by the Registrar. The staff so designated shall execute the Sealing of such documents and shall enter in the Seal Book the date of each occasion on which the Seal is affixed, and the nature of the document Sealed and shall sign the Seal Book.
- 17.7 The Sealing of UCL Diplomas and Certificates signed by the Registrar may be executed in accordance with Regulation 17.6 above without the presence either of any Member of Council or of any UCL officer specified in Regulation 17.3 above.
- 17.8 The Director of UCL Estates may authorise designated staff of UCL Estates to administer the Sealing of building and related contracts of a value of not less than £50,000 and not more than £5,000,000 and signed by the Director of UCL Estates. The staff of UCL Estates so designated shall execute the Sealing of such documents and shall enter in the Seal Book the date of each occasion on which the Seal is affixed, and the nature of the document Sealed and shall sign the Seal Book.
- 17.9 The Sealing of building and related contracts of a value of not less than £50,000 and not more than £5,000,000 and signed by the Director of UCL Estates may be executed in accordance with Regulation 17.8 above without the presence either of any Member of Council or of any UCL officer specified in Regulation 17.3 above.
- 17.10 The Director of Finance and Business Affairs may authorise designated staff of the Finance and Business Affairs Division to administer the Sealing of commercial contracts of a value of not more than £5,000,000 and signed by the Director of Finance and Business Affairs. The staff of the Finance and Business Affairs Division so designated shall execute the Sealing of such documents and shall enter in the Seal Book the date of each occasion on which the Seal is affixed, and the nature of the document Sealed and shall sign the Seal Book.
- 17.11 The Sealing of commercial contracts of a value of not more than £5,000,000 and signed by the Director of Finance and Business Affairs may be executed in accordance with Regulation 17.10 above without the presence either of any Member of Council or of any UCL officer specified in Regulation 17.3 above.
- 17.12 Except for those documents which may be Sealed according to the procedures prescribed at Regulations 17.6-17.11 above, the Seal shall not be affixed to any other deed or document except in the presence of one Member of Council and one of the UCL officers specified in Regulation 17.3 above.
- 17.13 A Report shall be submitted to at least one meeting of the Council in each session recording the deeds and documents which have been executed or to which the UCL Seal has been affixed under this procedure since the date of the preceding Report to Council. The report to Council shall include a list of UCL officers authorised under Regulation 17.3 during the period covered by the report.

18. FORMER INSTITUTE OF EDUCATION RESEARCH STAFF: DISMISSAL, DISCIPLINE, GRIEVANCE PROCEDURES AND RELATED MATTERS

18.1 Application

18.1.1 This Regulation applies to those members of staff (except for those excluded from Part II by paragraph 18.5(i) below):

- (i) who were, immediately prior to the merger of the College and the Institute of Education, University of London (“the Institute”) employed by the Institute:
 - (a) holding full-time posts or part-time posts equivalent to one-third time or more as Senior Research Officer or Research Officer or
 - (b) holding such other posts or grades of post as the Institute’s Council (on the recommendation of the Institute’s Senate) had determined should be designated as “Research Staff” under Statute 1.1 of the Institute’s Statutes
- (ii) and who have continued (without any break in service) in their existing posts as described in paragraph 1.1(i) above in the UCL Institute of Education.

And “member(s) of staff” in this Regulation means those members of the staff to whom this Regulation applies.

18.1.2 This Regulation will override any provision in any contract, term or condition of employment which is inconsistent with this Regulation, whether dated before or after the commencement of this Regulation, but:

- (i) it shall not affect the validity of any waiver under section 197 of the Employment Rights Act 1996, any settlement agreement under section 203 of the Employment Rights Act 1996, or any similar waiver or agreement permitted by law; and
- (ii) it shall not preclude any member of staff deciding or agreeing to terminate employment with UCL, whether by voluntary severance, early retirement or otherwise, on whatever terms have been agreed.

18.1.3 Members of staff to whom this Regulation applies are also hereby designated by Council as members of the Academic Staff of the College under Statute 1(2) of the College’s Statutes for the purpose of those Statutes (save that they are not designated as Academic Staff for the purposes of Statute 18 of the College’s Statutes, which shall not apply to them).

18.2 General principles of construction and application

18.2.1 This Regulation and any procedures made under it shall be applied and construed in every case to give effect to the following guiding principles:

- (i) to ensure that members of staff have freedom within the law to question and test received wisdom, and to put forward new ideas and controversial or unpopular opinions, without placing themselves in jeopardy of losing their jobs or privileges;

Regulations for Management

- (ii) to enable UCL to provide education, promote learning and engage in research efficiently and economically; and
- (iii) to apply the principles of justice and fairness.

18.2.2 Where, in any proceedings under this Regulation, a member of staff invokes sub-paragraph 18.1.2(i) above, that claim shall be considered by the person or persons dealing with the matter, and, if it is found that any action has been taken against the member of staff because that member of staff, within the law, questioned or tested received wisdom or put forward new ideas or controversial opinions, the person or persons dealing with the matter shall cancel that action and it shall be treated as invalid.

18.2.3 Where there is any issue as to the meaning of “academic freedom” in any proceedings under Parts II, III, IV, V and VI of this Regulation, regard shall be had to Sections VI and VII of the Recommendation concerning the Status of Higher-Education Teaching Personnel adopted by the General Conference of the United Nations Educational, Scientific and Cultural Organisation (UNESCO) in Paris on 11 November 1997.

18.2.4 Any reference in this Regulation to a provision in an Act of Parliament shall be taken to be a reference to that provision as it may have been amended or superseded from time to time.

18.2.5 In interpreting or construing any provision in this Regulation, regard shall be had to the Notes on Clauses on the Revised Model Statute issued by the Universities and Colleges Employers Association (September 2003).

18.3 Dismissal

18.3.1 For the purpose of this Regulation, “dismissal” shall have the same meaning as in section 95 of the Employment Rights Act 1996.

18.3.2 A member of staff may be dismissed if that dismissal is for a reason set out in section 98 of the Employment Rights Act 1996.

- 18.3.3 (i) A dismissal by reason of redundancy (other than the non-renewal of a Fixed term contract) shall be handled in accordance with Part II;
- (ii) a dismissal for disciplinary reasons shall be handled in accordance with Part III;
- (iii) a dismissal on health grounds shall be handled in accordance with Part IV; and
- (iv) a dismissal on any other grounds, including the non-renewal of a fixed-term contract, shall be handled in accordance with Part V.

18.4 Hearing, appeal and grievance panels

18.4.1 Any panel established pursuant to paragraphs 18.8(1), 18.10(ii)(d) and (h), 18.15(3) and 18.18(5) of this Regulation shall consist of three persons, none of whom shall previously have had any involvement with the case, at least one of whom shall be an external member of Council and one a member drawn from a list agreed from time to time by the Academic Board.

18.4.2 At any panel within sub-paragraph (1) above, the member of staff shall be entitled to be represented or assisted by any person.

Regulations for Management

18.4.3 Any panel within sub-paragraph (1) above shall give a reasoned decision in writing which shall be provided to the member of staff and reported to the Council.

PART II: REDUNDANCY

18.5 Application

18.5.1 The power to dismiss, and the procedures prescribed, under this Part shall not apply to those staff defined in sub-sections (3) to (6) of section 204 of the Education Reform Act 1988 [staff appointed prior to, and not promoted after, 20 November 1987], who shall for this purpose continue to be subject to such powers, if any, as applied to them prior to the introduction of the Statute of the Institute of Education, University of London made by the University Commissioners in the exercise of their powers under sections 203 and 204 of the Education Reform Act 1988.

18.5.2 This Part shall not apply to the non-renewal of a fixed-term contract, which shall be dealt with under paragraph 19.15 below.

18.6 Definition of “redundancy”

18.6.1 Subject to paragraph 5(2) above, dismissal by reason of redundancy for the purpose of this Part has the same meaning as in section 139 of the Employment Rights Act 1996.

18.7 Procedure for dismissal by reason of redundancy

18.7.1 The Council shall prescribe (in the Annex to this Regulation) the procedures for dismissing members of staff on grounds of redundancy, which shall include the following:

- (i) a preliminary stage involving consultation with appropriate representatives in accordance with and to the extent required by section 188 of the Trade Union and Labour Relations (Consolidation) Act 1992 and discussion with the staff concerned;
- (ii) a procedure which is fair and which allows each staff member concerned, having been informed of the selection criteria to be employed, to make written and oral representations on his or her behalf;
- (iii) provision for informing any member of staff dismissed under this Part of the reasons for the dismissal and, where selection has taken place, why he or she was selected; and
- (iv) authorising the Provost or other person to dismiss any member of staff selected for dismissal under this Part and requiring reports of dismissals to be submitted to the Council.

18.7.2 The procedures following the preliminary stage may be used at any particular time only after the Council has first determined that the circumstances are such that the procedures should be instituted.

18.8 Appeal against dismissal by reason of redundancy

18.8.1 The procedure prescribed by Council under this Part shall include provision for an appeal to a panel by a member of staff who has been given notice of dismissal under this Part.

18.8.2 The panel shall be entitled to review all aspects of the matter other than the Council's determination under paragraph 18.7.2 above.

18.8.3 The panel shall have the power to reach a final decision on the matter or to remit the matter for further consideration by the body whose decision is being appealed.

PART III: DISCIPLINARY PROCEDURES

18.9 Grounds for disciplinary action

18.9.1 Disciplinary action under this Part may be taken, and where found to be appropriate a penalty imposed, in respect of the following:

- (i) conduct amounting to a criminal offence, whether or not there has been a prosecution and conviction, of a kind that is judged in all the circumstances to be relevant to the member of staff's employment by UCL;
- (ii) failure, refusal, neglect or inability to perform some or all of the duties or to comply with some or all of the conditions attaching to the post, or performing those duties or complying with those conditions in an unsatisfactory or inadequate manner;
- (iii) conduct of a kind judged to be inappropriate or unacceptable on the part of a holder of the post held by the member of staff, such as (but not confined to) the following:
 - (a) breach of any obligation or duty arising under any of UCL's regulations regarding financial matters, harassment, equal opportunities, public interest disclosure, health and safety, or data protection or any other rules, regulations or codes binding on the member of staff;
 - (b) damage to or improper use of UCL facilities, premises, property or equipment;
 - (c) disruption of, or improper interference with, the activities of UCL or of any employee, student, Council member or visitor (other than any lawful industrial action);
 - (d) violent, indecent, disorderly, threatening, abusive, insulting or harassing behaviour or language (whether written, spoken or in any other form);
 - (e) fraud, deceit, deception or dishonesty in relation to UCL or any related activity, including research and examining;
 - (f) action likely to cause injury or impair safety;
 - (g) divulging information or material received in confidence (unless the disclosure is permitted under the Public Interest Disclosure Act 1998 or in accordance with UCL's Public Interest Disclosure Procedure).

18.10 Disciplinary procedures

18.10.1 The Council shall (in the Annex to this Regulation) promulgate disciplinary procedures for members of staff, which shall provide:

Regulations for Management

- (i) for less serious matters to be dealt with by warnings following a fair and appropriate procedure and for a member of staff to be able to appeal against the imposition of a warning to a person designated by the Provost; and
- (ii) for more serious matters, to be dealt with by a procedure which includes provision for the following:
 - (a) fair and reasonable time limits for each stage;
 - (b) investigating complaints and dismissing those found to be without substance;
 - (c) suspension, on full pay, by the Provost pending an investigation or hearing where this is necessary;
 - (d) a hearing by a panel, authorised by the Provost, at which the member of staff against whom the complaint has been made shall have been informed of the complaint, shall be entitled to be present, to hear the evidence, to call relevant witnesses, and to examine and cross-examine witnesses (but provision may be made for witnesses in appropriate cases to give their evidence behind a screen or from another room or place and for questions to be asked only by a representative);
 - (e) appropriate penalties, which in addition to warnings and dismissal shall include withholding any forthcoming increment in salary, suspension without pay (for up to three months), and reduction in grade and/or loss of title (and "promoted" for the purpose of this provision shall have the same meaning as in section 204 of the Education Reform Act 1988);
 - (f) the award of compensation either to UCL or to an individual in respect of any loss caused or damage done;
 - (g) designating a member of staff's conduct as constituting "gross misconduct" such as to merit summary dismissal without notice; and
 - (h) a right to appeal against the finding of, or penalty imposed by, the panel, including a finding under paragraph (g) above. An appeal shall not take the form of a re-hearing of the evidence and witnesses may be called only with the appeal panel's permission.

18.11 Code of Practice

18.11.1 In drawing up the procedures, and in any regulations made or action taken thereunder, regard shall be had to Section 1 of the Code of Practice on Disciplinary and Grievance Procedures (as may be amended or replaced from time to time) issued in September 2000 by the Advisory Conciliation and Arbitration Service (ACAS) and brought into effect by order of the Secretary of State under section 199 of the Trade Union and Labour Relations (Consultation) Act 1992.

18.12 Dismissal

18.12.1 The Director of Human Resources or other designated officer shall give effect to a decision of a panel that a member of staff should be dismissed:

- (i) where the panel has designated the conduct as "gross misconduct" such as to merit summary dismissal pursuant to clause 18.10(ii)(g), the Director of Human Resources shall forthwith dismiss the member of staff;
- (ii) in all other cases, the Director of Human Resources shall issue the notice of dismissal or dismiss together with payment in lieu of notice.

Regulations for Management

18.12.2 Any dismissal or notice of dismissal shall be cancelled, withdrawn or modified if an appeal panel decides that the member of staff should not be dismissed or should only be dismissed with notice.

18.13 Relationship with Part IV

18.13.1 The procedures adopted under this Regulation shall make provision for dealing with a case in progress under this Part where it emerges that the member of staff's conduct or performance may have been wholly or partly attributable to a medical condition, but any proceedings under this Part shall be valid even if they could have been brought under Part IV, and a member of staff may, subject to the Equality Act 2010, be subject to penalty, including dismissal, under this Part notwithstanding the fact that his or her conduct may have been wholly or partly attributable to a medical condition.

PART IV: INCAPACITY ON HEALTH GROUNDS

18.14 Dismissal on health grounds

18.14.1 The Council shall prescribe a procedure (in the Annex to this Regulation) for dealing with staff, including dismissal, because of incapacity on health grounds, whether physical or mental.

18.14.2 The procedure shall include a hearing by a panel, with a right of appeal to another panel, and both panels shall contain an appropriately medically qualified person.

18.14.3 No member of staff may be dismissed whether under this Part or Part III where that dismissal would contravene the Equality Act 2010.

PART V: OTHER DISMISSALS

18.15 Non-renewal of a fixed-term contract

18.15.1 The Provost, or other person or persons designated by the Provost, shall in every case where a fixed-term contract is due to terminate consider whether that contract should be renewed or extended or a contract of indefinite duration should be offered, having consulted the appropriate representatives in accordance with and to the extent required by section 188 of the Trade Union and Labour Relations (Consolidation) Act 1992 and having given an opportunity to the member of staff to make representations.

18.15.2 A decision not to renew or extend or offer a contract of indefinite duration under the preceding paragraph must be justified on the basis that, in respect of one or more of the following considerations, it is not expedient or desirable to renew or extend the contract or offer a contract of indefinite duration:

- (i) the availability of funding for the post, or the financial situation;
- (ii) the individual's performance (following appropriate warnings and counselling);
- (iii) the need for the post or the duties attaching to the post;
- (iv) the nature and character of the post;
- (v) the desirability of making the post permanent and appointing to it after open competition.

Regulations for Management

18.15.3 A member of staff whose fixed-term contract is not renewed or extended on termination or is not offered a contract of indefinite duration shall be given full reasons for the decision and shall be entitled to have the decision reviewed by a panel in accordance with a procedure to be prescribed in the Annex to this Regulation.

18.15.4 The panel, whose decision shall be final, shall consider whether the reasons advanced in support of the decision are reasonable and supportable.

18.16 Probationary appointments

18.16.1 This Part shall also apply to members of staff who have been appointed subject to review after a period of probationary service.

18.16.2 The Council shall prescribe (in the Annex to this Regulation) a procedure under which staff on probation shall be reviewed and shall include provision for non-confirmation in post at the end of the probationary period if their performance is found to be deficient or for any other substantial reason or reasons they are judged unsuitable to be confirmed in post.

18.16.3 The review referred to in sub-paragraph (2) may encompass matters which, in other circumstances, would fall to be dealt with under Parts II, III or IV of this Statute.

18.16.4 The substance of sub-paragraphs (3) and (4) of paragraph 18.15 shall apply to a member of staff who has not been confirmed in post under this clause.

18.17 Dismissal on other grounds

18.17.1 This paragraph covers dismissals on any ground falling within paragraph 18.3(2) other than those covered by Parts II, III, IV and paragraphs 18.15 and 18.16 of this Regulation (i.e. "some other substantial reason of a kind such as to justify the dismissal of an employee holding the position which the employee held" (Employment Rights Act 1996, s. 98(1)(b); "the employee could not continue to work in the position which he held without contravention (either on his part or on that of his employer) of a duty or restriction imposed by or under an enactment" (s. 98 (2)(d)).

18.17.2 Dismissals covered by sub-paragraph (1) above shall be handled in accordance with a procedure prescribed by Council, which shall include the right to be heard by a panel and the right to appeal to a panel.

PART VI: GRIEVANCE PROCEDURES

18.18 Grievance Procedure

18.18.1 The Council shall promulgate (in the Annex to this Regulation) a Grievance Procedure for members of staff and in doing so shall have regard to Section 2 of the Code of Practice (as may be amended or replaced from time to time) referred to in paragraph 18.11 above.

18.18.2 The Procedure shall apply to grievances by members of staff concerning their appointments or employment in relation to matters affecting themselves as individuals or their personal dealings or relationships with other staff of UCL, other than those for which provision is made elsewhere in this Regulation or in respect of

Regulations for Management

the outcome of any matter dealt with under this Regulation, or where the Council has prescribed other procedures, provided those other procedures are no less favourable to the individual than under the Grievance Procedure.

18.18.3 The Procedure shall provide that consideration of a complaint under the Procedure may be deferred if other proceedings under this Regulation concerning the individual and relevant to the application are pending or in progress.

18.18.4 The Procedure shall provide for the fair and speedy resolution of complaints, informally wherever possible, and for the complainant to be entitled to be assisted by any other member of staff or by a trade union representative at any hearings prior to that under sub-paragraph (5) below.

18.18.5 The Procedure shall make provision for a member of staff who is dissatisfied with the outcome of a complaint to be able to have the complaint heard by a Grievance Panel unless the complaint has been ruled frivolous, vexatious or invalid in accordance with the Procedure.

March 2017