



# UCL Academic Manual

## 2015-16

### Chapter 1: Admissions, Registration and Student Conduct Framework

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Chapter 1 is UCL's regulatory framework for admission to UCL, student enrolment and registration, and student conduct whilst studying at UCL. The chapter defines UCL's *threshold* academic standards. Students should also refer to their programme handbooks and departmental/divisional literature for more detailed information about the regulations applicable to their studies.

Chapter 1 includes the main regulations for all UCL students, except where the following approved derogations and variations supersede:

- Doctoral School**
  - Doctor in Engineering (EngD) Additional Regulations
  - Doctor of Public Administration (DPA) Regulations
- The Bartlett, UCL's Faculty of the Built Environment**
  - Bartlett Derogations

## **UCL Institute of Education**

- UCL IOE General Academic Regulations
- UCL IOE Undergraduate Regulations
- UCL IOE Foundation Degree Regulations
- UCL IOE Bachelor of Education (Honours) Regulations
- UCL IOE Taught Postgraduate Regulations
- UCL IOE PGCE/ PgCE Regulations
- UCL IOE MPhil/ PhD Regulations 2015-16 (New Students)
- UCL IOE MPhil/ PhD Regulations 2014-15 (Continuing Students)
- UCL IOE Doctor in Education Regulations (EdD) 2015-16 (New Students)
- UCL IOE Doctor in Education Regulations (EdD) 2014-15 (Continuing Students)
- UCL IOE Doctor in Educational Psychology (DEdPsy) Regulations 2015-16 (New Students)
- UCL IOE Doctor in Educational Psychology (DEdPsy) Regulations 2014-15 (Continuing Students)
- UCL IOE Professional Practice Panel (PPP) Policy 2015-16

## **Life Sciences**

- BSc in Speech Sciences Variations
- UCL School of Pharmacy PGDip General Pharmacy Practice Derogations

## **Medical Sciences**

- Bachelor of Medicine, Bachelor of Surgery (MBBS) Regulations

Students following joint or dual programmes delivered in conjunction with other universities, institutes and organisations (e.g. EMPA, International MA) should refer to their specific programme literature for details of the regulations that apply to their studies.

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# 1 Taught Programme Admissions

## 1.1 Undergraduate Entrance Requirements

### 1.1.1 A and AS Levels

1. UCL's entry requirement range is A\*A\*A–ABB, plus a pass in a further Advanced Subsidiary (AS) level subject.
2. Some degree programmes will have higher entry requirements.
3. The requirements for individual programmes are set out in the Prospectus.

#### **Further guidance**

1. UCL has a benchmark entry level of ABB at GCE A level and does not make offers of admission with any grades or scores lower than B.
2. Applicants will not be admitted below the benchmark level without the advance approval of the Vice-Provost (Education and Student Affairs) and cases for consideration should be submitted by Admissions Tutors to the Vice-Provost (Education and Student Affairs), via Admissions in Student and Registry Services.
3. The maximum permitted offer is A\*AA plus a pass in a fourth AS level, with the exception of the Department of Mathematics that can offer at a level of A\*A\*A plus a pass in a fourth AS Level.
4. For further information about the acceptability of A Level subjects see Preferred A Level Subjects.

### 1.1.2 International Baccalaureate

1. The normal requirement for admission to UCL is the award of the Diploma achieved with good grades across individual subjects. UCL's standard minimum requirement is 34 points overall, with a combined score of 16 achieved in three higher level subjects with no grade lower than 5.
2. Many programmes may have higher entry requirements. Programme specific entry requirements are set out in the Prospectus.

#### **Further guidance**

1. Programmes may specify up to two individual higher level grade requirements. Where this is the case, a higher level grade of 6 is specified as the equivalent of an A grade requirement at A level, and a higher level grade of 7 is specified as the equivalent of an A\* grade requirement at A level. For example, a programme that requires grades AAB at A level including grade A in Chemistry has an International Baccalaureate Diploma requirement of 36 points with a score of 17

in three higher level subjects, including grade 6 in Chemistry, with no score lower than 5.

2. Applicants will not be admitted below the benchmark level without the advance approval of the Vice-Provost (Education and Student Affairs) and cases for consideration should be submitted by Admissions Tutors to the Vice-Provost (Education and Student Affairs), via [Admissions in Student and Registry Services](#).

### 1.1.3 Vocational A and AS Levels

1. One of the three GCE A levels may be substituted by a Vocational A level. The additional Advanced Subsidiary subject may be substituted by a Vocational AS level or the equivalent.

#### **Further guidance**

1. Applicants should note that admission to UCL will not be granted solely on the basis of Vocational A/AS levels.

### 1.1.4 General Studies and Critical Thinking A and AS Level

1. AS level General Studies or AS Critical Thinking are not recognised for admissions purposes. A level General Studies and A Level Critical Thinking are only acceptable as an alternative to the additional Advanced Subsidiary level subject that is required.

### 1.1.5 GCSE and Equivalent Qualifications

1. All UCL programmes require GCSE or equivalent passes in English Language and Mathematics at grade C or higher.
2. Law, Medicine and Psychology programmes require additional GCSE passes in specific subjects or higher grades than C in English Language and/or Mathematics, as outlined in the programme descriptions given in the [Prospectus](#) for the year of application.

#### **Further guidance**

1. For further information see the [List of Qualifications Accepted by UCL as GCSE Equivalents](#).
2. UCL values applicants who have developed key skills such as numeracy, communication, problem solving and the ability to work with others. Applicants may wish to include how they have developed these skills either through certificated awards, extra-curricular activities or work in their personal statement in their UCAS application.

### 1.1.6 Programme Specific Entry Requirements



1. Applicants' qualifications must satisfy the specific degree programme requirements which are outlined in the programme descriptions given in the Prospectus for the year of application.

**Further guidance**

1. Applicants are advised to check for specific entry requirements in their chosen area of study before making an application to UCL. In particular, applicants should note the entry criteria for Medicine, Integrated BSc degrees, Fine Art and Law set out in the Prospectus.

### 1.1.7 Applications for the MBBS (Bachelor of Medicine and Bachelor of Surgery) Programme

1. In addition to making an application via UCAS, all applicants for the UCL MBBS programme must take the Biomedical Admissions Test (BMAT).

**Further guidance**

1. Applicants for the MBBS should note that there are strict deadlines for their UCAS application and their BMAT registration.

### 1.1.8 Applications for Law Undergraduate Programmes

1. In addition to making an application via UCAS, all applicants for UCL undergraduate Law programmes must take the National Admission Test for Law (LNAT).

**Further guidance**

1. Applicants for Law degrees should note that there are strict deadlines for LNAT registration and subsequently taking the test.

## 1.2 Taught Postgraduate Entrance Requirements

### 1.2.1 Postgraduate Certificate, Postgraduate Diploma and Taught Masters

1. UCL requires a UK Bachelor's degree in an appropriate subject, awarded with first or second-class Honours, or an overseas qualification of an equivalent standard from a university or educational institution of university rank.
2. For some taught programmes, an applicant whose qualifications, although otherwise acceptable, are of lower standard may be admitted if evidence of an adequate academic background and experience in an appropriate field can be shown. In certain instances, applicants may be required to pursue the programme

over an extended period of time (including a qualifying year) and/or pass a qualifying examination before being registered for the degree programme.

3. Applicants must meet any entry conditions set by UCL by the start of the academic year in which they expect to begin their studies.

#### **Further guidance**

1. Some programmes take into account individual professional and work experience for admissions purposes. Please refer to the Prospectus or relevant Department/Division for details of specific entry requirements.

### 1.2.2 Research Masters (MRes)

1. A UK Bachelor's degree in an appropriate subject, awarded with first or upper second-class Honours, or an overseas qualification of an equivalent standard from a university or educational institution of university rank is required.

### 1.2.3 Programme Specific Entry Requirements

1. Applicants' qualifications must satisfy the specific degree programme entry requirements which are outlined in the programme descriptions given in the Prospectus for the year of application.

#### **Further guidance**

1. Applicants are advised to check for specific entry requirements in their chosen area of study before making an application to UCL by referring to the Prospectus and to the information for students on the relevant Department/Division web pages.

### 1.2.4 International Qualifications

1. UCL will consider a wide variety of international qualifications for entry to its taught postgraduate programmes. The following equivalencies are used for students studying under the US/Canadian grade point average (GPA) marking scheme:
  - i) First-Class Honours: GPA 3.6/4.0
  - ii) Upper Second-Class Honours: GPA 3.3/4.0
  - iii) Lower Second-Class Honours: GPA 3.0/4.0

#### **Further guidance**

1. Applicants should be aware that, in addition to the required grades, the acceptability of qualifications can be dependent on the type, content and length of the degree programme studied as well as the institution attended.

## 1.3 Other Qualifications and Special Entry Criteria

1. UCL specifies and recognises a range of other UK and international qualifications. Such applications are considered on a case-by-case basis. For further information see [Recognition of other UK, EU and International Qualifications](#).

## 1.4 English Language Requirements

### 1.4.1 General

1. All applicants whose first language is not English must be able to provide recent evidence that their spoken and written command of the English Language is adequate.

#### **Further guidance**

1. An example of recent evidence that an applicant's spoken and written command of the English Language is adequate would be a record of attendance certifying schooling in English.
2. This requirement is specified in order to ensure that the academic progress of applicants is not hindered by language difficulties and that applicants are able to benefit fully from their time at UCL.
3. UCL's preferred English Language qualifications are GCSE English Language and the International English Language Testing System (IELTS).
4. UCL does accept a number of English Language qualifications and a list of these is available in the [Prospectus](#).
5. Further information about English Language requirements can be found on the [Prospective Students website](#).

### 1.4.2 Programme Specific English Language Requirements

1. All applicants are advised to check any programme specific English Language requirements by consulting the [Prospectus](#).
2. Applicants should be aware that UCL reserves the right to ask for higher English Language requirements in individual cases.

## 1.5 University Preparatory Certificate

### 1.5.1 University Preparatory Certificate for Science & Engineering

1. International applicants whose secondary education qualifications are not suitable for direct admission to leading UK universities may apply for a one-year programme for Science and Engineering offered by UCL.
2. Successful completion of the one-year programme for Science and Engineering may be used to apply for an undergraduate programme of study at UCL or other university.

#### **Further guidance**

1. More information for this programme is available from the [Centre for Languages and International Education](#).

### 1.5.2 University Preparatory Certificate for Humanities

1. International applicants whose secondary education qualifications are not suitable for direct admission to leading UK universities may apply for a one-year programme for Humanities offered by UCL.
2. Successful completion of the one-year programme for Humanities may be used to apply for an undergraduate programme of study at UCL or other university.

#### **Further guidance**

1. More information for this programme is available from the [Centre for Languages and International Education](#).

## 1.6 Recognition of Prior Learning (RPL) for Entry to UCL

### 1.6.1 General

1. The regulations and criteria for the Recognition of Prior Learning, including the types of prior learning that might be considered by UCL, are defined in Chapter 2: Qualifications and Credit Framework.
2. The following procedures outline the process for students wishing to apply for the Recognition of Prior Learning.

### 1.6.2 RPL for Entry to UCL Undergraduate Programmes

1. All applicants for RPL must first submit a standard UCAS application according to UCL's standard Admissions Procedures.

2. RPL for advanced entry to UCL undergraduate programmes requires approval by the Vice-Provost (Education and Student Affairs). Applications should be submitted via Admissions in Student and Registry Services.
3. Students applying for advanced entry will normally have studied on a similar degree programme at another institution, but the degree structure may not directly map onto the UCL degree. Students must apply for RPL even if the programmes appear to correspond closely.
4. If RPL is agreed then students will receive credit for the relevant modules/ course units.

### **Changes to Programme Diet**

5. The agreement of RPL must specify which course units/ modules have been credited, any variation in the programme diet for the student, and the details of the scheme of award.
6. Results for Year 1 course units credited through RPL are included in the total of passed course units but otherwise do not contribute to the degree classification.
7. Where it is necessary for students to study Level 3/ Introductory course units during their second year, these modules will be treated as Year 2 course units and be subject to the Year 2 weighting in the degree classification.

### **1.6.3 RPL for Entry to Taught Postgraduate Programmes**

1. All applicants for RPL must first submit a standard application according to UCL's standard Admissions Procedures.
2. RPL for advanced entry to UCL taught postgraduate programmes requires approval by the Vice-Provost (Education and Student Affairs). Applications should be submitted through Admissions in Student and Registry Services.
3. The number of credits for which RPL has been granted and any variation to the programme diet must be specified at the time of admission and form part of the agreement between UCL and the student.

## **1.7 Making an Application to Study at UCL**

### **1.7.1 Undergraduate Applications**

1. All full-time undergraduate applications to study at UCL, except for the Integrated BSc, must be submitted through UCAS and not directly to UCL. Applicants should complete their UCAS submission by the deadlines specified by UCAS.

### **Further guidance**

1. Regardless of where applicants are applying from, they must submit their UCAS application by the dates published by [UCAS](#).
2. Applications made after the deadline cannot be guaranteed equal consideration by UCL.
3. Applicants for Medicine, Integrated BSc degrees, Fine Art and Law programmes should see the additional criteria for special admissions by reference to the [Prospectus](#) for the intended year of entry.
4. Applications for part-time study should be made directly to UCL, via [Admissions in Student and Registry Services](#).

## **1.7.2 Taught Postgraduate Applications**

1. Taught postgraduate programmes are made directly to UCL, with the exception of the EMPA and MA History of Political Thought and Intellectual History.

### **Further guidance**

1. There are two options for applications that are made directly to UCL:
  - i) Apply Online
  - ii) Downloadable Application Form
2. Applications for the EMPA are made via [New York University](#) and the MA History of Political Thought and Intellectual History are made via [Queen Mary University of London](#) respectively.
3. For further information see the [Prospective Students website](#).

### **PGT Application Deadlines**

4. The Friday of the first week in August (week 49) is UCL's general deadline for the receipt of applications for taught postgraduate programmes, however earlier programme specific deadlines may apply.

### **Further guidance**

1. For further information see the Programme Specific Application Deadlines on the [Prospective Students website](#).
2. Registration and enrolment for new students on taught postgraduate programmes starting in September must be completed by the Friday of week 7 or at the end of the second week of teaching if this is different.
3. Enrolment of continuing students on taught postgraduate programmes with part-time or flexible modes of study must be complete by the Friday of week 9.

### 1.7.3 Applications for Deferred Entry

#### **Undergraduate Applicants**

1. UCL will consider applications for deferred entry from undergraduate applicants intending to spend a pre-university year in a constructive activity.

#### **Taught Postgraduate Applicants**

2. UCL will not accept applications for deferred entry to taught postgraduate programmes. Applicants must apply in the admissions cycle for which they seek entry.
3. However, once an offer of admission has been made, applicants may seek to defer the place to the following year. Agreement to defer is considered on a case-by-case basis and approved or not by the admitting department/division.
4. Applicants holding an offer of admission may only apply for deferral for one year of entry. Applicants wishing to take a further year prior to admittance will be required to re-apply for admission and be considered in competition with other applicants.

#### **Further guidance**

1. Undergraduate applicants should state their reasons for wishing to defer entry on their UCAS application and they will then be considered a year ahead of the normal application timetable.
2. All undergraduate applicants considering applying for deferred entry are advised to check with [Admissions in Student and Registry Services](#) about the acceptability of deferred entry application for the degree programme for which they are applying.
3. The Slade School of Fine Art does not consider applications for deferred entry.
4. Further information about deferred entry is available on the [Prospective Students website](#).

### 1.7.4 Applications for Part-Time Study

#### **Undergraduate Applicants**

1. Applications for undergraduate admission on a part-time basis will only be considered for a small number of undergraduate degree programmes. At UCL undergraduate degree programmes are mostly taught during the day.

#### **Taught Postgraduate Applicants**

2. Applications for taught postgraduate admission on a part-time basis will be considered for programmes that offer a part time or modular/flexible option.

### **Further guidance**

1. All applicants considering applying for part-time study are advised to refer to the Prospectus or contact Admissions in Student and Registry Services about the availability of this option for the degree programme for which they are applying.
2. Applications for admission on a part-time basis should be submitted directly to UCL using the appropriate part-time application form.

## **1.7.5 Applicants with Disabilities**

1. Applicants who have a disability should inform UCL of this on their application. This will ensure that any special requirements can be put in place.

### **Further guidance**

1. Applicants with disabilities should contact Student Disability Services if they have any general queries about facilities at UCL before submitting their application.
2. UCL endeavours to ensure equal access to all facilities and to make reasonable adjustments to UCL buildings when and where possible.

## **1.7.6 Applicants under the Age of 18**

1. UCL will consider for admission to its undergraduate programmes applicants who will reach the age of 18 during or after their expected period of attendance. If a young applicant is offered a place, UCL has set in place procedures to protect young applicants and young students and the arrangements prescribed will be put in place prior to them enrolling at UCL as a 'young student'.

### **Further guidance**

1. In considering such applications Departments must adhere to the Policy on Admission of Students Aged Under 18.

## **1.7.7 Affiliate Applicants (Students Registered at Other Higher Education Institutions)**

1. Affiliate students are students registered at other Higher Education Institutions.
2. The regulations covering the registration of affiliate students at UCL are located in Section 4.11: Affiliate Student Registration.
3. Further information and guidance for affiliate student applications is available from Admissions in Student and Registry Services.

### **Undergraduate Affiliate Applicants**

4. Undergraduate affiliate applicants must be students registered at other Higher Education Institutions.



5. Undergraduate affiliate applicants should have completed at least two years' study at university and be fully enrolled at their home institution by the time they come to UCL.
6. During their period of affiliation, affiliate students do not qualify for a UCL Degree.

#### **Further guidance**

- i) In this context an undergraduate affiliate student is a student from another university who has accepted an offer by UCL to enrol on an undergraduate affiliate programme and register on modules that are academically assessed.
- ii) Undergraduate affiliate students usually study on a full-time basis and can register to study for an academic year or, if appropriate, for the term or terms in which the course units they are undertaking are offered.
- iii) Departments/Divisions may, at their discretion, accept an undergraduate affiliate student who has not completed at least two year's study at a university.

#### **Taught Postgraduate Affiliate Applicants**

7. Applicants registered for taught postgraduate level qualifications in other Higher Education Institutions may apply to study at UCL for academic credits.
8. Taught postgraduate affiliate applicants should be enrolled on a programme in their home institution that is equivalent to the QAA Framework for Higher Education Qualifications (FHEQ) level 7.

#### **Further guidance**

- i) Academic credits are awarded for the successful completion of assessed module units.
- ii) Details about the structure of programmes for affiliate students are set out in Section 4.11 Affiliate Student Registration.

#### **Affiliate Student English Language Requirements**

9. Affiliate students should satisfy UCL's English Language Requirements (see Section 1.4).

#### **Further guidance**

- i) At the discretion of a department/division and the Faculty, students admitted via the Erasmus programme may not be required to satisfy UCL's English Language Requirements (see Section 1.4).

#### **Exemption from Dual Registration Regulations - Affiliate Students and Joint/Double/Dual Degree Students**

10. Affiliate students and students registered on joint, double/dual degrees are exempt from UCL's Dual Registration regulations (see Section 4.2).

### **Further guidance**

- i) Students can accept an offer of a place from UCL when they are still formally registered with another Higher Education Institution, or if they are re-sitting examinations. However, they may not formally register with UCL until they are no longer registered with another institution, having graduated or left.

## **1.7.8 Erasmus Programme Applications**

1. In the first instance applicants wishing to study at UCL as an Erasmus Programme exchange student must ensure that there is an appropriate institutional link in operation.

### **Further guidance**

1. Erasmus Programme exchange applicants should contact the relevant Erasmus Co-ordinator and/or International Relations Office at their home university.
2. Submitted Socrates-Erasmus application forms must include an official institutional stamp and the signature of the Erasmus Co-ordinator at the applicant's home institution.
3. Successful selection by an applicant's home institution is not a guarantee of being accepted by UCL.
4. If successfully selected by their home institution, Erasmus applicants need to complete and submit a [UCL Erasmus Application Form](#).
5. Successful applicants will be registered at UCL as visiting Erasmus students (known as affiliates) and as such will not be eligible for the award of any UCL degree or other qualification.
6. Further information about the Erasmus Programme is available from the [Erasmus Programme web pages](#) and the [British Council website](#).

## **1.7.9 Applicants Transferring from Other Higher Education Institutions**

1. All applicants studying at another higher education institution, including those who wish to transfer to a full-time degree programme at UCL, whether to commence a new programme of study, or to enter direct into the second year of a degree programme, must apply through the channels described in 1.7.1 Undergraduate Applications and 1.7.2 Taught Postgraduate Applications.

### **Further guidance**

1. All applicants studying at another higher education institution who wish to transfer to UCL should also refer to the regulations relating to Dual Registration (see Section 4.2).

## 1.8 Declining Examination Results

1. Applicants who have accepted a place at UCL and who subsequently decline any of their A or AS level results or Bachelor Degree results (i.e. appeal against their marks) may render themselves ineligible to take up a place on a degree programme at UCL or, if they have already enrolled, liable for deregistration from UCL.

### Further guidance

1. Undergraduate applicants should be aware that if they decline any of their A or AS level results, i.e. appeal against their marks, this might mean that they will be unable to meet UCL entry criteria and that any offers would be invalid, including re-marking completed after 31 August. Applicants are advised to check with Admissions in Student and Registry Services before declining any of their A or AS level results.
2. Taught Postgraduate Applicants should be aware that if they decline any of their Bachelor Degree results or results obtained for an equivalent qualification (i.e. appeal against their marks), this may mean that they will be unable to meet UCL entry criteria and that any offers would be invalid.

## 1.9 Accuracy of Applicant Information

1. Information provided by applicants is expected to be accurate and complete. UCL reserves the right to refuse admission or, if already registered, terminate registration if information provided by an applicant is inaccurate or incomplete.

### Further guidance

1. If fraud is suspected, UCL will liaise, as appropriate, with relevant external bodies, including the police, and implement the procedures set out in Section 11: Student Disciplinary Code and Procedures.
2. Applicants should note that UCL reserves the right to terminate a registered student's attendance if information provided by them during the application process is inaccurate or incomplete.

## 1.10 Proof of Identity

### 1.10.1 General

1. All students are required to present (in person or by post) the original copy of an accepted form of identification, as determined by UCL, for verification before they

can be enrolled. In the absence of this verification, enrolment will not be confirmed.

## 1.10.2 UK/EU/EEA-Based Students

1. Students based in the United Kingdom, European Union or European Economic Area are required to present (in person or by post) the original copy of an accepted form of identification for verification before they can be enrolled. In the absence of this verification, enrolment will not be confirmed.
2. UCL's preferred form of identification is a valid passport. However, in the absence of a valid passport, the following will be accepted forms of identification for students who do not require a visa to study in the UK:
  - i) A UK photo driving licence, Armed Forces Identity Card or a European National Identity Card, or
  - ii) An original Birth Certificate, Adoption Certificate, Deed Poll Certificate or Certificate of Naturalisation.
3. If the family name or other personal details are different from those on the document provided, proof of the reason for any differences will be required at enrolment. This should be in the form of a marriage certificate/civil partnership certificate, divorce document, deed poll, adoption certificate or statutory declaration.
4. No other forms of identification are acceptable.

## 1.10.3 Students Who Require a Visa to Study in the UK

1. Under UK immigration requirements who require a visa to study in the UK, and no other forms of identification will suffice.
2. Enrolment will not take place without presentation of a valid passport and an appropriate visa.

### **Further guidance**

1. Further information about the UK Points-Based Immigration System is available on the [Immigration and Visa](#) webpages.

## 1.11 Disclosure and Barring

### 1.11.1 Disclosure

1. For a limited number of programmes, where students may potentially come into unsupervised contact with children and/or vulnerable adults, UCL will seek an enhanced disclosure certificate from the [Disclosure and Barring Service](#).

### **Further guidance**

1. The Disclosure and Barring Service is the Government agency established to provide employers and others with information about any criminal convictions that an individual might possess. Queries regarding disclosures for students should be referred to the UCL Visa Compliance Team ([visacompliance@ucl.ac.uk](mailto:visacompliance@ucl.ac.uk)).
2. In addition to an enhanced disclosure certificate, some programmes require further checks under the provisions of the Protection of Children Act and Protection of Vulnerable Adults Act.
3. Further details of these checks are available from the [Disclosure and Barring Service](#). UCL reserves the right to bar applicants or de-register students who are given an unsatisfactory review by the Disclosure and Barring Service.
4. Information about the programmes that require disclosure certificates and how these can be obtained is available from the UCL Visa Compliance Team ([visacompliance@ucl.ac.uk](mailto:visacompliance@ucl.ac.uk)).

## 1.11.2 Applicants with Criminal Records

1. Disclosure of criminal records is mandatory and applicants with criminal records may be subject to some restrictions of activity to be decided on a case-by-case basis.
2. Failure to disclose may result in de-registration from UCL.

### **Further guidance**

1. Applicants who apply via UCAS or using a UCL direct application form are required to declare on their application forms whether they have any criminal convictions and are advised that the offer of a place is subject to a satisfactory criminal records declaration being submitted.
2. Where appropriate, details of criminal convictions may be made available to personal tutors and/or Heads of Department/Division and others as appropriate.
3. Please see [UCL's Disclosure and Barring webpages](#) for further information.

## 1.12 Application Decisions

### 1.12.1 Offer of an Undergraduate Place

1. UCL endeavours to ensure that all applicants who have applied by the 15 October/15 January deadlines will receive a decision via UCAS by 31 March in the calendar year of proposed entry, or a calendar year ahead for deferred entry applicants.

2. In addition to the UCAS decision, a formal UCL offer will be made to the applicant by Admissions in Student and Registry Services or the relevant Faculty Tutor, together with formal notification of the applicant's fee classification.

#### **Further guidance**

1. Applicants can follow the progress of their application via the UCAS Online Application Tracking Facility or via UCL's Applicant Portal.
2. Applicants are advised to consult UCAS for any changes in the deadline for the release of application decisions.

### 1.12.2 Offer of a Taught Postgraduate Place

1. Upon receipt of a complete application, applicants are invited to join UCL's Applicant Portal where they can follow the progress of their application.
2. Where there is a specific deadline for a programme of study, decisions may be notified after the closing date has passed.
3. Upon the recommendation of the relevant department/division, a formal UCL offer will be made to the applicant by Admissions in Student and Registry Services.

#### **Further guidance**

1. If unclear, applicants should contact Admissions in Student and Registry Services to clarify the likely decision date.
2. Departmental/divisional recommendations for the offer of a place are checked and authorised by Admissions in Student and Registry Services.

### 1.12.3 Conditional Offers

1. Conditional offers based on future examination performance may be issued by UCL. In such circumstances, all conditions must be fulfilled by 31 August in the calendar year when the programme starts for the individual concerned.

#### **Further guidance**

1. Applicants are advised to note Section 1.8 on Declining Examination Results. Applicants who have requested re-marking of an A level paper should be aware that, irrespective of the outcome, if the re-mark is not available by 31 August in the year of entry, they will not be eligible for admission.

## 1.13 Accepting an Offer

### 1.13.1 Undergraduate Applicants

1. All applicants for full-time undergraduate degree programmes will be informed by UCAS of the date by which they have to make a formal response to the offers

they have received, either accepting them firmly, or on an insurance basis, or declining them.

### **Undergraduate Affiliate Applicants**

2. For programmes starting in September/October, affiliate applicants have until 31 July in the calendar year of a programme to accept their offers formally.
3. For programmes starting in January, affiliate applicants have until 30 November of the preceding calendar year to accept their offers formally.

#### **Further guidance**

- i) Affiliate applicants confirm or decline their acceptance of an offer of a place to study at UCL by completing the Offer Reply Form sent to them with their offer letter.

### **Undergraduate Part-Time Applicants**

4. Applicants for undergraduate part-time study should confirm their acceptance of an offer from UCL in writing directly to Admissions in Student and Registry Services.

#### **Further guidance**

- i) Part time study applicants confirm or decline their acceptance of an offer of a place to study at UCL by completing the Offer Reply Form sent to them with their offer letter.

## **1.13.2 University Preparatory Certificate Applicants**

1. Applicants for the University Preparatory Certificates for Science & Engineering and Humanities Programmes have until 7 July in the calendar year of a programme starting in September/October to decide upon their offers.

#### **Further guidance**

1. Applicants accepting the offer of a place on these programmes return the acceptance form provided with their offer to the UCL Centre for Languages and International Education.

## **1.13.3 Taught Postgraduate Applicants**

1. All applicants for taught postgraduate degree programmes will be informed by UCL of the date by which they have to make a formal response to the offer they have received, either accepting the offer firmly or declining the offer.

### **Taught Postgraduate Affiliate Applicants**

2. For programmes starting in September/October, affiliate applicants have until 31 July in the calendar year of a programme to accept their offer formally.

3. For programmes starting in January, affiliate applicants have until 30 November of the preceding calendar year to accept their offer formally.

**Further guidance**

1. Affiliate applicants confirm or decline their acceptance of an offer of a place to study at UCL by completing the Offer Reply Form sent to them with their offer letter.

## 1.14 Confirmation of Offer

### 1.14.1 Confirmation of Undergraduate Offer via UCAS

1. UCAS applicants who firmly accept an offer of a place at UCL have their places confirmed through UCAS as and when any conditions attached to the offer are satisfied.

**Further guidance**

1. The A level results are received by UCL from the qualifications awarding bodies via UCAS usually on the second weekend in August.
2. These are loaded into UCL's admissions system electronically.
3. Admissions Tutors pass the recommendation made on the basis of these results to Admissions in Student and Registry Services and these are processed through UCAS after discussion with the Vice-Provost (Education and Student Affairs).
4. If any conditions of any offer have not been met, applicants should contact Admissions in Student and Registry Services by telephone as soon as possible to ascertain whether they may still gain admission.

### 1.14.2 Confirmation of Undergraduate Offer: Non-UCAS

1. Applicants successfully applying for the University Preparatory Certificate, part-time students, affiliate students and Integrated BSc students who have received an offer of a place directly from UCL should confirm their acceptance in writing.

**Further guidance**

1. Applicants should also refer to Section 1.10 Proof of Identity.

### 1.14.3 Confirmation of Taught Postgraduate Offer

1. Applicants who have firmly accepted an offer of a place at UCL have their places confirmed by UCL as and when any conditions attached to the offer are satisfied.



2. If any conditions of any offer have not been met, applicants should contact Admissions in Student and Registry Services by telephone or email as soon as possible to ascertain whether they may still gain admission.

## 1.15 Student Accommodation Deadlines

1. Applicants should be aware of the deadline both for applying for student accommodation and firm acceptance of an offer of admission in order to guarantee the allocation of a room.
2. Applicants should note that only those who have an offer of a place to study at UCL can apply for accommodation.
3. Further information about applying for student accommodation can be found on the Prospective Students website.

## 1.16 Appeal of Entry Decisions

1. UCL decisions on applications are final, and there is no right of appeal against them. UCL will consider a complaint against any decision only if there is substantive evidence of an irregularity in the processing of the application in question.

### **Further guidance**

1. For all undergraduate applicants, in the first instance complaints concerning an undergraduate application should be addressed to the Director of Access and Admissions unless the complaint concerns the Bartlett School of Architecture of the Faculty of Laws where it should be addressed to the Faculty Tutor of the Faculty concerned. If the complaint is against the Director of Access and Admissions or the Faculty Tutor, it should be addressed to the Vice-Provost (Education and Student Affairs) or another senior member of administrative or academic staff, should there be any conflict of interest.
2. For all taught postgraduate applicants, in the first instance any complaint concerning a taught postgraduate application should be addressed to the Director of Access and Admissions. If the complaint is against the Director of Access and Admissions, it should be addressed to the Vice-Provost (Education and Student Affairs) or another senior member of administrative or academic staff, should there be any conflict of interest.

## 2 Research Degree Admissions

### 2.1 Standard Qualifications for Admission: MPhil/PhD Programmes

1. The normal minimum entrance qualification for registration for the MPhil degree or the PhD degree is:
  - i) An upper second class honours degree of a UK university or an overseas qualification of an equivalent standard obtained after a programme of study extending over not less than three years in a university (or educational institution of university rank), in a subject appropriate to that of the programme to be followed; or
  - ii) A registrable qualification appropriate to the programme to be followed awarded by a UK university in Medicine, Dentistry or Veterinary Studies; or a qualification of an equivalent standard appropriate to the programme to be followed awarded by a university (or educational institution of university rank) outside the UK; or
  - iii) A Masters degree from a UK University in a subject appropriate to the programme to be followed; or
  - iv) A professional or other qualification obtained by written examinations and approved by UCL as an appropriate entrance qualification for the MPhil or PhD degree in question.
2. Applicants should also consult the relevant departmental/divisional admission requirements (see the [UCL Departments A-Z](#)).

### 2.2 Standard Qualifications for Admission: EngD Programmes

1. Other qualifying criteria may also be required for applicants for the EngD, depending on the subject area of the individual programme.
2. The additional regulations for the Doctor in Engineering [EngD] in Chapter 8: Derogations and Variations give details of specific criteria for the following programmes:
  - EngD in Biochemical Engineering and Bioprocess Leadership
  - EngD in Communications
  - EngD in Environmental Engineering Science (ENVES)
  - EngD in Virtual Environments Imaging and Visualisation (VEIV).

## 2.3 MRes Progression to an Associated Research Degree Programme

1. For automatic progression from MRes to PhD/EngD, students should achieve an average mark of not less than 60% in the *independent, original research components* of the programme, and not less than 50% in the taught elements.
  - i) This regulation relates to automatic progression from MRes to MPhil/PhD or EngD programmes.
  - ii) However, in cases where a student did not meet these requirements, but who has the support of the MPhil/PhD or EngD programme organisers, a case in writing can be made to the Chair of the Research Degree Committee for the consideration of suspension of regulations on a case-by-case basis.
2. The length of the MRes programme should be extended to one calendar year and one month to allow Boards of Examiners time to determine awards prior to students registering on the associated EngD or MPhil/PhD programme.
3. MRes students who fail the taught components examined in and before June should be offered their resit opportunity before or in August of the same year.
4. MRes students who are not awarded the degree after the first attempt and the resit attempt should not progress to the associated EngD or MPhil/PhD programme and would be required to leave UCL.
5. MRes students who fail the dissertation should not register on the EngD or MPhil/PhD programme in the following academic year but remain on the MRes and resubmit the dissertation by the end of the first term in the following academic year. The Board would then consider the award for these students in January, when they would be allowed to register on the EngD or MPhil/PhD if they passed. If, as a result, they missed taught components which formed part of the EngD or MPhil/PhD registration, these should be followed at the point when they are next available.

### Further guidance

1. These regulations only apply to students on MRes programmes which form an integral part of an associated doctoral programme.
2. Applicants and students should also consult the relevant departmental/divisional admission and MRes progression requirements.
3. MRes programmes are subject to the regulations for Taught Postgraduate Programmes and to the additional regulations for Masters By Research Programmes in Chapter 8: Derogations and Variations.

## 2.4 Standard Qualifications for Admission: MD (Res) Programmes

1. To be eligible for registration for the MD(Res) degree, a candidate must have obtained the MBBS degree or some other registrable primary qualification in Medicine, and be eligible for full registration or hold limited registration with the General Medical Council (GMC), or have obtained the BDS degree or hold an equivalent dental qualification.

## 2.5 English Language Requirements

1. Applicants are required to meet UCL's English Language Proficiency Requirements for Postgraduate Degrees.

## 2.6 Alternative Qualifications for Admission

1. Applicants possessing alternative qualifications may also be considered by UCL for registration.
  - i) An applicant who possesses a degree or overseas qualification of equivalent standard obtained after a programme of study extending over three years or more in a university (or educational institution of university rank) in an appropriate subject and who, although they do not meet the normal entry standard defined in Sections 2.1-2.4, but by evidence of their background and experience satisfy UCL as to their fitness to follow the programme. Where such an applicant cannot present evidence that they possess the necessary background and experience, they may be considered by UCL for registration, provided they meet appropriate qualifying conditions prescribed by UCL.
  - ii) Applicants who possess a qualification obtained by written examination other than those covered above, if UCL is satisfied that the candidate's general education, scholarship, training and experience are suitable for the programme which they wish to follow and that they are at least as well qualified as the candidates who are able to satisfy the entrance requirements in one of the ways prescribed above.
2. UCL may prescribe a qualifying examination for such an applicant prior to admission.

### **Further guidance**

1. Departments wishing to admit such an applicant, as described above, must obtain written authorisation from the Chair of the Research Degrees Committee via Admissions in Student and Registry Services. An applicant for registration may

also be required to pass a qualifying examination. Applicants are required to meet UCL's English Language Proficiency Requirements for Postgraduate Degrees.

2. The regulations and criteria for the Recognition of Prior Learning, including the types of prior learning that might be considered by UCL, are defined in Chapter 2: Qualifications and Credit Framework.

# 3 Professional Doctorate Admissions

## 3.1 Standard Qualifications for Admission

1. The normal minimum entrance qualification for registration for professional doctorate programmes is:
  - i) An upper second class honours degree of a UK university or an overseas qualification of an equivalent standard obtained after a programme of study extending over not less than three years in a university (or educational institution of university rank), in a subject appropriate to that of the programme to be followed; or
  - ii) A registrable qualification appropriate to the programme to be followed awarded by a UK university, or a qualification of an equivalent standard appropriate to the programme to be followed awarded by a university (or educational institution of university rank) outside the UK; or
  - iii) A Masters degree from a UK university in a subject appropriate to the programme to be followed; or
  - iv) A professional or other qualification obtained by written examination and approved by UCL as an appropriate entrance qualification for the degree in question.

### **Further guidance**

1. Specific qualifying criteria and additional requirements (such as relevant work experience) may also be required for applicants to individual programmes.
2. Students applying for entry to professional doctorate programmes should refer to relevant literature provided by individual programmes.
3. For programmes where students may potentially come into unsupervised contact with children and/or vulnerable adults, the programme will seek an enhanced disclosure certificate from the Disclosure and Barring Service.
4. In addition to an enhanced disclosure certificate, some programmes require further checks under the provisions of relevant legislation covering individuals who work with vulnerable individuals (e.g. the Protection of Children Act and Protection of Vulnerable Adults Act). UCL reserves the right to bar applicants or de-register students who are given an unsatisfactory review by the Disclosure and Barring Service.
5. Applicants who have a disability should inform the programme of this on their application. This will ensure that any special requirements can be put in place.
6. Applicants with disabilities should contact UCL's Student Disability Services if they have any general queries about facilities at UCL before submitting their application.

## 3.2 English Language Requirements

1. Applicants are required to meet UCL's English Language Proficiency Requirements for Postgraduate Degrees.

## 3.3 Programme-specific Entry Criteria

1. **DClinPsy Clinical Psychology:** The minimum entrance qualification for registration for the degree of Doctor in Clinical Psychology is an upper second class honours degree with Psychology as the main field of study, or an appropriate Masters Degree or Diploma, qualifying the applicant for Graduate Basis for Chartered Membership (GBC) registration with the British Psychological Society (or an equivalent overseas qualification). Applicants should also have at least one year's relevant clinical experience. In exceptional circumstances (and subject to the approval of the authorities of UCL), consideration may be given to those without such clinical experience.
2. **DDent Paediatric Dentistry:** The entrance requirements are an approved dental qualification plus a minimum of two years' clinical experience prior to the commencement of studies.
3. **DEdPsy Educational and Child Psychology:** The minimum entrance qualification for registration for the degree of DEdPsy is an upper second class honours degree with Psychology as the main field of study, or an appropriate Masters degree or Diploma of a United Kingdom university (or an equivalent overseas qualification), qualifying the applicant for graduate basis for chartered membership (GBC) with the British Psychological Society. Candidates will normally be required to have gained at least one year's experience of working with children within educational, childcare or community settings. In exceptional circumstances (and subject to the approval of the authorities of UCL), consideration may be given to those without such relevant work experience.
4. **DEdPsy Educational Psychology:** The entrance qualification for registration for the degree of DEdPsy for holders of the MSc Educational Psychology is:
  - A Masters (or equivalent level) qualification in Educational Psychology; and
  - An appropriate proposal for training which identifies a topic for the thesis, linked to the candidates current occupational responsibilities as an applied psychologist.
5. **DPsychotherapy Child and Adolescent Psychoanalytic Psychotherapy:** The minimum entrance qualification for registration for the degree is a Masters degree in psychoanalytic developmental psychology or an equivalent postgraduate qualification. Candidates will normally be required to have gained at least one year's experience of working with children within educational, mental health or community settings. In exceptional circumstances (and subject to the approval of

the authorities of UCL), consideration may be given to those without such relevant work experience.

6. **Doctorate in Orthopaedics Trauma and Orthopaedics:** The entrance requirements for the Doctorate in Orthopaedics Trauma and Orthopaedics is a medical degree (either MBBS or equivalent) with General Medical Council registration, or Membership of the Royal College of Surgeons (MRCS), or Higher Surgical Training number in Trauma and Orthopaedics.

## 3.4 Alternative Qualifications for Admission

1. Applicants possessing alternative qualifications may also be considered by UCL for registration.
  - i) Applicants who possess a degree or overseas qualification of equivalent standard obtained after a programme of study extending over three years or more in a university (or educational institution of university rank) in an appropriate subject and who, although they do not meet the normal entry standard defined in Sections 3.1 and 3.2, but by evidence of their background and experience satisfy UCL as to their fitness to follow the programme. Where such an applicant cannot present evidence that they possess the necessary background and experience, they may be considered by UCL for registration, provided they meet appropriate qualifying conditions prescribed by UCL.
  - ii) Applicants who possess a qualification obtained by written examination other than those covered above, if UCL is satisfied that the student's general education, scholarship, training and experience are suitable for the programme which they wish to follow and that they are at least as well qualified as the students who are able to satisfy the entrance requirements in one of the ways prescribed above.
2. UCL may prescribe a qualifying examination for such an applicant prior to admission.

### Further guidance

1. Departments/divisions wishing to admit such an applicant, as described above, must obtain written authorisation from the appropriate Faculty Graduate Tutor via Admissions in Student and Registry Services. An applicant for registration may also be required to pass a qualifying examination.
2. Applicants are required to meet UCL's English Language proficiency requirements. Information about English Language proficiency requirements is available from the Prospectus.
3. Where the English Language proficiency requirements of relevant professional or regulatory bodies are more stringent, these will apply. Students should refer to literature provided by individual programmes for further information.



4. The regulations and criteria for the Recognition of Prior Learning, including the types of prior learning that might be considered by UCL, are defined in Chapter 2: Qualifications and Credit Framework.

## 4 Taught Programme Registration

### 4.1 Period of Registration

1. Taught students must be registered for the full length of their programme of study at UCL.
2. The length of each UCL qualification is defined in Chapter 2, Section 8: Threshold Qualification Requirements. The specific length of each programme of study is defined in the programme regulations.
3. The UCL Academic Year starts on the first day of September and ends on the last day of August in the following year (see Chapter 2, Section 3.7: Academic and Calendar Years for further details). The specific start and end dates, and term dates, for each programme of study are determined by UCL and defined in the programme regulations.
4. The permitted modes of attendance for UCL qualifications are defined in Chapter 2, Section 3.9 Modes of Attendance. The specific modes of attendance for each programme of study are defined in the programme regulations.
5. Students must enrol within the first few weeks of the academic year. Deadlines for enrolment and re-enrolment are published annually.

#### **Further guidance**

1. Most undergraduate programmes of study follow an annual standard pattern of 12, 11 and 7 week terms.
2. The approved mode of attendance for a Masters degree is 12 consecutive months of full-time study or two to five calendar years of part-time/flexible study.
3. If a student wishes to change their mode of attendance, guidance should be sought from Assessment and Student Records.

### 4.2 Dual Registration

1. Formal registration at UCL and at another institution is permissible for affiliate students and students enrolled on joint or double/dual degree programmes delivered in collaboration with another institution.
2. All other students are not permitted to be formally registered for a programme of study at UCL at the same time as being formally registered (or re-sitting examinations) for another programme of study at UCL or any other Higher Education Institution.

### **Further guidance**

1. Students can accept an offer of a place from UCL when they are still formally registered with another Higher Education Institution, or if they are re-sitting examinations. However, they may not formally register with UCL until they are no longer registered with another institution, having graduated or left.

## **4.3 Attendance Requirements**

1. UCL's minimum attendance requirement is 70% of teaching and learning events. Departments may stipulate a higher percentage and additional requirements where appropriate.
2. Students whose attendance falls below the attendance requirements are ineligible for summative assessment.
3. Undergraduate students must meet UCL's minimum attendance requirements during term-time (designated teaching and examination weeks). Outside of term-time, there is no requirement for students to be present on campus or to apply for authorised absence.
4. Taught Postgraduate students must meet UCL's minimum attendance requirements during term-time (designated teaching and examination weeks). During the summer vacation, students are expected to be studying for their dissertation and to be based at UCL or, if not, to apply for Study Away from UCL. Departments may stipulate additional requirements where appropriate.

### **Further guidance**

1. Section 7: UCL-Student Relationship Guidelines further defines the requirements of students whilst studying at UCL.
2. Section 4.4 Authorised Absence describes the procedures in place for students who are unable to attend lectures, seminars, tutorials and other teaching and learning events due to short-term illness or other extenuating circumstances.
3. Section 4.5 Study Away from UCL sets out how to apply for Study Away from UCL.
4. Chapter 4, Section 7: Extenuating Circumstances describes the procedures in place for students who are unable to attend an examination or submit a piece of work for summative assessment due to illness or other extenuating circumstances.
5. Section 4.6: Interruption of Study describes the procedures in place for students who are unable to attend for an extended period of time.
6. Section 9: Learning Agreements, Barring, Suspensions and Terminations of Study describes the procedures in place for students who fail to meet the minimum attendance requirements or who are absent without authorisation.

## 4.4 Authorised Absence

1. Where a student is unable to **attend an examination or submit a piece of work for summative assessment** due to illness or other extenuating circumstances, they must follow the procedures set out in Chapter 4, Section 7: Extenuating Circumstances.
2. Where a student is **absent from lectures, seminars, tutorials and other teaching and learning events** due to short-term illness or other extenuating circumstances the student must obtain authorisation from UCL under the following procedures:
  - i) Any absence must be authorised by UCL. When considering an application for authorised absence UCL will take into consideration the student's ability to keep up with their studies and complete assessments, including sitting examinations.
  - ii) Where a student is absent from lectures, seminars, tutorials and other teaching and learning events due to illness or other extenuating circumstances, the student must inform their Departmental Tutor/Programme Organiser as soon as possible and within 48 hours of the absence.
  - iii) Where a student is absent from lectures, seminars, tutorials and other teaching and learning events on medical grounds for up to 7 consecutive days, the student can self-certify their absence. (Students should however note that they must obtain a medical note from a registered medical practitioner if the absence affects their ability to sit an examination or submit a piece of work for summative assessment. In such cases, students must follow the procedures set out in Chapter 4, Section 7: Extenuating Circumstances).
  - iv) Where a student is absent from lectures, seminars, tutorials and other teaching and learning events on medical grounds for more than 7 consecutive days, the student must submit a medical note from a registered medical practitioner.
  - v) Where a student is absent from lectures, seminars, tutorials and other teaching and learning events due to non-medical extenuating circumstances, the student will be required to provide information on the circumstances, together with appropriate supporting evidence. Chapter 4, Section 7: Extenuating Circumstances provides further guidance on acceptable forms of evidence.
  - vi) Absences of up to 7 consecutive days can be authorised by the Departmental Tutor/Programme Organiser.
  - vii) Absences of up to 14 consecutive days must be authorised by the Faculty Tutor/Faculty Graduate Tutor.

- viii) Absence will not normally be authorised for a period of more than 14 consecutive days. In such cases, students should consider an Interruption of Study (see Section 4.6). In exceptional circumstances, applications for authorised absence of more than 14 consecutive days may be considered by the Vice-Provost (Education and Student Affairs). However those under Tier 4 (General) visa permission will not be able to exceed 60 days authorised absence.

## 4.5 Study Away from UCL

1. A student may be permitted to study away from UCL on academic grounds as part of the standard delivery of their programme or module e.g. when undertaking a placement or fieldwork, or a year of study abroad as part of the degree programme. Where such a period of study is part of an approved programme or module, students do not need to gain further permission to study away from UCL.
2. Students may also be permitted to study away from UCL on academic grounds which are not part of the standard delivery of a programme or module e.g. collecting data or conducting research. Such a period of study away from UCL must not be taken until it is authorised by the Departmental Tutor/Programme Organiser. Students must inform their Departmental Tutor/Programme Organiser before they intend to study away from UCL, and provide the location of study and the reason for doing so. The period of this form of study away from UCL must not exceed three months.
3. Under UK immigration requirements, UCL is required to record where students are studying if not at UCL. Students with Tier 4 visas must, therefore, also inform UCL's Immigration Compliance Office of any period of study away from UCL.
4. Students are expected to be in regular contact with their academic department during any period of study away from UCL.

## 4.6 Interruption of Study

### 4.6.1 Interruption

1. Interruption of Study is for students who require a temporary break from their studies and plan to resume their studies at a future date.
2. Applications for first interruptions of up to one calendar year require departmental/divisional and Faculty approval. The Faculty will notify Student Records.

3. Applications for repeat interruptions or those in excess of one calendar year will require the approval of the Vice-Provost (Education and Student Affairs) in addition to that of the department/division and Faculty.
4. Students enrolled on a flexible mode of study are not permitted to interrupt their studies. The UCL Institute of Education holds a derogation from this regulation.
5. Students holding a Tier 4 visa will be required to leave the UK for the duration of the interruption and re-apply for a new visa in order to return to UCL.
6. Such students must comply with visa requirements to safeguard their immigration status and future entry to the UK. UCL is legally required to notify the immigration authorities of any changes to a student's status.

#### **Further guidance**

1. Applications for interruption of study should be made in advance of the proposed interruption. Retroactive interruptions going back more than a month from when the interruption is received by Assessment and Student Records require the approval of the Vice-Provost (Education and Student Affairs).
2. The Faculty must forward the form to Assessment and Student Records within one month of effective date of interruption. If received later, the effective interruption date will be the date of receipt, not the date on the form.
3. The Changes to your Registration pages of the Current Students website provide further detail on the Interruption of Study Procedure.

### **4.6.2 Resuming Studies after a Period of Interruption**

1. Students must email their Faculty one month prior to the expected date of return to confirm that they intend to re-enrol. Their Faculty must then confirm their intention to re-enrol to Assessment and Student Records in advance of the return date so that UCL can re-instate the student's record. Students will not be able to re-enrol until Assessment and Student Records have received this confirmation from the Faculty and have re-instated the student's record.
2. Before they can re-enrol students must have paid the appropriate fees, or provided evidence of sponsorship, to the Student Fees office (fees@ucl.ac.uk).
3. Students must re-enrol within two weeks of their date of return. Failure to re-enrol may result in the closure of a student's record.
4. Students re-enrolling in September and October will need to re-enrol on-line via Portico. It is their responsibility to contact Information Systems to ensure that their username and password are correct.
5. Students re-enrolling during the months November to August will need to re-enrol in person at the Student Centre. Visa national students need to bring their passport and current visa with them when they come to enrol.

## 4.7 Course Unit/ Module Selection

### 4.7.1 General

1. UCL decides the combinations of course units/ modules students may follow.
2. Students are expected only to select course units/ modules offered by UCL unless otherwise specified in the regulations for individual degree programmes.
3. Some degree programmes have all compulsory course units/ modules.
4. UCL Departments/Divisions are free to develop not only combinations of course units/ modules which form, or fall within, one or more of the conventional subjects, but also combinations which fall across the boundaries of Faculties, but which still, in the opinion of the department/division and UCL, form a coherent degree programme.
5. Course units/ modules in a programme diet can be identified as being:
  - a) **Compulsory:** Students registered on a programme must enrol on course units/ modules deemed compulsory for that programme of study. These are identified by the letter 'C' in the programme diet on Portico, UCL's student records system.
  - b) **Optional:** Optional course units/ modules provide students with a choice of specified options for their programme and are identified by the letter 'O' in the programme diet on Portico. Student selection of optional course units/ modules is subject to the overarching rules governing the programme diet.
  - c) **Elective:** Elective course units/ modules are not specified on a programme diet and are identified by the letter 'E' on Portico. Student selection of elective course units/ modules is subject to the overarching rules governing the programme diet.
6. For further information see Chapter 3: Programme and Module Approval.
7. Students selecting optional or elective course units/ modules should, in the first instance, seek approval from the home department/division for their degree programme before enrolling on any course units/ modules that are not specified in the literature relating to their chosen programme.

### 4.7.2 Number of Undergraduate Course Units to be Selected in an Academic Year

1. The following course unit quotas apply to standard UCL programmes operating under the Harmonised Scheme of Award. Where a programme derogates from this structure, further details can be found in Chapter 8: Derogations and Variations and in local programme literature.
2. Standard UCL undergraduate programmes consist of a total of four course units in an academic year.

3. Full-time students (except repeating students) must enrol on a total of four course units and students registered as part-time (except repeating students) must enrol on a total of two course units in an academic year.
4. With the exception of those who have received approval to re-attend a failed course unit or attend a substitute for a withdrawn or failed course unit, full-time students will not be permitted to register on more than a total of four course units in any one year.
5. Students cannot enrol on a course unit or intercollegiate course where the academic assessment is deemed to overlap with any course unit assessment which they have already taken and passed.
6. Part-time students will not be permitted to register on more than a total of two course units.

#### **Further guidance**

1. In exceptional circumstances the Vice-Provost (Education and Student Affairs) may allow students to exceed this maximum.
2. Where a student follows a course unit during the long vacation, the value of that course unit shall be assigned to either the previous or next year as appropriate, but overall in neither year may the total exceed the maximum of four course units.
3. Permission to allow students to exceed the maximum requires a suspension of UCL regulations for students and can be granted on a case-by-case basis by the Vice-Provost (Education and Student Affairs), supported by the Faculty Tutor, except where substitution of course units has been agreed.
4. Any cases in support should be sent for consideration by the Vice-Provost (Education and Student Affairs) via Assessment and Student Records. It should be noted that such requests are rarely approved.
5. Students are permitted to attend course units up to the value of one whole course unit, as a substituted course unit in addition to the four course units permissible in an academic session if they failed a course unit or withdrew from examination of a course unit in the preceding session.

### **4.7.3 Selection of Course Units/ Modules from Outside UCL**

1. Students must select course units/ modules offered by UCL unless the option to select course units/ modules from outside UCL is clearly specified in information about their degree programme.
2. Where course units/ modules can be selected outside UCL, the University of London or other Higher Education provider is responsible for the management of the student experience for that course unit. This includes academic assessment, examination re-sits, disciplinary, appeal and complaints procedures.



3. The other Higher Education provider is also responsible for notifying UCL of the students' academic achievement for their assessment record and transcript.

### **Further guidance**

1. When specified within the regulations for the programme of study, students can select course units/ modules from other educational institutions in place of UCL course units/ modules.
2. For educational and administrative reasons, the institution providing the module (known as the principal provider) 'owns' the module, and is therefore responsible for awarding credit and has responsibility for quality assurance of the teaching and learning experience. It also takes the primary role in assessing and confirming student achievement on the particular module.
3. Students should note that other institutions may operate different marking systems and regulations for the award of credit. They should also note that the academic year at other institutions may be different and their examinations may not necessarily take place during the normal UCL examination period.

### **Taught Postgraduate Modules**

4. On taught postgraduate programmes, before students can select these courses, UCL approval must be granted to any student wishing to enrol on a module at another institution and evidence provided from the institution offering the module that they are willing to accept the student. Approval is granted by the Vice-Provost (Education and Student Affairs).
5. Approval is usually restricted to another institution within the University of London. However it should be noted that, in some cases, agreements between UCL and other institutions are in place.
6. Departments/ Divisions, Faculties and Assessment and Student Records can give guidance on this. Cases in support for any such request should be made via Assessment and Student Records.

## **4.7.4 Deadlines for Course Unit/ Module Selection**

1. Course unit/ module selection is available at certain times of the year and students will be notified when it is time to make their selections.
2. Students are required to select their course units/ modules for each session (an academic year) at the start of the session, or in early January for affiliate students starting in January.
3. Course unit/ module selection must be made by students and confirmed by the deadline specified by UCL:
  - i) Whole course units/ modules: end of October
  - ii) Half course units/ modules running in the first term: end of October
  - iii) Half course units/ modules running in the second/third term: end of January

4. The above deadlines are for the completion of this activity.
5. Students select and enrol on the agreed course units/ modules for their degree programme via Portico, UCL's student record database.

#### 4.7.5 Confirmation of Selection

1. All selections are provisional until they have been confirmed both by teaching and home Departments/Divisions, when these are not the same.
  - i) A 'teaching' department/division is the department/division that is responsible for the delivery of a course unit/ module to students and is responsible for the assessment of students enrolled on the course unit/ module.
  - ii) A 'home' department/division is the department/division responsible for the programme on which a student is registered.
  - iii) In many cases the teaching and home department/division are the same.
2. Confirmation of course unit/ module selection by both the teaching and home Departments/Divisions (when these are not the same) is the indication of UCL approval that the course units/ modules selected have met the requirements for an individual programme of study.
3. If approval is not given, students should seek academic advice from their Personal Tutor or other staff in the home department/division.

#### 4.7.6 Change of Course Unit/ Module Selection

1. An application for changes in course unit/ module selection requires UCL approval. Transfer between course units/ modules cannot be guaranteed.
2. There must be places available and the changes must be consistent with the student's programme of study.
3. The deadline for the transfer between course units/ modules is the end of October for course units/ modules starting in the first term and the end of January for course units/ modules starting in the second term.

##### **Further guidance**

1. Students who are in any doubt about the course units/ modules they have selected should discuss the matter with their Personal Tutor immediately and with their Departmental/Divisional Tutor when appropriate. Information on course unit/ module selection is recorded on Portico.
2. Unless stated to the contrary, it will be assumed that a change of course unit/ module selection will be effective from the start of the current session.
3. If there are changes after these deadlines the information should be sent by the home department to Assessment and Student Records as soon as possible.

#### 4.7.7 Deadlines for the Completion of Changes to Course Unit/ Module Selections

1. UCL approval for a student's programme of study has been conferred once the deadlines, set by UCL, for the completion of course unit/ module selection have passed.
2. This includes any changes to course unit/ module selection within the same department/division and Faculty or between two Departments/Divisions or Faculties.
3. The requirements of the relevant degree programme scheme of award must be satisfied at the time of transfer.
4. Any amendment to an individual programme of study thereafter requires special permission from UCL.

#### 4.7.8 Withdrawing from a Course Unit/Module after January

1. Students wishing to withdraw from a module after the end of January should seek advice from the Programme Organiser and/or Assessment and Student Records.
2. Students who absent themselves without prior approval from any assessment will be marked as being absent and deemed to have made an attempt. Therefore any further attempt will be determined as a re-sit examination.
3. Students should refer to Chapter 4: Assessment Framework for Taught Programmes for further information on withdrawal/deferral procedures.

### 4.8 Programme Transfers

#### 4.8.1 General

1. Applications for changes in degree programme require UCL approval. Transfer between degree programmes cannot be guaranteed.
2. The usual deadline for transfers between degree programmes is the end of October to be compatible with course unit/ module selection. Later transfers may be possible provided the programme diets are compatible or can be made compatible.
3. The online Programme Transfer Form on Portico should be completed for all applications to transfer degree programmes.
4. For further information see the Changes to your Registration Status web pages.

## 4.8.2 Inter-Faculty Degree Programme Transfers

1. For inter-Faculty transfers, the following criteria will apply and will be used by the Faculty Tutor when making a decision:
  - i) Students must have met the standard entrance requirements and must not have received a rejection to a previous application.
  - ii) A supportive reference, concentrating on attendance and engagement, should be provided by the Faculty or department/division at which the student is currently or was last based, commenting upon the student's attendance and engagement.
  - iii) A detailed comparison of the degree programme and the course units/modules taken showing the equivalence or otherwise in the accompanying case for the Recognition of Prior Learning.
  - iv) Confirmation that there is sufficient capacity within the gaining department/division in terms of student numbers.
  - v) Students should not assume a transfer will be approved and, until official approval is obtained, they will remain on the original degree programme.

### **Further guidance**

1. When considering a request to transfer to another programme academic staff should, in the first instance, identify the main driver for the request, i.e., was a poor decision made about the initial choice of degree or is the subject beyond the student's academic capability, etc.
2. Having identified the substantive reason for the request to transfer, academic staff should note that paragraphs i), iii) and iv) must be applied.
3. Paragraph i) is UCL's default position and the reference accompanying the request must include comment upon attendance and the level of engagement with their studies.
4. Any other information in support of the transfer may also be included in the reference (see paragraph ii) above).
5. Although students should not assume a transfer will be approved they should try to follow the requirements of the new programme whenever possible.

## 4.8.3 Intra-Faculty Degree Programme Transfers

1. For intra-Faculty transfers the above criteria should also apply and be considered by the Faculty Tutor/ Faculty Graduate Tutor. However, if a student does not satisfy one or more of the criteria, a case should be made to the Vice-Provost (Education and Student Affairs).

#### 4.8.4 Recognition of Prior Learning for Internal Programme Transfers

1. Some internal transfers between UCL programmes may require RPL where the programme structures are significantly different.
2. The regulations and criteria for the Recognition of Prior Learning, including the types of prior learning that might be considered by UCL, are defined in Chapter 2: Qualifications and Credit Framework.

##### **Transfers within a Department/Division**

3. RPL for transfers between programmes *within* a department/division typically requires no more than the notional adjustment of modules as core, optional or elective so that the programme diet is satisfied.
4. RPL for transfers between programmes within a department/ division should be approved at departmental/ divisional level with notification to the Faculty and Assessment and Student Records.

##### **Transfers between Departments/Divisions or Faculties**

5. RPL for transfers between programmes *in different* departments/divisions, especially between those in different Faculties, requires more careful consideration. The department/division for the new programme must analyse the application in detail to determine how the RPL maps onto the new programme. If satisfied that there is a case for RPL, the department/division should forward the application, with the supporting documentation, to the Faculty using the online form in Portico.
6. RPL for transfers between programmes within a Faculty should be approved at Faculty level with notification to the Vice-Provost (Education and Student Affairs) via Assessment and Student Records.
7. RPL for transfers between Faculties should be approved by the Faculty Tutor of the receiving Faculty, with notification to the Vice-Provost (Education and Student Affairs) via Assessment and Student Records.

##### **Changes to Programme Diet**

8. The modules for which RPL is granted, any variation in the student's diet, and the scheme of award should be clearly defined when the transfer takes place.
9. On undergraduate programmes, course units studied during the student's First Year and Second Year will receive weights 1 and 3, respectively, in the Harmonised Scheme of Award for the new programme. A student transferring with RPL must be able to follow the same diet in the final year as other students.

#### 4.8.5 MSci/ MEng Programme Transfers (including Transfer to BSc/BEng programmes)

1. The deadline to transfer from BEng/BSc programmes to MSci/ MEng programmes is the last day of term two in the third year of the BEng/BSc programme.
2. The deadline to transfer from MSci/ MEng programmes to BEng/BSc programmes is the last Friday in July.
3. Students and staff should consult the relevant Faculty Office(s) for the requirements for MSci/MEng programme transfers.

##### **Further guidance**

1. Where exceptional permission has been given for transfer to BEng or BSc, and when the deadlines have passed, the date of award will be 1<sup>st</sup> August of the following year.
2. Students who transfer to BEng/BSc programmes after the last Friday in July can only attend a graduation ceremony in the following year.

#### 4.8.6 Transfer to Equivalent Masters Level Programmes on Academic Grounds

1. Students should be awarded the qualification for which they are registered. However, there may be circumstances where a Masters degree or Postgraduate Diploma student does not wish to complete all the requirements for the award for which they are registered or they are unable to meet all the requirements prescribed for the award.
2. Students showing indications early in their registration that they are unlikely to be able to meet the academic requirements of the programme should be advised to:
  - i) Leave the programme as early as possible; or
  - ii) Transfer to the equivalent Postgraduate Diploma or Postgraduate Certificate programme (where such programmes exist).
3. Students on Masters programmes who fail the dissertation but satisfy the requirements prescribed in the scheme of award for the equivalent Postgraduate Diploma may:
  - i) Opt to be awarded a Postgraduate Diploma (where one exists) rather than re-submit the dissertation for the Masters degree; or
  - ii) Be awarded a Postgraduate Diploma following unsuccessful resubmission of a dissertation for the Masters degree.

4. Students who fail to satisfy the requirements for a Masters degree or Postgraduate Diploma but satisfy the requirements prescribed in the scheme of award for the equivalent Postgraduate Certificate may:
  - i) Opt to be awarded the Postgraduate Certificate rather than re-sit the failed/incomplete modules for the Masters degree or Postgraduate Diploma; or
  - ii) Be awarded the Postgraduate Certificate following unsuccessful re-sit for the Masters degree or Postgraduate Diploma.

#### 4.8.7 Change of Mode of Attendance

1. Chapter 2, Section 3.9: Modes of Attendance defines the modes of attendance for taught programmes.
2. Where a programme is offered by UCL in more than one mode of attendance, the following applies:
  - i) Students who are on a full-time mode of attendance who have failed but are paying for additional registration/teaching may have their mode of attendance amended as appropriate.
  - ii) Students who are repeating a year can also be changed to part-time.
  - iii) Students enrolled on a flexible mode of attendance can be given advice by programme organisers about the recommended period of time in which to complete their studies.
  - iv) Decisions relating to the mode(s) of attendance offered by programmes are at the discretion of the programme organiser with the agreement of the Head of Department and Faculty.

#### 4.8.8 Changes to Degree Programmes when the Deadline has Passed

1. When the deadlines for changes to student registration on a degree programme have passed, any changes including course unit/ module selection, withdrawal from course units/ modules, withdrawal from academic assessment or a change of registration on a degree programme requires Faculty and UCL approval.
2. Approval of changes to student registration on a degree programme cannot be guaranteed once the deadline for doing so has passed.

## 4.9 Extra-Mural Industrial Placement Year

### 4.9.1 Four-Year Extra-Mural Year Degree Programmes

1. Students registered on four-year Bachelors degree programmes where an extra-mural year is mandatory will have, as the third year of study, an extra-mural year on attachment to an organisation or institution approved by UCL as having a function relevant and suitable to their field of study.
2. Students should have completed and passed at least seven course units before embarking upon an extra-mural year.
3. The minimum period of attachment is one academic year (nine months). Students following an extra-mural year on attachment must submit a final report for assessment to their UCL supervisor no later than one week before the start of the final academic year. The extra-mural year shall be assigned a value of one course unit.

### 4.9.2 Five-Year MEng and MSci Extra-Mural Year Degree Programmes

1. Students registered on five-year MEng or MSci degree programmes where an extra-mural year is mandatory will have, as the fourth year, an extra-mural year on attachment to an organisation or institution approved by UCL as having a function relevant and suitable to the field of study.
2. MEng and MSci students must have completed at least twelve and passed eleven course units before embarking upon an extra-mural year.
3. Students following an extra-mural year on attachment must submit a final report on the extra-mural year which shall be assigned a value of one course unit.
4. The minimum period of attachment is one academic year (nine months). Students following an extra-mural year on attachment must submit a final report for examination to their UCL supervisor no later than one week before the start of the final academic year. The extra-mural year shall be assigned a value of one course unit.

#### **Further guidance**

1. An extra-mural year is an industrial 'sandwich' year on attachment to an organisation or institution approved by the department/division on behalf of UCL as having a function relevant and suitable to the student's field of study.
2. The plan of work for both mandatory and elective extra-mural years must be agreed by both the Departmental/Divisional Tutor and the Faculty Tutor and be supervised by the student's tutor. The final report will be graded by the student's tutor in consultation with the student's industrial supervisor.



3. Students must register the name and contact details of their Industrial Supervisor with the relevant Departmental/Divisional Tutor who oversees the process and keeps the records.

## 4.10 Study Abroad Programmes

### 4.10.1 Mandatory Year Abroad Programmes

1. Students registered on four-year Bachelors degree programmes where a study year abroad is mandatory will have, as the third year of study, a placement abroad on a programme of study approved by UCL.
2. The minimum period of a study year abroad is one academic year (nine months).
3. Arrangements for the assessment of mandatory year abroad programmes vary on a departmental/divisional basis.

### 4.10.2 Elective Year Abroad Programmes

1. Students registered on four-year Bachelors degree programmes may opt to spend a year abroad on a programme of study approved by UCL.
2. Students registered on a four-year programme will generally undertake the year abroad in their third year of study.

### 4.10.3 Short Elective Placements

1. Students registered on three-year Bachelors degree programmes opting for a placement abroad will generally be restricted to a three month study period typically undertaken during the first term of the third year.
2. The minimum period of a placement is three months.

#### **Further guidance**

1. Some Bachelors degree programmes in the Faculty of Arts and Humanities and in the Faculty of Social and Historical Sciences have a year abroad requirement.
2. Students registering on these degree programmes should be aware that the year abroad requirement together with any associated examination is integral to their programme of study and reference should therefore be made to the relevant degree programme regulations.
3. Students who are required to spend a **compulsory year abroad** as part of their programme of study at UCL will be automatically registered on the course unit 'Preparation for Study Abroad' and this will trigger the issue of their approval

form. This requirement is in addition to the mandatory four course units for that year.

4. Arrangements for the assessment of **elective year abroad** programmes vary on a departmental/divisional basis.
5. Students wishing to choose an optional placement abroad should consult their department/division before applying to the Study Abroad Office.
6. Students wishing to choose an optional placement abroad will be issued with an approval form when they return the initial application form to the Study Abroad Office. They are also required to register for a version of the zero-weighted course unit 'Preparation for Study Abroad' (STAO001B) by the January course registration deadline.
7. Students wishing to spend a year studying abroad are required to follow a preparation programme. Compliance with the preparation programme is monitored via the 'Pre-departure Approval Form', a document which will form a log of the preparation.
8. The deadline for the submission of a completed approval form is likely to be the first day of the third term in the year of study before the year abroad. However, students are advised to check the date of the deadline with the Study Abroad Office by the end of the first term because late submission leads to disqualification from studying abroad.
9. Further information is available from the UCL Study Abroad webpages.

#### 4.10.4 Exemption from Undertaking a Mandatory Study Year Abroad

1. In exceptional circumstances, as determined by UCL, students registering for a degree with a mandatory year abroad may be granted exemption from the year's study abroad and be permitted to follow the programme of study over three consecutive academic years.

##### **Further guidance**

1. The case for individual students seeking exemption should be made by the Departmental/Divisional Tutor to the Faculty Tutor in the first instance. If approved, the case should be submitted to the Vice-Provost (Education and Student Affairs) for consideration via Assessment and Student Records.
2. If exceptional circumstances are deemed by UCL to affect the student experience adversely, exemption from the year's study abroad may be granted and students may be permitted to follow the programme of study over three or four consecutive years, all years being spent at UCL.

## 4.11 Affiliate Student Registration

### 4.11.1 Definition of an Affiliate Student

1. Affiliate students are students registered at other Higher Education Institutions.
2. Affiliate students are subject to the regulations set out in the UCL Academic Manual and all other terms and conditions of enrolment.
3. Fully enrolled affiliate students have the same rights and entitlements as all UCL taught students.
4. Further information is available from the [Affiliate Study at UCL](#) web pages.
5. Further information and guidance for affiliate student applications is available from [Admissions in Student and Registry Services](#).

### 4.11.2 Affiliate Student Entry Criteria

1. The entry requirements for undergraduate and taught postgraduate affiliate students, including English Language Proficiency Requirements, can be found in Section 1.7.7: Affiliate Applicants (Students Registered at Other Higher Education Institutions).

### 4.11.3 Affiliate Student Period of Registration

1. Undergraduate affiliate students usually study on a full-time basis and can register to study for an academic year or, if appropriate, for the term or terms in which the course units they are undertaking are offered.
2. Taught postgraduate affiliate students usually study on a full-time basis, although they may register on a part-time basis if this mode of study is available for their programme.
3. Taught postgraduate affiliate students may have an enrolment period at UCL for one, two or three terms.

### 4.11.4 Affiliate Students and UCL Degrees

1. Affiliate Students do not qualify for a UCL Degree.

#### **Further guidance**

1. UCL academic credits and ECTS are awarded for the successful completion of assessed course units/ modules.
2. Certification of credits for affiliate students is managed by [Assessment and Student Records](#).

#### 4.11.5 Exemption from Dual Registration Regulations

1. Affiliate students are exempt from UCL's Dual Registration regulations (see Section 4.2).

#### 4.11.6 Structure of Undergraduate Affiliate Student Programmes

1. Undergraduate affiliate student programmes may have the following structures:

<b>Time Spent at UCL</b>	<b>Number of Course Units to be Selected</b>
Term 1 only	A minimum and maximum of two course units
Term 2 only	A minimum and maximum of two course units
Term 1 and 2	A minimum of two course units and maximum of four course units
Term 2 and 3	A minimum of two course units and maximum of four course units
Terms 1, 2 and 3	A minimum of two course units and maximum of four course units

#### 4.11.7 Structure of Taught Postgraduate Affiliate Student Programmes

1. Postgraduate affiliate student programmes may have the following structures:

<b>Time Spent at UCL</b>	<b>Generic Programme Diet Requirements</b>
Term 1 only	A minimum of 15 and a maximum of 60 credits
Terms 2 and 3	A minimum of 15 and a maximum of 60 credits
Terms 1, 2 and 3	A minimum of 15 and a maximum of 120 credits

#### 4.11.8 Affiliate Student Course Unit/ Module Selections

1. Affiliate students must select 50% of the required course units/ modules from their home department/division. The choice of all course units/ modules must be agreed by their home department/division.

### **Further guidance**

1. Affiliate students who have accepted an offer of a place at UCL should agree their course unit/ module selections with their UCL home department/division before proceeding with course unit/ module selection.
2. Affiliate students should also check whether their course unit/ module selection needs their home institution's approval.
3. Departments/Divisions must ensure that affiliate students are enrolled on the correct programme route code and that a diet has been generated to enable course unit/ module selection.
4. All affiliate programmes diets must be included in the annual process of academic review and confirmed as being correct and available for the next academic session if required.
5. Taught postgraduate affiliate students enrolling on course units/ modules from other Departments are subject to the UCL norms for the approval of course unit/ module selections by teaching and home Departments/Divisions.
6. All affiliate student programmes will be given generic diets, allowing students to select the requisite number of course units/ modules outlined in 4.11.6 and 4.11.7 above.
7. The home department/division of an affiliate student is responsible for ensuring that the course units/ modules selected include 50% from their department/division.
8. Affiliate students who undertake the same course unit/ module assessment as UCL students should be enrolled on the relevant course unit/ module and not an ancillary version.
9. Affiliate students, who have shared teaching but a different assessment pattern from UCL students enrolled on a course unit/ module, must be enrolled on an ancillary version of the relevant course unit/ module.
10. Departments/ Divisions should inform affiliate students when marks for academic assessment will be published if these are different from UCL norms.
11. Arrangements for re-assessment opportunities are managed by the affiliate student's department/division and should be conducted as closely as possible to the UCL norms for re-assessment.
12. Affiliate students should seek advice from their home institutions regarding their policy for the recognition of re-sit marks.

### **4.11.9 Affiliate Student Transcripts and Certificates**

1. Affiliate students will be entitled to receive a transcript of their assessment achievement produced by UCL.

2. Any other certification required i.e. certification of UCL course unit/ module credits/ECTS for affiliate students from the USA will be produced by the Student Centre.

# 5 Research Degree Registration

## 5.1 Dual Registration

1. A student is not permitted to be formally registered for one programme of study at UCL at the same time as being formally registered (or re-sitting examinations) for another programme of study at UCL or any other Higher Education Institution.

### **Further guidance**

1. Students can accept an offer of a place from UCL when they are still formally registered with another Higher Education Institution, or if they are re-sitting examinations. However, they may not formally register with UCL until they have completed their registration with another institution.

## 5.2 Application and Initial Registration

### 5.2.1 MPhil/ PhD Initial Registration

1. An applicant for a PhD degree will be registered initially for the MPhil degree.

### **Further guidance**

1. All successful applicants, with the exception of the EngD and other specialist doctorate programmes, are initially registered for an MPhil degree, except where the applicant is exceptionally well qualified and UCL has given special permission for initial registration for the PhD degree.
2. Every student must complete enrolment as instructed within two weeks of the start of their research programme and must undertake to comply with the conditions of enrolment.
3. An applicant for registration is required to produce for inspection by UCL the original documentary evidence of their qualifications either before or at registration — i.e. the original diploma or certificate of the awarding body. An applicant for the MD (Res) degree will be registered at UCL in the names under which he/she has been registered with the GMC.

### 5.2.2 Proof of Identity

1. All students are required to present an accepted form of identification for verification before they can be enrolled. In the absence of this verification, enrolment cannot occur.

### 5.2.3 UK/EU/EEA-Based Students

1. UK/EU/EEA Based Students are required to present an accepted form of identification for verification before they can be enrolled. In the absence of this verification, enrolment will not be confirmed.

#### **Further guidance**

1. UCL's preferred form of identification is a valid passport. However, in the absence of a valid passport, the following will be accepted forms of identification for students who do not require a visa to study in the UK:
  - a) A UK photo driving licence, a European National Identity Card or Armed Forces Identity Card; or
  - b) An original birth certificate, adoption certificate or certificate of naturalisation.
2. No other forms of identification are acceptable.
3. If the family name or other personal details are different from those on the document provided, proof of the reason for any differences will be required at enrolment. This should be in the form of a marriage certificate/civil partnership certificate, divorce document, deed poll, adoption certificate or statutory declaration.

### 5.2.4 Students Who Require a Visa to Study in the UK

1. Under UK immigration requirements, presentation of a valid passport is a mandatory requirement for students who require a visa to study in the UK, and no other forms of identification will suffice. Enrolment will not take place without presentation of a valid passport and visa.
2. For further details on UK immigration requirements see the UCL [Immigration and Visa Information](#) webpages.

## 5.3 Exemption from Part of a Programme of Study

1. UCL may exempt from part of the programme of study of the MPhil/PhD degree, research degree students who have commenced a programme of study for the MPhil or PhD degree (or equivalent degree) of another university in the United Kingdom, provided that the programme of study followed at UCL is not less than one calendar year, or its equivalent in part-time study.

#### **Further guidance**

1. Applications for exemption should be made at the point of admission and are considered on a case-by-case basis.



2. The regulations and criteria for the Recognition of Prior Learning, including the types of prior learning that might be considered by UCL, are defined in the UCL Academic Manual, Chapter 2: Qualifications and Credit Framework.
3. Back-dated registration is not usually permitted by UCL. In exceptional circumstances however, requests for back-dating registration may be considered by the Chair of the Research Degrees Committee via the Student Centre subject to the following conditions:
  - i) The statement from the supervisor and/or the Head of Department gives strong academic reasons for the request and confirms in writing that the student has been undertaking relevant research since this date.
  - ii) There is evidence that the student has been fully supervised.
  - iii) There is a good reason provided explaining why the student was not formally registered from the requested start date.
4. If the back-dating is granted, regardless of the time period requested, the student should be aware that he or she is liable for tuition fees from the date of retrospective registration and that the date for submission of the thesis will be calculated from this date.

## 5.4 Course of Study: General

1. All research degree students are required to pursue a course of study prescribed by UCL.
2. A programme of study for the degree of MPhil, PhD or MD(Res) may require attendance at lectures and coursework as prescribed by UCL. A candidate's registration on a UCL programme will be dependent upon their continued satisfactory progress as determined by UCL.
3. All research students are required to use the Online Research Student Log.
4. For more information about the Research Student Log and other requirements see the Code of Practice for Graduate Research Degrees.

## 5.5 Attendance Requirements

1. A programme must be pursued continuously except by special permission of UCL. Students must be in a position to meet all the requirements determined for their studies.
  - i) With the exception of non-resident MPhil/PhD programmes (see Section 5.11) students, whether full-time or part-time, are expected to centre their academic studies on UCL. Students should ensure they are able to attend UCL in person for teaching and meetings as required by their supervisors.

- ii) Students must obtain approval before they leave to collect or study material remote from UCL or work in remote facilities.

## 5.6 Length of Programme

1. The lengths of UCL research degree programmes are as follows:
  - i) The length of an MPhil/PhD programme is normally three years' full time and five years' part time.
  - ii) The length of the MD(Res) is normally two calendar years of full-time or part-time study.
2. Students may not interrupt their period of registration without prior permission from UCL.
3. Unless prior exemption from a part of the programme has been agreed, a student must be registered for at least two calendar years full time, or three calendar years part time, before he/she will be allowed to submit her/his thesis for examination for the PhD or the MPhil degree.
4. A student must be registered for at least two calendar years before he/she will be allowed to submit her/his thesis for examination for the MD(Res) degree.
5. In the case of registration for the PhD and the MPhil degree, unless prior exemption from a part of the programme has been agreed, students must be registered for at least three calendar years full time, or five calendar years part time, before they will be eligible to adopt Completing Research Status (see Section 5.13).
6. In the case of registration for the MD(Res) degree, students must be registered for at least two calendar years before they will be eligible to adopt Completing Research Status (see Section 5.13).

### **Further guidance**

1. Requests to submit a thesis earlier than the minimum periods of registration specified in the regulation above may be considered by the Chair of the Research Degrees Committee. Requests should be made in writing via the Student Centre and should include a statement of support from the supervisor and/or Head of Department. The Research Degrees Committee will monitor the outcome of such requests by scrutiny of examiners' reports on the candidates' theses. Students and staff should note that early submission of a thesis will not be considered as an extenuating circumstance when deciding the outcome of the examination of a thesis.
2. Students who submit early would be liable for tuition fees up to the date of the submission of the thesis but would not be liable for tuition fees thereafter.

## 5.7 Interruption of Study

1. Interruption of study may be granted on the authorisation of the Director of Student Administration, on behalf of the Research Degrees Committee, provided that a statement of support from the Principal Supervisor and/or Head of Department/Division is received. If approved, the period of interruption of study granted will be initially not more than one calendar year and any further period of interruption of study will be considered one year at a time. UCL may, at its discretion, grant an interruption of study to a student on grounds of illness or other adequate reasons. The need to take up or pursue employment during the programme will not normally be considered grounds for interruption of studies.
2. Interruption of study for a period in excess of two calendar years may be granted by the Chair of the Research Degrees Committee subject to the following conditions:
  - i) The period requested will be considered on an annual basis and will not exceed five calendar years from the date when the period of interruption starts;
  - ii) The date when the submission of the thesis falls due following resumption of study falls within ten years of the date of original registration;
  - iii) Written assurances that the research will still be valid are provided by the supervisor and/or the Head of Department, with supporting documentation.
3. The [Changes to your Registration](#) pages of the Current Students website provide further detail on the Interruption of Study Procedure.

## 5.8 Upgrade from MPhil to PhD

1. Upgrade from MPhil to PhD registration may be made not less than nine months after initial registration for the MPhil degree for full-time students, and not less than fifteen months after initial registration for the MPhil degree for part-time students. In the case of a student who has been granted an exemption of part of the programme of study, upgrade from MPhil degree to PhD registration may be made not less than eight months, or its part-time equivalent, after initial registration for the MPhil degree.
2. A student who fails to achieve upgrade to PhD status may, if all other conditions are met, enter for the MPhil examination.
3. Detailed information on the upgrade process can be found in the [Upgrade Guidelines](#).

## 5.9 Transfer from PhD to MPhil

1. A student who has been upgraded from MPhil to PhD status may, with the permission of UCL, transfer back to MPhil status and enter for the MPhil examination provided he or she has not entered for the examination of a PhD.
2. The transferred registration may be dated from the date of original registration for the MPhil/PhD degree.

## 5.10 Transfer Between MPhil/PhD and MD(Res)

1. A student may, with the permission of UCL, transfer from the MD(Res) degree to the MPhil/PhD degree, provided they have not entered for the examination of an MD(Res) degree; or from the MPhil/PhD degree to the MD(Res) degree provided they have not entered for the examination of an MPhil or PhD degree.
2. Students wishing to transfer from an MPhil/PhD to an MD(Res) degree, or vice versa, should contact the Student Centre.

## 5.11 Non-Resident PhD: Registration and Attendance

1. Students registered on a non-resident MPhil/PhD programme shall attend UCL on at least one occasion. This must be the meeting at which their upgrade to PhD is decided.
2. In addition a student registered on a non-resident MPhil/PhD programme shall meet his or her supervisor(s) in person on at least two other occasions, one at the beginning and one at the end of the programme, but not necessarily in the UK.
3. Students and supervisors are required to be in regular communication during the whole period of the programme by, for example, telephone, email, Skype etc.
4. Students on the non-resident MPhil/PhD programme are required to use the Online Research Student Log.

### **Further guidance**

1. Admission procedures for the non-resident MPhil/PhD programme do not differ from that of other research students who require special permission from UCL before starting their registration. A department/division wishing to make an offer to an applicant for a specially-approved non-resident MPhil/PhD programme is required to submit a statement of the case for acceptance, via Admissions in Student and Registry Services, to the Chair of the Research Degrees Committee [RDC]. The statement must include evidence that the overseas institution where the applicant intends to undertake research is of international

standing and able to provide adequate facilities for the research. It must also include details of the arrangements for the supervision of the student at the overseas institution.

2. The department/division must also provide the Chair of the RDC with a statement showing that adequate arrangements for communication between the department and the student are in place and that these arrangements comply with UCL requirements for frequency of contact between supervisor and student as set out in the Code of Practice for Graduate Research Degrees. The use of the Online Research Student Log is an essential part of these requirements. Such statements should be submitted in writing to the Chair of RDC via Admissions in Student and Registry Services.
3. In cases where an approved research programme has been set up with a specific institution or institutions which have formal collaborative agreements with UCL, approval of individual applications, as described above, will not need to be submitted for approval by the Chair of the RDC.
4. Students on a non-resident MPhil/PhD programme will be registered as full-time students by UCL if they are carrying out their research on a full-time basis in their countries of residence. Otherwise, they will be registered as part-time students by UCL. A special fee rate applies to the non-resident MPhil/PhD programme.

## 5.12 Visiting Research Students: Registration

1. Visiting Research Students may register for between 3 and 12 months at UCL to undertake research which is complementary to the Doctoral/PhD project they are undertaking at the university in which they are enrolled. Applications for longer periods of registration can be considered, but require special permission from UCL before students start their registration. A department/division wishing to make an offer to an applicant for a period in excess of 12 months is required to submit a statement of the case for acceptance, via Assessment and Student Records, to the Chair of the Research Degrees Committee [RDC].
2. Requests for extensions to the agreed registration period can be considered but require the support of both the UCL host department and the student's home institution. Departments seeking an extension to a student's Visiting Research Student status should contact Assessment and Student Records confirming their support and including a statement of support from the home institution.

### **Arrangements for Supervision**

1. Each Visiting Research Student will work under the guidance of a suitably qualified and approved UCL research supervisor during their time at UCL (see Section 5.14 for Supervisor Eligibility Criteria) and the supervisor must be recorded against their Portico record in the normal way. Visiting Research Students are not required to have both a Principal and Subsidiary Supervisor as

is the case for UCL students; they typically have one supervisor allocated to oversee their work.

2. Visiting Research Students are not required to use the Online Research Student Log.
3. Further information for UCL supervisors is available in the [Guidelines for Supervising Visiting Research Students](#).

## 5.13 Completing Research Status

### 5.13.1 General

1. All research students who have completed their approved period of registration may register as CRS students while they write up their theses. Transfer to CRS status is only permitted with the approval of a student's supervisor or other departmental authority.
2. CRS is permitted for a maximum period of one calendar year (full time) or two calendar years (part time). CRS registration cannot be interrupted; a student who is prevented from submitting a thesis for reasons beyond his or her control may apply for an extension, as detailed in 5.13.4 below.
3. An MPhil/PhD student must be registered for at least three calendar years full time or five calendar years part time before he or she will be eligible to take up CRS status. EngD students must be registered for four calendar years and MD(Res) students for a minimum of two calendar years before being eligible to take up CRS status. A student who changes from full to part time during the approved period of registration must have been registered for a minimum of one year part time before being entitled to two years of part-time CRS status.
4. In addition to completing the approved period of registration, a student must meet the following conditions before being permitted to take up CRS status:
  - a) Have upgraded to PhD status (in the case of the MPhil/PhD programme) or confirmed entry to MPhil only;
  - b) Be in a position to submit his or her thesis within 12 months (for full-time students) and 24 months (for part-time students);
  - c) Have met any other departmental or divisional conditions.
5. MPhil candidates may also take up CRS under the same conditions as PhD candidates but will be required to confirm that they have not upgraded to PhD.
6. Further guidance is available from the [Completing Research Status](#) webpages.

## 5.13.2 CRS Student Entitlements

1. During the period of CRS registration, a student is entitled to have one draft of all or any part of his or her thesis read and commented on by his or her Principal Supervisor and/or Subsidiary Supervisor before submission.

### **Further guidance**

1. Once enrolled, CRS students will continue to be able to use, or will be reissued with, a UCL identity card and be entitled to the use of all the general UCL facilities and services.
2. A CRS student in laboratory-based research may be admitted to a laboratory and be given use of UCL equipment where such admission and use will materially enhance the quality of the thesis or will expedite its completion. Such admission and use shall, however, be on the condition that this does not significantly interfere with the use of the laboratory or equipment in question by other students or staff of UCL or incur additional expense. The student's Principal Supervisor, with the approval of the Head of Department/Division, shall be responsible for making any arrangements necessary to comply with this condition. In the event that a CRS student is refused admission or use, they shall have the right of appeal to the Faculty Graduate Tutor who shall consult the student's supervisor and Head of Department/Division.
3. The student's department/division may, at its discretion, give any other supervisory assistance during the writing up period. CRS students will be expected to comply with all the duties and responsibilities of any other research student as set out in the Code of Practice for Graduate Research Degrees.

## 5.13.3 Submission of Thesis

1. A student must submit a thesis for examination before the end of his or her CRS period. A student will remain registered after the submission of his or her thesis until the award of the degree. He or she will be entitled to a UCL student identity card and will be able to use all the general UCL facilities and services while preparing for an oral examination or making minor revisions to a thesis.

## 5.13.4 Extensions to the Completing Research Period

1. A student who cannot submit a thesis for examination before the end of CRS due to circumstances outside his or her control may apply for an extension. The maximum period of extension is one year full time and two years part time.

### **Further guidance**

1. Applications for extension to CRS must be made on the application form available from the Extension to Completing Research Status (CRS) webpages. Applications must be supported by a student's department and may be made on the grounds of illness of student or close relative, maternity leave, bereavement,

responsibilities as a primary carer or academic circumstances out of the control of the student. Work commitments or any duties carried out for a department are not considered grounds for extension; submission of a thesis is expected to be a priority. Applications on the grounds of the illness or termination of employment of the Principal Supervisor may be considered but departments are expected to make arrangements for alternative supervision under such circumstances.

### 5.13.5 Submission of a Thesis after the end of CRS

1. A student who submits late will be liable for a late submission penalty fee.
2. A student who does not submit a thesis before the end of his or her CRS registration will cease to be registered as a student at the end of this CRS period. He or she will not be entitled to access to UCL facilities and services and will not be entitled to supervisory advice. In addition, any student who wishes to submit after the end of his or her CRS registration will require permission to do so; this must be supported by a student's supervisor or other departmental authority. If granted, the student will be permitted to submit but will not be re-registered unless his or her department require this.

#### **Further guidance**

1. All students who submit after the end of their CRS registration will pay a penalty fee equivalent to the part-time home fee current at the time (see [Submission Extension Fees for Research Students](#)). This fee will come into effect the day after the end of their CRS registration and will increment after three months, six months and nine months. For late submission at any time over nine months after the end of CRS, the fee will be equivalent to 12 months home part-time fees current in the year of submission.

### 5.13.6 Resubmission of a Thesis

1. A student whose thesis is referred by his or her examiners for substantial revision within 18 months will remain registered as a submitted student on the basis of 6.13.3 above, provided the original submission was not after the expiry of a period of CRS status. He or she will have access to UCL facilities and will be entitled to have one draft of his or her thesis read and commented on by his or her Principal Supervisor and/or Subsidiary Supervisor before re-submission. If a student's revisions require more supervision or further access to UCL laboratories or other facilities, he or she may be required to re-register as a fee-paying student for the period of this supervision or access.
2. A student who is required to re-submit must re-enter for the examination by completing the Examination Entry Form available from the [Research Degrees Examination Entry webpages](#) and will be required to pay a re-submission fee.



## 5.14 Supervisory Arrangements

### 5.14.1 Supervisors: General

1. Each UCL student registered for the MPhil, PhD, EngD, MD(Res) or MRes degree shall have appointed one Principal and one Subsidiary Supervisor, who shall be members of staff of UCL or members of staff of an institution with an approved agreement with UCL. All supervisors must be approved by their Faculty Graduate Tutor before they undertake supervision of research students.

#### **Further guidance**

1. Principal and Subsidiary Supervisors shall be appointed by the appropriate departmental/divisional Postgraduate Committee, or its equivalent body.
2. Honorary members of staff may be appointed as either Principal or Subsidiary Supervisors. However, approval must be obtained from the appropriate Faculty Graduate Tutor on behalf of the Research Degrees Committee. The appointment of an honorary member of staff as a Principal or Subsidiary Supervisor will be subject to consideration of adequate research activity, including publications and grant income. Honorary members of staff appointed as Principal or Subsidiary Supervisors are also governed by eligibility requirements set out in Section 5.14.2 below.
3. Retired members of staff shall not normally be appointed as supervisors except by the specific agreement of the Research Degrees Committee. In instances where a member of staff serving as Principal Supervisor retires, continued supervision by the staff member is only permissible if explicitly agreed by all parties (the student, the supervisor and department), and this decision is recorded by the department. In addition, the following arrangements must also be put in place and reviewed annually by all parties to confirm they are working effectively:
  - i) The existing Subsidiary Supervisor shall be appointed as joint Principal Supervisor with the retired member of staff;
  - ii) A third supervisor shall be appointed to the supervisory team as Subsidiary Supervisor.
4. Supervisors can be appointed from institutions with an approved agreement with UCL, e.g. Cancer Research UK (CRUK). Such supervisors must have the status of honorary members of UCL staff. In all circumstances UCL has an expectation that these supervisors will undertake their role in accordance with the Doctoral School's Code of Practice for Graduate Research Degrees and within the framework of UCL's regulations for Research Degrees in the UCL Academic Manual.
5. For more information on the role of the supervisor see the Code of Practice for Graduate Research Degrees.

## 5.14.2 Supervisors: Eligibility

1. The list of UCL staff categories eligible to act as Principal and/or Subsidiary Supervisors can be found on the [Human Resources website](#).
2. UCL determines the eligibility of staff in these categories to supervise research degree students using the following criteria:
3. A Principal Supervisor should normally:
  - i) have satisfactorily completed any probationary period attached to his/her appointment;
  - ii) have expertise in the area of the proposed research;
  - iii) have had previous experience of at least one successful PhD, EngD, MD(Res) or MRes supervision, as appropriate, within a supervisory team (defined as having taken a student all the way through to a research degree award)
4. A Subsidiary Supervisor should normally:
  - i) have expertise relevant to the area of proposed research;
  - ii) be familiar with the standards required for MPhil/PhD/EngD/MD(Res)/MRes research.
5. In the case of EngD programmes, the Industrial Supervisor must also satisfy the requirements laid down above for the Subsidiary Supervisor.
6. A probationary member of academic staff may be appointed as Principal Supervisor if supervision is undertaken within the context of an experienced supervisory team comprising at least one demonstrably active researcher with experience of at least two successful supervisions.
7. A Research Associate may be invited to act as a Subsidiary Supervisor but must, in addition to the requirements specified for Subsidiary Supervisors:
  - i) have a research contract lasting at least three years from the time the supervised student commences his/her programme of study;
  - ii) be able to provide evidence of good quality publications for which they have had a substantial degree of responsibility.

### **Further guidance**

1. Principal Supervisors who are probationary members of staff must also have participated in an appropriate UCL supervisor's workshop.
2. Supervisors who have completed a probationary period but have not previously supervised a research student should also meet the requirements outlined above. New senior members of academic staff with experience of MPhil/PhD/EngD/MD(Res)/MRes supervision at other institutions are expected to attend an appropriate UCL supervisor's workshop.

### 5.14.3 Number of Students per Supervisor

1. A supervisor, whether Principal or Subsidiary, may supervise up to the equivalent of six full-time research students at any one time.

#### Further guidance

1. The maximum number of students [head count], whether full- or part-time, that may be supervised by an individual as either Principal or Subsidiary Supervisor will be nine, using the following formula:

<b>For Principal Supervisors</b>	
1 Part-Time student	0.5

<b>For Subsidiary Supervisors</b>	
1 Full-Time student	0.5
1 Part-Time student	0.25

2. Where a supervisor exceeds the maximum number of students under his/her supervision, the supervisor's department must be able to demonstrate that there are mechanisms in place to ensure adequate contact with the student and appropriate support for the supervisor, such as a large supervisory team and/or a reduction in other workloads.
3. For example, an individual may act as Principal Supervisor to four full-time students and one part-time student while acting as Subsidiary Supervisor for two part-time students. This is the equivalent of five full-time students and is within the head count of nine students. Consideration should be given to the other duties of the member of staff concerned. Departments/divisions may wish to recommend an upper limit on the number of students supervised by a single member of staff that is lower than that set out above.
4. Part-time staff appointed as supervisors should supervise no more than six full-time research students on a pro-rata basis.

### 5.14.4 Declaration of Personal Interest

1. All members of staff are required to declare any personal relationships with any student they are asked to supervise, or are already supervising.

#### Further guidance

1. A supervisor who declares such a personal relationship prior to appointment as supervisor for the student in question shall not be permitted to undertake supervision of that student, whether as Principal or Subsidiary Supervisor.

2. A supervisor who declares such a relationship after having been appointed as Principal Supervisor for the student in question (unless the declaration is made within six months of appointment, in which case the supervisor shall not be permitted to continue in any supervisory capacity) shall no longer continue as Principal Supervisor but may continue to advise the student in an informal capacity.
3. The role of Principal Supervisor (including responsibility for all decisions affecting the student's progress and assessment) shall in such instances pass to the Subsidiary Supervisor or the other supervisor nominated by the department. A supervisor who declares such a relationship after having been appointed as Subsidiary Supervisor for the student in question, subject to the permission of the Departmental Graduate Teaching Committee, may continue as Subsidiary Supervisor, but shall not be responsible for, or be involved in, any decisions affecting the student's progress and/or assessment.

#### 5.14.5 Transfer of Supervisor to Another Institution

1. Where a Principal Supervisor transfers to another institution, students assigned to that supervisor shall be assigned to another Principal Supervisor – if they choose to remain registered at UCL – normally by the Departmental/Divisional Graduate Tutor. Should a student wish to continue to work under the supervisor who has transferred, he or she may consider applying to transfer registration to the supervisor's new institution, providing he or she is not in the final year of the programme.

# 6 Professional Doctorate Registration

## 6.1 Application and Initial Registration

1. An applicant will be registered initially at the level of degree specified by the professional doctorate programme.
  - i) Applicants should consult relevant literature provided by individual programmes for information about application procedures.
  - ii) An applicant for registration is required to produce for inspection by UCL the original documentary evidence of their qualifications either before or at registration i.e. the original diploma or certificate of the awarding body.

## 6.2 Course of Study – General

1. All students undertaking professional doctorates are required to pursue a course of study prescribed by UCL.
2. Programmes of study will require the completion of a specified number of taught components and (where applicable) practicum assignments, in addition to a research thesis, and may require attendance at lectures.
3. A student's registration on a programme will be dependent upon their continued satisfactory progress as determined by UCL.

### **Further guidance**

1. Students should refer to individual programme regulations for details of course of study and the requirements for progression between each year of the programme.
2. Where an appropriate Masters level exit award is specified in individual programme regulations, a student who has passed the taught (and where applicable) practicum elements in any academic year, but is deemed unable to progress to the subsequent year, may be eligible for the award of the Masters qualification. This could apply both to students who have not met the criteria for progression, and to those who have met the progression criteria but who are unable to continue for financial or any other reasons.
3. It will be the responsibility of the Board of Examiners to decide on eligibility for the award of the Masters qualification.

## 6.3 Attendance Requirements

1. A programme must be pursued continuously except by special permission of UCL.
2. Students must be in a position to meet all the requirements determined for their studies.

### **Further guidance**

1. Students, whether full-time or part-time, are expected to centre their academic studies on UCL.
2. Students should reside within a distance that enables them to attend personally for studies and meetings as required by their supervisors.
3. Students must obtain approval before they leave to collect or study material remote from UCL or work in remote facilities.

## 6.4 Duration of a Programme of Study

1. The length of full-time professional doctorate programmes is normally three years' full time.
2. Students may not interrupt their period of registration without prior permission from UCL.
3. Unless prior exemption from a part of the programme has been agreed, students must be registered for the duration of the programme before they will be eligible to adopt Completing Research Status (see Section 6.12).

### **Further guidance**

1. Students should refer to individual programme regulations for details of the duration of study and of any arrangements for part-time study.
2. The minimum registration period for Professional Research Doctorates or Continuing Professional Development (CPD) Doctorates for holders of Masters professional qualifications in the same area of professional practice is two years full time or four years part time.

## 6.5 Interruption of Study

1. Interruption of Study may be granted by the UCL Director of Student Administration, provided that a statement of support from the Principal Supervisor and/or Head of Department/Division is received. If approved, the period of interruption of study granted will be initially not more than one calendar

year and any further period of interruption of study will be considered one year at a time.

2. UCL may, at its discretion, grant an interruption of study to a student on grounds of illness or other adequate reasons. The need to take up or pursue employment during the programme will not be considered grounds for interruption of studies. Students and staff should refer to the [Information on Interruption of Study](#) for further guidance.
3. Interruption of Study for a period in excess of two calendar years may be granted by the Chair of the Research Degrees Committee subject to the following conditions:
  - The period requested will be considered on an annual basis and will not exceed five calendar years from the date when the period of interruption starts.
  - The date when the submission of the thesis is due following resumption of study falls within ten years of the date of original registration.
  - Written assurances that the research will still be valid are provided by the supervisor and/or the Head of Department, with supporting documentation.
4. The [Changes to your Registration](#) pages of the Current Students website provide further detail on the Interruption of Study Procedure.

## 6.6 Change of Degree Programme

1. For professional doctorate students, transfers between degree programmes are not normally permitted, except where procedures for transfer are explicitly described in individual programme regulations.

## 6.7 Proof of Identity

1. All students are required to present an accepted form of identification for verification before they can be enrolled. In the absence of this verification, enrolment cannot occur.

## 6.8 UK/EU/EEA-Based Students

1. UK/EU/EEA Based Students are required to present an accepted form of identification for verification before they can be enrolled. In the absence of this verification, enrolment will not be confirmed.

### Further guidance

1. UCL's preferred form of identification is a valid passport. However, in the absence of a valid passport, the following will be accepted forms of identification for students who do not require a visa to study in the UK:
  - a) A UK photo driving licence, a European National Identity Card or Armed Forces Identity Card; or
  - b) An original birth certificate, adoption certificate or certificate of naturalisation.
2. No other forms of identification are acceptable.
3. If the family name or other personal details are different from those on the document provided, proof of the reason for any differences will be required at enrolment. This should be in the form of a marriage certificate/civil partnership certificate, divorce document, deed poll, adoption certificate or statutory declaration.

## 6.9 Students Who Require a Visa to Study in the UK

1. Under UK immigration requirements, presentation of a valid passport is a mandatory requirement for students who require a visa to study in the UK, and no other forms of identification will suffice. Enrolment will not take place without presentation of a valid passport and visa.
2. For further details on UK immigration requirements see the UCL [Immigration and Visa Information](#) webpages.

## 6.10 Dual Registration

1. Students are not permitted to be formally registered for one programme of study at UCL at the same time as being formally registered (or re-sitting examinations) for another programme of study at UCL or any other Higher Education Institution.



## 6.11 Structure of a Professional Doctorate

1. The structure of a professional doctorate will normally contain the following programme components:
  - A taught component
  - A research component
  - Practicum assignments and assessments
2. Each element of the programme will be assessed separately and the student will be expected to build a satisfactory portfolio of passed assessments which will be examined both during the programme and at its conclusion.
3. In order to be awarded a professional doctorate, students must demonstrate satisfactory attendance and performance in each component.

### **Further guidance**

1. Satisfactory performance in each component of the professional doctorate is described in the regulations provided by each department/division which specifies the minimum requirements to qualify for the award associated with each programme of study.
2. In all cases assessment will include a thesis describing an original piece of research completed to doctoral standards.
3. Individual programmes will specify the range of further assessments which may include unseen examinations, observed performance in practicum assignments and coursework related to the assessment of the practicum.
4. Oral examinations will consider the student portfolio, including the outcomes of practicum assignments and assessments and related coursework, and the research dissertation.

## 6.12 Completing Research Status

### 6.12.1 General

1. Where permitted by individual programmes all students who have completed their approved period of registration may register as CRS students while they write up their theses or complete outstanding practicum requirements. Transfer to CRS status is only permitted with the approval of the programme or appropriate departmental authority.
2. CRS is permitted for a maximum period of one calendar year (full-time) or two calendar years (part-time). CRS registration cannot be interrupted; a student who is prevented from completing the programme for reasons beyond his or her control may apply for an extension, as detailed in Section 6.12.3 below.

3. A student must be registered for the full duration of the programme of study before he or she will be eligible to take up CRS status. A student who changes from full- to part-time during the approved period of registration must have been registered for a minimum of one year part time before being entitled to two years of part-time CRS status.
4. In addition to completing their approved programme of study, students must meet the following conditions before they will be allowed Completing Research Status:
  - a) They are in a position to submit their thesis and/or outstanding assignments within 12 months (full-time students) or 24 months (part-time students);
  - b) They have met any other conditions set by the programme, Department or Division.
5. Completing research status is permitted for the following programmes:
  - i) DClinPsy Clinical Psychology
  - ii) DEdPsy Educational Psychology
  - iii) DPsychotherapy Child and Adolescent Psychoanalytic Psychotherapy
6. Completing research status is not permitted for the following programmes:
  - i) DDent Paediatric Dentistry
  - ii) DEdPsy Educational and Child Psychology
  - iii) Doctorate in Orthopaedics Trauma and Orthopaedics
7. Further guidance is available from the [Completing Research Status](#) webpages.

## 6.12.2 CRS Student Entitlements

1. During the period of CRS students are entitled to have one draft of all or any part of his/her thesis read and commented upon by his/her Principal Supervisor and/or Subsidiary Supervisor before submission, with a similar level of oversight in relation to the practicum assignment.
  - i) CRS status for students undertaking professional doctorates refers both to completion of research and outstanding practicum assignments.
  - ii) Once enrolled, CRS students will continue to be able to use, or will be reissued with, a UCL identity card and be entitled to the use of all the general UCL facilities and services.
  - iii) CRS students in laboratory-based research may be admitted to a laboratory and be given use of UCL equipment where such admission and use will materially enhance the quality of the thesis or will expedite its completion. Such admission and use shall, however, be on the condition that this does not significantly interfere with the use of the laboratory or equipment in question by other students or staff of UCL or incur additional expense. The student's Principal Supervisor, with the approval of the Head

of Department/Division, shall be responsible for making any arrangements necessary to comply with this condition. In the event that a Completing Research Student is refused admission or use, they shall have the right of appeal to the Faculty Graduate Tutor who shall consult the student's supervisor and Head of Department/Division.

- iv) The student's department/division may, at its discretion, give any other supervisory assistance during the completion period. CRS students will be expected to comply with all the duties and responsibilities of any other research student as set out in the Code of Practice for Graduate Research Degrees.

### 6.12.3 Submission of Thesis and/or Evidence of Completion of Outstanding Practicum Assignments

1. Students must submit their thesis and/or submit documentation evidencing completion of practicum assignments for examination before the end of his/her CRS period.
2. Students will remain registered after the submission of his or her thesis and/or documentation evidencing completion of practicum assignments until the award of the degree. He or she will be entitled to a UCL student identity card and will be able to use all the general UCL facilities and services while preparing for an oral examination or making minor revisions to a thesis.

### 6.12.4 Extensions to the Completing Research Period

1. Students who cannot submit a thesis for examination and/or complete outstanding practicum assignments before the end of CRS, due to circumstances outside the student's control, may apply for an extension. The maximum period of extension is one year full time and two years part time.
  - i) Applications must be supported by a student's department/division and may be made on the grounds of illness of student or close relative, maternity leave, bereavement, responsibilities as a primary carer or academic circumstances out of the student's control.
  - ii) Work commitments or any duties carried out for a department/division are not considered grounds for extension; submission of a thesis is expected to be a priority.
  - iii) Applications on the grounds of the illness or termination of employment of the Principal Supervisor may be considered but departments/divisions are expected to make arrangements for alternative supervision under such circumstances.
  - iv) The Application for Extensions to CRS Form is available on the UCL Changing Registration Status webpages.

## 6.12.5 Submission of Thesis and/or Documentation Relating to Outstanding Assignments after the End of CRS

1. Students who submit after the end of their CRS registration will require permission to do so. This must be supported by a student's supervisor or other departmental/divisional authority. If granted, the student will be permitted to submit but will not be re-registered unless his or her department/division require this.
2. Students who submit the thesis and/or documentation relating to outstanding assignments after the end of their CRS period will be liable for a late penalty fee (see [Submission Extension Fees for Research Students](#)).
3. Students who do not submit before the end of their CRS registration will cease to be registered as a student at the end of this CRS period. They will not be entitled to access to UCL facilities and services and will not be entitled to supervisory advice.

### **Further guidance**

1. Students who submit after the end of their CRS registration will pay a penalty fee equivalent to the part-time home fee current at the time.
2. This fee will come into effect the day after the end of their CRS registration and will increment after three months, six months and nine months.
3. For late submission at any time over nine months after the end of CRS, the fee will be equivalent to 12 months home part-time fees current in the year of submission (see [Submission Extension Fees for Research Students](#)).

## 6.12.6 Resubmission of a Thesis

1. Students whose thesis is referred by their examiners for substantial revision within 12 months will remain registered as a submitted student on the basis of 6.12.3 above, provided the original submission was not after the expiry of a period of CRS status.
2. Under these circumstances students will have access to UCL facilities and will be entitled to have one draft of their thesis read and commented on by their Principal Supervisor and/or Subsidiary Supervisor before re-submission.
3. When a student's revisions require more supervision or further access to UCL laboratories or other facilities, they may be required to re-register as a fee-paying student for the period of this supervision or access.

## 6.13 Supervisory Arrangements for the Research Thesis

### 6.13.1 Supervisors: General

1. Each UCL student registered for a professional doctorate shall have appointed a Principal Supervisor who shall be a member of the academic staff of UCL or an appropriately qualified member of staff of an institution with an approved agreement with UCL.
  - i) Principal Supervisors shall be appointed by the departmental/divisional postgraduate committee specific to the doctoral programme, and their appointment approved by the Faculty Graduate Tutor on behalf of the Faculty Postgraduate Teaching Committee.
  - ii) Individual programmes will appoint a Subsidiary Supervisor to each student whose role will be to keep acquainted with the progress of the student's work, to be present at, at least, annual supervisory meetings, to provide for continuity of supervision in the event of the absence or departure of the Principal Supervisor and (where the Principal Supervisor considers it desirable) to contribute a second opinion or additional areas of expertise. Their appointment will be approved by the departmental/divisional Graduate Tutor.
  - iii) The oversight associated with the role of Subsidiary Supervisor can be carried out by a named individual acting on behalf of the programme, whose function will be to monitor the quality of supervision and the consistency and continuity of supervision offered by the Principal Supervisor, and to take action to remedy any concerns in these areas. This person should satisfy the eligibility requirements for the Principal Supervisor, but will not be subject to any limits in the number of students to whom they are allocated. This arrangement will be approved by the departmental/divisional Graduate Tutor.
  - iv) Students should refer to individual programme documentation for details of supervisory arrangements.
  - v) Honorary members of academic staff may be appointed as Principal or Subsidiary Supervisors. However, approval must be obtained from the appropriate departmental/divisional postgraduate committee. The appointment of an honorary member of staff as a Principal or Subsidiary Supervisor will be subject to consideration of adequate research expertise (e.g. publications, grant income and professional experience). Honorary members of staff appointed as Principal or Subsidiary Supervisors are also governed by eligibility requirements set out in Section 6.13.2 below.
  - vi) Retired members of staff shall not be appointed as supervisors except by the specific agreement of the Faculty Graduate Tutor. Supervisors who retire from UCL after appointment shall be permitted to act as supervisors

to their current research students until such students submit their theses for examination.

- vii) Supervisors can be appointed from institutions with an approved agreement with UCL, e.g. Cancer Research UK (CRUK). Principal and Subsidiary Supervisors must have the status of honorary members of UCL academic staff. In all circumstances UCL has an expectation that these supervisors will undertake their role in accordance with the Doctoral School's Code of Practice for Graduate Research Degrees and within the framework of UCL's regulations for Research Degrees.

## 6.13.2 Supervisors: Eligibility

1. The list of UCL staff categories eligible to act as Principal and/or Subsidiary Supervisors can be found on the Human Resources website.
2. UCL determines the eligibility of staff in these categories to supervise research degree students using the following criteria:
3. A Principal Supervisor should normally:
  - i) Have satisfactorily completed any probationary period attached to his/her appointment;
  - ii) Have expertise in the area of the proposed research;
  - iii) Have had previous experience of at least one successful doctoral supervision, as appropriate, within a supervisory team (defined as having taken a student all the way through to a research degree award);
4. A Subsidiary Supervisor should normally:
  - i) Have expertise relevant to the area of proposed research;
  - ii) Be familiar with the standards required for doctoral research.
5. A probationary member of academic staff may be appointed as Principal Supervisor if supervision is undertaken within the context of an experienced supervisory team comprising at least one demonstrably active researcher with experience of at least two successful supervisions.
6. A Research Associate may be invited to act as a Subsidiary Supervisor but must, in addition to the requirements specified for Subsidiary Supervisors:
  - i) Have a research contract lasting at least three years from the time the supervised student commences his/her programme of study;
  - ii) Be able to provide evidence of good quality publications for which they have had a substantial degree of responsibility.

### Further guidance

1. Principal Supervisors who are probationary members of staff must also have participated in an appropriate UCL supervisor's workshop.

2. Supervisors who have completed a probationary period but have not previously supervised a research student should also meet the requirements outlined above. New senior members of academic staff with experience of doctoral supervision at other institutions are expected to attend an appropriate UCL supervisor's workshop.

### 6.13.3 Number of Students per Supervisor

1. A supervisor, whether Principal or Subsidiary, may supervise up to the equivalent of six full-time doctoral students at any one time.
2. Calculating the number of full-time supervisees is based on the formula that each professional doctorate student is equivalent to 0.75 of an MPhil/PhD student.
  - i) The maximum number of supervisees, whether full- or part-time, that may be supervised by an individual as either Principal or Subsidiary Supervisor will be six, using the following formula:

<b>For Principal Supervisors:</b>	
1 full-time professional doctorate student	0.75
1 part-time professional doctorate student	0.4
1 full-time MPhil/PhD student	1.0
1 part-time MPhil/PhD student	0.5

<b>For Subsidiary Supervisors:</b>	
1 full-time professional doctorate student	0.4
1 part-time professional doctorate student	0.2
1 full-time MPhil/PhD student	0.5
1 part-time MPhil/PhD student	0.25

3. For example, an individual may act as Principal Supervisor to four full-time professional doctorate students (equivalent to three full-time MPhil/PhD students) and one full-time MPhil/PhD student, while also acting as Subsidiary Supervisor for two full-time MPhil/PhD students (equivalent to 1.0 full-time MPhil/PhD student). This is the equivalent of supervising five full-time MPhil/PhD students and is within the overall limit of six doctoral students at any one time.

4. Departments/divisions may wish to recommend an upper limit on the number of students supervised by a single member of staff that is lower than that set out above.

#### 6.13.4 Declaration of Personal Interest

1. All members of staff are required to declare any personal relationships with any student they are asked to supervise, or are already supervising.
  - i) A supervisor who declares such a personal relationship prior to appointment as supervisor for the student in question shall not be permitted to undertake supervision of that student, whether as Principal or Subsidiary Supervisor.
  - ii) A supervisor who declares such a relationship after having been appointed as Principal Supervisor for the student in question (unless the declaration is made within six months of appointment, in which case the supervisor shall not be permitted to continue in any supervisory capacity) shall no longer continue as Principal Supervisor but may continue to advise the student in an informal capacity.
  - iii) The role of Principal Supervisor (including responsibility for all decisions affecting the student's progress and assessment) shall in such instances pass to the Subsidiary Supervisor or the other supervisor nominated by the department/division.
  - iv) A supervisor who declares such a relationship after having been appointed as Subsidiary Supervisor for the student in question, subject to the permission of the departmental/divisional Graduate Teaching Committee, may continue as Subsidiary Supervisor, but shall not be responsible for, or be involved in, any decisions affecting the student's progress and/or assessment.

#### 6.13.5 Transfer of Supervisor to another Institution

1. Where a Principal Supervisor transfers to another institution, students assigned to that supervisor shall be assigned to another Principal Supervisor.



# 7 UCL-Student Relationship Terms and Conditions

## 7.1 General

1. These terms and conditions, together with various other policies referred to in them, (**Terms**) apply to and define the relationship between UCL and you in relation to your participation in and receipt of services in connection with a degree programme or other programme or course of study at UCL (**Programme**).
2. UCL is committed to providing a learning, working and social environment in which the rights and dignity of all its members are respected, and which is free from discrimination, prejudice, intimidation and all forms of harassment including bullying.
3. This commitment means that all students of UCL have the right to study or work in an environment free from discrimination, prejudice and all forms of harassment or bullying.
4. This commitment also reflects the fact that the relationship you as a student have with UCL is contractual. The Terms are not defined or set out in a single document but have a number of sources and the purpose of these Terms is twofold:
  - i) to provide guidance about the principal terms and conditions that define the contractual relationship between UCL and you and;
  - ii) to draw your attention to where the full sources are published.
5. In some places these Terms may seem overbearing or negative; however, the content has been drawn from policies and procedures which already exist or are common to similar documents that exist at other institutions. It should also be recognised that these Terms exists above all to protect your rights and to ensure a continuous and positive relationship between you and UCL during your time as a student at UCL.
6. Changes to Terms: UCL may from time to time need to make changes to these Terms. While we will try not to make changes, if we need to do so we will only make reasonable changes and will notify you of changes to these terms by posting the latest version on the UCL website.
7. Changes to Programmes:
  - a) The organisation, timetabling and operation of Programmes is a significant and complex exercise. There are numerous internal and external factors

which impact on how UCL is able to manage its teaching and learning spaces and resources.

- b) To ensure that our Programmes are run effectively for the benefit of our student body as a whole, we need to retain the ability to alter aspects of individual Programmes where we think this is reasonable and is needed. This may include changes to timetabling, location, teaching staff allocation, number of classes, method of delivery, content, assessment, syllabus and/or module availability.
  - c) We will communicate any such changes to you in a timely manner. Where changes are likely to have a more significant impact on your studies, we will consult with you before final decisions are taken and listen to your concerns. We will take into account the concerns of individual students and assess these against the needs of the wider student body.
  - d) If UCL has to cancel a Programme or make a change of a fundamental nature to a Programme, you may end your relationship with UCL by giving notice in writing to UCL. You may be entitled to a refund of tuition fees and other monies paid in these circumstances.
  - e) If we cancel your Programme, we will help you, where we able, to identify an alternative course (potentially at another institution) that is similar.
  - f) UCL may need to change or cancel part of or an entire Programme due to circumstances beyond its reasonable control and foreseeability and may do so without liability provided that notice of the change or cancellation is given. Examples of such circumstances include industrial action, over or under demand for courses or modules, lack of funding, non-availability of suitable staff, industrial action, severe weather, fire, civil disorder, political unrest, government restrictions and concern with regard to the transmission of serious illness. If the circumstances are continuing for a period of more than 30 days, either you or UCL may terminate the contract without liability immediately on giving written notice to the other.
8. UCL issues promotional materials in relation to its Programmes and study at UCL. While we endeavour to make sure those promotional materials are clear and correct, we cannot guarantee that they are or will be at all material times. Any promotional materials should be considered indicative and are not intended to be contractual.

## 7.2 Condition of Admission to UCL

- 1. Your offer of admission to UCL is subject to UCL's General Conditions for Entry relating to your qualifications, proficiency in English, tuition fee status, agreement to pay tuition fees and declaration of any criminal convictions. The General Conditions for Entry, along with any particular conditions or requirements, were set out in UCL's formal offer of admission to you.

2. UCL is entitled to withdraw or amend its offer of admission to you, or terminate your registration at UCL, if it is discovered that you have made false statements or omitted significant information in your application to UCL.
3. Your admission to UCL is also subject to your agreement to follow UCL's procedures for registration and enrolment and to comply with the terms and conditions identified in this document. Upon registering at UCL you agree to abide by the rules, regulations and statutes of UCL that are currently in force (and to which links are provided in this document) which govern your studies, learning and conduct at UCL and your use of services provided to you by UCL.
4. You are responsible for making yourself aware of these rules and regulations, of which the more important ones are summarised in the [Current Students](#) web pages. In addition, research students and taught graduate students must adhere to the respective UCL Doctoral School [Code of Practice for Graduate Research Degrees and Graduate Taught Degrees](#). A detailed list of the other significant documents which define the formal relationship between UCL and you is set out in Section 7.16: Relevant Documents and Information.

## 7.3 Delivery and Exclusion of Liability

1. UCL will provide you with tuition, learning opportunities and other related services relevant to your programme and modules. Specific details relating to the delivery of your programme will be provided before or at the time of your registration on your programme.
2. If you successfully fulfil all of the requirements of your programme and registration and abide by the regulations identified in this document, you will be eligible for the award of the appropriate UCL qualification. Certain programmes of study may also lead to professionally-accredited qualifications.

## 7.4 Payment of Fees and Other Charges

1. You are responsible for ensuring your tuition fees, accommodation fees and all other charges incurred by you at UCL are paid in a prompt and timely fashion. Where a third party is responsible for payments on your behalf, you must ensure that they similarly pay in a prompt and timely fashion. Demands for payment will be made in accordance with UCL's practice at the time.
2. If any fee or charge connected to your study at UCL (including tuition fees, library fees and other academic fees) remains outstanding after the due date for payment, UCL reserves the right to stop providing you with access to the relevant service until the fees or charges are paid. In the case of non-payment of library fees, for example, we may suspend your access to the library and/or library services. In the case of non-payment of tuition fees, we may end our

contract with you and cease providing you with tuition, learning opportunities and other related services relevant to your Programme of study. UCL may take appropriate and proportionate action as it considers necessary to recover overdue academic fees or charges, including suspension of your registration for specific services, withholding any award you are entitled to and taking legal action against you to recover the outstanding amounts.

3. Fees are not normally refundable. Applications in writing for partial refunds will be considered in special circumstances. Refunds requested more than one year after payment has been made will not be considered.
4. In addition to the above, we may charge interest on any outstanding fee or charge (calculated at an annual rate of 3% above the Bank of England base rate). This means that if you are overdue in paying £9,000 in tuition fees and the base rate is 0.5%, interest will accrue at £315 per year or £0.86 per day.

## 7.5 General Student Conduct

1. You should make yourself aware of, and abide by, Section 11: Student Disciplinary Code and Procedure which sets out the standard of conduct and behaviour reasonably expected of you and which also includes awareness of the right of UCL to suspend or exclude you on disciplinary grounds.
2. You should make yourself aware of the academic regulations set out in the UCL Academic Manual, in particular Chapter 1: Admissions, Registration and Student Conduct, Chapter 4: Assessment Framework for Taught Programmes and Chapter 5: Assessment Framework for Research Programmes. These include regulations about academic progress, attendance, examinations and also include awareness of the right of UCL to suspend or exclude you from your studies on academic grounds.
3. Under Section 7 of the Health and Safety at Work Act 1974, you have a legal responsibility to take reasonable care of yourself and all others who may be affected by your acts and omissions, and to co-operate in enabling UCL to discharge its legal duties with regard to health and safety, including implementation of the UCL Statement of Safety Policy. It is a condition of registration for students that they also co-operate with UCL in this respect. Students who undertake fieldwork are also required to acquaint themselves with the relevant UCL policies and guidance notes.
4. Where a programme of study also leads to a professionally-accredited qualification, the relevant professional body may also have its own code of conduct which students on such programmes should make themselves aware of. UCL also has an obligation to disclose to such bodies any information it considers to be relevant to a student's future professional accreditation.
5. Section 8: Code of Conduct for Students has been produced by UCL Union and outlines the expected behaviour of UCL students during their time at UCL. There

is nothing new, since all of it can be found in the Academic Manual, and a lot of it is common sense; this just makes it a bit more accessible, and is meant to remind you of basic good behaviour.

## 7.6 Intellectual Property Rights

1. UCL generally recognises that students own the IPR in any work that they produce as part of their programme of study at UCL. However, there are some circumstances where ownership has to be shared or be granted to UCL or a third party; these circumstances are outlined in UCL's policy on [Intellectual Property Rights \(IPR\)](#).

## 7.7 Accommodation

1. If you have secured a place in university accommodation, this is subject to your continued registration as a full-time student at UCL. There are specific terms and conditions that apply to the provision of such accommodation to you, details of which are available from [UCL Student Residences](#).

## 7.8 IT Facilities

1. You will have access to UCL's IT facilities while you are a registered student at UCL, but you are expected to use these facilities in an acceptable manner. You must familiarise yourself with the [UCL Information Security Policy](#); this includes an awareness that failure to comply with these regulations may lead to disciplinary action, up to and including dismissal from UCL without notice, and may expose you to court proceedings attracting both criminal and civil liability.

## 7.9 Library Facilities

1. You will have access to UCL's Library facilities while you are a registered student at UCL. Your use of the Library facilities will be subject to the [UCL Library Regulations](#); you should familiarise yourself with those regulations. This includes awareness that failure to comply with those regulations may lead to certain sanctions, penalties and/or other disciplinary action.

## 7.10 Disability

1. The UCL Student Disability Policy outlines the ways in which UCL addresses the needs of disabled students. UCL is firmly committed to offering an excellent education to all students and central to this policy is UCL's intention to take account of individual need and to work with disabled students to find appropriate and practical solutions to any problems that might arise.

## 7.11 Insurance

1. UCL does not accept responsibility for any loss or damage to your property. You are advised to arrange relevant insurance against theft and other risks before coming to UCL. In certain circumstances, you may need to take out other types of insurance, for example health insurance while on an overseas placement. Any queries regarding insurance should be addressed in the first instance to your department.

## 7.12 Data Protection

1. Personal information on students is held by various UCL and University of London support services. The data is held for the purposes of operating several internal UCL or University of London processes, including admissions procedures and maintenance of your academic records after admission. The data is also required for the purposes of compiling statutory statistical and personal returns which UCL is obliged to make to certain external or governmental agencies. When you leave UCL, we will provide your information and data to UCL's Development and Alumni Relations Office (DARO). DARO will provide you with information on how they will use your information but you consent to us providing the information to DARO when you leave UCL. Further details are available via the UCL General Statement on Data Protection.

## 7.13 Notices

1. Any notice or other information relating to the formal relationship between you and UCL that you need to give to UCL, or that UCL needs to give to you, must be in writing and may be given by hand or sent by e-mail, post, or fax. UCL will use e-mail as a primary means of communication for sending you important

information, although any particularly important documents will also be sent by post to your last recorded address.

2. You should check your [UCL e-mail](#) account regularly, as UCL cannot be held responsible for the consequences of any messages that you have not read or if messages were lost or delayed when automatically forwarded to a personal e-mail address (e.g. Hotmail, Yahoo, etc).
3. You are responsible for maintaining up-to-date address and other contact details via your Portico account, otherwise any notices or information sent to your last recorded address will be deemed to have been properly given.
4. UCL may also draw your attention to important information through announcements on UCL's website, Portico and through messages on the computer desktop when you log-on to UCL network.

## 7.14 Student Complaints Procedure

1. UCL has an established [Student Complaints Procedure](#) for dealing with both academic and non-academic complaints and representations from students. Formal complaints should only be submitted if informal discussion fails to resolve the matter satisfactorily or would be wholly inappropriate and if there appear to be genuine grounds for making a complaint.
2. The Office of the Independent Adjudicator (OIA) for Higher Education was designated as the student complaints scheme under the Higher Education Act 2004 and was established formally with effect from 1 January 2005. Where a complaint has exhausted all of UCL's internal procedures, and subject to meeting the OIA's criteria, a student may take their complaint to the OIA. Further details are available from the [OIA web site](#).
3. The [Rights and Advice Office](#), which is based in the UCL Students' Union, is a central point of information on all aspects of concern to students, including financial, welfare and academic matters.

## 7.15 Governing Law and Third Parties

1. The contractual relationship between you and UCL shall be governed by, and interpreted in accordance with, the laws of England and Wales. By entering into this relationship, UCL and you agree to accept the authority of the courts of England and Wales.
2. If any condition of this relationship is found to be void or unenforceable (in whole or in part) by any court or other competent authority, the rest of the contractual relationship will continue to apply.

3. UCL's contractual relationship with its students does not confer third party benefits for the purposes of the Contract (Rights of Third Parties) Act 1999.

## 7.16 Questions and Useful Contacts

1. If you have a query about any of the terms set out in this Statement you should initially contact the relevant office within UCL. This may be your Departmental Office or one of the contacts listed in [Annex 1.5.1 Useful Contacts A-Z](#). If you have a query about this Statement which cannot be resolved by colleagues in any of the offices named above, then please send your query to the Registrar, by e-mail to [srs@ucl.ac.uk](mailto:srs@ucl.ac.uk) or by calling 020 7679 2047.

### 7.16.1 Relevant Documents and Information

- [UCL Prospectus and other recruitment material](#)
- General Conditions for Entry – supplied with offer letter, not available online
- [Current Students web site](#)
- [Tuition fees](#)
- [Accommodation fees](#)
- [UCL Information Security Policy](#)
- [UCL e-mail](#)
- [UCL Library Regulations](#)
- [UCL Student Disability Policy](#)
- [UCL General Statement on Data Protection](#)
- [Intellectual Property Rights \(IPR\)](#)
- [Section 8: Code of Conduct for Students](#)
- [Section 11: Student Disciplinary Code and Procedure](#)
- [Section 12: UCL Student Complaints Procedure](#)



# 8 Code of Conduct for Students

1. UCL enjoys a reputation as a world-class university. It was founded on the basis of equal opportunity, being the first English university to admit students irrespective of their faith and cultural background. It was the first university in England to admit women. UCL expects its members to conduct themselves at all times in a manner that does not bring UCL into disrepute, this includes conduct whilst not on UCL premises.

## **Good conduct means:**

- In general realising that you are an ambassador for UCL and behaving accordingly. This applies anywhere and at any time but is particularly important in the local community around UCL, whilst on fieldwork, whilst on other study away from UCL, on the sports field and whilst engaged in any other UCL-related activity.
- Recognising the diversity of the UCL community and not discriminating against others on the basis of their age, ethnic origin, race, nationality, membership of a national minority, culture, language, religious faith or affiliation or lack thereof, political affiliation or opinions or lack thereof, sex, gender, gender identity, sexuality, sexual orientation, marital status, caring or parental responsibilities, illness, ability or disability, mental health status, medical condition, physical appearance, genetic features, parentage, descent, full or part-time student status, socio-economic background, employment status, trade union affiliation, spent or irrelevant criminal convictions or any other irrelevant distinction.
- Acting responsibly, being honest, being considerate, respectful and courteous towards others. Behaving in a respectful manner towards others so that they do not feel that they are being harassed or bullied and abiding by the law.

## **Whilst learning:**

- Following the rules laid down by UCL for academic activity, the use of the Library, Information Services and other services.
- Being punctual for classes and other appointments.
- Informing the relevant person if you are going to be absent or delayed for an activity where you are expected to attend.
- Being aware of the advice and assistance available on academic and other matters from sources such as personal, programme and departmental tutors.
- Seeking help for yourself when you need it.

### **Around UCL:**

- Showing respect for UCL property.
- Informing yourself of UCL health and safety policies and following them.
- Playing your part in maintaining security and being prepared to produce your identity card when requested.
- Caring for the environment at UCL by respecting buildings, spaces and facilities.
- Recycling and disposing of litter responsibly.
- Being aware of UCL's advice for saving energy.
- Showing consideration for others regarding noise (e.g. switching mobile phones off in classes).

### **Social and sporting behaviour:**

- Showing good sportsmanship whilst taking part in sporting activities.
- Refraining from exhibiting displays of drunken or loutish behaviour.
- Ensuring that any activity you engage in using the internet, including virtual learning environments (e.g. Moodle), social networking sites (e.g. My Space, Facebook, Twitter etc.), blogs or other web resources, refrains from causing offence and could not be regarded as bullying or harassment.
- Respecting the right of freedom of speech provided it is within the law.

### **Awareness and caring for others:**

- Being aware of the help and support available at UCL from sources such as Student Psychological Services, Student Disability Services and the UCL Union Rights and Advice Centre.
- Showing consideration for the welfare of your friends and peers and, if appropriate, providing advice on seeking help.

### **Links to other UCL policies that relate to conduct:**

- Section 11: Student Disciplinary Code and Procedure
- Equalities
- Examinations and Awards
- Guidelines for Good Practice on Fieldwork
- Harassment and Bullying
- Health and Safety
- ISD Regulations

- [Library Regulations](#)
- [Student Accommodation General Regulations](#)
- [Security](#)

**Links to sources of advice and assistance:**

- [Student Psychological Services](#)
- [Student Disability Services](#)
- [UCL Union](#)
- [UCL Union Rights and Advice Centre](#)
- [Energy Saving Information](#)

# 9 Learning Agreements, Barring, Suspensions & Terminations of Study

## 9.1 Learning Agreements

1. Learning agreements are written agreements with a student meant to support students experiencing significant difficulties by agreeing a way to address problems such as, for example, attendance problems, coursework submission problems, communications problems, welfare concerns, problems with administrative requirements, etc.
2. Learning Agreements can be agreed by Departmental Tutors, Departmental Graduate Tutors<sup>1</sup>, Faculty Tutors, Faculty Graduate Tutors and the Vice-Provost (Education and Student Affairs).
3. Special arrangements for a student and/or measures subject to approval can be made conditional on concluding and abiding by the conditions of a learning agreement.
4. The learning agreement will set out what UCL will do to support the student as well as the conditions which the student agrees to meet. These conditions will usually cover some or all of, but are not limited to, the following:
  - Attendance at teaching and learning events. A higher attendance requirement than the normal minimum attendance requirement can be specified for the remainder of the term or academic year.
  - Completion and timely submission of coursework and other forms of work, both summative and/or formative, assessed and/or unassessed.
  - Responding appropriately and in a timely manner to UCL communications and attending meetings with UCL staff as requested.
  - Completion of additional work to ensure sufficient coverage of the syllabus.
  - Providing requested information within a specified time period.
  - Supplying proof of continuing medical or specialist treatment.

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<sup>1</sup>In Faculties organised on a divisional or other basis, rather than on a departmental basis, this applies to the equivalent officers.

5. Breach of a learning agreement will result in the revocation of any special arrangements made and/or measures approved and in the application of any penalties specified in the learning agreement.
6. Learning agreements should specify the duration of the agreement and when compliance with the agreement will be reviewed. Compliance should be reviewed at least once a year.

## 9.2 Barring Students from Assessment

1. Departments must ensure that all students taking a module, including students from other departments, are informed of the policy on barring and of the applicable definitions of what will constitute unsatisfactory attendance and engagement. Students must be informed from the outset and in writing.
2. Barring requires a written record of attendance. Wherever it is practicable for them to do so, departments must have adequate mechanisms in place for:
  - Regularly recording attendance at teaching events such as seminars, classes, laboratory classes, tutorials, etc.
  - Recording the submission of required coursework.
  - The reporting of significant deficiencies to the designated departmental officer with overall responsibility for the barring process.
3. UCL's minimum attendance requirement, as per Section 4.3, is 70%. Departments may stipulate a higher percentage and additional requirements where appropriate. Students whose attendance falls below the attendance requirement are ineligible for summative assessment.
4. If a student's attendance falls below the attendance requirement so that a bar needs to be imposed, the teaching department must notify the student's home Department.
  - a) Where practicable, the home department should review the student's overall record to establish whether the problem extends beyond the teaching Department.
  - b) If the problem is limited to the teaching department, the teaching Department should impose the bar and issue the subsequent learning agreement.
  - c) If the problem extends beyond the teaching department, the home department should take over the barring and subsequent coordinated learning agreement, covering all affected modules.
  - d) However, teaching departments have the right to impose bars and issue learning agreements for their modules: information provided by the home Department must be taken into account, but bars do not require permission from the home department.

5. The barring Department must notify the student in writing that he or she is barred from summative assessment for the module (copying the student's home Department and Faculty Tutor as well as Student and Registry Services) and must summon the student for a departmental interview to allow for an explanation of the case.
6. Since the bar may still be lifted, such students should continue to attend the module and submit coursework. However, marks for any summative assessment tasks will only count and be considered by the examination board if the bar is subsequently lifted.
7. The barring department MUST give such students a written learning agreement setting out the conditions under which the bar will be lifted. Students cannot be barred from summative assessment without the opportunity to conclude a learning agreement and having the bar lifted if they fulfil the conditions set out in the agreement. Copies of all learning agreements should be sent to the student's Faculty.
  - a) Usually learning agreements will specify attendance conditions, among others, for lifting the bar. If the student can no longer meet or exceed the minimum attendance requirement for the module by the end of the module, a higher attendance requirement of up to 100% will usually be specified for the remainder of the module.
  - b) Bars should be notified and learning agreements issued as soon as possible, but learning agreements can still be issued after the end of term. Late learning agreements towards or after the end of term, when there are no teaching events left to attend, can rely on conditions other than attendance, such as additional work required to ensure coverage of the syllabus.
  - c) If the student does not accept the learning agreement within five working days of it being issued, the bar stands, subject to the appeals procedure set out below.
  - d) If the student accepts the learning agreement and subsequently fulfils the conditions set out in the learning agreement, the bar will be lifted.
  - e) If the student breaks the conditions of a signed learning agreement, the bar will remain in place, subject to the appeals procedure set out below.
  - f) Barring-related learning agreements must specify their end points, and Departments must review compliance with the learning agreement and notify the student of the outcome in writing within ten working days (excluding the UCL Christmas and Easter closure periods) after the expiration of the learning agreement, copying the home department, the student's Faculty Tutor, and Student and Registry Services.
8. If a bar that prevents progression or award of the degree remains in place following a refusal to accept the learning agreement or following a breach of the conditions of the learning agreement, the bar must be reviewed and confirmed (or lifted) by the student's the Faculty Tutor.

9. Barring forfeits an attempt at assessment. If the student has a second attempt remaining, he or she must repeat the module in attendance the following year. Normal progression and substitution rules apply.
10. Affected students have a right of appeal against the imposition of a bar, against the conditions of the offered learning agreement, against the continuation of a bar after the compliance review, or against the Faculty Tutor's confirmation of a bar.
  - a) Appeals against departmental decisions must be submitted to the Faculty Tutor within five working days of the relevant notification.
  - b) Appeals against a Faculty Tutor's confirmation of a bar preventing progression or graduation must be submitted within five working days of the relevant notification and will be dealt with by the Vice-Provost (Education and Student Affairs).
  - c) If a student remains dissatisfied with the outcome of the appeal, he or she may then go through the procedures set out in Section 12: Student Complaints Procedures but must accept that a final outcome is unlikely to be reached before the student would have been due to take the assessment in question.

### 9.3 Suspensions of Studies on Grounds of Academic Insufficiency

1. Faculty Tutors/Graduate Faculty Tutors can suspend the studies of students in their Faculty on grounds of academic insufficiency as per paragraphs 14.1 and 14.2 of UCL's Regulations for Management.
2. Academic insufficiency occurs when a student's overall attendance and performance, rather than that in a particular module, is deemed to be unsatisfactory, so that it is not viable for the student to continue with his or her studies for the remainder of the session.
3. All such cases must be referred to the Faculty Tutor/Faculty Graduate Tutor. If the Faculty Tutor confirms academic insufficiency, the expected outcome is that the Faculty Tutor suspends the student's enrolment for up to one year, specifying at the beginning of which term the student will be allowed to return to repeat.
4. Students must have had due warning prior to a suspension of studies.
5. Prior to a suspension on grounds of academic insufficiency, the Faculty Tutor must have summoned the student to a Faculty interview to allow for an explanation of the case.
6. To suspend a student on grounds of academic insufficiency, the Faculty Tutor must send a letter of notification to the student that includes details of the

appeals mechanism, copying the home Department, all teaching Departments, Student Records, and Assessment and Student Records.

7. Suspensions of studies forfeit an attempt at assessment for all affected modules. A suspended student must repeat either the year or the term(s) in which the insufficiency occurred in the next academic year, repeating in attendance all modules for which the student has second attempts remaining. (Additional interruptions can be applied for, but are subject to scrutiny and approval.) If a suspension would permanently prevent progression or award of degree due to one or several forfeited second attempts at assessment, suspensions become terminations of study, unless the Vice-Provost (Education and Student Affairs) suspends regulations to allow further attempts.
8. As a condition of returning to repeat after the suspension, the student must sign a learning agreement. Refusal to sign the learning agreement or breach of the learning agreement following an earlier suspension will usually result in termination of studies.
9. Suspended students have a right of appeal:
  - a) Appeals against a suspension on grounds of academic insufficiency must be submitted within five working days of the relevant notification and will be dealt with by the Vice-Provost (Education and Student Affairs).
  - b) Should a student be dissatisfied with the outcome of the appeal, he or she may then go through the procedures set out in Section 12: Student Complaints Procedure.
10. In cases involving poor performance in Postgraduate Research Students, separate guidance applies (see Research Degrees: Guidance on Addressing Poor Performance in Research Students).

## 9.4 Terminations of Studies

1. Faculty Tutors/Graduate Faculty Tutors can also terminate the studies of students on grounds of academic insufficiency as per paragraphs 14.1 and 14.2 of UCL's Regulations for Management.
2. In such cases the academic insufficiency must be deemed to be irretrievable.
3. For any student whose studies are to be terminated in this way, it is essential that he or she has previously been referred to the Faculty Tutor/Faculty Graduate Tutor for a formal interview and received a written warning that their studies are at risk of being terminated should the insufficiency continue.
4. Should the insufficiency continue or should any conditions that were made for the continuation of the student's studies at the interview and/or in the written termination warning not have been met, the Faculty must interview the student again.



5. If the termination of studies is confirmed, the Faculty must issue a formal written notification of the termination of studies and the reasons for it, including a reference to the appeals procedure.
6. Students have a right of appeal:
  - a) Appeals against a termination of studies on grounds of irretrievable academic insufficiency must be submitted within fifteen working days of the relevant notification and will be dealt with by the Vice-Provost (Education and Student Affairs).
  - b) Should a student be dissatisfied with the outcome of the appeal, he or she may then go through the procedures set out in Section 12: Student Complaints Procedure.

## 9.5 Suspension and Termination of Studies for Non-Attendance at Mandatory Faculty Interviews

1. Faculty Tutors and Faculty Graduate Tutors can summon students in their Faculty to mandatory Faculty interviews, requiring the student either to attend the interview at a set date and time or to make and keep an appointment by a set deadline.
2. If a student fails to do so, he or she will be written to by the Faculty Tutor or Faculty Graduate Tutor with a suspension warning, informing the student that failure to make and/or attend an alternative appointment by a set deadline will result in a suspension of studies.
3. If a student fails to make or attend the alternative appointment, the Faculty must send the student a formal letter confirming the suspension of studies and issuing a termination warning. The student must be informed that failure to make and/or attend a final appointment by a set deadline will result in a permanent termination of studies.
4. If a student fails to make or attend the final appointment, the Faculty must send the student a formal letter confirming the termination of studies and informing the student of the right to appeal.
5. Students have a right of appeal against a suspension or termination of studies for non-attendance at mandatory Faculty interviews:
  - a) Appeals must be submitted within five working days of the relevant notification and will be dealt with by the Vice-Provost (Education and Student Affairs).
  - b) Should a student be dissatisfied with the outcome of the appeal, he or she may then go through the procedures set out in Section 12: Student Complaints Procedure.

# 10 Support to Study and Fitness to Study

## 10.1 Support to Study Policy

1. UCL is committed to maintaining high standards of performance for its students in terms of teaching, learning and assessment and to ensuring that the quality of its awards is not undermined or compromised.
2. UCL is also committed to supporting its students' academic abilities as well as their wellbeing, recognising a positive approach to the management of physical and mental health issues that may affect student learning, academic achievement and the wider student experience.
3. UCL is mindful of its duty of care and its obligations to students under the Equality Act 2010, to make reasonable adjustments, where possible and where appropriate. It is also aware that there may be occasions where a student's physical or mental health may give rise to concerns about the student's fitness to study and capacity to engage with his/her studies and/or the appropriateness of their behaviour in relation to the UCL community as a whole.
4. UCL is aware of its responsibility to maintain a safe and positive environment for all students and staff but expects students to study, work and live co-operatively and in close proximity with each other as well as conduct themselves in a manner which does not impact negatively on those around them. However, UCL also has to balance the needs and rights of an individual student against the need to protect the wellbeing of fellow students and staff.
5. In order to assist students to meet their academic obligations and maintain the quality of its degrees, whilst at the same time supporting the students' welfare needs, UCL has a range of procedures in place including:
  - Special assessment arrangements, such as additional writing time, rest breaks and/or ergonomic aids
  - Extensions to deadlines for assessed coursework
  - Suspensions of regulations to facilitate a student's studies, although such suspensions would be considered carefully on a case by case basis, but would not automatically be approved
  - Variation of a programme of study or a module, although such variations would be considered carefully on a case by case basis, but would not automatically be approved
  - Advice and guidance from UCL professionals, including Student Disability Services, Student Psychological Services, the UCL Student Mediator, UCL Hall Wardens, and other resources such as the Gower Place Practice and the chaplains appointed to UCL

- Support from academic staff, such as Faculty Tutors, Faculty Graduate Tutors, Departmental Tutors, Personal Tutors, Supervisors
  - Student Learning Agreements
  - Defined periods of interruption from studies or delaying the start of studies or a change of degree programme
  - Student Cause for Concern referrals
  - Student Support and Wellbeing welfare appointments.
6. Students with physical and/or mental health concerns should be encouraged to make contact with the available support services as early as possible in order to facilitate reasonable adjustments and to sustain their academic obligations and their wellbeing. Students should maintain regular engagement with the support services as recommended.
  7. When studying away from UCL, including students on a period of study abroad, electives, placements, postgraduate research activities, students have an obligation to ensure their health and wellbeing. They should plan for their time away from UCL, seeking advice from their academic advisers and other UCL professionals, as appropriate. There may be occasions where a student may be deemed fit to study at UCL but not more remotely. In these cases, consideration would be given for a variation of the programme of study or a given module, or to a transfer from one degree programme to another.
  8. Students, who are returning from a period of interruption or where permission has been given to delay the start of studies, may be required to provide medical information to indicate that their studies will not be detrimental to their health and their health to their studies, as well as have a welfare appointment with the Director of Student Support and Wellbeing. Students may also be required to sign up to a Student Learning Agreement.
  9. Where a student has been unable to maintain the levels of academic engagement required and/or where UCL considers that the needs, rights, safety and security of the UCL community outweigh those of an individual student, UCL may take action in a number of ways:
    - For cases of non-attendance and academic insufficiency Section 9: Learning Agreements, Barring, Suspensions and Terminations of Study applies.
    - For straightforward cases of misconduct Section 11: Student Disciplinary Code and Procedures applies.
    - For cases of serious mental ill-health requiring early intervention the UCL Student Mental Health Policy applies.
    - For cases of MBBS students and other students in the School of Life and Medical Sciences where there is a concern of fitness to practise, the Medical School Fitness to Practise Policy applies.

- For cases where a student's health, wellbeing or behaviour is having a detrimental effect on the ability of an individual student to meet the academic requirements of study or impacting on the wellbeing of other students and staff, Section 10.2 Fitness to Study Procedure applies.
- 10. There may be instances where a student has exhibited behaviour which would normally be handled under Section 11: Student Disciplinary Code and Procedures, but this may be (or is suspected to be) the result of an underlying physical and/or mental health difficulty. Depending on the individual circumstances, this may be considered under Section 10.2 Fitness to Study Procedure.
- 11. The Support to Study Policy will be regularly reviewed by the Director of Student Support and Wellbeing.
- 12. Cases considered under Section 10.2 Fitness to Study Procedure will be monitored and reviewed on an annual basis to identify where any improvements are required in the Policy, or in the procedures of the support services offered within UCL or on which UCL draws significantly.

## 10.2 Fitness to Study Procedure

This Procedure should be read in conjunction with Section 10.1 Support for Study Policy.

### 10.2.1 Context

1. The UCL Fitness to Study Procedure is intended to be used where students are not able to continue or able to return to continue the level and intensity of study required in spite of reasonable adjustments having been put in place and cannot study, work and live co-operatively and in close proximity with others as well as conduct themselves in a manner which does not impact negatively on those around them. It also applies where UCL has been unable to balance the needs and rights of an individual student against the need to protect the wellbeing of fellow students and staff.
2. The Procedure aims to ensure that decisions about a student's ability to study are made through a supportive process, after appropriate consultation and in the best interests of the student.
3. The Procedure is to be used in the following circumstances:
  - Where a student exhibits behaviour that would usually be dealt with as a disciplinary matter but is considered to be the result of an underlying physical and/or mental health difficulty

- The student's attendance record, academic sufficiency and/or behaviour are not satisfactory/acceptable and this is believed to be the result of a physical and/or mental health difficulty
  - The student's behaviour is at risk of affecting negatively the teaching and learning activities of fellow students and staff and/or the spirit of studying, working and living co-operatively and in close proximity with others as well as of conducting himself or herself in a manner which does impacts negatively on others
  - The student's behaviour presents a serious and immediate risk to self or others and/or the University's reputation.
4. The Procedure is not intended to deal with (i) routine cases of non-attendance and/or academic insufficiency, which are covered elsewhere in the UCL Academic Manual or (ii) straightforward cases of misconduct handled under Section 11: Student Disciplinary Code and Procedures or (iii) cases considered under the UCL Mental Health Policy, or (iv) cases of MBBS students and other students from the School of Life and Medical Sciences where a Fitness to Practise Policy applies.

## 10.2.2 Initial Stages

1. The Director of Student Support and Wellbeing (or nominee)<sup>2</sup> will review the medical information provided by the student's qualified medical /clinical practitioners, and any other information provided, which could include reports from a student's academic advisers and other members of the UCL community, student Cause for Concern referrals, a student's relatives or other external people. They will also draw on advice from medical advisers appointed by UCL and/or other healthcare specialists.
2. The student will usually be required to meet with the Director of Student Support and Wellbeing or another designated role holder, with UCL's appointed medical advisers, to ensure that the student's health is not detrimental to the academic studies or the academic studies detrimental to the student's health, and to determine what adjustments, or further adjustments, if some have already been put in place, can be sought.
3. In reviewing the student, and having consulted healthcare specialists and all available information, the Director of Student Support and Wellbeing will discuss the student's situation with his/her academic advisers and other UCL officeholders, such as the Vice-Provost (Education and Student Affairs) and the Registrar, to determine whether any adjustments can be put in place to assist the student, or whether further information is required.

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<sup>2</sup>Where the Procedure refers to a role holder, it should be understood that the action may be undertaken by a nominee

4. Possible outcomes might include:
  - The use of a student learning agreement
  - The seeking of other adjustments, such as a suspension of regulations, through the relevant UCL authority
  - Referral to a medical practitioner, either within UCL or externally, or referral back to the student's own medical advisers or specialists
  - A further meeting with the Director of Student Support and Wellbeing or another designated role holder, with UCL's appointed medical advisers
  - Referral of the case to another UCL procedure such as Section 9: Learning Agreements, Barring, Suspensions and Terminations of Study, or Section 11: Student Disciplinary Code and Procedure, or the UCL Student Mental Health Policy
  - Referral to the UCL Student Mediator
  - A recommendation to interrupt studies or delay the start of studies or withdraw from UCL or seek a change of degree programme
  - A recommendation to consider the student's case under the Further Stages of this procedure.
5. Students will be informed in writing of the outcome within 10 working days.
6. A review period will be set in discussion with the student, which will include the process for monitoring the student's situation and to ensure that the student is benefiting from the arrangements made.
7. Where the student fails to engage with this procedure, by not providing satisfactory documentation or non-attendance at meetings or refusal to engage with any referral, UCL reserves the right to revert to the appropriate set of regulations.

### 10.2.3 Further Stages

1. A student will be considered under a further stage of this procedure in the following circumstances:
  - If it has not been possible to put in place further adjustments
  - If the student did not take advantage of the adjustments put in place
  - If the student's health, wellbeing or behaviour worsens or has an adverse effect on the health or wellbeing of the UCL community.
2. The Director of Student Support and Wellbeing will prepare a report giving the reasons why the student should be considered under the Further Stages of the procedure. This report should include a summary of the medical information as well as information on the efforts made to facilitate a student's studies. This

report will be sent to the Registrar, who will confirm that the case should be considered by the Fitness to Study Panel.

3. The student will be informed whether or not the case is to be considered by the Fitness to Study Panel.
4. If it is determined that the case will proceed, the student will be required to attend a Fitness to Study Panel and will be given at least 10 working days' notice of the meeting. The student must be provided with any documents to be considered by the Panel. The student can submit additional documentation but this must be received 3 working days before the Panel hearing.
5. Students should seek advice from [UCL Union Rights and Advice](#) on attending a Panel hearing and seek support for preparation of this.
6. The Panel will be chaired by a Faculty Tutor or a Faculty Graduate Tutor from a Faculty other than that of the student and will also comprise a medical adviser appointed by UCL, a UCL Union Sabbatical Officer, and a fourth member who will either be a Faculty Tutor or a Faculty Graduate Tutor from a Faculty other than that of the student, or the Director of Student Administration or the Deputy Registrar (Operations and Planning).
7. The Director of Student Support and Wellbeing will present the case to the Panel. The Faculty Tutor from the student's Faculty will also be present to provide information to the Panel as required.
8. The student may be accompanied by a 'friend' who must be a member of staff at UCL or a student currently registered at UCL, provided that the person chosen is not legally representing the student nor a member of the Panel. If the student wishes to be accompanied by someone who does not meet this requirement, permission should be sought from the Chair of the Panel. The Chair of the Panel has the right to accept or refuse the request.
9. The Panel can invite others to attend the Panel in order to provide information or to witness the proceedings.
10. The purpose of the Panel is to:
  - Review the documentation and any oral statements made at the Panel hearing
  - Consider the views of the student
  - Agree the most appropriate way to proceed
  - Ensure that the student is aware of UCL's concerns and the impact of the student's situation either on their own health, wellbeing and behaviours or those of other members of the UCL community
  - Recommend a decision.
11. The student, the student's friend, the Director of Student Support and Wellbeing, and the student's Faculty Tutor can be present while the Panel receives the evidence and hears the case, but they must all withdraw when the Panel deliberates and considers its decision.

12. Where the student fails to engage with this procedure, by not providing satisfactory documentation or not attending the Panel hearing, the Panel can continue in the student's absence. Any lack of engagement of the student should not be construed against them.
13. The decisions open to the Panel are as follows:
  - a) That no decision can be made pending further information within a specified period of time, at which point the Panel would have to reconsider its recommended outcome. The Panel can recommend whether the student can remain in registration or not during this time period;
  - b) That the student can continue in registration but additional measures need to be taken or further adjustments sought;
  - c) That the student can continue in registration but the academic requirements can be adjusted;
  - d) That the student must interrupt their studies, or remain on interruption, for a specified period of time, with requirements for the student's return being specified, if required;
  - e) That a recommendation is made that the student must withdraw from UCL, indicating whether reapplication at a future date is allowable or not.
14. In the case of 13c), d) and e), this should be a recommendation to the Provost.
15. The student should be informed of the decision in writing within 10 working days of the Panel.

#### 10.2.4 Appeal

1. The student has the right to appeal through the procedures set out in Section 12: Student Complaints Procedure.



# 11 Student Disciplinary Code and Procedure

UCL is a community and as members of this community students are expected to adhere to UCL's rules and regulations, to show respect for persons and property, and to behave in a way that does not interfere with the normal operations of UCL. Where there is reason to believe that rules and regulations have been broken, and/or when the behaviour of a student falls below the expected standards, as outlined below, the Disciplinary Code and Procedure will be instigated.

## 11.1 Section 1: Disciplinary Code

1. UCL Statute 13 (Jurisdiction over Students) provides as follows:
  - (1) The Council shall be responsible for maintaining good order within the College and its precincts and other buildings and premises owned or occupied by the College and shall have disciplinary powers over the conduct of Students of the College which the Council considers to affect the interests of the College, its Staff or Students.
  - (2) The Council, on the advice of the Academic Board, and after consulting the Students' Union, shall approve a Disciplinary Code and Disciplinary Procedure and determine procedures, including a student complaints and appeals procedure, which shall be published and made available to all Students of the College. The Procedure shall provide for the arrangements governing the hearing of a case of disciplinary action against a Student and of an appeal to the Discipline Review Body prescribed in (3).
  - (3) There shall be a Discipline Review Body to which an appeal shall lie in cases where the punishment imposed by the College is expulsion from the College and its precincts and other buildings and premises owned or occupied by the College, or temporary exclusion for more than four weeks.
2. The Provost has the following disciplinary powers under UCL Statute 11:
  - (3) The Provost shall have power, in accordance with Regulations made by the Council on the advice of the Academic Board, to suspend a Student from any or all of his or her studies in the College and to exclude a Student from the College and its precincts and other buildings and premises owned or occupied by the College. In the case of suspension or exclusion for reasons other than academic insufficiency the Provost shall report such suspension or exclusion to the Academic Board and to the Council and shall ensure that appropriate action is taken forthwith under disciplinary or other appropriate procedure.
  - (4) The Provost shall have power to delegate any or all of the powers conferred by [paragraph (3)] of this Statute (as above) to such Officer of the College or persons or bodies as he/she may think fit.

### **Delegation by the Provost**

3. In accordance with Statute 11(4), the Provost has delegated her/his powers under Statute 11(3) to the Registrar.

## 11.2 Section 2: Jurisdiction and General Principles

### (a) Jurisdiction

4. The Disciplinary Code applies to all registered students of UCL.
5. The jurisdiction of this Code will extend, where appropriate, beyond UCL's precincts and will cover, for example, the conduct of students attending another institution or a work placement in the United Kingdom or abroad, or taking part in approved field trips or other authorised external activities.

### (b) Relationship and interface with other UCL policies and procedures

6. This Code relates to matters of non-academic misconduct and any action taken under this Code automatically supersedes any disciplinary action being taken under other rules or regulations of UCL.
7. Where the alleged misconduct relates to an academic matter, it should be referred for action in accordance with UCL's Academic Regulations.
8. Where the alleged misconduct relates to research misconduct, it should be referred for action in accordance with UCL's Research Misconduct Procedure.
9. Where the alleged misconduct relates to harassment, bullying and/or intimidation then it should be referred for action under UCL's policy on Harassment and Bullying (Students).
10. Students registered on programmes leading to membership of a professional body should demonstrate appropriate behaviour and standards required for entry into that profession. Alleged misconduct which may be judged to fall short of the professional codes of conduct will be considered under the relevant Fitness to Practise Procedure.
11. Where there is a concern that mental health, illness or disability may have directly affected behaviour and/or conduct, the Director of Student Support and Wellbeing will be consulted as to whether it would be more appropriate to consider the matter under the Support to Study Policy or the Student Mental Health Policy as an alternative to disciplinary action.
12. Where it is not clear how the alleged misconduct should be classified the matter will be determined by the Registrar.

### (c) General Principles

13. Students involved in disciplinary procedures shall have the right to be accompanied to any meeting or hearing by a 'friend', who must be a UCL student or member of staff of UCL or UCLU. The role of the friend is to provide moral support during a meeting or hearing. They cannot make representations nor cross-examine witnesses and must also not be a witness.
14. UCL will wherever possible seek to adhere to the time limits outlined in this procedure; however, in cases where there are special circumstances which require variance from specified time limits, students will be advised of the reasons for this by the Officer handling the investigation or hearing.

15. Students will be given the opportunity to attend disciplinary hearings in person. UCL reserves the right, however, to proceed with any investigation or disciplinary hearing in the absence of a student, subject to the student having been properly notified of the date and time of the hearing, or in cases where criminal proceedings do not allow the student to attend in person.
16. UCL reserves the right not to proceed with any investigation following an allegation against the behaviour of a student if it is considered that there are insufficient grounds or evidence to do so.
17. During the application of this Disciplinary Code and Procedure, UCL reserves the right to adjourn any disciplinary investigation or hearing and reconvene at a later date.
18. The standard of proof to be adopted during the application of this Disciplinary Code and Procedure will be the balance of probability.
19. Where misconduct has occurred, and wherever appropriate, the intention will be to provide a corrective response in addition to any reasonable and proportionate punitive response.

**(d) Officers responsible for disciplinary matters**

20. Under Regulation for Management (“Regulation” hereafter) 15.1.5 the Registrar of UCL has the responsibility for dealing with disciplinary matters referred to her/him under the authority and with the powers granted to her/him in Regulations 15.1.4 and 15.1.5. Under Regulation 15.1.5 authority to refer a matter to the Discipline Committee rests with the Registrar. The Registrar may delegate this responsibility to the Deputy Registrar and all references to the Registrar in this Code and Procedure should be understood to include also the Deputy Registrar.
21. The Registrar may also delegate authority for discipline in UCL Houses and Halls of Residence to Wardens of UCL Houses and Halls of Residence.
22. The Registrar may also delegate authority for discipline in UCL Libraries to the Director of UCL’s Library Service or her/his nominee.

## 11.3 Section 3: Definition of Misconduct<sup>3</sup>

23. Misconduct which may be the subject of disciplinary procedures under this Code is defined as improper interference with the proper functioning or activities of UCL, or of

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<sup>3</sup>Examples of ‘minor’ or ‘major’ classifications of misconduct can be found at paragraphs 25 and 26 of this Procedure.

those who work or study in UCL, or action which otherwise damages UCL and/or its staff or students, including, but not limited to, the following:

- (1) disruption or improper interference, whether on UCL premises or elsewhere, with the academic, administrative, sporting, social, cultural or other activities of UCL;
- (2) obstruction or improper interference on UCL premises or whilst engaged in any UCL activity with the functions, duties or activities of any student, member of staff or other employee of UCL or any authorised visitor of UCL;
- (3) violent, indecent, disorderly, threatening or offensive behaviour or language on UCL premises or whilst engaged in any UCL activity;
- (4) fraud, deceit, deception or dishonesty in relation to UCL or its staff or students;
- (5) action likely to cause injury to, or impair the safety of, either themselves or others on UCL premises or whilst engaged in any UCL activity;
- (6) sexual, racial or other kind of harassment of any student, member of staff or other employee of UCL or any authorised visitor to UCL;
- (7) breach of the provisions of UCL's Code of Practice on Freedom of Speech or of any other code or UCL rule or regulation which provides for breaches to constitute misconduct under this code;
- (8) damage to or defacement, caused intentionally or recklessly, or misappropriation of UCL property<sup>2</sup> or the property of other members of UCL and/or the UCL community, or any other property<sup>4</sup> into which the Student enters, or misappropriation of such property whilst engaged in UCL activities;
- (9) misuse or unauthorised use of UCL premises or items of property, including computer misuse;
- (10) distributing or publishing a poster, notice, sign or any publication which is offensive, intimidating, threatening, indecent or illegal, including the broadcasting and electronic distribution of such material;
- (11) conduct which constitutes a criminal offence where that conduct –
  - took place on UCL premises or
  - (a) affected or concerned other members of the UCL community or
  - (b) damages the good name of UCL or
  - (c) itself constitutes misconduct within the terms of this Code or
  - (d) is an offence of dishonesty, where the Student holds an office of responsibility in UCL, or
  - (e) involves a student registered on a programme leading to membership of a professional body and where that conduct may fall short of the professional codes of conduct such as to render the Student unfit to practise, or
  - (f) resulted in the acquisition of a criminal conviction for an offence not involving members of UCL or its premises, which may affect the safety of a member of UCL or the premises of UCL or which could bring UCL into disrepute;
- (12) failure to declare a criminal conviction to UCL, subject to the Rehabilitation of Offenders Act;
- (13) behaviour which brings UCL into disrepute;
- (14) failure to disclose name and other relevant details to an officer or employee of UCL in circumstances where it is reasonable to require that such information be given;

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<sup>4</sup>Within this document property is defined as, but not limited to: computers; software; data; web pages; equipment (e.g. audio-visual equipment; laboratory equipment; instruments; tools); books; furniture; and personal belongings of individuals.

- (15) failure to comply with a previously imposed penalty under this Code.
24. For the purpose of this Procedure, misconduct as defined at paragraph 23 above will be classified as either minor or major depending on the seriousness of the alleged misconduct. Where it is not clear whether the alleged offence should be classified as a minor or major offence the matter will be determined by the Registrar.
25. Examples of minor offences include but are not limited to:
- Anti-social behaviour
  - Refusal to identify yourself to UCL staff or using false ID
  - Failure to vacate during fire alarms
  - Excessive noise
  - Misuse of the fire equipment
  - Smoking in non-designated areas
26. Examples of major offences include but are not limited to:
- Possession of an offensive weapon
  - Assault
  - Threatening, offensive or indecent behaviour or language that causes distress to others
  - Harassment of any kind
  - Misappropriation of or damage to the property of any student or member of staff of UCL
  - Any action likely to cause injury or impair the safety of others
  - Use, possession, buying or selling of illegal drugs
  - Excessive use of alcohol that is likely to endanger the health and safety of others
  - A serious breach of UCL-approved Regulations

## 11.4 Section 4: Disciplinary Procedure

### **(a) Disciplinary offences which are also subject to criminal investigation**

27. Where a disciplinary offence is also subject to a criminal investigation, UCL may suspend the disciplinary process until the criminal investigation and legal proceedings have been concluded. The fact that the police or other legal authorities might be unable, unwilling or not yet able to proceed will not automatically preclude UCL from instigating its own disciplinary action.
28. The student should be reminded that whilst criminal investigations are underway they will be obliged to keep UCL informed of any progress and/or change in status regarding their case. The Registrar will review the case on a monthly basis and will determine if any action is required during this review period.
29. When the criminal proceedings have concluded, the Registrar will decide whether UCL should instigate disciplinary action, taking into account the following guidance.
30. Where the student has been convicted of a criminal offence, UCL may seek to take action if there are outstanding matters of concern to UCL that have not been addressed. In this

case the conviction in a criminal court shall be taken as conclusive evidence that the alleged offence has occurred, and no further investigation shall be required by UCL.

31. Where a criminal conviction has been made, the focus of UCL disciplinary proceedings may include an assessment of the risk posed to UCL staff or students. It may also include assessment of the material impact caused by reputational damage to UCL, particularly when this impedes or interferes with the normal operations of UCL, or when it affects important relationships between UCL and key individuals, agencies and stakeholders. If disciplinary action is taken, the penalty imposed by the court shall be taken into account when determining any further penalty.
32. In the case of a criminal conviction, where criminal proceedings (including bail conditions, period of time spent on remand, period of time served in custody following conviction) result in a student being absent from their study for a period of less than twelve months it will normally be the case that their studies will be interrupted for this period. In such circumstances it will be the responsibility of the student to notify the Registrar regarding the date of release from custody. The Registrar will then assess whether the nature of the offence committed poses an ongoing risk to the UCL community, and whether there are any outstanding matters of concern that have not been addressed. In the case of either UCL may instigate disciplinary proceedings.
33. In the case of a criminal conviction where criminal proceedings (including bail conditions, period of time spent on remand, period of time served in custody following conviction) result in a student being absent from their study for a period in excess of twelve months, the student will be deemed withdrawn from UCL. The student may then reapply for admission to UCL, and as part of the standard admissions process will be required to declare criminal convictions to be considered prior to a decision regarding an offer of a place.
34. Where the student has been acquitted UCL will take into account the decision of the court. However, it may be the case that it is reasonable and within UCL's interests to pursue outstanding matters of concern to UCL that have not been addressed.
35. Where, following an initial investigation, a decision has been taken not to proceed to a criminal trial, this does not preclude UCL from conducting further investigations and/or instigating disciplinary proceedings in respect of outstanding matters of concern to UCL that have not been addressed.

**(b) Precautionary action in advance of a disciplinary hearing**

36. Where the nature of the alleged disciplinary offence suggests that there may be risk to the safety of others, or where the student accused of the offence may be at risk of harm, the Registrar will undertake a risk assessment which may result in action as follows:
  - (i) They may require the student to comply with specific conditions, for example agreeing not to contact another student or students. The consequence of any breach of these conditions may result in escalation to the steps outlined below; and/or
  - (ii) The Registrar may choose to exercise the delegated authority granted in accordance with Statute 11(3) and 11(4) to suspend the student from any class or classes and/or to exclude the student from any part or all of UCL's facilities, grounds

and premises, until such a time as any criminal proceedings and/or UCL disciplinary proceedings have been concluded. A precautionary suspension and/or exclusion should not be regarded as a penalty and does not indicate that the student is presumed guilty of any offence.

37. For the purposes of this Code and Procedure suspension and exclusion are defined as follows:
  - (i) Suspension involves a total or partial prohibition on attendance at or access to UCL premises and from any participation in UCL activities for a fixed period. The terms of any suspension will be assessed and decided on a case-by-case basis.
  - (ii) Exclusion involves the withdrawal of the right of access to specified land, buildings, facilities or services of UCL for a fixed period or pending the fulfilment of certain conditions.
38. The decision by the Registrar to temporarily suspend and/or exclude the student from all or part of UCL, and the reasons why this action is being taken, may be communicated orally in the first instance. Where this is the case, written confirmation outlining the reasons for this decision and notice of the right of appeal should be provided within two working days.
39. The student may appeal against the decision to suspend and/or exclude them from all or parts of the UCL by submitting a written request stating the reason for the appeal to the Provost within five working days of the date of issue of the notice of suspension/exclusion.
40. The Provost will consider the appeal and may take action as follows:
  - (i) uphold the original decision and confirm the terms of the suspension and/or exclusion;
  - (ii) uphold the original decision but reduce or restrict the terms of the suspension and/or exclusion;
  - (iii) overturn the original decision and remove the suspension and/or exclusion.
41. In cases where additional information presented as part of the appeal suggests that the level of risk is higher than previously assessed, the Provost may increase or extend the terms of the suspension and/or exclusion.
42. The student will be notified of the decision within ten working days of the receipt of the letter requesting an appeal.
43. Whilst the precautionary suspension and/or exclusion is in place, the student may request a review if there is a relevant change to their circumstances. This request should be made in writing to the Provost, who will respond within ten working days of the receipt of the letter.
44. In accordance with Statute 11(3) all cases of suspension and exclusion for reasons other than academic insufficiency shall be reported by the Registrar to UCL's Academic Board and Council.

## 11.5 Section 5: Minor Offences

### (a) Misconduct Involving a UCL House or Hall of Residence

45. The Registrar may delegate to Wardens of UCL Houses or Halls of Residence power to deal with disciplinary matters within their house/hall of residence and to impose penalties up to and including any one or more of the following:
- (i) an oral or written reprimand;
  - (ii) an order for service for a specified period to the house or hall of residence to be scheduled outside of teaching time;
  - (iii) an order for payment or compensation for damage to property;
  - (iv) withdrawal of house/hall of residence privileges e.g. no guests allowed, exclusion from bars;
  - (v) a fine of up to £100;
  - (vi) a recommendation to the Registrar that residence in UCL accommodation in future years be denied;
  - (vii) a recommendation to the Registrar that the student's misconduct be referred to the Discipline Committee and/or that UCL takes proceedings through the courts for eviction.
46. In a case where the Registrar decides there are grounds for eviction from a UCL House or Hall of Residence they will request that the Director of Student Accommodation initiate court proceedings and will inform the student that the matter has been referred to the Director of Student Accommodation. The case may also be referred to the Discipline Committee.
47. In dealing with an allegation of misconduct the Warden will interview the student. The Warden will inform the student that they may appeal to the Registrar against any penalty imposed by the Warden on the following grounds:
- (i) that the disciplinary process was not conducted in accordance with the above procedures;
  - (ii) that new evidence has become available which was not, and which could not reasonably have been made available at the time the case was considered;
  - (iii) the penalty imposed was disproportionate to the offence.
48. The appeal will be considered by the Registrar by a review of the relevant paperwork and must be submitted within ten working days of the date of notification of the penalty.

### (b) Misconduct Involving UCL Library Services

49. The Registrar may delegate to the Director of UCL Library Services (or their nominee) power to deal with disciplinary matters within UCL Library Services and to impose penalties up to and including any one or more of the following:
- (i) an oral or written reprimand;
  - (ii) an order for service for a specified period to be scheduled outside of teaching time;
  - (iii) an order for payment or compensation for damage to property
  - (iv) withdrawal of borrowing privileges
  - (v) a fine of up to £100;
  - (vi) a recommendation to the Registrar that the Student's misconduct be referred to the Discipline Committee.



50. In dealing with an allegation of misconduct the Director of UCL's Library Services will interview the student. The Director will inform the student that they may appeal to the Registrar against any penalty imposed by the Director on the following grounds: that the disciplinary process was not conducted in accordance with the above procedures;
- (i) that new evidence has become available which was not, and which could not reasonably have been made available at the time the case was considered;
  - (ii) the penalty imposed was disproportionate to the offence.
51. The appeal will be considered by the Registrar by a review of the relevant paperwork and must be submitted within ten working days of the date of notification of the penalty.

**(c) Disciplinary Action taken by the Registrar**

52. Where the alleged offence is referred to the Registrar, the Registrar will decide upon the following course of action:
- (i) that the complaint be dismissed;
  - (ii) that the complaint should not be the subject of further action under the Disciplinary Code, but such a ruling will not preclude informal action by way of a caution or otherwise if appropriate which may be undertaken without reference to the person submitting the complaint;
  - (iii) that the alleged offence be classified as a minor offence and is a matter for the Registrar to deal with;
  - (iv) that the alleged offence be classified as major offence and should be referred to the Discipline Committee.
53. At all times the Registrar will be mindful of any ongoing risk posed to students and staff relating to the alleged offence. In cases where a risk assessment suggests this may be the case, the Registrar may consult the Director of Student Support and Wellbeing (or nominee) in relation to the management of risk, and where appropriate may take precautionary action as outlined in Section 4(b). Amongst other possible actions, it may be necessary to agree a behavioural contract or a limited exclusion from a specific facility or service.
54. Where a complaint of misconduct has been made, and unless it is immediately dismissed, dealt with by way of informal action or referred to the Discipline Committee, the Registrar will hold a meeting with the student(s) concerned. The student(s) should receive an invitation to the meeting and should be advised of the nature of the alleged offence. Where possible this invitation should be written and should give the student(s) at least two working days' notice of the meeting. There may, however, be circumstances where an urgent meeting is required and in this case a verbal invitation with less than two days' notice will be given. Failure to attend without good cause may in itself be considered a disciplinary offence.
55. The student will be given an opportunity at the meeting to explain their behaviour and/or offer information in mitigation or explanation.
56. The Registrar will advise the student in writing of the outcome, within five working days, and will confirm the imposition of any sanction, which may include any one or more of the following:
- (i) an oral reprimand recorded by the Registrar;

- (ii) a written reprimand recorded by the Registrar;
  - (iii) a written reprimand recorded on the Student's UCL file and copied to the Head of the Student's department;
  - (iv) a payment of compensation for damages to person or property;
  - (v) a fine of up to £300;
  - (vi) an order of service to UCL for a specified period;
  - (vii) require a student to enter into a 'Good Behaviour' agreement;
  - (viii) exclusion from a part of parts of UCL for a specified period provided that such exclusion does not directly interfere with the student's academic work;
  - (ix) imposing conditions on a student's access to UCL facilities where the student has been convicted of a criminal conviction and where such conditions are deemed necessary for the safety and security of members of UCL provided that such conditions do not directly interfere with the student's academic work. In the case where the Registrar decides there are grounds for eviction from a UCL House or hall of Residence s/he will request that the Director of Student Accommodation initiate court proceedings and will inform the student that the matter has been referred to the Director of Student Accommodation.
57. In the event that, after the meeting, the Registrar decides that the matter is too serious to warrant one of the penalties set out above, the Registrar may instead refer the matter to the Discipline Committee.
58. A student wishing to appeal against the decision of the Registrar in relation to a penalty for a disciplinary offence shall write to the Secretary of the Discipline Committee giving the grounds for the appeal within ten working days from the date of receipt of the letter from the Registrar imposing the penalty.
59. An appeal against a sanction or sanctions imposed by the Registrar may be made on one or more of the following grounds:
- (i) that the disciplinary process was not conducted in accordance with the above procedures;
  - (ii) that new evidence has become available which was not, and which could not reasonably have been made available at the time the case was considered;
  - (iii) the penalty imposed was disproportionate to the offence.
60. The Discipline Committee will consider appeals under these provisions by a review of the relevant paperwork.
61. In determining an appeal against a decision of the Registrar the Discipline Committee may confirm, amend or dismiss the penalty imposed by the Registrar.

## 11.6 Section 6: Major Offences

62. Where the alleged offence is referred to the Registrar and s/he believes that it should be classified as a major offence in line with the guidance provided above, the Registrar will refer the case to the Secretary of UCL's Discipline Committee.
63. The membership of the Discipline Committee shall comprise the following:

- (i) a Chair, who will be the Vice-Provost (Education) (or her/his nominee)
  - (ii) a member of academic staff of UCL selected from a Panel appointed by the Faculties
  - (iii) an officer of UCL Student's Union
64. The secretary of the Committee will be a member of staff of UCL Student and Registry Services.
65. A single recording of the proceedings will be made by the Secretary to the Committee except when the Committee withdraws for private discussion.
66. In cases which involve alleged reputational damage to the UCL, the Committee will also include an additional member who is independent from the UCL, whose role will be to ensure the Committee adheres to the principles of impartiality in consideration of the alleged offence.
67. The student will be advised in writing of the nature of the alleged offence and the date of the hearing. This written notification will usually be provided not less than ten working days in advance of the hearing. Where the Chair deems there are special circumstances which require a shorter period of notice to be given, the reasons for this will be explained to the student.
68. The Registrar and/or the Student may wish to invite witnesses to appear before the Committee and/or to provide written statements. If this is the case the Registrar and/or the student should notify the Secretary of the Committee at least seven working days before the hearing of the details of any witnesses. Such notification will include any written statements.
69. Statements and other documentation will be circulated to the Committee and the student not less than five working days in advance of the hearing, although later circulation may be allowed at the discretion of the Chair.
70. The procedure of the meeting will be as follows:
- (i) Committee members meet without the student present to consider matters of process.
  - (ii) The student and 'friend' (where accompanied) will join the meeting.
  - (iii) The Registrar will join the meeting and outline the offence.
  - (iv) The student will be asked to make a statement in response to the alleged offence.
  - (v) The Committee may question the student and/or the Registrar.
  - (vi) Witnesses may be called by the Registrar.
  - (vii) Witnesses may be called by the student.
  - (viii) In each case the witnesses will be asked to make a statement or confirm the contents of a written statement, and may be questioned by the Committee, the student and/or the Registrar.
  - (ix) Witness will be asked to withdraw.
  - (x) The Committee will hear further statements from the student regarding evidence submitted, witness statements etc.
  - (xi) The Committee will hear further statements and concluding remarks from the Registrar and the student respectively.

- (xii) The student (and friend), along with the Registrar, will be asked to withdraw to allow the Committee to consider its decision.
71. At the conclusion of the hearing the Committee will determine the matter before it. The Committee may either dismiss the complaint on the ground that no disciplinary offence has been made out or may find on the evidence that a disciplinary offence has been committed. If the Discipline Committee determines that a disciplinary offence has been committed, it will have the power to impose one or more of the following penalties:
- (i) a reprimand to be administered by the Discipline Committee and conveyed to and recorded by the Head of the Student's department;
  - (ii) a fine not exceeding £600;
  - (iii) an order of service to UCL to be determined by the Discipline Committee;
  - (iv) exclusion, for such period or periods and subject to such conditions as the Committee shall think fit, from UCL or its precincts or other buildings or premises owned or occupied by UCL;
  - (v) payment of compensation for any damage to person or property which the Committee may find to have been occasioned by or in the course of the disciplinary offence;
  - (vi) requirement that a Student agree to specific conditions, determined by the Committee, to be necessary for their continued progress on their programme of study at UCL;
  - (vii) permanent expulsion from UCL. Expulsion involves depriving a student permanently of her or his membership of UCL.
72. If the Discipline Committee finds that a disciplinary offence has been committed, the penalty to be imposed will be determined by a majority vote. If the decision is not unanimous, the Chair shall have a casting vote.
73. The decision of the Committee shall normally be communicated orally by the Chair to the student and the Registrar immediately at the conclusion of the hearing. The decision of the Committee will be communicated in writing to the student within five working days after the date of the hearing.
74. The implementation and consequences of a Discipline Committee hearing for the student will be monitored by the Registrar in consultation with whomever the Registrar considers appropriate.

## 11.7 Section 7: Discipline Review Body

75. UCL Statute 13(3) provides as follows:

*'There shall be a Discipline Review Body to which an appeal shall lie in cases where the punishment imposed by the College is expulsion from the College and its precincts and other buildings and premises owned or occupied by the College, or temporary exclusion for more than four weeks.'*

76. Appeals against other penalties imposed by the Discipline Committee may also be made to the Discipline Review Body.
77. An appeal to the Discipline Review Body must be received by the Secretary to the Discipline Review Body within twenty-eight days of the date of notification of the written communication of the decision of the Discipline Committee to the student concerned.
78. An appeal against a sanction or sanctions imposed by the Discipline Committee may be made on one or more of the following grounds:
- (i) that the disciplinary process was not conducted in accordance with the above procedures;
  - (ii) that new evidence has become available which was not, and which could not reasonably have been made available at the time the case was considered;
  - (iii) the penalty imposed was disproportionate to the offence.
79. The membership of the Discipline Review Body will comprise:
- (i) a Chair, who shall be appointed by the Council from among a panel of nominees approved by Council;
  - (ii) one person, not being a member of the UCL Council, UCL staff or a student, to be appointed by the Provost as and when the Discipline Review Body needs to be convened, from among a panel of nominees approved by Council;
  - (iii) an elected student officer of another University, normally from within the University of London, to be appointed by the Provost as and when the Discipline Review Body needs to be convened.
80. The Secretary of the Discipline Review Body will be an appropriate officer nominated by the Director of Academic Services. Such officer shall not have acted as Secretary to the Discipline Committee in the case concerned.
81. Consideration of an appeal by the Discipline Review Body will be by way of a review of the material/evidence considered by the Discipline Committee, along with its findings and subsequent decision and/or penalties and will include the following, to be supplied by the Secretary of the Discipline Committee:
- (i) a note of evidence taken before the Discipline Committee;
  - (ii) any documents submitted to the Discipline Committee as documentary evidence;
  - (iii) a note of the submissions made by or on behalf of each party;
  - (iv) a note of the findings and decision of the Discipline Committee.
82. The Discipline Review Body will normally consider appeals by review of the relevant paperwork, although it may, exceptionally, decide to arrange a hearing of the appeal.

### **Procedure for a meeting of the Discipline Review Body**

83. In the event of a hearing all parties will be notified of the date not less than seven working days before the date of the hearing.
84. The Discipline Review Body will call the student and the chair of the Discipline Committee as witnesses. Other witnesses may also be called by the Discipline Review Body.

85. Copies of all documentation will be circulated to all parties not less than five working days in advance of the hearing, although later circulation may be allowed at the discretion of the Chair.
86. At the start of the hearing the Chair of the Discipline Review Body will invite the student to summarise the grounds for their appeal against the decision of the Discipline Committee.
87. The Chair of the Discipline Review Body will then invite the Chair of the Discipline Committee to state the case for upholding the findings and decisions of the Discipline Committee.
88. In each case any witnesses will be asked to make a statement or confirm the contents of a written statement.
89. After all parties have made their statements the Chair and other members of the Discipline Review Body may ask the student and/or the Chair of the Discipline Committee and any witnesses any such questions as the Chair deems appropriate.
90. Having completed their questioning the Chair of the Discipline Review Body will ask the parties to withdraw.
91. The Discipline Review Body shall reach decisions by a simple majority.
92. The Discipline Review Body, having completed its discussion of the appeal and having reached a decision on the matter, the Chair shall recall the student and the Chair of the Discipline Committee to the meeting.
93. The Chair shall then announce the decision of the Discipline Review Body to the student and Chair of the Discipline Committee.
94. The Chair shall then declare the meeting of the Discipline Review Body closed.

### **Decision of the Discipline Review Body**

95. The Discipline Review Body may allow the appeal wholly or in part or substitute its own findings and impose one or more of the penalties mentioned in paragraph 71 as the Discipline Review Body thinks appropriate. Otherwise the decision of the Discipline Committee will stand.
96. The Secretary to the Discipline Review Body will notify the student in writing of the outcome of the appeal within ten working days of the decision of the Discipline Review Body. The Secretary to the Discipline Review Body will also issue a Completion of Procedures letter to the student.

February 2015  
Student and Registry Services

# 12 Student Complaints Procedure

## 12.1 Section 1- Guide to the UCL Student Complaints Procedure

### Introduction

1. UCL is committed to providing a high quality educational experience for all our students, reflected in excellent academic, administrative and pastoral support services. Our aim is for every student to be satisfied with their experience of UCL.
2. It is recognised that from time to time problems do arise and students may wish to express concern or dissatisfaction with aspects of UCL or the quality of services provided. UCL's policy is to encourage feedback regarding perceived problems so that they can be addressed and improvements made to the student experience. UCL sees the handling and monitoring of complaints as an important aspect of our quality assurance procedures.
3. Many complaints can be resolved at an informal and/or local level. UCL strongly encourages resolution of this kind and a student wishing to make representation under this procedure will be expected to have pursued informal resolution prior to bringing a formal complaint.
4. Complaints can also arise as a result of mismanaged expectations, by either party. A useful reference to the rights and responsibilities of UCL and of its students can be found in **Section 7:UCL – Student Relationship**.

### Underlying Principles

5. UCL's Student Complaints Procedure (the '*Procedure*' hereafter) has been prepared in accordance with the **QAA's Code of Practice** for the assurance of academic quality and standards in Higher Education, and specifically Section 5: Academic Appeals and Student Complaints on academic matters.
6. In consideration of any complaint UCL will adhere to the following principles:
  - All complaints will be treated fairly, impartially, effectively and in a timely manner.
  - All complaints will be treated seriously and constructively, and can be made without fear of victimisation.

- This Complaints Procedure applies throughout UCL and will be followed in all Schools, Faculties, Academic Departments and Professional Service Divisions.
  - The Complaints Procedure will provide a clear and accessible route for complaints, and will be transparent and well publicised.
  - Where UCL is found to have made a mistake or fallen short of reasonable expectations, an apology will be made, the mistake rectified where appropriate, and/or action taken to prevent the same mistake happening again.
  - Complaints will be monitored and analysed, with a view to addressing the root causes. UCL will report on actions taken as a result of complaints.
7. In consideration of any complaint UCL will adopt the following practices:
- The Complaints Procedure focuses on resolving complaints rather than apportioning blame. Confidentiality owed to staff and students will be protected. Details of a complaint may, however, need to be shared with relevant parties in order for a full investigation to take place, and individuals named in a complaint will be made aware of the allegations and have the opportunity to give their version of events.
  - Wherever possible and agreeable to the parties concerned, complaints will be resolved at a local level and/or without recourse to the formal Complaints Procedure.
  - Repeated or vexatious complaints will not be considered.
  - All parties involved in a complaint will be kept informed of the progress of the complaint at regular and appropriate intervals during the process.

## Scope of Complaints Procedure

8. A formal complaint considered under this Procedure can be one of two types:
- (a) an **academic complaint** which may include any matter affecting the academic status of a student, such as: her/his progression; the results of examinations; award/degree classification; inadequate supervision; or perceived maladministration of an academic programme.
  - (b) a **non-academic complaint** may include any matter which (i) falls outside the definition of an academic complaint, (ii) is not covered by another UCL procedure and (iii) affects a student's experience at or of UCL and requires a response.
9. Where there is uncertainty over the type of complaint and corresponding process to be followed then a final decision will be made by the Registrar. In the event that a matter is raised under this Complaints Procedure which should be dealt with under another UCL procedure, then the matter will be referred to the UCL officer concerned for consideration under the appropriate procedure. This Complaints Procedure **does not** cover:



- **Bullying and Harassment** - <http://www.ucl.ac.uk/current-students/guidelines/harassment-bullying>
- **Complaints against UCL Union** - <http://uclu.org/how-to-guides/how-to-make-complaints-about-union>

10. A decision to proceed with a formal complaint will be made solely on the basis of the information set out on or accompanying the complaint application form. It is therefore imperative that the complaint is written in as clear and succinct a manner as possible and focuses on the key issues of complaint, avoiding vague allegations. Requested outcomes of a complaint must be clear and realistic.

## **Academic Judgement**

11. One of the most common grounds for making a complaint about an academic decision is the results of examinations. Whilst the Procedure can consider whether or not UCL's academic regulations and related procedures have been followed correctly, the Procedure cannot interfere with the operation of academic judgment. Complaints will not be considered where these are made on the grounds that the examiners' assessment of the performance of the candidate in the examination was incorrect or against academic decisions properly arrived at in accordance with approved procedures.
12. In this context, disparities in a student's performance between examinations (or between exam performance and a student's expectations) are not necessarily evidence of procedural irregularity or bias in the assessment process. It is not uncommon for students' attainment in examinations to be lower than they hoped for; similarly, student performance in some subject areas and assessment types will often be stronger than in others.
13. The Dean of Students (Academic) may at his/her sole discretion suspend UCL's normal academic regulations. Any decision by the Dean of Students (Academic) to exercise or not to exercise this discretion cannot be considered under this Procedure. This is because a decision to suspend the regulations is an exceptional decision at the discretion of the Dean of Students (Academic) when UCL's normal regulatory provisions have been exhausted.

## **Who Can Complain?**

14. The Procedure can be used by the following:

- A registered student of UCL<sup>5</sup> on a recognised programme of study.
- A group of registered students of UCL on a recognised programme(s) of study - in which case the group must nominate one person to be its spokesperson, representing the group in all matters relating to the complaint. Where it is a group application a decision will be made on whether to deal with the complaint under this procedure or via an Academic Review Panel.
- A former student provided that the matter about which a complaint is being made occurred within the specified deadline for that particular complaint as set out in the relevant process below.
- Students at overseas UCL campuses are expected to use the complaints procedure of their local campus in the first instance. They are, however, also free to pursue a complaint through this Complaints Procedure if the complaint remains unresolved through the local procedure and provided that the complaint refers to a matter over which UCL has jurisdiction and power to deliver a remedy. In some cases, the complaints processes of overseas campuses may also be subject to the jurisdiction of local (e.g. state) or national legislation.

### **Anonymous Complaints**

15. Complaints require full investigation to enable resolution. Where a complaint is made anonymously, it will not be possible to undertake such an investigation. For practical reasons therefore, no action will be taken in the event of a complaint made anonymously.

### **Third Parties**

16. Anyone wishing to make a complaint is strongly encouraged to do so personally. A complaint received from a third party (including a parent) will be considered only with the express written permission of the person to whom the complaint relates giving the named third party power to act on their behalf.

### **Legal Advice**

17. The Procedure is not a legal process. It serves primarily as the formal mechanism by which consideration can be given to whether or not UCL has applied its regulations and/or procedures correctly and/or delivered its services to students satisfactorily, and whether any decision arrived at was both reasonable and proportionate.

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<sup>5</sup>For the purposes of this Procedure a registered student is defined as either a full-time, part-time, affiliate or intercollegiate student on a recognised programme of study leading to a formal award. Individuals undertaking 'short-courses' may not submit a complaint under this procedure.

18. Under the terms of this Procedure legal representation is not permitted in the event that the complaint is referred to a Complaints Panel.

## **Process**

19. If the matter complained about is the subject of legal or internal UCL proceedings and these have not yet been completed, then any complaint received under this Procedure will be stayed pending the outcome of the other proceeding.
20. All formal complaints will be considered in accordance with the Procedure in force at the time that the complaint is submitted and students wishing to submit a formal complaint are required to follow its provisions.
21. In most instances it is expected that the outcome of the complaint can be determined on the basis of the written material presented. Only in exceptional cases, and where on the basis of the material presented it has not been possible to reach a decision on the complaint, will the matter be referred to a Complaints Panel.

## **Remedy**

22. The student is invited to indicate, if s/he wishes, the form of remedy which may be sought. While UCL will take such wishes into consideration in the resolution of the issue, this information is, nevertheless, given without prejudice to the final remedy determined.

## **Completion of Procedures letter**

23. A Completion of Procedures letter will be issued once this Procedure has been exhausted. The letter will set out the issues that have been considered, UCL's final decision and the reasons for that decision. It will also inform the student of what further steps s/he may wish to take if they remain dissatisfied with the outcome.

## **Referral to the Office of the Independent Adjudicator [OIA]**

24. The Office of the Independent Adjudicator for Higher Education [OIA] provides an independent scheme for the resolution of student complaints. A complaint by a current or former student may be taken to the OIA once this Procedure has been exhausted and a Completion of Procedures letter has been issued.
25. Further details on the operation of the OIA are available from the [OIA web site](#).

## **Review and Monitoring**

26. This Procedure is monitored and co-ordinated by the Deputy Registrar (Operations and Planning), hereafter referred to as 'Deputy Registrar', Student

and Registry Services. If you have any queries about this Procedure, please e-mail [srs@ucl.ac.uk](mailto:srs@ucl.ac.uk)

27. Senior UCL committees will receive an annual report on the operation of the Student Complaints Procedure during the preceding 12 calendar months, including a breakdown of the number of complaints received, the areas of UCL concerned and, when the Complaints Panel has met, a summary of its meetings and their outcomes.
28. This Procedure takes effect from 1 April 2014 and supersedes all previous relevant complaints policies and procedures. It will be reviewed before the end of its first year of implementation, and regularly thereafter.

## 12.2 Section 2 - Informal Resolution

29. The first step is for the student to raise awareness of the problem, either by e-mail, phone or face-to-face, and discuss it with the relevant staff in the academic unit or service concerned. If the complaint concerns an academic matter the student should raise this with a member of staff in her/his Department or Faculty: for undergraduate and taught graduate students this might be either the Programme Director or Supervisor, her/his Personal Tutor or the Departmental Tutor/Graduate Tutor or Faculty Tutor/Faculty Graduate Tutor. A research student would be expected to approach either her/his primary or secondary supervisor, Head of the Research Unit or Faculty Graduate Tutor. If the complaint is not about an academic matter but about a different aspect of the student's experience at or of UCL then the student should try to resolve the matter informally in consultation with the person or unit against whom s/he has the complaint.
30. As a next step students are encouraged to contact the [UCL Student Mediator](#) after initial attempts to resolve the matter informally have failed but before a formal complaint under this Procedure is made. The UCL Student Mediator has the authority, on behalf of the Provost, to mediate, to act relatively informally and speedily, and propose practical solutions to resolve justifiable student complaints on a 'without prejudice' basis.
31. Informal resolution, including referral to the UCL Student Mediator, will remain an option at all stages of the Procedure until the Procedure has been exhausted and a Completion of Procedures letter issued to the student.
32. Students may also find it helpful to approach the [UCL Union Rights and Advice Centre](#) for advice and support in submitting a complaint.

## 12.3 Section 3 – Submitting a Complaint

33. Formal complaints should be made only if informal discussion fails to resolve the matter satisfactorily.
34. Academic complaints from registered students or former students which may be considered under this Procedure are restricted to one or more of the following areas.
  - 34.1 **Alleged deficiency in teaching/supervision received for some or all parts of the programme;**
  - 34.2 **Alleged unsatisfactory delivery/administration of a programme of study**, insofar as:
    - (a) published information about the programme was substantively misleading; or
    - (b) the programme was not organised or delivered in accordance with the information and documentation provided to students on the programme.
  - 34.2 **The results of examinations** (including alleged bias in the assessment or a decision not to permit transfer (i.e. upgrade) from MPhil to PhD, insofar as:
    - (a) either the examination and/or classification process was not conducted in accordance with the relevant regulations/procedures;
    - (b) there has been an arithmetical or transcription error in the compilation of the marks and/or the result;
    - (c) the examiners could not reasonably have been made formally aware of special circumstances (e.g. illness) notified by the candidate which significantly affected her/his performance in the examination.
    - (d) there is substantive evidence that one or more of the examiners can be shown to have been biased or prejudiced against the candidate in one or more specific examinations.
  - 34.3 **A decision not to readmit a student to UCL or to allow a student to continue on a programme of study on the grounds of unsatisfactory academic performance.**
35. Complaints concerning alleged deficiency in teaching/supervision and/or unsatisfactory delivery/administration of a programme of study will not be considered if received after the student's results have been confirmed by UCL's Education Committee or Research Degrees Committee and published on Portico.
36. Complaints against unofficial results will not be considered. Formal complaints against the results of examinations can be made only when results have been

confirmed by UCL's Education Committee or Research Degrees Committee and published on Portico.

37. Information regarding special circumstances (e.g. illness) must have been notified in writing with supporting documentation (e.g. a medical certificate), where appropriate, to the Departmental or Degree Programme Tutor as soon as possible but in any case not later than the day after the student's last examination in the session concerned. Extenuating circumstances not previously notified in accordance with UCL's Procedure for Extenuating Circumstances in force at the time of the complaint or relevant academic year will not be considered under this Procedure.
38. Non-Academic Complaints may include any matter which (i) falls outside the definition of an academic complaint, (ii) is not covered by another UCL procedure and (iii) affects a student's experience at or of UCL and requires a response.

### **The Complaints Process**

39. Where informal resolution is not possible, a student should submit to the Deputy Registrar a completed **Complaints Form** as soon as possible after the events to which it relates.
40. Subject to paragraphs 35-37 above and paragraph 41 below, all complaints must in any event be received by the Deputy Registrar within twenty-eight days of the formal date of notification of the decision/award in question/event causing the complaint occurred.
41. If the form is received any later, the complaint shall be investigated only if evidence can be produced that the student has attempted genuinely to resolve the matter informally in accordance with Section 2 of this Procedure.
42. The Deputy Registrar will acknowledge receipt of the complaint. Where necessary, further clarification on any issues raised in the complaint or on the academic status of the student may be sought at this time.
43. The complaint will be considered in the first instance by the Chair of the Complaints Panel (paragraphs 51-53 refer) and the Deputy Registrar and the student will be notified in writing by the Deputy Registrar of the decision to proceed/not to proceed with the complaint within ten days. If it is decided not to proceed with the complaint, the Deputy Registrar shall inform the student in writing of the decision, giving full reasons for this decision.
44. If it is decided to proceed with the complaint, the Deputy Registrar will notify the member(s) of staff concerned (i.e. the respondent(s)) that a complaint has been received.

- 44.1 For academic complaints this will include the relevant Faculty representative and/or Head of Department and/or Chair of the Board of Examiners.
- 44.2 For non-academic complaints this will normally be restricted to the head of the relevant unit of UCL.
45. The notification to the respondent(s) will include a copy of the complaint together with a copy of this Procedure and an invitation to respond formally to the complaint within fifteen days of notification. The respondent(s) may consult with any individuals who may have been involved or who may be able to provide information relevant to the matter under consideration.
46. The response will then be forwarded to the student who will also be given fifteen days to comment on the factual accuracy of the response.
47. The Deputy Registrar and Chair of the Panel will then determine, on the basis of the material presented, whether or not a decision on the complaint can be made. If it is decided that a decision can be made, the Deputy Registrar shall notify all parties in writing of the decision, giving reasons, as soon as is practicable and normally within ten days following the meeting between the Deputy Registrar and the Chair of the Panel. Depending on the outcome, this may include the issuing of a Completion of Procedures letter.
48. Where further consideration of the complaint is required, the Chair will establish a Complaints Panel (Section 4 - Complaints Panel refers).

## 12.4 Section 4 - Complaints Panel

49. The Complaints Panel ('the Panel' hereafter) will consider the complaint and in so doing will:
- a) accord equal procedural treatment to both or all parties concerned;
  - b) seek further clarification of the written evidence from whomever it feels appropriate;
  - c) interview the parties concerned.
50. The sole purpose of the Panel will be to investigate the grounds of the complaint by the student; the Panel will not in any way constitute or be seen to constitute a disciplinary hearing against the member(s) of staff or UCL department, faculty or service concerned.

## Panel Membership

51. In cases of an academic complaint involving undergraduate or taught graduate programmes of study the Panel membership will comprise the Dean of Students (Academic) as Chair, a Faculty Tutor from a Faculty other than that in which the student is registered and a student representative (normally a Sabbatical Officer of the UCL Union). Where the Dean of Students (Academic) is unable to act in the capacity as Chair he/she will nominate another Faculty Tutor to serve in this role.
52. In cases of an academic complaint involving a research programme, the Panel membership will comprise the Head of the Graduate School as Chair, a Faculty Graduate Tutor chosen from a Faculty other than that in which the student is registered and a student representative (normally a Sabbatical Officer of UCL Union). Where the Head of the Graduate School is unable to act in the capacity as Chair he/she will nominate another Faculty Graduate Tutor to serve in this role.
53. In cases of a non-academic complaint the Panel membership will comprise the Vice-Provost (Operations) (or her/his nominee) as Chair, a senior manager chosen from one of the Professional Services Divisions or Schools/Faculties and a student representative (normally a Sabbatical Officer of UCL Union).
54. The appointment of Panel members will be made with regard for an appropriate balance of diversity.
55. A member of staff from UCL Student and Registry Services may be appointed by the Deputy Registrar to support and advise a Panel as necessary in respect of UCL's Academic Regulations for Students and/or other relevant UCL regulations and procedures according to the nature of the complaint.
56. A member of staff from UCL Student and Registry Services will be appointed to act as Secretary to the Panel through whom all documentation will be passed. There will be no communication, either written or oral, between the Panel and either the student or the member or members of staff concerned. Communication, either written or oral, by any party directly with members of the Panel will not be admitted as part of the case documentation.
57. Where necessary, an independent expert in the field of study or related discipline may be appointed, subject to the agreement of all parties, to advise the Panel either orally or in writing.
58. Where a case is considered at more than one meeting of the Panel, the same Panel members who first considered the case will normally consider that case at a second or subsequent meeting.



## **Conduct of Hearings**

59. The conduct at a Complaints Panel will be determined by the Chair of the Panel so the complaint is heard in such manner as s/he considers appropriate and fair.
60. All documentation pertaining to the complaint must be received by all parties no later than ten days before the meeting of the Panel. No further communications of any sort will be accepted for consideration by the Panel after this time except at the sole discretion of the Chair of the Panel.
61. A single recording will normally be made by UCL of each hearing for the purpose of providing a factual record in the event of the hearing going to Review.
62. Both the student and member(s) of staff concerned are entitled to be present throughout a hearing except when the Panel deliberates on its decision. Only in exceptional circumstances, and with the agreement of all parties, may individuals be heard separately. Each party will be entitled to be accompanied during the Panel hearing by 'a friend'. The friend must be a member of UCL or UCL Union.
63. Requests by either the student or member(s) of staff concerned to call witnesses will be decided by the Chair of the Panel.
64. If any party fails to attend the Panel, the Panel may proceed and determine the complaint in the absence of that party.

## **The Decision**

65. The decision of a Panel will be reached by a majority vote of the members of the Panel, and shall be announced as the decision of the Panel.
66. The votes of individual Panel members shall always be treated as confidential and there shall be no disclosure either of such votes or of information showing whether the decision was reached by a unanimous or a majority vote.
67. The Panel may adjourn for a period not exceeding seven days for the purpose of deciding upon the appropriate action to be taken.
68. The Panel will complete a written statement of its findings and decision within ten days of the date of the final meeting of the Panel. The Panel is authorised to impose a solution on the officers of the area of UCL in which the complaint occurred. Any compensating action proposed in the light of the complaint will not be implemented until it is clear if a review of the Panel's findings will be made and, if so, until the outcome of the review is known.
69. Subject to the rights of review, all decisions made in accordance with these procedures shall be binding on all parties.

## 12.5 Section 5 - Review Procedure

70. If the student feels that the complaint has not been resolved satisfactorily by the Panel, s/he has the right to request that the matter be reviewed.
71. Notice of intention to seek a review of the outcome of the Panel may be made in writing by the student to the Registrar within twenty-one days of the date of the notification of the Panel's decision. Such notice must include all documentation pertaining to the grounds on which the review is being made. No further communications of any sort will be accepted for consideration under the review after this time.
72. A request for a review may be made only on one or more of the following grounds:
  - a) that the complaint process was not conducted according to the above procedures;
  - b) that new evidence has become available which was not, and which could not reasonably have been made available to the Panel;
  - c) that the compensating action agreed by the Panel was inadequate in relation to the complaint.
73. As soon as is practicable after receipt of such notification the Registrar will present the documentation relevant to the review to the Chair of the Review Panel who will decide on the evidence available whether or not the review should be proceeded with in accordance with the grounds set out at above.
74. If it is decided not to proceed with the review, the Registrar will inform the student of the decision of the Chair of the Review Panel, giving reasons, accompanied by a Completion of Procedures letter.
75. Where it is decided that the review shall be proceeded with, the Registrar will inform all parties of the decision of the Chair of the Review Panel and will make the necessary arrangements for a Review Panel to consider the complaint as early as possible. The outcome of the review is expected to be determined within two calendar months of receipt of the notification of intention to seek a review.

### **Review Panel Membership**

76. Membership of a Review Panel will be drawn from an independent panel approved by Council. As far as is practicable, the appointment of Panel members shall be made with regard for an appropriate balance of diversity.
77. The Review Panel will have three members, including the Chair, who will be appointed by the Provost. In the event of the unforeseen unavailability of a Panel member, the Registrar may appoint a replacement.

78. The Secretary of a Review Panel will normally be appointed from UCL Student and Registry Services. S/he will not have acted as secretary to the Panel whose decision is now under review.
79. A Review Panel will review all of the evidence before it; will seek further clarification of the written evidence from whomever it feels appropriate; and will have the power to reverse or modify the decision reviewed in any way that it thinks fit. Where new evidence is considered which was not available to the Complaints Panel, the Chair of the first Panel will be given the opportunity to respond to the new material. Only exceptionally, and on its own initiative, will a Review Panel interview the student and member(s) of staff concerned. On such occasions the procedure for conducting a panel interview will be as prescribed under the procedures for establishing a Panel.
80. The decision of a Review Panel will be reached in accordance with the decision-making procedure as prescribed for a Panel.
81. The Review Panel will notify the Registrar in writing of the outcome of the Review. The Registrar will in turn notify all parties of the decision of the Review Panel and issue a Completion of Procedures letter to the student.
82. A decision of the Review Panel shall be final as far as this Procedure is concerned.

## 13 Public Complaints about UCL

1. Persons other than current staff or students of UCL who wish to make a complaint about their experience of UCL should follow the advice below.
2. Anyone who wishes to make a complaint about her/his experience of UCL should try first to resolve the matter informally, in consultation with either the person who has caused the complaint, or with that person's line manager, or with another appropriate person within the area of UCL where the complaint has arisen. If a complaint cannot be resolved informally, the person wishing to make the complaint should put details of the matter causing complaint in writing to the Vice-Provost (Operations) [rex.knight@ucl.ac.uk]. In order for a complaint to be considered, these details must normally be received by the Vice-Provost (Operations) no later than one calendar month after the date on which the event causing the complaint occurred. If the form is received any later, the Vice-Provost (Operations) will exercise discretion as to whether or not to investigate the matter.
3. The complainant is invited to indicate, if he/she wishes, the form of remedy which may be sought. While UCL will take such wishes into consideration in the resolution of the issue, this information is, nevertheless, given without prejudice to the final outcome.