

# CHARTER AND STATUTES

ELIZABETH THE SECOND by the Grace of God of the United Kingdom of Great Britain and Northern Ireland and of Our other Realms and Territories Queen, Head of the Commonwealth, Defender of the Faith:

TO ALL TO WHOM THESE PRESENTS SHALL COME, GREETING!

WHEREAS an humble Petition has been presented unto Us by Our most dearly beloved Mother Queen Elizabeth The Queen Mother, Chancellor of Our University of London, Sir Cyril Philips, then Vice-Chancellor of Our University of London and by the College Committee of University of London, University College: praying that We should grant a Charter of Incorporation for the purpose of re-constituting University of London, University College as a College of the University of London.

AND WHEREAS We have taken the said Petition into Our Royal Consideration and are minded to accede thereto:

NOW THEREFORE KNOW Ye that We by virtue of Our Prerogative Royal and of Our especial grace, certain knowledge and mere motion have willed and ordained and by these Presents do for Us, Our Heirs and Successors will and ordain as follows:

1. University of London, University College is hereby re-constituted as a college of the University of London by the name and style of 'University College London', hereinafter referred to as 'the College'.
2. The Council, the Academic Board, the Honorary Fellows and Honorary Graduates, the Academic Staff and Students of the College and all such other persons as may pursuant to this Our Charter and the Statutes and Regulations of the College become Members of the Body Corporate are hereby constituted and shall for ever hereafter be one Body Corporate and Politic by the name of 'University College London' with perpetual succession and a Common Seal.
3. The objects of the College shall be to provide education and courses of study in the fields of Arts, Laws, Pure Sciences, Medicine and Medical Sciences, Social Sciences and Applied Sciences and in such other fields of learning as may from time to time be decided upon by the College and to encourage research in the said branches of knowledge and learning and to organise, encourage and stimulate postgraduate study in such branches.
4. The College, subject to this Our Charter and to the Statutes and Ordinances of Our University of London (hereinafter referred to as 'the University') shall in furtherance of the foregoing objects but not otherwise have the following

powers:

- (1) To provide facilities for research and scholarship, courses of education in undergraduate and postgraduate study and such other educational services as may be thought desirable or expedient.
- (2) To provide, maintain, alter and improve for the use of the Students and for the Staff of the College, libraries, museums, laboratories, lecture, class and reading rooms, residential accommodation, club rooms and premises, sports and playing fields, lands, furniture, fixtures, fittings, apparatus, equipment, books, publications, and any other things necessary, suitable or convenient for furthering any of the objects of the College.
- (3) To maintain, develop or alter the relationship between the College and the University and other educational institutions in such manner as may from time to time be thought desirable or expedient.
- (4) To solicit, receive and administer grants, subscriptions, donations, endowments, gifts and loans of any property whatsoever whether real or personal (including intellectual property rights), and whether subject or not subject to any specific trusts or conditions, to sanction such receipt and acceptance on its behalf by any body created or incorporated to raise funds for the College and approved by the Council of the College, to act as trustees for or in relation to any such gifts, legacies and endowments and to retain any such gifts, legacies and endowments either in their original form of investment or such other forms as the College, consistent with the terms of such gifts, legacies and endowments, may determine.
- (5) To act as trustees or managers of any property, endowment, legacy, bequest or gift for purposes of education or research consistent with the provisions of this Our Charter.
- (6) To invest any moneys in the hands of the College and available for investment in accordance with the Statutes.
- (7) To demand and receive fees, subscriptions and deposits.
- (8) To give guarantees to financial or commercial institutions of standing or repute, whether in pursuance of continuing arrangements or not.
- (9) To borrow and raise money either with or without security and to mortgage, charge or pledge the assets of the College as security for any moneys so raised.

- (10) To establish or abolish such posts both academic and non-academic as the College may require, to appoint persons thereto, to prescribe their conditions of service, to remunerate them, and to remove them.
- (11) To grant, continue and pay such salaries, pensions, gratuities or other sums in respect of services (whether rendered before or after the grant of this Our Charter) as may from time to time be thought proper.
- (12) To make all reasonable and necessary provision for the payment of pensions and superannuation to or on behalf of employees and their widows or widowers and dependants.
- (13) To found, maintain and award exhibitions, scholarships, bursaries and studentships and to award medals and prizes.
- (14) To print, publish or disseminate educational material, in whatever form, with a view to furthering the objects of the College.
- (15) To subscribe to any charities and to grant donations for any charitable purpose.
- (16) To award Degrees, Diplomas and Certificates of the College.
- (17) To co-operate or work with other educational or research institutions or public bodies or industrial or commercial concerns with a view to the advancement of the education and research in the College. To amalgamate with colleges, schools or other educational or research institutions with the same or similar charitable purposes.
- (18) To acquire for the College or construct, provide, maintain, manage, repair and dispose of any real or other property and to make such arrangements for insurance as it deems necessary.
- (19) To insure the Members of the Council against the costs of a successful defence to a criminal prosecution brought against them as charity trustees or against personal liability incurred in respect of any act or omission which is or is alleged to be a breach of trust or breach of duty, unless the Member of Council concerned knew that or was reckless whether the act or omission was a breach of trust or breach of duty.
- (20) Without prejudice to the express powers of the College, to exercise such powers of the University as may be authorised by the University.
- (21) Generally to do all such other lawful acts as shall further all or any of

the objects of the College.

5. There shall be a Visitor of the College who shall be the Master of the Rolls for the time being.
6. All persons of the requisite academic standard, whether resident in Our United Kingdom of Great Britain and Northern Ireland or elsewhere, shall be eligible for admission to the College without any distinction whatsoever and no religious test shall be imposed on any Member of the College nor shall any disability be imposed on the grounds of political belief, sex or race.
7. There shall be a Council of the College (in this Our Charter referred to as 'the Council'), which shall be the governing body of the College and which shall have the custody and use of the Common Seal. Statutes shall provide the constitution of the Council and it shall have the management and administration of the property of the College and the conduct of its affairs, subject to the powers of the Academic Board, together with all such other powers and duties as may be conferred upon it by the Statutes or Regulations.
8. There shall be an Academic Board of the College (in this Our Charter referred to as the 'Academic Board'). Statutes shall provide the constitution of the Academic Board and it shall, subject to the powers of the Council as provided in this Our Charter and the Statutes, be responsible for the academic work of the College in teaching, in examining and in research and for the regulation and superintendence of the education of the Students of the College.
9. There shall be a Chair of the Council who shall be appointed by the Council and shall preside over the meetings of the Council.
10. There shall be a Vice-Chair of the Council who shall be elected by the Council and shall, subject to the Statutes, during a vacancy in the office of Chair or during his or her inability through illness or for any other cause to perform his or her functions and duties, perform all the functions and duties of the Chair.
11. There shall be a Treasurer of the College and such other Officers of the College as the Council may from time to time appoint.
12. There shall be a President and Provost of the College, hereinafter referred to as 'the Provost', who shall be the principal academic and administrative officer of the College and shall *ex officio* be Chair of the Academic Board.
13. There shall be Honorary Fellows and Honorary Graduates of the College, who shall be elected in accordance with the Statutes and Regulations.

14. There shall be a Students' Union, whose Constitution, and any amendments thereto, shall require the approval of the Council.
15. The Schedule to this Our Charter sets forth the Statutes of the College and may be added to, repealed or altered in manner hereinafter provided.
16. Subject to the provisions of this Our Charter, Statutes may prescribe or regulate as the case may be:
  - (1) The status, election, appointment and continuance in office of the Chair and Vice-Chair of the Council, the Treasurer, the Provost and other Officers and Members of Staff of the College.
  - (2) The constitution, powers, functions, duties and procedure of the Council, Academic Board and Faculties, and of Committees responsible to them, the status, election, appointment and continuance in office of the Chairs and other members of those bodies, the filling of vacancies among the members of those bodies and other such matters relative to those bodies.
  - (3) The power of Council to delegate upon such conditions as it may from time to time determine any of its powers and duties to the Academic Board or to Committees or Sub-Committees formed from within its own number or otherwise appointed, or to Officers of the College, with or without power to such Academic Board, Committees or Sub-Committees further to delegate all or any such of the delegated powers to any subordinate body. Provided that any such delegation shall not be repugnant to the provisions of the Statutes or of this Our Charter.
  - (4) All such other matters as the Council may deem fit with respect to or for the governing of the College, its Members and constituent parts or otherwise for the furtherance of the objects of the College.
17. The Academic Board shall have power to propose to the Council Statutes and Regulations to be made by the Council and it shall be the duty of the Council to consider any such Statutes or Regulations.
18. The Council may, by Special Resolution, make Statutes which add to, repeal or alter the Statutes of the College provided that:
  - (1) no such Statutes which affect academic policy or the remuneration and conditions of appointment of the Academic Staff shall be made until the Academic Board has been consulted; and
  - (2) no such Statutes shall have effect until approved by the Lords of Our

Most Honourable Privy Council of which approval a certificate under the hand of the Clerk of Our said Council shall be conclusive evidence; and

- (3) no such Statutes shall have effect if repugnant to the provisions of this Our Charter or to the Statutes and Ordinances of the University insofar as these are relevant.
19. Subject to the provisions of this Our Charter and the Statutes, the Council may make such Regulations as it considers necessary or desirable for the purpose of carrying out the objects of the College and shall stipulate when such Regulations are to come into effect. Such Regulations may add to, amend or repeal Regulations from time to time in force.
20. The Statutes may direct that any of the matters authorised or directed in this Our Charter to be prescribed or regulated by Statute shall be prescribed or regulated by Regulation or by decision made by the Council. Provided that any such further prescription or regulation shall not be repugnant to the provisions of the Statutes or of this Our Charter.
21. Subject to the provisions of this Our Charter and the Statutes, the Council and the Academic Board respectively may from time to time make Standing Orders governing their proceedings, and the power to make Standing Orders shall include the power to add to, amend or repeal any Standing Orders theretofore made.
22.
  - (1) It shall be the duty of the Council to refer to the Academic Board any matter coming before the Council which the Council considers to have academic implications and which has not been previously considered by the Academic Board.
  - (2) It shall be the duty of the Academic Board to bring before the Council any matter coming before the Academic Board which the Academic Board considers to have financial implications or to affect the general management of the College or its relationship with persons and bodies outside the College.
23. The Council may by Special Resolution alter, amend, repeal or add to this Our Charter provided that no such alteration, amendment, repeal or addition which affects academic policy or the remuneration and conditions of appointment of the Academic Staff shall be made until the Academic Board has been consulted, and such alteration, amendment, repeal or addition shall when allowed by Us, Our Heirs or Successors in Council become effectual so that this Our Charter shall henceforward continue and operate as so altered, amended, repealed or added to. This provision shall apply to this Our Charter as altered, amended, repealed or added to in manner

aforesaid.

24. For the purposes of this Our Charter, a 'Special Resolution' means a resolution passed at a meeting of the Council convened by twenty-eight days written notice specifying the substance of the resolution to be proposed thereat, by a majority consisting of not less than two-thirds of those present and voting:

Provided that in the case of a resolution to alter, amend, repeal or add to this Our Charter, the resolution shall be of no effect unless it is confirmed by a further Special Resolution passed at a meeting of the Council held not less than one month nor more than four months after the date of the first resolution and both resolutions are passed by a majority which, in addition to being not less than two-thirds of those present and voting, is also an absolute majority of all the Members of the Council.

25. Our Royal Will and Pleasure is that this Our Charter shall ever be construed benevolently and in every case most favourably to the College and to the promotion of the objects of this Our Charter.

IN WITNESS whereof We have caused these Our Letters to be made Patent.

WITNESS Ourselves at Westminster the seventeenth day of November in the twenty-fifth year of Our Reign.

BY WARRANT UNDER THE QUEEN'S SIGN MANUAL

## THE STATUTES

### 1. INTERPRETATION

(1) These Statutes shall be read with the Charter and words and expressions used in the Charter shall, if not inconsistent with the subject or context, have the same meaning herein.

(2) Unless the context otherwise requires, in these Statutes:

`Academic Staff' means (subject to Statute 18) all persons holding appointments of Professor, Reader, Senior Lecturer, Senior Clinical Lecturer, Lecturer or Clinical Lecturer tenable at the College or persons holding the appointment of Honorary Senior Clinical Lecturer (as defined by Regulation) at the College, or any other individuals holding an appointment (including honorary appointment) designated as an appointment on the Academic Staff of the College by the Council, or any other categories of staff designated Academic Staff of the College by the Council;

`Appointed Day' means the day on which the Charter and these Statutes become effective;

`Charter' means the Charter of the College;

`Council' means the Council of the College;

`Education and Campaigns Officer' means the Education and Campaigns Officer of the Students' Union and 'Finance and Services Officer' means the Finance and Services Officer of the Students' Union or, in the event of redesignation of either office by the Students' Union, the holder of the corresponding redesignated office;

`Functions' includes powers and duties;

`Non-professorial' in relation to any persons means the holders of appointments on the Academic Staff of the College other than the appointment of Professor or Visiting Professor or any honorary appointment;

`Regulations' means Regulations for Management made pursuant to the Charter or these Statutes;

`Students' Union' means the Union of Students of the College;

`year' means a period of twelve months ending on such date as may be



prescribed from time to time by Regulations which may prescribe different dates for different purposes.

- (3) In these Statutes words importing the singular number only shall include the plural number and vice versa and words importing persons shall include corporations.

## 2. MEMBERS OF THE COLLEGE

- (1) The following persons shall be Members of the College:

The Members of the Council.

The Members of the Academic Board.

The Honorary Fellows and Honorary Graduates of the College.

The Members of the Academic Staff.

The Students registered at the College.

All other full-time staff and such other individuals or categories of staff as may be prescribed by decisions of the Council.

- (2) The Council may, at the request of any person who is a Member of the College, declare that person to be no longer a Member of the College.

## 3. THE COUNCIL

- (1) The Council shall consist of the following persons:

(A) EX OFFICIO MEMBERS

(i) The Provost.

(ii) The Education and Campaigns Officer of the Students' Union.

(iii) The Finance and Services Officer of the Students' Union.

(B) APPOINTED MEMBERS

Eleven persons who are not employees of the College or Students to be appointed by the Council, according to procedures laid down in Regulations.

(C) ELECTED MEMBERS

(i) Three Professors elected by the professorial Members of the Academic Board from among their number, according to procedures laid down in Regulations.

- (ii) Three persons being Members of the Academic Board elected by the Non-Professorial Members and the Honorary Senior Clinical Lecturer Members of the Academic Board from among their number, according to procedures laid down in Regulations.
- (2)
  - (A) *Ex officio* Members of the Council shall remain Members for so long as they hold the relevant office.
  - (B)
    - (i) The Appointed Members of the Council under Statute 3 (1) (B) shall remain Members for three years.
    - (ii) The period of office of Elected Members of the Council under Statute 3 (1) (C) (i) and (ii) shall be such period, not exceeding three years, as shall be determined by Regulation.
- (3) At the end of his or her period of membership the eligibility of any Member of the Council, other than an *ex officio* Member, for re-appointment or re-election in the same capacity shall be determined as follows:
  - (A) Appointed Members may be reappointed for a second or third period of three years. Before they may again be appointed not less than a year shall elapse after the expiry of either the third period of membership or, exceptionally, a subsequent period of membership beyond the third period (as provided for under sub-paragraph (C) below).
  - (B) Elected Members under Statute 3 (1) (C) (i) and (ii) may be re-elected for a second or further period which shall be determined by Regulation but which shall not exceed three years, provided that such Elected Members shall not serve for more than six consecutive years and not less than a year shall elapse after the expiry of such a period of continuous service before they may again be elected.
  - (C) Subject to the provisions of sub-paragraph (A) above, the Council may, exceptionally and subject to the resolution of a meeting of the Council, re-appoint a Member of Council to serve for a fourth consecutive term of three years.
- (4) A Member of the Council shall cease to be a Member:
  - (A) if a receiving order in bankruptcy is made against him or her, or if he or she makes any arrangement or composition with his or her creditors;

- (B) if the Council, after due consideration of a report on that Member by an independent medical authority, determines that he or she is incapable, by reason of physical or mental incapacity, of performing the functions of a Member of the Council;
  - (C) if by notice in writing he or she resigns his or her membership;
  - (D) if he or she absents himself or herself from all meetings of the Council during a period of one year without leave of the Council;
  - (E) if in the case of a Member elected in accordance with paragraph (1) (C) of this Statute, he or she ceases to be a member of the body from which he or she is elected;
  - (F) if a resolution be passed or a notice signed by not less than three-quarters of the whole number of the Members of the Council requiring him or her to resign on the ground that in their opinion he or she has been or is conducting himself or herself in a manner so prejudicial to the interests of the College as to render him or her unfit to continue as a Member of the Council and he or she shall have failed to resign within fourteen days of the date on which such resolution was passed or on which such notice was served on him or her through the post addressed to him or her at his or her usual address.
- (5) If any Member of the Council, other than an *ex officio* Member, shall cease to be a Member before the end of his or her term of office, the appropriate steps, in accordance with paragraphs (1) and (2) of this Statute, shall be taken to fill the vacancy for the remainder of his or her period of membership.
- (6) The eligibility for further service on the Council of any Member appointed or elected under the provisions of paragraph (5) of this Statute shall be determined by Regulation.

#### 4. THE CHAIR, VICE-CHAIR AND THE TREASURER

- (1) The Council shall appoint from among its Appointed Members a Chair, for a term of office to be determined by the Council and confirmed in the minutes of the Council meeting at which the Appointed Member concerned is appointed as Chair. The term of office of the Chair shall not normally exceed five years.
- (2) The Chair, as a Member of the Council, shall be subject to the provisions of Statute 3(4). Further to the provisions of Statute 3(4), a written complaint may be made by no fewer than five members of the Council to the Vice-

Chair of the Council, seeking the removal from office of the Chair on the grounds that he or she is failing to discharge the functions and duties of the office of Chair and requesting that a Special Meeting of the Council be convened by the Secretary of the Council, according to the provisions of Statute 5(2), to consider the complaint.

- (3) The Council shall whenever a vacancy arises elect from among its Appointed Members a Vice-Chair and a Treasurer and each of them shall hold office either for a period of three years from the start of October following their election or until he or she ceases to be a Member of the Council whichever shall be the earlier. Each of them shall be eligible for re-election to his or her office, subject to the provisions of Statute 3(3).
- (4) If any casual vacancy shall occur in the office of Chair the Council shall as soon as conveniently may be after the occurrence of such vacancy appoint another Appointed Member to fill such vacancy either for the remainder of the term of office of the former Chair or for such other term of office as may be determined by the Council in accordance with the provisions of Statute (4)(1); and pending such appointment the Vice-Chair shall perform all the functions and duties of the Chair. The Council shall act similarly to elect a new Vice-Chair or Treasurer in the case of any such casual vacancy in the offices of Vice-Chair and Treasurer.

## 5. MEETINGS OF THE COUNCIL AND COMMITTEES ESTABLISHED BY THE COUNCIL

- (1) There shall be held in every year at least three meetings of the Council to be called Ordinary Meetings.
- (2) Upon the written requisition of the Chair of the Council or of not fewer than five Members of the Council the Secretary to the Council shall convene a Special Meeting of the Council. Such requisition shall specify the object of the desired Meeting and the Secretary shall within seven days after receipt by him or her of such requisition convene a Special Meeting to be held within twenty-eight days of the date of the notice convening the Meeting for the purpose specified in the requisition.
- (3) In the absence of the Chair of the Council the Chair shall be taken at any Meeting of the Council by the Vice-Chair, and in the absence of both the Chair and the Vice-Chair shall be taken by such one of the Members present as those Members may appoint.
- (4) Ten or such larger number as the Council may from time to time by Regulation prescribe of whom at least five shall be persons appointed under

Statute 3 (1) (B) shall be a quorum of a Meeting of the Council. When necessary the Chair of the Meeting may call for a vote to determine any question arising at any Meeting of the Council. In the case of an equality of votes the Chair of the Meeting shall have as well as his or her own vote a second or casting vote. No voting by proxy shall be permitted.

- (5) The Council may establish such Committees as it shall deem necessary from time to time for such purposes as the Council shall consider necessary. The Council shall have the power to dissolve any such Committee at its discretion. The powers of such Committees shall be determined by Regulation.
- (6) Minutes shall be kept of all resolutions and proceedings of Meetings of the Council and of Committees and Sub-Committees and a Minute therein signed by the Chair of the Meeting whereof it is a record or by the Chair of the next Meeting shall be prima facie evidence of the matters recorded therein.
- (7) The Council may act at any time notwithstanding any vacancy therein.
- (8) A defect in the appointment of any Member of the Council or of a Committee or Sub-Committee of the Council or in the appointment of any person acting as a Member of any of those bodies or a defect in the qualification for Membership of any person occupying the position of Member of any of those bodies, shall not invalidate acts bona fide done prior to the discovery of the defect, by as the case may be, any Meeting of the Council or of a Committee or Sub-Committee of the Council or by any person acting as aforesaid.

## 6. POWERS AND DUTIES OF THE COUNCIL

- (1) The Council shall conduct the general business of the College consistently with the provisions of the Charter and these Statutes and of the Statutes and Ordinances of the University insofar as these are relevant.
- (2) Subject to the Charter and these Statutes, the Council, in addition to all other powers vested in it, shall have the following powers: Provided that the Council shall not make any decision on any question of educational policy or make Regulations on any matter having academic implications until the Academic Board has had an opportunity of expressing an opinion on such question or matter and until the Council has considered any opinion so expressed.
  - (A) To govern, manage and regulate the finances, accounts, investments, property, business and all affairs whatsoever of the College and for these purposes to appoint Bankers and any other officers or agents whom it deems expedient to appoint.
  - (B) To prescribe by Regulation the conditions for the admission of Students to the College.
  - (C) To prescribe by Regulation the conditions as to the discharge of any liabilities of Students to the College under which Students shall be permitted to pursue their studies in the College.
  - (D) To suspend the College registration of Students for failure to comply with any conditions prescribed by Regulations under sub-paragraph (C) of this paragraph, and, in the case of Students of the University, to inform the University accordingly.
  - (E) To determine fees, subscriptions and deposits.
  - (F) To provide courses of instruction for Students and facilities for research and such other educational services as the Council shall deem to be desirable or expedient.
  - (G) To prescribe the conditions governing the award of exhibitions, scholarships, bursaries, studentships, medals and prizes.
  - (H) To promote and maintain a Students' Union for the benefit of the Students of the College.
  - (I) To prescribe by Regulation the conditions for the use and custody of the Seal.

- (J) From time to time at any Meeting of the Council to make, alter or revoke Regulations for the conduct of the business or affairs of the College: Provided that notice of an intention to propose any amendment to or revocation of the existing Regulations or the making of any new Regulations shall have been given in the notice calling such a Meeting.
  - (K) To appoint the Provost and other Officers of the College, the Dean of Students, all Members of the Academic Staff and the Staff of the College upon such conditions as the Council may think fit.
  - (L) To do all such acts and things as are necessary for the transaction of the business of the College or the furtherance of its objects.
- (3) Subject to the conditions or provisions, if any, attached by the donor to any gift from which the same are derived moneys and funds of the College may be invested in such stocks, funds, shares or securities and investments as the Council shall from time to time think fit, whether within the United Kingdom of Great Britain and Northern Ireland or not, including the purchase of land of any tenure or any interest therein in the said United Kingdom: Provided that in the case of moneys and funds held by the College as trustees the powers conferred by this Statute shall be exercised subject to the provisions of the law relating to investment by trustees.
- (4) (A) Subject to the proviso of sub-paragraph (B) below, to enter into any interest rate swap, any option to enter into an interest rate swap or any cap, collar, ceiling or floor in relation thereto, any forward rate agreement or any other hedging agreement similar in form or effect to the foregoing (each such agreement referred to hereinafter as a 'Hedging Agreement')
- (B) To determine from time to time the terms and conditions upon which a Hedging Agreement is entered into and to vary such terms and conditions, provided always that:
- (i) entry into a Hedging Agreement is either:
    - (a) a term or condition upon which money is borrowed or loan stock issued or subscribed for, or
    - (b) otherwise entered into at the time of entering into borrowing or issue of or subscription for loan stock,
- and the sum of the notional principal amount of that Hedging Agreement shall not exceed the amount of monies required

from time to time to repay such borrowing or to redeem or purchase such loan stock; or

- (ii) the purpose and effect of entering into a Hedging Agreement is to hedge, vary or otherwise modify any financial arrangement which the College has entered into or is to enter into or the rights and obligations of the College under any such financial arrangement and the sum of the notional principal amount of the Hedging Agreement entered into pursuant to this sub-paragraph 4 (B) (ii) shall not exceed the notional principal amount of the financial arrangement or Hedging Agreement originally entered into

and provided further that, at the time the terms of the Hedging Agreement are agreed, the effective rate of interest when the borrowing or issue of or subscription for loan stock and such Hedging Agreement are considered together will not exceed, in the opinion of the Council of the College, the market rate of interest for borrowing of similar amount and on similar terms prevailing at that time.

- (5) (A) Where there is any delegation, according to provisions of the Charter, the Council shall:
  - (i) Inform the delegate in writing of the limits of the Council's powers.
  - (ii) Lay down a detailed policy in writing for the performance of the function, duty or responsibility and inform the delegate in writing of any changes thereto as soon as reasonably practical.
  - (iii) Ensure that the terms of the delegated authority are clearly set out in writing to the delegate.
  - (iv) Ensure that they are kept informed and review on a regular basis the exercise by the delegate of his or her delegated authority.
- (B) Where any delegation is made it shall be on terms that:
  - (i) The delegate shall comply with the terms of his or her delegated authority.
  - (ii) The delegate shall not do anything that the Council does not have power to do.



- (iii) The Council may wish with reasonable notice to revoke the delegation or vary any of its terms in a way which is consistent with this part.
- (iv) The Council may give directions to the delegate as to the manner in which he or she is to report to it the exercise of his or her delegated authority.
- (C) The Council shall not delegate their power either to make Regulations in accordance with the foregoing sub-paragraph (2)(J) or to reach a decision under paragraph 10(2) of Statute 18.

## 7. THE ACADEMIC BOARD

- (1) The Academic Board shall consist of the following persons:

(A) EX OFFICIO MEMBERS

The Provost

The Deans of the College Faculties

All persons appointed to a Chair tenable at the College or upon whom the title of Professor has been conferred in respect of a post tenable at the College

All Heads of Departments who are not Professors

The Director of Library Services

The Deans of Students

The Faculty Tutors

The Education and Campaigns Officer of the Students' Union

The Medical and Postgraduate Students' Officer of the Students' Union

(B) APPOINTED MEMBERS

Such members of the Academic Staff other than those specified in sub-paragraph (A) of this paragraph, in number determined by Regulation, as may by reason of their administrative or personal services be appointed from time to time by the Council on the advice of the Academic Board.

(C) ELECTED MEMBERS

- (i) Such other persons being either Non-Professorial Members

or Honorary Senior Clinical Lecturer Members of the Academic Staff, in number determined by Regulation, as shall be elected by such of the Non-Professorial Members and Honorary Senior Clinical Lecturer Members of the Academic Staff as are not, by virtue of sub-paragraphs (A) and (B) of this paragraph, Members of the Academic Board; or Members of the non-Academic Staff, in number determined by Regulation: Provided that this number shall be not less than one-quarter nor more than one-third of the total membership of the Board.

- (ii) Such number of Students as shall be determined by Regulation: Provided that this number shall not exceed thirteen and shall include not less than two postgraduate Students.
- (2) The Elected Members of the Academic Board shall be elected in such manner and for such periods as may be prescribed by Regulations. Such Regulations may also provide for determining the eligibility of an Elected Member for re-election.
  - (3) An Appointed or Elected Member of the Academic Board shall cease to be a Member if by notice in writing he or she resigns his or her membership, or if he or she ceases to serve in the capacity in which he or she was appointed or elected.
  - (4) Any casual vacancy among the Elected Members on the Academic Board shall be filled in accordance with Regulations to be made on the recommendation of the Academic Board.
  - (5) The Academic Board shall meet at least once in each term.
  - (6) Upon the written requisition of not fewer than ten Members of the Academic Board the Secretary to the Board shall convene a Special Meeting of the Board. Such requisition shall specify the object of the desired Meeting and the Secretary shall within seven days after receipt of such requisition convene a Special Meeting to be held within fourteen days of the date of the notice convening the Meeting for the purpose specified in the requisition.
  - (7) In the absence of the Provost the Chair shall be taken at any Meeting of the Academic Board by an Officer appointed by the Council under Statute 11 (6) to deputise for the Provost, and in the absence of both the Provost and such an Officer shall be taken by such one of the Members present as those Members may appoint. In the case of an equality of votes the Chair of the Meeting shall have a second or casting vote.

- (8) The quorum for a Meeting of the Academic Board shall be determined by Regulation.
- (9) Minutes shall be kept of all resolutions and proceedings of Meetings of the Academic Board and a Minute therein signed by the Chair of the Meeting whereof it is a record or by the Chair of the next Meeting shall be prima facie evidence of the matters recorded therein.
- (10) Subject to the provisions of Article 8 of the Charter and to the Statutes and Ordinances of the University, the duties of the Academic Board shall be:
  - (A) To consider and advise the Council upon all academic matters and questions affecting the educational policy of the College, the organisation of teaching, examining, research, and courses of instruction, including the following:
    - (i) matters concerning academic co-operation between the College and any other body;
    - (ii) appointments to established Chairs and Readerships of the University of London tenable at the College;
    - (iii) any other matter which may be referred to it by the Council.
  - (B) To consider and advise the Council upon the conditions and tenure of appointment of Members of the Academic Staff.
  - (C) To discharge such other duties and functions connected with the College as the Council may from time to time assign to it.
  - (D) To elect as and when necessary Members to the Council in accordance with Statute 3(1).
  - (E) To recommend the award of degrees of the University.
- (11) Subject to the provisions of the Charter and these Statutes the powers of the Academic Board shall be governed by Regulation or decision of the Council made in manner hereinbefore provided.
- (12) Subject to the provisions of the Charter and these Statutes, and to such powers as may be delegated to it by the Council, the Academic Board shall have power to delegate upon such conditions as it may from time to time determine any of its powers and duties to Faculty Committees or Committees or Sub-Committees formed from its own number or otherwise appointed, or to Officers of the College, with or without power to the Faculty Committees, or such Committees or Sub-Committees further to delegate

any of the delegated powers to any subordinate body.

## 8. THE FACULTIES

- (1) There shall be within the College such Faculties as the Council on the advice of the Academic Board may from time to time determine.
- (2) There shall be for each Faculty a Dean and a Vice-Dean. A Faculty may appoint an additional Vice-Dean if the Faculty sees fit to do so.
- (3) The Dean for each Faculty shall be appointed by Council according to procedure determined by Regulation.
- (4) The Vice-Dean or Vice-Deans for the Faculty shall be appointed by the Faculty in a manner and for a period to be determined by the Faculty.
- (5) Each Faculty shall establish such Committees as may be determined by Regulation. The Dean of the Faculty shall be responsible for ensuring that there are arrangements in place within the Faculty for regularly communicating and consulting with members of the Faculty generally.
- (6) The Provost shall appoint a Tutor to Students of each Faculty, to be designated the Faculty Tutor. The Provost shall prescribe the duties of the Faculty Tutors.

## 9. POWERS OF CHAIRS

Subject to the provisions of the Charter and Statute 6 (5), the Chairs of the Council, the Academic Board, and all Committees and Sub-Committees of the College and its Faculties shall be empowered to take action on behalf of those bodies, in any matters being in their opinion either urgent (but not of sufficient importance to justify a Special Meeting of the appropriate body) or non-contentious. Such action shall be reported to the appropriate body at its next Meeting.

## 10. THE ACADEMIC UNITS OF THE COLLEGE

- (1) There shall be such academic units of the College as the Council on the advice of the Academic Board may from time to time determine, with such powers as determined by the Council on the advice of the Academic Board. An academic unit shall normally comprise Academic Staff and Students. The Academic Staff of such units shall conduct research and teaching and shall undertake such administrative or other duties as may be deemed

appropriate by the Head of the unit. The academic units of the College shall have such designation as the Council on the advice of the Academic Board may from time to time determine.

- (2) The Headship of such academic units shall be approved by the Council under arrangements specified by Regulations. The responsibilities of Headship of such units shall be notified in writing by the Provost to persons appointed to Headship. Such notification will be given prior to the commencement of the person's appointment as Head of the unit.
- (3) The academic units of the College determined by the Council may be assigned to one or other of the College Faculties by the Council on the advice of the Academic Board.
- (4) For each academic unit of the College determined by the Council on the advice of the Academic Board, meetings at which the Head of the academic unit or his or her deputy shall be in the Chair, and which such Members of the Academic Staff of the academic unit as shall be determined by Regulation shall be entitled to attend, shall be held, as specified by Regulation, in each academic unit in each year.

## 11. THE PROVOST AND THE VICE-PROVOSTS

- (1) The Provost shall be the Head of the College and shall have a general responsibility to the Council for maintaining and promoting the efficiency and good order of the College and shall have such powers and duties as may be entrusted to him or her by the Council. The Provost shall be appointed by the Council after consultation with the Academic Board. The Provost may be removed by the Council for good cause as defined in Statute 18.
- (2) Subject to the provisions of the Charter and these Statutes and of the Statutes and Ordinances of the University, the Provost shall have power to admit as a Student anyone having the requisite qualifications, in accordance with Regulations made by the Council on the advice of the Academic Board from time to time. The Provost may refuse to admit any person as a Student without assigning any reason.
- (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 paragraphs (2), (3) and (4) of this Statute to such Officer of the College or persons or bodies as he or she may think fit.
- (5) The Council shall have power to appoint a Vice-Provost or Vice-Provosts, on the recommendation of the Provost or of the Academic Board. A Vice-Provost or Vice-Provosts shall assist the Provost in such matters as the Provost may from time to time entrust to him or her. A Vice-Provost shall hold appointment for the period and upon such conditions as shall from time to time be prescribed by decision of the Council.
- (6) The Council shall, after consideration of a report from the Academic Board, appoint from within the membership of that body such Officer of the College who shall, subject to these Statutes, act for the Provost during a vacancy in that office or during the absence or inability of the Provost. Such Officer shall hold appointment for the period and upon such conditions as shall from time to time be prescribed by decision of the Council.

## 12. THE DEANS OF STUDENTS

There shall be one or more Deans of Students, whose appointment shall be made, and whose duties shall be laid down, by the Council on the advice of the Academic Board, and who shall hold office for such period as the Council may determine.

## 13. JURISDICTION OVER STUDENTS

- (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 Discipline Committee is permanent expulsion from the College and its precincts and other buildings and premises owned or occupied by the College, or temporary suspension for more than four weeks.

#### 14. HONORARY FELLOWS

- (1) The Council shall have power to elect and admit Honorary Fellows of the College, and shall make Regulations to govern the number of persons to be elected and the criteria for and method of their election.
- (2) The Council may declare an Honorary Fellow of the College to be no longer an Honorary Fellow if, in the opinion of the Council, such Honorary Fellow has been or is conducting himself or herself in a manner so prejudicial to the interests of the College as to render him or her unfit to continue as an Honorary Fellow of the College and he or she shall have failed to resign within fourteen days of the date on which such resolution was passed or on which such notice was served on him or her through the post addressed to him or her at his or her usual address.
- (3) The Honorary Fellows of the College shall include those persons elected as Fellows of the College in or prior to the year 2010.

#### 15. THE AUDITOR

- (1) The Council shall appoint an Auditor. Such Auditor shall be qualified in accordance with the provisions of the Companies Act 1985-1989 or any statutory modification or re-enactment thereof.
- (2) The Auditor shall have no financial interest, direct or indirect, in the College, nor any official, professional or personal relationship which might cause the Auditor to limit the extent or character of the audit of the College's activities.
- (3) The Auditor shall hold office for such period as the Council may think fit and shall be eligible for re-appointment, and shall receive such remuneration as may be determined from time to time by the Council.
- (4) The Auditor may resign by notice in writing addressed to the Secretary of the Council. If the office of Auditor shall become vacant before the expiry of the period of appointment, the Council shall advise the Higher Education Funding Council for England and shall appoint a replacement Auditor.

- (5) The Auditor shall have a right of access at all reasonable times to the books, records, accounts and vouchers of the College and shall be entitled to require such information and explanation as may be necessary for the performance of his or her duties.
- (6) The Auditor shall make a report to the Council at least once in each year.

## 16. THE STUDENTS' UNION (THE UCL UNION)

The UCL Union shall consist of all registered Students of the College, together with such other persons as under its Constitution it may determine. Any registered student shall, however, have the right to opt not to be a member of the UCL Union and may exercise that right in accordance with procedures prescribed and published by the Union.

## 17. STUDENT MEMBERSHIP OF COUNCIL AND COMMITTEES ESTABLISHED BY COUNCIL; RESERVED AREAS OF BUSINESS

- (1) Student Members to be elected to the Academic Board as provided in Statute 7 (1) (C) (ii) and to such Committees and other bodies as the Council may from time to time determine shall be registered Students of the College and their membership of the Academic Board or of Committees and other bodies shall terminate if they cease to be registered Students of the College. The Council after consulting the Students' Union shall make Regulations governing the election of Student Members with the purpose that the persons thus elected shall be fully representative of the Student body.
- (2) Student Members of the Council, of the Academic Board and of such Committees and other bodies as the Council may from time to time determine shall not participate in the consideration of reserved areas of business. Reserved areas of business include appointments, promotions and other matters affecting the personal affairs of individual Members of Staff of the College, and the admission and academic assessment of individual Students. Papers for consideration at any such meeting, and minutes and other records relating to such matters, shall not at any time be available to a Student Member. The Chair of the meeting may decide in any case of doubt whether a matter is one to which this paragraph applies and his or her decision shall be final.



## 18. ACADEMIC STAFF

### PART I CONSTRUCTION, APPLICATION AND INTERPRETATION

#### Construction

1. This Statute and any Regulation made under this Statute shall be construed in every case to give effect to the following guiding principles, that is to say:
  - (a) to ensure that academic staff have freedom within the law to question and test received wisdom, and to put forward new ideas and controversial or unpopular opinions, without placing themselves in jeopardy of losing their jobs or privileges;
  - (b) to enable the College to provide education, promote learning and engage in research efficiently and economically; and
  - (c) to apply the principles of justice and fairness.

#### Reasonableness of decisions

2. No provision in Part II or Part III shall enable the body or person having the duty to reach a decision under the relevant Part to dismiss any member of the academic staff unless the reason for his or her dismissal may in the circumstances (including the size and administrative resources of the College) reasonably be treated as a sufficient reason for dismissing him or her.

#### Application

3. (1) This Statute shall apply
  - (a) to Professors, Readers, Senior Lecturers, Senior Clinical Lecturers, Lecturers, Clinical Lecturers or persons holding any other appointment (other than an honorary appointment) designated as an appointment on the Academic Staff of the College by the Council;
  - (b) to staff holding academic related posts, being posts recognised by the Council for the purposes of this Statute; and

- (c) to the Provost to the extent and in the manner set out in the Annex to this Statute.
- (2) In this Statute any reference to "academic staff" is a reference to persons to whom this Statute applies.

### Interpretation

#### Meaning of "dismissal"

- 4. In this Statute "dismiss" and "dismissal" mean dismissal of a member of the academic staff and:
  - (a) include remove or, as the case may be, removal from office; and
  - (b) in relation to employment under a contract, shall be construed in accordance with section 55 of the Employment Protection (Consolidation) Act 1978.

#### Meaning of "good cause"

- 5. (1) For the purposes of this Statute "good cause" in relation to the dismissal or removal from office or place of a member of the academic staff, being in any case a reason which is related to conduct or to capability or qualifications for performing work of the kind which the member of the academic staff concerned was appointed or employed to do, means:
  - (a) conviction for an offence which may be deemed by a Tribunal appointed under Part III to be such as to render the person convicted unfit for the execution of the duties of the office or employment as a member of the academic staff; or
  - (b) conduct of an immoral, scandalous or disgraceful nature incompatible with the duties of the office or employment; or
  - (c) conduct constituting failure or persistent refusal or neglect or inability to perform the duties or comply with the conditions of office; or
  - (d) physical or mental incapacity established under Part IV.
- (2) In this paragraph:
  - (a) "capability", in relation to such a member, means capability assessed by reference to skill, aptitude, health or any other

physical or mental quality; and

- (b) "qualifications", in relation to such a member, means any degree, diploma or other academic, technical or professional qualification relevant to the office or position held by that member.

Meaning of "redundancy"

- 6. For the purposes of this Statute dismissal shall be taken to be a dismissal by reason of redundancy if it is attributable wholly or mainly to:
  - (a) the fact that the College has ceased, or intends to cease, to carry on the activity for the purposes of which the member of the academic staff concerned was appointed or employed by the College, or has ceased, or intends to cease, to carry on that activity in the place in which the member concerned worked; or
  - (b) the fact that the requirements of that activity for members of the academic staff to carry out work of a particular kind, or for members of the academic staff to carry out work of a particular kind in that place, have ceased or diminished or are expected to cease or diminish.

Incidental, supplementary and transitional matters

- 7. (1) In any case of conflict, the provisions of this Statute shall prevail over those of any other Statute and over those of any byelaw, rule or regulation and the provisions of any Regulation made under this Statute shall prevail over those of any other Regulation:

Provided that Part III of and the Annex to this Statute shall not apply in relation to anything done or omitted to be done before the date on which the instrument making these modifications was approved under subsection (9) of section 204 of the Education Reform Act 1988.

- (2) Nothing in any appointment made, or contract entered into, shall be construed as overriding or excluding any provision made by this Statute concerning the dismissal of a member of the academic staff by reason of redundancy or for good cause:

Provided that nothing in this sub-paragraph shall prevent waivers made under section 142 of the Employment Protection (Consolidation) Act 1978 from having effect.

- (3) Nothing in any other Statute or in any Regulation made thereunder shall authorise or require any person to sit as a member of any Committee, Tribunal or body appointed under this Statute or to be present when any such Committee, Tribunal or body is meeting to arrive at its decision or for the purpose of discussing any point of procedure.
- (4) In this Statute:
  - (a) references to the designated officer are references to an officer of the College designated by the Council for the relevant purposes of this Statute; and
  - (b) references to numbered Parts, paragraphs, and subparagraphs are references to Parts, paragraphs, and subparagraphs so numbered in this Statute.

## PART II REDUNDANCY

### Purpose of Part II

8. This Part enables the Council, as the appropriate body, to dismiss any member of the academic staff by reason of redundancy.

### Exclusion from Part II of persons appointed or promoted before 20th November 1987

9. (1) Nothing in this Part shall prejudice, alter or affect any rights, powers or duties of the College or apply in relation to a person unless:
  - (a) his or her appointment is made, or his or her contract of employment is entered into, on or after 20th November 1987; or
  - (b) he or she is promoted on or after that date.
- (2) For the purposes of this paragraph in relation to a person, a reference to an appointment made or a contract entered into on or after 20th November 1987 or to promotion on or after that date shall be construed in accordance with subsections (3) to (6) of section 204 of the Education Reform Act 1988.

### The Appropriate Body

10. (1) The Council shall be the appropriate body for the purposes of this

Part.

- (2) This paragraph applies where the Council has decided that it is desirable that there should be a reduction in the academic staff:
  - (a) of the College as a whole; or
  - (b) of any Faculty or other academic unit of the College as defined in Statute 10

by way of redundancy.

- 11. (1) Where the Council has reached a decision under paragraph 10(2) it shall appoint a Redundancy Committee to be constituted in accordance with sub-paragraph (3) of this paragraph to give effect to its decision by such date as it may specify and for that purpose
  - (a) to select and recommend the requisite members of the academic staff for dismissal by reason of redundancy; and
  - (b) to report their recommendations to the Council.
- (2) The Council shall either approve any selection recommendation made under sub-paragraph (1), or shall remit it to the Redundancy Committee for further consideration in accordance with its further directions.
- (3) A Redundancy Committee appointed by the Council shall comprise:
  - (a) a Chair; and
  - (b) two members of the Council, not being persons employed by the College; and
  - (c) two members of the academic staff nominated by the Academic Board.

Notices of intended dismissal

12. (1) Where the Council has approved a selection and recommendation made under paragraph 11(1) it may authorise an officer of the College as its delegate to dismiss any member of the academic staff so selected.
- (2) Each member of the academic staff selected shall be given separate notice of the selection approved by the Council.
- (3) Each separate notice shall sufficiently identify the circumstances which have satisfied the Council that the intended dismissal is reasonable and in particular shall include:
  - (a) a summary of the action taken by the Council under this Part;
  - (b) an account of the selection processes used by the Redundancy Committee;
  - (c) a reference to the rights of the person notified to appeal against the notice and to the time within which any such appeal is to be lodged under Part V (Appeals); and
  - (d) a statement as to when the intended dismissal is to take effect.

PART III DISCIPLINE, DISMISSAL AND REMOVAL FROM OFFICE

Disciplinary Procedures

13. (1) Minor faults shall be dealt with informally.
- (2) Where the matter is more serious but falls short of constituting possible good cause for dismissal the following procedure shall be used:

Stage 1 - Oral Warning

If conduct or performance does not meet acceptable standards the member of the academic staff will normally be given a formal ORAL WARNING. The member will be advised of the reason for the warning, that it is the first stage of the disciplinary procedure and of the right of appeal under this paragraph. A brief note of the oral warning will be kept but it will be spent after 12

months, subject to satisfactory conduct and performance.

### Stage 2 - Written Warning

If the offence is a serious one, or if a further offence occurs, a WRITTEN WARNING will be given to the member of the academic staff by the Head of Department. This will give details of the complaint, the improvement required and the timescale. It will warn that a complaint may be made to the designated officer seeking the institution of charges to be heard by a Tribunal appointed under paragraph 16 if there is no satisfactory improvement and will advise of the right of appeal under this paragraph. A copy of this written warning will be kept by the Head of Faculty or other academic unit of the College as defined in Statute 10 but it will be disregarded for disciplinary purposes after two years subject to satisfactory conduct and performance.

### Stage 3 - Appeals

A member of the academic staff who wishes to appeal against a disciplinary warning shall inform the designated officer within two weeks. A Vice-Provost shall hear all such appeals and his or her decision shall be final.

### Preliminary examination of serious disciplinary matters

14. (1) If there has been no satisfactory improvement following a written warning given under Stage 2 of the procedure in paragraph 13, or in any other case where it is alleged that conduct or performance may constitute good cause for dismissal or removal from office, a complaint seeking the institution of charges to be heard by a Tribunal appointed under paragraph 16 may be made to the designated officer who shall bring it to the attention of the Provost.
- (2) To enable the Provost to deal fairly with any complaint brought to his or her attention under sub-paragraph (1) he or she shall institute such investigations or enquiries (if any) as appear to him or her to be necessary.
- (3) If it appears to the Provost that a complaint brought to his or her attention under sub-paragraph (1) relates to conduct or performance which does not meet acceptable standards but for which no written warning has been given under paragraph 13 or which relates to a particular alleged infringement of Regulations for which a standard penalty is normally imposed in the College or within the Faculty, School, Department or other relevant area, or is trivial or invalid he or she may dismiss it summarily, or decide not to proceed further under this Part.

- (4) If the Provost does not dispose of a complaint under sub-paragraph (3) he or she shall treat the complaint as disclosing a sufficient reason for proceeding further under this Part and, if he or she sees fit, he or she may suspend the member from the precincts of the College or any part thereof on full pay pending a final decision:
- (5) Where the Provost proceeds further under this Part he or she shall write to the member of the academic staff concerned inviting comment in writing.
- (6) As soon as may be following receipt of the comments (if any) the Provost shall consider the matter in the light of all the material then available and may:
  - (a) dismiss it himself or herself; or
  - (b) refer it for consideration under paragraph 13; or
  - (c) deal with it informally himself or herself if it appears to the Provost appropriate to do so and if the member of the academic staff agrees in writing that the matter should be dealt with in that way; or
  - (d) direct the designated officer to prefer a charge or charges to be considered by a Tribunal to be appointed under paragraph 16.
- (7) If no comment is received within 28 days the Provost may proceed as aforesaid as if the member concerned had denied the substance and validity of the alleged case in its entirety.

#### Institution of Charges

15. (1) In any case where the Provost has directed that a charge or charges be preferred under paragraph 14(6)(d), he or she shall request the Council to appoint a Tribunal under paragraph 16 to hear the charge or charges and to determine whether the conduct or performance of the member of the academic staff concerned constitutes good cause for dismissal or otherwise constitutes a serious complaint relating to the member's appointment or employment.
- (2) Where the Council has been requested to appoint a Tribunal under paragraph 16 the designated officer or, if he or she is unable to act, another officer appointed by the Provost shall take charge of the proceedings.



- (3) The officer in charge of the proceedings shall formulate, or arrange for the formulation of, the charge or charges and shall present, or arrange for the presentation of, the charge or charges before the Tribunal.
- (4) It shall be the duty of the officer in charge of the proceedings:
  - (a) to forward the charge or charges to the Tribunal and to the member of the academic staff concerned together with the other documents therein specified, and
  - (b) to make any necessary administrative arrangements for the summoning of witnesses, the production of documents and generally for the proper presentation of the case before the Tribunal.

#### The Tribunal

16. A Tribunal appointed by the Council shall comprise:
  - (a) a Chair; and
  - (b) a member of the Council, not being a person employed by the College; and
  - (c) one member of the academic staff nominated by the Academic Board;

#### Provisions concerning Tribunal procedure

17. (1) The procedure to be followed in respect of the preparation, hearing and determination of charges by a Tribunal shall be that set out in Regulations made under this paragraph.
- (2) Without prejudice to the generality of the foregoing such Regulations shall ensure:
  - (a) that the member of the academic staff concerned is entitled to be represented by another person, whether such person be legally qualified or not, in connection with and at any hearing of charges by a Tribunal;
  - (b) that a charge shall not be determined without an oral hearing at which the member of the academic staff concerned and any person appointed by him or her to represent him or her

are entitled to be present;

- (c) that the member of the academic staff and any person representing the staff member may call witnesses and may question witnesses upon the evidence on which the case against him or her is based; and
- (d) that full and sufficient provision is made:
  - (i) for postponements, adjournments, dismissal of the charge or charges for want of prosecution, remission of the charge or charges to the Provost for further consideration and for the correction of accidental errors; and
  - (ii) for appropriate time limits for each stage (including the hearing) to the intent that any charge thereunder shall be heard and determined by a Tribunal as expeditiously as reasonably practicable.

#### Notification of Tribunal decisions

- 18. (1) A Tribunal shall send its decision on any charge referred to it (together with its findings of fact and the reasons for its decision regarding that charge and its recommendations, if any, as to the appropriate penalty) to the Provost and to each party to the proceedings.
- (2) A Tribunal shall draw attention to the period of time within which any appeal should be made by ensuring that a copy of Part V (Appeals) accompanies each copy of its decision sent to a party to the proceedings under this paragraph.

#### Powers of the appropriate officer where charges are upheld by Tribunal

- 19. (1) Where the charge or charges are upheld and the Tribunal finds good cause and recommends dismissal or removal from office, but in no other case, the appropriate officer shall decide whether or not to dismiss the member of the academic staff concerned.
- (2) In any case where the charge or charges are upheld, other than where the appropriate officer has decided under sub-paragraph (1) to dismiss the member of the academic staff concerned, the action available to the appropriate officer (not comprising a greater penalty than that recommended by the Tribunal) may be:

- (a) to discuss the issues raised with the member concerned; or
- (b) to advise the member concerned about his or her future conduct; or
- (c) to warn the member concerned; or
- (d) to suspend the member concerned for such period as the appropriate officer shall think fair and reasonable, not to exceed three months after the Tribunal's decision; or
- (e) any combination of any of the above or such further or other action under the member's contract of employment or terms of appointment as appears fair and reasonable in all the circumstances of the case.

#### Appropriate Officers

- 20. (1) The Provost shall be the appropriate officer to exercise the powers conferred by paragraph 19 and any reference to the appropriate officer includes a reference to a delegate of that officer.
- (2) Any action taken by the appropriate officer shall be confirmed in writing.

#### PART IV REMOVAL FOR INCAPACITY ON MEDICAL GROUNDS

- 21. (1) This Part makes separate provision for the assessment of incapacity on medical grounds as a good cause for the dismissal or removal from office.
  - (2) In this Part references to medical grounds are references to capability assessed by reference to health or any other physical or mental quality.
  - (3) In this Part references to the appropriate officer are references to the Provost or an officer acting as his or her delegate to perform the relevant act.
  - (4) References to the member of the academic staff include, in cases where the nature of the alleged disability so requires, a responsible relative or friend in addition to (or instead of) that member.
- 22. (1) Where it appears that the removal of a member of the academic staff

on medical grounds would be justified, the appropriate officer:

- (a) shall inform the member accordingly; and
  - (b) shall notify the member in writing that it is proposed to make an application to the member's doctor for a medical report and shall seek the member's consent in writing in accordance with the requirements of the Access to Medical Reports Act 1988.
- (2) If the member shares that view the College shall meet the reasonable costs of any medical opinion required.
- (3) If the member does not share that view the appropriate officer shall refer the case in confidence, with any supporting medical and other evidence (including any medical evidence submitted by the member), to a Board comprising one person nominated by the Council; one person nominated by the member concerned or, in default of the latter nomination, by the Academic Board; and a medically qualified chairman jointly agreed by the Council and the member or, in default of agreement, to be nominated by the President of the Royal College of Physicians.
- (4) The Board may require the member concerned to undergo medical examination at the College's expense.

#### Termination of Employment

23. If the Board determines that the member shall be required to retire on medical grounds, the appropriate officer shall direct the designated officer or his or her delegate to terminate the employment of the member concerned on those medical grounds.

### PART V APPEALS

#### Purpose of Part V

24. This Part establishes procedures for hearing and determining appeals by members of the academic staff who are dismissed or under notice of dismissal or who are otherwise disciplined.

Application and interpretation of Part V

25. (1) This Part applies:
- (a) to appeals against the decisions of the Council as the appropriate body (or of a delegate of that body) to dismiss in the exercise of its powers under Part II;
  - (b) to appeals arising in any proceedings, or out of any decision reached, under Part III other than appeals under paragraph 13 (Appeals against disciplinary warnings);
  - (c) to appeals against dismissal otherwise than in pursuance of Part II or Part III;
  - (d) to appeals against discipline otherwise than in pursuance of Part III; and
  - (e) to appeals against decisions reached under Part IV
- and "appeal" and "appellant" shall be construed accordingly.
- (2) No appeal shall however lie against:
- (a) a decision of the appropriate body under paragraph 10(2);
  - (b) the findings of fact of a Tribunal under paragraph 18(1) save where, with the consent of the person or persons hearing the appeal, fresh evidence is called on behalf of the appellant at that hearing;
  - (c) any finding by a Board set up under paragraph 22(3).
- (3) In this Part references to "the person appointed" are references to the person appointed by the Council under paragraph 28 to hear and determine the relevant appeal.
- (4) The parties to an appeal shall be the appellant and the designated officer and any other person added as a party at the direction of the person appointed.

Institution of Appeals

26. A member of the academic staff shall institute an appeal by serving on the designated officer, within the time allowed under paragraph 27, notice in writing setting out the grounds of the appeal.

Time for appealing and notices of appeal

27. (1) A notice of appeal shall be served within 28 days of the date on which the document recording the decision appealed from was sent to the appellant or such longer period, if any, as the person appointed may determine under sub-paragraph (3).
- (2) The designated officer shall bring any notice of appeal received (and the date when it was served) to the attention of the Council and shall inform the appellant that he or she has done so.
- (3) Where the notice of appeal was served on the designated officer outside the 28 day period the person appointed under paragraph 28 shall not permit the appeal to proceed unless he or she considers that justice and fairness so require in the circumstances of the case.

Persons appointed to hear and determine appeals

28. (1) Where an appeal is instituted under this Part the Council shall appoint a person described in sub-paragraph (2) to hear and determine that appeal.
- (2) The persons described in this sub-paragraph are persons not employed by the College holding, or having held, judicial office or being barristers or solicitors of at least ten years' standing.
- (3) The person appointed shall sit alone unless he or she considers that justice and fairness will best be served by sitting with two other persons.
- (4) The other persons who may sit with the person appointed shall be:
- (a) a member of the Council not being a person employed by the College; and
- (b) one member of the academic staff nominated by the Academic Board.

Provisions concerning appeal procedures and powers

29. (1) The procedure to be followed in respect of the preparation, consolidation, hearing and determination of appeals shall be that set out in Regulations made under this paragraph.
- (2) Without prejudice to the generality of the foregoing such Regulations

shall ensure:

- (a) that an appellant is entitled to be represented by another person, whether such person be legally qualified or not, in connection with and at any hearing of his or her appeal;
  - (b) that an appeal shall not be determined without an oral hearing at which the appellant, and any person appointed by him or her to represent him or her are entitled to be present and, with the consent of the person or persons hearing the appeal, to call witnesses;
  - (c) that full and sufficient provision is made for postponements, adjournments, dismissal of the appeal for want of prosecution and for the correction of accidental errors; and
  - (d) that the person appointed may set appropriate time limits for each stage (including the hearing itself) to the intent that any appeal shall be heard and determined as expeditiously as reasonably practicable.
- (3) The person or persons hearing the appeal may allow or dismiss an appeal in whole or in part and, without prejudice to the foregoing, may:
- (a) remit an appeal from a decision under Part II to the Council as the appropriate body (or any issue arising in the course of such an appeal) for further consideration as the person or persons hearing the appeal may direct; or
  - (b) remit an appeal arising under Part III for re-hearing by a differently constituted Tribunal to be appointed under that Part; or
  - (c) remit an appeal from a decision of the appropriate officer under Part IV for further consideration as the person or persons hearing the appeal may direct; or
  - (d) substitute any lesser alternative penalty that would have been open to the appropriate officer following the finding by the Tribunal which heard and pronounced upon the original charge or charges.

Notification of decisions

30. The person appointed shall send the reasoned decision, including any

decision reached in exercise of his or her powers under paragraph 29(3)(a), (b) or (c), on any appeal together with any findings of fact different from those come to by the Council as the appropriate body under Part II or by the Tribunal under Part III, as the case may be, to the Provost and to the parties to the appeal.

## PART VI GRIEVANCE PROCEDURES

### Purpose of Part VI

31. The aim of this Part is to settle or redress individual grievances promptly, fairly and so far as may be, within the Faculty or other academic unit of the College as defined in Statute 10 by methods acceptable to all parties.

### Application

32. The grievances to which this Part applies are ones by members of the academic staff concerning their appointments or employment where those grievances relate:

- (a) to matters affecting themselves as individuals; or
- (b) to matters affecting their personal dealings or relationships with other staff of the College,

not being matters for which express provision is made elsewhere in this Statute.

### Exclusions and Informal Procedures

33. (1) If other remedies within the Faculty or other academic unit of the College as defined in Statute 10 have been exhausted the member of the academic staff may raise the matter with the Head of the Faculty or other academic unit of the College as defined in Statute 10.
- (2) If the member of the academic staff is dissatisfied with the result of an approach under sub-paragraph (1) or if the grievance directly concerns the Head of the Faculty or other academic unit of the College as defined in Statute 10, the member may apply in writing to the Provost for redress of the grievance.
- (3) If it appears to the Provost that the matter has been finally determined under Part III, IV or V or that the grievance is trivial or invalid, he or she may dismiss it summarily, or take no action upon it.



If it so appears to the Provost he or she shall inform the member and the Grievance Committee accordingly.

- (4) If the Provost is satisfied that the subject matter of the grievance could properly be considered with (or form the whole or any part of):
- (a) a complaint under Part III;
  - (b) a determination under Part IV; or
  - (c) an appeal under Part V

he or she shall defer action upon it under this Part until the relevant complaint, determination or appeal has been heard or the time for instituting it has passed and he or she shall notify the member and the Grievance Committee accordingly.

- (5) If the Provost does not reject the complaint under sub-paragraph (3) or if he or she does not defer action upon it under sub-paragraph (4) he or she shall decide whether it would be appropriate, having regard to the interests of justice and fairness, for him or her to seek to dispose of it informally. If he or she so decides he or she shall notify the member and proceed accordingly.
- (6) If the grievance directly concerns the Provost, the Chair of the Council shall consider the matter in accordance with sub-paragraphs (3) to (5) and, in this event, for any reference in this Part to the Provost there shall be substituted a reference to the Chair of the Council.

#### Grievance Committee Procedure

34. If the grievance has not been disposed of informally under paragraph 33(5), the Provost shall refer the matter to the Grievance Committee for consideration.
35. The Grievance Committee to be appointed by the Council shall comprise:
- (a) a Chair; and
  - (b) a member of the Council not being a person employed by the College; and
  - (c) one member of the academic staff nominated by the Academic Board.

Procedure in connection with determinations; and right to representation

36. The procedure in connection with the consideration and determination of grievances shall be determined in Regulations in such a way as to ensure that the aggrieved person and any person against whom the grievance lies shall have the right to be heard at a hearing and to be accompanied by a friend or representative.

Notification of decisions

37. The Committee shall inform the Council whether the grievance is or is not well-found and if it is well-found the Committee shall make such proposals for the redress of the grievance as it sees fit.

ANNEX

PROVISIONS AS TO THE PROVOST

1. The Council may request its Chair to remove the Provost from office for good cause in accordance with the procedure described in this Annex.
  - (1) A complaint seeking the removal from office of the Provost for good cause may be made by not less than three members of the Council to the Chair of the Council.
  - (2) If it appears to the Chair of the Council, on the material before him or her, that the complaint raises a prima facie case and that this could, if proved, constitute good cause for dismissal or removal from office he or she shall request the Council to appoint a Tribunal to hear and determine the matter.
  - (3) If it appears to the Chair of the Council that a complaint made to him or her under sub-paragraph (1) does not raise a prima facie case or is trivial or invalid, he or she may recommend to the Council that no further action be taken upon it.
  - (4) When the Council has appointed a Tribunal under sub-paragraph (2) it shall instruct a solicitor or other suitable person to formulate a charge or charges and to present, or arrange for the presentation of, the charges before the Tribunal.
  - (5) A Tribunal appointed by the Council shall comprise:
    - (a) an independent Chair; and
    - (b) a member of the Council not being a person employed by the College; and
    - (c) one member of the academic staff.
  - (6) Subject to the principles of justice and fairness the Tribunal may determine its own procedure.
  - (7) The Tribunal shall send its reasoned decision on any charge referred to it together with its findings of fact regarding the charge and its recommendations, if any, as to the appropriate penalty to the Chair of

the Council and to the Provost drawing attention to the period of time within which any appeal should be made.

- (8) Persons appointed to hear such an appeal shall be persons independent of the College holding, or having held, judicial office or being barristers or solicitors of at least ten years' standing and the person so appointed shall, subject to the principles of justice and fairness, determine the procedure to be adopted in hearing the appeal.
  - (9) A person appointed shall send the reasoned decision on the appeal, together with any findings of fact different from those come to by the Tribunal and his or her recommendations, if any, as to the appropriate penalty, to the Provost and to the Chair of the Council.
  - (10) Where a charge or charges have been upheld by the Tribunal and not dismissed on appeal, the Chair of the Council shall decide whether or not to dismiss the Provost.
2. Where a complaint is to be referred to a Tribunal under this Statute, the Chair of the Council may suspend the Provost from his or her duties and may exclude the Provost from the precincts of the College or any part thereof without loss of salary.
  3. "Good cause" in this Annex has the same meaning as in paragraph 5 of this Statute.
  4. For the purpose of the removal of the Provost for incapacity on medical grounds, Part IV of this Statute shall have effect subject to the following modifications:
    - (a) for references to a member of the academic staff there shall be substituted references to the Provost;
    - (b) for any reference to the office of Provost there shall be substituted a reference to the office of Chair of the Council;
    - (c) for paragraph 23 there shall be substituted:

"23. If the Council determines that the Provost should be required to retire on medical grounds, it shall ask the Chair of the Council as the appropriate officer, to decide whether or not to terminate the appointment of the Provost on those medical grounds."