

# The University of Manchester

## Schedule of Ordinances

- I Election of the Chancellor and Terms of Appointment
- II The Nominations Committee
- III Terms of Office on the Board of Governors, the Senate and the General Assembly
- IV *Ex Officio* and Designated Membership of the Board of Governors, the Senate, the General Assembly and the Alumni Association
- V Election of Members of the Board of Governors, the Senate and the General Assembly
- VI Other Honours and Distinctions
- VII Other Officers and Members of the University
- VIII Arrangements for Effective Governance and Internal Management and Financial Control
- IX Subsidiary Undertakings
- X The Board of Governors as Trustee
- XI The Faculties
- XII The Schools
- XIII University Research Institutes
- XIV Intellectual Property Rights (IPR), Data Protection and the Use of Information Systems
- XV Partnerships for Collaboration in Educational Provision
- XVI The Admission and Registration of Students
- XVII The Union of Students
- XVIII Reserved Business
- XIX The University Press
- XX Designation of office holders and employing authorities pursuant to Statute XIII.1(c) and 18(a)

- XXI Procedure for the removal of members of staff from non-substantive positions pursuant to Statute XIII.1(c)
- XXII Procedure for determining the membership of panels established pursuant to Statute XIII.4, and related procedural matters
- XXIII Procedure for the dismissal of members of staff by reason of redundancy pursuant to Statute XIII, Part II
- XXIV Staff disciplinary procedures pursuant to Statute XIII, Part III
- XXV Procedures for the review of members of staff demonstrating incapacity on health grounds pursuant to Statute XIII, Part IV
- XXVI Procedure for the review of probationary appointments pursuant to Statute XIII.16
- XXVII Procedure for the dismissal of members of staff on other grounds pursuant to Statute XIII.17
- XXVIII Staff grievance procedure pursuant to Statute XIII, Part VI

## **Ordinance I**

### **Election of the Chancellor**

1. The date of election shall be appointed by the Registrar and Secretary, who shall act as Returning Officer for the election and shall have a general discretion to ensure that the election is conducted in a proper and seemly manner. In fulfilling this role, the Registrar and Secretary may choose to appoint a suitable external agent to fulfil many of the duties expected of the Returning Officer and to provide administrative support for the election, on the approval of the Board. The external agent may, if appropriately qualified and subject to the approval of the candidates duly nominated, fulfil the duties of a Scrutineer.
2. Pursuant to Statute IV, those who may participate in the election shall be:
  - (a) those members of the Alumni Association whose names and addresses have been registered on the list compiled in pursuance of Statute XVIII.3 at a date fourteen weeks before the date appointed for the election;
  - (b) those persons who hold paid superannuable appointments in the University at a date fourteen weeks before the date appointed for the election and which extend to the date appointed for the election;
  - (c) those persons who are members of the General Assembly at a date fourteen weeks before the date appointed for the election and whose appointments do not terminate before the date appointed for the election.

Any person whose name appears on more than one list shall be entitled to only one vote.
3. No fewer than twelve weeks before the date appointed for the election, the Returning Officer shall notify all persons eligible to participate in the election stating that the Chancellorship is or is to become vacant, as may be appropriate, specifying the date appointed for the election and drawing attention to the provisions of this Ordinance.
4. No candidate for election to the Chancellorship shall be deemed to be validly nominated unless:
  - (a) a proposition for such nomination, in writing, signed by at least twenty persons who are eligible to participate in the election, shall have been received by the Returning Officer no fewer than six weeks before the date appointed for the election;
  - (b) at the time the proposition for nomination is made, he or she has assented, in writing, to becoming a candidate for election, and has certified that he or she holds no paid appointment in the University.
5. Should there be only one candidate validly nominated, the Returning Officer shall declare him or her to be elected and shall make the result public.

6. Should there be more than one candidate validly nominated:
  - (a) the Returning Officer shall contact all persons eligible to participate in the election, no fewer than twenty-eight days prior to the date appointed for the election and provide a list of the candidates in random order and further information on the process by which voting will take place;
  - (b) each candidate validly nominated shall be invited to appoint a Scrutineer. Any candidate not nominating a Scrutineer shall have a Scrutineer appointed by the Returning Officer. On the date appointed for the election, the Returning Officer shall arrange to make available to the Scrutineers for examination the report on the internet voting and (if this method of voting is used) the envelopes containing the ballot papers unopened.
  - (c) the result of the election shall be declared by the Returning Officer immediately following the conclusion of the Count, and subsequently shall be made public;
  - (d) two weeks after the declaration of the result, the Returning Officer, with the consent of the Scrutineers, shall arrange for the destruction of voting papers and records.

## **Ordinance II**

### **The Nominations Committee**

1. The constitution of the Nominations Committee appointed by the Board pursuant to Statute VI.2 shall be as follows:

The Pro-Chancellor (in the Chair)  
One member of the Board in Category 2 (lay members) who is not an Officer of the Board  
One member of the Board in Category 3 (Senate members)  
One member of the Board in Category 4 (staff members)  
Five lay members of the General Assembly who are not members of the Board
2. The members drawn from the membership of the Board shall be appointed by the Board. The members drawn from the membership of the General Assembly shall be nominated for appointment by the Board by the General Assembly according to a procedure of its own choosing.
3. A casual vacancy amongst the membership shall be filled as soon as conveniently possible by the body which appointed the member whose place has become vacant and shall be for the unexpired portion of the previous member's term of office.
4. Subject to the Statutes and the Ordinances, members of the Committee shall serve for a period of three academic years and may be reappointed, but shall not serve continuously for more than two such three-year terms. Any period of more than one year that may be served initially through appointment to a casual vacancy shall be deemed to be a three-year term for this purpose. On the establishment of the

Committee with the constitution set out in paragraph 1 above, the initial periods of office of the members may be adjusted in order to ensure that vacancies occur in approximately equal numbers in successive years. Initial periods of less than three years duration shall be deemed to be casual vacancies for the purposes of this paragraph.

5. The duties and responsibilities of the Committee shall be:
  - (a) to recommend to the Board appointments to be made in Category 2 of the Board membership (lay), which shall include, without prejudice to the generality of paragraph 6 below, consideration of nominations made by the Alumni Association for the one place in Category 2 reserved to it. Only those members of the Association who derive their membership from the provisions of Statute XVIII.2(a) and (b) shall be eligible to be nominated;
  - (b) to recommend to the Board the continuing membership of the General Assembly in Category 3 of lay members whose period of office as a member of the Board has terminated, as provided for in Ordinance III.6;
  - (c) to recommend to the Board appointments to be made to Category 9 of the General Assembly membership (lay members appointed by the Board);
  - (d) to recommend to the General Assembly co-optations to be made to Category 10 of the General Assembly membership (lay members co-opted by the General Assembly);
  - (e) to review, at intervals of not longer than four years, the lists of external bodies represented on the General Assembly in Categories 6 and 7 pursuant to Statute IX.1(b), and to recommend to the General Assembly the bodies by which members shall be nominated or appointed in such categories;
  - (f) to recommend to the General Assembly the appointment to be made to the office of Pro-Chancellor;
  - (g) such other duties and responsibilities as may be assigned to it by the Board from time to time.
6. In fulfilment of the duties and responsibilities specified above, the Committee shall, subject to the Statutes and the Ordinances, make extensive enquiries in order to inform its recommendations by the most thorough and appropriate means, including taking steps to ensure that nominees are not disqualified from serving, or are otherwise ineligible to serve. In formulating its recommendations, the Committee shall have regard to the needs of the University and to the balance of membership within the body to which appointments are to be made. Subject to these requirements, the Committee shall determine its own *modus operandi*.

## **Ordinance III**

### **Terms of Office on the Board of Governors, the Senate and the General Assembly**

1. The duration of appointment of a member of the Board as an officer of the Board shall not be defined as a period of membership of the Board for the purposes of Statute VI.4. A retiring Chair of the Board shall not normally be eligible to continue as a member of the Board.
2. A member of the Board, other than an *ex officio* member, who has been absent from four consecutive ordinary meetings of the Board shall, unless the leave of the Board for such absence is given, cease to be a member of the Board and shall not be eligible for re-appointment or re-election to the Board within a period of twelve months thereafter.
3. Elected members of the Senate shall not normally serve continuously for more than two terms of three academic years, excluding any period of less than three years that may be served initially through election to a casual vacancy. Further periods of continuous membership of the Senate may be served, provided that such periods (which may be less than the maximum permitted duration) are separated by a period of non-membership of the Senate of at least one year.
4. Members of the General Assembly, other than *ex officio* members (but otherwise irrespective of category of membership) shall not normally serve continuously more than five terms of three academic years, excluding any period of less than three years that may be served initially through appointment or election to a casual vacancy. Further periods of continuous membership of the General Assembly may be served, provided that such periods (which may be less than the maximum permitted duration) are separated by a period of membership of at least one year.
5. A member of the General Assembly, other than an *ex officio* member, who has been absent from three consecutive ordinary meetings of the General Assembly shall, unless the leave of the General Assembly for such absence is given, cease to be a member of the General Assembly and shall not be eligible for re-appointment or re-election to the General Assembly within a period of twelve months thereafter.
6. Members of the General Assembly who are elected to the Board will retain their membership of the General Assembly within the category of membership within which they were initially elected. Members of the General Assembly who are appointed to the Board shall have their membership of the General Assembly transferred to Category 3. Members of the Board who are not otherwise members of the General Assembly will become members of the General Assembly in Category 3. A lay member of the General Assembly in Category 3 may retain his or her membership in that Category upon ceasing to be a member of the Board, provided that he or she otherwise satisfies the eligibility criteria for membership of the General Assembly and has been proposed for such continuation of membership by the Nominations Committee.

## **Ordinance IV**

### ***Ex Officio* and Designated Membership of the Board of Governors, the Senate, the General Assembly and the Alumni Association**

1. Pursuant to Statute VI.1(a), the following shall be an *ex officio* member of the Board in Category 1:

The General Secretary of the University of Manchester Students' Union.

2. Pursuant to Statute VII.1(a), the following shall be *ex officio* members of the Senate in Category 2:

The Vice-Presidents appointed pursuant to Statute III.6.

The Associate Deans for Learning and Teaching and for Research (or equivalent designations) in each Faculty, appointed pursuant to Statute XV.5(a).

3. Pursuant to Statute IX.1(a), the following shall be *ex officio* members of the General Assembly:

#### *In Category 1*

The General Secretary of the University of Manchester Students' Union.

#### *In Category 4*

Five persons appointed by the Council of the University of Manchester Students' Union (the 'Union'), each for a period of one academic year, of whom:

- (a) three shall be full-time elected officers of the Union, provided that they were students, or otherwise Members of the University, throughout the academic year immediately preceding their appointment as full-time elected officers of the Union.
- (b) two shall be students of the University throughout their period of membership.

The Vice-Presidents appointed pursuant to Statute III.6.

Any such member who ceases to hold the status which qualifies him or her for membership shall forthwith cease to be a member of the General Assembly.

4. Pursuant to Statute IX.1(b), each of the following NHS Trusts and Health Authorities may appoint one member of the General Assembly in Category 5:

The Central Manchester and Manchester Children's University Hospitals NHS Trust  
The University Hospital of South Manchester NHS Foundation Trust  
The Salford Royal NHS Foundation Trust  
The Christie Hospital NHS Foundation Trust  
The Manchester Mental Health and Social Care NHS Trust

The Lancashire Teaching Hospitals NHS Foundation Trust  
The NHS North West Regional Strategic Health Authority  
The Manchester Primary Health Care Trust.

5. Pursuant to Statute IX.1(b), the General Assembly has determined that for the time being each of the following bodies shall be invited to appoint one member of the General Assembly in Category 7:

The Academy of Medical Sciences  
The British Academy  
The British Computer Society  
The Institute of Financial Services  
The Manchester Literary and Philosophical Society  
The Royal Academy of Engineering  
The Royal Aeronautical Society  
The Royal Institute of International Affairs  
The Royal Society  
The Royal Society of Chemistry.

6. Pursuant to Statute XVIII.2(c), the following classes of persons have been designated for membership of the Alumni Association:

Honorary Fellows of the former Universities  
Honorary Companions of the Victoria University of Manchester  
Holders of the UMIST Medal of Honour.

## **Ordinance V**

### **Election of members of the Board of Governors, the Senate and the General Assembly**

1. The procedures for the elections specified in this Ordinance shall be published as Regulations.
2. The power to make, amend or revoke such Regulations shall rest with the Board, subject to the provisions of Statute XXII.5.
3. The elections governed by this Ordinance shall be:
  - (a) election of members of the Board in Category 3 by the Senate;
  - (b) election of members of the Board in Category 4 by the General Assembly;
  - (c) election of members of the Senate in Category 3 by persons holding paid academic and research posts in the University;
  - (d) election of members of the General Assembly by:
    - (i) the Senate;
    - (ii) staff holding paid, superannuable appointments in the University;

(iii) the Alumni Association.

4. Subject to the provisions of Statute VI.1(c):

- (a) of those members elected to the Board by the Senate, there shall be at least one, and no more than two, members from each of the four Faculties unless, on any particular occasion, it is not possible to meet this requirement from amongst those nominated and also meet the requirements of Statute VI.1(c). In such event, more than two members from any one Faculty may be declared elected according to a procedure set out in Regulation;
- (b) members of the Senate in Category 2 whose appointment conferring *ex officio* membership of the Senate is made pursuant to Statute III.6 shall not be eligible for election to the Board or to the General Assembly.

5. For the purpose of the election of academic and research staff to the Senate in Category 3, the number of seats allocated to the several Faculties shall be as follows:

Engineering and Physical Sciences	12
Humanities	12
Life Sciences	6
Medical and Human Sciences	10

The Senate shall keep under review the distribution of seats between the various Faculties, having regard to any significant fluctuations in the relative proportions of academic and research staff assigned to the several Faculties, and shall advise the Board accordingly.

6. Persons elected to the Senate shall normally hold office for a period of three years from 1 September immediately following their election, and shall be eligible for re-election for a second term, if all other requirements for eligibility have been fulfilled, but after such second term shall not be eligible for re-election until after the expiration of at least one year.

7. Subject to eligibility, a candidate for election to the General Assembly may be nominated, but not hold office, in one or more categories, provided that:

- (a) he or she does not already hold membership in a different category during the academic year(s) to which the nomination relates; or
- (b) he or she has not been declared elected or appointed to prospective membership in a different category. In the event of a candidate being nominated in more than one category for which the elections are held concurrently, and being elected in more than one category, he or she shall subsequently hold membership in the category which is first declared.

8. Any vacancy or vacancies arising from the application of the provisions of paragraph 7(b) of this Ordinance shall be filled by the candidate or candidates with the next largest number of votes in the appropriate category.

9. Any vacancy or vacancies arising from the application of the provisions of paragraph 7(b) of this Ordinance which cannot be filled by the application of the provisions of paragraph 8 of this Ordinance shall be declared a casual vacancy.
10. The twenty members of the General Assembly in Category 12 elected from amongst their number by members of staff holding paid, superannuable appointments in the University shall comprise:
  - (a) four members of the academic and research staff nominated and elected by them;
  - (b) six members of the academic-related staff (excluding research staff) nominated and elected by them;
  - (c) ten members of the other staff nominated and elected by them;
11. For the purpose of the election of the twenty members of the Alumni Association to Category 13 of the General Assembly, only those who are members under the provisions of Statute XVIII.2(a) and (b) shall be eligible to be nominated.

## **Ordinance VI**

### **Other Honours and Distinctions**

1. Pursuant to the provisions of Statute XX.5(b) the Board may confer the University Medal of Honour, the Distinguished Achievement Medal or the title of Honorary Fellow of the University on persons who have given distinguished service to the University, or to either or both of the former Universities, in the fulfilment of its Objects.
2. The criteria for and the manner of such conferments shall be determined by the Board from time to time.
3. The Board, on report from the Senate, may confer the title of Emeritus Professor upon a Professor who has retired from his or her post in the University, according to such criteria, and with such privileges, as the Board, in consultation with the Senate, may from time to time determine.

## **Ordinance VII**

### **Other Officers and Members of the University**

In addition to those specified in Article III.1 of the Charter, the following shall be Members of the University:

- (a) the elected officers of the University of Manchester Students' Union and the elected student officers of the University of Manchester Athletic Union for so long as they hold office;
- (b) the Honorary Companions of the Victoria University of Manchester;

- (c) the Companions of UMIST;
- (d) the Honorary Fellows of UMIST;
- (e) the Associates of UMIST and its forerunners;
- (f) the Emeritus Professors of the University and of the former Universities.

## **Ordinance VIII**

### **Arrangements for Effective Governance and Internal Management and Financial Control**

[*Note:* The provisions of this Ordinance are subject to the terms for the time being in force of the Financial Memorandum with Higher Education Funding Council for England (HEFCE), which sets out the terms and conditions under which recurrent and other monies are made available to the University from public funds, and of the HEFCE Audit Code of Practice.]

1. Pursuant to the provisions of Statute VI.7(d), the Board shall appoint and constitute, in accordance with any provisions contained within the HEFCE Financial Memorandum or the HEFCE Audit Code of Practice:
  - (a) a Finance Committee, chaired by a lay member of the Board who is not hitherto an Officer of the University, and with lay members of the Board **or** the General Assembly comprising a majority of the membership;
  - (b) an Audit Committee, chaired by a lay member of the Board who is not an Officer of the University, and with a wholly lay membership drawn from the membership of the Board and the General Assembly;
  - (c) a Remuneration Committee, chaired by the Chair of the Board and with a wholly lay membership drawn from the membership of the Board, except for the President and Vice-Chancellor, who shall be a member of the Committee for matters other than those in relation to him or herself;
  - (d) a Risk Committee, chaired by a lay member of the Board;
  - (e) a Planning and Resources Committee, chaired by the President and Vice-Chancellor.
2. Pursuant to the provisions of Statutes VI.7(b) and XI(a), the Board shall formulate and keep under review Regulations and Procedures, to be termed 'Financial Regulations and Procedures', which provide for, and demonstrate compliance with, effective arrangements for internal financial and management control over the business processes of the University.
3. All Members of the University shall be required to comply with the Financial Regulations and Procedures for the time being in force.

4. Financial Regulations may be amended only by the Board on report from the Finance Committee. Financial Procedures may be amended by the Finance Committee on report from the Registrar and Secretary.

## **Ordinance IX**

### **Subsidiary Undertakings**

[*Note:* The provisions of this Ordinance are subject to the terms for the time being in force of the Financial Memorandum with Higher Education Funding Council for England (HEFCE), which sets out the terms and conditions under which recurrent and other monies are made available to the University from public funds, and of the HEFCE Audit Code of Practice.]

1. Pursuant to Article IV of the Charter and to Statute XI (e) and (f), the Board may, on report from the Finance Committee, establish or participate in such legal persons, entities, companies or other undertakings, arrangements or ventures ('subsidiary undertakings'), either alone or with other persons or bodies, as it may deem appropriate to provide services to assist in the pursuit of the Objects of the University.
2. The criteria and procedures for the establishment of subsidiary undertakings that are wholly owned by the University shall be approved, and from time to time reviewed, by the Board on the recommendation of the Finance Committee. These procedures shall demonstrate compliance with all relevant legislation for the time being in force and with any other obligations currently binding on the University.
3. All proposals for the establishment of subsidiary undertakings must satisfy the criteria established by the Board, and shall require an assurance to be given by the proposer that the objectives of the subsidiary undertaking are consistent with the Objects of the University, and that the case for the University's involvement is the most appropriate way of facilitating the contribution it will make to their achievement. All proposals shall require the approval of the Finance Committee, which may appoint a committee *inter alia* to undertake and report on the detailed scrutiny of proposals. In all instances where the subsidiary undertaking is, or is to be, constituted as a separate legal entity, the approval of the Finance Committee shall be subject to the concurrence of the Board. Similarly, all proposals for the dissolution, disposal or the cessation of activity of a subsidiary undertaking shall be subject to the approval of the Finance Committee and, if the subsidiary undertaking is a separate legal entity, the concurrence of the Board.
4. For each subsidiary undertaking established, a Memorandum of Understanding shall be drawn up for approval by the Finance Committee for the purpose of providing a clear and unambiguous statement of the relationship between the parties and of their expectations for the benefits to be accrued from such relationship. Where the subsidiary undertaking is a separate legal entity, the approval of the Finance Committee shall be subject to the concurrence of the Board.
5. In cases where it is proposed that the University be a participant partner or shareholder in, or a joint owner of, a subsidiary undertaking, the Board, before approving the participation of the University, either at the outset or subsequent to its establishment, shall satisfy itself that:

- (a) the other parties to the subsidiary undertaking are reputable, financially sound and have objectives that are compatible with the Objects of the University;
  - (b) the terms and conditions of participation, set out in the form of a binding Memorandum of Understanding between all the parties, comply with all relevant legislation for the time being in force and provide for the withdrawal of the University, for good cause shown, on negotiable terms;
  - (c) the University is adequately and appropriately represented (if appropriate) on the principal decision-making authority of the subsidiary undertaking.
6. For each subsidiary undertaking established by the University, or in which the University is a participant partner or shareholder, the Board shall appoint, on the recommendation of the Finance Committee, a Nominated Officer, whose duty it shall be to ensure that the interests of the University, as provided for in the Memorandum of Understanding, are properly represented, to make decisions on its behalf where necessary and to report to the Board, or its delegated authority, at least annually, on the performance of the subsidiary undertaking. The Nominated Officer shall normally be a Member of the University.
7. The Board shall establish procedures for making appointments under the provisions of paragraph 5(c) above. Such procedures shall have regard to arrangements for the satisfactory management of any conflicts of interest that such appointments may from time to time generate.

## **Ordinance X**

### **The Board of Governors as Trustee**

1. Pursuant to the provisions of Statute VI.7(1), the Board shall act as Trustee in respect of the following collections, which were transferred to the ownership of the Victoria University of Manchester in the years stated and subsequently transferred to the ownership of the University by The University of Manchester Act 2004:
- (a) the Collections of the Manchester Museum (1904) (previously in the ownership of Owens College since 1868);
  - (b) the Collections of the Whitworth Art Gallery (1958);
  - (c) the Collections of the John Rylands Library (1972) (incorporated within the collections of the John Rylands University Library of Manchester).
2. Subject to the provisions of Statute VI.6, in the furtherance and in the pursuance of its obligations as Trustee, for each of the Collections referred to in paragraph 1 of this Ordinance, the Board shall appoint a Director with such duties and responsibilities, and on such terms and conditions, as the Board may in each case determine.

## **Ordinance XI**

### **The Faculties**

1. There shall be the following Faculties in the University:

Faculty of Engineering and Physical Sciences  
Faculty of Humanities  
Faculty of Life Sciences  
Faculty of Medical and Human Sciences

2. Administrative support for each Faculty, including the appointment of a Head of Faculty Administration, shall be provided by the Registrar and Secretary, in consultation with the Dean concerned.
3. The constitution of the Faculty Committee established pursuant to Statute XV.5(b) shall be as follows:

#### **Category 1 (*ex officio* members)**

The Dean of the Faculty (in the Chair)  
The academic officers of the Faculty appointed pursuant to Statute XV.5(a)  
The Heads of the Schools established within the Faculty pursuant to Statute XVI.1

Members in Category 1 shall represent not less than one-third and no more than one-half of the total membership of the Committee.

#### **Category 2**

Members of the academic staff assigned to the Faculty who hold membership of a School Board pursuant to Ordinance XII.2(a), elected by them in such manner as to reflect as far as possible the range of academic disciplines within the Faculty. Members in Category 2 shall represent not less than one-third and no more than one-half of the total membership of the Committee.

#### **Category 3**

At least two and no more than four members of the academic-related and other staff assigned to the Faculty, elected by them.

#### **Category 4**

At least one and no more than three students currently registered on programmes of study assigned to the Faculty, elected by them.

4. The Secretary of the aforementioned Committee shall be the Head of Faculty Administration. Other members of the Faculty Administrative Team may attend meetings of the Committee from time to time as may be appropriate to the business of the Committee.

5. The Dean of a Faculty may, at the discretion of the Board, and on the recommendation of the President and Vice-Chancellor, be granted the additional title of Vice-President in recognition of University-wide duties and responsibilities assigned to him or her by the Board in addition to those provided for in Statute XV.4.

## **Ordinance XII**

### **The Schools**

[*Note:* use of the term ‘Board’ without further qualification means the Board of Governors.]

1. The number and designation of the Schools of the University that are from time determined by the Board on the recommendation of the Senate shall be set out in Regulation.
2. The membership of a School Board established pursuant to Statute XVI.5 shall comprise:
  - (a) every member of the School who holds a full-time or part-time academic post in the University extending over a period exceeding one year;
  - (b) such other members or category of members (or representatives thereof) of the University as the Board may appoint on the nomination of the School Board concerned, and in accordance with guidance issued by the Board from time to time.
3. The Head of School shall be responsible for ensuring that the School Board meets at least three times annually, that its business is properly recorded and that due consideration is given to the views and advice offered by it.

The Head of School shall also be responsible for ensuring that action is taken to elect a Chair of the School Board from the academic membership of the School and that the views of the Dean of the relevant Faculty are communicated to the School Board as part of that process. Arrangements for the designation of the Secretary of a School Board shall be made by the Head of Administration in the School concerned.

4. Without prejudice to the generality of Statute XVI.6, a School Board shall have the power to consider and advise the Head of School on:
  - (a) the research profile and activities of the School;
  - (b) the content and operation of the programmes of study assigned in whole or in part to the School including the regulatory framework pertaining thereto;
  - (c) the recruitment, selection, admission, welfare, academic progress and conduct of the students with whom it is concerned;
  - (d) the allocation and management of the physical and financial resources assigned to the School;

- (e) the allocation of duties and arrangements for leave of absence, amongst the academic and research staff assigned to the School;
- (f) the allocation of duties amongst the academic-related and other staff assigned to the School;
- (g) the strategic development of the School.

and to advise the Dean of the Faculty on the appointment of the Head of School.

5. A meeting of the School Board may be called by its Chair and shall be called on the requisition in writing to the Chair by at least one quarter of the membership. Each School Board shall determine its own *modus operandi*.

### **Ordinance XIII**

#### **University Research Institutes**

[*Note:* Use of the term ‘Board’ without further qualification means the Board of Governors.]

1. Pursuant to Article IV(b) of the Charter, the Board, on report from the Senate, may establish, modify or revise schemes for the organisation of University Research Institutes (‘Institutes’) for the purpose of conducting research which draws on the skills and resources from a range of appropriate disciplines, intra- or inter-Faculty.
2. For each Institute so established, the Board shall appoint a Management Board, which shall be responsible to the Board, through the Planning and Resources Committee, for setting the strategic objectives of the Institute, reviewing its performance against those objectives, and reporting to the Planning and Resources Committee on the framework for the resourcing and management of the Institute.
3. For each Institute so established, the Board, on the recommendation of the President and Vice-Chancellor, who shall seek advice as appropriate, shall appoint a Director, who shall report to the Vice-President and Dean chosen by the President and Vice-Chancellor to chair the Management Board, and shall be responsible for the leadership and effective management of the Institute, within the strategic framework set for it by the Management Board.

### **Ordinance XIV**

#### **Intellectual Property Rights (IPR), Data Protection and the Use of Information Systems**

1. Members of the University and such other persons as may be authorised to use University facilities shall abide by the terms of this Ordinance, which shall be applicable to all premises and facilities owned, licensed or controlled by the University.
2. Members of staff and students are bound by the University’s policy in relation to Intellectual Property Rights (IPR) as approved from time to time by the Senate and the Board, as if it formed part of their contract of employment or student contract and

shall comply with it. In specific instances where this policy is at variance with an express provision of the relevant contract of employment or student contract, then the provision in the contract of employment or student contract shall prevail.

3. No copyright material shall be copied in any medium or used other than in accordance with either (a) the terms of the relevant law on copyright, (b) the terms of copyright licensing schemes to which the University has subscribed, (c) other guidance issued by the University or (d) specific permission to copy granted by or on behalf of the owner of the copyright in such material. No unauthorised copies of such material, however obtained, shall be further copied or used.
4. Members of the University and other authorised users of information systems shall not misuse, abuse or interfere with any computing equipment, programme, data, documentation or other material accessible to them directly or by use of such facilities, and shall comply with such rules as may be approved from time to time by the Senate and the Board pursuant to the Computer Misuse Act 1990.
5. Members of the University shall comply with the terms of the University's notification under the Data Protection Act 1998 and shall abide by the Data Protection Principles established by that Act and, in particular, shall not create, hold or use records of personal data, nor divulge personal information held in any medium to any person, other than as authorised under the terms of the University's official notification under the Data Protection Act 1998.

## **Ordinance XV**

### **Partnerships for Collaboration in Educational Provision**

#### **General**

1. The Board may, on report from the Senate and subject to conditions prescribed in this Ordinance, enter into Agreements with external organisations ('Partners') for the provision of educational services which are consistent with the Objects of the University.
2. Pursuant to paragraph 1 above, the Board shall have the authority, in consultation with and advised by the Senate, to determine, monitor and, as required, review the University's policy for collaboration in educational provision, which shall *inter alia* include statements:
  - (a) acknowledging the University's responsibility for the academic standards of all awards granted in its name, and the equivalence of all awards made in accordance with the terms of a collaborative Agreement with those of comparable awards for programmes delivered directly by the University;
  - (b) setting out the nature and characteristics of such Partners, in the UK or overseas, having regard to advice and guidance which may be offered by such statutory and regulatory bodies as may have a legitimate interest therein;

- (c) requiring all collaborative Agreements to be legally binding and in writing, and to be negotiated, agreed and managed in accordance with the University's approved policies and procedures;
  - (d) requiring, subject to paragraph 8 below, the purpose and duration of a collaborative Agreement to be specified, together with arrangements for monitoring, review, termination or renewal.
3. The Senate and the Board may discharge their responsibilities in relation to the provisions of this Ordinance in such manner as the Board in consultation with the Senate may determine from time to time, but they shall normally, pursuant to Statute VIII, do so through a Committee or Committees established for the purpose and with such delegated powers as the Board in consultation with the Senate may deem to be appropriate.
4. A Register of all approved collaborative Agreements made in accordance with the provision of this Ordinance shall be established and maintained by the Registrar and Secretary.
5. Such an Agreement may be entered into by the Board with a Partner if:
- (a) the Senate has reported to the Board that:
    - (i) the standard, quality and content of the educational provision which is the subject of the Agreement is appropriate to the status of the qualification or award which is being sought or contributed to and, where appropriate, conforms with the requirements of Regulations governing the award of similar qualifications by the University;
    - (ii) the educational provision will be delivered by staff whose qualifications it has approved;
    - (iii) where appropriate, every student in receipt of the educational provision will have attained the age of seventeen years at the time of commencement of the provision and will have satisfied such other admission requirements as may be specified by the Senate, or by the Agreement concerned;
  - (b) on report from the Senate, it is satisfied that:
    - (i) the Partner is reputable and is established on a permanent basis, has the legal authority to enter into the Agreement, and has objectives which are compatible with those of the University;
    - (ii) its staffing, infrastructure and financial position are satisfactory and appropriate to the facilities and status required for the fulfilment of the Agreement;
    - (iii) its constitutional structure and organisation are satisfactory and in particular provide adequately for the representation of the University

and for the appropriate staff of the Partner in the planning and supervision of the educational provision which is being provided.

6. Every such Agreement shall, unless specifically agreed otherwise, include the following conditions:
  - (a) that the University shall have the right of inspection, as appropriate, of the buildings, equipment and other facilities used or to be used in fulfilment of the Agreement;
  - (b) that the Board may at any time, after report from the Senate, impose such further conditions for the continuation, or otherwise vary the terms, of the Agreement, as it deems to be appropriate, in respect of any internally approved changes to University practices or of any externally imposed constraints which materially affect the performance of the Agreement;
  - (c) that should the Partner be in breach of any fundamental provision of the Agreement, the Board, on report from the Senate, shall be entitled to terminate the Agreement either forthwith, or in the event of failure by the Partner to remedy such breach within a period which the Board may determine according to the specific circumstances;
  - (d) that the duration of any Agreement shall not, unless the Board expressly agrees otherwise, exceed five years at a time, and shall indicate the basis, subject to paragraph 8 below, on which monitoring and review of the collaborative activity, and renewal, extension, or termination of the Agreement, may take place;
  - (e) that the Partner shall, as part of the Agreement, indemnify the University against any loss or damage suffered by any person as a result of a failure by it to carry out its obligations under the terms of the Agreement.

## **Validation**

7. In this Ordinance, 'to validate' means to recognise, in the form of a written (legally binding) validation Agreement between the University and a given Partner, a programme offered by the Partner to its own registered students as being of a content, standard and quality equivalent to that of a designated class of programmes of the University. Such Agreements shall include the provisions set out in paragraph 6 of this Ordinance, the processes set out in paragraph 5 having been carried out. The validation shall allow the Senate to grant a designated qualification or award of the University to registered students of the Partner who have completed satisfactorily all requirements of the said programme offered by the Partner.
8. The period of any validation Agreement shall not exceed five years in the first instance, but in principle may be continued for a further period or periods not exceeding five years at a time following a process of review as set out in such Agreement. Any such continuation of the period approved by the Board following report from the Senate shall be governed by a new validation Agreement, the terms of which shall be determined, subject to the provisions of this Ordinance, by the parties following the process of review. In determining the period of validation, the Senate

will require to be satisfied that there is a reasonable probability that the requisite facilities and the suitably qualified staff necessary to fulfil the terms of such Agreement will be provided by the institution throughout the prospective period of study of any student to be admitted to the programme for which application for validation has been made.

9. The period of validation specified in any such Agreements shall define the period during which the institution concerned may admit students to the programme, subject to the provisions of paragraph 6(c). Notwithstanding any termination of such Agreement, either by the effluxion of time or for other reasons as may be provided for in this Ordinance or in the aforesaid Agreement, the provisions of the Agreement shall subsist in relation to students who may be enrolled on the programme at the date of termination of the Agreement, for such further period as shall be necessary to enable such students to complete the attendance requirements of the programme and to present themselves for assessment in the manner prescribed by the Regulations for the programme, including any additional period provided for in order to permit reassessment in the event of failure.
10. Students enrolled on validated programmes are not, nor deemed to be, registered students of the University and Partners agree to take all steps necessary to ensure that such a relationship is neither implied nor created beyond that which may be implied or created as a direct legal consequence of the performance of the validation Agreement.

### **Affiliation**

11. The Board may, on report from the Senate, grant a Partner 'affiliated institution' status, with such privileges it may determine in each case, should it deem that the nature and scope of the collaborative Agreement entered into creates a relationship for which the designation 'affiliated institution' will bring further mutual benefits arising out of the performance of such Agreement.

## **Ordinance XVI**

### **The Admission and Registration of Students**

#### **Admission**

1. Admission to the University is subject to the requirement that the student will comply with the University's registration procedures and will duly observe the laws of the University from time to time in force.
2. Before being admitted to a programme of study in the University, applicants must satisfy the particular requirements for the programme to which entry is sought, which will include acceptable levels of literacy and numeracy, and disclose all relevant facts and information having a bearing on their application for admission.
3. No person may be admitted as a student of the University except by special dispensation of the President and Vice-Chancellor, without having attained the age of seventeen years.

## **Registration**

4. Students shall pay such fees representing charges due for admission, registration, tuition, accommodation, programmes of study, examinations, conferment of degrees and otherwise, including payment of money owed to the University in respect of loans, books or other equipment or materials at such times, and in such manner, as may be fixed from time to time by the Board.
5. Every student shall, on admission, and subsequently when required, complete registration and confirm a declaration embodying the obligations imposed by Statute XXI.1 and paragraph 4 of this Ordinance.
6. No person shall be registered as a student of the University until:
  - (a) sessional fees have been paid in full, or arrangements have been made which are acceptable to the University for the payment of sessional fees for the current academic year by instalments. Unless otherwise sanctioned by the Senate, a student shall cease to be a registered student if arrangements for payment by instalments are not fulfilled;
  - (b) if applicable, all other fees and sums due to the University incurred in the previous academic year have been discharged in full.
7. The University reserves the right to terminate the registration of a student who is subsequently discovered to have omitted or falsified relevant facts or information in connection with his or her application, in contravention of paragraph 2 of this Ordinance.

## **Ordinance XVII**

### **The Union of Students**

1. Pursuant to the provisions of Statute XVII, the union of students shall be known as the 'University of Manchester Students' Union' ('the Union').
2. The Union shall have a written constitution which shall be subject to the approval of the Board and reviewed by the Board at intervals of not more than five years. The Union shall operate according to principles of choice, fairness, democracy and accountability and without distinction on grounds of race, colour, nationality, ethnic origins, age, gender, sexuality, religion or political belief.
3. The objects of the Union shall include:
  - (a) promoting the general interests of the students and representing them in matters affecting their interests;
  - (b) affording a recognised channel of communication between the students and the authorities of the University;
  - (c) providing facilities for students and promoting their general welfare.

4. The Union shall comply with all relevant legislation and specifically the terms of the Education (No. 2) Act 1986 and the Education Act 1994. Arrangements for implementing the requirements of these Acts in respect of the operation of the Union and its relationships with the University authorities and with students shall be set down in Codes of Practice which shall be issued from time to time by the Board. Before the adoption or amendment of any Code, the Board shall consult the Council of the Union.

## **Ordinance XVIII**

### **Code of Conduct, Conflicts of Interest and the Conduct of Reserved Business**

1. The Board expects all Members of the University to conduct themselves with due regard to probity and propriety in the course of their employment (if applicable), and in their other dealings with the University, according to the principles of behaviour set out in Article III.4 of the Charter and according to the seven principles of behaviour arising from the Nolan Committee Report on Standards in Public Life (demonstrating selflessness, integrity, objectivity, accountability, openness, honesty, and leadership). They should declare to the appropriate authority, in accordance with issued guidance, any personal interest that may compromise or might reasonably be deemed to compromise impartiality, conflict with duty as an employee, or result in private benefit. In particular, Members of the University serving on University committees or other similar bodies must declare any personal interest in the business to be discussed and, if necessary and as required, withdraw from the consideration of such business.
2. In addition to the above, in relation to students of the University:
  - (a) Subject to the laws of the University, when it is declared by the Chair of a meeting of the Board or the Senate, or of any committee thereof established pursuant to Statute VIII.4, that the meeting is about to discuss a reserved area of business, any students present either as members or by invitation shall withdraw and shall not return to the meeting until the discussion of the reserved item of business is completed.
  - (b) Except in respect of any item of business which the Chair considers to be formal and not likely to lead to discussion, papers or records of discussions which relate to reserved areas of business shall not at any time be made available to any student entitled to attend meetings of the Board, the Senate or the committee concerned, either as a member or by invitation.
  - (c) Reserved areas of business include matters affecting the appointment, promotion and personal affairs of individual members of staff of the University and matters affecting the admission of individual students, their academic assessment and the consequences thereof, or their personal affairs or circumstances. Subject to the above, the Chair of the meeting concerned may decide in any case of doubt whether a matter is a reserved area of business or not and such decision shall be final.

At the discretion of the Chair of the meeting, the provisions set out above may be applied to any other persons in attendance at the meeting, not being duly appointed members of the body in question.

## **Ordinance XIX**

### **The University Press**

1. The University shall establish a University Press pursuant to Article IV(b) of the Charter.
2. The University Press shall have responsibility for printing and publishing in the furtherance worldwide of the acquisition, advancement, conservation and dissemination of knowledge and information.
3. Subject to the laws of the University and to the control of the Board, the management of the finance, property and affairs generally of the University Press shall be the responsibility of a Press Board, constituted and empowered by Regulation, or of such other body as the Board may, by resolution, from time to time determine.

## **Ordinance XX**

### **Designation of office holders and employing authorities pursuant to Statute XIII.1(c) and 18(a)**

Pursuant to the provisions of Statute XIII.1(c), the Board has, for the time being, designated the following appointments as being within its scope:

The Vice-President (University Development)

The Vice-President (Innovation and Economic Development)

The Vice-President (Research)

The Vice-President (Teaching and Learning)

The Associate Vice-Presidents

The Associate Deans in the various Faculties

The Heads of the Schools

Wardens and Heads of Student Residences whose appointment as such is not a substantive appointment in the University.

## **Ordinance XXI**

### **Procedure for the removal of members of staff from non-substantive positions pursuant to Statute XIII.1 (c)**

#### **Part I – Application and scope**

1. The application and scope of this Ordinance derives from and is limited to that provided for in Statute XIII, and should give effect to, and be consistent with, the guiding principles set out in paragraph 2(a) of that Statute.
2. Pursuant to paragraph 1(c) of Statute XIII, this Ordinance shall apply only to the removal from an appointment, designated as such by the Board and set out in Ordinance XX, to which a member of staff (the ‘Postholder’) has been appointed by the Board and which is distinct from the Postholder’s substantive appointment in the University, where dismissal from the substantive appointment is not contemplated. It shall not, however, apply in any instance where the penalty provided for by Ordinance XXIV.31(c)(iii) has been imposed following the application of Part III of Statute XIII.
3. Upon the removal of a member of staff from his or her substantive appointment, any appointment referred to in paragraph 2 above that he or she holds shall lapse automatically and the procedure described hereunder shall not, therefore, be applicable.
4. Meetings of any panel provided for hereunder shall be convened and conducted in accordance with the applicable provisions of Part III of Ordinance XXII. The Postholder has the right to be accompanied at such meetings in accordance with the provisions of that Ordinance.

#### **Part II – Procedure**

5. In any instance in which the President and Vice-Chancellor has determined that there are possible grounds for terminating the appointment of a Postholder prior to the prescribed or normal termination date for the appointment in question, he or she shall request the Registrar and Secretary to write to the Postholder to inform him or her:
  - (a) of the reasons for the proposed early termination of the appointment; and
  - (b) of his or her right to attend a hearing by a panel to make representations.
6. The panel appointed shall comprise three persons, selected as follows:
  - (a) a lay member of the Board, nominated by the lay officers of the Board collectively (other than the Chair), such nominee to act as Chair of the panel;
  - (b) two members of the academic or academic-related staff, as appropriate to the case to be considered, nominated by the lay officers collectively (other than the Chair) in consultation with the Registrar and Secretary, from amongst those whose names are on a list compiled, and from time to time reviewed, by the Senate (in the case of academic staff), or by the Board (in the case of academic-related staff), according to procedures of their own choosing.

7. The Registrar and Secretary shall advise the Postholder, in writing, of the names of those who have been appointed to serve on the panel and shall also inter alia indicate that any objection which the Postholder may have to any of those appointed should be made in writing, with good cause shown, to the Registrar and Secretary, within five working days of such notification. Any objection received shall be considered by the Chair of the Board, whose ruling, having consulted the officers making the nomination, shall be final. In any case where such objection is upheld, an alternate shall be appointed following the process in paragraph 6 above.
8. The decision of the panel whether or not to support the proposal for early termination of the appointment shall be notified in writing to the Postholder by the Registrar and Secretary normally within ten working days from the date of the hearing, to which shall be appended, where appropriate, notification of his or her right to appeal against the decision pursuant to Statute XIII.1(c).
9. If the Postholder wishes to appeal against the decision of the panel, he or she may do so by writing to the Registrar and Secretary within ten working days of the date of notification of the panel's decision, setting out in full the grounds for the appeal.
10. The appeal shall be heard by a panel appointed in the manner set out in paragraphs 6 and 7 above.
11. No member of either panel shall have had any previous involvement in the circumstances of the Postholder's case, and accordingly no person may be a member of both panels.
12. The appeal panel may allow the appeal, or confirm the decision of the first panel, in which instance the appointment shall be terminated forthwith. The decision of the appeal panel shall be final and shall be notified in writing to the Postholder by the Registrar and Secretary normally within ten working days from the date of the appeal.

## **Ordinance XXII**

### **Procedure for determining the membership of panels established pursuant to Statute XIII.4, and related procedural matters**

#### **Part I - Application and scope**

1. This Ordinance prescribes:
  - (a) the procedures for the appointment of members of the panels specified in Statute XIII.4, these being in relation to:
    - (i) an appeal against dismissal by reason of redundancy;
    - (ii) a hearing to consider charges brought under the Serious Misconduct procedure pursuant to the provisions of Part III of Ordinance XXIV;
    - (iii) an appeal against a penalty imposed for such serious misconduct;

- (iv) a hearing to consider actions required in cases of incapacity on health grounds;
- (v) an appeal against sanctions imposed arising from incapacity on health grounds;
- (vi) a hearing to consider dismissal on other grounds;
- (vii) an appeal against dismissal on other grounds;
- (viii) a grievance appeal panel.

[*Note:* procedures for the establishment and appointment of members of panels provided for by Statute XIII other than under paragraph 4 are prescribed in each case by the Ordinance dealing with the substantive issues for which such panels are required.]

- (b) procedural matters common to the conduct of the business of all panels provided for by Statute XIII, whether under paragraph 4 or otherwise.

## **Part II – Appointment of members of panels established pursuant to Statute XIII.4**

2. Unless otherwise provided for in Statute XIII, authority to establish a panel pursuant to Statute XIII.4 shall be given, on a case by case basis, by:
  - (a) the President and Vice-Chancellor, in the case of a panel to be charged with conducting a hearing under Part III, IV, V or VI of Statute XIII (a ‘hearing’ panel);
  - (b) the Chair of the Board, in the case of a panel to be charged with hearing an appeal under Part II, III, IV or V of Statute XIII (an ‘appeal panel’).
3. Except as provided for in paragraph 7 below, each such panel shall consist of three persons, including:
  - (a) at least one lay member of the Board who is not an Officer of the University;
  - (b) in cases where the member(s) of staff who is the subject of the panel’s consideration (the ‘Respondent’) is a member of the academic or research staff, at least one member of the academic or research staff;
  - (c) in cases where the Respondent is a member of the academic-related staff (excluding research staff), at least one member of the academic-related staff (excluding research staff);
  - (d) in cases arising under Part IV of Statute XIII, at least one member who holds an appropriate clinical qualification, and who is independent of the University.

At the discretion of the officer authorising the establishment of the panel, and taking into account the circumstances of the case, the third member of the panel may, where appropriate, be drawn from the categories defined at (a), (b) or (c) in the case of a hearing panel, but in the case of an appeal panel he or she shall be an appropriately experienced person who is independent of the University.

4. The lay member(s) of the panel and, where required, the member who is independent of the University shall be nominated by the lay officers of the Board collectively (other than the Chair), taking into account the circumstances of the case.
5. The member(s) of the academic or research staff shall be nominated by the Vice-Presidents collectively, taking into account the circumstances of the case, from those whose names are on a list compiled, and from time to time reviewed, by the Senate according to a procedure of its own choosing.
6. The member(s) of the academic-related staff (excluding research staff) shall be nominated by the Registrar and Secretary's Administrative Management Team collectively, taking into account the circumstances of the case, from those whose names are on a list compiled, and from time to time reviewed, by the Board according to a procedure of its own choosing.
7. In cases where the Respondent is a member of staff holding an appointment that falls within the ambit of Statute XIII.18(a) (which applies to certain members of the clinical academic and academic-related staff), the membership of any panel established pursuant to Statute XIII.4 may be increased to five members by the appointment of persons nominated by any National Health Service body or other relevant body.
8. No panel member shall have had any previous involvement in the Respondent's case, and accordingly no person may be member of both a Hearing Panel and an Appeal Panel in respect of any particular case.
9. The nominations arising from the processes set out in paragraphs 4, 5, 6 and 7 above shall be submitted to the Chair of the Board for approval on behalf of the Board, and who shall also determine who of the members should act as chair of the panel.
10. The Registrar and Secretary shall advise the Respondent, in writing, of the names of those who have been appointed to serve on the panel and shall also *inter alia* indicate that any objection which the Respondent may have to any of those appointed should be made in writing, with good cause shown, to the Registrar and Secretary, within five working days of such notification. Any objection received shall be considered by the Chair of the Board, whose ruling, having consulted the officers making the nomination, shall be final. In any case where such objection is upheld, an alternate shall be appointed following the process(es) within paragraphs 4-7 that is relevant to the particular instance.

### **Part III – Related procedural matters**

[Note: Unless stated otherwise, the substance of the paragraphs in this Part apply to all meetings provided for by Statute XIII, whether with designated individuals ('meetings'),

panels provided for by Statute XIII.4, or panels otherwise provided for by Statute XIII ('panel hearings').]

*Notice of meetings or panel hearings*

11. The Respondent shall be entitled to receive notice, in writing, of at least ten working days of any meetings or panel hearings to which he or she is to be invited to attend.
12. The written notice should also include, or refer to, as appropriate:
  - (a) the date, time and place of the meeting or panel hearing;
  - (b) an outline of the matters to be considered;
  - (c) information about the Respondent's right to be accompanied (see paragraph 14 below);
  - (d) copies of any available papers or other evidence in relation to the matters to be considered;
  - (e) in the case of a panel hearing, the names of the panel members (see paragraph 10 above).

*Attendances at meetings or panel hearings*

13. The Respondent shall take all reasonable steps to attend any meeting or panel hearing. In the case of a panel hearing, if the Respondent fails to attend without good cause shown, the panel shall be entitled to, and may at its discretion, proceed in the Respondent's absence. If good cause for failure to attend is subsequently shown by the Respondent, any deliberations of the panel shall be set aside and the panel reconvened

*The right to be accompanied*

14. At any meeting, or hearing of a panel, the Respondent shall be entitled to be accompanied by a workplace colleague or by a trade union representative.
15. The person accompanying the Respondent may speak on the Respondent's behalf at the meeting or panel hearing, but may not answer questions (relating to the matters under consideration) on the Respondent's behalf directly, or address the hearing if the Respondent indicates s/he does not wish it, without the consent of the Chair of the panel, nor may the person accompanying the Respondent act in any way which prevents any person at the hearing from explaining his/her case or making a contribution to the hearing.

*Confidentiality*

16. All meetings and panel hearings shall take place in private. All persons involved in the proceedings, or receiving reports of the proceedings, shall keep their nature and content confidential, save as required by law or for the purpose of taking advice.

### *Conduct of panel hearings*

17. Subject to the laws of the University, it shall be at the discretion of a hearing panel or an appeal panel to determine the procedure to be followed in preparation for and at a hearing, which may include without limitation, taking account of submissions by the parties:
  - (a) which documents (if any) shall be provided for the panel's consideration and at what stage;
  - (b) the extent, if any, to which witnesses may be called and questioned;
  - (c) the reasonable length of time to be allowed to any party or witness to present his or her evidence;
  - (d) the order of proceedings;
  - (e) the circumstances in which it may be appropriate to postpone or adjourn the hearing.

In the case of an appeal hearing, the appeal may review all aspects of the case, but shall not normally take the form of a re-hearing of the evidence, and witnesses may only be called with the appeal panel's permission, which shall normally only be given if there is good reason why the evidence was not available at the previous hearing.

18. Any panel appointed pursuant to the provisions of Statute XIII.4 shall notify the member of staff of the reasons for its decision, in writing, which shall also be reported to the Board.
19. A member of staff not previously involved in the case to be heard by a panel shall be designated by the Registrar and Secretary, with the agreement of the Chair of the Panel, to act as Secretary to the Panel. The person so appointed shall be required to provide the panel with any documentation that it deems to be necessary, to take notes at the panel hearing, and to give clerical assistance to the panel in the preparation of its report.

### **Ordinance XXIII**

#### **Procedure for the dismissal of members of staff by reason of redundancy pursuant to Statute XIII, Part II**

##### **Part I – Application and scope**

1. The application and scope of this Ordinance derives from and is limited to that provided for in Statute XIII, and should give effect to, and be consistent with, the guiding principles set out in paragraph 2(a) of that Statute. Nothing in this Ordinance, however, shall preclude the University from seeking volunteers for dismissal by reason of redundancy at any time after a determination by the Board under Part II of this Ordinance.

2. Parts III and IV of this Ordinance sets out a differing procedure for the dismissal of a member of staff by reason of redundancy pursuant to the provisions of Statute XIII.6 depending on whether or not it is to be effected by the application of selection criteria to affected members of staff of a certain description or category, and/or within a specific Faculty, School, or other organisational unit (the 'affected units'). The procedure for the dismissal of a member of staff by reason of redundancy pursuant to the provisions of Statute XIII.7(b) are set out in Part VI of this Ordinance.
3. Meetings of any panel provided for hereunder shall be convened and conducted in accordance with the applicable provisions of Part III of Ordinance XXII.

## **Part II – The preliminary stage and the determination by the Board**

4. Proposals to dismiss members of staff by reason of redundancy (hereinafter referred to as 'redundancy') pursuant to Part II of Statute XIII shall be notified to the Staffing Committee (the 'Committee') provided for in the Annex to this Ordinance by the President and Vice-Chancellor in accordance with requirements and procedures determined from time to time by the Board. In such instances, the President and Vice-Chancellor shall also confirm to the Committee that, pursuant to Statute XIII.6(a)(i) and, where appropriate, consultation with appropriate representatives in accordance with and to the extent required by Section 188 of TULRCA 1992, as amended, have been initiated or completed, and that discussions with the member(s) of staff at risk of redundancy (the 'affected staff') have also been initiated or completed.
5. In order to give full and proper consideration to any such proposals, and to be in a position to advise the Board on the proposals, the Committee shall be furnished with the following information (as applicable) by the President and Vice-Chancellor:
  - (a) an identification and analysis of the alternatives to redundancy;
  - (b) the reasons for any discontinuation or reduction of activity;
  - (c) an outline of the relationship with the strategic plan of the unit;
  - (d) an analysis of financial considerations
  - (e) an analysis of the impact of the proposed redundancies on activities within the unit and in other units within the University;
  - (f) a report of consultations with the School or unit Board;
  - (g) a review of the impact on the workloads of remaining staff.

In preparing its advice to the Board, the Committee may request such other information as it deems appropriate and necessary to reach a reasoned assessment of the proposal and of any alternative strategies for resolution of the circumstances leading to the proposal. The Committee shall take a pan-institutional view of the circumstances and shall consult with any persons or bodies within the University as are deemed relevant. The Committee shall have a responsibility to ensure that all

suitable and appropriate alternative strategies for resolution, including redeployment and restructuring, have been properly considered. It shall receive and respond to reports from the relevant trade unions.

6. Having received the advice of the Committee, prepared on the basis of paragraph 5 above, the Board shall determine whether the procedures set out in Part III of this Ordinance, which are made pursuant to Statute XIII.6(a)(ii) to (iv), should be instituted to effect the proposed redundancy(ies). As part of such determination, and before it reaches a final decision, the Board may seek such further information as it may require including, at the discretion of the Board, further consultation with appropriate representatives (if applicable) and/or further discussion with the affected staff.

### **Part III – Further consultation with the affected staff**

7. This Part shall apply where the Board has determined under paragraph 6 above that the procedures to be detailed below shall be instituted to effect the proposed redundancy(ies).
8. At any meeting provided for by this Part, a member of the affected staff shall be entitled to be accompanied by a workplace colleague or trade union representative.
9. The affected staff shall each be notified in writing, by the Registrar and Secretary:
  - (a) that the Board has determined that the procedure in this Part shall be instituted;
  - (b) of the number of proposed redundancies to be effected as a consequence of that determination;
  - (c) of the affected units and/or (as appropriate) the categories or descriptions of staff affected by that determination, and that they are employed therein;
  - (d) that accordingly, he or she is potentially at risk of redundancy under Part II of Statute XIII;
  - (e) that he or she shall be consulted individually before any decision to dismiss him or her by reason of redundancy is taken, and that he or she has the right to appeal against such decision.
10. In instances where a redundancy(ies) is to be effected under this Part without the application of selection criteria, each such member of affected staff shall normally receive as part of the notification referred to above (or otherwise separately) an invitation to attend a meeting at which he or she may make oral or written representations. Such meeting may, if appropriate, include a discussion of the opportunities for redeployment to other appropriate duties in the University. Where necessary, a further meeting or meetings shall be arranged to discuss any such representations and to respond to them.

11. In instances where a redundancy(ies) is to be effected under this Part by the application of selection criteria to the affected staff, or a subset thereof, each such member of staff shall be notified in writing (which may, if appropriate, be included in the written notification provided for at paragraph 9 above), by the Registrar and Secretary, of:
- (a) the relevant group of affected staff;
  - (b) the total number of staff employed in such group;
  - (c) the total number of staff it is proposed to make redundant from that group;
  - (d) the selection criteria to be used to determine which member(s) of staff within the group are to be made redundant, who will assess the staff in the group against those criteria, and when it will take place;
- and shall be given a period of time within which to provide any information to be taken account of when the selection criteria are applied to him or her. He or she shall also be advised that meetings with members of staff selected as in (d) above for redundancy as a result of the application of the selection criteria to him or her, shall be arranged as provided for in paragraph 14 below;
12. The assessment of the group of affected staff against the selection criteria shall normally be carried out by more than one person (the ‘assessors’).

#### **Part IV – Selection for redundancy**

13. On completion of the assessment process, those members of the affected staff provisionally selected for redundancy will be notified in writing and shall be provided with written details of their assessment against the selection criteria. Those staff not selected for redundancy by this process shall be advised in writing that, although not selected at this stage, that position could change as a result of meetings with (held in accordance with paragraph 14 below) or successful appeals by those staff who have been so selected. In such cases they shall have the same rights as set out in paragraphs 14-16 as those who have been selected in the first instance. When all redundancies that are the subject of a proposal from the President and Vice-Chancellor have been confirmed and implemented, those affected staff not selected for redundancy shall be notified, in writing, by the Registrar and Secretary, that they are no longer, as a consequence of such proposal, at risk of being made redundant.
14. Each member of staff provisionally selected for redundancy shall be invited to a meeting with the assessors, at which the application of the selection criteria shall be explained, and the member of staff shall have the opportunity to make oral or written representations in respect of that assessment. Such meeting may, if appropriate, include a discussion of the opportunities for redeployment to other appropriate duties in the University. If necessary, a further meeting or meetings shall be arranged to discuss any representations made and to respond to them. Any changes to the assessment made as a result of the representations shall be notified, in writing, to the member of staff.

15. Following the meetings referred to in paragraphs 10 or 14 above, and having had regard to any representations made, each member of staff whose selection for redundancy is confirmed shall be sent a letter, to include the reasons for selection, by the Registrar and Secretary, informing him or her that his or her employment is to be terminated by reason of redundancy, and giving appropriate notice of such termination. Appended to such letter shall be notification of his or her right to appeal against that decision, or any aspect of that decision, pursuant to Statute XIII.8.

#### **Part V – Appeals**

16. If the member of staff wishes to appeal against the decision that he or she be made redundant, he or she may do so by writing to the Registrar and Secretary within ten working days of the date of the notification provided for in paragraph 15, setting out in full the grounds for appeal.
17. The appeal shall be heard by a panel established, convened and conducted in the manner prescribed by Ordinance XXII.
18. As soon as is reasonably practicable after the hearing, the panel shall reach a decision on whether:
  - (a) the appeal should not be allowed and the decision to dismiss the member of staff be confirmed; or
  - (b) the appeal should be upheld and the decision to dismiss the member of staff be revoked; or
  - (c) the case should be remitted to be considered further by the body or persons whose decision is being appealed against.

The panel shall notify the member of staff of the reasons for its decision, in writing, normally within ten working days of the panel hearing.

19. The decision of the panel shall be final unless it falls within paragraph 18(c) above and the panel has decided that it shall not be final.

#### **Part VI – Procedure for staff on limited-term appointments**

20. If a member of staff whose limited-term appointment is to terminate following the completion of the procedure set out at paragraph 7(a) of Statute XIII wishes to appeal against the decision of the President and Vice-Chancellor, he or she may do so by writing to the Registrar and Secretary within ten working days of the date of the notification of the President and Vice-Chancellor's decision, setting out in full the grounds for appeal.
21. The appeal shall be heard by a panel established, convened and conducted in the manner prescribed by Ordinance XXII.
22. As soon as is reasonably practicable after the hearing, the panel shall reach a decision on whether:

- (a) the appeal should not be allowed and the decision to terminate the appointment of the member of staff be confirmed; or
- (b) the appeal should be upheld and the decision to terminate the appointment of the member of staff be revoked; or
- (c) the case should be remitted to be considered further by the President and Vice-Chancellor.

The panel shall notify the member of staff of the reasons for its decision, in writing, normally within ten working days of the panel hearing.

- 23. The decision of the panel shall be final unless it falls within paragraph 22(c) above and the panel has decided that it shall not be final.

### **Part VII – The Staffing Committee**

- 24. The Staffing Committee shall be a committee of the Board established by the Board to fulfil the functions prescribed for it by Part II of this Ordinance. Within these limits, the detailed terms of reference and *modus operandi* of the Committee shall be determined from time to time by the Board, following consultation with the relevant trade unions.

- 25. The Board shall determine and appoint the membership of the Committee in any particular instance arising under Part II of this Ordinance that requires it, provided that the following constitution of the Committee shall apply in each such instance:

Three lay members of the Board, one of whom shall be designated as Chair of the Committee by the Board

Two members of the Board in Categories 3 or 4 of the membership, selected according to the circumstances of the particular case or cases under consideration from a panel of at least five such members who have been nominated from time to time by the Board for this purpose according to a process of its own choice.

- 26. The Committee shall take a pan-institutional view in order to confirm that the opportunities available for the avoidance and mitigation of redundancy have been fully explored, and that suitable and appropriate processes are available for:
  - planning
  - matching staff to emerging roles
  - redeployment and retraining to facilitate future operational requirements
  - establishment and availability of appropriate funding mechanisms

The Committee shall be serviced with relevant information from relevant bodies to satisfy this purpose.

## **Ordinance XXIV**

### **Staff disciplinary procedures pursuant to Statute XIII, Part III**

#### **Part I – Application and scope**

1. The application and scope of this Ordinance derives from and is limited to that provided for in Statute XIII. It should give effect to and be consistent with the guiding principles set out in paragraph 2(a) of that Statute. Where in its discretion it wishes to do so, nothing in this Ordinance will preclude the University, from seeking to resolve instances of unsatisfactory performance or misconduct using informal methods, procedures or other forms of support for the individual without recourse to the procedures set out below, and in the spirit of this agreement, the University will actively encourage the use of such informal procedures in the first instance.
2. In line with Statute XIII.13, where at any stage of proceedings being taken under this Ordinance it emerges that the member of staff's conduct or performance may have been wholly or partly influenced by a clinical condition, the person(s) or panel dealing with the matter may, at their discretion and if they consider it appropriate adjourn any hearing in order to obtain such reports and advice as they may deem necessary. They may also at their discretion determine whether:
  - (a) to halt the proceedings under this Ordinance and transfer the matter to the appropriate stage of the procedure under Ordinance XXV (dealing with procedures for the review of members of staff demonstrating incapacity on health grounds); or
  - (b) to continue with the proceedings under this Ordinance, taking into account as appropriate the member of staff's clinical condition. In such circumstances, any panel established under Part II or Part IV of this procedure (see paragraph 3 below) may invite to its meeting(s), for the purpose of advising it, an appropriately clinically qualified person who has had no previous involvement with the case under consideration. Such person shall be appointed by the Chair of the Board, having first consulted the Dean of the Faculty of Medical and Human Sciences.
3. This Ordinance provides two procedures under which matters falling within its scope may be dealt with:
  - (a) the Misconduct Procedure (for less serious matters) (Part II);
  - (b) the Serious Misconduct Procedure (including gross misconduct) (Part III).

The University has absolute discretion to determine which procedure is to be applied in any particular case involving a member of staff covered by this Ordinance (the 'Respondent'). The nature and seriousness of the matters under investigation will be taken into account in reaching such a determination, which will be made by the Registrar and Secretary on receipt of a report on the circumstances and having sought such advice as he or she may deem appropriate. Matters dealt with initially under (a) above may be referred for consideration under (b) if it emerges during the course of

investigation that the matter is more serious than the evidence may have originally suggested. The Board will issue guidance for members of staff which indicates: (i) the types of misconduct that may lead to disciplinary action being taken under this Ordinance; (ii) their categorisation in line with Statute XIII.10, as 'less serious', 'serious' or 'gross'; and (iii) the implications of repeated misconduct. Issues relating to competence will initially be dealt with by suitable supportive measures.

4. Disciplinary action against the Respondent may be initiated as a result of the findings of an investigation(s) undertaken in relation to other formal processes established by the Board on matters outside the scope of Statute XIII. Such findings may be utilised in whole or in part for the purpose of fulfilling the requirements for investigations in order to comply with the provisions of Parts III or IV of this Ordinance, provided that:
  - (a) such prior investigation has been carried out in a manner no less favourable to the Respondent than if it had been carried out under the aegis of this Ordinance;
  - (b) during such prior investigation, due notice has been given to the Respondent that the findings might be utilised in this way.
5. Formal warnings issued pursuant to paragraphs 16(b) or 24(b) of this Ordinance will normally be disregarded for the purpose of further disciplinary proceedings after: (i) six months in the case of an Oral Warning; (ii) one year in the case of a Written Warning; and (iii) two years in the case of a Final Written Warning.
6. Meetings of any panel provided for below will be convened and conducted in accordance with and as prescribed by the applicable provisions of Part III of Ordinance XXII. The Respondent has the right to be accompanied at such meetings in accordance with the provisions of that Ordinance, and similarly has the right to be accompanied at any other meetings or hearings provided for below,
7. At all stages of proceedings initiated in any particular instance under the procedures provided for below, the appropriate Human Resources Manager should be consulted by those persons designated by the procedures to carry them out, and may also be similarly consulted by the Respondent. The Human Resources Manager will be entitled to attend any meeting provided for hereunder that is relevant to the case.
8. Employees who are trade union officers will be subject to normal disciplinary standards, but no disciplinary action beyond informal counselling will be taken without the involvement of a full time officer of the trade union concerned.

### ***Part II – The Misconduct Procedure***

[*Note*: the terms 'Appeal Manager' and 'Appeal Meeting' have a similar meaning to that in Part II of this Ordinance, paragraph 13.]

8. This procedure will be followed in cases judged to be 'less serious', pursuant to Statute XIII.10(a) and paragraph 3 above.

9. In cases of alleged less serious misconduct, disciplinary action will be taken by the Respondent's Dean of Faculty, Head of School, or Head of other organisational unit, as appropriate, or by a manager designated by him or her (the 'Disciplinary Manager'). The Disciplinary Manager will designate another person, not a Human Resources Manager, to investigate the circumstances of the case (the 'Investigating Manager') and will inform the Respondent accordingly.
10. The Investigating Manager will undertake such enquiries as s/he deems to be appropriate and report the findings to the Disciplinary Manager, who will determine whether or not there are grounds to indicate that an act of misconduct may have occurred. If not, the Disciplinary Manager will inform the Respondent, in writing, accordingly.
11. If there are such grounds, the Disciplinary Manager will inform the Respondent, in writing, of the alleged misconduct, and call him/her to a meeting (the 'Disciplinary Meeting'). At such meeting, the Investigating Manager will put the substance of the alleged misconduct to the Respondent, who will be given a fair opportunity to respond and state his or her case. On the conclusion of the meeting, the Disciplinary Manager will determine, and inform the Respondent orally:
  - (a) whether or not the Respondent has committed an act of misconduct;
  - (b) if so, whether a formal disciplinary warning be given; and whether this should be Oral, or, if the gravity and seriousness of the offence justifies it, Written or Final Written; and
  - (c) whether any further measures designed to assist in resolving the matter should be taken.
12. The outcome of the Disciplinary Meeting will also be confirmed in writing to the Respondent by the appropriate Human Resources Manager on behalf of the Disciplinary Manager, normally within ten working days from the date of the meeting. In the event that action is taken under paragraph 11(b) above, the notification will include:
  - (a) the substance of the conduct or behaviour constituting the act of misconduct;
  - (b) the consequences of any repetition, or if appropriate, failure to improve, within a specified timescale. Such consequences may include further action under the Misconduct Procedure, or referral for consideration under the Serious Misconduct Procedure;
  - (c) information about the Respondent's right of appeal against the decision in accordance with paragraph 13 below.
13. The Respondent will have the right of appeal against the outcome of the Disciplinary Meeting. If the Respondent chooses to exercise this right, s/he will notify, in writing, the Registrar and Secretary within ten working days of the date of notification of the outcome of the Disciplinary Meeting by the Human Resources Manager, indicating his

or her wish to appeal against the outcome. The Respondent will then be invited to a meeting (the 'Appeal Meeting') with the Appeal Manager.

14. The Appeal Manager, whose decision will be final, will hear the appeal and may either confirm the decision of the Disciplinary Manager, or alter it in whole or in part to the extent of imposing no penalty or a lesser penalty. The Registrar and Secretary will notify the Respondent accordingly, in writing, normally within ten working days of the Appeal Meeting.

### ***Part III – The Serious Misconduct Procedure***

15. Pursuant to Statute XIII.10(b) and paragraph 3 of this Ordinance, this procedure will be followed:
  - (a) in cases of alleged Serious Misconduct, including gross misconduct;
  - (b) in cases of repeated or persistent instances of Less Serious Misconduct, whether of the same or different forms of misconduct, where the Respondent has been warned under the Misconduct Procedure set out in Part II of this Ordinance that such cases may lead to action being taken under this Procedure;
16. Where a matter arising pursuant to paragraph 15(a) above is to be considered under this Procedure:
  - (a) the President and Vice-Chancellor may suspend the Respondent, on full pay, pending an investigation as provided for at (b) below, or a Disciplinary Panel hearing as provided for at paragraph 17 below, if the circumstances appear to him or her to warrant such action in order to protect the University's interests or those of its Members. Such suspension will be reviewed by the President and Vice-Chancellor after no more than ten working days and, as appropriate, periodically thereafter. The Respondent will receive, in writing, details of the alleged misconduct, and will be given the opportunity to make written representations to the President and Vice-Chancellor before any such review takes place;
  - (b) in order to comply with the provision of Statute XIII.10(b)(ii), the President and Vice-Chancellor will appoint a person of appropriate seniority to carry out an investigation into the alleged misconduct (the 'complaint(s)') and prepare a report detailing the findings. The President and Vice-Chancellor will consider such report. S/he will be entitled to act on its findings as follows: either (i) to dismiss the complaint(s) as being without substance or of a substance warranting action initially only under Part III of this Ordinance, or (ii) to authorise the complaint(s) to be considered by a panel established in accordance with Statute XIII.10(b)(iv) and constituted in line with Statute XIII.4 and Ordinance XXII (the 'Disciplinary Panel').
17. Any Disciplinary Panel so established and so constituted should have, in accordance with the provisions of Ordinance XXII, the discretion to determine the procedure to be followed in preparation for and at a hearing (the 'Disciplinary Hearing'), provided that if the evidence in support of the complaint(s) is to be given by witnesses, the

Respondent shall be allowed a reasonable opportunity to cross-examine them. If the issues are deemed by the Disciplinary Panel to be sensitive, arrangements may be made to assist a witness, such as allowing them to give evidence from behind a screen, or through a telephone or video link, or by restricting questions to those asked by a person accompanying the Respondent.

18. As soon as reasonably practical after the conclusion of the Disciplinary Hearing, the Disciplinary Panel will reach its decision (by a majority if necessary), which may be:
  - (a) to dismiss the complaint(s) in whole or in part; or
  - (b) to uphold the complaint(s) in whole or part.
19. If the complaint(s) are upheld, in whole or in part, the Disciplinary Panel may impose an appropriate penalty, which may include, but is not limited to:
  - (a) directing the Respondent to remedy the serious misconduct, in so far as it is possible to do so, by appropriate action, including:
    - (i) making financial restitution;
    - (ii) paying compensation to the University in respect of any loss caused or damage done;
  - (b) issuing a formal warning (Oral, Written or Final Written). In each case the warning will set out the conduct or behaviour constituting the act of serious misconduct and any improvement required of, or action to be taken by, the Respondent, with an appropriate timescale specified. The warning will also set out the consequences of non-compliance with any terms of the penalty and of any further misconduct.
  - (c) for members of staff appointed or promoted on or after 1 October 2004:
    - (i) withholding any forthcoming increment of salary;
    - (ii) demotion to a post of lower grading;
    - (iii) the removal of any title or office held in addition to the substantive appointment (without the requirement to proceed under the provision of Ordinance XXI);
  - (d) dismissing the Respondent. In such cases, the Disciplinary Panel must also determine whether to designate the Serious Misconduct as 'gross misconduct' such as to merit summary dismissal without notice. If the Serious Misconduct is not so designated, notice of dismissal will be served and the Disciplinary Panel must determine whether or not the Respondent will be given payment in lieu of his or her notice period.
20. The Disciplinary Panel will notify the Respondent of the reasons for its decision, in writing, normally within ten working days from the date of the conclusion of the

Disciplinary Hearing, to which will be appended, where appropriate, notification of his or her right to appeal against the decision in accordance with Statute XIII.10(b)(vii).

21. If the Respondent wishes to appeal against the decision of the Disciplinary Panel, he or she may do so by writing to the Registrar and Secretary within ten working days of the date of notification of the Panel's decision, setting out in full the grounds for appeal.
22. The appeal will be heard by a panel (the 'Appeal Panel') established, convened and conducted in the manner prescribed by Ordinance XXII.
23. As soon as is reasonably practicable after the hearing, the Appeal Panel will reach a decision on whether to:
  - (a) confirm the decision reached by the Disciplinary Panel; or
  - (b) substitute the decision reached by the Disciplinary Panel with any other equally or less severe decision open to the Disciplinary Panel; or
  - (c) remit the disciplinary charge for further consideration or rehearing, in whole or in part, to a new Disciplinary Panel.
24. The Appeal Panel will notify the Respondent of the reasons for its decision, in writing, normally within ten working days of the hearing. The decision of the Appeal Panel will be final, unless its decision falls within paragraph 23(c) above and the Appeal Panel has decided that it will not be final.

#### **Part IV - Protection of the individual rights of members of staff**

25. A manager will not take any action against a member of staff who is the subject of a disciplinary procedure which violates the individual rights of the member of staff in respect of the case at issue.

#### **Ordinance XXV**

#### **Procedures for the review of members of staff demonstrating incapacity on health grounds pursuant to Statute XIII, Part IV**

##### **Part I – Application and scope**

1. The application and scope of this Ordinance derives from and is limited to that provided for in Statute XIII, and should give effect to, and be consistent with, the guiding principles set out in paragraph 2(a) of that Statute. Nothing in this Ordinance, however, shall preclude the University, wherever possible and where in its absolute discretion it considers it appropriate to do so, from seeking to resolve instances of incapacity on health grounds by informal means, or by other formal processes outside the scope of Statute XIII, rather than through use of the procedures set out hereunder.

2. Without prejudice to the generality of the provisions of Statute XIII.15, this Ordinance shall normally apply only in instances where a member of staff is unable to fulfil the duties of his or her appointment in the University as a result of prolonged or intermittent absence from work, for which the cause is an underlying clinical condition (or combination of conditions) in respect of which there is no remedy or no probable improvement likely to occur in the foreseeable future.
3. At all stages of proceedings initiated in any particular instance under the procedures provided for hereunder, the appropriate Human Resources Manager should be consulted by those persons designated by the procedures to carry them out, and may also be similarly consulted by the member of staff. He or she may attend any meeting that is relevant to the case.
4. Meetings of any panel provided for hereunder shall be convened and conducted in accordance with the applicable provisions of Part III of Ordinance XXII, provided that the member of staff is allowed alternative means of making representations, including through a nominated representative acting on his or her behalf, if his or her clinical condition precludes, or makes unduly difficult, attendance at meetings. In cases where the procedures require the obtaining of a clinical report relating to the member of staff's state of health, if he or she refuses without good cause shown to give the appropriate consent to such report being obtained, the panel shall make its decision as to the appropriate course of action on the basis of the information then available to it.

## **Part II – Prolonged sickness absence**

5. Where it is confirmed, either by the outcome of an initial, informal investigation, or by the application of the procedure provided for in paragraph 2 of Ordinance XXIV, that the absence from work of a member of staff is for reasons falling within the scope of paragraph 2 of this Ordinance, the case shall be considered under the Long-Term Sickness Absence Procedure approved and reviewed from time to time by the Board and, as it applies to academic and research staff, following consultation with the Senate. *Inter alia*, such Procedure shall provide for an investigation of the scope for the redeployment of the member of staff, or for resolution or other accommodation of his or her health problems (including any that may be work-related), as appropriate, and taking into account the applicable provisions of the Disability Discrimination Act 1995.
6. If the application of the Long-Term Sickness Absence Procedure fails to lead to a satisfactory resolution of the case, the appropriate Human Resources Manager shall prepare a report on the actions so far taken, and their outcome, and send it to the Registrar and Secretary requesting that action be initiated to establish a panel pursuant to Part II of Ordinance XXII to hear the case and determine the action to be taken, including whether or not the member of staff's appointment should be terminated.
7. The panel so appointed shall hear the case and as soon as reasonably practical thereafter shall reach its decision on the action to be taken. The panel shall notify the member of staff of the reasons for its decision, in writing, normally within ten working days of the panel hearing, and to which shall be appended, where appropriate, notification of his or her right to appeal against the decision pursuant to the provisions of Statute XIII.15(b).

8. If the member of staff wishes to appeal against the decision of the panel, he or she, or his or her nominated representative acting on his or her behalf, may do so by writing to the Registrar and Secretary within ten working days of the date of notification of the panel's decision, setting out in full the grounds for appeal.
9. The appeal shall be heard by a panel established, convened and conducted in the manner prescribed by Ordinance XXII.
10. As soon as is reasonably practical after the appeal hearing, the panel shall reach a decision, which shall be final, on whether or not the appeal should be upheld, and, if it is upheld, what further action should be taken. The panel shall notify the member of staff of the reasons for its decision, in writing, normally within ten working days of the appeal hearing.

## **Ordinance XXVI**

### **Procedure for the review of probationary appointments pursuant to Statute XIII.16**

#### **Part I – Application and scope**

1. The application and scope of this Ordinance derives from and is limited to that provided for in Statute XIII, and should give effect to, and be consistent with, the guiding principles set out in paragraph 2(a) of that Statute.
2. The provisions of this Ordinance shall apply, as set out below, to those members of staff ('probationers') who have been appointed subject to review after a period of probationary service (the 'probationary period'), for the purpose of determining whether, at the end of such period, the appointment should be confirmed as one of indefinite duration, or whether the appointment should not be so confirmed and, in consequence, terminate.
  - (a) Parts II and III of this ordinance shall apply only to members of the academic staff;
  - (b) Part IV of this Ordinance shall apply to all other members or categories of members of staff to whom this Ordinance is applicable pursuant to the provisions of Statute XIII.1(a).
3. Without prejudice to the generality of Statute XIII.16(c), the provisions of this Ordinance shall not normally apply to the proposed dismissal of a probationer prior to the end of the probationary period on any ground falling under the application of Parts II, III or IV, or under paragraphs 17 or 18, of Statute XIII.

#### **Part II – General principles relating to academic staff**

4. The conduct of the probationary period shall be subject to the provisions of a policy statement on induction and probationary arrangements for newly appointed academic staff (the 'Arrangements for academic staff') approved and reviewed from time to time by the Board following consultation with the Senate.

5. The duration of the probationary period shall normally be four years, as further defined in the Arrangements for academic staff. However, probation may be waived or reduced where evidence is provided that comparable probation has been undertaken in another university in the United Kingdom.
6. The Arrangements for academic staff shall ensure that probationers:
  - (a) receive appropriate and effective induction, training and support so that they may contribute fully towards the mission and strategic objectives of the University at the earliest opportunity;
  - (b) receive clear statements of their responsibilities and of the standards of performance required, following discussion with the Head of School;
  - (c) are provided with the opportunity to achieve requisite levels of quality, productivity and performance in teaching, research and scholarship by the end of the probationary period;
  - (d) receive appropriate support and guidance if at any stage during the probationary period progress is deemed not to be satisfactory, with a view to enabling them to meet the necessary standards as quickly as possible.
7. The progress of the probationer shall be reviewed at appropriate intervals in accordance with the scheme of review provided for from time to time in the Arrangements for academic staff.

### **Part III – Confirmation or non-confirmation of appointment of academic staff**

8. The detailed procedures leading to confirmation or non-confirmation of the probationer's appointment shall be set out from time to time in the Arrangements for academic staff, but shall include:
  - (a) provision for the question of confirmation of appointment to be first considered no later than during the third year of the probationary period;
  - (b) where there is non-confirmation of appointment at the end of year three, the process allows for an appeal against the decision that a fourth year should be undertaken, which appeal will be conducted by the relevant Vice-President & Dean, or an independent person acting on his/her behalf;
  - (c) provision for a final decision on confirmation or non-confirmation of appointment, if required following the review provided for in sub-paragraph (a) above, to be made during the fourth year of the probationary period;
  - (d) in the case of non-confirmation of appointment, provision for appeal of the decision by a panel comprising persons having no prior direct involvement in the case, in a manner prescribed from time to time in the Arrangements for academic staff. The panel, whose decision shall be final, shall consider whether the reasons advanced in support of the decision are reasonable and supportable, and also any evidence put forward by the probationer.

#### **Part IV – Procedure for other members of staff covered by Statute XIII**

9. The conduct and review of the probationary period shall be subject to the provisions of a policy statement on induction and probationary arrangements for newly appointed academic-related staff (the ‘Arrangements for academic-related staff’) approved and reviewed from time to time by the Board.
10. If after review in accordance with the requirements of the Arrangements for academic-related staff the recommendation is that the appointment should not be confirmed, there shall be provision for review of the case by a panel comprising persons having no prior direct involvement in the case, in a manner prescribed from time to time in the Arrangements for academic-related staff. The panel, whose decision shall be final, shall consider whether the reasons advanced in support of the decision are reasonable and supportable, and also any evidence put forward by the probationer.

#### **Ordinance XXVII**

#### **Procedure for the dismissal of members of staff on other grounds pursuant to Statute XIII.17**

##### **Part I – Application and scope**

1. The application and scope of this Ordinance derives from and is limited to that provided for in Statute XIII, and should give effect to, and be consistent with, the guiding principles set out in paragraph 2(a) of that Statute.
2. The provisions of this Ordinance prescribe the procedures to be followed in order to dismiss members of staff on any ground falling within paragraph 3(b) of Statute XIII, other than those covered by Parts II, III, IV and paragraphs 16 and 18 of Part V of that Statute, namely:
  - (a) where the member of staff cannot continue to work in the position which he or she holds without contravention (either on his or her part or on that of his or her employer) of a duty or restriction imposed by or under an enactment; or
  - (b) Some Other Substantial Reason of a kind such as to justify the dismissal of a member of staff holding the position which he or she holds.

For the avoidance of doubt, termination of employment under SOSR excludes dismissals for reason of capability, conduct or redundancy.

3. Meetings of any panels provided for hereunder shall be convened and conducted in accordance with the applicable provisions of Part III of Ordinance XXII.
4. Nothing in this Ordinance shall prevent the University from informing and consulting with the relevant member of staff (or with appropriate employee representatives) or from considering alternatives to dismissal prior to the commencement of the procedure set out hereunder.

## **Part II – The procedure**

5. The decision to dismiss a member of staff for a reason set out in paragraph 1 above shall be taken in any particular case by a panel provided for in Statute XIII.4 and established and convened in accordance with Ordinance XXII.
6. Before such a decision is taken, the Registrar and Secretary shall write to the member of staff *inter alia* setting out the issues to be considered, and to invite him or her to attend a hearing before the panel.
7. As soon as is reasonably practicable after the hearing, the panel shall reach a decision as to whether or not the member of staff should be dismissed. The panel shall notify the member of staff of the reasons for its decision, in writing, normally within ten working days of the panel hearing, and to which shall be appended, where appropriate, notification of his or her right to appeal against the decision pursuant to Statute XIII.17(b).
8. If the member of staff wishes to appeal against the decision of the panel, he or she may do so by writing to the Registrar and Secretary within ten working days of the date of notification of the panel's decision, setting out in full the grounds for appeal.
9. The appeal shall be heard by a panel established, convened and conducted in the manner prescribed by Ordinance XXII.
10. As soon as is reasonably practicable after the appeal hearing, the panel shall reach a decision, which shall be final, on whether:
  - (a) the appeal should not be allowed and the decision to dismiss the member of staff confirmed; or
  - (b) the appeal should be upheld and the decision to dismiss the member of staff revoked.

The panel shall notify the member of staff of the reasons for its decision, in writing, normally within ten working days of the appeal hearing.

## **Ordinance XXVIII**

### **Staff grievance procedure pursuant to Statute XIII, Part VI**

#### **Part I - Application and scope**

1. The application and scope of this Ordinance derives from and is limited to that provided for in Statute XIII, in particular paragraph 19, and should give effect to, and be consistent with, the guiding principles set out in paragraph 2(a) of that Statute.
2. The person(s) or panel who are to deal with the grievance may, at his, her or its discretion, defer consideration of the grievance if other proceedings under Statute XIII concerning the member or members of staff raising the grievance (the 'Aggrieved Party'), and which are relevant to the substance of the grievance, are pending or are in

progress. No disciplinary action shall be taken against any individual until the outcome of the grievance has been determined.

3. Meetings of any panel provided for hereunder shall be convened and conducted in accordance with the applicable provisions of Part III of Ordinance XXII. The Aggrieved Party has the right to be accompanied at such meetings, and at any other meeting provided for hereunder, in accordance with the provisions of that Ordinance. Any person or persons whose conduct is the subject of the grievance shall also have the right of representation.
4. At all stages of proceedings initiated in any particular instance under the procedures provided for below, the appropriate Human Resources Manager should be consulted by those persons designated by the procedures to carry them out, and may also be similarly consulted by the Aggrieved Party. The Human Resources Manager shall be entitled to attend any meeting provided for hereunder that is relevant to the case.

## **Part II - Informal resolution**

5. The Aggrieved Party shall first be expected to attempt, as far as is reasonably possible and appropriate, to resolve the grievance informally through discussions. These should normally involve the Aggrieved Party's immediate line manager, and any person(s) to whose conduct the grievance relates. If the grievance cannot be resolved in this way, either because informal discussions are, in a particular instance, inappropriate, or that they have failed to resolve the grievance, then the formal procedure below should be followed.

## **Part III - Formal resolution**

6. The intention of each of the Stages detailed below is to investigate and seek to resolve the grievance and identify any actions that may need to be taken as a consequence of such resolution. Provided that a grievance is brought in good faith, but the circumstances are not confirmed by subsequent investigation, any reprisals against, or victimisation of, the Aggrieved Party shall be considered to be a serious disciplinary offence.
7. The person designated to deal with each stage of the procedure shall normally be a manager of appropriate, and successively higher, seniority within the University.

[*Note:* the 'Stage 1 Manager' shall normally be the Aggrieved Party's immediate line manager/supervisor, but if such person is the subject of the grievance being brought, the Aggrieved Party shall normally raise the matter with his or her Head of School, Office or Service, unless that person is the subject of the grievance, in which case the matter shall be raised with the Vice-President & Dean. Should the Vice-President & Dean be the subject of the grievance, the matter shall be raised in the first instance with the Registrar & Secretary.]

### ***Stage 1***

8. If the Aggrieved Party wishes to raise the grievance formally, he or she shall write to the Stage 1 Manager, giving sufficient detail to enable the manager to understand and

consider the scope of the grievance, and indicating the extent and outcome of attempts to resolve the grievance informally as provided for at paragraph 5 above. The Aggrieved Party shall also provide clarification on any aspect of the grievance if requested to do so by the Stage 1 Manager, who shall normally investigate the substance of the grievance and, unless he or she deems it to be inappropriate, discuss it with any person to whose conduct the grievance relates.

9. The Stage 1 Manager shall invite the Aggrieved Party to attend a meeting to discuss the grievance with a view to resolving it. After such meeting the manager shall inform the Aggrieved Party, in writing, of his or her response to the grievance, normally within ten working days of the meeting. Such response shall indicate the procedure for the Aggrieved Party to proceed to Stage 2 if he or she is not satisfied with the Stage 1 Manager's response.
10. The Stage 1 Manager shall also be entitled to reject the grievance, after appropriate investigation and a meeting with the Aggrieved Party, if he or she decides that it is frivolous or vexatious and shall record this reason in his or her response if it applies.

### *Stage 2*

11. If the Aggrieved Party is not satisfied with the Stage 1 Manager's response, he or she should write to the Registrar & Secretary within ten working days of the Stage 1 Manager's notification, setting out:
  - (a) full details of the grievance;
  - (b) details of the steps he or she has taken in attempting to resolve the grievance thus far, enclosing copies of all correspondence with the Stage 1 Manager;
  - (c) reasons why he or she is dissatisfied with the outcome of Stage 1 of the procedure.
12. The Registrar and Secretary shall make arrangements for the grievance to be referred to a panel (the 'Grievance Panel') constituted pursuant to Statute XIII.4 and Ordinance XXII, in order that a grievance appeal hearing may be conducted.
13. A grievance appeal hearing shall be held, the conduct of which, pursuant to Part III of Ordinance XXII, shall be at the discretion of the Grievance Panel, provided that the panel shall consider whether and to what extent any person(s) to whose conduct the grievance relates may:
  - (a) attend the grievance appeal hearing and be accompanied thereat by a workplace colleague or by a trade union representative;
  - (b) be notified in advance (if not already notified) of the details of the Aggrieved Party's grievance.

The Registrar and Secretary shall ensure that the procedures followed do not infringe or prejudice the rights of any person whose conduct is the subject of the grievance being brought.

14. As soon as reasonably practical after the conclusion of the grievance appeal hearing, the Grievance Panel shall reach its decision, which shall be final, as to whether the grievance is, or is not, well-founded and what steps, if any, should be taken as a consequence.
15. The Grievance Panel shall notify the Aggrieved Party of the reasons for its decision, in writing, normally within ten working days from the date of the conclusion of the Grievance Hearing.