

UNIVERSITY OF ULSTER

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Section 1 – Members of the University

Ordinance I - The Members of the University

1. The following persons shall be Members of the University:
 - (A) Members of the Council and the Senate.
 - (B) All other members of staff – academic and academic-related/professional services.
 - (C) The holders of such appointments within the University as may be designated for the purpose by Ordinance.
 - (D) The students.
 - (E) All such other persons as the Council may by Ordinance declare to be Members.
2. Membership of the University shall continue so long only as at least one of the qualifications above enumerated shall continue to be held by the individual member.

Ordinance II - The Chancellor

1. Council shall appoint a Chancellor, who shall hold office for an initial period of four years and may be invited by Council to serve for a further period of four years, where appropriate.
2. The appointment of the Chancellor shall be governed by the terms of the Delegated Authority Framework.
3. The Chancellor may resign in writing addressed to the Council, via the Chair of Council.

Ordinance III - The Pro-Chancellors

1. Council shall appoint Pro-Chancellors, who shall not be employees or students of the University. The appointment of the Pro-Chancellors shall be governed by the terms of the Delegated Authority Framework.
2. Pro-Chancellors shall hold office for an initial period of four years, following which they shall be entitled to serve for one additional term of four years, subject to satisfactory performance and engagement throughout their first term. A recommendation, in respect of the additional term, will be brought from the appropriate committee to Council.
3. In exceptional circumstances, a Pro-Chancellor may be invited to serve up to an additional two years beyond the eight-year total – but only where this is required to address a specific skills deficit on Council and/or where the absence of the individual in question will impact on the effective operation of Council or one of its core Committees. A recommendation, in respect of the additional term and its length, will be brought from the appropriate committee to Council.
4. Should a current member of Council take up the position of Pro-Chancellor, their term of Office will be aligned with their original term on Council.
5. The respective functions of the Pro-Chancellors shall be determined by the Council.
6. A Pro-Chancellor may resign by writing addressed to the Council, provided that, if they are Chair of the Council, they shall at the same time resign the office of Chair of the Council by writing addressed to the Council.

Ordinance IV - The Vice-Chancellor

1. The Vice-Chancellor shall be appointed by Council on the recommendation of a Joint Committee of Council and Senate (with equal numbers and not less than two from each constituency), together with the Chair of the Council who shall be a member ex-officio and Chair. The Chair shall be additional and not counted within the equal numbers provision.
2. The appointment of the Vice-Chancellor shall be governed by the terms of the Delegated Authority Framework.
3. The Vice-Chancellor shall hold office for such period and (subject to Statute IV) under such terms and conditions as may from time to time be determined by the Council.
4. The Vice-Chancellor shall have a general responsibility to the Council for maintaining and promoting the efficiency and good order of the University and may, on occasions which they consider to be occasions of necessity, and in consultation with the Chair of the Council, take such steps as they may deem expedient for safeguarding the interests of the University; provided that in all such cases a report shall be made to the Council at its next meeting.
5. The Vice-Chancellor may delegate any of their functions and may withdraw any such delegation at any time, as set out in the approved Delegated Authority Framework.
6. The Vice-Chancellor may resign in writing addressed to Council, via the Chair of Council.

Ordinance V - The Honorary Treasurer

1. Council shall appoint an Honorary Treasurer, who shall not be an employee or student of the University, and who shall serve for an initial period of four years.
2. The appointment of an Honorary Treasurer shall be governed by the terms of the Delegated Authority Framework.
3. Following their first term, the Honorary Treasurer shall be entitled to serve for one additional term of four years, subject to satisfactory performance and engagement throughout their first term. A recommendation, in respect of the additional term, will be brought from the appropriate committee to Council.
4. In exceptional circumstances, an Honorary Treasurer may be invited to serve up to an additional two years beyond the eight-year total – but only where this is required to address a specific skills deficit on Council and/or where the absence of the individual in question will impact on the effective operation of Council or one of its core Committees. A recommendation, in respect of the additional term and its length, will be brought from the appropriate committee to Council.
5. The date on which the term of Honorary Treasurer will end will be determined by Council, to ensure an appropriate handover between the retiring, and the successor, appointee.
6. Should a current member of Council take up the position of Honorary Treasurer, their term of Office will be aligned with their term on Council.
7. The Honorary Treasurer shall perform such functions as the Council may determine and in particular will provide the Council with a view on whether or not financial responsibilities are being appropriately managed and that the University is complying with the terms of its Financial Memorandum, or equivalent document, with its sponsoring Department.

8. The Honorary Treasurer may resign in writing addressed to Council, via the Chair of Council.

Ordinance VI - Appointment of External Lay Members and Terms of Office

1. Council shall appoint up to 16 External Lay members (over and above office bearer positions), who shall not be employees or students of the University.
2. The appointment of external lay members shall be governed by the terms of the Delegated Authority Framework.
3. External Lay members shall serve for an initial period of four years, following which they shall be entitled to serve for one additional term of four years, subject to satisfactory performance and engagement throughout their first term. A recommendation, in respect of the additional term, will be brought from the appropriate committee to Council.
4. In exceptional circumstances, an External Lay member may be invited to serve up to an additional two years beyond the eight-year total – but only where this is required to address a specific skills deficit on Council and/or where the absence of the individual in question will impact on the effective operation of Council or one of its core Committees. A recommendation, in respect of the additional term and its length, will be brought from the appropriate committee to Council.

Ordinance VII – The Deputy Vice-Chancellor

1. The appointment of the Deputy Vice-Chancellor shall be governed by the terms of the Delegated Authority Framework.
2. The Vice-Chancellor shall determine the role, responsibilities and functions of the Deputy Vice-Chancellor.
3. The Deputy Vice-Chancellor may resign in writing addressed to the Vice-Chancellor.

Ordinance VIII – The University Secretary

1. The appointment of the University Secretary shall be governed by the terms of the Delegated Authority Framework.
2. The University Secretary shall carry out such duties as the Chair of Council, the Vice-Chancellor and the Chief People Officer may determine.
3. The University Secretary may resign in writing addressed to Council, via the Chair of Council, the Vice-Chancellor and the Chief People Officer.

Section 2 – Governance Arrangements

Ordinance IX – Appointment of Staff Members to Council

1. Section 1(B) and (C) of Statute I states that of the membership of the Council shall consist of:
 - (i) External Lay Members, not being members of staff or students of the University, the number of which shall be determined, as required, by Council.
 - (ii) Staff Members, the number of which shall be determined, as required, by Council.
2. In this context, Council has determined the number of staff members as set out below:
 - (i) Two shall be members of the academic staff of the University appointed by the Council on the recommendation of a Committee or Sub-Committee of the Council established under the provisions of paragraph 6 of Statute 1.
 - (ii) Two shall be members of academic-related/professional services staff of the University appointed by the Council on the recommendation of a Committee or Sub-Committee of the Council established under the provisions of paragraph 6 of Statute 1.

Section 1 also provides that the procedures for the appointment of members may be determined by Ordinance.

3. The following procedures will be followed in the appointment of those members provided for at Statute 1(C):
 - (a) Staff will be invited to apply through an application process, which will be undertaken as and when vacancies arise.
 - (b) In accordance with the Delegated Authority Framework, the People Committee will agree and oversee the appointment process for staff members on Council, making recommendations to Council in respect of the most suitable candidates. Applications received shall be considered by a Committee established under the provisions of Statute 1, Section 6 and Ordinance IX, with appointments to be made based on consideration of the knowledge, skills and expertise of candidates against those core competencies required of a Council member. This Committee will be chaired by the Chair of Council, with participants drawn from the membership of the People Committee.
4. Where a casual vacancy occurs within any constituency on Council, it shall be filled as soon as possible after commencement of the vacancy or at such date as the Council may determine. The procedures set out in this Ordinance, and within the Delegated Authority, shall be followed.
5. In the event of any dispute as to the interpretation of this Ordinance or the method of implementing the procedures there set out, the decision of the Chair of Council shall be final.
6. Staff members will be appointed for an initial term of four years. Following their first term, they shall be entitled to apply and be considered for reappointment for one additional term of four years, in line with the provision for external lay members.
7. Persons appointed under this Ordinance may resign in writing to the Council, via the Chair of Council.

Ordinance X – Committees of the Council

1. There shall be the following Committees of the Council:
 - a. Resources Committee
 - b. Audit and Risk Committee
 - c. People Committee
 - d. Belfast Campus Development Committee
 - e. City Deals and Special Projects Committee
2. Each Committee shall have terms of reference and standing orders to be determined from time to time by the Council.
3. This Ordinance will be automatically updated to reflect any changes to the agreed core Committees of Council.

Ordinance XI – Membership of the Committees of Council

1. The Vice-Chancellor, Pro-Chancellors and Honorary Treasurer shall be ex-officio members of all committees of Council.
2. Other membership of committees will be as from time to time agreed by the Council, or by the People Committee under delegated authority, but each committee shall have a majority of lay members.

Ordinance XII – The Constitution of the Senate

1. The Senate shall consist of the following persons, namely:

(A) Ex Officio members:

The Vice-Chancellor (Chair); Deputy Vice-Chancellor; University Provost; Pro-Vice-Chancellors and those Pro-Vice-Chancellor and Executive Deans who are not members of the Senate by virtue of any other ex-officio category; the President of the Students' Union; the holders of such other posts not exceeding two as the Senate may determine.

(B) Elected members:

Four members of the academic staff of each Faculty of whom at least one shall be a Professor and four members being students.

(C) Co-opted members:

Such other members, not exceeding two, as may be co-opted by the Chair of Senate.

2. Elected members shall be elected in such manner as shall be prescribed by Ordinance.

The periods during which members of the Senate respectively shall hold office shall be as follows:

- (a) Ex-officio members shall remain members only for so long as they continue to occupy the positions by virtue of which they became members. This includes the requirement that staff are not on sabbatical or secondment within or from the University;
- (b) Elected members with the exception of student members shall hold office for a period of four years; student members shall hold office for one year;

- (c) Co-opted members shall hold office for such period as shall be determined by the Chair. This will be reviewed on an annual basis based on the specific skills, needs and requirements of Senate at any given time. Previous service on Senate does not preclude a subsequent appointment as a co-opted member.
3. An elected member who has served for two consecutive full periods of four years shall not be eligible for re-election. Any specific skill set lost through this provision can be addressed in exceptional circumstances - through a time-limited co-option - as set out above.
 4. A casual vacancy among the elected members shall be filled as soon as conveniently possible by the body which elected the member whose place has become vacant.
 5. If the Senate so wishes, it shall convene a time-limited Sub Committee(s) of Senate to inform Senate's Chair's Actions on specific matters.
 6. The Chair of Senate may establish, whether from within Senate's own membership or otherwise, such other committees as they may think fit and may suspend or dissolve any such committee at any time.
 7. Subject to the Charter and these Statutes and Ordinances, the Senate may delegate, upon such conditions as it may determine and may revoke the delegation of, any of its functions to joint committees of the Council and the Senate, committees of the Senate, the Boards of the Faculties, the Vice-Chancellor or any other officers of the University. Any delegation of function shall be explicit and a matter of record.
 8. Unless expressly determined otherwise by the Vice-Chancellor, the Deputy Vice-Chancellor, the University Provost and the Pro-Vice-Chancellors shall be ex-officio members of all committees of the Senate.
 9. The constitution and procedure of any committee of the Senate may be prescribed in such manner as the Senate may think fit.

Ordinance XIII – Elections of Members to the Senate

1. Under paragraph 1(B) of Ordinance XII the membership of the Senate includes:
 - (a) Three members of academic staff of whom at least one shall be a Professor or drawn from and elected by the academic staff of each Faculty.
 - (b) Three members drawn from and elected by the students.
2. In the elections referred to in subsection (a) of paragraph 1 of this Ordinance, the procedures set out below shall be followed:
 - (a) A Returning Officer shall be appointed by the Senate. The Returning Officer shall, if unable to act, appoint a deputy to act in his place.
 - (b) Voting shall be by secret ballot, in accordance with the single transferable vote system.
 - (c) Elections held under subsection (a) of paragraph 1 shall take place in two phases. All academic members of staff of the Faculty shall elect one representative being a Professor or in the first instance. After voting has taken place and the results have been announced all academic members of the Faculty shall elect a further two representatives drawn from all academic members of the faculty including Professors. Members elected under subsection (a) of paragraph 1 shall remain members only for so long as they continue to occupy the positions by virtue of which they became members.

- (d) The Returning Officer shall send to each elector a notice indicating whether an election is required under this paragraph, and, if it is, the number of persons to be elected. The Returning Officer shall at the same time give notice of the date, which shall not be less than ten days or more than fourteen days after dispatch of notification, by which nominations for election must be received.
 - (e) All candidates shall be nominated by two electors.
 - (f) Nominations shall be lodged with the Returning Officer by the date specified under subsection 2(d) above.
 - (g) Should the number of persons duly nominated be greater than the number of vacancies to be filled the Returning Officer shall send to each elector not later than five days after the last date for the receipt of nominations:
 - (i) a list of duly nominated candidates with the names of the persons nominating them;
 - (ii) a Voting Paper; and
 - (iii) notification of the date, being not less than seven days and not more than ten days after the date of the distribution of the Voting Paper, by which Voting Papers are to be returned. This date shall be regarded as the date of the election.
 - (h) Completed Voting Papers shall be sent to the Returning Officer so as to reach them not later than the date of the election. All Voting Papers sent to the Returning Officer shall be enclosed in an envelope which shall bear on the outside the words 'Voting Paper'.
 - (i) The Returning Officer shall publish in a public place or places within the University not later than seven days after the conclusion of the ballot, the names of those candidates who have been elected.
 - (j) The accidental omission to send a voting or other paper relating to the ballot to any person entitled to receive such a paper shall not invalidate the ballot.
3. Where a casual vacancy occurs among members elected under subsection (a) of paragraph 1 of this Ordinance it shall be filled at a by-election held as soon as possible after commencement of the vacancy. The procedures set out under subsections (a), (b), (c), (d), (e), (f), (g), (h), (i) and (j) of paragraph 2 shall be followed. All members who are entitled to vote in the by-election shall be entitled to stand as candidates for election.
 4. In the event of any dispute as to the interpretation of paragraphs 2 and 3 of this Ordinance or the method of implementing the procedures there set out, the decision of the Returning Officer shall be final.
 5. Persons elected under this Ordinance may resign by writing addressed to Senate, via the Chair of Senate.
 6. In the election referred to in subsection (b) of paragraph 1 of this Ordinance the procedures to be followed shall be determined by the Senate after consultation with the Students' Union.
 7. The Returning Officer may decide to conduct any election called under the provisions of this paragraph by electronic means only.

Ordinance XIV – Delegated Authority Framework

1. There shall be a framework of delegated authority, as set out in the Schedule to this Ordinance.

Ordinance XV – The Faculties

1. There shall be such Faculties of the University as from time to time determined by the Council, on the recommendation of the Senate, and set out in the Schedule to this Ordinance.
2. (A) There shall be a Pro-Vice-Chancellor and Executive Dean of each Faculty who shall be the Chair of the Faculty Board. The Pro-Vice-Chancellor and Executive Dean shall serve for their period of their appointment to the University.
(B) The Pro-Vice-Chancellor and Executive Dean may resign by writing addressed to the Vice-Chancellor and the Deputy Vice-Chancellor.
3. Each Faculty shall have a Faculty Board which shall include the following persons:
 - (A) The Pro-Vice-Chancellor and Executive Dean of the Faculty
 - (B) The Associate Deans of the Faculty
 - (C) The Heads of School/Departments
 - (D) Research Directors
 - (E) The Director of Faculty Operations
 - (F) Chairs of Faculty Committees (e.g. HSW etc)
 - (G) Members of academic staff as determined by the Chair
 - (H) Student representatives as determined by the Chair
 - (I) A representative(s) from each of the other Faculties at the invitation of the Chair (exchange of best practice); and
 - (J) Any other persons as invited by the Chair

The Vice-Chancellor and Deputy Vice-Chancellor are ex-officio members of all Faculty Boards.

4. Membership of the Board of each Faculty may be varied at any time by the Council, on the recommendation of the Senate.
5. Each Faculty Board will have the following responsibilities:
 - (a) To advise the Pro-Vice-Chancellor and Executive Dean on the education and research strategies of the Faculty and their implementation.
 - (b) To complement the executive role and powers of the Pro-Vice-Chancellor and Executive Dean, Associate Deans and Heads of School/Department and to provide oversight of academic and related matters through its membership.
 - (c) To be responsible to Senate, via the appropriate Committee reporting structures, for the implementation of the education and research strategies and other academic activities carried out by the Faculty.
 - (d) To provide where available, to each meeting of Senate, a copy of the Faculty Board minutes for information and discussion as appropriate.
 - (e) To bring to Senate, via the Pro-Vice-Chancellor and Executive Dean, any other matters of concern arising from the Faculty, which fall outside the agreed Committee reporting structures.
 - (f) To consider any other relevant matters as determined by the Faculty's context and Terms of Reference.
6. (A) The Board of a Faculty may establish committees to advise and report on such matters as may be determined by the Board.

- (B) Any such committee may include members of the academic staff of other Faculties and other persons whether members of the University or not.
 - (C) Any committee established under this paragraph may be so composed and constituted as to be a joint committee of two or more Faculties.
 - (D) A Pro-Vice-Chancellor and Executive Dean of a Faculty shall be an ex-officio member of all committees established by the Board of the Faculty.
 - (E) Committees established under this paragraph may at any time be suspended or dissolved by any of the Boards by which they were established.
7. Subject to the Charter and this Ordinance, the Board of each Faculty, and any committees established under 6(A) above shall regulate its own affairs, such regulation to be set out in standing orders.

Schedule 1

There shall be the following faculties of the University – Arts, Humanities and Social Sciences; Computing, Engineering and the Built Environment; Life and Health Sciences; and Ulster University Business School.

Ordinance XVI – The Joint Committee for the Award of Honorary Degrees

1. There shall be a Joint Committee of the Council and the Senate for the award of Honorary Degrees.
2. The composition of the Committee shall be: Chair of the Council (Chair), Vice-Chancellor, three members (not being members of the Senate) appointed by the Council, three members (not being members of the Council) appointed by the Senate.
3. All members of the University, together with members of the public, shall be invited to submit, in confidence to the Joint Committee, through the Office of the University Secretary, nominations for Honorary Degrees, by an agreed date each year. The Joint Committee shall consider whether Honorary Degrees shall be conferred, and if so, on whom.
4. The Joint Committee shall consider all nominations received but shall also have power to make recommendations for the conferment of Honorary Degrees on its own initiative.
5. The Joint Committee shall provide Council and Senate with an update report, once potential recipients have been invited to receive, and have agreed to accept, their awards.
6. Where degrees are to be conferred outside of the standard graduation ceremonies, such decisions shall be taken by the Vice-Chancellor, in consultation with the Chair of Council.
7. Decisions by the Joint Committee for the award of Honorary Degrees shall specify in each case the grounds on which the particular degree is to be awarded.

Ordinance XVII – Validation and Service of Documents

1. No act or resolution of the Council, the Senate or of any Board or committee (however designated) constituted in accordance with these Ordinances shall be invalid by reason only of any vacancy in the body doing or passing it or by reason of any want of qualification by or invalidity in the election or appointment of any de facto member of the body whether present or absent.

Ordinance XVIII – Convocation

1. The Convocation of the University shall consist of the following persons, namely:
 - (A) The Chancellor, the Pro-Chancellors, the Honorary Treasurer, the Vice-Chancellor, the Deputy Vice-Chancellor, the University Provost and members of the Senior Leadership Team.
 - (B) The members of academic and academic-related/professional services staff.
 - (C) The Graduates, including Honorary Graduates, and holders of diplomas and such other academic distinctions, awarded by either of the previous institutions or by the University, or by national or professional bodies, at the University of Ulster or its predecessor institutions.
 - (D) The Chaplains.
 - (E) Such other persons holding appointments in the University as may be invited to membership by the Convocation.
2. The University shall ensure that a Convocation is facilitated and supported in engaging with its membership, through the channelling of communications to constituencies through relevant University databases. All such activity to be carried out in line with the University's GDPR responsibilities.
3. An Annual General Meeting of members of the Convocation shall be held each year and, in accordance with rules prescribed by the Council, the meeting shall elect members to an Executive Committee. The Executive Committee so elected shall consist of twelve members who shall serve for a period of four years, with three members retiring annually thereafter on a rotational basis. Retiring members shall be eligible for re-election. Notification of the date of the Annual General Meeting shall be through appropriate University communication methods.
4. The Executive Committee shall:
 - (a) Elect from its members a Chair who shall serve as the Chair of the Convocation for a period of four years. The Chair shall be eligible thereafter for election for one further consecutive period of office; and thereafter shall not be eligible for election for a further period of office until one year has elapsed;
 - (b) Fill casual vacancies arising on the committee as soon as conveniently possible;
 - (c) Meet not less than twice in any year;
 - (d) Arrange such other meetings of members as it considers appropriate;
 - (e) Have standing orders for the effective conduct of its business.
5. The Convocation shall have the power to discuss and declare an opinion on any matter relating to the University, including matters which may be referred to it by the Council. Specifically, the Convocation will as a body be consulted, through its Executive Committee, on any matter that the Council has determined should be the subject of public consultation.
6. The views of the Convocation, expressed through its Executive Committee, on any matter shall be referred for consideration to the Vice-Chancellor/Chair of Council for action as appropriate.

Ordinance XIX – Removal from Office or Employment

1. The Chancellor, the Pro-Chancellors, the Honorary Treasurer and any other member of the Council (other than an ex officio member or a person to whom Statute IV applies) may be removed from office by the Council for good cause.

2. No person shall be removed from office under this Ordinance unless they shall have been given a reasonable opportunity of being heard in person by the Council or an agreed Committee thereof and to be accompanied by a colleague who shall also have the right to be heard.
3. 'Good Cause' in this Ordinance means:
 - (a) conviction for an offence which may be deemed by the Council, as the case may be, to be such as to render the person convicted unfit for the execution of the duties of the office; or
 - (b) conduct incompatible with the duties of the office or which may or does bring the University into disrepute; or
 - (c) conduct constituting failure or persistent refusal or neglect or inability to perform the duties or comply with the conditions of office whether such failure results from physical or mental incapacity or otherwise.

Section 3 – Academic Matters

Ordinance XX – Registered, Occasional, Associate and Affiliate Students

1. Registered students are persons who have been formally admitted to the University as candidates for a degree, diploma, certificate or other academic distinction of the University or of an appropriate national or professional body.
2. Occasional students are persons who have been formally admitted to the University to pursue a course of study or research but who are not registered students.
3. Associate students are persons who have been formally admitted to an institution recognised under Ordinance XXIII as candidates for an award of the University.
4. Affiliate students are:
 1. persons who have been formally admitted to an Affiliate College approved under Ordinance XXIII to study franchised programmes developed and approved by the University. Persons admitted to an overseas Affiliate College will be known as Ulster University overseas students as a subcategory of affiliate students.
 2. persons admitted to the University to study an approved course at an Out centre outside the UK or Ireland.
5. The effective date of formal admission of persons to the University under this Ordinance is the date of their initial enrolment as registered, occasional or affiliate students on their courses of study or research in accordance with the Regulations for the Enrolment of Students.
6. The Council and Senate shall prescribe by Ordinance and Regulation the rights and privileges which shall be accorded to registered, occasional, associate and affiliate students.
7. Registered, occasional, associate and affiliate students shall be subject to the Charter, Statutes, Ordinances and Regulations of the University.
8. A registered or occasional student shall cease to be a registered or occasional student:
 - (a) if they notify the University of their withdrawal from their course of study or research, or, in the absence of such notification, is deemed by or on behalf of the Senate to have withdrawn;
 - (b) if they are required by or on behalf of the Senate to discontinue their studies;
 - (c) if they fail to enrol as prescribed, or if their enrolment is revoked in accordance with the Regulations for the Enrolment of Students.
9. An associate student shall cease to be an associate student:
 - (a) if they cease to study for an award of the University at a partner institution;
 - (b) if their status is revoked by or on behalf of the Senate and/or Council.
10. An affiliate student shall cease to be an affiliate student:
 - (a) if they withdraw from their course of study;
 - (b) if their status is revoked by or on behalf of the Senate and/or Council;
 - (c) if they fail to enrol as prescribed, or if their enrolment is revoked in accordance with the Regulations for the Enrolment of Students.

Ordinance XXI – University Examinations

1. Examinations shall be conducted jointly by internal examiners appointed by the Senate, and by examiners appointed by the Council on the recommendation of the Senate.
2. The procedures governing examinations shall be prescribed in the Regulations.

Ordinance XXII – The Congregation

1. For the purpose of conferring Degrees and other academic distinctions there shall be held from time to time a meeting of the University, which shall be called a Congregation.
2. A Congregation shall be presided over by the Chancellor, or in their absence, the Vice-Chancellor.
3. The procedure for summoning a Congregation, for the presentation of graduands and for the conferring of Degrees and other academic distinctions in absentia and all other matters relating to Congregations, shall be determined by the Senate.

Ordinance XXIII – Recognition of Institutions

1. The names of the educational institutions recognised by the University for the purpose of offering a course of study approved by the Senate and leading to the award of a Degree, Diploma, Certificate or other academic distinction of the University, and the awards to which the approved course of study shall lead, are specified in the Schedule to this Ordinance.
2. Subject to 3 below, the Senate may by resolution revoke, add to or amend the provisions of the Schedule.
3. The Senate may not by resolution under 2 above, amend the Schedule by adding the name of an institution or by adding an award unless:
 - (a) It has reported to the Council that the academic standards of the institution and the facilities and other resources to be made available for the course of study are satisfactory;
 - (b) The University is satisfied that:
 - i. The institution has been established on a permanent basis;
 - ii. The buildings, equipment and financial position are satisfactory.
 - (c) The University has the right of inspection of the buildings and other facilities used or to be used in connection with the course of study.
4. The University shall specify processes for the approval and oversight of recognised institutions and of the courses which they may offer and for monitoring the standards and quality of the approved courses. The University shall keep under review the conditions under which recognition is granted, and may at any time, after report from the Senate, withdraw the recognition or impose further conditions for continued recognition.
5. The course of study offered by a recognised institution shall satisfy the following conditions:
 - (a) It shall be conducted by teachers acceptable to Senate.
 - (b) The organisation of the course, the syllabuses, and the teaching and examining methods and arrangements shall be approved by the Senate and shall be subject to periodic review.
 - (c) All fees for the course shall be those specified by and paid to the recognised institution.

- (d) The University shall levy on the recognised institution such charges as it considers appropriate in connection with the course.
 - (e) The rules for conduct of examinations applicable to persons undertaking the course shall be acceptable to the University.
6. For each course there shall be a course committee which shall include the teachers of the course. The University may appoint one or more members of staff to participate in the work of the Committee.
 7. For each course, there shall be a board of examiners which shall include one or more external examiners, who shall not be members of the University or of the recognised institution, nominated by the Senate and appointed by the Council. The Degree, Diploma, Certificate or other academic distinction shall be awarded by the Senate on the recommendation of the board of examiners to candidates who have successfully completed the approved course of study.
 8. Institutions recognised under this Ordinance may, on the recommendation of the Senate, be granted the title of Affiliate College. Affiliate Colleges shall be permitted to offer courses developed by the University. Students enrolled on a franchised course of study at an Affiliate College shall have the status of Affiliate Students of the University in accordance with the provisions of Ordinance XX. Students enrolled on a franchised course of study at an Affiliate College based overseas shall be known as Ulster University overseas students as a sub-category of Affiliate students.
 9. Students of a recognised institution other than Affiliate College enrolled on an approved course of study shall have the status of Associate Students of the University in accordance with the provisions of Ordinance XX.
 10. For each recognised institution there shall be a Memorandum of Recognition, executed by or on behalf of the University and the recognised institution, and for each validated course offered under the terms of the Memorandum of Recognition there shall be a Recognition Agreement.

Affiliate Colleges

11. For each Affiliate College there shall be an Executive Board comprising staff of the University and the Affiliate College. The functions of the Board shall be to maintain strategic oversight of the Affiliate College partnership and report to the University.
12. Affiliate Colleges may only offer franchised courses. The University shall retain the right to amend or withdraw any franchised course and shall provide due notice to the Affiliate College.
13. Staff of the Affiliate College involved in the teaching, supervision, examination and assessment of a University course shall be Recognised Teachers of the University in accordance with the Regulation on Recognised Teachers.
14. The Affiliate College shall establish a course committee for each franchised course. The course committee shall report to the University course committee for the programme.
15. The University shall arrange the board of examiners for each franchised course.
16. For each Affiliate College there shall be a Memorandum of Recognition and a Contract for Services Agreement executed by or on behalf of the University and Affiliate College and there

shall be a Franchise Agreement for each course offered under the terms of the Memorandum of Recognition and the Contract for Services Agreement.

Ordinance XXIV – Degrees, Diplomas, Certificates and Other Academic Distinctions

1. The University may confer the following honorary degrees:
 - (a) Doctor of Fine Arts (DFA)
 - (b) Doctor of Laws (LLD)
 - (c) Doctor of Letters (DLitt)
 - (d) Doctor of Science (DSc)
 - (e) Doctor of the University (DUniv)
 - (f) Master of the University (MUniv)

The University may also confer as honorary degrees those degrees which are listed in the Schedule to this Ordinance as awards which may be conferred upon registered students. The procedures for the nomination and approval of candidates shall be prescribed in Ordinance XVI.

2. The University may confer the following degrees upon Graduate or members of staff of the University in recognition of distinguished contributions to scholarship or original research:
 - (a) Doctor of Fine Arts (DFA)
 - (b) Doctor of Laws (LLD)
 - (c) Doctor of Letters (DLitt)
 - (d) Doctor of Science (DSc)

Applications for the degree of DFA, LLD, DLitt or of DSc may be submitted not less than six years after first graduation in the University, or in the case of members of staff who are not graduates of the University, not less than six years after taking up appointment. Periods since graduation on completion of a degree course at the New University of Ulster or the Ulster Polytechnic, or since appointment as a member of staff of either institution, may be accepted for the purpose of meeting this requirement. The procedures for the consideration of applications for higher doctorates shall be prescribed in the Regulations.

3. Degrees, diplomas, certificates and other academic distinctions listed in the Schedule to this Ordinance, may be granted and conferred in the name of the University or jointly with another institution recognised in accordance with clause 5 below, upon candidates who have:
 - (a) been admitted to approved courses of study or research;
 - (b) registered as students, associate students or affiliate students of the University;
 - (c) enrolled annually for their approved courses of study or research;
 - (d) satisfied the examiners for their approved courses of study or research;
 - (e) complied with such regulations applying to their courses of study or research as shall be approved by the Senate.
4. Degrees (other than honorary degrees) and diplomas, certificates and other academic distinctions listed in the Schedule shall be granted and conferred by the authority of the Senate on the recommendation of the appropriate board of examiners.

5. The names of the institutions recognised by the University for the purpose of offering a course of study or research approved by the Senate and leading to the award of a Joint Degree, Diploma, Certificate or other academic distinction of the University, and the awards to which the approved courses of study shall lead, are specified in the Schedule appended to this Ordinance.
6. Subject to 7 below, the Senate may by resolution revoke, add to or amend the provisions of the Schedule.
7. The Senate may not by resolution under 6 above, amend the Schedule by adding the name of an institution or by adding an award unless it has reported to the Council that the course of study or research is satisfactory.
8. The University shall keep under review, the conditions under which recognition is granted, under 5 above, and may at any time, after report from the Senate, withdraw recognition or impose further conditions for continued recognition.

Section 4 – Staffing Matters

Ordinance XXV – Academic and other Appointments

1. Subject to Article 14 of the Charter and to the Statutes and these Ordinances, the Council shall, on the recommendation of the Senate, appoint such Academic Staff as it may deem necessary for the efficient functioning of the University with such duties and (subject to Statute IV) upon such terms and conditions as the Council may prescribe.
2. Subject to the Statutes and these Ordinances, the Council may make all such other appointments (whether paid or honorary) as it may think fit.
3. Unless otherwise provided by the Statutes or the Ordinances or in their conditions of appointment, an employee of the University may resign by writing addressed to the Council.

Ordinance XXVI – Appointment of Pro-Vice-Chancellors and Pro-Vice-Chancellor and Executive Deans

1. Pro-Vice-Chancellors to be appointed by a panel especially established for that purpose and comprising the Vice-Chancellor, a Pro-Chancellor, an external Council member, a member of Senate and such other person(s) as the Vice-Chancellor, in consultation with the Chair of Council, should determine. Appointments to be notified to the Council on acceptance. The Vice-Chancellor to determine, in consultation with the Chair of Council, who should chair the Appointment Panel.
2. The Pro-Vice-Chancellor and Executive Deans to be appointed by a panel especially established for that purpose by the Vice-Chancellor/Deputy Vice-Chancellor and including Senate and Council representation and such other person as the Vice-Chancellor/Deputy Vice-Chancellor should determine. Appointments to be notified to the Council on acceptance. The Panel to be chaired by the Vice-Chancellor/Deputy Vice-Chancellor.

Ordinance XXVII – Retirement and Resignation

1. Members of the University who are in the employment of the University shall retire from office or employment in accordance with existing legislation.
2. Any member of the University who is in the employment of the University may, with the consent of the University, retire from their office or employment after their 60th birthday and before the normal retirement date by giving at least three months' notice in writing to the Council or to such officer as the Council may nominate.
3. The Council shall have the power to vary the retirement date in accordance with such nationally or locally agreed schemes as may from time to time be introduced. In any event, the retirement of a member of the University under the age of 50 shall not be permitted.
4. Nothing in the preceding paragraphs shall prevent the retirement of a member of staff on the grounds of ill-health.
5. Members of the University who are in the employment of the University may resign their appointment at any time on giving at least three months' notice in writing to the Council or to such officer as the Council may nominate.

Ordinance XXVIII – Rotational Post Ordinance Pursuant to Statute IV Part I Paragraph 5

Part I – Application, Scope and General Provisions

- 1.1 This Ordinance is made under Part I paragraph 5 of Statute IV of the University's Statutes and applies to any post of Deputy Vice-Chancellor, Pro-Vice-Chancellor, Pro-Vice-Chancellor and Executive Dean, Head of School, Associate Dean, Associate Head of School, Director of Research Institute or such other post designated by the University and which is distinct from the member of staff's substantive post with the University, with the exception of the Vice-Chancellor. In this Ordinance such a post is referred to as a "Rotational Post" and the holder of such a post is referred to as the "Post Holder".
- 1.2 This Ordinance applies where the University proposes to terminate a Rotational Post before the normal expiry or termination date of such post and sets out the procedure to be adopted in such circumstances.
- 1.3 Termination of a Rotational Post pursuant to this Ordinance shall not operate to terminate the applicable Post Holder's substantive post. However, where a Post Holder holds both a substantive post and a Rotational Post, the termination of the Post Holder's substantive post shall result in the automatic termination of the Post Holder's Rotational Post without reference to this Ordinance.
- 1.4 In this Ordinance, the Appropriate Person will normally be:
 - (a) for Associate Deans, Heads of School, Associate Heads of School, Directors of Research Institute: a Pro-Vice-Chancellor and Executive Dean;
 - (b) for Pro-Vice-Chancellor and Executive Deans, Deputy Vice-Chancellor, Pro-Vice-Chancellors: the Vice-Chancellor.
- 1.5 In this Ordinance the Appeal Panel will normally be:
 - (a) for Associate Deans, Heads of School, Associate Heads of School, Directors of Research Institute: the Deputy Vice-Chancellor and an elected member of Senate;
 - (b) for Pro-Vice-Chancellor and Executive Deans, Deputy Vice-Chancellor, Pro-Vice-Chancellors: a Pro-Chancellor and an elected member of Senate.

The identity of the Appeal Panel will be determined in each case by the Vice-Chancellor or their nominee.
- 1.6 At any meeting convened under Parts II and III of this Ordinance the Post Holder has the right to be accompanied by a work colleague or by a trade union representative, but no right to be accompanied by a legal representative. The Post Holder's chosen work colleague or trade union representative may make representations on behalf of the Post Holder at the meeting and may ask questions but may not answer questions on behalf of the Post Holder.
- 1.7 The Post Holder must take all reasonable steps to attend any meetings arranged under Parts II and III of this Ordinance and/or any adjournment or postponement of such meetings. If the Post Holder or the Post Holder's chosen work colleague or trade union representative cannot attend at the time specified for a meeting, the Post Holder must inform the University's People and Culture Department immediately, and the University will make reasonable efforts to arrange an alternative time. Normally only one postponement will be granted in line with LRA guidance/Code of Practice.

Part II – Procedure

- 2.1 Where the University considers that it may be appropriate to terminate a Post Holder's Rotational Post before the normal expiry or termination of the Rotational Post, the University will write to the Post Holder, informing the Post Holder of the proposed termination and the reasons for it, and will invite the Post Holder to attend a meeting to discuss the matter further. The Post Holder will be informed of the identity of the Appropriate Person and of his or her right to be accompanied to the meeting in accordance with paragraph 1.6 above.
- 2.2 The meeting described under paragraph above will be chaired by the Appropriate Person, who will be accompanied at any meeting by a member of the University's People and Culture Department, acting in an advisory capacity.
- 2.3 The procedure to be followed at the meeting shall be at the discretion of the Appropriate Person, but shall include:
 - (a) the reasons for the proposed termination of the Rotational Post Holder being put to the Post Holder; and
 - (b) the Post Holder having an opportunity to respond to the proposal.

The Appropriate Person may adjourn any meeting described under paragraph 2.1 and reconvene it at a later date if the Appropriate Person needs to carry out investigations.

- 2.4 The decision of the Appropriate Person whether to terminate the Post Holder's Rotational Post shall be given in writing and sent to the Post Holder, normally within ten working days of the meeting, or, where the meeting has been adjourned and reconvened, normally within ten working days of the final reconvened meeting. The Appropriate Person will also provide the Post Holder with the reasons for the decision that they have reached and, if the decision has been taken to terminate the Rotational Post, the Appropriate Person will also confirm the Post Holder's right of appeal under this Ordinance.

Part III – Appeals

- 3.1 If the Post Holder is unhappy with the decision taken and communicated by the Appropriate Person under paragraph 2.4 and wishes to appeal, they must do so in writing to the University's People and Culture Department within ten working days of the date on which the Post Holder was informed of the relevant decision. The Post Holder must set out their grounds of appeal in writing and refer to the initiation of the appeals part of this Ordinance.
- 3.2 The Post Holder will be invited to attend an appeal meeting, which will normally take place within ten working days of receipt by the University of the Appeal. The Post Holder will be informed of the composition of the Appeal Panel and of their right to be accompanied to the meeting in accordance with paragraph 1.6 above.
- 3.3 The appeal will be heard by the Appeal Panel, who will be accompanied at any meeting by a member of the University's People and Culture Department, acting in an advisory capacity.
- 3.4 The procedure to be followed at the appeal meeting shall be at the discretion of the Appeal Panel. The Appeal Panel may adjourn the appeal meeting and reconvene it at a later date if the Appeal Panel needs to carry out investigations.
- 3.5 The Appeal Panel will notify the Post Holder of its decision in writing, normally within ten working days of the appeal meeting, or, where the appeal meeting has been adjourned and reconvened, normally within ten working days of the final reconvened appeal meeting. The

Appeal Panel will also provide the Post Holder with the reasons for the decision that it has reached. The decision of the Appeal Panel will be final.

Ordinance XXIX – Redundancy Ordinance Pursuant to Statute IV Part II

Part I – Policy Statement, General Principles and Interpretation

- 1.1 It is the policy of the University to consider any and all means of maintaining employment for University staff, providing a stable work environment and reasonable security of employment where practicable. The University however acknowledges that changes in competitive conditions, organisational requirements and technological developments may require organisational restructuring and reshaping, which may necessitate redundancies. Whilst the University would wish to avoid redundancies wherever possible, this Ordinance is designed to be applied whenever the potential for redundancies arises. The application of this Ordinance will be done in conjunction with the University's Redundancy Policy/Procedure.
- 1.2 This Ordinance in managing potential redundancy situations shall invoke the principles and steps that are contained within the University's Redundancy Policy/ Procedures which manages all aspects of redundancy. Where practical and appropriate, the University will seek to avoid redundancies through measures such as redeployment, early retirement, voluntary redundancy, restrictions on recruitment, attrition, reviewing any overtime etc.
- 1.3 This redundancy Ordinance is made under Part II of Statute IV of the University's Statutes and applies to all members of staff of the University, regardless of length of service with the exception of the Vice-Chancellor.
- 1.4 References to "Appropriate Person/Panel" in Statute IV of the University's Statutes means the Redundancy Manager or Panel (as appropriate) as defined by paragraph 3.2, or the Appeal Panel as defined by paragraph 4.2, as the circumstances require.
- 1.5 This Ordinance shall not apply to:
 - (a) removal from an appointment to which a member of staff has been elected or appointed and which is distinct from that individual's substantive post, where dismissal from the substantive post is not contemplated;
 - (b) academic and academic-related/professional services members of staff appointed prior to, and not promoted after, 20 November 1987;
 - (c) the proposed dismissal of a member of staff where that dismissal would arise as a consequence of the expiry without renewal of a contract of limited duration, unless, under the terms of the University's Fixed Term Employees Policy, this Ordinance is expressly stated to apply; or
 - (d) the proposed non-confirmation in post of a member of staff in probation.
- 1.6 In this Ordinance the terms 'redundancy' and 'redundant' refer to the termination, or possible termination, of employment which is wholly or mainly attributable to:
 - (a) the fact that the University has ceased or intends to cease:
 - i. to carry on the business for the purposes of which the member of staff was employed by the University; or
 - ii. to carry on the business in the place where the member of staff was employed; or
 - (b) the fact that the requirements of the University:
 - i. for members of staff to carry out work of a particular kind; or

- ii. for members of staff to carry out work of a particular kind in the place where the member of staff was employed by the University has ceased or diminished, or are expected to cease or diminish.

1.7 At any meeting convened under Parts III and IV of this Ordinance, the member of staff has the right to be accompanied by a work colleague or by a trade union representative, but no right to be accompanied by a legal representative. The member of staff's chosen work colleague or trade union representative may make representations on behalf of the member of staff at the meeting and may ask questions but may not answer any questions on behalf of the member of staff.

Part II – Consultation with Appropriate Representatives

2.1 Where it is possible that members of staff may be made redundant, the University will, at an early stage and prior to any such redundancies taking effect in line with the University's Redundancy Policy/Procedures consult with appropriate representatives of affected employees in accordance with and to the extent required by section 216 of the Employment Rights (Northern Ireland) Order 1966.

Part III – Redundancy Procedure

Commencing the Procedure

3.1 The question of whether it is necessary for the University to implement redundancies will be determined by the University in line with Statute IV paragraph 11(a) and will be carried out in compliance with the University's Redundancy Policy/Procedures and this Redundancy Ordinance.

3.2 Where the University determines that it is necessary to implement redundancies in accordance with the definitions in Statute IV paragraph 11(a), the University will appoint an appropriate person/panel to oversee the procedure and to make decisions. In relation to 11(a)(i) and (ii) the University will appoint an appropriate panel and in relation to 11(a)(iii) the University will appoint an appropriate person. The Vice-Chancellor or their delegate will determine an appropriate person or composition of the panel, normally consisting of three members of the University. The appointment of the appropriate person/panel will be dependent on the level of seniority and the role of the affected member or members of staff, and the area or areas of the University affected by the proposals. The appropriate person/panel will be accompanied at all meetings held under this Ordinance by a member of the University's People and Culture Department, to service the process.

Volunteers for Redundancy

3.3 The appropriate person/panel will inform all affected members of staff and their respective representatives of the proposed redundancies. Volunteers for redundancy may be invited from members of staff within the same employment category of staff as those affected by the redundancy proposals. The appropriate person/panel reserves the right to refuse volunteers for redundancy.

Selection Pools and Selection Criteria

3.4 If the appropriate person/panel determines that it is not appropriate to invite volunteers for redundancy or if there are insufficient agreed voluntary redundancies, the appropriate person/panel will determine:
(a) which members of staff are potentially affected by the redundancy proposals; and

- (b) whether the proposed redundancy or redundancies will be effected by reference to appropriate selection criteria to be applied to the pool of staff members affected by the proposals, or whether the application of such selection criteria is unnecessary (because each member of staff affected by the redundancy proposals is at risk of redundancy).

Where the appropriate person/panel determines that the application of selection criteria is unnecessary, this Ordinance will continue from paragraph 3.8.

- 3.5 Where the appropriate person/panel determines that the proposed redundancy or redundancies will be effected by applying appropriate selection criteria to the pool or pools of staff members affected by the proposals, the appropriate person/panel will determine which staff members fall within such selection pool or pools (**Selection Pool**) and the appropriate selection criteria to be applied to the Selection Pool (**Selection Criteria**). In arriving at such determinations, the appropriate person/panel will consider representations on both issues from the line manager or managers of the members of staff affected by the proposed redundancies and from the appropriate staff representatives.
- 3.6 Once the appropriate person/panel has determined the Selection Pool(s) and the Selection Criteria (see paragraph 3.5 above), the University's People and Culture Department will write to each affected member of staff and inform them of their inclusion in the relevant Selection Pool and of the relevant Selection Criteria. The appropriate person/panel will consider representations from members of staff within a Selection Pool about the Selection Criteria before applying the Selection Criteria to a Selection Pool.
- 3.7 Having considered any representations made by members of staff described in paragraph 3.6 above, the appropriate person/panel will apply the Selection Criteria to the relevant Selection Pool. In so applying the Selection Criteria, the appropriate person/panel will, where appropriate, invite representations from the line manager or managers of the members of staff within the Selection Pool. The members of staff identified by reference to the application of the Selection Criteria will be provisionally selected for redundancy. Any member of staff who is provisionally selected for redundancy shall be notified in writing and provided with written details of their assessment against the Selection Criteria. Any member of staff who is not provisionally selected for redundancy shall be advised in writing that, although not provisionally selected for redundancy at this stage, that the position could change as a result of meetings held under this Ordinance, including under Part IV.

Individual Consultation

- 3.8 Each member of staff who is provisionally selected or redundancy shall be invited in writing to attend a consultation meeting with the appropriate person/panel. The member of staff will be:
 - (a) informed of the identity of the appropriate person/panel;
 - (b) informed of their right to be accompanied to the consultation meeting in accordance with paragraph 1.7;
 - (c) notified of the purpose of the consultation meeting and that the appropriate person/panel will ask the member of staff to comment on their provisional selection for redundancy; and
 - (d) where, under paragraphs 3.6 and 3.7, the Selection Criteria has been applied to the member of staff, provided with details of the relevant Selection Pool and Selection Criteria, and of the member of staff's score as against the Selection Criteria.
- 3.9 The purpose of the initial consultation meeting with the appropriate person/panel is for the appropriate person/panel to explain to the member of staff the reason that the University has proposed to bring about redundancies, to discuss the member of staff's provisional selection for redundancy and to explore ways in which redundancy may be avoided, including any

opportunities for redeployment within the University. The appropriate person/panel and the member of staff will meet more than once during the consultation period prior to any decision being reached regarding the member of staff's employment. Throughout the consultation period, the University will explore ways to avoid the member of staff's redundancy, make efforts to find suitable alternative employment for the member of staff and take into consideration any representations made by or on behalf of the member of staff.

- 3.10 The member of staff will be encouraged to make representations to the appropriate person/panel at the consultation meetings regarding:
- (a) their views on ways in which redundancy may be avoided;
 - (b) their selection for redundancy; and
 - (c) any alternative employment identified by the University or by the member of staff.
- 3.11 The member of staff must take all reasonable steps to attend any consultation meetings arranged in accordance with paragraph 3.9. If the member of staff or the member of staff's chosen work colleague or trade union representative cannot attend at the time specified for the meeting, the member of staff must inform the University's People and Culture Department immediately, and the University will make reasonable efforts to arrange an alternative time.
- 3.12 The procedure to be followed at any consultation meetings arranged in accordance with paragraph 3.9 shall be determined by the appropriate person/panel.

Confirmation of Decision

- 3.13 Following the final consultation meeting, the appropriate person/panel will confirm in writing to the member of staff whether or not their employment will terminate by reason of redundancy. Where a member of staff is dismissed by reason of redundancy, the appropriate person/panel will confirm to the member of staff the reasons for the redundancy and the member of staff's right of appeal in accordance with Part IV of this Ordinance.

Part IV – Appeals

General Principles

- 4.1 If the member of staff wishes to appeal against their dismissal under Part III of this Ordinance, they should do so in writing to the People and Culture Department within 10 working days of the date on which the member of staff was informed of the dismissal. The member of staff must set out their grounds of appeal in writing and refer to the initiation of the appeals part of this Ordinance.
- 4.2 The Vice-Chancellor or their delegate will determine appropriate personnel to hear the appeal, consisting of three members of the University (the **Appeal Panel**). The Appeal Panel will comprise of a senior member of staff, a lay person of Council and an elected member of Senate. The Appeal Panel will be accompanied at any appeal meeting by a member of the University's People and Culture Department, to service the process.
- 4.3 The member of staff will be invited to attend an appeal meeting, which will normally take place within 10 working days of receipt by the University of the appeal. The member of staff will be informed of the composition of the Appeal Panel and of their right to be accompanied to the meeting in accordance with paragraph 1.7 above.
- 4.4 The member of staff must take all reasonable steps to attend the appeal meeting and/or any adjournment or postponement of such meeting. If the member of staff or the member of staff's chosen work colleague or trade union representative cannot attend at the time specified for

the appeal meeting, the member of staff must inform the University's People and Culture Department immediately, and the University will make reasonable efforts to arrange an alternative time.

The Appeal Meeting

- 4.5 The appeal meeting shall normally take the form of a re-hearing of the matter.
- 4.6 At the appeal meeting, the Appeal Panel will consider representations made by the member of staff and their representative and by the appropriate person/panel. The Appeal Panel will not consider appeals against the Council's original determination of the need to implement redundancies referred to in paragraph 3.1.
- 4.7 The appeal meeting may be adjourned and reconvened at a later date if the Appeal Panel needs to carry out additional investigations.

Confirmation of Outcome of Appeal Meeting

- 4.8 The Appeal Panel will notify the member of staff of its decision in writing, normally within 10 working days of the appeal meeting, or, where the appeal meeting has been adjourned and reconvened, normally within 10 working days of the final reconvened appeal meeting. The Appeal Panel will also provide the member of staff with the reasons for the decision that it has reached. The Appeal Panel's decision will be final.

Ordinance XXX – Staff Disciplinary Ordinance Pursuant to Statute IV Part III

Part I – General Principles and Interpretation

- 1.1 This disciplinary Ordinance is made under Part III of Statute IV of the University's Statutes and applies to all members of staff of the University, regardless of length of service with the exception of the Vice-Chancellor.
- 1.2 This Ordinance shall not apply to:
 - (a) removal from an appointment to which a member of staff has been elected or appointed and which is distinct from that individual's substantive post, where dismissal from the substantive post is not contemplated;
 - (b) the proposed dismissal of a member of staff for redundancy reasons;
 - (c) subject to the provisions of paragraph 1.14 below, the proposed dismissal of a member of staff due to ill health;
 - (d) the proposed dismissal of a member of staff where that dismissal would arise as a consequence of the expiry without renewal of a contract of limited duration;
 - (e) the proposed non-confirmation in post of a member of staff in probation.
- 1.3 References to "Appropriate Person" in Statute IV of the University's Statutes means the Disciplinary Chair as defined in paragraph 2.1, or the Appeal Chair or Appeal Panel (as appropriate) as defined by paragraph 3.2, as the circumstances require.
- 1.4 Good conduct is essential for the efficient and orderly operation of the University's activities and to ensure the safety and well-being of members of the University and its associates. The purpose of this Ordinance is to provide a constructive framework for dealing with staff conduct and to ensure that disciplinary action, where necessary, is taken fairly and consistently. All

steps under this Ordinance will be taken, by all parties, without undue delay. Any time limits in this Ordinance may be extended by the University if it is reasonable to do so.

- 1.5 At any hearing or meeting convened under Parts II or III of this Ordinance the member of staff has the right to be accompanied by a work colleague or by a trade union representative, but no right to be accompanied by a legal representative. The member of staff's chosen work colleague or trade union representative may make representations on behalf of the member of staff at the meeting or hearing and may ask questions but may not answer questions on behalf of the member of staff.
- 1.6 Prior to the initiation of Part II of this Ordinance, it may be appropriate to seek to address concerns regarding minor misconduct through informal discussion. Such discussions will be initiated by the member of staff's line manager and should be held in private and without undue delay whenever there is cause for concern. If such informal discussion does not lead to an improvement in conduct or if informal discussion is not appropriate (for example, because of the seriousness of the alleged misconduct), the formal part of this Ordinance (contained in Part II) may be invoked.

Investigations and Suspensions

- 1.7 Where the University becomes aware of a potential issue of misconduct it will carry out an investigation to establish whether it is appropriate to take further action under this Ordinance. The investigation will be carried out by the member of staff's line manager or an alternative manager, as appropriate and as determined by the University's People and Culture Department; the investigating officer will decide if formal proceedings under Part II of this Ordinance should commence.
- 1.8 Investigative interviews are solely for the purpose of fact finding and do not constitute formal action under Part II of this Ordinance. A member of staff has the right to be accompanied by a work colleague or a trade union representative at an investigative interview, but no right to be accompanied by a legal representative.
- 1.9 In circumstances where the alleged offence is of a serious nature or where the member of staff's continued presence at the University would or is likely to hinder an investigation or the smooth running of the disciplinary process, the member of staff may be suspended from work with full pay while an investigation or disciplinary procedure is ongoing. The suspension will be for no longer than necessary and the member of staff will be informed of the appropriate arrangements. While suspended, the member of staff must not visit University premises or contact any of the University's members of staff or students, unless expressly authorised in writing.

Examples of Misconduct

- 1.10 The following list gives examples of behaviour which may constitute misconduct, and which may lead to disciplinary action under this Ordinance, including, where appropriate, dismissal (with or without notice). This list is not intended to be exhaustive:

Minor Misconduct

- unauthorised absence or poor timekeeping
- failure to comply with a reasonable request or instruction

Major Misconduct

- failure, refusal, neglect or inability to perform some or all of the duties of the member of staff's job, and/or to comply with his or her terms and conditions of employment

- behaving in such a way as to impinge upon the reputation and standing of the University and/or the faculty in which the member of staff is employed, including misuse of the University's name
- material disruption of, or serious improper interference with, the activities of the University or of any member of staff, student, Council member or visitor (other than lawful industrial action)
- undertaking paid work detrimental to or in conflict with the University's interests without the University's permission

Gross Misconduct

- failure to adhere to all aspects of the University's Bullying and Harassment and Equal Opportunities policies, including discrimination or harassment against any student or member of staff of the University, or any visitor to the University, on the basis of gender, sexual orientation, marital or civil partner status, gender reassignment, race, religion or belief, colour, nationality, ethnic or national origin, disability or age, pregnancy, part-time or a fixed-term status
- conduct amounting to a criminal offence, even where the member of staff has not been charged or convicted of any such criminal offence and whether committed on University premises or elsewhere
- breach of any of the provisions of the University Statutes, Ordinances and Regulations, or any of its policies, codes or procedures with which the member of staff is to comply, such as those dealing with financial matters, Public Interest Disclosure, Data Protection, smoking in the workplace, and other such policies, codes and procedures
- action likely to cause injury or impair safety on University premises, or infringement of the University's Health and Safety policy
- wilful damage to, or improper or unauthorised use of, University facilities, premises, property or equipment
- violent, indecent, sectarian, disorderly, threatening, abusive, behaviour or language (whether in written or verbal form, or any other such form)
- working in the University or on University business whilst under the influence of alcohol or non-prescription substances
- forming inappropriate or intimate relationships with students of the University and as a consequence applying improper bias or unwanted influence in relation to students, whether relating to admission, assessment or otherwise
- any form of dishonesty, deception, misappropriation of University monies, fraud or
- any other form of dishonesty in relation to the University or any related activity, including research and examining
- behaving in a negligent manner which causes or might cause unacceptable loss, damage or injury
- theft, misappropriation or misuse of University property, or the property of the University's staff, students or visitors, including intellectual property, or whilst on University business

Clinical Academic Staff

1.11 This Ordinance applies to a member of the University's clinical staff who is required to engage in clinical work or activities and for that purpose to be registered with the General Medical or Dental Council or similar body and/or to have an honorary or substantive contract or status with a National Health Service Trust or similar body on the same basis as to any other member of staff, apart from as set out in paragraphs 1.12, 1.13 and 1.14 below.

- 1.12 Where the registration, contract or status referred to in paragraph 1.11 above is terminated, withdrawn or revoked, the Vice-Chancellor or their delegate may, having first afforded an opportunity to the member of staff concerned to make representations, dismiss the member of staff concerned without reference to the formal procedure set out in Parts II and III.
- 1.13 Where the registration, contract or status referred to in paragraph 1.11 above is suspended by the relevant body, the Vice-Chancellor or their delegate may, without reference to the formal procedure set out in Parts II and III, but having first afforded an opportunity to the member of staff concerned to make representations, suspend the member of staff from employment with the University for so long as the registration, contract or status is suspended, that suspension from employment to be without pay where the registration, contract or status has been suspended as a substantive disciplinary measure.
- 1.14 Where sanctions other than removal or suspension have been applied to the registration, contract or status including 'conditions of practice' referred to in paragraph 1.11 above, the Vice-Chancellor or their delegate may, without reference to the formal procedure set out in Parts II and III, but first having afforded an opportunity to the member of staff concerned to make representations, suspend the member of staff from employment with the University for so long as the sanctions, other than removal or suspension, have been applied to the registration, contract or status including 'conditions of practice', to enable the investigation to proceed.

Medical Incapacity

- 1.15 Where it emerges that a member of staff's conduct may have been wholly or partly attributable to a medical condition, the University may postpone or adjourn any hearing or meeting under Parts II and III of this Ordinance to allow investigation of the member of staff's condition and/or may:
- (a) decide that no further action should be taken under this Ordinance; or
 - (b) decide that it is appropriate to continue to address the matter under this Ordinance, taking into account the member of staff's medical condition as appropriate.

Part II – Formal Procedure

General Principles

- 2.1 Where disciplinary proceedings are commenced against a member of staff under this Part II, the University's People and Culture Department will determine an appropriate manager to conduct the disciplinary hearing (**Disciplinary Chair**). The identity of the Disciplinary Chair will be dependent on the member of staff's level of seniority. The Disciplinary Chair will not have been involved in the disciplinary matter to date. The Disciplinary Chair will be accompanied at any disciplinary hearing by a member of the University's People and Culture Department, to service the disciplinary process.
- 2.2 Where disciplinary proceedings are commenced against a member of staff under Part II of this Ordinance, the member of staff will be informed in writing at least 5 working days in advance of the hearing of the following:
- (a) the nature of the alleged misconduct including the charges to be answered, the possible sanction which could be imposed and that the member of staff is required to attend a disciplinary hearing to discuss the alleged misconduct;
 - (b) the proposed date on which the hearing will take place and the identity of the Disciplinary Chair; and

- (c) that the member of staff has the right to be accompanied to the hearing in accordance with paragraph 1.5 above.
- 2.3 Prior to the hearing, the member of staff will also be provided with:
- (a) copies of any documents which will be referred to at the disciplinary hearing by the University; and
 - (b) where appropriate, any witness statements which will be used at the hearing, except where a witness's identity is to be kept confidential, in which case the member of staff will receive as much information as possible whilst maintaining that confidentiality.
- 2.4 The member of staff must, at least 72 hours before the disciplinary hearing, provide to the University's People and Culture Department any evidence to which the member of staff intends to refer in their defence or mitigation, including the names of any witnesses and copies of their witness statements.
- 2.5 The member of staff must take all reasonable steps to attend any disciplinary hearings arranged under Part II of this Ordinance and/or any adjournment or postponement of such hearings. If the member of staff or the member of staff's chosen work colleague or trade union representative cannot attend at the time specified for a hearing, the member of staff must inform the University's People and Culture Department immediately, and the University will make reasonable efforts to arrange an alternative time. Normally only one postponement will be granted in line with LRA guidance / Code of Practice.

The Disciplinary Hearing

- 2.6 The purpose of the disciplinary hearing is to review the evidence and to enable the member of staff to respond to the allegations that have been made against them.
- 2.7 The procedure to be followed at the disciplinary hearing shall be at the discretion of the Disciplinary Chair, but shall include:
- (a) the allegations of misconduct being put to the member of staff;
 - (b) the member of staff having an opportunity to respond to the allegations and set out their case;
 - (c) an opportunity to allow the Disciplinary Chair to question any witness who is providing information on behalf of either the University or the member of staff; and
 - (d) an opportunity to allow the member of staff (and/or their representative in line with paragraph 1.5) to respond to the Disciplinary Chair in respect of any evidence given by witnesses on behalf of the University and to question witnesses through the Disciplinary Chair
- 2.8 The disciplinary hearing may be adjourned and reconvened at a later date if the Disciplinary Chair needs to carry out additional investigations.

Confirmation of Outcome of Disciplinary Hearing

- 2.9 The Disciplinary Chair will confirm the outcome of the disciplinary hearing to the member of staff in writing, normally within 10 working days following the disciplinary hearing, or, where the disciplinary hearing has been adjourned and reconvened, normally within 10 working days following the final reconvened disciplinary hearing. The Disciplinary Chair will also provide the member of staff with the reasons for the decision that they have reached. If a disciplinary sanction has been imposed (in accordance with paragraph 2.10 below) the member of staff will be informed of the period that the warning will remain active and the consequences of

further misconduct, and will be informed of their right of appeal in accordance with Part III of this Ordinance.

- 2.10 If the Disciplinary Chair concludes, following the hearing (including any reconvened hearings following any adjournments, as necessary), that misconduct has occurred, the Disciplinary Chair will impose an appropriate sanction. The Disciplinary Chair may:
- (a) where the misconduct is of a less serious nature, impose a first written or final written warning, depending on the severity of the misconduct and, as appropriate, the currency of the member of staff's previous disciplinary record. For the avoidance of doubt, a member of staff may be issued with a final written warning even though they have not previously received any disciplinary warnings; or
 - (b) where the misconduct is sufficiently serious reasonably to warrant such action, dismiss the member of staff, with or without notice;
 - (c) in exceptional circumstances, dismissal may be set aside and replaced by a final written warning and one of the sanctions below (such decision to be at the discretion of the Disciplinary Chair):
 - (i) demotion and/or loss of title;
 - (ii) placing restrictions on the member of staff's employment, for example a period of supervision and/or training;
 - (iii) withholding a pending salary increase; or
 - (iv) temporarily withholding salary due to the member of staff.
- 2.11 If the Disciplinary Chair considers a warning to be appropriate, confirmation of the warning will be placed on a member of staff's personnel file and will remain active for the period specified in the warning, 6 or 12 months, after which time it will be disregarded in deciding the outcome of any future disciplinary proceedings.
- 2.12 If the Disciplinary Chair considers that a sanction under paragraph 2.10(c) is appropriate, confirmation of the sanction will be placed on a member of staff's personnel file and will remain active for the period specified by the Disciplinary Chair, after which time it will be disregarded in deciding the outcome of any future disciplinary proceedings.

Part III – Appeals

General Principles

- 3.1 If the member of staff is dissatisfied with any sanction imposed under Part II of this Ordinance and wishes to appeal, they must do so in writing to the University's People and Culture Department within 10 working days following the date on which the member of staff was informed of the relevant decision. The member of staff must set out their grounds of appeal in writing and refer to the initiation of the appeals part of this Ordinance.
- 3.2 The University's People and Culture Department will determine appropriate personnel to conduct the appeal:
- (a) In cases where the appeal is against a warning that has been imposed by the Disciplinary Chair under paragraph 2.10(a), or where the appeal is against a sanction that has been imposed by the Disciplinary Chair under paragraph 2.10(c), the appeal will be considered by an appropriate person (the **Appeal Chair**).
 - (b) In cases where the appeal is against a dismissal imposed by the Disciplinary Chair under paragraph 2.10(b) the appeal will be considered by an appeal panel, comprising of a senior member of University staff, a lay member of Council and an elected member of Senate (the **Appeal Panel**).

The identity of the Appeal Chair or the composition of the Appeal Panel (as appropriate) will be dependent on the member of staff's level of seniority. The Appeal Chair or the members of the Appeal Panel (as appropriate) will not have had any previous material involvement with the action which is the subject of the member of staff's appeal and will be senior to the manager who conducted the disciplinary hearing. The Appeal Chair or the Appeal Panel (as appropriate) will be accompanied at the appeal hearing by a member of the University's People and Culture Department to service the appeals process.

- 3.3 The member of staff will be invited to attend an appeal meeting, which will normally take place within 10 working days of receipt by the University of the appeal. The member of staff will be informed of the identity of the Appeal Chair [or composition of the Appeal Panel (as appropriate)] and of their right to be accompanied to the meeting in accordance with paragraph 1.5 above.
- 3.4 The member of staff must take all reasonable steps to attend the appeal meeting and/or any adjournment or postponement of such meeting. If the member of staff or the member of staff's chosen work colleague or trade union representative cannot attend at the time specified for the meeting, the member of staff must inform the University's People and Culture Department immediately, and the University will make reasonable efforts to arrange an alternative time. Normally only one postponement will be granted in line with LRA guidelines/Code of Practice.

The Appeal Meeting

- 3.5 The appeal meeting shall normally take the form of a re-hearing of the matter.
- 3.6 The appeal hearing may be adjourned and reconvened at a later date if the Appeal Chair/ Appeal Panel needs to carry out additional investigations.

Confirmation of Outcome of Appeal Meeting

- 3.7. The Appeal Chair [or Appeal Panel (as appropriate)] will notify the member of staff of its decision in writing, normally within 10 working days of the appeal meeting, or, where the appeal hearing has been adjourned and reconvened, normally within 10 working days of the final reconvened appeal hearing. The Appeal Chair [or Appeal Panel (as appropriate)] will also provide the member of staff with the reasons for the decision that it has reached. The decision of the Appeal Chair [or Appeal Panel (as appropriate)] will be final.

Ordinance XXXI – Medical Incapacity Ordinance Pursuant to Statute IV Part IV

Part I – General Principles and Interpretation

- 1.1 This Ordinance is made under Part IV of Statute IV of the University's Statutes and applies to all members of staff of the University, regardless of length of service with the exception of the Vice-Chancellor. This Ordinance also applies to members of the University's clinical staff and action may be taken against a member of clinical staff in respect of medical incapacity arising in connection with that member of staff's clinical work or activities where work or the activities were performed in and for the University.
- 1.2 The purpose of this Ordinance is to deal with members of staff who may need to be removed from office due to incapacity on health grounds and should be read in conjunction with the University's Sickness Absence Procedure.

- 1.3 At any stage of this Ordinance, the Relevant Manager (referred to in paragraph 1.4 below) may decide that the issue in question potentially amounts to a question of misconduct and in such circumstances may terminate proceedings under this Ordinance and recommend that the matter is considered under the University's Disciplinary Ordinance.
- 1.4 References to "Appropriate Person" in Part IV of Statute V of the University's Statutes means the Relevant Manager as defined by paragraph 2.1 below or the Appeal Panel as defined by paragraph 3.3 below, as the circumstances require.
- 1.5 At any meeting convened under Parts II and III of this Ordinance, the member of staff has the right to be accompanied by a work colleague or by a trade union representative, but no right to be accompanied by a legal representative. The member of staff may, with the permission of the Relevant Manager or Appeal Panel, be accompanied by a family member or friend to a meeting held under this Ordinance. The member of staff's chosen companion may make representations on behalf of the member of staff at the meeting and may ask questions, but may not answer questions on behalf of the member of staff.
- 1.6 Any steps under this Ordinance shall be taken promptly unless there is a good reason for delay. Any time limits in this Ordinance may be extended by the University if it is reasonable to do so.
- 1.7 The University may, within the procedures described in this Ordinance, wish to obtain medical information on specific grounds relating to the member of staff's health from the University's Occupational Health physician and/or the member of staff's medical practitioner, in order to be as fully informed as possible regarding the member of staff's state of health. The University will seek the member of staff's consent to obtain such information before doing so, in accordance with the member of staff's legal rights. However, each member of staff should be aware that if consent is not given to the University to obtain such medical information, the Relevant Manager or Appeal Manager or Appeal Panel (as appropriate) will reach decisions based on the information that is held by the University at the time and in light of any evidence provided.

Part II – Procedure

General Principles

- 2.1 The procedure set out in Part II of this Ordinance will apply where it appears that the removal of a member of staff on medical grounds might be appropriate. The University's People and Culture Department will appoint a Relevant Manager to conduct matters under Part II of this Ordinance on behalf of the University. The Relevant Manager under Part II of this Ordinance will normally be the member of staff's line manager.
- 2.2 Where a member of staff is incapacitated on medical grounds the University will explore with the member of staff, before reaching any decisions regarding any appropriate action that may be taken under this Ordinance:
 - (a) the nature of the member of staff's medical condition or ill-health;
 - (b) the likely prognosis for the member of staff's health;
 - (c) the likelihood that the member of staff will be able to return to work in the role that they carried out before the period of absence commenced and the likely timeframe for a return to work; and
 - (d) whether it is appropriate and/or reasonable to consider alternatives to dismissal, such as making reasonable adjustments within the Disability Discrimination Act 1995, to permit the member of staff to return to work.

- 2.3 Where a member of staff's medical incapacity is to be considered under this Part II, the member of staff will be informed in writing of the following:
- (a) that the Relevant Manager wishes to discuss the member of staff's medical incapacity at a meeting;
 - (b) if a relevant independent medically qualified person will also be in attendance at the meeting;
 - (c) the proposed date on which the meeting will take place and the identity of the Relevant Manager; and
 - (d) that the member of staff has the right to be accompanied to the meeting in accordance with paragraph 1.5 above.
- 2.4 Where it appears that there may be an underlying medical reason for the member of staff's absence, the Relevant Manager may decide that it is appropriate to ask the member of staff to undergo a medical assessment, or to obtain medical information about the member of staff, to ascertain the member of staff's ability to continue to work in their present role. It will be for the Relevant Manager to decide whether it is appropriate to seek medical information about the member of staff. Such information may be sought before or after the meeting described in paragraph 2.3.
- 2.5 Prior to the meeting described in paragraph 2.3, the member of staff will also be provided with copies of any documents or reports which will be referred to at the meeting by the University.
- 2.6 The member of staff must, at least 72 hours before the meeting, provide to the University's People and Culture Department any evidence including medical evidence to which the member of staff intends to refer at the meeting.
- 2.7 The member of staff must take all reasonable steps to attend any meetings arranged under Part II of this Ordinance and/or any adjournment or postponement of such meetings. If the member of staff or the member of staff's chosen companion cannot attend at the time specified for a meeting, the member of staff must inform the University's People and Culture Department immediately, and the University will arrange an alternative time. Normally only one postponement will be granted in line with LRA guidelines/Code of Practice.

The Meeting

- 2.8 The purpose of the meeting is to explore the member of staff's ability to continue to work in their present position and to enable the Relevant Manager to reach a decision thereon. The Relevant Manager will be accompanied at the meeting by a relevant independent medically qualified person (as appropriate) and a member of the University's People and Culture Department, acting in an advisory capacity. The procedure to be followed at the meeting shall be at the discretion of the Relevant Manager, but shall include:
- (a) the member of staff having an opportunity to make representations and produce evidence relating to their state of health; and
 - (b) where medical evidence has been sought, an opportunity to allow the Relevant Manager, and in appropriate cases the member of staff through the Relevant Manager, to question any medical expert giving evidence in respect of the member of staff's absence.
- 2.9 The meeting may be adjourned and reconvened at a later date at the Relevant Manager's discretion if the Relevant Manager needs to carry out additional investigations.

Confirmation of Outcome of the Meeting

- 2.10 The Relevant Manager will confirm the outcome of the meeting to the member of staff in writing, normally within ten working days following the meeting, or, where the meeting has been adjourned and reconvened, normally within ten working days following the final reconvened meeting. The Relevant Manager will also provide the member of staff with the reasons for the decision that they have reached.
- 2.11 The Relevant Manager's decision may be:
- (a) that no further action is required;
 - (b) to implement any agreed accommodations to facilitate the member of staff's return to work, as envisaged by paragraph 2.2(d);
 - (c) that it is appropriate to dismiss the member of staff as a consequence of the member of staff's incapacity on health grounds.
- 2.12 Where a member of staff is dismissed in accordance with paragraph 2.11(c), the Relevant Manager will confirm the reasons for the decision and the member of staff's right of appeal in accordance with Part III of this Ordinance.

Part III – Appeals

General Principles

- 3.1 If the member of staff is dissatisfied with the decision to dismiss reached under Part II of this Ordinance and wishes to appeal, they must do so in writing to the University's People and Culture Department within 10 working days following the date on which the member of staff was informed of the relevant decision. The member of staff must set out their grounds of appeal in writing and refer to the initiation of the appeals part of this Ordinance.
- 3.2 The University's People and Culture Department will determine appropriate personnel to conduct the appeal, with the appeal being considered by an appeal panel, comprising of a senior member of University staff, a lay member of Council and an elected member of Senate (the Appeal Panel).
- 3.3 The composition of the Appeal Panel will be dependent on the member of staff's level of seniority. Where possible, the members of the Appeal Panel will not have had any previous material involvement with the action which is the subject of the member of staff's appeal. The Appeal Panel will be accompanied at the appeal hearing by a relevant independent medically qualified person and by a member of the University's People and Culture Department acting in an advisory capacity.
- 3.4 The member of staff will be invited to attend an appeal meeting, which will normally take place within ten working days following receipt by the University of the appeal. The member of staff will be informed of the composition of the Appeal Panel and of their right to be accompanied to the meeting in accordance with paragraph 1.5 above.
- 3.5 The member of staff must take all reasonable steps to attend any meetings arranged under Part III of this Ordinance and/or any adjournment or postponement of such meetings. If the member of staff or the member of staff's chosen companion cannot attend at the time specified for a meeting, the member of staff must inform the University's People and Culture Department immediately, and the University will arrange an alternative time. Normally only one postponement will be granted in line with LRA guidelines/Code of Practice.

The Appeal Meeting

- 3.6 The appeal meeting shall normally take the form of a re-hearing of the matter. The procedure to be adopted at an appeal meeting will follow the procedure set out in paragraph 2.8 above.

Confirmation of Outcome of Appeal Meeting

- 3.7 The Appeal Panel will notify the member of staff of its decision in writing, normally within 10 working days of the appeal meeting, or, where the appeal meeting has been adjourned and reconvened, normally within 10 working days of the final reconvened appeal meeting. The Appeal Panel will also provide the member of staff with the reasons for the decision that it has reached. The decision of the Appeal Panel will be final.

Ordinance XXXII – Staff Probationary Ordinance Pursuant to Statute IV Part V

- 1.1 This probationary Ordinance is made under Part IV of Statute V of the University's Statutes and applies to all academic members of staff of the University who have been appointed subject to a period of probationary service.
- 1.2 This Ordinance may be supplemented by guidance for probationary appointments issued by the University from time to time, which shall not form part of any member of staff's contract of employment with the University.
- 1.3 In this Ordinance a probationary period shall be the period during which the suitability of a member of staff, (**Probationer**), whose appointment is subject to successfully completing a period of probation, can be assessed by a Designated Member of Staff and the Academic Probation Committee (as defined by paragraph 1.4).
- 1.4 In this Ordinance:
- (a) the Designated Member of Staff will normally be the Probationer's Head of School, but may be varied as appropriate by the University, with notice to the Probationer;
 - (b) the Academic Probation Committee shall be comprised of five academic members of staff, drawn from the academic and academic-related/professional services Staff Progress Standing Committee;
 - (c) the Probationer may appeal against either the extension of probation or termination of the appointment under this Ordinance. Appeals against extension of probation will be heard by a senior academic and another member of academic staff, not from the immediate area and not holding a managerial position. Appeals against termination of the appointment will be heard by the Appeal Committee comprised of the Vice-Chancellor or their nominee, a lay member of Council and an elected member of Senate.
- 1.5 A probationary period for new members of staff and a structure for reviewing staff performance is essential for the efficient and orderly operation of the University's activities. The purpose of this Ordinance is to provide a procedure with regard to review of a Probationer and the options available after such review. All steps under this Ordinance will be taken, by all parties, without undue delay. Any time limits in this Ordinance may be extended at the sole discretion of the University if it is reasonable to do so.
- 1.6 This Ordinance shall not apply to the proposed dismissal of a Probationer prior to the end of a probationary period on any ground falling under the application of Parts II, III or IV or under Clause 20 of Statute IV.

- 1.7 At any meeting convened under Parts II or III of this Ordinance the Probationer has the right to be accompanied by a work colleague or by a trade union official, but no right to be accompanied by a legal representative. The Probationer's chosen work colleague or trade union representative may make representations on behalf of the Probationer at the meeting and may ask questions, but may not answer questions on behalf of the Probationer.

Probationary Periods

- 1.8 Appointments to the University will be subject to an initial probationary period which will normally not exceed three years.
- 1.9 An academic probationary period, satisfactorily completed in another UK University, satisfies the probation requirements of the University. Where an individual member of staff has served part of an academic probationary period in another UK University, this probationary service will be taken into account in determining the length of the probationary period.
- 1.10 In order to effectively assess the Probationer's appointment, a Probationer's conditions of appointment will specify:
- (a) that the appointment is subject to the probationary period and will specify the duration of the probationary period;
 - (b) the Designated Member of Staff to whom the Probationer will be responsible for the carrying out of their duties;
 - (c) that the Probationer will receive advice from the Designated Member of Staff and may be required to undertake such training in their duties as may be required by the University; and
 - (d) that, during the period of probation, reports will be made by the Designated Member of Staff of the Probationer's performance in their post.

Part II – Reports and Review of Probationer's Performance

Reports

- 2.1 Prior to each anniversary of the Probationer's appointment falling during the probationary period, the Designated Member of Staff shall prepare and provide to the Academic Probation Committee a formal report concerning the performance and progress made by the Probationer.
- 2.2 When the Academic Probation Committee considers that an interim report on a Probationer requires remedial action to be taken, the Designated Member of Staff will be informed with, as appropriate, advice on what should be done to rectify the issue, following which the Designated Member of Staff will discuss the issue with the Probationer. In such circumstances a copy of the report will be issued to the Probationer.

Review of Probation by the Academic Probation Committee

- 2.3 Upon receipt of a formal report from the Designated Member of Staff, the Academic Probation Committee shall formally review the Probationer's appointment. Such a formal review shall normally take place shortly before each anniversary of the Probationer's appointment occurring during the probationary period.
- 2.4 After completion of a formal review, the Academic Probation Committee will determine at the end of the first year of probation whether any remedial action is required to be taken by the Probationer during the next year of probation.

- 2.5 After completion of a formal review, the Academic Probation Committee will determine at the end of the second year of probation:
- (a) whether the appointment will be terminated at the end of the current year of appointment; or
 - (b) whether the Probationer will remain on probation for a further period and whether any remedial action is required to be taken by the Probationer during such further period of probation.
- 2.6 After completion of the formal review occurring at the end of the probationary period referred to in paragraph 1.10(a), the Academic Probation Committee may determine:
- (a) whether the appointment will be terminated at the end of the current year of appointment;
 - (b) whether the Probationer will remain on probation for a further year (in no case will the period of probation be extended more than once or for more than one year) and whether any remedial action is required to be taken by the Probationer during such further period of probation; or
 - (c) whether the appointment will be confirmed and the probationary period concluded.

Meeting with Probationer and Provision of Written Reports

- 2.7 All formal written reports considered by the Academic Probation Committee will be made available to the Probationer and the Designated Member of Staff.
- 2.8 The Academic Probation Committee will invite the Probationer and the Designated Member of Staff to attend a meeting before any decision is made to terminate or extend under paragraphs 2.5 or 2.6, such meeting to take place following receipt of the documentation described in paragraph 2.7. The Probationer will be informed of their right to be accompanied to the meeting in accordance with paragraph 1.7 above. At the meeting the Probationer and the Designated Member of Staff will have the opportunity to make representations. The Academic Probation Committee will be accompanied at the hearing by a member of the University's People and Culture Department acting in an advisory capacity.
- 2.9 The procedure to be followed at such meetings shall be determined at the sole discretion of the Academic Probation Committee.

Confirmation of Decisions

- 2.10 The Academic Probation Committee will confirm its decision made under paragraphs 2.4, 2.5 or 2.6 in writing to the Probationer and the Designated member of staff, explaining the reasons for the decision. If the decision has been taken to terminate the Probationer's appointment or to extend the probationary period beyond the initial probationary period referred to in paragraph 1.10(a), the Probationer will be informed of his or her right of appeal under Part III of this Ordinance.
- 2.11 In the event of non-confirmation of appointment (subject to the outcome of any appeal) the employment of the Probationer will terminate.

Part III – Appeals

- 3.1 If the Probationer is dissatisfied with the decision of the Academic Probation Committee made under Part II of this Ordinance to terminate the appointment or that probation be extended and wishes to appeal, they must do so in writing to the University's People and Culture Department within 10 working days of the date on which the Probationer was informed of the

relevant decision. The Probationer must set out their grounds of appeal in writing and refer to the initiation of the appeals part of this Ordinance.

- 3.2 The Probationer and the Designated Member of Staff will be invited to attend an appeal meeting, which will normally take place within 10 working days of receipt by the University of the appeal. The chair of the Academic Probation Committee may also be asked to attend the appeal meeting. The Probationer will be informed of their right to be accompanied to the meeting in accordance with paragraph 1.7 above. The Appeal Committee will be accompanied at the appeal hearing by a member of the University's People and Culture Department acting in an advisory capacity.
- 3.3 The procedure to be followed at the appeal meeting shall be determined at the sole discretion of the Appeal Committee.
- 3.4 The appeal meeting may be adjourned and reconvened at a later date if the Appeal Committee needs to carry out additional investigations.

Confirmation of Outcome of Appeal Meeting

- 3.5 The Appeal Committee will notify the Probationer of its decision in writing, normally within 10 working days of the appeal meeting, or, where the appeal meeting has been adjourned and reconvened, normally within 10 working days of the final reconvened appeal meeting. The Appeal Committee will also provide the Probationer with the reasons for the decision that it has reached. The decision of the Appeal Committee will be final.

Ordinance XXXIII – Staff Grievance Ordinance Pursuant to Statute IV Part VI

Part I – General Principles and Interpretation

- 1.1 This grievance Ordinance is made under Part VI of Statute IV of the University's Statutes and applies to all members of staff of the University, regardless of length of service with the exception of the Vice-Chancellor.
- 1.2 This grievance Ordinance shall apply to grievances by members of staff concerning their appointments or employment in relation to matters affecting themselves as individuals or their personal dealings or relationships with other members of staff of the University, other than:
 - (a) complaints, grievances or appeals concerning matters for which provision is made in an alternative University policy or procedure, including the University's Bullying and Harassment policy, or the Public Interest Disclosure policy; or
 - (b) complaints, grievances or appeals concerning the outcome of disciplinary or dismissal procedures, capability procedures, redundancy procedures, or academic promotion.

This grievance Ordinance cannot be used to address any disputes which may arise between the University and any trade union recognised by the University, nor may this Ordinance be used to negotiate changes in collective terms and conditions of employment.

- 1.3 References to "Appropriate Person" in Statute IV of the University's Statutes means the Relevant Manager as defined by paragraph 3.4, or the Appeal Panel as defined by paragraph 4.2, as the circumstances require.
- 1.4 At any stage of this grievance Ordinance, the Relevant Manager may decide to defer consideration of the particular grievance in the event that other proceedings (for example

disciplinary, capability or redundancy proceedings) concerning the individual member of staff who has raised the grievance and which are relevant to the subject matter of the grievance, are pending or in progress, or for any other good reason.

- 1.5 At any meeting or meeting convened under the formal part of this grievance Ordinance (set out in Parts III and IV below) the member of staff has the right to be accompanied by a work colleague or by a trade union representative, but no right to be accompanied by a legal representative. The member of staff's chosen work colleague or trade union representative may make representations on behalf of the member of staff at the meeting and may ask questions, but may not answer questions on behalf of the member of staff.
- 1.6 Any steps under this grievance Ordinance shall be taken promptly unless there is a good reason for delay. Any time limits in this grievance Ordinance may be extended by the University if it is reasonable to do so.
- 1.7 Documentation relating to the member of staff's written grievance shall be retained on a grievance file and will be processed in accordance with the University's Data Protection Policy.

Part II – Informal Resolution

- 2.1 Many grievances can be resolved quickly and informally through discussion with the relevant party. Members of staff are therefore expected to make reasonable attempts to resolve any grievance informally with the relevant party. If a member of staff feels unable to speak informally to the relevant party, but nevertheless wishes to try to resolve the matter informally, then the member of staff or their representative should speak informally to their line manager; if the line manager is the other party to the grievance, then the member of staff or their representative should raise the issue informally with the next most senior level of management.
- 2.2 As part of the informal steps towards resolving a grievance, a member of staff may wish to consider mediation. This is a process by which an impartial person helps others to resolve their difficulties. Mediation is voluntary and is undertaken without any admission of wrong doing by any party, and without preventing any opportunity to pursue formal action. If the member of staff decides they would like to use mediation, they should initially discuss the matter with the University's People and Culture Department. Mediation can only proceed with the agreement of all parties involved in the grievance, including their agreement on the choice of mediator.
- 2.3 If the grievance cannot be resolved informally or if informal discussions are inappropriate, the member of staff should follow the formal grievance procedure set out below.

Part III – Formal Resolution

Initiating the Formal Procedure

- 3.1 If a member of staff wishes to raise a formal grievance they should put the grievance in writing and submit it to their line manager, who will inform the University's People and Culture Department of the grievance. In some cases it may be inappropriate for a member of staff to raise their grievance with the line manager, for example if the grievance relates to the conduct of the line manager. In such cases, the member of staff should refer their grievance to the next most senior level of management or the University's People and Culture Department.
- 3.2 If a member of staff wishes for information relating to a grievance to be kept confidential, the member of staff should make this clear to the person to whom the grievance is made. In certain circumstances, it may be difficult for confidentiality to be respected, for instance where

a possible criminal offence or disciplinary matter has been disclosed in the grievance. Members of staff should also understand that, in some cases, their request for confidentiality may make it difficult for the Relevant Manager to deal with the issues raised. If confidentiality is important to the member of staff, they are advised to discuss this with University's People and Culture Department.

- 3.3 The written grievance should indicate that the member of staff is invoking this grievance Ordinance and must contain a description of the grounds of the grievance, including any relevant facts, dates, and the names of individuals involved.

The Relevant Manager

- 3.4 The grievance will be considered by the Relevant Manager [as set out in paragraph 3.1 above], the identity of whom will be determined by the University's People and Culture Department. Where the member of staff has submitted the grievance to their line manager, that line manager will normally be the Relevant Manager. If it would be inappropriate for the line manager to consider the grievance due to previous material involvement with the circumstances giving rise to the member of staff's grievance, the University's People and Culture Department will designate an appropriate manager to consider the grievance. The Relevant Manager will be accompanied at any grievance meeting by a member of the University's People and Culture Department to service the grievance process.

Investigation

- 3.5 In some situations the Relevant Manager may need to ask the member of staff to clarify the subject matter of the grievance in advance of conducting the grievance meeting. In most cases it will be appropriate for the Relevant Manager to conduct some form of investigation prior to conducting the grievance meeting.
- 3.6 Where the Relevant Manager determines that it is appropriate to conduct an investigation into the issues raised in the grievance, the Relevant Manager will inform the member of staff of this fact, and confirm the likely timescale for the investigation.

The Grievance Meeting

- 3.7 The member of staff will be invited to attend a grievance meeting which will normally take place within 10 working days of receipt by the University of the grievance. It may however be necessary to extend this time limit, for example, if the Relevant Manager needs to carry out investigation prior to the grievance meeting, or where clarification is sought from the member of staff and has not been received by the Relevant Manager. The member of staff will be informed of their right to be accompanied to the grievance meeting in accordance with paragraph 1.5 above.
- 3.8 Where the grievance concerns conduct/behaviour between employees, the Relevant Manager must determine whether it is appropriate to ask both parties to attend the grievance meeting and will contact the aggrieved person and take into account their views on this before finalising arrangements.
- 3.9 Prior to the grievance meeting, the member of staff who raised the grievance will be provided with:
- (a) confirmation of whether the Relevant Manager intends to ask any witnesses and/or the employee who is cited in the grievance to attend the grievance meeting;
 - (b) a summary of any relevant information gathered during any investigation into the grievance prior to the grievance meeting.

- 3.10 The procedure to be followed at the grievance meeting shall be at the discretion of the Relevant Manager, but shall include:
- (a) an opportunity for the member of staff who raised the grievance to make representations, to question any witnesses (through the Relevant Manager) and to discuss any documentation relied upon in support of the grievance;
 - (b) the Relevant Manager having an opportunity to ask questions of the member of staff about the grievance; and
 - (c) where appropriate, an opportunity for the Relevant Manager to question any witnesses.
- 3.11 The member of staff must take all reasonable steps to attend any grievance meeting(s) arranged under this grievance Ordinance and/or any adjournment or postponement of such meeting(s). If the member of staff or the member of staff's chosen work colleague or trade union representative cannot attend at the time specified for a meeting, the member of staff must inform the University's People and Culture Department immediately, and the University will make reasonable efforts to arrange an alternative time.
- 3.12 After the grievance meeting the Relevant Manager will consider the grievance, will conduct any such further investigations as may be appropriate, and may hold such further grievance meetings with the member of staff as are appropriate and in accordance with the procedure set out above in paragraph 3.9, to ensure that the Relevant Manager is able to form a decision about the grievance.

Confirmation of Outcome of Grievance

- 3.13 After the grievance meeting, or, if there is more than one grievance meeting, after the final grievance meeting, the Relevant Manager will confirm to the member of staff their decision in writing. This decision will be provided without unreasonable delay following the grievance meeting, or, where there is more than one grievance meeting, the final grievance meeting. This will normally be within 20 working days unless there are compelling reasons which require further deliberations. The member of staff will also be informed of their right of appeal.

Part IV – Appeals

Lodging an Appeal

- 4.1 If the member of staff is dissatisfied with the grievance decision referred to in paragraph 3.13 above and wishes to appeal, they should do so in writing to the University's People and Culture Department within 10 working days of the date on which the member of staff received the decision from the Relevant Manager under paragraph 3.13. The appeal should indicate that the member of staff is lodging an appeal under this grievance Ordinance and must include the member of staff's grounds of appeal.

The Appeal Hearing

- 4.2 The People and Culture Department will determine an appropriate manager and a member of staff from outside the immediate area, to conduct the appeal. The identity of the Manager will be dependent on the member of staff's level of seniority and normally will be at a more senior level to the appropriate person who heard the original grievance. The member of staff will be drawn from non-managerial academic and related staff. Both will not have had any previous material involvement with the action which is the subject of the member of staff's appeal. The appeal hearing will be serviced by a member of the University's People and Culture Department.

Investigation

- 4.3 In some situations the member of staff may be asked to clarify the subject matter of the appeal in advance of conducting the appeal meeting. In some cases it will be appropriate for the Appeal Panel to conduct some form of investigation prior to conducting the appeal meeting.
- 4.4 Where it is determined that it is appropriate to conduct an investigation into the issues raised in the appeal, the member of staff who has lodged the appeal will be informed, and advised of the likely timescale for the investigation.

The Appeal Meeting

- 4.5 The member of staff will be invited to attend an appeal meeting, which will normally take place within 10 working days of receipt by the University of the appeal. It may however be necessary to extend this time limit, for example, if the Appeal Panel needs to carry out an investigation prior to the appeal meeting, or where clarification is sought from the member of staff and has not been received. The member of staff will be informed of the identity of the Appeal Panel and of the member of staff's right to be accompanied to the meeting in accordance with paragraph 1.5 above.
- 4.6 The appeal meeting shall normally take the form of a re-hearing of the matter.
- 4.7 Where the appeal concerns the conduct/behaviour between employees the Appeal Panel will decide whether it is appropriate to suggest that the other employee attends the appeal meeting also.

Prior to the appeal meeting, the member of staff who lodged the appeal will be provided with confirmation of whether the Appeal Panel intends to ask any witnesses to attend the appeal meeting.

Where the Appeal Panel informs the member of staff who has lodged the appeal that they propose to ask the employee who is cited in the grievance to attend the appeal meeting, the member of staff who has lodged the appeal may contact the Appeal Panel and express a view as to whether they would like that employee to attend the appeal meeting and the Appeal Panel will take this response into account before finally deciding whether to invite the other employee to attend the appeal meeting.

- 4.8 The procedure to be followed at the appeal meeting shall be at the discretion of the Appeal Panel, but shall include:
 - (a) an opportunity for the member of staff who lodged the appeal to make representations, to question any witnesses (through the Appeal Chair) and to discuss any documentation relied upon in support of the appeal;
 - (b) the Appeal Panel having an opportunity to ask questions of the member of staff lodging the appeal about the appeal; and
 - (c) where appropriate, an opportunity for the Appeal Panel to question the other party to the grievance.
- 4.9 The member of staff must take all reasonable steps to attend the appeal meeting arranged under this grievance Ordinance and/or any adjournment or postponement of such meeting(s). If the member of staff or the member of staff's chosen work colleague or trade union representative cannot attend at the time specified for the meeting, the member of staff must inform the University's People and Culture Department immediately, and the University will make reasonable efforts to arrange an alternative time.

- 4.10 After the appeal meeting the Appeal Panel will consider the appeal, will conduct any such further investigations as may be appropriate, and may hold such further meetings with the member of staff as are appropriate and in accordance with the procedure set out above in paragraph 4.8, to ensure that the Appeal Panel is able to form a decision about the appeal. The Relevant Manager who confirmed the outcome of the grievance under paragraph 3.12 above shall provide the Appeal Panel with any information they require.

Confirmation of Outcome of Appeal

- 4.11 After the appeal meeting, or, if there is more than one meeting, after the final meeting, the Appeal Panel will confirm to the member of staff their decision in writing. This decision will be provided without unreasonable delay following the appeal meeting, or, where there is more than one meeting, the final meeting. This will normally be within 20 working days unless there are compelling reasons which require further deliberations. The Appeal Panel's decision will be final.

Section 5 – Student Matters

Ordinance XXXIV – Ulster University Students’ Union

1. The Students’ Union shall be known as the Ulster University Students’ Union, hereafter called the Union.
2. The Constitution and the rules governing the relationship between the University Council and the Union shall be subject to the approval of the University Council from time to time.
3. The aims and objectives of the Union shall be to:
 - (a) foster and develop a corporate spirit among its members;
 - (b) promote the general and particular interests of its members and to represent them in all matters affecting their interests;
 - (c) afford the recognised channel of communication between its members and the University;
 - (d) provide, maintain and develop facilities and services for its members;
 - (e) assist in the development of the social, cultural and athletic life of its members;
 - (f) establish and maintain relations between students of the University and those of other institutions of education;
 - (g) enhance the standing of students in the community.
4. The Union shall ensure that preference shall not be given to or advantage withheld from any member on grounds of religious belief, political opinion, race or sex.
5. (a) The Union shall be comprised of two main categories of members:
 - i. Ordinary Full Membership shall be accorded to all full time registered students of the University and those part time students registered for a period of 30 weeks in the academic year, whose course of study leads to a recognised award.
 - ii. Associate Membership may be accorded to the following persons on receipt of such fee as prescribed in the Constitution:
 - (1) Those part time students ineligible for full membership under Clause 5(a)i.
 - (2) Occasional students.
 - (3) Other persons as the Senate may determine within the provisions of Statute II(1).
- (b) The Union may extend the privileges of associate membership to staff of the University, employees of the Union and other persons as defined in the Union’s Constitution upon such terms and conditions as the Union may determine.
6. The rights and privileges of the different categories of members and those members eligible to stand for sabbatical office, shall be prescribed in the Union’s Constitution.

Student members of the bodies established by or under the Charter, these Statutes, the Ordinances or Regulations shall not participate in the consideration by those bodies of reserved areas of business. Reserved areas of business include appointments, promotions and other matters affecting the personal affairs of individual employees of the University and the admission and academic assessment of individual students. Papers for consideration at any such meeting, minutes and other records relating to such matters shall not at any time be available to a student member. The Chair of the meeting may decide in any case of doubt whether the matter is one to which this Statute applies and their decision shall be final.

Ordinance XXXV – Council Responsibility for Student Discipline

1. In the exercise of its responsibility for the discipline of students and of other persons the Council shall have power, following consultation with the Senate, to make Ordinances and such Ordinances may include provision for:
 - (A) rules of discipline;
 - (B) the procedure to be followed when a breach of discipline is alleged;
 - (C) punishment of a breach of discipline by expulsion from the University, permanently or temporarily, by exclusion from the University or any part of the University and its precincts and other premises owned or occupied by the University, permanently or temporarily, by fine or otherwise;
 - (D) appeals by a student or other person which shall include the right of the appellant to be heard in person, to be represented at hearing and to call witnesses.
2. For the purposes of this Ordinance, discipline shall not include action taken in consequence of academic performance, responsibility for which shall fall within the powers of the Senate under Statute II (1)(F).

Ordinance XXXVI – Student Conduct

1. Introduction

- 1.1 The authority of Ulster University (“**the University**”) to investigate the conduct of, and where appropriate to take disciplinary action against, students derives from the powers and authority of the University’s Charter, Statutes, Ordinances and Regulations. This authority is underpinned by the approved [Student Terms and Conditions](#) entered into by each student and the University when a student accepts an offer to study at the University and is subsequently confirmed in writing by both parties upon registration.
- 1.2 All members of the University have a right to study and work in a safe, inclusive environment, where their rights are respected and balanced with their independence and freedom.
- 1.3 In this context, students, in line with the [Student Charter](#), are expected to conduct themselves at all times in a manner which demonstrates respect for themselves, as well as the University, its staff, fellow students and the wider community. Where a student’s behaviour falls short of that expected by the University, that student will be subject to the terms of this Student Conduct Ordinance (“**SCO**”), regardless of whether the behaviour takes place on or off campus or through social media and/or other forms of communication.
- 1.4 Misconduct under the SCO is the improper interference, in the widest sense, with the effective functioning or activities of the University, or those who work or study in the University; or behaviour which brings, or may bring, the University into disrepute. The aim of this SCO is to ensure that there is a framework and process for dealing with such matters in a clear, fair, reasonable and timely manner, ensuring a safe and secure environment, where our students, staff and other members of the University community continue to feel valued and respected.
- 1.5 Allegations of misconduct will be considered under the terms of the SCO in place at the point at which the alleged offence is notified to the University. Earlier versions of the SCO are available from the Office of the University Secretary at universitysecretary@ulster.ac.uk.
- 1.6 This SCO will be subject to periodic review, with the most up to date version available at: <https://www.ulster.ac.uk/about/governance/compliance/student-discipline>

2. Scope of the Student Conduct Ordinance

- 2.1 This SCO applies to the following cohorts:
- 2.2 Students - A student becomes subject to the provisions of this SCO from the point at which they register with the University to the point at which they exit the University. Provision for conduct in relation to prospective students is included within the [University's Admissions Policy](#).
- 2.3 Students in Partner Institutions - The appropriate SCO/conduct proceedings for students registered or receiving tuition in partner institutions will be set out in the approved Memorandum of Agreement (MoA) between the University and the partner institution. Any issue of interpretation or application, or proceedings in instances where the management of conduct is not articulated in the MoA, will be determined by the Pro-Vice-Chancellor for Academic Quality and Student Experience, informed by consultation with the Director/Principal of the relevant partner institution.
- 2.4 Further guidance on the scope of the SCO is available from the Student Academic Affairs Team at saat@ulster.ac.uk

3. What Constitutes Misconduct?

- 3.1 Misconduct is deemed to be improper interference, in the widest sense, with the effective functioning or activities of the University, or those who work or study in the University; or behaviour which brings, or may bring, the University into disrepute. The SCO is in place to protect the wellbeing of students, staff and the wider community, together with the reputation of the University. It also incorporates the following:
 - **Sexual Misconduct and Violence** - Sexual Misconduct and Violence includes both on- and off-campus conduct as well as that exercised electronically and through social media and other forms of communication. Under the SCO, Sexual Misconduct covers any unwelcome behaviour of a sexual nature that is committed without consent or by force, intimidation, or coercion.
 - **Bullying and Harassment** - Bullying is the use of force, coercion, hurtful teasing or threat, to abuse, aggressively dominate or intimidate. Harassment includes causing another person alarm or distress. Harassment on the grounds of gender (including gender re-assignment), race, religion or belief, political opinion, disability, sexual orientation or age may also breach the [University's Equality Opportunities Policy](#) where this involves discrimination against an individual in the way they are treated in relation to the provision of services, including teaching and supervision, assessment, progression and award, and support services.
 - **Potential Criminal Offences and Criminal Offences** – Under the SCO, potential and actual criminal offences include any instance where a student has an unspent conviction for a relevant offence, or during the course of their studies they are convicted of a relevant offence, or where they become subject to an investigation for a relevant offence.

Further information on the reporting requirements, including details of what constitutes a relevant offence in this area, are available in Schedule A and also within Section 5.5. of the approved [Student Terms and Conditions](#).

Please note that this list is illustrative and not exhaustive.

4. Important Definitions

4.1 The following definitions apply throughout this SCO and all associated processes and procedures:

- A student who brings an allegation of misconduct against another student is referred to as the **“Reporting Student”**.
- A member of staff, member of the public or organisation who brings an allegation of misconduct against a student is referred to as the **“Reporting Person”**.
- A student against whom an allegation of misconduct is brought is referred to as the **“Responding Student”**.
- A member of staff within the University with delegated authority to oversee the investigation of issues relating to student conduct and to implement sanctions in respect of offences as appropriate is referred to as a **“University Conduct Officer”**.
- The central co-ordinating point for all allegations in relation to student conduct – to include receipt of the original allegation, the co-ordination of the investigatory process, referrals to a University Conduct Officer/Student Discipline Committee, and support in the application of sanctions for minor offences – is the **“Student Academic Affairs Team”**. The Team provides advice and guidance to both Reporting Students/Persons, Responding Students and University Conduct Officers in the implementation of the SCO.
- The central co-ordinating point for the hearing of serious student disciplinary cases is the **“Student Discipline Office”**. Where an allegation is investigated and the outcome identifies a significant breach of the SCO, this case will be referred to the Student Discipline Office, which will co-ordinate the associated disciplinary process, to include the convening of the University’s Student Discipline Committee and, where required, the Student Discipline Appeal Committee.
- The committee within the University established to review the investigatory reports of allegations into significant misconduct matters, and to implement sanctions as appropriate, is referred to as the **“Student Discipline Committee,”** with appeals in relation to the outcome from this committee reviewed by a committee referred to as the **“Student Discipline Appeal Committee”**.
- The committee established to monitor the implementation of Precautionary Suspensions in response to significant safeguarding concerns, to include the terms and duration of any such suspension, is referred to as the **“Student Safeguarding Committee”**.

4.2 Further detail on these terms, together with clarification on other key terms where appropriate, is provided throughout the course of the SCO.

5. How to Raise an Issue of Student Conduct

5.1 Those wishing to raise an issue of student conduct should complete a Statement on Student Misconduct Form – available from saat@ulster.ac.uk – providing as much information and supporting evidence (where available) as possible. Submission of this form is an indication that that an individual wishes the University to take action in relation to the issues raised.

A copy of the form should then be forwarded to the Student Academic Affairs Team at: saat@ulster.ac.uk

The Team will acknowledge receipt of the form and will follow this up with a high-level overview on how the concern is to be taken forward. Further detail on “What Happens Next” is provided in Section 6 below.

- 5.2 The University reserves the right to investigate and to take disciplinary action against a student of its own volition, even where the Reporting Student/Person does not wish to make a formal statement of complaint or withdraws their allegation.
- 5.3 The above provisions also do not preclude any member of staff from taking reasonable emergency action to prevent, stop, minimise, or otherwise control any conduct by a student which, in the opinion of a member of staff, constitutes misconduct and warrants emergency action. What constitutes an emergency, and the action to be taken will depend on the particular situation, but circumstances involving the safety of others, or affecting the proper functioning of the University, may require immediate action. As soon as reasonably practicable after the emergency action has been taken, the member of staff shall take steps to invoke the University's Student Conduct Ordinance through the Student Academic Affairs Team.

6. What Happens Next?

On receipt of a Statement on Student Misconduct Form, the Student Academic Affairs Team will determine the following:

- 6.1 Whether there is the potential for the allegations raised to be addressed quickly and informally.

Where this is the case, the Student Academic Affairs Team will refer this matter to an appropriate University Conduct Officer for review. A University Conduct Officer is a member of staff with delegated authority to review/investigate student conduct cases. The University Conduct Officer will meet, in the main separately, with both the Reporting Student/Person (if appropriate) and the Responding Student and will explore whether the matter can be brought to an informal resolution. Where appropriate, the option to invoke a formal mediation process may also be considered, together with the potential adoption of a Future Conduct Agreement between relevant parties. Future Conduct Agreements are explored further below.

The University Conduct Officer will then report back to the Student Academic Affairs Team, providing a summary of the matter and the agreed outcome, and this information will be documented accordingly.

- 6.2 Whether the allegations merit further investigation.

Where this is the case, the Student Academic Affairs Team will refer this matter to a University Conduct Officer, who will, guided by the Student Academic Affairs Team, carry out an investigation in line with the process set out in Schedule B. Where appropriate, students may be required to sign a Future Conduct Agreement pending the completion of any ongoing investigation.

Where the allegations are serious, complex or sensitive in nature, the University may engage external professional or legal support in the completion of any required investigation.

The University Conduct Officer may, following the outcome of the investigation, recommend to the Student Academic Affairs Team that a sanction be applied or, in more serious cases, that the case be referred for consideration under the Student Disciplinary procedures.

In ensuring a consistent approach to referrals across the University, the Student Academic Affairs Team will consider the facts of the case and make the final determination as to whether the sanction is appropriate and/or whether it is appropriate for the case to be referred for consideration under the Student Disciplinary procedures. The Team will also ensure that the investigation report is complete and has been undertaken in accordance with University standards.

Where, based on a recommendation by a University Conduct Officer, a sanction has been imposed, the Responding Student has the right to appeal against that sanction. Any such appeal should be forwarded to the Student Academic Affairs Team who will record this and subsequently forward the appeal to the Student Discipline Office for action.

Further information on the University's Student Discipline procedures, to include time limits and grounds of appeal, is available in Schedule C.

6.3 Whether the allegations relate to alleged criminal offences.

In such cases, the University acknowledges that the Police and Public Prosecution Service is properly tasked to investigate and prosecute criminal offences. The University will engage and co-operate fully with any police investigation and any subsequent legal proceedings. The University will liaise with the PSNI but will not undertake any investigations or actions which could compromise a police investigation or criminal proceedings.

Where a police investigation or criminal proceedings are ongoing, the University will normally delay the commencement of any disciplinary proceedings under this SCO pending the outcome of any such police investigation or criminal proceedings. It is the responsibility of the Responding Student to provide regular updates to the University in relation to the associated proceedings.

6.4 Where the allegations made raise safeguarding issues.

In such cases, the Student Academic Affairs Team will take steps to ensure that appropriate safeguarding arrangements are put in place to mitigate any associated risks, where this is necessary and proportionate. This could include, for example, a request for one or both students to vacate/move out of University accommodation, cease contact etc. Such decisions may be captured in a Future Conduct Agreement where appropriate.

The University may also seek to obtain the appropriate level of information from any external investigative body/authority in relation to any relevant offence. The purpose of this is to enable the University to take the appropriate decisions to balance its pastoral and safeguarding responsibilities to those who are under investigation, with those owing to other students and members of the University community.

Where the allegations raised are serious, the Student Academic Affairs Team reserves the right, based on the particular context available to it at that time, to recommend that the Vice-Chancellor (or nominee in the absence of the Vice-Chancellor) impose a Precautionary Suspension on the Responding Student, pending completion of any associated investigation and related proceedings. In such cases, the Student Academic Affairs Team will subsequently refer the student to the Student Safeguarding Committee to monitor the terms and conditions of the Precautionary Suspension. Further information on Safeguarding measures, to include Precautionary Suspensions, is available in Schedule D.

6.5 How best to support all parties during this process.

In such cases, the Student Academic Affairs Team will consider how best to support all parties through these processes. In relation to students, this is likely to involve a referral to [Student Wellbeing](#) for advice and pastoral support, and to the [Students' Union Advice Bureau](#) for advice, guidance and representation at meetings where appropriate.

7. Guiding Principles

- 7.1 The implementation of this SCO is underpinned by a number of key guiding principles. Full details are set out in Schedule E, and these should be read in conjunction with this SCO.

8. Northern Ireland Public Sector Ombudsman

- 8.1 Where the University has issued a final internal decision, following an investigation, hearing and appeal hearing, and a Reporting Student remains dissatisfied with the outcome, the Reporting Student or a Responding Student may submit a complaint about maladministration to the [Northern Ireland Public Sector Ombudsman \(NIPSO\)](#) within six months of notification of the final decision.
- 8.2 A final internal decision is issued where a Responding Student has exhausted all internal initial and appeal mechanisms. Where this is the case, the final internal decision letter, issued by the University, will include reference to NIPSO as appropriate.

9. Reporting

- 9.1 The Student Academic Affairs Team will maintain a centralised database setting out details in relation to every complaint received, together with its progression route and current status. The database will also be updated to reflect closed cases, to include outcomes and sanctions where appropriate.
- 9.2 The Team will also, in consultation with the Office of the University Secretary, produce at least annually, a report on conduct matters for consideration by the Senior Leadership Team, Senate and Council (or nominated committee). This anonymised report will identify trends in student discipline matters, together with any relevant lessons learned.

10. Further Information

- 10.1 Any queries in relation to these processes should be referred to the Student Academic Affairs Team at: saat@ulster.ac.uk

Ordinance XXXVII – Fitness to Practise

1. This Ordinance refers to the procedures to be implemented when a student is judged unfit for entry to a profession for which there are academic, behavioural and health requirements that must be met in order to ensure suitability to practise that profession. Examples of relevant professions are Nursing, Health Visiting, Occupational Therapy, Physiotherapy, Radiography, Optometry, Podiatry, Chiropractic, Dietetics, Clinical Physiology, Sports Studies, Speech and Language Therapy, Education, Social Work, Youth and Community Work, Biomedical Sciences, Counselling, Physician Associate, Medicine, Paramedic Science, Pharmacy and Architecture. This list is not exhaustive, and it may be added to by the University at any time.
2. The Fitness to Practise procedure exists to protect:
- (a) the public interest, by safeguarding client/patient well-being;
 - (b) the student's interests by ensuring that students do not proceed into an academic programme or career for which they may well not be suited or for which a regulatory body may not register them.

3. Students may be considered unfit to practise on the grounds of:
 - (a) physical or mental health reasons;
 - (b) criminal or other serious misconduct;
 - (c) unprofessional conduct or action;
 - (d) unsuitability for the academic and/or practise demands of the professional education.
4. Concern that a student may, for behavioural or health reasons, be deemed unfit to be admitted to or to practise in a profession towards which their course of study leads, should be disclosed in writing to the Pro-Vice-Chancellor and Executive Dean of the relevant Faculty. Concerns may arise from one incident or from a pattern of behaviour over time.
5. Anyone, including University staff and professional staff involved in student clinical/professional practice learning who becomes aware of evidence of health, behavioural or academic unsuitability which may preclude a student from completing the course of study or from undertaking the required professional practise should report the facts in writing to the Pro-Vice-Chancellor and Executive Dean at the earliest opportunity.
6. If the person making such disclosure, as in 4 and 5 above, identifies themselves, this will make it possible for the University to undertake prompt action. In exceptional circumstances the Pro-Vice-Chancellor and Executive Dean may permit the discloser's identity to remain confidential, provided this is consistent with natural justice. Anonymous disclosure can be made. However, it must be recognised that if the discloser remains anonymous this can limit the University's ability to take action, as it is likely to be more difficult to investigate and gather evidence.
7. Boards of Examiners, Student Progress Committees, and the University Disciplinary Committee may also refer students to the Pro-Vice-Chancellor and Executive Dean under this Fitness to Practise procedure.
8. In some situations, where there is an allegation of plagiarism, it may be appropriate to consider the case under both academic and fitness to practise procedures. In these circumstances the academic process will be conducted first and conclude before beginning the fitness to practise process.
9. Students whose courses are covered by the Fitness to Practise ordinance must disclose any criminal convictions to the University before entering the course or immediately such a conviction occurs during the course. This will enable the student to be provided with guidance about entry requirements for registration within the profession concerned. If a student fails to disclose this information and it subsequently comes to light, the student will be referred to the Pro-Vice-Chancellor and Executive Dean who may instigate the Fitness to Practise procedure.
10. Issues relating to professional practise may arise as a consequence of behaviour associated with diagnosed or suspected mental or physical health problems or from addiction. In such circumstances the Fitness to Practise procedures will only be invoked if medical and/or counselling interventions have not successfully addressed the behaviour or if the student has refused all such interventions.
11. The Pro-Vice-Chancellor and Executive Dean will appoint an appropriate person (e.g. Head of School, Course Director) to undertake an investigation of the case in line with the relevant professional regulator guidelines. This person will prepare a report on the circumstances of the case, normally within 5 working days of being appointed, and will make this report and recommendations for course of action available to the Pro-Vice-Chancellor and Executive Dean.

12. Where the alleged behaviour does not require a formal investigation with a Fitness to Practise Panel, the appropriate course of action as recommended under clause 10 will be agreed by the Pro-Vice-Chancellor and Executive Dean and the Head of School within 5 working days of the preliminary report from the appointed person; a timeline for monitoring and review will also be determined. This course of action will then be discussed with the student and on agreement, will be managed through to completion by the appropriate person. A record of the outcome will be recorded and kept on the student's file.

Precautionary Suspension

13. The Pro-Vice-Chancellor and Executive Dean of the Faculty in which the student is registered may suspend a student until the completion of a fuller investigation of the circumstances reported. This power may be used when a student displays inappropriate behaviour while on practice learning or when about to go on practice learning.
14. During a period of precautionary suspension, the student will be entitled to access the University's student support services and will be offered any pastoral support required.

Investigation

15. In cases where a full investigation is recommended, the Pro-Vice-Chancellor and Executive Dean will, within 5 working days of receiving the report from the appropriate person, convene a Faculty Fitness to Practise Panel (hereinafter the Panel), and expedite a meeting date for the Panel, taking cognisance of the notice period required for the student. The Panel shall consist of:
 - (a) the Pro-Vice-Chancellor and Executive Dean or their nominee. The Pro-Vice-Chancellor and Executive Dean will Chair the Panel;
 - (b) the Head of the relevant School;
 - (c) a member of academic staff from the same professional discipline as the student;
 - (d) a member of academic staff who is not from the professional area concerned and who does not know the student;
 - (e) a registered professional practitioner from the professional area concerned.
16. A member of the Faculty administration staff will, with due regard to confidentiality, keep records of the proceedings and be responsible for circulating relevant documents.
17. The student will be given 10 working days' notice of the meeting of the panel. The notice will include:
 - (a) a brief statement of the allegations against them;
 - (b) details of any precautionary suspension or limitations on or conditions placed upon their studies or practice learning experience during the investigation;
 - (c) information on their right to be accompanied at the Panel meeting by a representative who is a member of the University;
 - (d) guidance to the student that they can provide further information in support of their case up to three days prior to the panel meeting.
18. The Panel may ask academic or clinical/professional staff connected with the case to provide written comments on the student's academic standing, conduct or health, explaining why there is concern as to the student's fitness to practise. The Panel will also be provided with information about the student's professional and academic progress and any other relevant information it requires.

19. The Panel will establish the facts of the case and in so doing may interview relevant individuals, including the student, or individuals nominated by the student. The student may be accompanied at the interview by a member of staff of the University, by another student, by a representative of the Students' Union or by a member of the professional organisation. Legal representation is not permitted.
20. The Panel shall satisfy itself that the student understands the purpose and importance of the proceedings of the Panel in respect of their case, understands their rights within the process, and has adequate support.
21. Wherever possible the Panel will resolve the issue in consultation with the student.
22. The Panel has the following powers when considering the student's behaviour and conduct:
 - (a) no action may be required;
 - (b) the student may be referred to Occupational Health, which may result in a period of leave of absence;
 - (c) recommend to the Faculty Board that the student discontinue studies on the course with possibility of transfer to another course;
 - (d) recommend to the Faculty Board that the student discontinue studies on the course without possibility of transfer to another course;
 - (e) if the student is at an appropriate stage in their programme, they may be offered an alternative award which does not lead to a professional qualification;
 - (f) the student may be referred to the University Student Disciplinary Committee;
 - (g) other action as deemed appropriate to the situation.
23. Should the Panel take the decision to refer a student to the University Student Disciplinary Committee, it will state in writing the reasons for its recommendation and supply any evidence it may have.
24. When the Panel takes the decision to recommend removing a student from a professional course it will:
 - (a) inform the student in writing, within 10 days of the Panel meeting, of the decision of the Panel, giving reasons for the decision;
 - (b) appraise the Deputy Vice-Chancellor (Academic);
 - (c) provide feedback to the complainant(s).

The findings of the Panel will be entered on the student's file.

Appeals Procedure

25. The student may appeal against the decision of the Panel on any of the following grounds:
 - (a) that new evidence has become available;
 - (b) that there has been procedural irregularity;
 - (c) that the decision of the Panel was inappropriate or too severe.
26. An appeal should normally be made through the Deputy Vice-Chancellor within 10 working days of receiving the decision of the Panel. The Deputy Vice-Chancellor will set up an Appeal Board (hereinafter the Board). The Board will consist of:
 - (a) Deputy Vice-Chancellor (Chair);

- (b) the Pro-Vice-Chancellor and Executive Dean of another Faculty;
- (c) a member of the professional body concerned who has not been involved in the consideration of the case.

27. The appeal will be considered within 28 days of the date the appeal was lodged.
28. The student will be invited to attend the Appeal Board meeting and be accompanied by a colleague, Trade Union member but not a legal representative. The individual attending with the student may present new information in support of the student's appeal.
29. The Board will consider the statements and information provided by the Panel and any additional/new evidence provided by the student or the University which the Panel did not consider/receive.
30. The Chair of the Appeal Board is permitted to determine the procedures appropriate for individual cases.
31. The Board may set aside or vary or confirm the decision of the Panel.
32. There shall be no appeal against the decision of the Appeal Board.
33. The student will be informed in writing of the decision of the Appeal Board within 10 working days of the Appeal Board meeting.

Schedules to the Ordinances

Schedule to Ordinance XIV

DELEGATED AUTHORITY FRAMEWORK

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
1.	GOVERNANCE, MANAGEMENT AND CONTROL					
1.1	Amendments to Charter	Privy Council	Council	University Secretary	Council to approve any amendments by Special Resolution as set out in the Charter, prior to Privy Council approval.	
1.2	New, amended or revoked Statutes.	Privy Council	Council	University Secretary	Council to approve any new, amended or revoked Statutes by Special Resolution as set out in the Charter, prior to Privy Council approval.	
1.3	New, amended or revoked Ordinances	Council	Council	University Secretary	Council to approve all new and amended Ordinances, and to consider the revocation of any Ordinances. Senate to be consulted where the amendments involve any academic matter for which it has responsibility.	
1.4	New, amended or revoked Regulations, including those relating to taught or research programmes	Senate	Senate	PVC Academic Quality and Student Experience	Senate to approve the creation, amendment or revocation of any Regulations in relation to the academic functions of the University. Where there is not agreement between Senate and the Vice-Chancellor in relation to new, amended or revoked Regulations, the related proposals to be referred to Council by the University Secretary. In such cases, Council should adopt a position and refer this back to Senate to inform further consideration of this matter. The Secretary to Senate to update the Regulations documentation in line with Senate decisions.	
1.5	Rights/privileges for registered, occasional and associate students.	Senate	Senate	PVC Academic Quality and Student Experience	PVC Academic Quality and Student Experience, in consultation with the Academic Standards and Quality Enhancement Committee (ASQEC), to make a recommendation to Senate in respect of any proposed changes to the rights/privileges accorded to registered, occasional and associate students.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
1.6	Compliance with the Charities Act NI 2008	Council	Audit and Risk Committee	University Secretary	<p>Audit and Risk Committee to scrutinise the arrangements in place within the University to ensure that both Council and its members comply fully, both individually and collectively, with the requirements of the Charities Act (Northern Ireland) 2008 and subsequent legislation (to include those relating to Safeguarding).</p> <p>Audit and Risk Committee to scrutinise the annual submission to the Charity Commission, prior to recommending this to Council for approval.</p> <p>As part of the annual submission to the Charity Commission, Audit and Risk Committee to consider and approve the University's Annual Report on Safeguarding.</p>	
1.7a	Delegated Authority Framework – Approval	Council / Vice-Chancellor	Chair of Council / Vice-Chancellor	Vice-Chancellor / University Secretary	<p>Delegated Authority Framework to be reviewed at least every two years.</p> <p>Chair of Council to approve the Delegated Authority Framework on behalf of Council, following consultation with Council.</p> <p>Vice-Chancellor to approve the Delegated Authority Framework on behalf of the Executive, following consultation with the University Executive.</p>	
1.7b	Delegated Authority Framework – Interpretation	Vice-Chancellor	Vice-Chancellor / University Secretary	Vice-Chancellor / University Secretary	<p>The University Secretary to be responsible for the interpretation of the Delegated Authority Framework.</p> <p>In instances of dispute, queries to be escalated, by the University Secretary to the Vice-Chancellor, who will consult on interpretation with the Chair of Council where appropriate.</p>	
1.7c	Delegated Authority Framework – Amendments between review periods.	Chair of Council/Vice-Chancellor	University Secretary	University Secretary	Amendments to the Framework – to ensure its smooth implementation – to be agreed by both the Chair of Council and the Vice-Chancellor where required between review periods. Council to be advised of changes at the next available opportunity.	
1.8	Control and Accountability	Vice-Chancellor	Vice-Chancellor	Vice-Chancellor	<p>The Vice-Chancellor, as Accountable Officer, to have overall responsibility for control and accountability.</p> <p>In the event of a prolonged absence or sudden departure, Council to identify an Interim Accountable Officer and to ensure that its sponsoring Department is notified accordingly.</p>	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
1.9	Approval of Financial Memorandum with sponsoring Department and oversight of associated compliance.	Council	Resources Committee	Chief Strategy and Finance Officer/ University Secretary	<p>Council, on the recommendation of the Resources Committee, to consider and approve any new/revised Financial Memorandum, or equivalent document, put in place to govern the relationship between the University and its sponsoring Department.</p> <p>The Vice-Chancellor, as Accountable Officer, to have overall responsibility for compliance with the terms of the Financial Memorandum between the University and its sponsoring Department.</p> <p>Chief Strategy and Finance Officer and University Secretary to put systems in place to facilitate compliance with the terms of the Financial Memorandum on a day-to-day basis.</p> <p>The Audit and Risk Committee to receive assurances in respect of compliance and to include these in the Committee's Annual Report to Council.</p>	
1.10	Exceptional Circumstances	Vice-Chancellor	Vice-Chancellor, in consultation with the Chair of Council where timescales permit.	Vice-Chancellor, in consultation with the Chair of Council where timescales permit.	<p>The Vice-Chancellor to have general accountability to the Council for maintaining and promoting the efficiency and good order of the University.</p> <p>Where the Vice-Chancellor considers there to be occasions of necessity, they may, in consultation with the Chair of Council where timescales permit, take such exceptional steps as they may deem expedient for safeguarding the interests of the University, provided that in all such cases, a report shall be made to the Council at its next meeting.</p>	
1.11	Execution of the responsibilities of the Council/Council Committees through Chair's Actions.	Chair of Council	Chair of Council/Vice-Chancellor/relevant Committee Chair	University Secretary	<p>The Chair of Council to consider and approve, following consultation with the Vice-Chancellor, any matters of importance requiring urgent decisions, which would normally be referred to the Council.</p> <p>The Chair of Council to consider and approve, following consultation with the Vice-Chancellor and the relevant Committee Chair, any matters of importance requiring urgent decisions, which would normally be referred to that particular Council Committee. Such decisions to be reported to Council/the relevant Committee at the next available opportunity.</p>	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
1.12	Executive authority – outside the line management structure – to suspend/close an activity/facility (e.g. a laboratory) on health and safety grounds.	Vice-Chancellor, Deputy Vice-Chancellor or Chief People Officer	Vice-Chancellor, Deputy Vice-Chancellor or Chief People Officer	Chief People Officer	The Vice-Chancellor, Deputy Vice-Chancellor or Chief People Officer (or nominees as appropriate) to suspend/close any activity/facility (e.g. a laboratory) on health and safety grounds. Executive Deans to act with autonomy, where required in the absence of stated officers. Action to be taken in consultation with the Head of Health, Safety and Wellbeing, where timescales permit.	
1.13	Institution or discontinuation of Faculties and other academic sections of the University	Council	Senate	Deputy Vice-Chancellor	Council to approve the institution or discontinuation of Faculties and other academic sections of the University, based on a recommendation from Senate. Deputy Vice-Chancellor to develop relevant proposals, in consultation with Faculty Boards.	
1.14	Approval of Annual Accountability Returns, including Financial Statements and Financial Forecasts	Council	Resources Committee	Chief Strategy and Finance Officer	Resources Committee to consider and make a formal recommendation to Council, seeking its approval for the following: <ul style="list-style-type: none"> • Financial Statements • Annual Financial Return Commentary At the Chairs' discretion, the signing of the Financial Statements to be supported by a joint meeting between the Chairs of the Resources and Audit and Risk Committees and the External Auditors. Reference to any such meeting to be included in the minutes of the next scheduled meeting of each Committee. Resources Committee to consider and approve: <ul style="list-style-type: none"> • Financial Forecasts. • The process used to ensure compliance with TRAC requirements. 	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
		Council	Audit and Risk Committee	Chief Strategy and Finance Officer	<p>Audit and Risk Committee to consider and endorse the following:</p> <ul style="list-style-type: none"> Financial Statements <p>Audit and Risk Committee to approve the following:</p> <ul style="list-style-type: none"> Internal Audit Annual Report External Audit Management Letter/Management Response Value For Money Report <p>Audit and Risk Committee to consider and make a formal recommendation to Council, seeking its approval for the following:</p> <ul style="list-style-type: none"> Annual Efficiency Return Annual Report of the Audit Committee 	
		Council	Audit and Risk Committee	PVC Academic Quality and Student Experience	<p>Audit and Risk Committee to consider and make a formal recommendation to Council, seeking its approval for the Annual Assurance Report on Academic Quality.</p> <p>This report will be considered and endorsed by Senate, prior to consideration by the Audit and Risk Committee.</p>	
		Vice-Chancellor	Vice-Chancellor	Chief Strategy and Finance Officer	<p>Vice-Chancellor to consider and approve the following:</p> <ul style="list-style-type: none"> Annual Assurance Return Annual Financial Return Workbook HESA Financial Statistics Return <p>The Vice-Chancellor, as the Accountable Officer, to also approve all Annual and Mid-Year Assurance Returns, providing assurances to the sponsoring Department in respect of the University's financial and governance arrangements. Such returns to be shared with the Audit and Risk Committee for information.</p>	
1.15	Conflicts of Interests	Audit and Risk Committee	Audit and Risk Committee	University Secretary	<p>Audit and Risk Committee to approve the University's Conflicts of Interest Policy and related arrangements, together with an annual report regarding the policy's implementation and associated levels of compliance. The University Secretary to maintain a register of interests for Council/co-opted Committee members and members of the Senior Leadership Team.</p>	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
		Chairs of Committees	University Secretary	Council/ Committee Members	Members of Council/Committees to disclose potential/real conflicts to the Chair/wider membership at the start of each meeting.	
		Chair of Council (Council /Committee Members)	University Secretary	Council/ Committee Members	Members of Council/Committees to disclose potential/real conflicts to the Chair of Council, through the University Secretary, on appointment and as these arise. Chair of Council, in discussion with the University Secretary, to determine whether conflict can be appropriately managed/mitigated.	
		Vice-Chancellor (members of staff)	University Secretary	Senior Leadership Team Members	University Secretary to ensure Senior Leadership Team members oversee the implementation of the policy within their own areas of responsibility. Substantive queries regarding the management of conflicts to be escalated by the University Secretary, for final determination, to the Vice-Chancellor (members of staff).	
1.16	Raising Concerns – (Whistleblowing) Policy - Approval and Implementation	Audit and Risk Committee	Audit and Risk Committee	Chief Strategy and Finance Officer/ University Secretary	<p>Audit and Risk Committee to consider and approve the Raising Concerns (Whistleblowing) Policy and to receive an annual update on its implementation.</p> <p>The Chair of the Audit and Risk Committee to be informed of any Whistleblowing disclosures received, with (anonymised) updates on progress in their investigation/lessons learned to be brought to the next meeting of the Committee for noting.</p> <p>Where the Chair of the Audit and Risk Committee or Vice-Chancellor considers it appropriate, the disclosure to be notified to the Chair of Council/full Council.</p> <p>University Secretary to oversee the investigation of disclosures. University Secretary to provide a report on any disclosure to the Chief Strategy and Finance Officer to facilitate reporting of disclosures to DfE where required under the terms of the Financial Memorandum.</p>	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
1.17	Fraud and Theft Response Plan - Approval and Implementation	Audit and Risk Committee	Audit and Risk Committee	Chief Strategy and Finance Officer	<p>Audit and Risk Committee to consider and approve the Fraud and Theft Response Plan and to receive an annual update on its implementation.</p> <p>The Chair of the Audit and Risk Committee to be informed of any Frauds/Thefts, with (anonymised) updates on progress in their investigation/lessons learned to be brought to the next meeting of the Committee for noting.</p> <p>Where the Chair of the Audit and Risk Committee or Vice-Chancellor considers it appropriate, the fraud or theft to be notified to the Chair of Council/full Council.</p> <p>Chief Strategy and Finance Officer to oversee the investigation of allegations and to report all cases to DfE where required under the terms of the Financial Memorandum.</p>	
1.18	Audit and Risk Policies	Audit and Risk Committee	Audit and Risk Committee	Chief Strategy and Finance Officer/ University Secretary	<p>Audit and Risk Committee to consider and approve the following and to receive an annual update on their implementation and on any material actions taken under these policies:</p> <ul style="list-style-type: none"> • Anti-Bribery Policy • Policy on the Acceptance of Gifts and Hospitality 	
1.19	Gifts, donations and endowments received in the name of the University	Director of Development and Alumni Relations	Director of Development and Alumni Relations	University Provost	<p>Director of Development and Alumni Relations to review gifts, donations and endowments (and refunds of gifts, donations and endowments) received in the name of the University up to £10k.</p> <p>The University Provost to review those received in the name of the University between £10k and £100k.</p>	
		Vice-Chancellor	University Provost	University Provost	Vice-Chancellor to review gifts (and refunds of gifts, donations and endowments) received in the name of the University above £100k, informed by a comprehensive due diligence report.	
		Audit and Risk Committee	Audit and Risk Committee	University Provost	Audit and Risk Committee to receive assurances, through reporting and Internal Audit reviews, on the robustness of the University's arrangements for philanthropy and fundraising, to include a summary of the level and range of gifts, donations and endowments received.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
1.20	Independent professional or legal advice for the Audit and Risk Committee	Audit and Risk Committee	Audit and Risk Committee	University Secretary	Audit and Risk Committee to be entitled to obtain legal/professional advice as necessary. Where costs are expected to exceed £25k, approval to be sought from the Resources Committee.	<£25k
1.21	Custody and use of the Seal	Vice-Chancellor	Chief Strategy and Finance Officer / University Secretary	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer to oversee the use of the Seal in accordance with the approved Financial Regulations. University Secretary to report annually on the use of the Seal to the Vice-Chancellor.	
1.22	Establishment and naming of University Committees	Council	Chair of Council/Vice-Chancellor	University Secretary	Council to approve the establishment, name, composition and duration of all new University Committees.	
1.23	Appointment of Chairs to University Committees	Council	Chair of Council/Vice-Chancellor	University Secretary	<p>University Committees to be chaired as follows:</p> <ul style="list-style-type: none"> • Council – First Pro-Chancellor • Audit and Risk Committee – Second Pro-Chancellor • Resources Committee – Honorary Treasurer <p>People Committee to consider and recommend to Council any proposed deviation from this practice, together with the Chair positions on any other Council committees.</p>	
1.24	Approval of Council and Committee Terms of Reference	Council	Relevant Committee	University Secretary	<p>Council to review its Terms of Reference annually and to approve any required amendments arising from such a review.</p> <p>Each Committee to review annually, and recommend to Council any required amendments to, its Terms of Reference.</p>	
1.25	Council Effectiveness Review	Council	Chair of Council	Chief People Officer/ University Secretary	Council to undertake, with some degree of independent input, a review of its own effectiveness at least every three years and oversee the implementation of actions arising from this review as appropriate.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
2.	STRATEGY AND POLICY DEVELOPMENT					
2.1	Approval of the University Strategy and Purpose	Council	Council	Vice-Chancellor	Council to approve the University Strategy and Purpose, based on proposals developed and recommended to Council by the Vice-Chancellor. Vice-Chancellor, in consultation with the Chief Strategy and Finance Officer, to oversee the integration of strategic and financial planning. Chief Strategy and Finance Officer to be responsible for oversight of the financial planning process.	
2.2	Formal Accountability Framework underpinning delivery of institutional-level Strategy	Council	Council	Vice-Chancellor	Council to approve the Accountability Framework through which to monitor and evaluate the University's institutional performance, based on proposals developed and recommended to Council by the Vice-Chancellor.	
2.3	Institutional Performance	Council	Council	Vice-Chancellor	Council to review the University's institutional performance, based on evidence developed and provided to Council by the Vice-Chancellor/the University Executive.	
2.4	Approval of the Risk Management Framework (including Risk Appetite) and the Risk Management Policy	Council	Audit and Risk Committee	Chief Strategy and Finance Officer	Council to approve the overall Risk Management Framework (to include academic risks) and Risk Management Policy, on the recommendation of the Audit and Risk Committee. Audit and Risk Committee, supported by Internal Audit, to provide assurance to Council that appropriate risk management processes are in place. Chief Strategy and Finance Officer to develop and oversee the implementation of risk management processes. Council to receive a copy of the Strategic Risk Register (SRR) and Strategic Risk Mitigation Plan (SRMP).at least once per year. Vice-Chancellor to provide assurances to Council that the risks contained on the SRR/SRMP are subject to regular management review.	
2.5	Health, Safety and Wellbeing – Annual Assurance Reporting /	Council	People Committee	Chief People Officer	Council, through the People Committee, to receive an annual report and assurances in respect of the University's arrangements for Health, Safety and Wellbeing (HSW).	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
	Policy and Operational Matters	Vice-Chancellor	Vice-Chancellor	Chief People Officer	The Vice-Chancellor to approve all HSW policies, informed by discussion at a meeting of the Senior Leadership Team. Vice-Chancellor to be responsible, under delegated authority from Council, for all HSW operational matters. This to be facilitated by the SLT, on the advisement of the HSW Executive Committee.	
2.6	Policies related to corporate governance and compliance.	Audit and Risk Committee	Audit and Risk Committee	University Secretary	Audit and Risk Committee to approve: <ul style="list-style-type: none"> • Conflicts of Interest Policy. • Raising Concerns Policy. • Fraud and Theft Response Plan. • Anti-Bribery Policy. • Policy on the Acceptance of Gifts and Hospitality. Further details on these responsibilities are provided in Sections 1.15 to 1.18 of the Framework. The Committee to also receive regular reports and assurances from the Executive and through Internal Audit, in respect of related compliance levels, and to include these in the Annual Report of the Committee to Council.	
2.7	Approval of Teaching and Learning, Research and associated strategies.	Senate	Relevant Senate Committee	PVC Academic Quality and Student Experience / PVC Research	Senate to consider and approve Teaching and Learning, Research and associated strategies.	
2.8	Approval of significant People and Culture strategies.	Council	People Committee	Chief People Officer	Council to approve significant people and culture strategies which have a material impact on the working conditions of staff members of the University, or which could materially affect the University's reputation. People Committee to provide advice to Council in relation to the development and review of strategies and policies. Resources Committee to also approve strategies where these have significant financial implications. Due regard also to be given to the need for statutory consultation.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
2.9	Equality, Diversity and Inclusion strategies-	People Committee	People Committee	Chief People Officer	People Committee to consider and approve all institutional EDI strategies. People Committee to receive the University's annual Section 75 Return and annual Disability Action Plan for information.	
2.10	Approval of Finance Strategy and Estate Masterplan	Resources Committee	Resources Committee	Chief Strategy and Finance Officer	Resources Committee to endorse the institutional Finance Strategy and Estate Masterplan.	
2.11	Approval of Library strategies and policies.	Senate	Senate	PVC, Academic Quality and Student Experience	Senate to consider and approve all library related strategies and policies.	
2.12	Approval of all other corporate, staff and student related policies.	Vice-Chancellor	Vice-Chancellor	Relevant Senior Leadership Team member.	Vice-Chancellor to approve all other policies, following discussion at a meeting of the Senior Leadership Team. The relevant business areas to take responsibility for the dissemination of the policy to staff, students and key stakeholders as appropriate. The University Secretary to oversee the regular review and updating of the Policy Repository and mechanisms through which staff are notified when policies are due for renewal.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
3.	STATUTORY AND SENIOR LEADERSHIP APPOINTMENTS					
3.1	Appointment and term of office of the Chancellor	Council	People Committee	University Secretary	<p>People Committee to agree and oversee the process for the appointment of any new Chancellor, making an appropriate recommendation to Council in respect of the preferred candidate/associated term of office.</p> <p>Council to remove - for good cause - the Chancellor, following due consideration of a report prepared by the Chair of Council in consultation with the Vice-Chancellor.</p>	
3.2	Number, appointment and terms of office of the Pro- Chancellors	Council	People Committee	University Secretary	<p>People Committee to agree and oversee the process for the appointment of any new Pro-Chancellors, making appropriate recommendations to Council in respect of the number of Pro-Chancellors, preferred candidate(s) and associated terms of office.</p> <p>Pro-Chancellors to perform all the functions of Chancellor in their absence or during a vacancy in office, except the conferring of degrees, diplomas, certificates, and other academic distinctions.</p> <p>People Committee to also recommend to Council the appointment of an interim Pro-Chancellor where required - any appointment not precluding that individual from consideration for the substantive role.</p>	
3.3	Selection of First Pro-Chancellor/Chair of Council	Council	People Committee	University Secretary	<p>On the retirement/resignation of the Chair of Council, Council to first fill the vacancy on Council in line with 3.11 below. Council to then appoint a new Pro-Chancellor from the membership of Council in line with 3.2 above.</p> <p>People Committee to then make a recommendation to Council on which Pro-Chancellor should act as the First Pro-Chancellor/Chair of Council.</p>	
3.4	Appointment of Honorary Treasurer	Council	People Committee	University Secretary	<p>People Committee to agree and oversee the process for the appointment of any new Honorary Treasurer, making an appropriate recommendation to Council in respect of the preferred candidate/associated term of office.</p>	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
3.5	Appointment of the Vice-Chancellor	Council	Joint Committee of Council and Senate	Chief People Officer	<p>The Vice-Chancellor to be appointed by Council on the recommendation of a Joint Committee of Council and Senate (with equal numbers from each constituency).</p> <p>The Joint Committee to be chaired by the Chair of Council. People Committee to be responsible for the selection of the Council representatives, and Senate the selection of Senate representatives.</p> <p>Council may also request its Chair to remove the Vice-Chancellor from office for good cause, in line with the relevant Statute.</p>	
3.6	Appointment of the Deputy Vice- Chancellor	Appointment Panel	Appointment Panel	Vice-Chancellor / Chief People Officer.	<p>The Deputy Vice-Chancellor to be appointed by a panel especially established for that purpose and comprising the Vice-Chancellor, a Pro-Chancellor, an external Council member, a member of Senate and such other person(s) as the Vice-Chancellor, in consultation with the Chair of Council, shall determine.</p> <p>The appointment to be notified to Council on acceptance.</p> <p>The Vice-Chancellor to determine, in consultation with the Chair of Council, who should chair the Appointment Panel.</p>	
3.7	Appointment of the University Provost	Appointment Panel	Appointment Panel	Vice-Chancellor/ Chief People Officer	<p>The University Provost to be appointed by a panel especially established for that purpose and comprising the Vice-Chancellor, a Pro-Chancellor, an external Council member, a member of Senate and such other person(s) as the Vice-Chancellor, in consultation with the Chair of Council, shall determine.</p> <p>The appointment to be notified to Council on acceptance.</p> <p>The Vice-Chancellor to determine, in consultation with the Chair of Council, who should chair the Appointment Panel.</p>	
3.8a	Number and Remit of Pro-Vice- Chancellors	Vice-Chancellor	Vice-Chancellor	Vice-Chancellor / Chief People Officer.	The Vice-Chancellor to determine the number and functions of the Pro-Vice-Chancellors.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
3.8b	Appointment of Pro-Vice-Chancellors	Appointment Panel	Appointment Panel	Vice-Chancellor / Chief People Officer.	<p>Pro-Vice-Chancellors to be appointed by a panel especially established for that purpose and comprising the Vice-Chancellor, a Pro-Chancellor, an external Council member, a member of Senate and such other person(s) as the Vice-Chancellor, in consultation with the Chair of Council, should determine.</p> <p>Appointments to be notified to the Council on acceptance.</p> <p>The Vice-Chancellor to determine, in consultation with the Chair of Council, who should chair the Appointment Panel.</p>	
3.9	Appointment of Chief Strategy and Finance Officer	Appointment Panel	Appointment Panel	Vice-Chancellor / Chief People Officer	<p>The Chief Strategy and Finance Officer to be appointed by a panel especially established for that purpose and comprising the Vice-Chancellor, a Pro-Chancellor, an external Council member, and such other person(s) as the Vice-Chancellor, in consultation with the Chair of Council, should determine.</p> <p>Appointments to be notified to the Council on acceptance.</p> <p>The Vice-Chancellor to determine, in consultation with the Chair of Council, who should chair the Appointment Panel.</p>	
3.10	Appointment of Chief People Officer	Appointment Panel	Appointment Panel	Vice-Chancellor / Deputy Director (Partnerships and Services)	<p>The Chief People Officer to be appointed by a panel especially established for that purpose and comprising the Vice-Chancellor, a Pro-Chancellor, an external Council member and such other person(s) as the Vice-Chancellor, in consultation with the Chair of Council, should determine.</p> <p>Appointments to be notified to the Council on acceptance.</p> <p>The Vice-Chancellor to determine, in consultation with the Chair of Council, who should chair the Appointment Panel.</p>	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
3.11	Appointment and Removal of University Secretary	Appointments Panel (Appointment)	Appointments Panel (Appointment)	Vice-Chancellor / Chief People Officer	<p>The University Secretary to be appointed by a panel especially established for that purpose and comprising the Vice-Chancellor, Chair of Council, an external Council member, the Chief People Officer, and such other person(s) as the Vice-Chancellor, in consultation with the Chair of Council, should determine.</p> <p>Appointments to be notified to the Council on acceptance.</p> <p>The Vice-Chancellor to determine, in consultation with the Chair of Council, who should chair the Appointment Panel.</p> <p>The University Secretary can be removed – for good cause – under the terms of Statute IV (in line with the arrangements for all other members of staff).</p>	
3.12	Appointment of Charity Trustees/members of Council.	Council	People Committee	University Secretary	<p>People Committee to agree and oversee the following processes:</p> <ul style="list-style-type: none"> • The appointment process for external members on Council, making recommendations to Council in respect of the most suitable candidates. • The appointment process for staff members on Council, making recommendations to Council in respect of the most suitable candidates. <p>Making recommendations to Council in relation to the optimum overall size, composition and membership of Council and its committees, taking account of requisite skills and expertise.</p>	
3.13	Removal from Council membership.	Council	People Committee	University Secretary	<p>People Committee to recommend to Council the removal from Council – for good cause (including where members fall short of the required ethical standards) – of any Pro-Chancellor, Honorary Treasurer and/or any other member of Council.</p> <p>People Committee to consider such matters at an extraordinary meeting of the Committee, chaired by an external co-optee from the People Committee</p>	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
3.14	Appointment of external co-optees to Council Committees.	People Committee	People Committee	University Secretary	People Committee to agree and oversee the process through which co-optees are appointed as advisors (rather than trustees) to University Committees to address identified skills gaps, and to make any such appointments as appropriate.	
3.15	Appointment of representatives to the University's subsidiary companies.	People Committee	People Committee	Vice-Chancellor/ University Secretary	People Committee to consider and approve the appointment of Council/University representatives to the University's subsidiary and related companies – to include Innovation Ulster Limited (IUL) and Studio Ulster.	
3.16	Composition and Operation of Senior Leadership Groupings.	Vice-Chancellor	Vice-Chancellor	Vice-Chancellor	The Vice-Chancellor to determine the name, scope and membership of any leadership groupings within the University e.g. Senior Leadership Team, Vice-Chancellor's Executive Group etc.	
3.17	Panel Membership – Equality Characteristics	Chief People Officer	Chief People Officer	Chair of Appointment Panel	Chief People Officer to enhance panel membership where panels - perhaps owing to the prescriptive nature of their composition - do not have due regard to equality characteristics.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
4.	BUDGETARY AND FINANCIAL MATTERS					
4.1	Financial Statements	Council	Resources Committee Audit & Risk Committee	Chief Strategy and Finance Officer	<p>The Resources Committee to recommend approval of the Financial Statements to Council following a detailed examination.</p> <p>The Audit and Risk Committee to provide assurance to Council that there has been a robust examination of the Statements via the relevant internal processes and through the External Audit function.</p> <p>Financial Statements to be signed by the Vice-Chancellor, Honorary Treasurer and the Chief Strategy and Finance Officer.</p> <p>This section should be read in conjunction with Section 1.14.</p>	
4.2	(Five Year) Financial Forecasts (OfS Return)	Resources Committee	Resources Committee	Chief Strategy and Finance Officer	<p>Financial Forecasts to be developed in conjunction with Faculties and Departments, based on the academic planning process agreed by the Vice-Chancellor and reviewed by Senate. Financial Forecasts to be endorsed at a meeting of the Senior Leadership Team prior to being approved by the Resources Committee.</p> <p>This section should be read in conjunction with Section 1.14</p>	
4.3	Financial Plan – Budget/ Resource Allocation Model	Resources Committee	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer	Resources Committee to approve the budget allocation model, following its endorsement by the Vice-Chancellor, informed by consultation with the Senior Leadership Team. This is then used to allocate the forecast distributable income across Faculties and Departments.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
4.4	Significant University projects or initiatives (where these do not qualify as Capital/Estates projects).	Council / Vice-Chancellor	Resources Committee / Vice-Chancellor	Chief Strategy and Finance Officer / Vice-Chancellor	<p>Approval mechanisms will be determined by the total net cost of procurement plus the cost of delivering the project/initiative over its first five years – as set out below:</p> <ul style="list-style-type: none"> • Council (via Resources Committee) > £10m • Vice-Chancellor, informed by consultation with the Strategic Planning Group <£10m. <p>A report should also be provided to Council via the Audit and Risk Committee (through the Strategic Risk Register) to inform members of any projects/initiatives where there is the potential for significant reputational risk to the University. Such decisions to be determined by the Vice-Chancellor, in consultation with the Chair of Council where appropriate.</p> <p>Major activities/developments/ventures require a full business case to be reviewed by the Strategic Planning Group, prior to consideration by the relevant University Committee. The Strategic Planning Group may wish to refer risk appraisals to SLT for consideration on a case-by-case basis.</p> <p>Once approved, the relevant Committee to be informed of any material variations in terms of project timescale, scope and costs.</p>	Total net costs over five years – Council > £10m VC <£10m
4.5	Significant University income generating projects or initiatives	Council	Resources	Vice-Chancellor / Chief Strategy and Finance Officer	<p>A report should be provided to Council, via the Resources Committee, to inform members of any projects/initiatives where there is potential for significant income generation to the University.</p> <p>Such decisions to be determined by the Vice-Chancellor, in consultation with the Chair of Council/Resources where appropriate.</p>	
4.6	In-year budget requests (including staffing resource) outside approved Financial Plan.	Vice-Chancellor	Deputy Vice-Chancellor (deputising for the Vice-Chancellor/Chair of the Strategic Planning Group)	Deputy Vice-Chancellor / Chief Strategy and Finance Officer	Under the approved Establishment Model, the Strategic Planning Group will consider and, where appropriate, approve all requests for additional budget allocations, (including those for staffing resource outside approved Establishment), as these arise throughout the course of the academic year.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
4.7	Approval of Financial Regulations	Resources Committee	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer to ensure that systems of internal financial control are in place, bringing recommendations in respect of any required amendments to the Resources Committee for approval.	
4.8	Appointment of University Bankers	Resources Committee	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer to oversee the procurement exercise in relation to the appointment of new bankers, bringing an appropriate recommendation to Resources Committee for approval.	
4.9	Establishment of Borrowing Limits and Facilities	Resources Committee	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer	Resources Committee to approve the establishment of borrowing facilities and limits, including overdraft facilities.	
4.10	Operation of University bank accounts	Resources Committee	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer	Resources Committee to approve the list of appointed signatories for University bank accounts. Chief Strategy and Finance Officer to have responsibility for the day-to-day management of the University's banking arrangements including opening and closing bank accounts.	
4.11	Treasury Management Policy	Resources Committee	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer to oversee the development of the Treasury Management Policy, prior to bringing an appropriate recommendation to Resources Committee for approval.	
4.12	Appointment of Investment Managers for the oversight of endowment funds.	Resources Committee	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer to oversee the procurement exercise in relation to the appointment of new Investment Managers for the oversight of endowment funds, bringing an appropriate recommendation to Resources Committee for approval.	
4.13	University's Ethical Investment Policy	Resources Committee	Vice-Chancellor	Chief Strategy and Finance Officer	Resources Committee to consider and approve the University's Ethical Investment Policy. Chief Strategy and Finance Officer, in consultation with the Vice-Chancellor, to consider and recommend any amendments to the Ethical Investment Policy to Resources Committee.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
4.14	Appointment of Insurance Provider / Contract Renewal	Resources Committee	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer	<p>Resources Committee to approve any move away from UMAL as the University's insurance provider/broker.</p> <p>Chief Strategy and Finance Officer/Director of Finance responsible for oversight of the subsequent annual renewal processes, subject to the approval of any material changes being approved by the Chair of the Resources Committee.</p> <p>Chief Strategy and Finance Officer to oversee management of the insurance claims process and the approval of claims, on the recommendation of the insurance provider.</p> <p>Chief Strategy and Finance Officer to bring a summary of insurance claims paid, together with lessons learnt, to Audit and Risk Committee on an annual basis.</p>	
4.15	Framework for tuition and other academic fees and discounts for non-regulated students	Resources Committee	Vice-Chancellor	Deputy Vice-Chancellor	<p>The Fees & Pricing Group to consider and develop proposed fee structure / inflationary increases informed by a recommendation from the Executive Deans. Recommendations to be brought forward for endorsement by the Vice-Chancellor, informed by discussions at a meeting of the Senior Leadership Team, prior to presentation to the Resources Committee for approval.</p> <p>Approvals to also apply to non-standard and/or collaborative provision arrangements.</p>	
4.16	Tuition fee discounts/ scholarships for individual students, programmes / modules	Vice-Chancellor	Deputy Vice-Chancellor	Executive Deans	<p>Vice-Chancellor to consider and agree proposed scholarships and programme discounts informed by a recommendation from the Deputy Vice-Chancellor, developed in consultation with the Executive Deans.</p> <p>Individual student discounts for extenuating circumstances and discounts at module level to be approved by an Executive Dean, following consultation with the Deputy Vice-Chancellor.</p>	
4.17	Tuition Fees Payment Policy to include sanctions for the non-payment of tuition fees.	Vice-Chancellor	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer	Vice-Chancellor to consider and approve the Tuition Fees Payment Policy, to include sanctions for the non-payment of tuition fees, informed by discussions at a meeting of the Senior Leadership Team. Chief Strategy and Finance Officer to oversee implementation of policy.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
4.18	Write off of bad debt in relation to Tuition Fees, Accommodation and Trade debt.	Resources Committee	Chief Strategy and Finance Officer Director of Finance	Chief Strategy and Finance Officer	Resources Committee to receive an annual report setting out write offs/provision for bad tuition fee, accommodation and trade debt, with specific reference made to individual debts in excess of £10k. Delegated limits for the write off of bad debt (tuition fees) are set out below: <ul style="list-style-type: none"> Resources Committee > 10k Chief Strategy and Finance Officer - >£5k -10k Director of Finance <£5k Chief Strategy and Finance Officer to approve any request to initiate legal proceedings in respect of outstanding debt, in consultation with the Vice-Chancellor in relation to potential reputational matters.	Resources > £10k CSFO > £5k - £10k DoF <£5k
4.19	Approval of Student Accommodation Fees	Vice-Chancellor	Vice-Chancellor	University Provost	Vice-Chancellor to approve student accommodation fees, informed by discussions at a meeting of the Senior Leadership Team.	
4.20	Payroll Discrepancy Policy	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer / Chief People Officer	Chief Strategy and Finance Officer to update the Payroll Discrepancy Policy in conjunction with the Chief People Officer as appropriate.	
4.21	Appointment of Internal and External Auditors	Audit and Risk Committee	Appointment Panel	Chief Strategy and Finance Officer	The Audit and Risk Committee to approve the appointment of the Internal and External Auditors following a comprehensive procurement exercise, involving members of the Audit and Risk Committee where available. Composition of the panel to be agreed by the Chief Strategy and Finance Officer, in consultation with the Chair of the Audit and Risk Committee.	
4.22	Approval of the Internal Audit Strategic Plan and Annual Plan.	Audit and Risk Committee	Vice-Chancellor	Chief Strategy and Finance Officer	Audit and Risk Committee to consider and approve both the Internal Audit Strategic Plan and the Internal Audit Annual Plan.	
4.23	Policy on the Engagement of External Auditors for Non-Audit Services	Audit and Risk Committee	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer	Audit and Risk Committee to approve the policy on the Engagement of External Auditors for Non-Audit Services. In managing potential conflicts, prior approval to be sought in line with approval levels within the Procurement Policy.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
4.24	Approval of income-generating non-research contracts	Vice-Chancellor	Lead Pro-Vice-Chancellor	Lead Pro-Vice-Chancellor	Vice-Chancellor and the lead Pro-Vice-Chancellor to act as principal authorised signatories for income-generating non-research contracts. Lead PVC to secure input from the Chief Strategy and Finance Officer (Finance) and University Secretary (Legal/Governance), where required to inform decision-making.	
4.25	Approval and signing of DfE letters of offer, including those relating to capital expenditure.	Vice-Chancellor	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer / relevant Executive Dean	Vice-Chancellor and Chief Strategy and Finance Officer to act as principal authorised signatories in relation to DfE letters of offer in relation to funding/capital expenditure (grants and loans) over £5m. Under £5m, letters of offer to be signed by the Director of Finance plus one from relevant Executive Dean/PVC/Director.	
4.26	Approval of Procurement Policy	Resources Committee	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer	Resources Committee to consider and approve the University's Procurement Policy.	
4.27	Commitment and purchase of supply and services.	Budget holder	Executive Dean or Director in line with Faculty or Directorate framework of authorisation	Chief Strategy and Finance Officer	<p>If the University has an existing contract for service, this must be used without exception. For all other purchases:</p> <ul style="list-style-type: none"> £5k to £30K – Faculty/Department carry out a devolved procurement exercise where no existing contract exists. (Refer to Procurement website for guidance) £30k to £214k (including VAT) - Formal tender procedure through Procurement via e-Tendering system. Over £214k(*) (including VAT) (Regulation threshold) - Formal tender through Procurement via FTS. (Find a tender system) <p>The value is calculated either in a single goods purchase or aggregation of service over a four-year period. It is the responsibility of the Faculty/ Department to ensure that spend is calculated over the lifetime of the service to the University.</p> <p>(*) Aligned with Procurement Legislation.</p>	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
4.28	Approval of Policy governing Direct Award Contracts	Resources Committee	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer	Resources Committee to consider and approve the Policy governing Direct Award Contracts. Committee also to receive a quarterly report on awards made where the award value exceeds £30k, along with justification of same and confirmation of whether Procurement advice was offered/accepted in each case.	
4.29	Award of contracts for goods and services by Direct Award Contract	Vice-Chancellor	Executive Dean or Director in line with Faculty or Directorate framework of authorisation	Chief Strategy and Finance Officer	<p>Delegated limits are set out below:</p> <ul style="list-style-type: none"> • Below £30k – Executive Dean or Director • £30k to threshold* for DAC compliant with the regulations – Senior Buyer, and Executive Dean or Director • £30k to threshold* for DAC assessed by Procurement not to comply with the regulations, Executive Dean or Director and Head of Procurement • Above threshold* for DAC compliant with the regulations – Executive Dean or Director and Head of Procurement • Above threshold* for DAC assessed by Procurement not to comply with the regulations – Executive Dean or Director, together with the Vice-Chancellor. <p>(*) Aligned with Procurement Legislation.</p>	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
5.	CAPITAL PROJECTS AND ESTATES					
5.1	Approval of the Estate Masterplan (Infrastructure Capital Plan)	Council	Resources Committee	Chief Strategy and Finance Officer	Resources Committee to consider and endorse the Estate Masterplan (Infrastructure Capital Plan) prior to recommending this to Council for approval.	
5.2	Acquisition, construction, leasing, refurbishment and disposal of buildings (and acquisition and disposal of land)	Council (above agreed limits)	Council >£5m Vice-Chancellor or Chief Strategy and Finance Officer £2-£5m Director of Estates <£2m Limits to be based on value of completed project.	Chief Strategy and Finance Officer	Council to approve the acquisition, construction, leasing, refurbishment and disposal of buildings (and acquisition and disposal of land) within Estate Strategy. Council approval required above agreed limits. Approval mechanisms in relation to activity within the Estate Strategy to be determined by the level of associated spend. All business cases receiving DfE capital funding require DfE approval. All activity over £5m requires SIB approval.	Council >£5m VC or CSFO £2-£5m Director of Estates <£2m
5.3	Nomination Agreements (Agreements between the University and private sector student accommodation providers)	Council	Resources Committee	University Provost	Council/Committee approval for the signature of Nomination Agreements required above agreed limits. Approval mechanisms in relation to arrangements to be based on the total cost to the University of the agreement over the lifetime of the contract.	Council >£10m VC £5-£10m CSFO £2-£5m Director of Estates <£2m

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
5.4	Approval of building and other estate related contracts	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer >£5m Director of Estates <£5m Limits to be based on value of completed project.	Chief Strategy and Finance Officer	Director of Estates leads the process. Chief Strategy and Finance Officer approves the Estates Services Budget. All business cases receiving DfE capital funding require DfE approval.	
5.5	Greater Belfast Development	Council	Belfast Campus Development Committee	Vice-Chancellor	Council to approve the necessary approaches to achieve practical and financial completion of the wider GBD project, informed by appropriate recommendations from the Belfast Campus Development Committee. GBD Project to operate within the original funding envelope approved by Council/Resources Committee. Any deviation to be reported to Council/Resources Committee as appropriate.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
5.6	Approval of increase in approved budget for capital projects	Council/ Resources Committee	Increases up to 10% of original cost or under £5m Vice-Chancellor £2-5m Chief Strategy and Finance Officer £0.5m-£2m Director of Estates <£0.5m Increases over 10% of original cost as outlined in the approved Business Case or over £5m to be approved by the body with authority to approve total value of scheme (Council/Resources Committee).	Chief Strategy and Finance Officer	Council/Resources Committee to approve increases in approved budget for capital projects. Approval mechanisms in relation to activity to be determined by the level of associated spend. Chief Strategy and Finance Officer and Director of Estates to advise in relation to affordability. Resources Committee to be advised where increases in cost are detrimental to other institutional priorities	
5.7	Approval of City Deals and Special Capital Projects	Council	City Deals and Special Projects Committee / Resources Committee	Chief Strategy and Finance Officer	City Deals and Special Projects Committee to consider projects prior to recommendation and approval to Resources Committee and Council, if required. Consideration to be via Strategic Outline Cases (SOCs) and Outline Business Cases (OBCs). If a project is not approved, this should be reported to Resources Committee and Council via the minutes. Council approval required above agreed limits. Approval mechanisms/effective limits in relation to activity to be determined by the level and nature of associated Ulster University Capital Contribution. Once approved, projects to be covered by the requirements in Section 5.2 to 5.5.	Council >£5m VC or CSFO £2-£5m Director of Estates <£2m

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
5.8	Oversight, monitoring and successful implementation of all approved City Deals and Special Capital Projects and post project reviews/evaluations (including the effective monitoring of performance, outcomes, budget, risks and other issues relating to the Project)	Resources Committee	City Deals and Special Projects Committee	Chief Strategy and Finance Officer	<p>City Deals and Special Projects Committee to oversee, monitor and support the successful implementation of all approved Projects and post project reviews/evaluations.</p> <p>Project Leads to escalate and seek advice through City Deals and Special Projects Committee and Audit and Risk Committee should major issues arise.</p> <p>Projects to operate within the original funding envelope approved by Council/Resources Committee. Any deviation to be reported to Council/Resources Committee as appropriate.</p>	
5.9	Provision and maintenance of buildings, premises and grounds	Chief Strategy and Finance Officer	Director of Estates	Chief Strategy and Finance Officer	<p>Chief Strategy and Finance Officer to oversee the procurement processes through which contracts to deliver and maintain buildings and premises are approved.</p> <p>Each project to be reviewed and approved by the Heads of Sections within Estates Services.</p>	
5.10	Consultant Framework Agreements and Appointments	Chief Strategy and Finance Officer	Deputy Director of Estates Services/Head of Planning and Development	Chief Strategy and Finance Officer	<p>Contracts are led by Estates Services and appointments approved by the Deputy Director of Estates Services or the Head of Planning and Development.</p> <p>Framework agreements are approved by the Director of Estates.</p>	
5.11	Naming of University buildings and spaces	Vice-Chancellor	Vice-Chancellor	University Provost	<p>Vice-Chancellor to approve naming decisions, based on a recommendation brought forward to the Senior Leadership Team from the Provost.</p> <p>Vice-Chancellor to escalate where there is potential for reputational damage.</p> <p>Where approved, the agreed name to be notified prior to any announcement of the name/to the next available meeting of Council.</p>	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
6.	APPOINTMENTS AND STAFFING					
6.1	Appointment of Executive Deans	Appointment Panel	Appointment Panel	Vice-Chancellor / Deputy Vice-Chancellor / Chief People Officer	The Executive Deans to be appointed by a panel especially established for that purpose by the Vice-Chancellor / Deputy Vice-Chancellor and including Senate and Council representation and such other person as the Vice-Chancellor / Deputy Vice-Chancellor should determine. Appointments to be notified to the Council on acceptance. The Panel to be chaired by the Vice-Chancellor / Deputy Vice-Chancellor.	
6.2	Appointment of Professional Services Directors.	Appointment Panel	Chief People Officer	Relevant Senior Leadership Team Lead	Professional Services Directors to be appointed by a panel which would normally comprise the portfolio lead from the Senior Leadership Team, a senior member of academic staff and such other person(s) as the Chief People Officer should determine.	
6.3	Recruitment of Faculty-based and Professional Services staff	Vice-Chancellor	Strategic Planning Group	Relevant Senior Leadership Team Lead	Vice-Chancellor, through the Strategic Planning Group, to approve requests for funding to support recruitment where required expenditure will fall outside of agreed Establishment. The relevant Senior Leadership Team Lead does not require formal approvals in relation to recruitment within their agreed Establishment.	
6.4	Area/Staff Restructuring Exercises	Vice-Chancellor	Strategic Planning Group	Relevant Senior Leadership Team Lead	Vice-Chancellor, through the Strategic Planning Group, to approve requests for funding to support area/staff restructuring exercises where required expenditure will fall outside of agreed Establishment. No formal approvals required in relation to area/staff restructuring exercises within agreed Establishment. Exercises to be undertaken in line with Organisational Structural Change Policy, where applicable.	
6.5	Remuneration, employment terms and conditions and performance of the Vice-Chancellor	People Committee	People Committee	Chief People Officer	People Committee to determine on appointment, and review at least annually, the remuneration and employment terms and conditions of the Vice-Chancellor. People Committee also to monitor, on an annual basis, the Vice-Chancellor's performance against approved key objectives, informed by a report prepared by the Chair of Council.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
6.6	Vice-Chancellor – Extra Contractual Appointments	People Committee	People Committee	Chief People Officer	People Committee to consider and approve requests from the Vice-Chancellor in relation to the acceptance of any extra-contractual appointments, and to determine in which cases it would be appropriate for the related remuneration to be retained.	
6.7	Remuneration and employment terms and conditions of members of the Vice-Chancellor's Executive Group	People Committee	People Committee	Chief People Officer	People Committee to determine on appointment, and to review annually, informed by appropriate recommendations from the Vice-Chancellor, the remuneration and employment terms and conditions of members of the Vice-Chancellor's Executive Group. People Committee to also receive an annual report detailing the expenses paid to the Vice-Chancellor and other members of the Vice-Chancellor's Executive Group during the course of the previous academic year.	
6.8	Approval of recruitment and retention measures for senior staff, outside of the published salary scales	Vice-Chancellor	Chief People Officer	Chief People Officer	Vice-Chancellor to approve, informed by a recommendation from the Chief People Officer, recruitment and retention measures for senior staff (Professor/Grade 10 and above), outside of the published salary scales.	
6.9	Severance Arrangements	People Committee	People Committee	Vice-Chancellor / Chief People Officer	People Committee to consider and approve any severance arrangements for staff earning £100,000 FTE (excluding on costs) or more per annum, in the context of specific guidance from the University's sponsoring Department and the NI Charity Commission.	
6.10	Pension Provision Arrangements	Council	Resources Committee	Chief People Officer	Council to take any required decisions in respect of the University's continued involvement in either of its pension schemes, based on a recommendation from the Resources Committee.	
6.11	Oversight of pension provision arrangements for all employees	Council	Resources Committee	Chief People Officer / Chief Strategy and Finance Officer	Resources Committee to advise Council on pension matters as appropriate. Chief Strategy and Finance Officer to manage day-to-day superannuation matters.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
6.12	Development of significant policies and policy updates underpinning the Statement of Main Terms and Conditions (contract of employment)	Vice-Chancellor	People Committee	Chief People Officer	People Committee to provide advice to the University during the development of significant policies and policy updates underpinning the Statement of the Main Terms and Conditions. Consideration to also be based on a recommendation from the Vice-Chancellor/Chief People Officer, informed by discussion at the Senior Leadership Team.	
6.13	Approval to undertake outside consultancy work	PVC Research / Executive Dean / Chief People Officer	Executive Dean	PVC Research/ Chief People Officer	Executive Dean to consider and approve requests to undertake outside consultancy work. Deputy Vice-Chancellor to consider and approve requests to undertake external consultancy work where this relates to an Executive Dean. All requests falling outside the scope of the Consultancy Policy to be considered, and where appropriate approved, by the Chief People Officer in consultation with the relevant executive line manager.	
6.14	Legal cases involving significant employment matters, including those with the potential to impact the University's reputation.	People Committee	Vice-Chancellor	Chief People Officer	People Committee to receive periodic summary reports on legal cases involving significant employment matters.	
		Audit and Risk Committee	Vice-Chancellor	Chief People Officer/ University Secretary	Audit and Risk Committee to receive periodic summary reports on employment legal cases with the potential to impact the University's reputation.	
		Council	Chair of Council	Chief People Officer/ University Secretary	Legal cases involving the Vice-Chancellor or members of Council should be referred to the Chief People Officer/University Secretary who will liaise with the Chair of Council in determining how these should be addressed.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
7.	ACADEMIC AND STUDENT MATTERS					
7.1	Academic Oversight	Senate	Vice-Chancellor	Vice-Chancellor	Senate is supreme academic authority as enshrined in the Charter, Statutes and Ordinances.	
7.2	Approval of the Annual Assurance Report on Academic Quality, as part of the University's wider Annual Accountability Return	Council	Senate Audit and Risk Committee	PVC Academic Quality and the Student Experience	Council to approve the Annual Assurance Report on Academic Quality, as part of its wider Annual Accountability Return to the Department for the Economy. Report to be considered first by Senate and then by the Audit and Risk Committee en route to Council.	
7.3	Academic Oversight of the Academic Plan	Senate	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and the Student Experience	Senate to provide academic oversight of the Academic Plan and to include related assurances - particularly in relation to the University's capacity to run programmes - in the Annual Assurance Report.	
7.4	Development and approval of the Academic Plan	Vice-Chancellor	Deputy Vice-Chancellor	Deputy Vice-Chancellor	Vice-Chancellor to approve the Academic Plan, informed by a recommendation from the Academic Planning Group, chaired by the Deputy Vice-Chancellor.	
7.5	Approval of the Strategy for Learning and Teaching Enhancement	Senate	Learning and Teaching Committee	PVC Academic Quality and Student Experience	Senate to approve, informed by appropriate recommendations from the Learning and Teaching Committee, strategies focussed on the enhancement of learning and teaching.	
7.6	Approval of Admissions Policy	Senate	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and Student Experience	Senate to approve the Admissions Policy and any subsequent amendments, informed by appropriate recommendations from the Academic Standards and Quality Enhancement Committee.	
7.7	Admission of taught students (where discretion is needed)	Executive Dean	Associate Dean (Education)	Executive Dean	Decisions to be made in line with the Admissions Policy. Where discretion is required, final decisions to be made by the Executive Dean or Associate Dean (Education).	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
7.8	Consideration of complaints from applicants regarding the admission of taught students	Deputy Vice-Chancellor	Director of Student Administration	Deputy Vice-Chancellor	Director of Student Administration to manage complaint and appeals stages from applicants in line with the Admissions Complaints Procedure .	
7.9	Admission of research students	Doctoral College Board	Dean of Doctoral College	PVC Research Board	The Doctoral College Board, on behalf of Senate, to determine policy on admission to research study.	
7.10	Consideration of complaints regarding the admission of research students	PVC Research	Dean of Doctoral College	PVC Research	The Doctoral College to manage complaint and appeal stages in line with the Appeals Procedure for Unsuccessful Applicants .	
7.11	Approval of the institution of Fellowships, Studentships, Exhibitions, Bursaries, Prizes and other aids to study and research.	Academic Standards and Quality Enhancement Committee /Research and Impact Committee	Academic Standards and Quality Enhancement Committee/Research and Impact Committee	PVC Academic Quality and Student Experience / PVC Research	Academic Standards and Quality Enhancement Committee/Research and Impact Committee to approve the institution of Fellowships, Studentships, Exhibitions, Bursaries, Prizes and other aids to study and research.	
7.12	Award of bursaries and scholarships in line with the Widening Access and Participation Plan	Vice-Chancellor	Deputy Vice-Chancellor	Deputy Vice-Chancellor	Vice-Chancellor to have final sign off on awards, informed by a recommendation from the Deputy Vice-Chancellor.	
7.13	Prizes awarded by Senate.	Boards of Examiners/ Prize Panel	Boards of Examiners/ Prize Panel	Executive Dean	Boards of Examiners/Prize Panel to agree the award of prizes under delegated authority from Senate.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
7.14	Approval of new courses and reapproval of existing courses.	Senate	Academic Standards and Quality Enhancement Committee/Academic Planning Advisory Group	PVC Academic Quality and Student Experience	Senate to approve new and reapprove existing courses, informed by appropriate recommendations from the Academic Standards and Quality Enhancement Committee and the Academic Planning Advisory Group.	
7.15	Approval of course closures.	Executive Lead for Academic Planning (Deputy Vice-Chancellor)	Executive Dean	Executive Dean	Deputy Vice-Chancellor to approve course closures following consultation with the Senior Leadership Team, informed by a recommendation from the relevant Executive Dean. Senate to be informed of any such decisions, together with the justification.	
7.16	Approval of proposals for the planning of new and revalidated programmes and revision to course titles, modes of attendance, or study.	Academic Standards and Quality Enhancement Committee	Academic Standards and Quality Enhancement Committee /Academic Planning Advisory Group	PVC Academic Quality and Student Experience	Academic Standards and Quality Enhancement Committee to approve proposals for the planning of new programmes and revisions to course titles, modes of attendance, or study.	
7.17	Approval of proposals for the relocation of courses/ programmes to other campuses.	Vice-Chancellor/ SLT	Vice-Chancellor	Deputy Vice-Chancellor	Vice-Chancellor to approve the business justification supporting proposals for the relocation of courses / programmes to other campuses, based on consultation with the Senior Leadership Team.	
		Senate	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and Student Experience	Senate to approve the arrangements being put in place to ensure the maintenance of academic quality across courses and programmes in advance of any such relocation.	
7.18	Approval of the policies and processes relating to the evaluation, monitoring and revalidation of, and revision to taught course provision.	Senate	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and Student Experience.	Senate to approve the policy and processes relating to evaluation, monitoring and revalidation of, and revision to taught course provision.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
7.19	Approval of arrangements in relation to enhancement, equity and success affecting enrolled students and programmes (Access, Participation and Student Success).	Senate	Learning and Teaching Committee	PVC Academic Quality and Student Experience	Senate to approve, informed by a recommendation from the Learning and Teaching Committee, arrangements in relation to enhancement, equity and success affecting enrolled students and programmes.	
7.20	Approval of general regulations and changes to regulations relating to taught and research programmes.	Senate	Senate	PVC Academic Quality and Student Experience, following consultation with the PVC Research where appropriate.	The Secretary to Senate to be responsible for updating the Regulations document in line with Senate decisions.	
7.21	Approval of arrangements for the pastoral care, health and wellbeing and welfare of students.	Senate	Learning and Teaching Committee	PVC Academic Quality and Student Experience, following consultation with the PVC Research where appropriate.	Senate to approve, informed by appropriate recommendations from the Learning and Teaching Committee, in consultation with the Doctoral College Board if appropriate, arrangements in relation to the pastoral care, health, wellbeing and welfare of students.	
7.22	Approval of the policy and processes for the conduct of student examinations.	Senate	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and the Student Experience	Senate to approve the policy and processes for the conduct of student examinations.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
7.23	Approval of the arrangements for the preparation/presentation of dissertations for Masters' degrees.	Academic Standards and Quality Enhancement Committee	Academic Standards and Quality Enhancement Committee /Academic Planning Advisory Group	PVC Academic Quality and Student Experience	Academic Standards and Quality Enhancement Committee to approve proposals for the arrangements for the preparation and presentation of dissertations for Masters' degrees.	
7.24	Approval of rules for leave of absence/deregistration of students.	Senate	PVC Academic Quality and Student Experience	PVC Academic Quality and Student Experience/ PVC Research	Senate to approve rules governing leave of absences and the deregistration of students. PVC Academic Quality and Student Experience to approve individual cases, based on a recommendation from the Executive Dean or AD Education (where delegated). PVC Academic Quality and Student Experience to consult with the PVC Research in respect of individual research student cases.	
7.25	Approval of procedures for academic appeals for taught students.	Senate	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and Student Experience	Senate to approve procedures for academic appeals for taught students, informed by a recommendation from the PVC Academic Quality and Student Experience. The Director of Student Administration to manage the SA1 and SA2 Appeals Process.	
7.26	Approval of procedures for academic appeals for research students.	Senate	Senate	PVC Research	Senate to approve procedures for academic appeals for research programmes, informed by a recommendation from the Doctoral College. The Doctoral College to oversee implementation of appeal processes – Appeals against a decision made during an interim assessment. Appeals against decision made at final oral examination.	
7.27	Student Complaints	Vice-Chancellor	School, Department or Service Area	PVC Academic Quality and Student Experience, in consultation with PVC Research in respect of individual research student cases.	Stage 1 - complaints are resolved at a frontline/local level.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
			Executive Dean / Associate Dean / Head of Department	PVC Academic Quality and Student Experience	Stage 2 – complaints managed by Student Complaints Manager	
			Complaints Panel	PVC Academic Quality and Student Experience	Stage 3 – Complaints Panel	
		Senate	PVC Academic Quality and Student Experience	PVC Academic Quality and Student Experience	Senate to receive an annual report on the number and nature of complaints.	
		Council/Audit and Risk Committee	Senate	PVC Academic Quality and Student Experience	Council (through Audit and Risk Committee) to receive an update on complaints handled through the Annual Assurance Report on Academic Quality.	
7.28	Approval of procedures to deal with breaches of academic integrity (plagiarism, contract cheating, cheating in examinations etc.)	Senate	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and Student Experience	Senate to approve procedures informed by a recommendation from the Academic Standards and Quality Enhancement Committee.	
7.29	Approval of procedures to deal with student misconduct.	Council (Ordinance)	Senate	University Secretary	Council to approve procedures to deal with student misconduct.	
7.30	Suspensions or exclusion of students from the University.	Vice-Chancellor / Deputy Vice-Chancellor	Relevant Panel/Appeal Panel	PVC Academic Quality and Student Experience / University Secretary	Vice-Chancellor / Deputy Vice-Chancellor to approve suspensions or exclusions, from the University, of students – for good cause, informed (only where available) by a recommendation from the appropriate Panel and/or Appeal Panel.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
7.31	Approval of the processes through which to determine, revoke, add or amend the schedule of types of awards.	Senate	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and Student Experience	Senate to approve recommendations on the processes through which to determine, revoke, add or amend the schedule of types of awards, informed by a recommendation from the Academic Standards and Quality Enhancement Committee.	
7.32	Approval of the standards and regulatory framework for awards.	Senate	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and Student Experience	Senate to approve the standards and regulatory framework for awards, informed by a recommendation from the Academic Standards and Quality Enhancement Committee.	
7.33	Grant and/or conferral of degrees, diplomas, certificates and other academic distinctions, including those awarded in conjunction with any other institution or institutions (except Honorary Degrees).	Senate	Boards of Examiners	Relevant Executive Dean	Senate to approve recommendations for awards. Boards of Examiners to confirm results and, on behalf of Senate, make progress decisions.	
7.34	Award of Research Degrees	Senate	Doctoral College	PVC Research	Faculty Board to approve following viva, with minutes notified to Doctoral College Board.	
7.35	To grant and/or conferral of Honorary Degrees.	Joint Committee of Council and Senate	Joint Committee of Council and Senate	University Secretary	Joint Committee of Council and Senate to approve Honorary Degree recipients under delegated authority from Senate. Report to be provided to Senate and Council once nominees have agreed to award acceptance, for information.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
7.36	Approval of the formalities relating to the granting of and conferring of degrees and other awards, to include the use of academic dress.	Senate	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and Student Experience	Senate to approve such arrangements, informed a recommendation from the Academic Standards and Quality Enhancement Committee.	
7.37	Approval/Reapproval of partner institutions in accordance with Ordinance XVIII - Recognition of Institutions.	Senate	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and Student Experience	Senate to approve/reapprove partner institutions in accordance with Ordinance XVIII - Recognition of Institutions, informed by a recommendation from the Academic Standards and Quality Enhancement Committee.	
7.38	To approve educational international partnerships supporting the University's vision strategy.	Senate	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and Student Experience	Senate to approve educational international partnerships, informed by the Academic Standards and Quality Enhancement Committee.	
7.39 a	Approval of External Examiners (Taught programmes and MRES)	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and the Student Experience	PVC Academic Quality and the Student Experience	PVC to consider proposals from Faculties in relation to External Examiners.	
7.39 b	Approval of External Examiners (Research Degrees)	Doctoral College Board	Doctoral College Board	PVC Research	Doctoral College Board to consider proposals from Faculties.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
7.40	Approval of proposals from Faculties for the designation of persons, not being members of academic staff, as Recognised University Teachers.	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and the Student Experience	PVC Academic Quality and the Student Experience	PVC to consider proposals from Faculties for the designation of persons not being members of academic staff as Recognised University Teachers.	
7.41	Approval of the organisation of the academic year.	Senate	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and Student Experience	Senate to approve the organisation of the academic year, informed by a recommendation from the Academic Standards and Quality Enhancement Committee	
7.42	Approval for the dates of semesters.	Academic Standards and Quality Enhancement Committee	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and Student Experience	Academic Standards and Quality Enhancement Committee to approve the dates of semesters.	
7.43	Allocation of University accommodation – residential and commercial.	University Provost	Director of Campus Life	University Provost	University Provost to allocate University accommodation – residential and commercial, informed by a recommendation from the Director of Campus Life.	
7.44	Exclusion from University accommodation – residential and commercial.	University Provost	Director of Campus Life	University Provost	University Provost to approve exclusions from accommodation – residential and commercial, informed by a recommendation from Campus Life.	
7.45	Approval of Student Terms and Conditions (the Student Contract)	Vice-Chancellor	PVC Academic Quality and Student Experience	PVC Academic Quality and Student Experience	Vice-Chancellor to approve the Student Terms and Conditions, together with the University's arrangements for compliance with related Competition and Markets Authority requirements, in consultation with the Senior Leadership Team.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
8.	RESEARCH AND IMPACT					
8.1	Research Strategy	Senate	Research and Impact Committee	Pro-Vice-Chancellor Research	Senate to consider and approve the Research Strategy, based on a recommendation from the Research & Impact Committee. Research and Impact Committee to oversee delivery against agreed priorities within the Strategy.	
8.2	Ethical Approval for Research	Senate	Research & Impact Committee	Pro-Vice-Chancellor Research	<p>Senate to have oversight of Research matters – to include the implementation of the University’s arrangements for the ethical approval of research.</p> <p>Research Governance Steering Committee to consider, approve and oversee policies, processes and arrangements governing the ethical approval of research activity.</p> <p>Research Governance Office to oversee the implementation of same.</p> <p>Faculty Filter Committees to consider and categorise individual applications relating to the ethical approval of research and to approve those deemed as Category A – low risk. Applications deemed to be in Categories B and D to be escalated for approval to the University’s Research Ethics Committee (UREC). Those in Category C to be escalated to the NHS Ethics Committee for external approval, with Research Governance Office undertaking sponsorship role, in line with regulatory requirements.</p>	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
8.3	Human Tissue Act (covering the use of human tissue samples in research)	Senate	Research & Impact Committee	Pro-Vice-Chancellor Research (HT Licence Holder)	<p>Senate to have oversight of Research matters - to include the implementation of the University's arrangements for compliance with the Human Tissue Act legislation.</p> <p>Research Governance Steering Committee to consider, approve and oversee policies, procedures and arrangements governing the University's compliance with the Human Tissue Act. Research Governance Office to oversee the implementation of same.</p> <p>Faculty Filter Committees to consider and categorise individual applications relating to the use of human tissue and to approve those deemed as Category A – low risk. Applications deemed to be in Categories B and D to be escalated for approval to the University's Research Ethics Committee (UREC). Those in Category C to be escalated to the NHS Ethics Committee for external approval.</p> <p>The Human Tissue Act Working Group, reporting to Research Governance Steering Committee, to meet twice a year to review and resolve matters associated with the University's licence from the Human Tissue Authority, including revisions to standard operating procedures.</p>	
8.4	Research Integrity	Senate	Research & Impact Committee	Pro-Vice-Chancellor Research	<p>Senate to have oversight of Research matters - to include the Research Integrity Activity Annual Statement/Annual Statement of Compliance with the Concordat to Support Research Integrity.</p> <p>Research Governance Steering Committee to consider, approve and oversee policies, procedures and arrangements governing research integrity. Research Governance Office to oversee the implementation of same.</p>	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
8.5	Animal Scientific Procedures Act	Senate	Research & Impact Committee	Pro-Vice-Chancellor Research (HT Licence Holder)	Senate to have oversight of Research matters - to include the implementation of the University's arrangements for compliance with the Animal Scientific Procedures Act. Research Governance Steering Committee to consider, approve and oversee policies, procedures and arrangements governing the University's compliance with the Act. Animal Welfare Ethical Review Body (AWERB) and Department of Health Animal Welfare Inspector to approve all animal licence applications/ amendments prior to activity commencing, in line with nationally agreed processes.	
8.6	Approval of Research policies	Senate	Research & Impact Committee	Pro-Vice-Chancellor Research	Senate to consider and approve research related policies, based on a recommendation from the Research & Impact Committee.	
8.7	Research Misconduct – Policies and Procedures	Senate	Research & Impact Committee / Research Governance Steering Committee	Pro-Vice-Chancellor Research	Senate to consider and approve the policies and procedures underpinning Research Misconduct. Approval to be based on a recommendation from the Research and Impact Committee, informed by a report from the Research Governance Steering Committee.	
8.8	Research Misconduct – Investigations	Deputy Vice-Chancellor	Pro-Vice-Chancellor Research	Pro-Vice-Chancellor Research	Allegations to be made to the Named Person (Deputy Vice-Chancellor) who will then determine the route of any investigation, guided by the procedures.	
8.9	Research Governance	Council	Senate	Pro-Vice-Chancellor Research	Council to receive an annual report, providing the requisite assurances on the University's arrangements for research governance – to include those referenced in 8.2 to 8.8 above.	
8.10	Research Excellence Framework (REF)	Vice-Chancellor	Senate / Research & Impact Committee	Pro-Vice-Chancellor Research	Vice-Chancellor to approve the REF Return for submission on behalf of the institution, in consultation with Senate. The REF Steering Committee, reporting to the Research and Impact Committee, to provide oversight in the development of the next REF Code of Practice.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
8.11	The Higher Education Business and Community Interaction Survey.	Vice-Chancellor	Research & Impact Committee	Pro-Vice-Chancellor Research	Vice-Chancellor to approve the Higher Education Business and Community Interaction Survey for submission on behalf of the institution, informed by discussion at a meeting of the Research and Impact Committee	
8.12	Approval of applications for research grants and contracts	Pro-Vice-Chancellor Research	Authorised Officers (depending on level of award)	Pro-Vice-Chancellor Research	<p>Applications to be approved via the Pre-Award Bid Approval and Bid Submission Process in the appropriate research management system.</p> <p>Where the Funder stipulates that an application be signed off by a specific individual, the Funder's stipulation for approval to be followed. In the absence of such stipulations, the following Authorised Officers to approve research grant applications:</p> <p><u>Bid Approval</u></p> <ul style="list-style-type: none"> • PVC Research • Executive Dean • Associate Dean for Research & Impact • Head of School • Research Director <p><u>Bid Submission</u></p> <ul style="list-style-type: none"> • PVC Research • Director of Research & Impact • Head of Research Development • Research Development Managers <p>As part of the Bid Approval Process, any waiver of, or reduction in, overheads must be approved in writing by both the relevant Associate Dean for Research and Impact <u>and</u> the PVC Research. Any University match funding must be approved by the Associate Dean for Research and Impact at the Bid Development stage.</p>	<p>Limits for Approval (Bid Submission):</p> <p>< £1m Research Development Managers or Head of Research Development</p> <p>£1m - £5m Director of Research & Impact</p> <p>> £5m PVC Research bringing to SLT for information</p>

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
8.13	Acceptance of Research Grants and Contracts	Pro-Vice-Chancellor Research	Authorised Officers (depending on level of award)	Pro-Vice-Chancellor Research	<p>Where Funder stipulates that a contract be signed off by a specific individual, the Funder's stipulation for approval to be followed.</p> <p>Where not, the following approval delegations to be followed: Following Authorised Officers authorised in the sign off of research contracts and acceptance of research awards:</p> <ul style="list-style-type: none"> • Head of Research Management – < £1m • Director of Research & Impact - £1m to £5m • PVC Research, in consultation with the SLT > £5m 	<p>Head of Research Management – < £1m</p> <p>Director of Research & Impact - £1m to £5m</p> <p>PVC Research, in consultation with the SLT > £5m</p>
8.14	Review and acceptance of legal and contractual documents relating to research and impact	Pro-Vice-Chancellor Research	Director of Research and Impact	Pro-Vice-Chancellor Research	PVC/Director of Research and Impact (or stated nominee) to sign legal and contractual documents relating to research and impact, to include non-disclosure agreements, collaborative research agreements, material transfer agreements and consultancy contracts.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
9.	RELATED ENTITIES					
9.1	Establishment of Subsidiary Companies and Joint Ventures	Council	Resources Committee	Chief Strategy and Finance Officer	Council to approve the establishment of Subsidiary Companies and legal Joint Ventures, following consideration by the Resources Committee.	
9.2	Subsidiary Companies – Approval for Funding Support	Resources Committee	Relevant Board / Committee	PVC Research/ Chief Strategy and Finance Officer	Resources Committee to consider and approve funding requests for subsidiary companies, based on a recommendation from the relevant Board/University Committee and supported by the PVC Research and the Chief Strategy and Finance Officer.	
9.3	Subsidiary Companies – Approval of Financial Statements	Audit and Risk Committee	Relevant Board / Committee	Chief Strategy and Finance Officer	<p>Audit and Risk Committee to consider and approve the Financial Statements of subsidiary companies, together with the related Report of the External Auditor, prior to their inclusion within the University's accounts.</p> <p>Such consideration to be supported by a recommendation from the relevant Board/ Committee and supported by the Chief Strategy and Finance Officer.</p> <p>At the Chairs' discretion, the signing of the Financial Statements to be supported by a joint meeting between the Chairs of the Resources and Audit and Risk Committees and the External Auditors. Reference to any such meeting to be included in the minutes of the next scheduled meeting of each Committee.</p>	
9.4	Approval of Governance Arrangements – wholly owned subsidiaries of the University.	Resources Committee	IUL Board	University Secretary	Resources Committee to consider, approve and keep under review the governance arrangements of IUL and Studio Ulster.	
9.5	Approval - Appointments to the Boards of the IUL's portfolio companies.	IUL Board	PVC Research	PVC Research	<p>IUL Board to appoint University representatives and independent members to the boards of IUL portfolio companies.</p> <p>Representatives of other shareholders to be appointed by the relevant shareholder.</p>	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
9.6	Approval of establishment of spin-out companies.	IUL Board	PVC Research	PVC Research	IUL Board to approve the establishment of spin-out companies.	
9.7	Cash investment into spin-out companies.	IUL Board	PVC Research	PVC Research	IUL Board to approve cash investments into spin-out companies, based on a recommendation from the PVC Research. In exceptional circumstances, PVC Research to be authorised to make investments of up to £15k into IUL Portfolio Companies without Board approval, with any such approvals to be notified at the next available meeting of the IUL Board.	
9.8	Approval of sale of equity in IUL	Council	Resources Committee	Pro-Vice-Chancellor Research	Council to approve the sale of equity in IUL, based on a recommendation from Resources Committee.	
9.9	Approval of sale of equity or shares in IUL Portfolio companies.	IUL Board	Pro-Vice-Chancellor Research	Pro-Vice-Chancellor Research	IUL to approve the sale of equity in IUL Portfolio companies, based on a recommendation from the PVC Research.	
9.10	Sale or licencing of IP from IUL Portfolio Companies	IUL Board	Pro-Vice-Chancellor Research	Pro-Vice-Chancellor Research	IUL Board to approve the sale or licencing of IP, based on a recommendation from the PVC Research.	
9.11	Power of Attorney relating to Intellectual Property Matters (and closely related matters, such as spin-out companies and licencing).	IUL Board	Pro Pro-Vice-Chancellor Research	Pro-Vice-Chancellor Research	PVC Research to be awarded power of attorney relating to Intellectual Property Matters (and closely related matters, such as spin-out companies and licencing).	
9.12	Intellectual Property Assignment	Vice-Chancellor	Pro-Vice-Chancellor Research	Pro-Vice-Chancellor Research	PVC Research to assign IP from Ulster University to IUL, in consultation with the Vice-Chancellor.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
10.	COLLABORATIVE AGREEMENTS					
10.1	Establishment of overseas campuses leading to an award of the University.	Council	Vice-Chancellor	Deputy Vice-Chancellor / PVC Academic Quality and Student Experience	<p>Council to approve the establishment of overseas campuses leading to an award of the University.</p> <p>Business case to be prepared for each proposal which, following due diligence, should be endorsed by the SLT prior to Council consideration.</p> <p>Deputy Vice-Chancellor to oversee business considerations/PVC Academic Quality and Student Experience to oversee academic considerations.</p>	
10.2	General global partnerships and other international activity, that will not lead to an award overseas	Vice-Chancellor	Deputy Vice-Chancellor	Deputy Vice-Chancellor	Deputy Vice-Chancellor to approve partnerships (MoAs/MoUs), for international activity that will not lead to an award overseas, following appropriate consultation with the Vice-Chancellor/Senior Leadership Team.	
10.3	Approval of educational institutions recognised by the University for the purpose of offering a course. (Collaborative Teaching Agreement).	Senate	PVC Academic Quality and Student Experience	PVC Academic Quality and Student Experience	<p>Senate to approve educational institutions recognised by the University for the purpose of offering a course (Collaborative Teaching Agreement).</p> <p>Business case must be prepared for each proposal. Process normally initiated by Faculty Boards to the Senior Leadership Team.</p> <p>Academic Standards and Quality Enhancement Committee will recommend institutions for recognition/re-recognition under process for Approval and Reapproval of Institutions.</p>	
10.4	Approval for the establishment of joint award arrangements with UK and non-UK institutions.	Senate	Academic Standards and Quality Enhancement Committee	PVC Academic Quality and Student Experience / PVC Research	<p>Senate to approve the establishment of joint award arrangements with UK and non-UK institutions. Business case to be prepared for each proposal.</p> <p>Academic Standards and Quality Enhancement Committee to approve planning and give final approval to the course.</p> <p>Business case to be prepared for each proposal and brought to the Senior Leadership Team, with a recommendation from the Deputy Vice-Chancellor.</p>	

Schedule to Ordinance XXIII

RECOGNITION OF INSTITUTIONS FOR THE PURPOSE OF OFFERING APPROVED PROGRAMMES OF STUDY LEADING TO UNIVERSITY AWARDS (from 2023/24) (as at 04 September 2023)

EDUCATIONAL INSTITUTION (CAMPUS)	APPROVED PROGRAMME OF STUDY
BELFAST METROPOLITAN COLLEGE	
Gerald Moag (Millfield)	Access Diploma in Computing for the Economy Access Diploma in Mathematics and Finance Access Diploma in Mathematics and Physics Certificate in Counselling Studies CertHE Combined Social and Behavioural Sciences CertHE Humanities FdSc Architectural Technology FdEng Civil Engineering FdSc Computing FdSc Construction Engineering with Surveying FdSc Integrative Counselling Practice FdSc Health and Social Care FdSc Property, Housing and Planning
Titanic Quarter	CertHE Tour Guiding AdvCert Management Practice FdSc Accounting FdSc Event Management FdSc Hospitality and Tourism Management (with specialisms) FdSc Marketing
CITY UNIVERSITY COLLEGE	
Doha, Qatar	Diploma in International Foundation Studies (BAHSS Pathway) Diploma in International Foundation Studies (STE Pathway) BEng Hons Artificial Intelligence BSc Hons Business Analytics BSc Hons Business Studies BSc Hons Business with Computing BSc Hons Computer Science MEd Education (with specialisms) MSc Marketing MSc Management Master of Business Administration

EDUCATIONAL INSTITUTION (CAMPUS)	APPROVED PROGRAMME OF STUDY
COLLEGE OF AGRICULTURE, FOOD AND RURAL ENTERPRISE	
Enniskillen	CertHE Equine Science and Management FdSc Equine Management BSc Hons Equine Management
Greenmount	FdSc Agriculture and Technology FdSc Horticulture (with three specialisms – Landscape Management, Sports Turf Management and Production Management) BSc Hons Horticulture BSc Hons Sustainable Agriculture (with pathways in Land Management and Agri-Business)
Loughry	FdSc Food Manufacture and Nutrition FdSc Food and Drink Manufacture BSc Hons Food and Drink Manufacture BSc Hons Food Innovation and Nutrition BSc Hons Food Business Management BSc Hons Food Technology
COLLEGE OF HEALTH	
Abingdon	Access Diploma in Health GradCert Animal Therapy MChiro (Hons) Chiropractic MSc Animal Manipulation (Chiropractic) MSc Animal Manipulation (Osteopathy) MSc Chiropractic (Advanced Practice) MSc Chiropractic (Paediatrics) MVetChiro Hons Veterinary Chiropractic
Madrid	MChiro (Hons) Chiropractic
Hong Kong	MChiro (Hons) Chiropractic
HEALTH AND SOCIAL CARE LEADERSHIP CENTRE	
	Postgraduate Diploma in Health and Social Care Management
NORTHERN IRELAND AMBULANCE SERVICES HEALTH AND SOCIAL CARE TRUST	
Knockbracken Healthcare Park, Belfast	FdSc Paramedic Practice
NORTHERN IRELAND PRISON SERVICE PRISON TRAINING COLLEGE	
Hydebank Wood, Belfast	Certificate in Custody Prison Officer Practice

EDUCATIONAL INSTITUTION (CAMPUS)	APPROVED PROGRAMME OF STUDY
NORTHERN REGIONAL COLLEGE	
Ballymena	Access Diploma in Social Science Certificate in Counselling Studies FdSc Architectural Technology FdSc Business Management FdSc Computing FdSc Construction Engineering with Surveying FdSc Integrative Counselling Practice FdEng Electrical and Electronic Engineering FdSc Health and Social Care
Coleraine	Access Diploma in Social Science FdSc Architectural Technology FdSc Business Management Sciences FdSc Construction Engineering with Surveying FdSc Sport, Coaching and Fitness (also at Jordanstown Sports Village Outcentre)
Magherafelt	Access Diploma in Social Science Certificate in Counselling Studies
Newtownabbey	Access Diploma in Social Science FdSc Business Management FdSc Computing FdSc Health and Social Care FdSc Logistics and Supply Chain
NORTH WEST REGIONAL COLLEGE	
Limavady	Access Diploma in Combined Studies Certificate in Counselling Studies FdSc Integrative Counselling Practice
Derry/Londonderry (Strand Road)	Access Diploma in Combined Studies Access Diploma in Science Certificate in Counselling Studies FdSc Applied and Medical Sciences FdSc Business and Enterprise FdSc Computing FdSc Integrative Counselling Practice FdEng Electrical and Electronic Engineering FdSc Health and Social Care FdSc Hospitality and Tourism Management (with specialisms) FdSc FinTech FdEng Mechanical Engineering FdSc Software Development FdSc Sport, Coaching and Fitness

EDUCATIONAL INSTITUTION (CAMPUS)	APPROVED PROGRAMME OF STUDY
PSNI POLICE COLLEGE	
	Advanced Diploma in Intelligence Practice Advanced Diploma in Policing Advanced Diploma in Professional Teaching
QAHE	
Birmingham	Graduate Certificate in Business MSc International Business MSc International Business (Extended Master's) MSc Marketing MSc Marketing (Extended Master's)
London	BSc Hons Accounting with Management BSc Hons Computing Systems Graduate Certificate in Business Master of Business Administration MSc International Business MSc International Business (Extended Master's) MSc Marketing MSc Marketing (Extended Master's) MSc Strategic Accounting
SOUTHERN REGIONAL COLLEGE	
Armagh	Access Diploma in Adult Learning (with two pathways – Public Health and Science)
Banbridge	Certificate in Counselling Studies FdSc Integrative Counselling Practice FdSc Health and Social Care
Newry	Access Diploma in Adult Learning (with three pathways – Public Health, Science and Arts and Humanities) Certificate in Counselling Studies FdSc Applied Industrial Sciences (Chemical Sciences) FdSc Applied Industrial Sciences (Life Sciences) FdSc Computing FdSc FinTech FdSc Health and Social Care FdSc Hospitality and Tourism Management (with specialisms) FdSc Integrative Counselling Practice FdSc Sport, Coaching and Fitness
Portadown	Access Diploma in Adult Learning (with two pathways – Public Health and Science) FdSc Computing

EDUCATIONAL INSTITUTION (CAMPUS)	APPROVED PROGRAMME OF STUDY
SOUTH EASTERN REGIONAL COLLEGE	
Bangor	FdSc Computing FdSc Hospitality and Tourism Management (with specialisms) FdEng Mechatronic Engineering FdSc Sport, Coaching and Fitness
Downpatrick	FdSc Computing
Lisburn	Certificate in Counselling Studies FdSc Computing FdSc Integrative Counselling Practice FdEng Mechatronic Engineering FdSc Sport, Coaching and Fitness
SOUTH WEST COLLEGE	
Dungannon	Access Diploma in Social Sciences Certificate in Counselling Studies FdSc Applied and Medical Sciences FdSc Business Management FdSc Computing FdSc Construction Engineering with Surveying FdEng Engineering (with specialisms – Manufacturing Engineering, Mechatronic Engineering) FdSc Health and Social Care BSc Hons Social Work (Levels 4 and 5)
Enniskillen	Access Diploma in Social Sciences and Humanities Certificate in Counselling Studies FdSc Applied and Medical Sciences FdSc Business Management FdSc Computing FdSc Construction Engineering with Surveying FdSc Health and Social Care FdSc Hospitality and Tourism Management (with specialisms)
Omagh	Access Diploma in Social Sciences Certificate in Counselling Studies FdEng Engineering (with specialisms – Manufacturing Engineering, Mechatronic Engineering) FdSc Architectural Technology FdSc Business Management FdEng Civil Engineering FdSc Computing FdSc Construction Engineering with Surveying FdSc Health and Social Care FdSc Integrative Counselling Practice

EDUCATIONAL INSTITUTION (CAMPUS)	APPROVED PROGRAMME OF STUDY
UNIVERSITY OF HONG KONG SCHOOL OF PROFESSIONAL AND CONTINUING EDUCATION	
	BEng Hons Energy and Building Services Engineering (Levels 5 and 6) BSc Hons Food and Nutrition Postgraduate Diploma/MSc Dietetics Postgraduate Diploma/MSc Human Nutrition MSc Artificial Intelligence MSc Internet of Things MSc Sport and Exercise Nutrition
WESTERN HEALTH AND SOCIAL CARE TRUST	
	Postgraduate Diploma in Health and Social Care Management

Schedule to Ordinance XXIV

DEGREES

- Associate Bachelor's degree (AB)
- Foundation degree in Arts (FdA)
- Foundation degree in Engineering (FdEng)
- Foundation degree in Science (FDSc)
- Bachelor of Arts (BA)
- Bachelor of Design (BDes)
- Bachelor of Engineering (BEng)
- Bachelor of Laws (LLB)
- Bachelor of Medicine, Bachelor of Surgery (MBBS)
- Bachelor of Music (BMus)
- Bachelor of Science (BSc)
- Master of Architecture (MArch)
- Master of Arts (MA)
- Master of Biomedical Science (MBiomedSci)
- Master of Business Administration (MBA)
- Master of Chiropractic (MChiro)
- Master of Design (MDes)
- Master of Education (MEd)
- Master of Engineering (MEng)
- Master of Fine Art (MFA)
- Master of Landscape Architecture (MLA)
- Master of Laws (LLM)
- Master of Medical Science (MMedSc)
- Master of Music (MMus)
- Master of Optometry (MOptom)
- Master of Pharmacy (MPharm)
- Master of Philosophy (MPhil)
- Master of Public Administration (MPA)
- Master of Research (MRes)
- Master of Science (MSc)
- Master of Science (MSci)
- Master of Veterinary Chiropractic (MVetChiro)
- Doctor of Medicine (MD)
- Doctor of Philosophy (PhD)
- Doctor of Philosophy by Published Work (PhD by Published Work)

DIPLOMAS

- Access Diploma (AccDip)
- Diploma (Dip)
- Advanced Diploma (AdvDip)
- Graduate Diploma (GradDip)
- Postgraduate Diploma (PgDip)

CERTIFICATES

- Certificate of Personal and Professional Development
- Certificate (Cert)
- Certificate of Higher Education (CertHE)
- Advanced Certificate (AdvCert)
- Graduate Certificate (GradCert)

- Postgraduate Certificate (PgCert)
- Postgraduate Certificate of Professional Development
- Postgraduate Certificate of Education (PGCE)

JOINT AWARDS

- Atlantic Technological University (Sligo):
 - BSc Hons Applied Medical Sciences
- Atlantic Technological University (Donegal):
 - MSc Innovation Management in the Public Service
- University College Dublin (NUI):
 - Postgraduate Certificate in Veterinary Public Health
 - Postgraduate Certificate in Food Regulatory Affairs
 - Postgraduate Diploma in Food Regulatory Affairs
 - Master of Science in Food Regulatory Affairs
 - Postgraduate Diploma in Food Regulatory Affairs (Veterinary Public Health)
 - Master of Science in Food Regulatory Affairs (Veterinary Public Health)
- Jordan University of Science and Technology (JUST):
 - Doctor of Philosophy
- University Pierre et Marie Curie Sorbonne
 - PhD co-tutelle

Schedule A to Ordinance XXXVI

REPORTING OF CRIMINAL CONVICTIONS / ALLEGATIONS OF CRIMINAL ACTIVITY

DECLARATION OF CRIMINAL CONVICTIONS

The University acknowledges the key role of education in the rehabilitative process and a criminal record will not normally preclude an applicant from being offered a place at the University. Some courses are, however, exempt from the Rehabilitation of Offenders (Northern Ireland) Order 1978 and applicants are required to disclose all Spent Convictions and Unspent Convictions at the point of application. If a course is exempt from the Rehabilitation of Offenders (Northern Ireland) Order 1978, the prospective student/student will be asked to disclose any convictions and obtain a satisfactory Disclosure and Barring Service Check. Failure to disclose could jeopardise enrolment status.

For all other courses that are not exempt from Rehabilitation of Offenders (Northern Ireland) Order 1978, students will be informed, once their place has been confirmed, that if they have any Unspent Convictions for relevant offence(s), or if they are under investigation for a relevant offence, or if during the course of their studies they are convicted of a relevant offence or become subject to an investigation for a relevant offence, that they need to disclose this to the University. For the avoidance of any doubt, a relevant offence is a criminal offence involving any of the following:

- a. Any act of violence against a person for example (but not limited to); murder, manslaughter, grievous bodily harm, actual bodily harm, wounding, common law assault, common law battery.
- b. Misuse of drugs, including (but not limited to) possession of controlled drugs, possession of controlled drugs with the intention to supply, production of controlled drugs or cultivation of cannabis plant(s);
- c. Any offence listed in the Sexual Offences (Northern Ireland) Order 2008 (or equivalent legislation for offences committed/convictions acquired outside the UK) including (but not limited to) sexual assault, rape, assault by penetration, trafficking for sexual exploitation and any sexual offences involving children and vulnerable adults;
- d. Weapons, arson and explosives.
- e. Any offence listed in the Terrorism (Northern Ireland) Act 2006 (or equivalent legislation for offences committed/convictions acquired outside the UK) which includes (but is not limited to) membership, support or meeting of proscribed organisations, fundraising for terrorism, unlawful collection of information for terrorist purposes;
- f. A Non-Molestation Order or an Order under the Protection from Harassment Order (Northern Ireland) 1997 (or equivalent legislation for offences committed/convictions acquired outside the UK), in which the complainant is a member of the University, or an Anti-Social Behaviour Order or a Sexual Offences Prevention Order;
- g. Spiking, stalking or harassment;
- h. Any aggravating factor of hate, including offences where the perpetrators hostility or prejudice against person or property is on the grounds of the victim's ethnicity; sexual orientation; gender identity; religion; political opinion; and/or disability; and/or where a victim's vulnerability was an aggravating factor. For example, where it is perceived that the perpetrator has been motivated by the vulnerability of the victim for example age, infirmity, or mental capacity.

If a conviction involved an offence similar to those as set out above or which would constitute an offence if it had been committed in Northern Ireland, but was an offence committed outside of Northern Ireland, and conviction for that offence would not be considered spent under the Rehabilitation of Offenders (Northern Ireland) Order 1978, students and prospective students are therefore still obligated declare it.

Declaration of Criminal Investigation or Conviction(s) for Existing Students

Students who become subject to a criminal investigation, proceedings or receive a criminal conviction for a relevant offence(s) after Registration or re-enrolment and before graduation must disclose details to the Student Academic Affairs Team by emailing saat@ulster.ac.uk as soon as reasonably practicable (and no longer than 5 days), after being notified that this is the case. This includes (but is not limited to):

- Being subject to police investigation and/or subject to pre-charge, police or court bail conditions for a relevant offence.
- Being summonsed in relation to a relevant offence; or
- Being enrolled on a Course covered by the Fitness to Practise Procedure and being subject to police investigation and/or pre-charge or court bail conditions or acquire a criminal record, after admission and before graduation, relating to any criminal offence.
- Being subject to a non-molestation order, protection from harassment or stalking order, or another similar injunction.

In relation to the above, if the relevant criminal / civil proceedings or injunctions acquired relate to matters that occurred outside of Northern Ireland, students remain obligated to disclose this to saat@ulster.ac.uk

A failure to comply with the obligations contained above is considered to be a Student conduct matter by the University and it, therefore, may result in you being suspended or expelled from the University or your application being declined by the University or your offer being withdrawn.

If a student is applying for a course which is subject to professional standards of fitness, and has previously been barred from any professional body, it is essential that they seek advice from admissions admissions@ulster.ac.uk before submitting an application. It is possible that these circumstances may impact on their eligibility for entry into the profession into which their chosen course grants access. Failure to seek advice could have significant financial implications.

Disclosures in relation to criminal convictions will be treated confidentially and sensitively and in full compliance with our Privacy Policy and Data Protection Policy.

Disclosures will be used for the purposes of safeguarding and where necessary the University will carry out a risk assessment. More information relating to the disclosure of criminal convictions can be found in the Student Admissions Policy.

A student convicted of a criminal offence during their period of Registration must notify the Student Academic Affairs Team (saat@ulster.ac.uk) as soon as reasonably practicable and no later than 5 days after they are notified of this, or they become reasonably aware that they are subject to investigation. A failure to disclose criminal convictions or a delay in disclosure may result in the student being suspended or expelled from the University.

Schedule B to Ordinance XXXVI

INVESTIGATORY PROCEEDINGS

On receipt of an allegation of student misconduct, the Student Academic Affairs Team will appoint the most appropriate University Conduct Officer to undertake a comprehensive investigation of the allegations made. The University Conduct Officer may appoint an Investigating Officer to undertake the investigation on their behalf and to report back on the findings. This investigation will include the examination of written/oral evidence from the Reporting Student/Person, evidence from the Responding Student, and other relevant evidence (e.g. statements from witnesses, CCTV footage, emails, social media posts etc). The University Conduct Officer/appointed Investigating Officer will be supported in this role by colleagues from the Student Academic Affairs Team.

The Investigating Officer will notify the Responding Student, in writing by email to their University email address, of the details of the allegations against them giving sufficient detail to enable the Responding Student to properly understand the case being made, together with their right to be accompanied at any subsequent interview.

The Responding Student will normally be interviewed by the Investigating Officer. The interview may be conducted face-to-face, by telephone or remotely. The Investigating Officer will be responsible for ensuring a record of all meetings is taken and retained.

Where it is considered appropriate by the Investigating Officer, the Responding Student may be invited to provide a written response to the allegations against them instead of attending an interview. The decision on whether to require the Responding Student to attend an interview or to invite them to submit written representations shall rest with the Investigating Officer.

The Investigating Officer shall make a written report of the findings to the University Conduct Officer, copied to the Student Academic Affairs Team, detailing all the evidence obtained and making a recommendation in respect of action required.

University Conduct Officer Hearing

Where the University Conduct Officer feels that it is appropriate, they may choose at this point to hold a meeting with the Responding Student and any relevant witnesses. In such cases, they will appoint a member of their staff to act as Secretariat to this meeting. The appointed Secretariat will be supported in this role by colleagues from the Student Academic Affairs Team. The Secretariat will keep records of the meeting, and will be responsible for notifying the Responding Student of the time and date of the meeting, for the circulation of documentation etc. The Secretariat will also take and retain minutes as a formal record of the meeting.

The Responding Student shall be required to attend the meeting with the University Conduct Officer and shall be given at least ten working days' written notice of the date, time and venue of the meeting. It will be for the Conduct Officer to determine if this meeting should be held in person or via Teams.

The Responding Student shall be informed of the identity of the University Conduct Officer and will receive copies of all documentation to be considered at the meeting, including the Investigating Officer's report, together with a copy of this Student Conduct Ordinance.

The communication requiring the Responding Student to attend the hearing will:

- (i) State the issue(s) to be considered at the meeting, giving sufficient detail to enable the Responding Student properly to understand the case being made.
- (ii) State the findings of the investigation.

- (iii) Inform the Responding Student of their right to be accompanied and state that the Responding Student is required to confirm the name of the person(s) accompanying them to the meeting at least two working days in advance of the hearing.
- (iv) Check whether any reasonable adjustments require to be put in place prior to attendance to remove any substantial disadvantage caused by a disability.
- (v) Refer the Responding Student to both Student Wellbeing and the Students' Union Advice Bureau.
- (vi) Inform the Responding Student that failure to attend the meeting may lead to the consideration of the case and the imposition of a penalty in the absence of the Responding Student and without further notice.

The Responding Student will be allowed at least five working days in which to prepare their case. All information on which the Responding Student intends to rely should normally be made available to the Student Conduct Officer at least five working days before the date set for the interview. If the University Conduct Officer and the Responding Student are in agreement, an accelerated timeframe may be applied.

Should the Reporting Student/Person and/or Responding Student include witness statements within their investigation submission, the Investigating Officer may contact the witnesses to confirm the accuracy of the statement and to advise that their name and the details of their statement will be disclosed as part of the conduct proceedings. In providing a witness statement, the witness confirms that they are content for their statement to be included and shared as part of the investigation. Student witnesses may be asked to adhere to a Future Conduct Agreement and will be advised of the potential consequences of failing to respect the confidentiality of the process.

Following the meeting, the University Conduct Officer shall make a written report of the findings to the Student Academic Affairs Team, detailing all the evidence obtained and making a recommendation in respect of action required.

Decision of the Student Academic Affairs Team

Taking into consideration the investigatory report and any subsequent meeting, where appropriate, the University Conduct Officer can recommend one or more of the following options to the Student Academic Affairs Team:

- That, having determined that there is no case to answer, the case be dismissed.
- That a misconduct offence has been committed and that verbal advice and warning should be given to the Responding Student, with a record of the advice and warning to be retained on their student record.
- That the Responding Student be required to attend a relevant training course or participate in a relevant volunteering scheme.
- That the Responding Student be required to complete an undertaking e.g., provision of a written apology, removal of content from social media or completion of a reflective report.
- That a conditional discharge be invoked – i.e. that no further action be taken provided the Responding Student fulfils specific conditions as laid down, which may include adhering to a Future Conduct Agreement.
- That the Responding Student be issued with a written warning, to be included on the Student Record until graduation.
- That a fine be imposed, up to a maximum of £250 per offence, depending on the nature of the offence.
- That the Responding Student be required to pay for any loss or damage resulting directly or indirectly from the Responding Student's misconduct.

- That the case be referred to the Student Discipline Office for consideration by the Student Discipline Committee.
- That the case be referred to the relevant School for consideration under the University Fitness to Practise procedure.

A schedule of potential offences is provided at Schedule F. These offences attract a spectrum of financial penalties ranging from £50 to £500. In the case of major offences, sanctions can range from a financial penalty to permanent exclusion from the University.

The decision of the Student Academic Affairs Team will then be communicated to the Responding Student in writing. The Head of the relevant School will be informed. The Responding Student's right to appeal a decision to the Student Discipline Committee, together with the stated timescale, will also be stated in the communication.

Appeals Against Decisions of the Student Academic Affairs Team

A Responding Student may appeal against a decision of the Student Academic Affairs Team to studentdiscipline@ulster.ac.uk

An appeal will only be considered where the Responding Student clearly sets out the grounds for appeal under one or more of the following permissible grounds:

- New evidence has become available which could not have been provided to the Student University Conduct Officer at the time of the original investigation.
- There has been a procedural irregularity in the conduct of the investigation, or the actions of the University Conduct Officer, which had a demonstrable impact on the decision.
- The sanction of the Student Academic Affairs Team was too severe or inappropriate.

There shall be no appeal against a referral to a Student Discipline Committee, where a finding of culpability or liability has not been made.

The Responding Student must also clearly state the outcome they are seeking from the appeal and attach any relevant documentation in support of their appeal which they would wish the Committee to consider. The information provided, together with any supporting evidence, will be provided to the Student Discipline Committee.

The appeal must be submitted to the Student Discipline Office by 4.00pm on the date stipulated in the outcome letter to the Responding Student, as issued from the Student Academic Affairs Team.

Where the Student Discipline Committee has been convened to hear an appeal against the decision of the Student Academic Affairs Team, the options available to Committee are as follows:

- (i) To uphold the appeal in full or in part, and rescind the penalty imposed in full or in part, or where deemed appropriate, impose a different penalty.
- (ii) To dismiss the appeal and confirm the penalty imposed by the Student Academic Affairs Team.

In such cases, the decision of the Student Discipline Committee shall be final and there is no further internal right of appeal. Any student who feels aggrieved may make a complaint of maladministration to the Northern Ireland Public Sector Ombudsman within six months of notification of the final decision.

There shall be no appeal against a referral for the University Fitness to Practise Procedure to be invoked.

Reporting Student/Person Communication

At the conclusion of the disciplinary procedure, the Reporting Student/Person will normally be advised whether the Student Conduct Ordinance was invoked and, if so, whether or not a sanction was imposed on the Responding Student. The level of detail provided is entirely at the discretion of the University and will be determined on a case-by-case basis in the context of relevant Data Protection rights and responsibilities.

All persons involved in the process should also be reminded of their duty of confidentiality both during the process and after its conclusion.

Schedule C to Ordinance XXXVI

STUDENT DISCIPLINE PROCEDURES

Procedure

The Office of the University Secretary will oversee the Student Discipline proceedings and associated Committee. The composition of the Student Discipline Committee will be drawn from the following panel:

- (i) A Pro-Vice-Chancellor, Executive Dean, Senior Officer, Professional Support Director or senior member of academic / academic support staff (who will normally act as Chair).
- (ii) An Associate Dean, a Head of School or Director of Education.
- (iii) A University Conduct Officer.
- (iv) A member of the Students' Union Executive Team.

No member of the Committee should have been involved in the case previously. Members will be independent and will not be from the same School as the Responding Student. At all meetings of the Student Discipline Committee, three members shall constitute a quorum.

The Student Discipline Office within the Office of the University Secretary will act as Secretariat to the Student Discipline Committee. It shall be responsible for the administration of the Committee's proceedings, subject to directions given to it by the Committee. The Secretariat will keep records of the proceedings, with due regard to confidentiality. The Secretariat will be responsible for the circulation of written submissions and other relevant documents. Minutes shall be taken as a formal record of the Student Discipline Committee hearing and retained. All documentation shall be retained and destroyed in line with the approved Data Protection Policy.

If the Chair of the Committee considers the circumstances warrant it (e.g. if the facts of the case are not contested), they may deal with the case summarily.

The Responding Student will be required to attend the meeting of the Student Discipline Committee and will be given at least ten working days' written notice of the date, time and venue of the meeting.

The Responding Student shall be informed of the membership of the Student Discipline Committee and will receive copies of all documentation to be considered by the Committee, together with a copy of this Student Conduct Ordinance.

The communication requiring the Responding Student to attend the hearing will:

- (i) State the issue(s) to be considered at the hearing, giving sufficient detail to enable the Responding Student properly to understand the case being made.
- (ii) State the findings of the investigation.
- (iii) Inform the Responding Student of their right to be accompanied and state that the Responding Student is required to confirm the name of the person(s) accompanying them to the hearing two working days in advance of the hearing.
- (iv) Inform the Responding Student of the procedure which will be used at the hearing.
- (v) Inform the Responding Student that failure to attend the hearing may lead to the consideration of the case and the imposition of a penalty in the absence of the Responding Student and without further notice.
- (vi) Provide the names of Committee members allowing the Responding Student to raise any conflict of interest.

The Responding Student should also be advised that other individuals may be in attendance at the meeting for administration and governance purposes (e.g minute taking). These individuals will not take part in discussions, nor will they form part of the decision-making process.

- (vii) Check whether any reasonable adjustments require to be put in place prior to attendance to remove any substantial disadvantage caused by a disability.
- (viii) Refer the Responding Student to both Student Wellbeing and the Students' Union Advice Bureau.

The Responding Student shall be allowed at least five working days in which to prepare their case. All information on which the Responding Student intends to rely should normally be made available for the members of the Committee five working days before the date set for the hearing.

A Student Academic Affairs Team member shall be invited to attend the meeting to explain the reasons for the decision. The Responding Student and the Student Academic Affairs Team member shall each be present while the other is speaking.

It is the responsibility of the Student Academic Affairs Team member to seek approval from the Chair in relation to any witnesses they intend to call. This information should normally be made available for the members of the Committee at least five working days before the date set for the hearing.

If the Student Discipline Committee and the Responding Student are in agreement, an accelerated time frame may be applied.

The Responding Student may be invited to submit further information in support of their case. Unless with the prior written approval of the Chair, such written information should normally be submitted to the Committee Secretariat at least five working days in advance of the hearing. The Student Discipline Committee will have access to the record of the first hearing. If new information, which was not available to the Responding Student at the time of the original decision, is presented by the Responding Student, the Committee will consider it.

Where a Responding Student has been convicted of a criminal offence, or accepted any form of diversion, that information will be treated as conclusive evidence of the culpability of the student for the acts alleged.

Outcomes available to a Student Discipline Committee

The Student Discipline Committee shall deal with the case by using one, or any combination of the outcomes available to the Student Academic Affairs Team with the addition of the following:

- (i) A fine, not exceeding £500 per offence.
- (ii) Suspension involving the total or partial prohibition on attendance at or access to University facilities and on any participation in University activities; which may be subject to qualification, such as permission to attend for the purpose of an examination. Students under suspension will not be eligible to enrol or graduate.
- (iii) Temporary or Permanent exclusion from University Accommodation.
- (iv) Expulsion from the University.
- (v) A period of prohibition from making application for any University course.

A schedule of potential sanctions/penalties available to the Committee is provided at Schedule F.

Appeal Against the Decision of a Student Discipline Committee

A Responding Student may appeal against a decision of the Student Discipline Committee to studentdiscipline@ulster.ac.uk

An appeal will only be considered where the Responding Student clearly sets out the grounds for appeal under one or more of the following permissible grounds:

- New evidence has become available, which could not have been provided to the Student Discipline Committee in time for its original hearing, which would have a material effect on the investigation outcome, making it unsound.
- There has been a procedural irregularity in the conduct of the investigation or the Student Discipline Committee which had a demonstrable impact on the decision.
- The Responding Student can demonstrate grounds to show that the sanction of the Student Discipline Committee was too severe or inappropriate.

Dissatisfaction with the outcome of a matter or sanction does not itself constitute grounds for appeal.

There shall be no appeal against a decision of the Student Discipline Committee, where a finding of culpability or liability has not been made.

The Responding Student must clearly state the outcome they are seeking from the appeal and attach any relevant documentation in support of their appeal which they would wish the Appeal Committee to consider. The information provided, together with any supporting evidence, will be provided to the Student Discipline Appeal Committee.

A statement of appeal, clearly articulating the grounds for appeal, must be submitted to the Student Discipline Office by 4.00pm on the date stipulated in the letter giving the decision of the Student Discipline Committee. The stipulated date shall be ten working days after the date of notification to the Responding Student of the decision of the Student Discipline Committee.

Procedure

The Office of the University Secretary will oversee the composition of the Student Discipline Appeal Committee, which will be drawn from the following panel:

- (i) A Member of Council (who will normally act as Chair).
- (ii) A Pro-Vice-Chancellor, Dean or Senior Officer or Professional Support Director.
- (iii) A University Conduct Officer.
- (iv) The President of the Students' Union (or nominee).

No member of the Appeal Committee should have been involved in the case previously. Members will be independent and will not be from the same School as the Responding Student. At all meetings of the Student Discipline Appeal Committee, three members shall constitute a quorum.

The Student Discipline Office within the Office of the University Secretary will act as Secretariat to the Student Discipline Appeal Committee and will be responsible for the administration of the Appeal Committee's proceedings, subject to directions given to it by the Committee. The Secretariat will keep records of the proceedings, with due regard to confidentiality. The Secretariat will be responsible for the circulation of written submissions and other relevant documents. Minutes will be taken as a formal record of the Student Discipline Appeal Committee and retained.

The Responding Student will be required to attend the meeting of the Student Discipline Appeal Committee and will be given at least ten working days' written notice of the date, time, and venue of the meeting.

The Responding Student shall be informed of the membership of the Student Discipline Appeal Committee and will receive copies of all documentation to be considered by the Student Discipline Appeal Committee, together with a copy of the Student Conduct Ordinance.

If both parties are in agreement, an accelerated timeframe may be applied.

The communication requiring the Responding Student to attend the hearing will:

- (i) State the issue(s) to be considered at the hearing, giving sufficient detail to enable the Responding Student properly to understand the appeal process.
- (ii) Inform the Responding Student of their right to be accompanied and state that the Responding Student is required to confirm the name of the person accompanying them to the hearing two working days in advance of the hearing.
- (iii) Inform the Responding Student of the procedure which will be used at the hearing.
- (iv) Inform the Responding Student that failure to attend the hearing may lead to the consideration of the appeal and the imposition of an outcome in the absence of the Responding Student and without further notice.
- (v) Provide the names of Appeal Committee members allowing the Responding Student to raise any conflict of interest.

The Responding Student should also be advised that other individuals may be in attendance at the meeting for administration and governance purposes (e.g minute taking). These individuals will not take part in discussions, nor will they form part of the decision-making process.

- (vi) Check whether any reasonable adjustments require to be put in place prior to attendance to remove any substantial disadvantage caused by a disability.
- (vii) Refer the Responding Student to both Student Wellbeing and the Students' Union Advice Bureau.

The Responding Student may be invited to submit further written information in support of the appeal to the Student Discipline Appeal Committee. Such written information should normally be submitted to the Committee Secretariat, at least five working days in advance of the hearing.

The Chair of the Student Discipline Committee (or nominee) will be invited to attend the meeting to explain the reasons for the decision. The Responding Student and the Chair of the Student Discipline Committee (or nominee) shall each be present while the other is speaking.

The Student Discipline Appeal Committee will have access to the papers considered by the Student Discipline Committee, the minutes of the Student Discipline Committee meeting, the decision letter and any other information deemed appropriate by the Chair of the Student Discipline Appeal Committee. If new information, which was not available to the Responding Student at the time of the Student Discipline Committee decision, is presented by the Responding Student, the Student Discipline Appeal Committee will consider it. Other than such new evidence, the Student Discipline Appeal Committee will consider only the grounds for the appeal submitted by the Responding Student. The appeal hearing will not constitute a re-hearing of the case.

The Student Discipline Appeal Committee will have the authority to:

- (i) Uphold the appeal in full or in part, and rescind the penalty imposed by the Student Discipline Committee in full or in part or, where deemed appropriate, impose a different penalty.

The Student Discipline Appeal Committee may impose a different penalty, less severe than that imposed by the Student Discipline Committee, where the appeal is upheld on the ground set out at above.

- (ii) Dismiss the appeal and confirm the penalty imposed by the Student Discipline Committee.

Decision of the Student Discipline Appeal Committee

The decision of the Student Discipline Appeal Committee shall be final; there is no further internal right of appeal.

In communicating the decision of the Student Discipline Appeal Committee, the Responding Student will be advised of their right to make a complaint to the Northern Ireland Public Service Ombudsman (see Section 8).

Schedule D to Ordinance XXXVI

PRECAUTIONARY SAFEGUARDING MEASURES

1. Precautionary Safeguarding Measures

The University recognises that it has a pastoral duty of care to all persons involved in conduct/disciplinary processes.

It may be necessary and proportionate, on occasion, for the University to put in place precautionary safeguarding measures at any time during conduct proceedings. Such measures are not a sanction and are designed to ensure the safety and wellbeing of all students and other members of the University community, and to protect the integrity of any investigation or University procedure.

The Student Academic Affairs Team is the central point of contact for all safeguarding concerns. Where these are raised, the Team, based on the evidence available to it at the time, can implement a range of outcomes to include, but not exclusively, the following:

- A requirement for a student(s) to alter their teaching provision and/or residential accommodation arrangements.
- Agreement to adhere to a Future Conduct Agreement.
- Placement /Study Abroad Suspension.
- Recommendation to the Vice-Chancellor (or nominee in the absence of the Vice-Chancellor) in respect of a Precautionary Suspension.

These outcomes are explored further in Sections 2 to 5 below.

2. Student – Teaching Provision and Residential Accommodation

In some cases, involving two registered students, it may be possible to reach agreement about some of the issues in the case in order to focus on the issues that need to be addressed pending the outcome of any criminal, civil or disciplinary proceedings.

Where it appears that an incident may have occurred between two students, but the facts are unclear and/or disputed by the parties, the University will seek, where possible, to facilitate both students in their continued attendance at University and in the use of University facilities, including University accommodation. This may, however, entail one or both students making changes to their routine or moving accommodation. Students should be prepared to make compromises and concessions in order to reach an agreement under such circumstances. Students should also note that such arrangements will not always be possible.

In requesting or requiring a student to do so, the University makes no judgment on what may or may not have occurred or on the guilt or innocence of either party. The University has a duty of care to its entire population and, in this context, will also seek to protect both students and to provide an environment in which they both feel safe and can continue on their programme of study pending the outcome of any criminal, civil or disciplinary proceedings.

3. Future Conduct Agreements

Where appropriate, the University may require one or both students to sign a Future Conduct Agreement. A Future Conduct Agreement will set out any agreement by the two (or more), students involved regarding their future behaviour towards each other, and any other person

involved in the process, including witnesses. The Agreement may include the students' consensus about:

- No contact with each other, verbal or written, direct or indirect.
- Reporting "near misses" (i.e. unintended and unforeseen contact).
- For one or both to move accommodation.
- For one or both to make changes to their programme of study or study routine.

Both the Reporting Student/Person and the Responding Student will normally be required to agree to be bound by the Future Conduct Agreement, although the terms of the Agreements may differ.

Failure to comply with the terms of a Future Conduct Agreement will be considered misconduct under the terms of this SCO.

Where the University requires a student to adhere to a Future Conduct Agreement, and a student is not willing to do so, the student has a right of appeal to the Student Precautionary Safeguarding Panel. The request for appeal should detail the reasons why the student is not willing to comply as appropriate.

4. Placement/Study Abroad Suspension

The University may impose a suspension on a Responding Student, from attending placement, including clinical placement, following an allegation of misconduct. Failure by the Responding Student to adhere to the conditions of a placement/study abroad suspension may result in the imposition of a Precautionary Suspension.

Where a placement/study abroad suspension has been imposed, the decision will not be re-evaluated until such times as the misconduct procedure or other University procedure has been concluded.

5. Precautionary Suspension

It may be necessary, on occasion, for the Vice-Chancellor (or nominee in the absence of the Vice-Chancellor) to impose a Precautionary Suspension on a student with immediate effect, pending further action under the Student Conduct Ordinance.

A student against whom an allegation of serious misconduct has been raised, or against whom a criminal charge is pending, or who is the subject of police investigation, or is the subject of civil proceedings, may be subject to a Precautionary Suspension from the University (or part thereof) pending a disciplinary hearing or outcome of a police investigation or criminal or civil proceedings.

Where this is the case, the Student Academic Affairs Team will review the circumstances and, where necessary and proportionate, recommend that the Vice-Chancellor (or nominee) imposes a Precautionary Suspension. The purpose of this Precautionary Suspension is to prevent reoccurrence of any alleged misconduct, to protect individuals, witnesses and evidence during the investigation process, to protect the members of the University community more generally, and/or to prevent any continuance of damage to the University's reputation. The decision and any restriction imposed on the student must meet two specific tests, as set out below:

- It must be necessary, in the opinion of the Student Academic Affairs Team, for the protection of the student, other registered students, staff, visitors to the University, any ongoing investigation and/or the University's reputation; and

- It must be proportionate.

Where deemed necessary, the Student Academic Affairs Team may nominate a member of staff to conduct a risk assessment and prepare a report for its consideration. Where relevant, in carrying out a risk assessment, the University may contact the police/relevant authority with a view to obtaining information to enable it to assess the risk of harm or injury to any person or to the University's reputation or facilities.

Please be assured that the imposition of a Precautionary Suspension from the University (or part thereof) will not be interpreted as any indication that the University has taken any view relating to the culpability of any student.

Precautionary Suspension is the total prohibition on attendance at or access to University facilities and on any participation in University activities. At the discretion of the Vice-Chancellor (or nominee), this may be subject to qualification, such as to include permission to attend campus for the purpose of an assessment/examination. Students under suspension will not be eligible to enrol or graduate.

During any period of Precautionary Suspension, a student shall have access to appropriate pastoral support by the University's Student Wellbeing.

Where a Precautionary Suspension is imposed by the Vice-Chancellor (or nominee), the case is subsequently referred to the University's Student Safeguarding Committee. The role of the Committee is to keep under review cases where students have been placed on Precautionary Suspension by the Vice-Chancellor (or nominee).

In this context, the Committee will review the imposition of a Precautionary Suspension only in the following circumstances:

- New evidence has become available, which could not have been provided to the Student Academic Affairs Team at the time of the original recommendation, and which could have a material effect on the decision on Precautionary Suspension.
- There has been a material change in the student's circumstances or new evidence/information has emerged.
- The outcome of the University/police investigation, criminal, civil or disciplinary proceedings is known and has been made available to the University.

Dissatisfaction with the outcome of a matter or sanction does not itself constitute grounds for appeal.

The University Secretary's Office will oversee the operation of the Student Safeguarding Committee, the composition of which will be drawn from the following panel:

- (i) A Pro-Vice-Chancellor, Executive Officer, Professional Support Director or senior member of academic / academic support staff (who will normally act as Chair).
- (ii) A University Conduct Officer.
- (iii) A member of the Students' Union Executive Team.

No member of the Committee should have been involved in the case previously, nor should they have/have had any involvement in related investigatory or disciplinary matters or associated committees. Members will be independent and will not be from the same School as the responding student. At all meetings of the Student Safeguarding Committee, three members shall constitute a quorum.

The University Secretary's Office will act as Secretariat to the Student Safeguarding Committee and will keep records of the proceedings, with due regard to confidentiality.

The Responding Student will be required to attend the meeting of the Student Safeguarding Committee and will be given at least ten working days' written notice of the date, time and venue of the meeting. While the Responding Student will be invited to make written representations in respect of the above, such a review will not involve a hearing. All information on which the Responding Student intends to rely should normally be made available for the members of the Committee five working days before the date set for the hearing.

The Responding Student shall be informed of the membership of the Student Safeguarding Committee and will receive copies of all documentation to be considered by the Committee and also a copy of this Student Conduct Ordinance. They will also have the right to be accompanied and will be asked to confirm the name of the person(s) accompanying them to the hearing two working days in advance of the hearing.

If both parties are in agreement, an accelerated timeframe may be applied.

The Responding Student should also be advised that other individuals may be in attendance at the meeting for administration and governance purposes (e.g. minute taking). These individuals will not take part in discussions, nor will they form part of the decision-making process.

Following this review, the Committee can make one of the following three determinations:

- (i) It can determine that the Precautionary Suspension remains in place.
- (ii) It can recommend to the Vice-Chancellor (or nominee in the absence of the Vice-Chancellor) that the Precautionary Suspension be retained but qualified e.g. to allow, in specific circumstances, a student to attend a final examination etc. Where this is the case, the Committee will ensure that the student understands the implications of any such action e.g. of declaring themselves "fit to sit".
- (iii) It can recommend to the Vice-Chancellor (or nominee) that the Precautionary Suspension be lifted. Where the Vice-Chancellor (or nominee) agrees that the Precautionary Suspension can be lifted, the Student Academic Affairs Team will consider the particular context before it and determine the most appropriate course of action available under the University's Student Conduct Ordinance.

Schedule E to Ordinance XXXVI

GENERAL PRINCIPLES

All processes under the SCO will be underpinned by the following General Principles:

1. Natural Justice / Standard of Proof / Burden of Proof

The burden of proof rests with the University. The standard of proof shall be on the balance of probabilities. To prove something on the balance of probabilities is to prove, based on an assessment of the evidence provided, that it is 'more likely than not'. In an appeal, the burden of proof rests with the responding student.

2. Equality, Diversity and Fair Treatment

The University has a legal, as well as a moral duty, to treat all students fairly. The University values and promotes equality, diversity and inclusion and will seek to ensure that it treats all individuals involved in conduct proceedings fairly and with dignity and respect.

3. Confidentiality

The University will take all reasonable steps to limit the disclosure of information as is consistent with investigating an issue(s) raised and the provisions of all relevant legislation – to include the UK General Data Protection Regulation (Retained Regulation (EU) 2016/679, the UK GDPR).

Students should accept that, in carrying out a full and fair investigation, it may not be possible for their identity to be withheld.

All staff and students who become involved in conduct or disciplinary procedures are required to respect the integrity of the process and the confidentiality of information arising from it, both during and after the conclusion of the process.

Information will only be released to those who require this for the purpose of investigating, safeguarding, decision-making or responding to an issue raised, or other legitimate purpose as approved by the University. No third party will be told any more about the investigation than is necessary or as is highlighted through the provisions of this SCO.

4. Reporting Allegations to External Authorities

The University will not normally make a report on allegations received to an external authority (such as the PSNI) against the wishes of the Reporting Student/Person.

The University does, however, reserve the right to report an allegation of an alleged crime where it considers that there may be a serious risk of harm to any person, or to prevent a further crime taking place. Such decisions will be taken on a case-by-case basis after careful consideration of the wishes of the Reporting Student/Person and the circumstances of the case.

The University is also mindful of its obligations under Section 5 of the Criminal Law Act (Northern Ireland) 1967, which requires a person to report a crime where they believe an offence has been committed and where they have information that is likely to secure, or be of material assistance in securing, a conviction. The University will act, at all times, in accordance with this legislative requirement.

5. Favourable Treatment/Victimisation

No party to an investigation under the SCO will be treated less favourably as a result of their involvement in this process. Victimisation from any involved party shall be grounds for a further, separate investigation and sanction where appropriate.

6. Communication

The University will seek to maintain regular contact by phone/email with anyone involved in a student conduct case. In the case of students or University staff, this will normally be to their University email address. It is the responsibility of the student to regularly check their email account for related communications. The onus is also on the student to keep the University updated on all relevant developments as this process progresses.

7. Duty of Candour

All parties involved in conduct proceedings will be required to treat all other parties involved with respect and courtesy and to exhibit honesty and integrity throughout the process. It is also expected that any evidence (written or oral) provided to the University by any party will be true to the best of that party's knowledge and/or belief.

Any student considered to have acted dishonestly or to have provided false evidence may be referred for investigation under this SCO and/or the Fitness to Practise procedure (as appropriate).

8. Relevant Regulations/Procedures

Where a disciplinary investigation or a subsequent appeal extends over more than one academic year, the relevant University SCO be that in place at the time when the alleged disciplinary offence was notified to the University.

9. Anonymous Reports

Anonymous reports of concerns will not normally be considered. Where a report raises, however, issues of serious concern, the University reserves the right to take action in relation to alleged misconduct against any student of its own volition, even if the Reporting Student/Person does not wish to make a formal statement of allegation(s) or if the allegation is raised anonymously.

Students should accept that, in carrying out a full and fair investigation, it may not be possible for their identity to be withheld.

10. Vexatious, Defamatory or Other Improper Allegations

It is important that those involved in a student conduct investigation do not make or record unsubstantiated, vexatious or defamatory allegations or comments about students, members of university staff or any other person. Where the University considers an allegation or comment made by any party to the SCO to be vexatious, defamatory, or otherwise made with an improper purpose or motive, it may take steps to redact this from all relevant documentation/considerations prior to circulation.

The University also reserves the right to initiate separate action against any registered student, member of University staff or any other person making vexatious, defamatory, or otherwise improperly motivated allegations.

11. External Allegations and/or Criminal Proceedings

Under the SCO, students are required to advise the University immediately of any potential and/or actual criminal offences, in line with the reporting requirements set out in Schedule A.

The University recognises that there may be times where a case brought against a student may not have reached the threshold for a criminal conviction – i.e. where a charge has not been issued by the Public Prosecution Service (PPS), the PPS has discontinued the prosecution, or a defendant has been acquitted. Where, in such cases, the underlying events may still give rise to a breach of this SCO, the University reserves the right to recommence an SCO investigation of its own volition.

12. Attendance at Conduct Meetings

Responding Students are required to attend all conduct meetings to which they are called. Where a Responding Student fails to attend a meeting without good cause, the case may be heard in their absence and without further notice, provided the University Conduct Officer/Student Discipline Committee/Student Discipline Appeal Committee is satisfied that the date, time and venue of the meeting have been notified, in writing, to the Responding Student.

Where a Responding Student notifies the University in advance, and in a timeframe reasonable in the circumstances, that they will be unable to attend the hearing and provides written evidence of good cause, the University Conduct Officer/Student Discipline Committee/Student Discipline Appeal Committee may exercise their discretion to adjourn the hearing at any time.

It is the responsibility of the Responding Student to establish good cause to the satisfaction of the University Conduct Officer/Student Discipline Committee/Student Discipline Appeal Committee.

Where a Responding Student fails to attend a rescheduled meeting, without good cause, the Committee will normally hear the case and make its determination, in the student's absence, without further notice.

13. Unfit to engage in Conduct Proceedings

Where a Responding Student is unable to participate in an investigation or proceedings commenced under the SCO for medical reasons, medical evidence will be required to confirm, to the satisfaction of the University Conduct Officer/Student Discipline Committee/Student Discipline Appeal Committee that this is the case. In such circumstances, any investigation or proceedings will normally be postponed until the Responding Student confirms that they are able and wish to proceed. Responding Students who are unable to participate for medical reasons may be required to take a period of temporary leave from the University.

The University recognises that there may be cases where a Responding Student is on a leave of absence from the University and/or has been deemed unfit to study, but wishes to progress proceedings under the SCO, as unresolved or prolonged proceedings can have a greater negative impact on wellbeing. Decisions as to whether to progress proceedings under the SCO in such circumstances will be made on a case-by-case basis, and in consultation with Occupational Health where appropriate.

14. Support and Right to Be Accompanied

Any student involved in a student conduct case is encouraged to access support from the University's Student Wellbeing Service and from the [Students' Union Advice Bureau](#).

Any student has the right to be accompanied at any stage in the proceedings by a registered student of the University (to include a Students' Union Officer), or a member of staff of the University. At all stages of the process, students will be notified of their right to be accompanied.

The role of the person accompanying a Responding Student is strictly one of support, not representation, and the Responding Student will be required to answer all questions themselves and make their own representations.

15. Reasonable Adjustments

Students are required to notify the Student Academic Affairs Team/Student Discipline Office if they require any reasonable adjustments to make the student conduct processes more accessible. The University is committed to providing reasonable adjustments for disability as per applicable law and regulations. Requests will be taken into consideration as required and where reasonably practicable in the application of the SCO in practice.

All reasonable adjustments offered will be at the discretion of the University Conduct Officer/Chair of the relevant Committee.

16. Withdrawal from the University / Inability to engage in Conduct proceedings

All participants must engage with this SCO and associated proceedings at all times.

If the Reporting Student/Person withdraws or is withdrawn from the University during proceedings commenced under this SCO, or if the Reporting Student/Person disengages from the conduct proceedings, the University reserves the right to determine whether or not to continue with the conduct proceedings in accordance with this SCO.

Any decision not to continue the conduct proceedings shall be final, and the Reporting Student/Person will be informed of their right to raise a complaint with the Northern Ireland Public Services Ombudsman (NIPSO) within six months of notification of the final decision.

If the Responding Student withdraws or is withdrawn from the University during these proceedings, or if they fail to continue to engage with the proceedings, the University reserves the right to continue with the conduct proceedings in accordance with this SCO, without further notice to the Responding Student. In such circumstances, the University reserves the right to also consider additional conduct allegations as appropriate.

The University also reserves the right to suspend the conduct proceedings in the absence of the Responding Student following their withdrawal and, in the event that the Responding Student subsequently applies to the University for re-admission, to recommence the procedure in accordance with this SCO.

The recommencement of any investigation will (as far as reasonably practical) take place prior to the start of the relevant academic year, and re-admission will (in addition to any other conditions e.g., academic conditions), be conditional upon conclusion of the investigation and compliance with any subsequent penalty or agreement applied under this SCO.

In reapplying, the Responding Student is obliged to advise the University, under the terms of the Admissions Policy, if they have previously been subject to any form of conduct allegations or investigation at the University. Failure to do so will be considered as a breach of this SCO.

17. Medical Evidence in Mitigation

When considering a Responding Student's conduct, the University understands that disabilities or health conditions may affect a student's behaviour. Where unacceptable conduct arises due to disability or health conditions, the University will take medical reports or evidence into account throughout the student conduct process.

Where it so wishes, the University reserves the right to commission its own medical evidence/reports and the student will be requested to comply fully with any related appointments and/or investigation. Where the Responding Student elects not to comply, without reasonable grounds, such refusal will be considered in Committee's deliberations.

In circumstances where behaviour arising from a diagnosed or suspected mental illness and/or physical or behavioural difficulties constitutes a breach of the SCO, sanctions will normally be a last resort, and will usually be applied only if reasonable adjustments, medical and counselling interventions have failed to address satisfactorily the problem behaviour, or where these have been refused by the Responding Student.

18. Professional Bodies

The University reserves the right to invoke and suspend its own disciplinary procedures, not excepting that a professional, statutory or regulatory body (PSRB) may have initiated civil, criminal or other proceedings, if it is considered appropriate. Where a finding of misconduct is made, and the student has been disciplined by a PSRB, the professional body's findings and penalty can be taken into consideration in determining the penalty under this SCO.

The University may also be required or elect to share information in relation to investigations and outcomes, under the terms of its agreements, with the respective PSRBs.

19. Recordings

Students will not be entitled to make electronic or digital audio or visual recordings of any meetings or proceedings held under this SCO. Failure to adhere to this requirement will normally be considered as a disciplinary offence.

Committee Chairs reserve the right to hold meetings in rooms where CCTV coverage is available, should they feel this appropriate. Where this is the case, the student will be notified of this at the start of the meeting.

20. Evidence and Witness Statements

The University reserves the right to request and consider independent evidence or witness statements as it deems appropriate. Where considered necessary, a process may be adjourned in order to allow time for such further evidence to be obtained.

The University may consider this evidence in reaching a decision on whether a disciplinary offence has been committed and when considering the appropriate penalty to be imposed.

The Reporting Student/Person and the Responding Student may submit written statements by witnesses, including character references. Witnesses will not normally be permitted to attend the disciplinary meetings. The decision on whether witnesses will be invited or permitted to

attend a hearing will rest with the University Conduct Officer/the Chair of the Student Discipline Committee/the Chair of the Student Discipline Appeal Committee, as appropriate.

21. Deadlines/Timescales

The University will endeavour to complete all proceedings as quickly as reasonably possible and will keep those involved updated on progress and related timescales where appropriate. Additional time may be required for complex cases (such as cases involving allegations of serious misconduct or those being taken forward by external bodies).

It may prove to not be reasonably practicable to adhere to precise timescales for various reasons, including by way of example only when key staff are on leave, or otherwise indisposed, or where the complexities of the case warrant extended scrutiny. Where it is not possible for the University to meet these deadlines, for whatever reason, all relevant parties will be kept informed, as appropriate.

22. Fitness to Practise

In cases where either the Student Conduct Ordinance or Fitness to Practise Procedure may be invoked, the Student Academic Affairs Team will liaise with the appropriate School and any other Officer as required to determine which process should apply.

The decision to invoke one particular process, however, does not preclude a later decision to transfer a case to another process, or to run both processes in parallel, if the circumstances or details of the case, after further investigation, deem this to be more appropriate.

23. Outcome Notification

Notification of a decision will be sent to the Responding Student and copied to relevant persons normally within ten working days of the outcome being determined. Relevant parties will be advised in the case of delay.

In relation to Serious Misconduct Cases, the Reporting Student/Person will normally be advised of the outcome of the investigation into their report of alleged serious misconduct i.e. whether a finding of serious misconduct has been made or not and whether an appeal has been launched. If a finding of serious misconduct has been made, they may be advised as to whether a penalty was imposed on the Responding Student or not, along with a brief rationale for the decision. This notification will be made upon conclusion of the appropriate procedure or appeal procedure where this has been enacted.

Any decisions in this regard will be made on a case-by-case basis and at the discretion of the relevant Chair, in consultation with the University's Data Protection Officer.

24. Appeals

Students are entitled to appeal the outcome of conduct proceedings and full details on the relevant process and associated appeal mechanisms are set out in the Student Conduct procedures.

Appeals against the decision of the Student Academic Affairs Team, or against the decision of the Student Discipline Committee, received after the specified deadline will not be considered, unless the Responding Student can provide evidence of exceptional circumstances beyond their control (e.g., hospitalisation). The decision on whether the appeal should be accepted for consideration will rest with the University Conduct Officer/the Chair of the Student Discipline Committee/the Chair of the Student Discipline Appeal Committee, as appropriate.

Schedule F to Ordinance XXXVI

SCHEDULE OF OFFENCES

Please note that Schedules of Offences have been included for illustrative purposes only. The Student Academic Affairs Team/Student Discipline Committee retains discretion to take a view on the seriousness of the offence and to levy any sanction it feels appropriate in light of the evidence before it.

Ref.	Examples of Minor Offences
A1.	Smoking or vaping in a non-designated area (outside)
A2.	Drinking alcohol in a prohibited area
A3.	Smoking or vaping in a prohibited area (inside)
A4.	Burning incense, candles or items which produce a naked flame on University premises without appropriate authorisation
A5.	Failure, without reasonable cause, to produce personal identification upon request
A6.	Minor anti-social disturbance including off-campus noise disturbance
A7.	Causing minor harm or threatening to cause minor harm to another person (e.g., slap, push) or making threats via social media or online platform
A8.	Minor vandalism or malicious damage to property – including to the work of another student(s)
A9.	Disruption or obstruction of, or interference with, the functions, duties or activities of the University or any member of the University or authorised visitor of the University, whether on University premises or elsewhere
A10.	Behaviour which interferes with the legitimate freedom of speech, ideas or actions or enquiry of any other student or member of staff
A11.	Minor indecent misconduct
A12.	Failure to engage with a misconduct procedure and/or failure to comply with a penalty previously imposed under these regulations for a minor offence
A13.	Breach of University Regulations or Policy and Procedures
A14.	Misuse of learning materials, including online and recorded materials, provided to students by the University
A15.	Public Disorder

In all cases, the Committee may apply non-pecuniary penalties where appropriate, either in place of or in addition to pecuniary penalties.

Ref.	Examples of Major Offences
B1.	Minor offence committed by a student with two or more previous minor misconduct offences
B2.	Taking property without the consent of the owner
B3.	Major vandalism or malicious damage to property
B4.	Misuse of fire or other safety equipment
B5.	Failure to engage with the University's misconduct procedure and/or failure to comply with a penalty previously imposed under the Conduct Ordinance on more than one occasion
B6.	Behaviour which brings, or may bring, the name of the University into disrepute
B7.	Possession of an illegal substance or illegal possession of a controlled drug, or possession of any prescription drug which has not been prescribed directly to the student
B8.	Possession of an illegal or dangerous item – firearm, knife, explosives etc.
B9.	Production of, offer of, sale of or giving to any person, any illegal substance, controlled drug or prescription drug
B10.	Abusive, threatening, intimidating, bullying or harassing behaviour whether on or off campus, in person or via social media or online platform
B11.	Making false, frivolous, malicious, mischievous or vexatious allegations against another member of the University
B12.	Serious indecent misconduct
B13.	Sexual misconduct, including attempted sexual misconduct
B14.	Failure to disclose the required information to the Student Academic Affairs Team in respect of criminal convictions etc.
B15.	Deliberate fabrication or falsification of evidence or information provided to the University
B16.	Physical misconduct
B17.	Threats of physical misconduct
B18.	Significant public disorder
B19.	Repeated or serious/gross misuse of learning materials, including online and recorded materials, provided to students by the University
B20.	Failure to engage with an investigation into allegations of serious misconduct
B21.	Recording others without their prior knowledge and agreement

In addition to the above penalties, students may be required to pay for any loss or damage that resulted directly or indirectly from the Responding Student's misconduct.

In all cases, the Committee may apply non-pecuniary penalties where appropriate, either in place of or in addition to pecuniary penalties.

Previous Disciplinary Record

If the Responding Student has a previous disciplinary record, this may be taken into account when considering the penalty or penalties to be applied. This will depend on the factual circumstances of the disciplinary matters including when they occurred and when the previous disciplinary penalty was awarded.