



## **GOVERNING BODY REGULATIONS ('HANDBOOK') 2021-22**

### **INTRODUCTION**

For ease of reference, in comparison with other handbooks issued by Trinity Hall for other purposes (such as the Student Handbook, the Staff Handbook, etc), throughout this document the term 'Regulations' is used to refer to the Handbook mentioned in Ordinances 1.4 and 21.2.

Unlike the provisions of the Statutes and Ordinances which are binding on the College and on the Governing Body, the provisions of these Regulations are directive but not binding, as they summarize or encode the decision made by Governing Body itself. The Governing Body may change the provisions in these Regulations by Ordinary Resolution at any time and may also decide, at its discretion in any particular case or cases, not to follow the provisions of the Regulations.

Within that framework, the Regulations set out the Governing Body's interpretation of and recommendations for the practical implementation of the Statutes and Ordinances.

Their purpose is:

- to provide guidance on particular Statutes and Ordinances and their practical application;
- to record the current practices used in the College in implementing the Statutes and Ordinances or to set out the College's preferred method of implementation;
- to record the policies the Governing Body has approved and requires Fellows and Officers to observe; and
- to ensure that all forms that are used or may be used during the operation of College procedures and practices etc relating to Fellows are collected and stored in one place.

Parts of these Regulations may also be changed by the Master or a College Officer to the extent set out in the Introduction section to the particular Part. Part A can only be changed by the Governing Body.

Suggestions for changes/additions to the Regulations may be made to the Master for onward transmission to the Governing Body where appropriate. No suggested changes will be included unless approved by the Governing Body or by a College Officer or a committee to whom the Governing Body has delegated responsibility or granted permission to amend the Regulations.

College Officers and committees are asked to keep under review the provisions that relate to their areas of responsibility. Additionally the Vice Master is asked to review the Regulations' provisions at least once in his/her 4 year term.

The Master’s office will be responsible for the physical updating and publishing of the updating of the Regulations, and for retaining a record of changes made.

No provision in the Regulations will expressly or impliedly form part of any contract made by the College with a Fellow or other member of the College. (N.B. This remains true even though a contract may separately and in writing incorporate a provision with similar or even identical wording to a provision in the Regulations.)

The word ‘should’ is used to indicate where something is strongly advised or requested by the Governing Body.

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**PART A:        GUIDANCE ON THE PRACTICAL IMPLEMENTATION OF THE STATUTES  
AND ORDINANCES**

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## **PART A:        GUIDANCE ON THE IMPLEMENTATION OF THE STATUTES AND ORDINANCES**

### **INTRODUCTION**

The provisions in this Part A reflect practices currently used in College or practices that the Governing Body wishes to be used. They are effectively directions issued by the Governing Body, setting boundaries for or guiding practices for the practical implementation of the Statutes and Ordinances. The Governing Body may change the provisions by Ordinary Resolution at any time in order to reflect changes in practice (actual or desired) and may also decide, at its discretion in any particular case or cases, not to follow or apply the Regulations' provisions.

The Governing Body expects all Fellows to follow the provisions of this Part A. Deviation from its provisions should be exceptional and only where there is demonstrated good cause to do so. Preferably this should only happen after discussion with the College Officer responsible for the relevant area of the College's operation or, if that is unclear, with the Master. A note should be kept of the reason for the deviation from the practice as set out in the Regulations. This note will help to inform the Governing Body when it considers what changes to the Regulations may be appropriate.

If it is found that a provision is not or not sufficiently fit for purpose in any way, a report should be made to the Master so that consideration can be given by the Governing Body to changing the provision.

Other suggestions for changes or additions to the provisions of Part A should be made to the Master for reference to the Governing Body where appropriate.

College Officers and committees are asked to keep under review the provisions that relate to their areas of responsibility. Additionally the Vice Master is asked to review the provisions of this Part A at least once in his/her 4 year term.

The numbering of the Sections of Part A (but not paragraphs within the sections) reflects the numbering of the Statutes and Ordinances. Just as Ordinance 1 relates to Statute 1, Section 1 of the Regulations relates to matters covered by Statute 1 and Ordinance 1 and so on.

### **SECTION 1 relating to Statute 1 and Ordinance 1**

#### **DEFINITIONS AND INTERPRETATION**

##### ***Definitions***

- 1.1     The definitions used in the Statutes and in the Ordinances will apply to these Regulations unless the contrary is stated.
  
- 1.2     The 'acceptance of any position or appointment incompatible with the person's Fellowship, or College Office' set out in Ordinance 1.2.4.2 will include acceptance of a full Fellowship at another College. A Fellow who is offered another Fellowship, or indeed any other appointment, should consult with the Master before accepting the offer. If the Master is offered another appointment, he or she should consult the Governing Body before accepting the offer.

### ***Removal procedures***

- 1.3 The procedure for Removal for Reason as defined in Ordinance 1.2 is the procedure set out in Ordinance 22. The Governing Body wish to emphasise the importance of Statute 6.16.5 and that action under Ordinance 22 should **only** be contemplated in matters of substantial seriousness where it is very likely that action short of dismissal would not be appropriate.
- 1.4 Minor examples of misconduct, unsatisfactory performance or capability, for which Removal is not appropriate, may be dealt with under the procedure set out in Ordinance 21.
- 1.5 A re-organisation that results in Removal may involve redundancy and in that case it will be dealt with under Ordinance 24. If it does not involve redundancy, it will be dealt with under Ordinance 22.

### ***University Statutes***

- 1.6 The College is bound by the statutes, ordinances and regulations of the University that apply to the College and which have been approved by the Privy Council.

## **SECTION 3 relating to Statute 3 and Ordinance 3**

### **THE GOVERNMENT OF THE COLLEGE**

#### ***3.1 Making, amending or repealing Statutes and Ordinances***

The making, amending or repealing of a Statute or Ordinance under Statute 3.4 will entail (under present legislative requirements) the following steps:

- 3.1.1 either before or after the following step set out in 3.1.3, the special summoning of an additional meeting of the Governing Body under Ordinance 3.7.1 and the related Ordinances for the purpose of considering a proposal for making, amending or repealing a Statute or Ordinance;
  - 3.1.2 passing of the proposal at that meeting by the majority required under Statute 3.4;
  - 3.1.3 approval of the Charity Commissioner;
  - 3.1.4 advising the Vice-Chancellor of the University (and the Master) of the proposed change;
  - 3.1.5 decision of the University Council (and where necessary, of the Regent House of the University) on whether or not to oppose the proposal;
  - 3.1.6 at least one month after the step in 3.1.4 above (and in reality not before the decision in 3.1.5), a second passing of the proposal (as in steps 3.1.1 and 3.1.2 above);
  - 3.1.7 within one month of the second passing in 3.1.6 above, submission of the proposal to the Privy Council for approval.
- 3.2 If, after a proposal has been submitted to the Privy Council, the Governing Body wishes to make further alterations, the procedure set out above has to be followed afresh in its

entirety but there may be a shortened process if the alterations are minor and have been suggested by the Privy Council.

### ***Governing Body meetings***

#### *Summoning a meeting*

- 3.3 The summoning of an additional meeting of the Governing Body under Ordinances 3.7 and 3.8 will be by email, or other form of electronic notice authorised by the Governing Body, to each Member of the Governing Body who is not restricted under Statutes 3.18, 3.19 or 3.20. The email or other form of electronic notice will be sent not less than seven clear days prior to the meeting, except when in the view of a Primary College Officer an important matter needs the more immediate attention of the Governing Body.
- 3.4 If there is any uncertainty about whether a Member will be conflicted, they should be given notice of the meeting.
- 3.5 If a Fellow were to summon a Governing Body meeting more than once in any one Term, the Governing Body may wish to consider whether any limit should be imposed under Ordinance 3.8.

#### *Attendance at Governing Body Meetings*

- 3.6 Failure to attend the December and June meetings of the Governing Body, without good cause, will result in non-payment of any traditional allowance payable for attendance.
- 3.7 A Fellow who is a Tutor or a Director of Studies should attend the July Governing Body meeting when examination results are discussed. If, exceptionally, such attendance is impossible, the Fellow should fully brief another Tutor or, where appropriate, Director of Studies.

#### *First Governing Body Meeting of the academic year*

- 3.8 At this meeting, the Governing Body should appoint:
  - 3.8.1 a Fellows Disputes Panel and a Fellows Grievance Panel in accordance with Ordinance 20.1; and
  - 3.8.2 panels for the Junior Members Committee and the Appellate Committee in accordance with Ordinance 12.1;
  - 3.8.3 a panel of Junior Members and a panel of members of the Regent House of the University in accordance with Ordinance 12.1.

### ***Governing Body meetings and committee meetings***

#### *Attendees and quorum*

- 3.9 The Master or other person presiding should, prior to the commencement of a meeting:
  - 3.9.1 ensure that there are no attendees who are restricted from attending and/or voting on all or part of the agenda – see Statutes 3.18, 3.19 and 3.20;
  - 3.9.2 note whether there are any attendees conflicted out of attendance for some of the meeting (Ordinance 3.14);

- 3.9.3 for issues other than voting on the election of a new Master or voting on changing the Statutes or Ordinances, check whether half of the Fellows and Master excluding those restricted under Statute 3.18 (Leave of Absence) and Statute 3.19 (suspended) are present. If so, the meeting is quorate;
- 3.9.4 for discussions relating to the election of a new Master and for the election itself, ensure that the incumbent Master is not present and that no Fellow restricted under Statute 3.19 (suspended) is present. Then check whether half the remaining Fellowship is present and that the meeting is thus quorate. A Fellow who is a potential candidate and who is present should excuse himself/herself by virtue of Ordinance 3.14 and leave;
- 3.9.5 for voting on changing the Statutes or Ordinances, check whether half of the Fellows and Master excluding those restricted under Statute 3.19 (suspended) are present. If so, the meeting is quorate;
- 3.9.6 consider what Resolutions may be required for items on the agenda and whether there are sufficient potential voters (excluding any conflicted under Ordinance 3.14) for such Resolutions to be passed if all support the Resolution.

*Postponement of discussion*

- 3.10 The person presiding at a meeting of the Governing Body or at one of its committees may postpone the consideration of any proposal until the following meeting if he or she is of the opinion that insufficient notice of the proposal has been given. Notice of seven days in advance of the Governing Body is normally required for inclusion of an item of business on the agenda of the Governing Body.

***Governing Body Committees***

- 3.11 The Fellowships Committee's remit will include considering and making recommendations to the Governing Body on the following:
  - 3.11.1 the stipend and allowances for the different classes of Fellowships;
  - 3.11.2 The conditions, duties and responsibilities of different classes of Fellowships.
- 3.12 The Stipends Committee's remit will include considering and making recommendations to the Governing Body on the following:
  - 3.12.1 the stipend and allowances for a particular Fellow, unless an Appointments Committee has been authorised by the Governing Body to do so;
  - 3.12.2 the stipend and allowances for a particular Fellow occupying the position of a College Office, unless an Appointments Committee has been authorised by the Governing Body to do so.
- 3.13 Voting membership of Governing Body Committees is restricted to Fellows as described in Statute 6.1 and who are therefore members of Governing Body and also Charitable Trustees; Honorary Fellows and Emeritus Fellows under Statute 7 and Fellow-Commoners under Statute 8, members of the College in statu pupillari, and members of non-academic College staff may attend Governing Body Committees for the purpose of discussion if specifically permitted to do so by the Governing Body (normally through the mechanism of a

committee's terms of reference), or exceptionally at the discretion of a committee's chair, but may not vote.

***Maintenance and storage of the Statutes, Ordinances and the minutes of the Governing Body and of its Committees***

- 3.14 Approved minutes (and the associated papers) of a meeting of the Governing Body or a committee meeting need to be provided to the Master by the person presiding at the meeting or, in the case of a Governing Body meeting presided over by the Master, by the Secretary to the Governing Body.
- 3.15 The Master's office will ensure that the Statutes, Ordinances and approved minutes (and the associated papers) of Governing Body meetings and those of its committees are safely stored in a form approved by the Governing Body.
- 3.16 The Master's office will ensure that the Statutes and the Ordinances will be re-issued to the Fellows and Fellow-Commoners if the Statutes or the Ordinances are changed.

***Powers to delegate***

- 3.17 The Master shall be authorised to approve, on behalf of the Governing Body, any recommendation, other than those listed in Statute 3.8 or delegated to another (e.g. College Officer or Committee), of a person holding a qualifying College Office under Statute 9 which the Governing Body might have approved, provided that the Master considers that the matter requires an urgent decision or raises no substantial issue of policy, and provided that any such approval is reported to the next following meeting of the Governing Body.

**SECTION 4 relating to Statute 4 and Ordinance 4**

**THE MASTER**

***Recruitment process***

- 4.1 The Governing Body may establish an Appointments Committee to consider and propose to the Governing Body the recruitment process to be followed to find and select a new Master and to manage any process approved by the Governing Body. The Appointments Committee should seek the approval of the Governing Body to any short list of candidates before any shortlisted candidate is contacted and again before making any offer to a candidate.
- 4.2 The appointment of an appropriate Master is of course of extreme importance for the future running of the College. The reason for the difference in Resolution requirements in Ordinance 4.2 is that the crucial decision is the making of the initial offer. It is this offer that is effectively the selection of the next Master (subject to acceptance by the offeree). It is viewed as essential that every Fellow should make all reasonable effort to attend the initial selection meeting so that the Extraordinary Resolution can be passed and so that a new Master can be reassured of overwhelming support of the Fellowship.

Once the selected candidate has accepted the offer made, the formal appointment resolution is then more of a formality and so requires just a Special Resolution.

### ***Stipend and Allowances***

- 4.3 The Governing Body has delegated to the Stipend Committee and to the extent that such Committees agree, to the Bursar, and may delegate to the Appointments Committee, decisions regarding stipend and allowances for the Mastership, whilst reserving its right to make decisions in particular cases if it thinks it more appropriate to do so.
- 4.4 The Master will normally occupy the Master's Lodge and use the garage on College premises free of charge from the College and the College will bear such cost of repair and decoration to the Lodge as the Governing Body considers reasonable. The Governing Body may from time to time determine and vary the extent of the College's contribution to the cost of upkeep of the Master's Lodge.
- 4.5 The Master may take meals daily free of charge in College, except when the kitchens are closed and in such circumstances the Governing Body may make other provision.
- 4.6 Where it is proposed by the Governing Body or a committee of the Governing Body that the Master's stipend, allowances or duties be changed, the Vice-Master should consult with the Master in advance and the Master will normally be given the opportunity to make representations to the Governing Body on the issue/s before any decision is taken.

### ***Residence***

- 4.7 It is anticipated that the Master may be out of Residence occasionally in Full Term on College business. Unless that absence is likely to be for longer than [a week], there will be no need for Governing Body approval.

### ***Master's annual report***

- 4.8 The annual report produced by the Master will normally include:
- 4.8.1 his/her activities and achievements in office and other relevant matters concerning the past year; and
  - 4.8.2 his/her future plans in the office.

### ***Termination and Removal***

- 4.9 The Vice-Master should take expert advice where Statute 4.10.2 may apply and where there is forewarning about the failure of the condition, should consult with the Master before confirming the failure of the condition and the resultant termination of the holding of the office.

## **SECTION 6 relating to Statute 6 and Ordinance 6 THE FELLOWS**

### ***Research Fellows***

- 6.1 A Research Fellow should report any proposed major changes to his or her research topic to the Senior Tutor who will report on the matter to the Fellowships Committee.

***Limited term appointments for Fellows other than Research Fellows***

- 6.2 Where a Fellow, other than a Research Fellow, is elected for a limited period, he or she will normally be informed of the reason for the election being for a fixed period and of the date at which it is proposed that a review will take place under Ordinance 25. Limited term appointments are commonly made when funding is made available from an external source for a fixed period; in such cases the term of the Fellowship is normally tied to the period of external funding.

***Dining rights***

- 6.3 Fellow may obtain details of their dining rights on application to the Steward.

***Stipend and Allowances***

- 6.4 Fellows may obtain details of their stipend and allowances on application to the Steward.
- 6.5 Qualification for any traditional allowances requires:
- 6.5.1 presence at Dr Eden's Commemoration in Chapel;
  - 6.5.2 attendance for a significant part of the statutory December meeting of the Governing Body;
  - 6.5.3 attendance for a significant part of the statutory June Audit meeting of the Governing Body.
- 6.6 To encourage informal association between Fellows and those they teach or otherwise are responsible for, there are allowances towards entertainment, at different levels. Fellows should declare that they have spent such allowances, and provide appropriate evidence of expenditure, and the allowances will then be refunded in their accounts. Details of individual entitlement can be requested from the College Accountants.
- 6.7 An allowance is made in respect of books and other information media. Details are available from the Bursar and will be circulated annually. A discount of 18% is available on books purchased at Heffers and charged to Fellows' College accounts. The Bursarial Office will issue on request a Fellows' card for identification in Heffers.
- 6.8 The College encourages research by its Fellows by making an annual allowance available from a special discretionary fund. This cannot be claimed in retrospect but a three year tranche may be claimed in advance. Details are available from the Vice-Master and will be circulated annually.

***Review and Development***

- 6.9 There will normally be a review by the Fellowships Committee of the performance of a Fellow during any probationary period and at other times if the Fellowships Committee so decides or if the Governing Body so specifies. Such review may be conducted in accordance with procedures prescribed under Ordinance 28 and set out in Section 28 below.

6.10 Following the successful conclusion of a probationary period or where there has been no probationary period, a Fellow whose remuneration is provided entirely or in large part by the College, and whose contract of employment is with the College (e.g. a College Teaching Officer) will be subject to an annual review process, the details of which will be approved by the Governing Body. A Fellow whose remuneration is not provided entirely or mainly by the College but by the University of Cambridge, may nonetheless act as a College Officer and receive remuneration accordingly; he or she will also be subject to annual review for their College responsibilities alone. A Fellow whose remuneration is provided entirely or in large part by the University of Cambridge, or by another source, and whose contract of employment is with the University or that other source (e.g. a University Teaching Officer), and who does not act as a College Officer, will not normally be subject to formal annual review by the College, though the Senior Tutor will be responsible in the first instance for any oversight and review of his or her performance of College duties such as teaching and direction of studies.

### **Reporting**

6.11 At the end of every six years, a Fellow (who has successfully completed any applicable probationary period) will be invited by the Fellowships Committee to report to the Governing Body on:

- 6.11.1 the nature and extent of his or her contribution (teaching and otherwise) to the College during the preceding six year period;
- 6.11.2 his or her wider University contribution;
- 6.11.3 his or her research;
- 6.11.4 his or her updated CV, showing research and publications; and
- 6.11.5 any other relevant matters concerning the six year period or the future.

6.12 The Fellowships Committee may, if deemed necessary, seek letters of recommendation from experts not nominated by the Fellow.

6.13 Should the Fellowships Committee deem the Fellow's report to be unsatisfactory, it may refer the matter to the Master under Ordinance 21. Alternatively the Committee may make a recommendation in writing to the Fellow outlining the matters which the Committee deems necessary for the Fellow to address (and the period of time during which such matters need to be addressed). The Fellow will have the opportunity to attend or to comment to the Committee in writing upon the matters thus outlined. If, upon the expiry of the period specified, the Committee is satisfied that these matters continue not to be addressed, the Committee may refer the matter to the Master under Ordinance 21.

### **Residence**

6.14 The occasional overnight absence from Residence referred to in Ordinance 6.13 may, if unavoidable, include a day either side of the night in question. The object of the Ordinance is to ensure that Fellows are generally available in Full Term and particularly for those with teaching, pastoral or management responsibility to be available to deal with any pressing needs of Junior Members or of the College. If absences of more than one night per week are expected, application should be made to the Governing Body for permission to be absent.

### ***Terms applicable to the classes of Fellowships***

- 6.15 The terms applicable are:
- 6.15.1 Research Fellows: normally for three years, with the possibility of extension for up to a further year in exceptional circumstances if additional, external funding is obtained;
  - 6.15.2 Staff Fellows without a University office: normally, following a probationary period of three years, up to the mandatory retirement age;
  - 6.15.3 Staff Fellows with a University office: normally, following a probationary period of three years, for as long as the Fellow holds University office, up to the mandatory retirement age;
  - 6.15.4 Supernumerary Fellows: normally, following a probationary period of three years if he or she has not previously been a Fellow in another class, up to the mandatory retirement age, though in exceptional circumstances the Governing Body may decide to continue a Supernumerary Fellowship for a specified period beyond the mandatory retirement age.

### ***Duties of Fellows***

- 6.16 In addition to the duties set out in Ordinance 6.16, the Governing Body expects:
- 6.16.1 Research Fellows to pursue their research diligently;
  - 6.16.2 Staff Fellows in a Primary College Office to carry out the functions of the Office;
  - 6.16.3 Staff Fellows with a College teaching and research post to carry out the required teaching and research and to assist in the engagement of the College students and the management and direction of their education;
  - 6.16.4 Staff Fellows with a University office to take a significant role in the engagement and education of the College students and the management and direction of this aspect of the College;
  - 6.16.5 Supernumerary Fellows to carry out the specific duties allocated to them individually by the Governing Body.
- 6.17 The duties in Ordinance 6.16.3 relate to the general control of the College for which the Governing Body has responsibility and may be allocated as part of the Governing Body's need to distribute the execution and fulfilment of its responsibility between its Members. It is part of the primary role of Members of the Governing Body. Of course the Governing Body will endeavour to be reasonable in its allocation of tasks.
- 6.18 The duties referred to in Ordinance 6.16.4 relate to execution of one of the functions over which the Governing Body has control, and given that the Fellows are nearly all experts in this area, the Governing Body may wish to enlist the help of the Fellows in lieu of assigning or contracting out to others. The Governing Body would bear in mind the other responsibilities and duties of its Members and would wish to be reasonable in enlisting the assistance of its Members in the execution of these functions.

### ***Termination and Removal***

#### ***Failure of a condition***

6.19 The Master or his or her delegate should take expert advice in relation to any matter where Statute 6.13.3 may apply and, where there is forewarning about the failure of the condition, should consult with the Fellow concerned before confirming the failure of the condition and the resultant termination of the Fellowship.

6.20 If there is no forewarning, the Fellowship will end at the time of failure of the condition.

#### *Removal on retirement*

6.21 The Governing Body has identified and determined the following aims:

6.21.1 maintaining dignity within the Fellowship;

6.21.2 given the close relationship with the University, reflecting and complementing the aims of the University's policy on retirement.

6.22 On the basis of the aims identified and determined and set out in the previous section, the Governing Body has decided that a Fellow will accordingly cease to hold his or her Fellowship on the date on which a University Officer would have to retire from the University office.

#### ***Visiting Fellows, Industrial Fellows etc***

6.23 See Section 8 below.

### **SECTION 7 relating to Statute 7 and Ordinance 7**

#### **HONORARY AND EMERITUS FELLOWSHIPS**

7.1 The Governing Body has identified and determined the following purposes for conferring the title of Emeritus Fellow:

7.1.1 to encourage the interchange of ideas between younger and older members of the College;

7.1.2 to provide the opportunity for continued involvement in the College after retirement;

7.1.3 to retain the benefits of the experience of a Master or a Fellow who has had a long period of involvement in the College whilst opening the limited opportunities to hold a Fellowship to other generations;

7.1.4 to encourage the holding of College Offices in the College; and

7.1.5 to reward loyalty, long service and contribution to the College.

7.2 The eligibility period or periods for the title of Emeritus Fellow are or should total:

7.2.1 at least six years of holding a College Office or College Offices; or

7.2.2 at least 20 years as a Fellow of the College (or Fellow and Master); or

7.2.3 having attained the age of 60 at the date he or she vacates office, a period of lengthy service on the Fellowship considered sufficient to mark eligibility.

### **SECTION 8 relating to Statute 8 and Ordinance 8**

#### **FELLOW-COMMONERS**

### ***Visiting Fellows and Industrial Fellows***

- 8.1 Visiting Fellows and Industrial Fellows are not Fellows as defined under the Statutes and Ordinances of the College. They are in fact classes of Fellow Commoners. There will normally be no more than two Industrial Fellows at one time; an Industrial Fellowship will be for a period of three years. There will normally be no more than two Visiting Fellows at one time; a Visiting Fellowship may be held for up to three terms, with no renewal possible within a five-year period from the end of the Visiting Fellowship.
- 8.2 The Governing Body may define other classes of Fellow Commoners from time to time.

## **SECTION 9 relating to Statute 9 and Ordinance 9 COLLEGE OFFICES**

### ***Primary and Secondary College offices***

- 9.1 A College Office will normally be designated as a Primary College Office where it is expected to be a full time role and the source of the appointee's main remuneration (from the College and from elsewhere).
- 9.2 A Secondary College Office will not normally be full time or be the source of the appointee's main remuneration.
- 9.3 Where an appointment to the College Office of Bursar, Senior Tutor or Dean is to be made, the Governing Body will normally establish an Appointments Committee to manage the recruitment to the post.
- 9.4 Appointments to other College Offices will normally be recommended to the Governing Body by:
- 9.4.1 the Fellowships Committee of the Governing Body; or
  - 9.4.2 in the case of Stewards, the High Table Committee.
- 9.5 The Governing Body has delegated to the Stipend Committee, the Fellowships Committee and, to the extent that such Committees agree, to the Bursar, and may delegate to Appointments Committees, decisions regarding stipend and allowances for a College Office whilst reserving its right to make decisions in particular cases if it thinks it more appropriate to do so.

### ***Tutors***

- 9.6 Tutors will normally be appointed by the Master (after consultation with the Senior Tutor) for three years at a time, and may be re-appointed. All Tutors will be responsible in the first instance to the Senior Tutor.
- 9.7 In addition to the Senior Tutor and Graduate Tutor, there are currently an Arts Admissions Tutor, a Science Admissions Tutor, a Domus Tutor and a Deputy Graduate Tutor.

- 9.8 The Senior Tutor will be assisted by the Tutors in enforcing discipline, promoting the welfare of Junior Members of the College and maintaining, in conjunction with the Members of the College with teaching and teaching related duties, the educational provision of the College. No Tutor should take any disciplinary action without the consent of the Senior Tutor.

#### ***Stewards***

- 9.9 Currently there are the following Stewards: High Table, Silver, Combination Room, Wine, Furniture and Picture.

#### ***Probationary appointment***

- 9.1 The procedure for a review of a College Officer who has been appointed for an initial probationary period, will normally be:
- 9.1.1 for a Fellow, the procedure prescribed by the Governing Body under Ordinance 28; and
  - 9.1.2 for a College Officer who is not a Fellow, the procedure applicable to assistant staff.

#### ***Termination and Removal***

- 9.10 The Master or his or her delegate should take expert advice in relation to any matter where Statute 9.15.3 may apply and, where there is forewarning about the failure of the condition, should consult with the College Officer concerned before confirming the failure of the condition and the resultant termination of the holding of the office.
- 9.11 Removal from any Secondary Office held by a College Officer who is also an employee of the College will not constitute a breach of that employment contract.

### **SECTION 10 relating to Statute 10 and Ordinance 10 MEMBERSHIP OF THE COLLEGE**

*[No provisions have been made under this section.]*

### **SECTION 11 relating to Statute 11 and Ordinance 11 SCHOLARS**

*[No provisions have been made under this section.]*

### **SECTION 12 relating to Statute 12 and Ordinance 12 JUNIOR MEMBERS**

This section is currently under development; procedures relating to junior members are detailed in the Student Handbook for 2018/19.

**SECTION 13 relating to Statute 13 and Ordinance 13**

**COLLEGE ASSISTANTS**

***College Employees***

13.1 Subject to 13.2 below, the following employees will be appointed by the Governing Body or by a committee of the Governing Body authorised to do so but may be dismissed by the College Officer specified in the table below.

<b>Senior College Employee</b>	<b>Authority to dismiss</b>	<b>Appeal to</b>
Heads of Department	Junior Bursar	Bursar
Deputy Heads of Department	Junior Bursar	Bursar
Junior Bursar	Bursar	Committee of the Governing Body, excluding the Bursar

13.2 The Bursar may dismiss other College employees or may authorise, generally or specifically in relation to a particular post or posts, another College officer to do so. If that College officer has dismissed a College employee, the said employee may appeal against their dismissal to the Bursar. If the Bursar has carried out the dismissal of the employee or has authorised the particular dismissal, the employee may instead appeal against dismissal to an Appeal Committee appointed for this purpose by the Governing Body.

13.3 The Governing Body or its committee may instruct an appropriate College Officer to execute the formalities of an appointment on its behalf.

13.4 The Governing Body normally delegates to committees and to the extent that the appropriate committee agrees, to the Bursar, and/or to the Senior Tutor in the case of teaching posts, decisions regarding salary and benefits of College employees, whilst reserving its right to make decisions in particular cases if it thinks it more appropriate to do so.

***Contractors and consultants***

13.5 The Bursar or the Junior Bursar will normally be responsible for the formalities of engaging and ending the engagement of contractors and consultants providing services to the College, whether in teaching or otherwise. Where the contractors and consultants are engaged for teaching, the Bursar or Junior Bursar will liaise with the Senior Tutor and will only act with the agreement of the Senior Tutor.

13.6 The Governing Body normally delegates to committees and to the extent that the appropriate committee agrees, to the Bursar and/or to the Senior Tutor if the services are in teaching, all decisions regarding terms of engagement of contractors and consultants, whilst reserving its right to make decisions in particular cases if it thinks it more appropriate to do so.

### ***Staff Handbook***

- 13.7 Policies and procedures applicable to College employees, who are not Fellows, including policies and procedures regarding discipline, dismissal, grievances and appeals are set out in a Staff Handbook. The Bursar's office will manage the issue and updating of any Staff Handbook.

## **SECTION 15 relating to Statute 15 and Ordinance 15**

### **THE COLLEGE SEAL**

- 15.1 The College Seal should be affixed to the following documents: Property Deeds, contracts and powers of attorney executed as Deeds, and any other document needing to be executed as a Deed.
- 15.2 Those members of Governing Body who are appointed by Governing Body to act as witnesses to any sealing will be known as Key-Keepers. The Governing Body will appoint annually two Key-Keepers and up to three alternates, any two of which may carry out a sealing. The Bursar will always be one of the Key-Keepers.

## **SECTION 16 relating to Statute 16 and Ordinance 16**

### **COMMENCEMENT, REPEAL AND SAVINGS**

- 16.1 Decisions of the Governing Body which were made before the commencement of the Statutes and the Ordinances and which are operational at the commencement of the Statutes will remain valid until repealed by the Governing Body. The Master or other College Officer or Fellow should refer to the Governing Body for its consideration any such decision which conflicts or appears to conflict with the new Statutes or Ordinances.

## **SECTION 17 relating to Ordinance 17**

### **ADDITIONAL TEACHING DUTIES AND DIRECTOR OF STUDIES**

- 17.1 Before stopping additional teaching duties or the Director of Studies role taken on by a Fellow or College employee or other person contracted by the College, the Senior Tutor will consult with the Fellowships Committee of the Governing Body and with the Fellow or College employee or contractor concerned. A Fellow or College employee may appeal in writing to the Master whose decision on the matter will be final.
- 17.2 The Senior Tutor will report to the Education Policy Committee on all changes regarding Directors of Studies.

- 17.3 Unless agreed otherwise on appointment, the role of Director of Studies will form part of a person's existing role within the College.

## **SECTION 18 relating to Ordinance 18**

### **LEAVE OF ABSENCE**

- 18.1 Unless there are very exceptional reasons for not doing so, the Governing Body will agree to an application for sabbatical leave where the leave is to coincide with sabbatical leave granted by the University.
- 18.2 A person applying for Leave of Absence should apply to the Governing Body in writing as soon as possible but in any event no later than one Term in advance of the proposed commencement of the Leave of Absence.
- 18.3 Before applying to the Governing Body, a Fellow should discuss his/her proposed application with the relevant person/s and assist in the identification of alternates for covering his or her teaching duties (if any) and, where applicable, the duties of any College Office held. Wherever possible, such discussion/s should take place informally before any request is made to the University. The relevant person/s will normally be:
- 18.3.1 for duties of a College Office: the Master and, where appropriate, the Senior Tutor;  
and
  - 18.3.2 for teaching duties: the relevant Director of Studies.

## **SECTION 19 relating to Ordinance 19**

### **SUSPENSION**

- 19.1 Suspension under Ordinance 19.1, 19.2, 19.3 or 19.4 should be for as short a period as reasonably possible in all the circumstances of the case.
- 19.2 Any review of suspension under Ordinance 19.4 may take any form the person or committee conducting the review decides is appropriate in the circumstances. It will not normally entail any hearing or meeting with the Affected Master or Affected Fellow.
- 19.3 Suspension does not negate the presumption of innocence.

## **SECTION 20 relating to Ordinance 20**

### **GENERAL PROVISIONS RELATING TO SECTIONS 20 to 27**

- 20.1 Where a person or committee dealing with a matter under Ordinance 21 to 28 considers that a medical report regarding the Affected Master or Affected Fellow would be of assistance,

the Affected Master or Affected Fellow may also be invited to submit their own medical report.

- 20.2 The identity of witnesses will not normally be withheld from the Affected Master or Affected Fellow but, where there are strong grounds to keep the identity of any witnesses confidential (for example, a threat of physical harm), the papers may be redacted accordingly but they should contain an explanation as to the extent and the reasons why this has been done. The act of redaction will not indicate any presumption of guilt.
- 20.3 If a matter needs to be reported to the police, procedures may be postponed or suspended pending police or court procedures. A report to the police does not negate the presumption of innocence.

## **SECTION 21 relating to Ordinance 21**

### **FELLOWS: DISCIPLINARY PROCEDURES WITH SANCTIONS OTHER THAN REMOVAL**

#### ***Code of behaviour***

- 21.1 A code of behaviour applicable to Fellows is set out in Part B of these Regulations.

#### ***Formal procedure***

- 21.2 The notification to the Affected Fellow under Ordinance 21.5 will normally specify the Master's decision on:
- 21.2.1 what disciplinary sanction, if any, should apply;
  - 21.2.2 what, if any, improvements are needed and/or objectives to be met;
  - 21.2.3 the timescale for any review;
  - 21.2.4 the length of time for which any warning issued should remain in force.
- 21.3 If the Master is of the opinion that the conduct or performance of an Affected Fellow is sufficiently serious or that there has not been sufficient improvement since a previous warning, the disciplinary sanction may be a final written warning that other or repeated misconduct, unsatisfactory performance or other issue of concern may result in action being taken for Removal under Ordinance 22.

## **SECTION 22 relating to Ordinance 22**

### **MASTER AND FELLOWS: PROCEDURE FOR REMOVAL FOR REASON**

#### ***Gross misconduct***

- 22.1 Examples of behaviour which the College will normally treat as gross misconduct justifying proceedings under Ordinance 22 are set out in the Code of conduct for the Master and Fellows in Part B of these Regulations.

- 22.2 Whilst an instance of potential gross misconduct could result in action being taken under Ordinance 22 for Removal, no such action should be taken without first considering Section 1.3 above and the provisions of Statute 6.16.5.

## **SECTION 24 relating to Ordinance 24 REDUNDANCY**

- 24.1 Redundancy arises, according to the law, where the proposed reduction is wholly or mainly attributable to:
- 24.1.1 the College ceasing or intending to cease:
    - 24.1.1.1 to carry on the activity for the purposes of which the Fellow was appointed; or
    - 24.1.1.2 to carry on that activity in the place where the Fellow was working; or
  - 24.1.2 the ceasing or diminishing or the expectation of ceasing or diminishing of the requirements of the College for Fellows:
    - 24.1.2.1 to carry out work of a particular kind; or
    - 24.1.2.2 to carry out work of a particular kind in the place where the Fellow was working.
- 24.2 Before reporting to the Governing Body with its recommendations for particular redundancies under Ordinance 23.4, the Redundancy Committee will normally:
- 24.2.1 identify the Fellow or Fellows, who will be at risk of redundancy and who will then become the Affected Fellow or Fellows;
  - 24.2.2 notify each Affected Fellow:
    - 24.2.2.1 of the risk of redundancy;
    - 24.2.2.2 whether it is all or part of the Affected Fellow's Fellowship or Primary Office or employment which is at risk and whether Fellowship could then terminate on the basis of a failure of a condition or on the basis of a reason falling under Ordinance 1.2.4.4;
    - 24.2.2.3 of the commencement of a period during which there will be consultation with the Affected Fellow;
    - 24.2.2.4 of any selection criteria to be used to decide whether the Affected Fellow will be made redundant; and
    - 24.2.2.5 of the Affected Fellow's right under Ordinance 20.12 to be accompanied at any formal meetings.
  - 24.2.3 consult with the Affected Fellow or Fellows in the consultation period;
  - 24.2.4 take any steps made necessary by the results of the consultation.
- 24.3 In carrying out the procedures and making decisions under this Section 24, the Governing Body and the Redundancy Committee should, in addition to observing the guiding principles stated in Statute 6.163, be alert to any ways in which redundancy could be avoided.

## **SECTION 25 relating to Ordinance 25**

### **MASTER AND FELLOWS: REMOVAL ON THE EXPIRY, WITHOUT RENEWAL, OF LIMITED PERIOD APPOINTMENTS OR EMPLOYMENTS OR ON RETIREMENT**

- 25.1 The Bursary will forward notifications of retirement dates and of end dates of fixed terms to the Responsible Person:
- 25.1.1 In the case of retirements and of fixed terms of one year or over in length, approximately six months prior to the retirement or end date;
  - 25.1.2 In the case of fixed terms that are under one year in length, approximately two months prior to the end date.
- 25.2 The aim should be for the consultation meeting or meetings referred to in Ordinance 25.2 to take place wherever possible at least five months prior to the retirement or expiry of the fixed term in cases falling under 25.1.1 above and at least 6 weeks in cases falling under 25.1.2 above.
- 25.1 The purpose of the consultation is to:
- 25.1.1 notify the Affected Master or Affected Fellow that there is a possibility of Removal at the end of the limited period, or at the set retirement date, as the case may be, including whether Fellowship could then terminate on the basis of a failure of a condition or on the basis of a reason falling under Ordinance 1.2.4.4;
  - 25.1.2 invite his or her response;
  - 25.1.3 consider the response/s of the Affected Master or Affected Fellow; and
  - 25.1.4 explore any other reasonable options.
- 25.3 The Responsible Person will endeavour informally to notify the Affected Master or Affected Fellow concerned of the conclusion of the consultation at least four months prior to the end date in cases falling under 25.1.1 above and at least one month prior to the end date in cases falling under 25.1.2 above.
- 25.4 The Responsible Person should continue to consider redeployment opportunities within the College and notify the Affected Master or Affected Fellow of these and should keep in regular contact with the Affected Master or Affected Fellow up until their last day.
- 25.5 The form '**End of Fixed Term/Retirement Consultation Record Form**' in Appendix 1 should be used to record the consultation.

## **SECTION 26 relating to Ordinance 26**

### **MASTER AND FELLOWS: APPEALS PROCEDURES**

- 26.1 The time limit for lodging an appeal will be 21 days from the date on which notice of the decision being appealed from was delivered to the Affected Master or Affected Fellow.

- 26.2 The Appeal Committee will decide whether or not the hearing should take the form of a re-hearing of all or some of the evidence or be more limited and will notify the Affected Master or Affected Fellow accordingly.

**SECTION 27 relating to Ordinance 27**

**FELLOWS: GRIEVANCE PROCEDURES**

- 27.1 The grievances to which Ordinance 27 applies are ones concerning a College Office, employment or Fellowship held by the Affected Fellow and relating to :
- 27.1.1 matters affecting the Affected Fellow as an individual; or
  - 27.1.2 matters affecting the personal dealings or relationships of the Affected Fellow with other Members or staff of the College.
- 27.2 Where possible an Affected Fellow should endeavour to raise and resolve a grievance either:
- 27.2.1 informally with the Master; or
  - 27.2.2 where appropriate, during the course of proceedings under Ordinance 21 to 26.
- 27.3 A person or committee considering a grievance under Ordinance 27 should, where necessary, clarify the details of the grievance and explore with the Affected Fellow how the Affected Fellow considers that the grievance, if not dismissed, could be resolved.
- 27.4 The time limit for lodging an appeal will be 14 days from the date on which notice of the decision appealed from was sent to the Affected Fellow.
- 27.5 The hearing by the Fellows Grievance Committee need not take the form of a re-hearing.

**SECTION 28 relating to Ordinance 28**

**FELLOWS: PROBATIONARY APPOINTMENTS**

- 28.1 The policy and procedure applicable to Probationary appointments of Fellows is set out in Part B below.

**SECTION 29 relating to Ordinance 29**

**FELLOWS: EXPIRY OF RESEARCH FELLOWS' ELECTION**

- 29.1 The policy and procedure applicable to the expiry of the term of election of a Research Fellow is set out in Part B below.

**SECTION 30 relating to Ordinance 14  
FELLOWS: CTO PROMOTION SCHEME**

- 30.1. A CTO appointed as a College Lecturer may apply for promotion to Senior College Lecturer, by following the procedure set out in Part B 6 to these Regulations. If a College Lecturer or Senior College Lecturer is accorded recognition by the University as an Honorary Reader or Honorary Professor, a reference may be made to the Stipends Committee for further consideration.

**PART B:        POLICIES RELATING TO THE MASTER AND/OR TO FELLOWS**

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**NB: Other policies which relate to both Assistant (non-Academic) Staff and Fellows may be published on the College's website. These include: Policy on Conflicts of Interest, Statement on Freedom of Speech, and Media Engagement Policy.**

## **PART B: POLICIES RELATING TO THE MASTER AND/OR TO FELLOWS**

### **1. Introduction**

This Part B sets out policies currently used in College or policies the Governing Body wishes to be followed. It also sets out the behavioural expectations that the Governing Body has of College Fellows. The Governing Body may change the provisions in this Part B by Ordinary Resolution at any time and may also decide, at its discretion in any particular case or cases, not to follow or apply some or all of a policy.

The Governing Body requests that Fellows follow the policies and observe the behavioural standards set out in this Part B.

Exceptionally policies can be adapted in operation where there is really good cause to do so. Preferably this should only happen after discussion with the College Officer responsible for the relevant area of the College's operation or, if that is unclear, with the Master. If a policy is adapted, then the Governing Body requests that a note is kept of the reason for the adaptation or deviation so that consideration can be given to any changes.

If it is found that a policy is not or not sufficiently fit for purpose in any way, it is hoped that a report will be made to the Master so that consideration can be given to changing it.

Suggestions for changes or for other policies should also be made to the Master.

College Officers and Committees are asked to keep under review the provisions that relate to their areas of responsibility. Additionally the Vice Master is asked to review the provisions of this Part B at least once in his/her 4 year term.

The word 'should' is used to indicate where something is strongly advised or requested by the Governing Body. The word 'must' is used where a legal requirement applies.

## **2. Code of Conduct for the Master and Fellows**

### *Introduction*

1. The Code of Conduct set out below is designed to cover the main areas of the standards of behaviour expected by the College as a place of education, learning, religion and research.
2. A breach of the Code could result in disciplinary action being taken under Ordinance 21. Further or repeated breaches could result in action being taken under Ordinance 22. An instance of gross misconduct will normally lead to summary dismissal (but only after due process under Ordinance 22).

### *Standards of behaviour*

3. Every member of the College is expected to comply with the standards of behaviour published from time to time and in any event to behave in a reasonable manner at all times.
4. Examples (non-exhaustive) of the standards the College expects are:
  - 4.1 compliance with its rules relating to requests for leave and notification of absence;
  - 4.2 good timekeeping;
  - 4.3 a high level of quality, accuracy and diligence in work;
  - 4.4 maintenance of confidentiality, both during a person's association with the College and at all times after its termination, of all information gained in the course of Fellowship, office or employment about the running of the College, or about the College's students, donors or alumni except in circumstances in which disclosure is required by law or in the course of the performance of duties in the College or is a permitted protected disclosure under the Employment Rights Act 1996;
  - 4.5 loyalty and honesty;
  - 4.6 maintenance of reasonable standards of politeness;
  - 4.7 safeguarding of the reputation of the College and preservation of professional relationships with its donors and alumni;
  - 4.8 compliance with the College's policies issued from time to time, for example on equal opportunities, dignity at work, health and safety, whistleblowing, smoking;
  - 4.9 compliance with the University's rules on computer use, good citizenship and best practice, misconduct in research;
  - 4.10 compliance with reasonable instructions from the Master or other senior College Officer authorised to issue such instruction;
  - 4.11 care of the College's property and equipment.

### *Gross Misconduct*

5. Examples (non-exhaustive) of behaviour which the College will normally regard as gross misconduct and will lead to proceedings under Ordinance 22 are:
  - 5.1 theft, dishonesty, or fraud;
  - 5.2 assault, act of violence, or aggression;

- 5.3 possession or use of non-prescribed drugs on College premises;
- 5.4 serious incapability at work brought on by alcohol or non-prescribed drugs;
- 5.5 wilful damage to the College's property or the property of its students or visitors;
- 5.6 serious insubordination;
- 5.7 falsification of records or other College documents, including those relating to obtaining employment;
- 5.8 unlawful discrimination, harassment or bullying;
- 5.9 refusal to carry out reasonable management instructions;
- 5.10 bribery or corruption;
- 5.11 acts of indecency or sexual harassment;
- 5.12 serious breach of the health and safety policies and procedures, or endangering the health and safety of a person;
- 5.13 breach of confidentiality, including the unauthorised disclosure of College business to the media or any other party (subject to the Public Interest Disclosure Act 1998);
- 5.14 unauthorised access to or use of computer data or computer hardware;
- 5.15 copying of computer software, other than when authorised;
- 5.16 bringing the College into disrepute;
- 5.17 misuse of the College name;
- 5.18 serious breach of the College's policies or procedures;
- 5.19 serious negligence which causes or might cause unacceptable loss, damage or injury;  
or
- 5.20 conviction of a criminal offence (except for minor road traffic offences).

*NB: Your attention is drawn to the Introduction to Part B.*

### **3. Probationary Appointments**

#### ***Generally***

- 1 Probation is the period during which a person will demonstrate that he or she has the capability to undertake the duties or functions of the role/s he or she has in College. The College will endeavor to provide guidance and support to enable the individual to perform the role but given the independent nature of many roles in College a person on probation is encouraged to raise issues and seek help or guidance from the College if they are at all uncertain about what is expected of them.
- 2 There should be clear evidence of consistent, satisfactory performance of duties during the probationary period if the probationary period is to be confirmed as successful.
- 3 The person will have the opportunity of induction, training and guidance. This will involve enabling the person to develop skills in teaching, examining and research, and wherever practicable to contribute to the general work of the College.
- 4 Instances of misconduct, rather than lack of capability or poor performance, will normally be dealt with separately in accordance with Ordinance 21 for Fellows, or in accordance with the Staff Handbook disciplinary procedure for staff who are not Fellows, and not under the probationary scheme. However they will be taken into account when deciding whether the probationary period has succeeded or failed. Serious instances of misconduct will be considered under this scheme and not under Ordinances 21 or 22.
- 5 The termination of a role during or at the end of probation may, in some cases, be a dismissal in law and in all cases the College wishes to be able to demonstrate that the probationary procedure and decision making has been conducted properly and fairly.
- 6 Exceptionally, the probationary period (which in normal circumstances will be three years from the date of the commencement of appointment) may be extended where a person has not had sufficient time to demonstrate her/his suitability due to factors beyond her/his control.
- 7 The Master will confirm, in relation to a Fellow, the success or failure of a probationary period. The Master may also extend it in exceptional circumstances.
- 8 In relation to a person who is not a Fellow, confirmation of the success or failure or the extension of a probationary period will be by the Bursar or the Senior Tutor or other designated manager.

#### ***Fellows on probationary periods***

##### ***Mentors and training***

9. A Fellow on a probationary period will be assigned a mentor to give advice and support.
10. The Fellow on a probationary period should participate in appropriate training and development activities, including opportunities which form part of the University's development programme for academic staff. The College participates in the [Pathways to](#)

[Higher Education Practice](#) for new teaching staff developed by the University of Cambridge. Attendance at 'core' activities, including those dealing with the statutory and legal framework, is mandatory for probationary Fellows or non-Fellows with teaching duties.

*Meetings and preliminary assessment of a Fellow with teaching duties*

11. Before the beginning of the Fellow's first teaching term, the Senior Tutor or person nominated by her/him will hold a preliminary one-to-one meeting with the Fellow to discuss the duties of the office, mutual expectations and the Fellow's development needs. In addition to those core activities referred to above, the Senior Tutor will identify in consultation with the Fellow any further essential requirements and note these on the record of progress form.
12. In the course of the probationary period, information as to progress will be gathered at appropriate intervals and will normally include the views of senior colleagues, where appropriate, on teaching, research, and general contribution. Student feedback and peer observation may also be taken into account.
13. The Senior Tutor, or the person delegated to oversee the Fellow, will meet with the Fellow at least once a year. A written record of progress will be completed and kept by both parties. Where concern arises about aspects of a Fellow's performance, more regular meetings will be held and a record kept. The purpose of each meeting is to review the Fellow's progress under the general headings of teaching, research, or other duties of the Fellow and, where appropriate, general contribution to the work of the College and to provide an opportunity for the Fellow to comment on the assessment. [Form PROB/R1](#) will be used for each year of probation and [form PROB/A1](#) for the final assessment.

*Performance criteria*

14. Performance will be assessed against the criteria appropriate for the office or role held. There should be no doubt that the Fellow has been performing according to all the criteria appropriate for the office or role and at a level appropriate in the Cambridge University context. The main focus of assessment will be on teaching and research (except to the extent that one or other of these areas is an inappropriate category of assessment for the individual concerned) or other main duties of the Fellow, if different. A positive general contribution to the work of the College may also be taken into account in the overall assessment of performance. University teaching may also be taken into account as part of the assessment of overall performance provided there is no adverse effect on the contribution to the College.
15. The evidence on which formal and final assessments will be based is the record of assessment on the probationary form [PROB/R1](#) and, in the case of a Fellow with teaching duties, both internal and external references.
16. Three references will be sought of which at least one will be external, unless there is no duty to undertake research. The Fellow will nominate three referees. The Senior Tutor is at liberty to seek additional references. The names of these referees are not disclosable to the Fellow for the purposes of this procedure. The Senior Tutor may decide at this stage, on the basis of

the referees' reports and the record of probation, to recommend to the Governing Body via the Fellowships Committee that the appointment be confirmed.

*Evidence of formal/final assessments*

17. The responsibility for making the final overall assessment of the performance of a Fellow rests with the Fellowships Committee.
18. Consideration will be given to any special circumstances that may have resulted in a lack of opportunity for the Fellow to perform to her/his full potential on account of disability.
19. The final assessment may take place in the course of the penultimate or last year of the probationary period depending on the Fellow's progress. The evidence will be the record of probation (PROB/R1) and references. If it is decided that early confirmation of successful conclusion of the probationary period is premature, references will be updated and/or additional references sought for the final assessment.

*Decision and subsequent action*

20. Where performance during probation has been satisfactory, the Senior Tutor will present a case to the Fellowships Committee who will decide on whether to make a positive recommendation for the confirmation of appointment to the Governing Body. Performance records and references will be made available to the Fellowships Committee and the Governing Body.
21. On confirmation of successful completion of the probationary period by the Governing Body, the Senior Tutor will inform the Fellow concerned that probation has been satisfactorily completed.
22. Where there have been concerns about the performance of the Fellow, the Senior Tutor should detail these concerns on the form and ensure that the Fellow receives a copy. The Fellow should be given an opportunity to make written representations to the Fellowships Committee and may attend the meeting of the Fellowships Committee in order to present her/his case. The Fellow may be accompanied to such a meeting by another Fellow or by a trade union official of his or her choice if he or she reasonably requests to be accompanied.
23. In the event that performance is judged not to be satisfactory, the Fellowships Committee will instruct the Senior Tutor to inform the Fellow that their assessment is that the probation has failed and that the Fellowship and all relevant offices and employments should terminate accordingly. The Fellow will be given written reasons for this conclusion and notified of the effect on his or her Fellowship, offices or employments and of the right of appeal under Ordinance 26.
24. In cases where there has been an extension of the probationary period final assessment and decision will take place in the extended period.

### *Notice*

25. A Fellow who has failed the probationary period will be paid in lieu of any statutory notice entitlement but the Governing Body, on a recommendation from the Fellowships Committee, may increase that to payment in lieu of three months' stipend provided that the probationary period did not fail in the first year of the probation. The Senior Tutor will convey the decision of the Governing Body to the Fellow.

### *Grievances*

26. If a Fellow, subject to a probationary period, has a grievance, such grievance should be raised under Ordinance 27.

*NB: Your attention is drawn to the Introduction to Part B.*

#### **4. Research Fellows: Expiry of Election Period**

1. In reasonable time before the expiry of the limited period of appointment of a Research Fellow, the Master may meet with the Research Fellow to notify the Research Fellow that Removal at the expiry of the limited period is imminent.
2. Following the meeting with the Research Fellow, the Master will decide whether:
  - 2.1 Removal should be effected on the expiry of the term of appointment as normal; or
  - 2.2 exceptionally, the Governing Body may be requested to consider, via the Fellowships Committee, situations in which deferral of take up of a Research Fellowship might take place for up to a year, or in which the tenure of a Research Fellowship might be intermitted or extended (often dependent upon external funding) by a maximum of 12 months; overall, however, tenure of a Research Fellowship should not exceed four years in total, with financial support available from the College for three of those four years.
3. The Master will notify the Governing Body and the Research Fellow of his or her decision accordingly and, where applicable, refer the case to the Governing Body, for its decision on the request referred to in 2.2 above.
4. If the decision of the Master is that the Removal should be effected or if the Governing Body does not grant any request made to it, the Master will notify the Research Fellow of the Removal by expiry of the term of appointment and of the right of appeal under Ordinance 26.

*NB: Your attention is drawn to the Introduction to Part B.*

## 5. Guide for the Annual Review of College Officers

*Below is a brief guide to the annual review process for College officers, including teaching officers.*

### Introduction

As an employer the College has a responsibility to review all of its employees and to assess how it can best help to encourage their development and their contribution to the College. For Fellows, the ultimate responsibility for this lies with the Electors to the particular Fellowship, which is the Governing Body. There is a separate review system for College staff. For most Fellows of the College, the need for such a review is met in the Faculty or Department. The College's own review process, as described here, is for those Fellows (including for this purpose the Master) employed by the College in fulfilment of particular College responsibilities, including teaching.

The Annual Review is a formal process involving the College, as employer, and a College Officer. It ensures that a College Officer has a formal opportunity to discuss progress and any help he or she may need in meeting their objectives. Through the process, the College aims to:

- provide an opportunity for positive and constructive two-way review of work progress and aspirations
- allow agreement of an action plan
- provide for discussion of training, and other, needs for the current role and for career development.
- allow for identification and discussion of difficulties or obstacles to effectiveness
- provide a way of balancing personal needs and ambitions with the responsibilities of employment by the College.

### Principles

1. The intention is that this procedure should be straightforward, efficient and not burdensome. It should also fit into the current practices for the management of the College. It must also be demonstrably transparent and fair with appropriate training being given where necessary to those who carry out the reviews.
2. College Teaching Officers will normally be appraised by the Master and Senior Tutor in conjunction with an external, non-College member of the teaching officer's Faculty towards the end of their first year of appointment, and alternate years thereafter. Every College Officer should have an annual review, which will normally be carried out by the person to whom the College officer concerned is directly accountable, and at the most senior level by external appointees. The Junior Bursar will normally be appraised by the Bursar, and with another senior officer present; the Director of Music will normally be appraised by the Dean of Chapel, and with another senior officer present; the Graduate Tutor and Admissions Tutors will normally be appraised by the Senior Tutor, and again with another senior officer present; the Dean of Chapel will be appraised by the Master, with another senior officer present; and the Fellow-Archivist and Librarian will be appraised by the Senior Tutor, with

again another senior officer present. If they so wish, these officers may ask to be appraised only by the Bursar (in the case of the Junior Bursar), the Dean of Chapel (Director of Music), the Senior Tutor (Graduate and Admissions Tutors, Fellow-Archivist and Librarian), and the Master (Dean of Chapel). The Development Director will be appraised by the Bursar and the Master. The Bursar and the Senior Tutor will normally be appraised by the Master in conjunction with an external adviser such as a Bursar or Senior Tutor from another college. The Master will normally be appraised by two people, one of whom should be the Bursar or Senior Tutor, and the other an external person at an equivalent level (for example, another head of house). In some cases, where the senior officer concerned also acts as a College Teaching Officer, rather than a second senior officer present in addition to the main appraiser, it may be appropriate to have present an external, non-College member of the teaching officer's Faculty, in alternate years, in order to avoid duplication of appraisal.

3. The purpose of the review is to ensure ultimately that the Governing Body, through the Stipends Committee, has the information it requires in order to determine the privileges and duties of the College Officer. But this is in a broad sense only, and does not imply a direct connection between appraisal and stipend increases. In all cases, it will only be necessary to report to the Stipends Committee that an appraisal has taken place.
4. The review should involve an open discussion of the College Officer's current duties and performance; what additional support might be required; and what areas have been successful or require further work. The result of the review should be written and signed by both the College Officer and the reviewer(s) as a fair record. This document should be kept in the College Officer's confidential personnel file.
5. The College Officer and the reviewer(s) may, if they wish, agree that in every second year the review may be a less formal process, although a written record of the review should still be agreed and kept.

## **Procedure**

There are three key stages – preparation, review meeting and recording.

### **a. Preparation**

The College Officer assembles the documents to bring to the meeting; these may include a *curriculum vitae*, a list of key activities, an assessment of achievements since appointment, as well as any documents requested by the reviewer.

Preparation should involve:

- Taking stock of progress against personal and professional plans, e.g. achievements and responsibilities, since appointment.
- Thinking about successes and difficulties, and considering what lessons can be learnt for the future.

- Looking ahead to the coming year and outlining key personal and professional plans, and thinking about what might hamper these plans and about any training and development needs, now or in the longer term.
- Looking ahead five or ten years and considering career aspirations, and the any steps necessary for their achievement.

An Annual Review Pre-meeting form should be completed and sent to the reviewer(s) at least a week before the review meeting. The form is an opportunity to identify specific points for discussion. It will remain confidential, and will not form part of the official record. The questions raised on this form are, however, similar to those proposed for the Record of Annual Review form and so the information may be transferred to the Record.

**b. Review Meeting**

Discussion in the meeting itself, on the basis of the documentation, centres on progress and development needs before agreeing an action plan for the future. The arrangements for the review should ensure that the discussion is uninterrupted and confidential. The meeting would normally take about an hour. The details of the discussion remain confidential to the College Officer and his or her reviewer(s), unless the College Officer agrees otherwise.

**c. Record of the Review**

The discussion and subsequent decisions are then agreed by the College Officer and the reviewer(s), and recorded by the reviewer on the Record of Annual Review form. The College Officer signs this form to signify his or her agreement with what is recorded there.

The completed Record of Annual Review form will become part of the College Officer's official College record. As with any personal data it will be treated with the strictest confidence and only those who need it will be given access to it.

**Conclusion**

It is expected that the Annual Review will usually result in an agreed record that both College Officer and reviewer(s) think is accurate and positive. In such circumstances, the Reviewer should report to the Stipends Committee that the Annual Review has taken place, but would not be expected to give further details. If, exceptionally, it is not possible to reach a satisfactory agreement, then the Master may need to consider what further information or action is required.

## **6. CTO Promotion Scheme**

1. All CTOs appointed after 1 October 2018 will be appointed as College Lecturers (CL), normally on point 45 of the existing University pay scale. In exceptional circumstances Governing Body, on the recommendation of the Fellowships Committee, may appoint a new CTO on a higher scale. They may then proceed up the scale with annual increments. They will be reviewed in accordance with existing College practice, as set out in Part B 3 (Probationary Appointments) and Part B 5 of the Regulations.
2. On confirmation of appointment to the retirement age, when they have passed the three-year probation period, CTOs as CLs will continue, all being well, to be awarded an annual increment, rising to point 57 of the existing University pay scale.
3. When they reach point 57 of this scale they will not proceed to the next stage without submitting a formal application for appointment to Senior College Lecturer (SCL). This will be broadly in line with the procedure outlined in Part B 5 of the Regulations, but tailored specifically for this stage of the appointments process, as outlined here in paragraphs 5 and 6. Those passing this stage of the review will become SCLs. There will be four points on this scale, rising to a maximum point 61. However CLs may also apply for promotion to SCL, skipping points on the scale, before they reach point 57. An application for promotion to SCL will not normally be considered until five years after an initial appointment as CL.
4. Stipends Committee may recommend to Governing Body the award of more than one increment in one year, if the annual review process has been satisfactorily followed and a specific case is made to the Stipends Committee by the Senior Tutor.
5. An application for promotion from CL to SCL can be made as follows. The applicant will submit a letter of application, a CV, and three names of referees. The letter of application will need to address the candidate's record of research and publication, their College and other teaching, their effective contribution to their subject area other than in teaching and research, and their other forms of contribution to the life and work of the College. The application should be submitted in the first instance to the Senior Tutor, and will be considered by the Fellowships Committee. At least one of the referees will be another member of the Fellowship, one will be able to comment on the applicant's teaching, research and wider contribution to his or her subject (it would be usual for a senior member of the applicant's University Department or Faculty to supply a reference), and one will be an external (i.e. non-Cambridge) referee also able to comment on the applicant's research and subject contribution. The application when sent to the Fellowships Committee should also normally include a letter of support from the Senior Tutor, which will include specific comment on the Fellow's College teaching and wider College contribution. In order to apply from the beginning of a new academic year, an application will need to have been submitted to the Senior Tutor by the end of the September of the preceding academic year (i.e. a full year in advance), and will need to have been made in full, that is with all relevant documentation assembled, including names of referees but not the references themselves.

For an unsuccessful candidate there can be one further application during one out of the two following years.

6. The Fellowships Committee will consider the application at its meeting in Michaelmas Term and decide whether there is a *prima facie* case for promotion. If it considers there is, it will ask for references to be taken up; it will also request up to three further references, taking into consideration if necessary the advice of a senior member of the relevant Faculty. It will then refer the application to a Panel of Reference to be established for the purpose. The Panel will be chaired by the Master; it will include a senior academic from outside the College, and two Senior Tutors from other colleges, as well as the Senior Tutor of Trinity Hall and one other member of the Fellowship. If necessary the Fellowships Committee may in addition seek the views of the Head of the relevant University Department or Faculty. The Panel of Reference will use numeric scores to assess applications along similar lines to those employed in the University's promotions process, but the scores will not normally be revealed to candidates; the Panel will however be expected to provide constructive feedback in the event of an unsuccessful application. The application with all relevant documentation including references will return to the Fellowships Committee in Lent Term. Under delegated authority from Governing Body, Fellowships Committee will determine whether or not to approve the recommendation. If a positive recommendation is agreed, the Governing Body will be notified at its next meeting. An appeal against an unsuccessful application, on procedural grounds only, will be addressed to the Governing Body, identifying the procedural grounds on which the application was unsuccessful and which the applicant seeks to have reviewed.
7. Under the process set out in the University Ordinances, Chapter XI, p. 683, CTOs may be put forward for consideration for the title of Honorary Reader or Honorary Professor. A reference may be made in this instance to the Stipends Committee for consideration of any particular recommendation in relation to stipend.
8. CTOs appointed before 1 October 2018 may opt in to this scheme at the equivalent level to their current grade; they will be deemed to be CLs. They may also apply for promotion to SCL, if appropriate, skipping steps on the scale.

*NB: Your attention is drawn to the Introduction to Part B.*

**PART C:      FORMS**

Where relevant, copies of forms covering probation and review may be obtained from the Master.

**PART D: HISTORY OF THE STATUTES REVISION AND OF THE APPROVAL OF THE ORDINANCES AND THE GOVERNING BODY (GB) REGULATIONS**

c. 2012	GB Handbook/Regulations (first version) approved by GB
16 March 2016	Ordinances approved by University and adopted by the College
8 March 2017	Revised Statutes approved by Privy Council
13 June 2017	GB Regulations approved by GB
6 February 2018	Fellowship Committee redraft of Regulations 6.11 – 6.13 approved by GB
1 December 2020	GB approval of Fellowship Committee CTO Promotion Scheme proposal
30 June 2020	GB approval of amendment of Ordinance 9, of amendment of Regulation 3.3/3.4 and creation of Regulation 3.17