



# **FITNESS TO PRACTISE PROCEDURE**

Issued by Standards and Enhancement Office

Approved by Senate May 2017

## **1. Introduction**

- 1.1. In order to discharge its responsibilities the University has adopted these procedures which apply to all students following Programmes accredited by professional, statutory or regulatory bodies which require the University to make a 'Fitness to Practise' or equivalent declaration; where a student subject to a professional code of conduct is undertaking a relevant programme of continuing professional development; or where a student, as part of their programme of study, is involved with activities which would be adversely impacted upon in the event of conduct or competency concerns of the student being evident.
- 1.2. Students following programmes affected by the Fitness to Practise Procedure shall not engage in any conduct which renders him/her not fit to be admitted to and practise that relevant profession.
- 1.3. In accepting the offer of a place at the University, students are committed to strict compliance with all the regulations, policies and procedures of the University. Students are reminded that the regulations, policies and procedures apply equally offsite and especially in the various placement settings into which students may be placed as part of their Programme of Study.
- 1.4. Confidentiality shall be maintained in all proceedings unless the Vice Chancellor directs otherwise or when a professional and/or statutory body requires notification of Fitness to Practise issues.
- 1.5. An enhanced Disclosure and Barring Service (DBS) disclosure may be required for admission to some of the University's programmes.
- 1.6. Students who are Disclosure and Barring Service (DBS) barred may not be permitted to take up a place on a Programme that includes a fitness to practise element.
- 1.7. Students who are on a Programme that is affected by the Fitness to Practise Procedures and who have a change to their fitness to practise status (including a change to their health status or criminal record) during their studies may be subject to the University of Bolton Student Non Academic Conduct and Disciplinary Policy and Procedure or/and the Fitness to Practise Procedure or/and the Health, Wellbeing and Supported Study Policy as appropriate.
- 1.8. The principles contained in this procedure will be taken into account in the development and design of new programmes seeking professional body accreditation involving a 'Fitness to Practise' requirement.
- 1.9. The Fitness to Practise Procedure is not intended to replace the Student Non Academic Conduct and Disciplinary Policy and Procedure, Health, Wellbeing and Supported Study Policy and/or Academic Misconduct regulations, policies and procedures. Where a student is alleged to have committed a disciplinary offence or breached the Academic Misconduct regulations, then these procedures would normally be completed before the Fitness to Practise procedures are commenced.
- 1.10. Upon receiving a potential fitness to practise matter, the Head of School/Academic Area (or nominee if the Head of School/Academic Area is not available) in consultation with

Standards and Enhancement Office will determine if other relevant University procedures are to be invoked.

- 1.11. The alleged concern may be dealt with under the Student Non Academic Conduct and Disciplinary Policy and Procedure; and/or under the Academic Misconduct Regulations prior to the Fitness to Practise Procedures being invoked.
- 1.12. Complex cases may take longer than the usual timeframe and students will be informed of the delay and the anticipated date for the process to be concluded.
- 1.13. The University will consider a student's previous disciplinary and fitness to practise record and, if relevant, their health record, when determining their overall fitness to practise.
- 1.14. Temporary suspension under sections 11 and 12 of these procedures may be invoked if deemed necessary.

## **2. Provision Affected by the Fitness to Practise Procedures**

2.1. Fitness to Practise is relevant to the following University of Bolton provision:

- Nursing, Dental and all programmes allied to health
- Social, Youth and Community Studies, Early Years Childhood Studies
- Teaching and Education
- Psychology, Counselling and programmes allied to Counselling, CBT and Psychotherapy
- Sports Development, Coaching and Rehabilitation
- Law programmes which lead to professional qualifications
- Accountancy programmes which lead to professional qualifications

2.2. The programmes covered by these procedures are listed in Annex 1.

2.3. Programmes which are subject to these procedures should be identified at the time of initial validation, and publicised to students by inclusion in all publicly available information, including:

- Prospectuses (online and printed)
- Programme Specifications
- Programme Handbooks

## **3. Purpose of the University Fitness to Practise Procedures**

3.1 The curriculum in programmes with Fitness to Practise considerations addresses key practise skills to ensure students are exposed to the professional requirements of the relevant profession. In addition the University of Bolton has procedures to enable appropriate investigation of fitness to practise issues if and when they emerge. Such procedures are necessary, amongst other matters, to:

- Comply with the requirements of the professional bodies;

- Protect individuals the student has contact with during professional training;
  - Ensure students are appropriately prepared for entry to the profession, have developed professional attitudes and clearly understand and demonstrate professional and competent behaviour;
- 3.2 It should be noted that academic staff and work-based tutors or mentors have a responsibility (and may have a professional duty) to report causes for concern about a student's fitness to practise.
- 3.3 In the event that a Professional Body has specific requirements in relation to the way in which a Fitness to Practise process is structured and invoked, the Professional Body requirements will be included within the University of Bolton procedures.
- 4. Safeguarding and Referral to the Disclosure and Barring Services (DBS)**
- 4.1 Under the provisions of the Safeguarding Vulnerable Groups Act 2006, the University is required to:
- Ensure that students engaged in a regulated activity have obtained an enhanced Disclosure and Barring Services (DBS) certificate which covers both children and adults; and
  - Check their DBS status before commencing a work-based placement<sup>1</sup>.
- 4.2 The University must not knowingly allow a barred individual to engage in a regulated activity and must refer certain information to the DBS where permission is withdrawn for the individual to engage in regulated activity or would or might have done so had the individual not ceased the activity. Regulated activities include activities that involve contact with children or vulnerable adults as defined in the University of Bolton Safeguarding Policy and Procedures.<sup>2</sup>
- 4.3 The University has a duty to share information and make referrals to the Disclosure and Barring Service (DBS) when an individual has engaged in an activity that causes concern for the safeguarding of children or adults at risk. Further information about the DBS can be found via: [www.gov.uk/dbs](http://www.gov.uk/dbs).
- 4.4 During the assessment of a student's fitness to practise at all stages of the procedure, the University also has a responsibility to consider if a referral to the DBS is appropriate.
- 4.5 Where the recommendation from the Fitness to Practise Panel is that the student cannot continue on the course of study or be offered another course of study which includes regulated activity the Chair of the Fitness to Practice Panel or the Chair of the Appeal Panel should also determine if a referral to the Disclosure and Barring Service is necessary. The student will be notified of this decision in their Fitness to Practise Hearing Outcome Letter or their Fitness to Practice Appeal Hearing Outcome Letter.

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<sup>1</sup> University of Bolton Code of Practise on Work-Based and Placement Learning

<sup>2</sup> University of Bolton Safeguarding Policy and Procedures: Children and Vulnerable Adults

## **5. Principles relating to Student Conduct and Behaviour**

- 5.1 Students on a programme leading to a professional qualification should refer to the professional standards of that profession examples of which are shown in Appendix 2. The following is intended as an indicative guide.
- 5.2 Students are required to act at all times in the best interests of their patients, clients, service users, students, work placement supervisors, mentors and colleagues, or any other individual or group they can reasonably be expected to come into contact with through the requirements and expectations of their programme and in accordance with its nature and the profession it relates to.
- 5.3 Students are required to conduct themselves in a professional manner consistent with reasonable expectations of conduct and behaviour within the profession associated with their programme at the University. Examples of some professional codes of conduct are provided in Appendix 2. Students will be informed by the programme team of the specific codes of conduct relevant to their professional body as determined by their programme of study.
- 5.4 The following is a non-exhaustive list of alleged behaviours which are likely to lead to the Fitness to Practise Procedures being invoked:
- Academic Misconduct;
  - Health and safety breaches;
  - Failure to disclose convictions or other information that the student is required to disclose;
  - Unsafe practice, incompetence or requiring significant additional supervision;
  - Poor communication or language skills;
  - Exploiting the vulnerability of others;
  - Physical, sexual or emotional abuse;
  - Inappropriate relationships with patients, clients, students or service users;
  - Exploiting the vulnerability of a patient or professional client to establish a sexual relationship;
  - Acting in a violent or threatening manner on or away from University premises;
  - Misuse of social media;
  - Chronic drug or alcohol abuse;
  - Conviction of a criminal offense;
  - Being DBS barred;
  - Falsifying records;
  - Any action of omission that may create a safety risk to others;
  - Breach of the duty of confidentiality, except where permitted or required under statutory provisions or professional body codes of conduct;
  - Lack of honesty or trustworthiness, e.g. failure to disclose previous criminal convictions, proven use of unfair means in assessment;
  - Refusal to carry out a lawful and reasonable instruction that could result in immediate harm to others;

- Failure to respect the rights and dignity of patients, clients, service users, students, work placement supervisors, mentors and colleagues, irrespective of age, gender, race, ethnic origins, disability, sexual orientation, religion and belief, socio-economic background.
- A chronic health or medical condition which cannot be alleviated sufficiently by appropriate treatment or reasonable adjustment;
- Failure to rectify behaviour that has been subject to any disciplinary actions under the University's regulations;
- Repeated inappropriate behaviour towards others;
- Any other circumstance or unprofessional behaviour which may call into question a student's fitness to be admitted to and to practise their profession.

5.5 Students shall report to the appropriate authority (e.g. a professional, regulatory or statutory body) and to the University, actions by others that may put patients, clients, service users, students, work placement supervisors, mentors, staff and colleagues at risk. Failure to report could lead to disciplinary action being taken against the student. Students making a report in these circumstances must identify themselves.

5.6 Students on programmes subject to these procedures are required to disclose any criminal convictions (including spent convictions under the provisions of the Rehabilitation of Offenders Act 1974) and inclusion on the DBS's barred lists at application stage to the University and whilst the student remains registered on the programme. If a student fails to disclose the required information and it subsequently comes to light, the student will be referred to the relevant Fitness to Practise panel.

5.7 Only the Vice Chancellor (or in the Vice Chancellor's absence the Vice Chancellor's nominee providing the nominee is a member of the University Executive Board and they inform the Vice Chancellor of the suspension so that he/she may affirm the action) shall have the right to suspend a student for misconduct or any good and urgent cause including those associated with fitness to practise procedures (see section 12).

5.8 Only the Vice Chancellor shall have the right to expel a student for misconduct or any other good and urgent cause including those associated with fitness to practise procedures (see section 13.12.g).

## **6. Principles relating to Student Health**

6.1 Students should understand that their physical or mental health may be a reason for them to be deemed unfit to practise, notwithstanding the requirements of the Equality Act 2010. As a consequence they may not be able to successfully complete the programme for which they are enrolled. (Students are also referred to the Health, Wellbeing and Supported Study Policy and the Mental Health Policy which may be relevant.)

6.2 Students may be required, as a condition of admission to a programme, to demonstrate that they meet the health requirements of the professional body for which successful completion of the programme could lead to registration. The University may require applicants to complete a health questionnaire and reserves the right to refer the

applicant for specialist medical advice and for the resulting report to be made available to the University.

- 6.3 Students are required to inform the University prior to admission about any conditions for which reasonable adjustments within the meaning of the Equality Act 2010 may need to be made to programme arrangements.
- 6.4 A student whose physical or mental health conditions change while registered on the programme should seek advice in the first instance from their programme leader about the implications for their continuation on the programme or their entry to the profession. Students are required to inform their School via their Personal Tutor of any changes in their physical or mental health which could affect their fitness to practise.
- 6.5 A student whose physical or mental health deteriorates while registered on the programme, should seek advice from their programme leader, the relevant professional body and, where appropriate, their employer about the implications for their continuation on the programme or their entry to the profession. Students are required to inform their School via their Personal Tutor of any deterioration in their physical or mental health which could affect their fitness to practise.
- 6.6 The following is a non-exhaustive list of circumstances with the potential to impact on a student's professional performance which are likely to lead to the Fitness to Practise Procedures being invoked on health grounds:
- Chronic alcohol or drug abuse;
  - Severe or relapsing mental illness;
  - Failure to comply with a treatment programme or to maintain medication;
  - Failure to disclose medical conditions as required by the professional body and/or placement provider; and/ or
  - Failure to practise safely including preventing transmitting infection to others.
- 6.7 As a condition of returning to study, a student who has been absent due to Fitness to Practise issues will need to obtain confirmation of their fitness to return to study, and where relevant their fitness to return to practise, from external advisors if the University considers this to be necessary to execute its duty of care to staff, students and/or third parties who may be affected.

## **7. Principles relating to academic failure**

- 7.1 Students should understand that if they are found to be in breach of these Fitness to Practise Procedures then an assessment board may decide to act to remove some or all of their academic credit achieved on the programme thus far, including but not confined to any credits that might otherwise lead to them being able to claim an interim award recognised in any way by the profession. External Examiner(s) will be made aware of the circumstances and will be asked to support and affirm the decision of the Assessment Board.
- 7.2 Students should understand that academic failure during their programme including in relation to work-based experience may result in the termination of their enrolment on the programme on fitness to practise grounds.

## **8. Variations to the Procedure**

- 8.1 The University reserves the right to vary any stage of this procedure as it deems appropriate after consultation with the Students' Union in order to comply with any current legal obligations and best practice;
- 8.2 Where mention is made in this procedure of action by a specific post holder or role holders this action may be delegated to an appropriate nominee where warranted by the circumstances, for example, where there is or may be any potential conflict of roles or interests, or the specific post holder or role holder is absent, so long as the nominee has appropriate experience to be able to act on behalf of the specific post or role holder.

## **9. Invoking the Fitness to Practise Procedures**

- 9.1 Any concerns that a student enrolled on a Programme to which these procedures apply may have acted in such a way, or may suffer from a health problem, which would render that student not fit to practise must be reported in writing to the relevant Dean of Faculty/Head of School or Academic Area (the Lead Person).
- 9.2 Concerns may be raised by staff, students, work based tutors, mentors, clients, patients, service users or members of the public. Anonymous reports will not normally be considered, however, in exceptional circumstances the Lead Person may act on a report on the basis that the reporter's identity remains confidential.
- 9.3 Where appropriate, the advice of the relevant professional, statutory or regulatory body may be sought before commencing any action under these procedures.
- 9.4 In consultation with the Standards and Enhancement Office, the Lead Person will make a decision to determine if the reported cause for concern:
- a. is about issues which can be dealt with, in the first instance, in an informal manner by the School; or
  - b. is a matter of competence which:
    - i. requires investigation and/or
    - ii. which requires referral of the case to the Assessment Board Chair for a decision based on academic grounds; or
  - c. is a matter of conduct and/or behaviour which:
    - i. requires investigation; and/or
    - ii. requires the invoking of the University of Bolton Student Non Academic Conduct and Disciplinary Policy and Procedure, and/or other University procedures; and/or
    - iii. requires immediate action by the Lead Person due to the severity of the issue as presented this may require involvement of the Vice Chancellor if temporary suspension of the student from the University is necessary (see section 12); or
  - d. is a matter which has resulted from a case of proven Academic Misconduct/Discipline and Conduct which is to be referred to the Fitness to Practise Panel through the policy.

- 9.5 Normally when a cause for concern is brought to the attention of the Lead Person the informal procedure will give students the opportunity to improve their practice of approach. In the event that the student disputes the allegations the Lead Person may refer the matter to a Fitness to Practise Panel so that the student has an opportunity to present their case.
- 9.6 Normally when a cause for concern is in terms a student's behaviour or attitude, and the informal cause for concern procedure has proven not to have been successful, the issue will initially be considered under the University Student Non Academic Conduct and Disciplinary Policy and Procedure.
- 9.7 Following the case being considered under the Student Non Academic Conduct and Disciplinary Policy and Procedure, the Lead Person (with advice from the Standards and Enhancement Office) will determine if there continues to be Fitness to Practise issues to be considered and therefore progress the concern under the Fitness to Practise Procedure.
- 9.8 Where findings of fact are made under the Student Non Academic Conduct and Disciplinary Procedure, those facts may be relied upon under this Fitness to Practise Procedure.
- 9.9 On occasion the behaviour and/or conduct of a student does not invoke the Student Non Academic Conduct and Disciplinary Policy and Procedure but it is deemed that their fitness to practise may be impaired or compromised and is a cause for concern. On these occasions the Fitness to Practise Procedure may be invoked without prior consideration under the Student Non Academic Conduct and Disciplinary Policy and Procedure.
- 9.10 Where it is decided by the Lead Person (with advice from the Standards and Enhancement Office) that the concern does not fall under the University Student Non Academic Conduct and Discipline Policy and Procedure and is one of competence, the issue will be dealt with in terms of the student's ability to meet the competency standards of the professional body. On occasion the competency issues may be considered by the Chair of the relevant Assessment Board to determine if the student is to continue to progress on the programme of study. Alternatively, the case will be referred to a Fitness to Practise Panel.
- 9.11 Where it is decided that the concern is to be dealt with under the Fitness to Practise procedure the matter will be referred to the Fitness to Practise Panel and a Fitness to Practise Hearing will be arranged.
- 9.12 In the event that criminal proceedings have been taken against the student, University procedures will normally be suspended until the criminal proceedings are complete.
- 10. Formal Stage Investigations**
- 10.1 Where a student's fitness to practise is being considered because of previous findings under the Non Academic Conduct and Discipline Policy or as a result of a criminal conviction a formal investigation of the facts is generally not necessary or required.

- 10.2 The Fitness to Practise Hearing may be preceded by a formal investigation when the facts of the case have not yet been established.
- 10.3 In the event of further investigations being required an Investigating Officer will be identified by the Lead Person to conduct an investigation and/or make enquiries in order to gather facts and information. An Investigating Officer may be any member of University staff at Grade 7 and above (excluding members of the Executive Board) and, as far as is reasonably practicable, will be unconnected to the case. The enquiries may include a fact gathering investigatory meeting with the student in question. This is for the purpose of fact-finding, and no decision on disciplinary action will be taken until after a disciplinary hearing has been held. The student will be informed of the allegations and that an investigation is taking place.
- 10.4 Formal Stage Investigations meetings may take place in person or via remote telecommunications systems.
- 10.5 A student involved in the investigatory stage is expected to cooperate fully and promptly and provide such assistance to the Investigating Officer as is required. This will include informing the Investigating Officer of the names of any relevant witnesses, disclosing any relevant documents to him/her and attending any investigative interviews. The student and any witnesses will be advised as to the sensitive nature of the investigation and the need for confidentiality.
- 10.6 The extent of any investigation and/or enquiry will depend on the nature of the concerns and will vary from case to case.
- 10.7 In cases whereby the Health, Wellbeing and Supported Study Policy and Procedure is to be invoked this will form part of the investigation and will inform the actions to be taken and the student will be informed of this decision.

## **11. Temporary Suspension from Work-Placement**

- 11.1 Whilst investigations of the allegations are being undertaken it may be necessary for work placement arrangements to be temporarily suspended if it is considered by the Lead Person (or nominee) that there are good and urgent causes for concern and risk to others in a placement setting requires mitigation. The temporary suspension of the work placement arrangements will be notified to the student in writing.
- 11.2 Temporary suspension from a work placement setting whilst investigation is being undertaken is not in itself a sanction and does not imply that any decision has already been taken about the student's case.

## **12. Temporary Suspension from the University**

- 12.1 The University may determine during the investigation process that there is a good and urgent cause why the students continuing attendance at the University cannot be justified or where it is felt the student's continuing attendance may hamper an investigation then the student may be suspended from studies by the Vice Chancellor (or in the Vice Chancellor's absence the Vice Chancellor's nominee providing the

nominee is a member of the University Executive Board and they inform the Vice Chancellor of the suspension so that he/she may affirm the action). The suspension will be confirmed to the student in writing.

- 12.2 Suspension is not in itself a disciplinary sanction and does not imply that any decision has already been made about the student's case.

### **13. Purpose and Authority of the Fitness to Practise Panel**

- 13.1 When a decision has been taken to initiate the formal Fitness to Practise Procedure, the student should be informed in writing of the decision to hold a Fitness to Practise Hearing. The Chair of the Hearing shall be a Dean of Faculty or Head of School/Academic Area who has experience of Fitness to Practise Panels. Such notice will also detail the Fitness to Practise concerns that will be considered by the Fitness to Practise Panel, clearly state the date, time and place of the hearing, and state the entitlement to be accompanied by a companion who will normally be a representative of the University of Bolton Students' Union. The notice will also invite the student to inform the Standards and Enhancement Office of any reasonable adjustments that are required which will be accommodated where reasonably practicable.
- 13.2 At least 5 working days before the date of the Fitness to Practise Hearing (unless this is not reasonably practicable) the student should be provided with information and copies of any relevant documents and/or witness statements adduced as part of other procedures or the investigatory stage of the Fitness to Practise Procedure that will be used at the hearing.
- 13.3 Where evidence has been gathered for other University procedures such as the Student Non Academic Conduct and Disciplinary Procedures that evidence will be used for Fitness to Practise hearing purposes and where findings of fact are made under the Student Non Academic Conduct and Disciplinary Procedure, those facts may be relied upon under this Fitness to Practise Procedure.
- 13.4 In all cases where a witness' identity is to be kept confidential, the student will be provided with as much information as possible in relation to the evidence provided by the witness in question, whilst maintaining confidentiality.
- 13.5 The Fitness to Practise Panel will not normally need to hear oral evidence from witnesses (other than the student) when the facts have already been decided or agreed. Where the facts leading to the fitness to practise concern are disputed witnesses may be called for both sides and may be questioned through the Panel Chair. Witnesses may attend the Panel Hearing or may attend by alternative means for example via video call.
- 13.6 Reasonable time should be permitted for the student to arrange for the Students' Union Representative to attend and for the student to prepare for the hearing.
- 13.7 The student should attend the hearing. If the student cannot attend at the date/time specified he/she should inform the Standards and Enhancement Office immediately and an alternative date/time will be sought.

- 13.8 If the student does not attend the hearing without giving notice and/or without good reason the Fitness to Practise Hearing will be held and a decision made on the information and evidence available to the Hearing Panel.
- 13.9 The Purpose of the Fitness to Practise Panel investigation and hearing is to determine whether the student's Fitness to Practise is impaired and the action to be taken.
- 13.10 The membership of the Fitness to Practise Panel shall normally be:
- The Chair – a Dean of Faculty or a Head of School/Academic Area with appropriate Fitness to Practice Procedure experience;
  - The Head of School/Academic Area (or nominee) from the student's school of study;
  - A senior academic from another School which has programmes that are included within the Fitness to Practise Register; and
  - (where appropriate) a representative of the profession concerned, who may be from another university or the relevant professional body;

In cases involving the student's health an OHP representative or member of the University Disability Team may be present to provide advice to the Panel if deemed appropriate by the Chair but this person shall not be party to the final decision on the course of action to be adopted.

A secretary for the Panel will be organised by the Lead Person.

- 13.11 If the student is accompanied by a representative (normally a member of the Students' Union), that person may make representation and ask questions but should not answer questions on the student's behalf. The student may request to confer privately with the representative at any time during the hearing.
- 13.12 Fitness to Practice Hearings may take place face to face or via alternative means (eg video call).
- 13.13 At the hearing the Chair will explain the process that will be followed and will confirm the concerns relating to the student's fitness to practise. The case against the student will be presented, together with any supporting evidence including the findings of other University Procedures. The student (or the Students' Union Representative) shall set out his/her response, referring where appropriate to evidence. The Fitness to Practise hearing may be adjourned if the Chair deems that further investigations are necessary. The student will be given reasonable opportunity to consider any new information obtained before a Fitness to Practise hearing is reconvened.
- 13.14 After the Fitness to Practise hearing the Panel will determine whether the student's Fitness to Practise is impaired and if so what the appropriate action should be.
- 13.15 In the event that the Panel members are unable to reach a unanimous decision the Chair of the Panel will make the decision on behalf of the Panel.
- 13.16 Following its deliberations, the Panel shall determine whether:

- a. To dismiss the case or concern that has been raised;
  - b. Where appropriate, issue a formal warning, to be placed on the student's record, that the student's future conduct will be monitored, and that the treatment of any future misconduct within 12 months will take such warning into account;
  - c. Where appropriate and following advice from an Occupation Health Provider (OHP) permit the student to continue on the programme with appropriate treatment and support in place and as informed by the Health, Wellbeing and Supported Study Policy (as appropriate). A period of monitoring may also be stipulated;
  - d. Require the student to re-sit a specified part or parts of the Programme where permitted;
  - e. Require any other action considered appropriate by the Panel to enable the student's successful completion of the remainder of the Programme;
  - f. Resolve that the student's studies on the Programme leading to a professional qualification be terminated but that the student be permitted to apply to transfer his/her registration to an alternative academic qualification; and/ or
  - g. Where the recommendation from the Fitness to Practise Panel is that the student should be excluded for a specific time; or that the student's registration for the Programme be terminated and that the student be expelled from the University, the recommendation will be considered by the Vice Chancellor for affirmation.
- 13.17 The Chair of the Fitness to Practise Panel will confirm to the student in writing, usually within five working days of the hearing, the outcome of the Fitness to Practise hearing including, where appropriate the Vice Chancellor's affirmation of the recommendation of exclusion or expulsion.

#### **14. Right of Appeal**

- 14.1 In the letter confirming the outcome of the Fitness to Practise hearing, the student will be notified of his/her right to appeal.
- 14.2 An Appeal is heard by an "Appeal Officer".
- 14.3 When an appeal is against any sanction other than expulsion, the Appeal Officer will be a Dean of Faculty who has experience of the Fitness to Practise Procedure but has not had any previous involvement with the case, as far as is reasonably possible.
- 14.4 When an appeal is against expulsion, the Appeal Officer will be the Chair of the Governing Body (or their nominee in the event of their unavailability).
- 14.5 A request for an appeal should be lodged in writing with the Standards and Enhancement Office within five working days of written notification being sent to the student of the outcome of the disciplinary hearing. The request for an appeal should state the full grounds for the appeal. The grounds for an appeal may be:
- a. There was a procedural irregularity in the conduct of the Fitness to Practise Panel or the investigation that may render the original decision unsafe;

- b. New material evidence is available which the student was unable, for valid reasons, to provide earlier in the process and which may have resulted in a different outcome;
  - c. The outcome (whether the decision or sanction) was unreasonable.
- 14.6 The Standards and Enhancement Office will determine if the request for an appeal is to be permitted or is to be rejected based on the grounds that the student has identified and the student will be informed of that decision in writing.
- 14.7 If the appeal is rejected the letter explaining the reasons why will also be the Completion of Procedures Letter which indicates that the internal procedures have now been completed.
- 14.8 If the appeal is permitted, the student will be notified in writing of the arrangements for the appeal, whether the appeal will be considered by the written submission or at a hearing, and his/her right to be accompanied at a hearing by a companion who will normally be a representative of the University of Bolton Students' Union. If a hearing is to be held, the notice will also invite the student to inform the Standards and Enhancement Office of any reasonable adjustments that are required which will be accommodated where reasonably practicable. An appeal hearing will be held, where possible, within ten working days following receipt of the request. An appeal hearing may be via face to face meeting or via telecommunication systems.
- 14.9 The Appeal Panel will consist of the Appeal Officer, a senior member of academic staff from an area which is familiar with Fitness to Practise concerns and, where the Appeal Panel may substitute the decision of the Fitness to Practise Panel with its own decision, it should include at least one member of the relevant profession. All of the Appeal Panel members will not have been involved at a previous stage. The Appeal Panel may obtain advice from others internal and external to the University if necessary to inform its decision.
- 14.10 The student should attend the hearing. If the student cannot attend at the date/time specified he/she should inform the Standards and Enhancement Office immediately who will seek to agree an alternative date/time.
- 14.11 If the student does not attend the appeal hearing without giving notice and/or without good reason the hearing will go ahead and a decision will be made by the Appeal Officer based on the information and evidence available to him/her.
- 14.12 At the appeal hearing records and notes from the Fitness to Practise hearing and any new evidence will be made available to the Appeal Officer who will review the evidence. Any new supporting evidence that will be considered at the appeal hearing should be provided by all parties no later than five working days before the appeal hearing.
- 14.13 After the appeal hearing the Appeal Officer will make a decision as to whether the original disciplinary sanction(s) should be upheld, amended or revoked.
- 14.14 The student will be informed of the outcome of the appeal in writing within five working days of the appeal hearing.

- 14.15 There is no further right to appeal and the procedure is exhausted at this stage.
- 14.16 In circumstances where the Appeal Officer determines to uphold an appeal by a student the following action will be taken:
- a. In the case of a formal warning being given the warning will be removed from the student's record;
  - b. In the case of the student being permitted to continue on the programme with appropriate treatment and support in place and as informed by the Health, Wellbeing and Supported Study Policy (as appropriate) with or without a period of monitoring – the arrangements will be revoked
  - c. In the case of the student being required to re-sit a specified part or parts of the Programme where permitted – this requirement will be rescinded;
  - d. In the case where other actions have been required by the Panel enable the student's successful completion of the remainder of the Programme – these requirements will be rescinded;
  - e. In the case where the student's studies on the Programme leading to a professional qualification are to be terminated but that the student be permitted to apply to transfer his/her registration to an alternative academic qualification – the decision will be revoked
  - f. In the case of exclusion for a specific time or expulsion, the student's status will be reinstated from the date the exclusion or expulsion took effect and the student will not be deemed to have had any break in their studies.

## **15 Completion of Procedures and the Office of the Independent Adjudicator**

- 15.1 In the letter confirming the outcome of the appeals hearing, the student will be notified by way of the accompanying Completion of Procedures letter of his/her right to request an independent review by the Office of the Independent Adjudicator.

## **16 Keeping of Records**

- 16.1 Where the case against the student is upheld, the Panel will refer the decision to the Standards and Enhancement Office and the relevant internal and external bodies will be notified of the decision.
- 16.2 Records of the Fitness to Practise case will be kept for the period of the active sanction and comply with relevant statutes and will be destroyed thereafter. These records will include the issues raised against the student, the student's defence, findings made and action taken, the reason for action taken, whether an appeal is lodged and the outcome. Notes of any formal meetings will also be kept.

## **17 Other Related Policies**

- 17.1 Other related policies can be found on the University of Bolton [Student Information Policy Zone](#).

**18 Monitoring and Review**

- 18.1 This procedure will be monitored and reviewed on behalf of the University Executive Board by the Standards and Enhancement Office. The outcome of such monitoring and review will be published on an annual basis to this body.

**19 Equality Impact Assessment**

- 19.1 The University of Bolton is committed to the promotion of equality, diversity and a supportive environment for all members of our community. Our commitment to equality and diversity means that this policy has been screened in relation to the use of plain English, the promotion of the positive duty in relation to the protected characteristics of race, sex, disability, age, sexual orientation, religion or belief, gender reassignment, marriage and civil partnership, pregnancy and maternity.

**20 Dissemination of and access to the Policy**

- 20.1 This policy is published on the University of Bolton [Student Information Policy Zone](#).

<b>FITNESS TO PRACTISE PROCEDURE</b>	
Procedure Ref:	
Version Number	1.5
Version Date	v1.1 July 2011 updated September 2014 v1.2 Rewritten and updated December 2015 v1.3 Updated May 2017 v1.4 Updated August 2019 v1.5 Updated August 2020
Role of Reviewer	Head, Quality Systems
Procedure Owner (School/Centre/Unit)	Standards and Enhancement Office
Person responsible for implementation (postholder)	Heads of School
Approving Committee/Board	Senate
Date approved	22 May 2017
Effective from	August 2017
Dissemination methods (eg website)	Website to current and perspective students
Review Frequency	3 years
Reviewing Committee	Education Committee
Consulting History	Academic Standards and Quality Committee (now known as Education Committee): 4 July 2013, 13 October 2010 Senate: 18 October 2011, 20 June 2011 October/November – consultation with SU/HoS/SEO/AVC(A)/AEDSE May 2017 Consultation with members of Executive Board and Students' Union August 2020 Consultation with members of Senior Management Team, Students Union and approval of changes by Education Committee.
Document History (eg rationale for and dates of previous amendments)	<u>May 2017</u> To update related policies (5.1) and published documents (2.3); Clarify that hearings will take place in the event that the students does not attend and has not notified the Head of Quality Systems that they need to make alternative arrangements (12.7 and 13.8) Hearing Chair role to be undertaken by member of Senior Management Team (12.1 and 12.8); In the case of Appeal against expulsion, the Appeal Officer can be nominee of the Chair of the Board of Governors in the event that the latter is unavailable (13.4); remove duplication and provide clarity in event that decision to exclude or expel is revoked at appeal stage 13.12.f. <u>August 2019</u> Update to reflect nomenclature of post holders and inclusion of clause 8.12 to provide clarity in event of criminal proceedings <u>August 2020</u> Update to take into account the OIA Good Practice Framework – Fitness to Practise, provide greater clarity for stakeholders, include clarification with regards to DBS referral; update structural and nomenclature changes

## **Appendix 1**

### **Programmes subject to Fitness to Practise Policy and Procedures**

Available on University of Bolton Policy Zone

<https://www.bolton.ac.uk/student-policy-zone/>

## Appendix 2

### Examples of Professional Body Codes of Conduct (non-exhaustive list)

GMC and MSC Professional behaviour and fitness to practise: guidance for medical schools and their students:

[https://www.gmc-uk.org/-/media/documents/professional-behaviour-and-fitness-to-practise-0816\\_pdf66085925.pdf](https://www.gmc-uk.org/-/media/documents/professional-behaviour-and-fitness-to-practise-0816_pdf66085925.pdf)

HCPC Health & Care Professional Council – Fitness to practise:

<https://www.hcpc-uk.org/concerns/what-we-investigate/fitness-to-practise/>

NMC Aims and principles for fitness to practise Reference: FTP-1 This guidance shows the aims and principles of fitness to practise:

<https://www.nmc.org.uk/ftp-library/understanding-fitness-to-practise/using-fitness-to-practise/>

NMC's online Fitness to Practise Library:

<https://www.nmc.org.uk/ftp-library/>