

Code of Conduct for Members

July 2023

The UK Young Academy (UKYA) aims to provide a voice for early career researchers, innovators and professionals across the UK on issues that matter to them and ensure that they are represented and have opportunity to actively participate in discussions that address national and global challenges. The credibility of the UKYA's work in pursuit of these aims rests in large part upon its reputation, made more important as it establishes itself in its early years as a credible organisation. In turn, its reputation rests upon the Members of the UKYA, and their upholding of high standards in their work and conduct both inside and outside of the Young Academy.

The UKYA is currently operating under the auspices of the Royal Society, working in partnership with the seven senior partner Academies operating across the UK and Ireland: the Academy of Medical Sciences, the British Academy, the Learned Society of Wales, the Royal Academy of Engineering, the Royal Irish Academy, the Royal Society and the Royal Society of Edinburgh.

The purpose of this '**Code of Conduct**' is to set out how the UKYA, and those responsible for overseeing and implementing this Conduct, expects its Members to conduct themselves. By joining the UKYA, Members agree to abide by this Code of Conduct.

There are references throughout this Code of Conduct to the UKYA's governing document which, for the avoidance of doubt, will be developed in the UKYA's first year following consultation with the first cohort of Members ('**Governing Document**') and shall be provided to Members as soon as possible.

This document will be reviewed annually.

Date of next review: July 2024

Section 1: Principles

- 1.1 Members shall support the UKYA and its aims and objectives, which fall within the charitable purposes of the Royal Society as the current host organisation for the UKYA.
- 1.2 Members shall comply with the provisions within the UKYA's Governing Document relating to them and their role and responsibilities and shall comply with all of the UKYA's policies approved from time to time that are relevant to Members.
- 1.3 The UKYA strives to act in accordance with the highest standards of public life. In their work with the UKYA, all Members are expected to follow the Nolan principles of public life, namely: selflessness, integrity, objectivity, accountability, openness, honesty and leadership.
- 1.4 Members shall have due regard for the statement of values developed by UKYA from time to time (the first version will be established in the UKYA's first year, and circulated to Members as soon as possible) and shall use their best endeavours to promote these values.
- 1.5 Members shall have due regard for the [Guiding Principles of Young Academies](#) published by global Young Academies in November 2019: Excellence; Impact; Diversity and Inclusivity; Responsibility; Knowledge-based evidence; Independence and Transparency; and Integrity.
- 1.6 Members shall not act or fail to act in any way which could undermine the UKYA's aims or bring the UKYA, and by extension, the Royal Society and the partner Academies, into disrepute.

Section 2: Professional and research conduct

- 2.1 Members shall carry out their professional and/or research activities with integrity and to the highest standards, in line with the standards and expectations of their organisation/s and relevant professional bodies.
- 2.2 Members shall not commit misconduct, scientific or otherwise, defined as fabrication, falsification, or plagiarism. Error or incorrect interpretation of research data that may occur as part of the research process does not constitute misconduct.
- 2.3 Members shall disclose all private interests and relevant relationships, financial or otherwise, that might be perceived to influence the outcome of their work or research.
- 2.4 Members involved in publications and/or citations shall be fair and objective peer reviewers, maintain confidentiality when requested, promptly move to correct the literature when errors in their own work are detected, include all deserving authors on publications, and give appropriate credit to prior work in citations.
- 2.5 Members shall treat all individuals collegially and with courtesy, including but not limited to, UKYA Members, UKYA staff, students and other early-career peers, technical and clerical staff, colleagues and interested members of the public.
- 2.6 Members shall not engage in any form of discrimination, harassment, or bullying, whether inside or outside of the Young Academy.

Section 3: Within the UKYA

- 3.1 Members shall work with others in the UKYA in a spirit of openness, courtesy and co-operation.
- 3.2 Members shall take an active interest in the UKYA's work and public image.
- 3.3 Members shall not use any confidential information obtained through their role with the UKYA for their own benefit or to the detriment of the UKYA (including but not limited to confidential information relating to potential members, candidates and voting).
- 3.4 Members shall engage in voting or at meetings in accordance with the provisions in the UKYA Governing Document and with the UKYA's relevant policies, and shall conduct UKYA business (including making decisions) mindful that they should take a trustworthy approach in respecting the objectives and regulations of the UKYA, and based on what is in the best interest of the UKYA.

Section 4: Outside of the UKYA

- 4.1. Members may only speak or make a statement on behalf of the UKYA if they have first obtained the necessary approval, as outlined in Appendix 1: Representing the UK Young Academy.
- 4.2. When speaking in any capacity about the UKYA's activities, policies, positions or aims, Members must strive to represent these accurately.
- 4.3. When speaking or publicising statements in a personal capacity, Members must still strive to uphold the reputation of the UKYA and those staff who support it and be mindful that what is said or stated in a personal capacity could still impact the UKYA.
- 4.4. When acting in other capacities (for example, as an employee of their host organisation or another organisation), Members must be mindful that what is done in other capacities may still reflect on the UKYA.

Section 5: Commitment to the Code

5.1. Members acknowledge the responsibility and right of the UKYA to ensure this Code of Conduct is adhered to and accept that if a breach of the Code of Conduct has occurred this may trigger disciplinary action (including temporary or permanent suspension as a Member) in accordance with the UKYA's Disciplinary Regulations (see Appendix 2).

The procedure that the UKYA should follow in the event of an alleged breach of the Code of conduct is set out in the Disciplinary Regulations that accompany this document.

Appendix 1: Representing the UK Young Academy

Members are reminded of the [Guiding Principles of the Young Academies](#), with which the UK Young Academy (UKYA) operates. These are:

- Excellence
- Impact
- Diversity and inclusivity
- Responsibility
- Knowledge-based evidence
- Independence and transparency
- Integrity

It is the responsibility of all Members of the UKYA to:

- a) Pursue the aims and objectives of the UKYA through active participation in its work;
- b) Uphold the Guiding Principles of the UKYA, which are aligned with those of other Young Academies;
- c) Not hold themselves out to speak on behalf of, or represent the UKYA or any of its groups unless expressly authorised to do so, in line with this Code;
- d) Adhere to relevant UKYA policies (such as rules relating to conflict of interest); and
- e) Not bring the name of the UKYA, the Royal Society or the partner Academies into disrepute.

The UKYA is currently operating under the auspices of the Royal Society, a UK charity, and the UK's national academy of science. In addition, it has been established in partnership with the seven senior National Academies operating across the UK and Ireland. These are: the Academy of Medical Sciences, the British Academy, the Learned Society of Wales, the Royal Academy of Engineering, the Royal Irish Academy, the Royal Society and the Royal Society of Edinburgh.

Members are reminded that the political impartiality of the UKYA is an important foundation for the work and integrity of the membership and organisation and for the current host Academy, the Royal Society. It is also a legal requirement under charity law, which stipulates that charities must only undertake 'campaigning' when it is connected to the particular charitable purpose of the organisation.

Members of the UKYA will work together to provide public benefit to complement and further the charitable objectives of the Royal Society and its partner Academies. The missions of the Royal Society and its partner Academies are set out on their respective websites.

In relation to item c) 'Not hold themselves out to speak on behalf of, or represent the UKYA or any of its groups unless expressly authorised to do so', it is the responsibility of each Member to ensure clarity on this action, as outlined in the procedures section below. Where a Member is not authorised to represent the UKYA, it must be made clear that they are speaking in their personal capacity.

In general, use of "Member of the UK Young Academy" or similar should only be used alongside other professional affiliations. It should not be used to primarily add gravitas or weight to a position or argument, or when doing so goes against the Guiding Principles of the Young Academies, or bring the name of the UKYA, the Royal Society or any of the partner Academies into disrepute.

Procedures for authorising UKYA representation

1. UKYA Members engaged on business that has been agreed by a group within the UKYA are authorised to represent the UKYA on that business, but in doing so must take responsibility to represent the views of the membership, in consultation with the other Members of the group and with reference to the Guiding Principles of Young Academies. If the view of the membership differs significantly from their own strongly held views, it may be that the member should refrain from such a representative role.
2. UKYA Members preparing advice papers, policy advice submissions or similar that claim to represent the collective opinion of a part of the whole of the UKYA, must issue a call for comments within the relevant working group, or ideally across the whole membership. These documents (advice papers, policy advice submissions or similar) should be signed off by a delegated member of the Executive Group and reviewed by the UKYA staff team, prior to sending to government departments, policymakers and other relevant organisations.
3. UKYA Members issuing public position statements that claim to represent the collective opinion of the UKYA must first issue a call for comments (either within the relevant working group, if one is in place, or across the whole membership), before circulating the draft position statement to the whole membership for approval.
4. Approval for a position statement should be sought in advance of any statement being issued, via email from the Executive Group.
 - Where the issue is deemed **non-contentious**, the Executive Group can agree the statement without recourse to the whole membership.
 - Where the issue is deemed **potentially contentious**, approval will be sought via email from the whole membership, circulated through official UKYA channels (either by a member of the Executive Group or by a member of the dedicated UKYA staff). A deadline for responses must be specified, normally at least a full week from the point of circulation, and include the following statement advising Members how to respond:

‘Members are invited to respond by [insert date]. Failure to respond will be taken as approval. The percentage of dissenters will be calculated as a percentage of the total number of members. Members are asked to approve or dissent not according to their personally held views, but on the basis that the statement does or does not correspond with the UKYA’s guiding principles and strategic goals.’
5. Normally, if 10% or more of Members dissent from the statement, it will not be issued as a UKYA position statement.
6. Statements which are approved by the membership must be issued via official UKYA channels (though the Executive Group, with the support of the UKYA staff team), with the following signoff:

‘This position statement represents the collective view of the UK Young Academy.’
7. Statements not approved by the membership shall not be issued by or on behalf of the UKYA. Individual UKYA Members may still seek to publish the statement in a personal capacity. In that situation, the statement must not refer to the UKYA, in particular, the statement must not include any UKYA logos or any other form of identification connecting the individuals with the UKYA. In publishing such statements, the individual signatories must adhere to the rules outlined above regarding item c) ‘Not hold themselves out to speak on behalf of, or represent the UKYA or any of its groups unless expressly authorised to do so’.

The Executive Group may choose to adhere to a suitably modified version of the process outlined above in bullet points 1 - 7 for making other collective decisions, e.g. when showing support for causes, events or similar or debating whether to partner with controversial organisations.

UKYA spokespeople

Some Members may be identified as a “Spokesperson” for a key area, for example for a UKYA project, initiative, or committee. These Members are trusted to speak on behalf of the UKYA, on certain areas of expertise, if approached for public comment. These spokespeople will bear in mind the Guiding Principles of the UKYA and should make use of the approval processes above and UKYA staff support where necessary and appropriate.

Responsibilities of former post-holders

Former Executive Group representatives and/or working group leads should, at the point at which they stand down from their role, and in the interest of accuracy, no longer use this as a current designation. They are, of course, encouraged to include this role, with the relevant dates, in CVs, biographies etc.

Responsibilities of former Members

Members who reach the end of their membership term should no longer reference themselves as a Member of the UK Young Academy. All former members will be invited to become an “Alumnus or Alumna of the UK Young Academy” and will be encouraged to use this reference in their CVs, biographies etc, as appropriate. In doing so, Alumni must comply with the Guiding Principles, responsibilities and procedures outlined above.

Support with media opportunities and queries

Members may be approached by representatives from the media for comment on the UKYA’s activities or national or global news stories. If Members are approached, the guidelines above should be followed and the UKYA staff team should be informed before engaging with the media representative.

Media support, within reason, is available from the Royal Society as well as the partner Academies on occasion, which the UKYA’s dedicated staff team will help to coordinate when relevant.

Use of branding and logos

Members must at all times comply with the UKYA’s guidelines on the use of branding and logos as updated from time to time.

Appendix 2: Disciplinary Regulations

1. Purpose of these Regulations

- 1.1 The purpose of these Regulations is to enable the UK Young Academy (UKYA), currently operating under the auspices of the Royal Society, to protect its reputation should any Members of the UKYA fail to maintain appropriate standards of professional or relevant personal conduct, as outlined in the UKYA's Code of Conduct for Members.
- 1.2 The Executive Group of the UKYA has the duty to oversee all disciplinary decisions to ensure that the principles of fairness and natural justice are followed, which will in particular include ensuring that steps are taken to establish the facts and that Members are given the opportunity to respond before any decision as to formal action is taken. The Executive Group has ultimate responsibility for disciplinary matters and has delegated its powers through these Regulations to the Chair/Co-Chairs (once elected) and to representatives of the Executive Group, as appropriate. This will be in accordance with the UKYA's Governing Document.
- 1.3 The Executive Group may order any procedure under these Regulations to be suspended at any stage pending the outcome of an investigation should the courts, any other appropriate regulator, or a Member's employer, commence proceedings against a Member on the same or related grounds.
- 1.4 These Regulations may be amended, and this procedure may be varied as appropriate to the matter at hand, including for example in relation to time limits.

2. Misconduct

For the purposes of these Regulations, "Misconduct" means all and any behaviour by a Member which the Executive Group shall in its reasonable discretion consider to be seriously injurious to the reputation or interests of the UKYA. Such behaviour may include (but is not limited to):

- 2.1 undertaking any work in a manner that is deemed unacceptable, as determined by reference to any guidelines published by the UKYA and/or any professional or regulatory bodies from time to time;
- 2.2 involvement in commercial fraud or malpractice;
- 2.3 academic offences such as research fraud, fabrication or plagiarism;
- 2.4 acting in a personal or professional capacity in such a manner as is likely to bring the UKYA into disrepute or to endanger a Member's own professional standing or that of their colleagues;
- 2.5 making any form of statement in the public domain which is purported to be either on behalf of the UKYA or endorsed by the UKYA, without appropriate authorisation from the UKYA;
- 2.6 damaging or misusing any UKYA property or resources in breach of applicable UKYA policies;
- 2.7 abusing any privilege enjoyed by virtue of holding any official UKYA position, whether elected or unelected;
- 2.8 being convicted of a criminal offence resulting in a custodial sentence of three months or more (or is charged with an offence of a character that would be likely to breach the spirit or the UKYA's safeguarding policy and procedures); or
- 2.9 behaving towards any employee of the UKYA, another Member or any visitor to the UKYA, in a violent, indecent, threatening, disorderly or offensive manner, or subjecting them to racial, sexual

or religious harassment or any other form of harassment or abuse, including but not limited to in relation to the Protected Characteristics contained in Chapter 1 of the Equality Act 2010, being: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; sexual orientation.

NOTE: Minor conduct issues can often be resolved informally by discussions between the Member and an appropriate member of the Executive Group. Such discussions shall be held in private and without undue delay and a note kept of such discussions. A member of UKYA staff must be present and will keep a note of such discussions. Formal steps may need to be taken under these regulations if the matter is not resolved, or if it is decided during discussions that informal resolution is not appropriate.

3. Stage 1: Initial Investigation

- 3.1 A representative of the Executive Group (the “**Disciplinary Lead**”), shall be appointed by the Executive Group and they shall be notified of:
 - (a) any allegations of Misconduct made against a Member(s) received by the UKYA, whether from the general public, elected representatives of the UKYA, other Members or employees of the UKYA or the Royal Society; or
 - (b) any matter of which the UKYA becomes aware from publicly available sources which may require investigation under these Regulations.
- 3.2 The Disciplinary Lead shall be notified that an investigation into alleged Misconduct is required and the Disciplinary Lead shall appoint a member of the UKYA to oversee the investigation into the allegation or report of Misconduct (the “**Investigator**”). The Investigator may seek assistance to carry out the investigation from UKYA dedicated staff, who may in turn recommend further support from the staff of the Royal Society and/or the Royal Society’s legal advisers, as appropriate. The Investigator may also seek advice from other relevant experts in, for instance, specific relevant areas of activity. The Member who is the subject of the investigation shall be informed by the Disciplinary Lead (i) of the nature of the allegation, and (ii) that these regulations have been invoked to investigate the issues raised. The aim will be to conduct the investigation sensitively and with due respect for the privacy of any individuals involved.
- 3.3 The purpose of the investigation shall be to establish a fair and balanced view of the facts relating to the alleged Misconduct, before deciding whether to proceed with a hearing in front of the Executive Group. The investigation will be in such detail as is appropriate to the nature of the allegations. The investigation may involve interviewing the Member, taking statements from relevant witnesses, and reviewing relevant documents. Investigative interviews are solely for the purpose of fact-finding and will not lead to disciplinary action without a hearing.
- 3.4 If, following initial investigation, the Investigator finds that there is no *prima facie* case to answer, or that the allegation of Misconduct is frivolous or vexatious and therefore not in the interests of the UKYA to pursue, the Investigator shall consult with the Disciplinary Lead and, if they agree, take no further action beyond noting in the UKYA records that the allegation or report was unfounded, frivolous or vexatious. The Member who is the subject of the investigation shall also be informed of this outcome. The Disciplinary Lead shall also decide whether the investigation and the decision to take no further action shall be reported to the UKYA’s Governance Committee (the “**Governance Committee**”).
- 3.5 If the Investigator finds that there is sufficient evidence of possible Misconduct to warrant an investigative hearing, the Investigator shall recommend to the Disciplinary Lead that the allegation will be referred to:
 - a) the Executive Group

and may, if appropriate, also be referred to:

- b) the Governance Committee in first instance;
- c) an appropriate regulator (which might include, for instance, the General Medical Council or the police); and/or
- d) the employer of the Member about whom the allegation has been made.

3.6 The Investigator should inform the Member, and the source of the allegation, in general terms, of the outcome of the initial investigation and whether the matter has been referred to the Executive Group (and to other interested parties in accordance with Regulation 3.5 above).

3.7 If an allegation of Misconduct is made against a member of the Executive Group, the Chair of the Governance Committee will act as the Disciplinary Lead and oversee the subsequent investigation and any following disciplinary procedures.

4. Stage 2: Hearing by the Conduct Panel

4.1 The "Conduct Panel" shall be a temporary, convened panel comprising the Executive Group and up to two Members who have expertise relevant to any specific allegation of Misconduct being investigated. The Disciplinary Lead who initiated the investigation will act as Chair for the Conduct Panel. A member of the UKYA staff will attend to take a note of the meeting.

4.2 If any member of the Conduct Panel has any conflict of interest or loyalty (including any personal friendship, relationship or animosity) with either the source of the allegation or the Member who is being investigated, they shall declare their interest and shall not sit on the Conduct Panel in relation to that allegation of Misconduct. In such a situation, the Executive Group shall select a substitute representative of the membership to sit on the Conduct Panel.

4.3 If the courts, any other appropriate regulator, or the Member's employer has already investigated the allegations of Misconduct brought against the Member and has passed judgment, the Conduct Panel shall have regard to the findings of that body and rely upon them unless, in their discretion, the Conduct Panel considers it is necessary or appropriate in the circumstances to depart from those findings, although it is anticipated that it would do so only in exceptional circumstances.

4.4 Prior to any hearing by the Conduct Panel, the Disciplinary Lead shall inform the Member who is being investigated of the allegation of Misconduct made against them and, by written notice, of not less than ten working days, inform them of the timetable for the investigation and proposed hearing (if any) by the Conduct Panel, including (where appropriate):

- (a) the date, time and place of the hearing;
- (b) a detailed summary of the allegation or report, including the details of the case against the Member;
- (c) copies of evidence that will be presented and/or the names of any witnesses who will be called to give evidence at the hearing (if any); and
- (d) the dates by which the Member must file documentary material and/or witnesses in their defence or mitigation.

4.5 No evidence may be relied on or referred to at a hearing or witnesses called by the Member or by the UKYA if copies of that evidence and/or names of those witnesses referred to the Conduct Panel have not been provided to the Member or the Conduct Panel (as the case may be) within the timetable set by the Conduct Panel.

- 4.6 A decision by the Disciplinary Lead on any point of procedure at any hearing of the Conduct Panel shall be binding. Provided that the proceedings are fair to the Member and the principles of natural justice have not been compromised, no objection relating to a minor defect in the procedure of the investigation of the allegation or report or of the convening and process of the hearing shall be upheld.
- 4.7 Subject to Regulation 4.6, the Member being investigated has the right to be present during the hearing and may be accompanied by a companion. If the Member's preferred companion is unavailable at the time the hearing is scheduled and will not be available for more than five further working days, the Member will be asked to choose an alternative companion.
- 4.8 If the Member or their companion cannot attend the hearing, they should inform the Conduct Panel immediately and another time should be arranged. If the Member fails to attend on three occasions, the Conduct Panel may hold the hearing in the absence of the Member.
- 4.9 The Conduct Panel shall make decisions by a majority vote but the votes of the individual representatives on the Conduct Panel shall be confidential. In order to find that a Member's behaviour is considered to be Misconduct, the Conduct Panel must conclude that the evidence against the Member is true on the balance of probabilities.
- 4.10 The Conduct Panel shall produce a report of its decision, together with the reasons for that decision. If the Conduct Panel concludes that there is sufficient evidence of Misconduct, the Conduct Panel's report shall include which of the sanctions in Regulation 5.1 it will impose. The Disciplinary Lead and UKYA staff will take this report to the Governance Committee.
- 4.11 If the Conduct Panel has concluded that there is sufficient evidence of Misconduct, the Disciplinary Lead shall, prior to any consideration and discussion of the report received by the Governance Committee, nominate three representatives (who may not also be the Disciplinary Lead or the Investigator) to hear any appeal which may be brought by that Member (the "**Appeal Panel**"). For the avoidance of doubt, the Appeal Panel shall not be present during the Conduct Panel's deliberations and decision as to whether to impose one or more of the sanctions set out in Regulation 5.1.

5. Sanctions

- 5.1 The Conduct Panel may impose any one or more of the following sanctions should a decision be made that misconduct has occurred:
- (a) order the Member who was the subject of the allegation or report to pay compensation in respect of UKYA property that has been damaged, misused or lost or in respect of any privilege that has been abused;
 - (b) require the Member who was the subject of the allegation or report to make a written or oral apology to any other Member, person or employee of the UKYA;
 - (c) issue a formal written warning to the Member who was the subject of the allegation or report;
 - (d) suspend the Member from the UKYA pending the outcome of an on-going investigation by another regulatory body, the Member's employer, or police/criminal proceedings; and/or
 - (e) terminate the Member's membership with the UKYA; and/or
 - (f) another sanction appropriate to the case.
- 5.2 Any formal written warning issued under Regulation 5.1(c) above must include the following information:
- (a) the nature of the allegation or report against the Member;
 - (b) the Conduct Panel's conclusion from the hearing;
 - (c) what conduct the Member needs to address for the future; and

(d) any consequences of failing to comply with the formal written warning.

- 5.3 In the event of a suspension, the Conduct Panel may recommend which rights of Membership shall be withdrawn from the Member while the suspension remains in force.
- 5.4 A Member who consents to the requirement to terminate their membership or is expelled following the procedure described in the UKYA's Governing Document should they decline to do so, shall lose all rights of Membership.
- 5.5 The Executive Group shall have the discretion to refuse any expelled or suspended Member access to any UKYA event or activity, including those which are open to non-Members.
- 5.6 The Disciplinary Lead shall send a copy of the decision made by the Conduct Panel to the Member within seven days of the Conduct Panel's decision, together with:
- (a) the reasons for the decision;
 - (b) any sanction imposed; and
 - (c) how the Member can appeal the decision, and any time limits for doing so.

The Disciplinary Lead may also send a copy of the decision, any sanction imposed and the reasons for it to the Member's employer and the source of the allegation where this is appropriate.

- 5.7 The Governance Committee will be informed of the outcome of any decision and the sanctions imposed in relation to a Misconduct allegation.

6. Stage 3 – Appeals

- 6.1 A Member wishing to appeal against a sanction imposed must submit a written appeal request to a member of the UKYA staff team, supported by a statement and any relevant documentation or evidence setting out the reasons for the appeal, within 30 days of receiving the letter from the Investigator informing the Member of the decision by the Conduct Panel. The UKYA staff team will pass the request on to the Disciplinary Lead.
- 6.2 Upon receipt of an appeal request the Disciplinary Lead must decide either to dismiss the appeal or to allow the appeal to be heard. An appeal shall be allowed to be brought if either:
- (a) the Member has fresh evidence that could not have been, or for good reason was not, made available at the time of the hearing; and/or
 - (b) the Member provides evidence of significant procedural error on the part of the Investigator or the Conduct Panel before, during or after the hearing.

The Disciplinary Lead has the discretion to take into account any other relevant grounds when deciding whether or not to allow the appeal to be heard.

- 6.3 If the Disciplinary Lead decides to allow the appeal to be heard, the Appeal Panel shall be convened. The Appeal Panel will comprise of representatives of the Governance Committee. The Appeal Panel shall make decisions by a majority vote but the votes of individual members of the Appeal Panel shall be confidential.
- 6.4 The Disciplinary Lead shall write to the Member and inform them of the outcome of their request for an appeal and, if the appeal is to be heard, the date, time and place on/at which the hearing of the Appeal Panel will be held. The Member shall be given reasonable notice of not less than 14 days of the date of the hearing of the Appeal Panel.

6.5 No evidence may be relied on or referred to at the hearing of the Appeal Panel, or witnesses called by either the UKYA or the appellant Member, if copies of that evidence and names of those witnesses have not been provided to the other party at least seven days before the hearing. The procedures and process set out in Regulations 4.7 and 4.8 shall also apply to any hearing by the Appeal Panel.

6.6 The Appeal Panel shall have the authority to:

- (a) dismiss the appeal; or
- (b) allow the appeal and remove any one or more of the sanctions imposed; or
- (c) remove any one or more of the sanctions imposed and/or impose a different sanction or sanctions from among those listed in Regulation 5.1.

6.7 The Appeal Panel shall send its decision, together with the reasons for that decision, to UKYA staff who will make a report to the Executive Group on the matter. The Disciplinary Lead shall send a copy of the Appeal Panel's decision, together with reasons, to the appellant Member within seven days of the date of the hearing UNLESS the Appeal Panel has imposed a sanction of suspension or expulsion in place of a lesser sanction, in which case the Appeal Panel's decision must be ratified by the Executive Group prior to its communication to the Member by the Disciplinary Lead.

6.8 The Disciplinary Lead may, where appropriate, send a copy of the Appeal Panel's decision (with or without the reasons given for that decision) to the appellant Member's employer and/or the source(s) of the allegation or report.

6.9 The decision of the Appeal Panel shall be final (subject to any ratification required by the Executive Group in accordance with Regulation 6.7) and there shall be no further right of appeal.

7. Miscellaneous

7.1 The UKYA may seek legal advice to advise and support the Investigator, Disciplinary Lead, Conduct Panel and/or the Appeal Panel in relation to any alleged Misconduct being investigated in accordance with these Regulations, provided that UKYA staff and the Executive Group are informed in advance of the estimated level of legal fees to be incurred and provided that the Executive Group authorises that the fees specified be incurred.

7.2 Members shall have the right to view all information held by the UKYA in respect to any allegation or report in which they are named in accordance with Data Protection law.

7.3 These Regulations may be amended from time to time by resolution of the Executive Group provided that any disciplinary matter arising under them shall be adjudicated by reference to the Regulations in force at the date of the conduct giving rise to the allegation or report.

7.4 The UKYA staff team will provide the necessary secretariat support throughout the complaints and disciplinary process.

NOTE: The UKYA seeks to protect complainants from victimisation or harassment as a result of bringing a complaint. The UKYA will, where possible, investigate all complaints received by it in confidence and protect the identity of the complainant if a complainant wishes to remain anonymous.