

LEEDS BECKETT UNIVERSITY

Academic Principles and Regulations

August 2015

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Academic Principles and Regulations 2015/16

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Academic Principles and Regulations

Section A1: General Statements of Principle

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SECTION A1: GENERAL STATEMENTS OF PRINCIPLE

A1.1 Scope and Application

A1.1.1 Scope

The following academic principles and general academic regulations are concerned with admission to, and the assessment of students enrolled on, programmes of study leading to awards of the University.

A1.1.2 Purpose

The University Academic Regulations provide:

- the framework within which Schemes or Courses are designed, validated and approved; and
- the means whereby the standard of University awards is assured through the maintenance and enhancement of the quality of teaching, learning and assessment.

A1.1.3 Responsibility

In approving the Academic Regulations, the Academic Board has delegated responsibility for the detailed operation, monitoring and review of these Regulations to its Committees. Final approval of the Academic Principles and Regulations is the responsibility of Academic Board.

A1.1.4 Application

The following principles underlie the Academic Regulations of the University, which are to be interpreted and applied in the light of these principles.

Definitions

Within the framework the following definitions apply:

Award

An award is that qualification, which is granted to a student upon completion of a course. An award may be either a target or contained award dependent on successful achievement of the required number of credits by a student. A student may undertake a course and successfully achieve credit but not be eligible for an award. The awards of the University are defined in section A of the Academic Regulations.

Course

Students apply for and study on courses, which lead to a defined award of the University. Approval, periodic and annual review and course team activity ensure that course quality and standards are appropriate for the award students are aiming to achieve.

Programme

A Programme refers to any coherent body of provision leading to a higher education award and is therefore considered interchangeable with 'course' in the University's academic framework. The term 'programme' is commonly used by the Quality Assurance Agency.

Programme of Study

A programme of study refers to the diet of modules an individual student is undertaking.

Scheme

A scheme is a management tool for standardising practice across linked provision within a Faculty. Whilst schemes may establish a parity of practice across courses they do not negate the requirement for each course to be considered for approval and periodic review on an individual basis.

Principles

Within the framework the following principles apply:

Primacy of University Regulations

The University Regulations take precedence over any other regulations, including those of external or professional bodies, unless variation is specifically permitted and approved.

Parity

All awards of the University are subject to the overarching principles of the University outlined in Section A.

Consistency, Fairness and Equity

The University will apply its regulations fairly, equitably and consistently.

Rigour and Standards

The University will ensure that the standards of assessment are rigorous and of comparable standing with the rest of the sector.

Academic Judgements

The academic judgements of examiners cannot, in themselves, be questioned or overturned.

Ratification and recording of credit

The University will have sound provisions for the ratification and recording of credit.

Feedback

The University will ensure that feedback is timely, promotes learning and facilitates improvement. The University will ensure that students will have the opportunity to discuss their academic work with staff.

Information to Students

All students will be provided with appropriate information in respect of:

- The university requirements for completion of modules, level and award
- Assessment requirements of their modules
- Provisions for submitting extenuating circumstances
- Provisions for publication of results
- Provisions for requesting an appeal hearing

Responsibilities of Students

Students are responsible for maintaining awareness of:

- Academic Regulations
- Information contained in their Course Handbook
- Complying with the assessment requirements of their modules
- Their standing in respect of progression and award
- Their standing in respect of re-assessment provisions and arrangements

Confidentiality

The academic principles and regulations will provide for due and appropriate confidentiality.

A1.2 Awards of the University

A1.2.1 Definition of Awards

The University has established a definition of each of its awards. The minimum standard of the degrees awarded by the University is that of degrees awarded by universities in the United Kingdom, as demonstrated through the use of external examiners, through peer review and through participation in national systems for quality assurance and quality assessment.

A1.2.2 Approval of New Awards

Proposals for new awards are considered through procedures agreed by the Academic Board. New proposals will be considered in the context of the range of the University's existing awards and their relationship to each other and to the awards of other bodies.

A1.3 Schemes and Courses

A1.3.1 Mode and Structure of Schemes or Courses

Schemes or Courses approved by the University must conform in terms of standard and objectives to the requirements of the University's definitions of awards (See A1.2.1).

A1.3.2 Modes of Study

The University believes that it is essential for the advancement of education and the extension of educational opportunities that a variety of modes of study should be available to students.

A1.3.3 Aims and Objectives of Schemes or Courses

Schemes and Courses approved by the University shall have aims, objectives and learning outcomes which the curriculum, teaching/learning methods and forms of assessment are designed to fulfil.

A1.3.4 General Educational Aims of the University

The aims for Schemes or Courses will include the University's general educational aims which reflect the concept of capability by developing students':

- intellectual and imaginative powers
- confidence and ability to take effective and appropriate action
- problem solving and decision-making skills
- ability to communicate and explain their actions
- ability to work with others and to continue to learn from their experience
- ability to see relationships within what they have learned and the ability to relate the studies to a wider context.

Approved Schemes or Courses will stimulate an enquiring, analytical and creative approach, encouraging independent judgement and critical self-awareness.

A1.3.5 Aims of Schemes or Courses

The aims of Schemes or Courses will include the development, to the level required for the award, of a coherent body of knowledge, skills and understanding appropriate to the field of study and reflecting academic developments in that field.

A1.3.6 Objectives of Schemes or Courses

The objectives of Schemes or Courses will specify in more detail the knowledge and competencies to be developed in the Scheme or Course and evaluated in the assessments.

A1.4 Scheme or Course Development

A1.4.1 Recommendation to Academic Board

A recommendation to Academic Board on whether or not a Scheme or Course meets the requirements of the University must be made by a group of responsible and experienced people.

Peer Review

(A) Composition

This group must be drawn from persons:

- inside and outside the field of study concerned
- inside and outside the University or other partner institution providing the Scheme or Course
- inside and outside higher education, where appropriate.

(B) Responsibilities

Members of this group must:

- be able to make impartial judgements on the comparability of a Scheme or Course, in terms of standard and content, with similar Courses offered elsewhere in higher education;
- include members familiar with current developments in the field of study;
- include at least one member with relevant experience of industry, commerce, public service or the professions, where appropriate;
- include members with an understanding of current practice and developments in teaching, learning and assessment in higher education;
- be aware of the University's requirements for the award.

A.1.5 Quality of Learning Experience

A1.5.1 Quality of the Learning Experience

The quality of the learning experience must be maintained and where possible enhanced.

A1.5.2 Teaching and Learning Strategies

Teaching and learning strategies should be appropriate to the aims and objectives of the Scheme or Course and to the nature of the student population.

A1.5.3 Teaching Staff

The teaching staff must be properly qualified and experienced, and their teaching must be invigorated and informed by their active participation in scholarly activity, including research and/or relevant professional activities.

A1.5.4 Academic Supervision and Learning Support

The University or other partner institution(s) delivering an approved award of the University must be able to provide the student with appropriate academic supervision and learning support.

A1.5.5 Placement Learning

Where placement learning is an intended part of the programme of study, the University will ensure that:

- its responsibilities for placement learning are clearly defined;
- the intended learning outcomes will contribute to the overall aims of the programme;
- any assessment of placement learning is an integral and coherent part of the assessment strategy;
- students are provided with appropriate guidance and support in preparation for, during and after their placements.

A1.5.6 Student Involvement

Students should be provided with opportunities to:

- negotiate and take responsibility for their own learning;
- and
- contribute in an informed way to Scheme or Course development and quality assurance, in an atmosphere in which rational debate is encouraged.

A1.5.7 Student Feedback

Students' feedback on the nature of their educational experience should be sought and acted upon.

A1.6 Opportunities for Study

A1.6.1 Opportunities

Schemes or Courses leading to awards of the University should be specified and structured in such a way as to enable all those with the potential to benefit from and succeed in higher education to seek to gain admission and to gain the highest award of which they are capable.

A1.6.2 Flexibility

The University will seek to provide Schemes or Courses which are flexible in terms of entry and exit points and provide a range of electives and options.

A1.7 Admission of Students

A1.7.1 Admission of Students

The admission of students will be based on a reasonable expectation that they will be able to:

- benefit from their programme of study
- fulfil its objectives
- achieve the standard required for the award for which they are registered.

A1.8. Career Education, Information and Guidance

A1.8.1 Aim

Career education, information and guidance will assist the University in preparing its graduates for their future careers. The University will clearly identify for prospective and current students the importance of skills and knowledge development in relation to employment and lifelong learning.

A1.8.2 Access

Students will be fully informed about the process and the services available to them both during their career within the University and after leaving. Information and guidance will be:

- provided to students on a client-focused and confidential basis
- in accordance with current University policy as determined by the Academic Board.

A1.8.3 Confidentiality

Career education, information and guidance will be impartial, client-focused, confidential, collaborative and in accordance with the University's equal opportunities policy.

A1.8.4 Equal Opportunities

The University will identify and develop appropriate services and provide information to meet the needs of the student body including the specific requirements of students who may be disadvantaged in the labour market.

A1.8.5 Institutional Context

Any services, information or guidance provided for the benefit of staff or students will be subject to the normal quality assurance processes of the University.

A1.9 Assessment of Students

A1.9.1 Purpose of Assessment

The purpose of assessment is:

- to enable students to learn;
- and
- to demonstrate that they have fulfilled the objectives of the Scheme or Course and have achieved the standard required for the award.

A1.9.2 Conduct of Assessment

Assessment is conducted under the general authority of Boards of Examiners to ensure impartiality.

A1.9.3 Membership of Boards of Examiners

The membership of a Board of Examiners must be competent to make judgements about the performance of individual students against specified criteria and in relation to comparable Schemes or Courses.

A1.9.4 External Examiners

The particular responsibilities of external examiners are to ensure:

- that students are assessed fairly in relation to other students on the Scheme or Course and to all students across the University;
- and
- that the standard and quality of the University's awards is maintained.

A1.10 Equal Opportunities

A1.10.1 Access

The University will offer equal opportunities for access to its Schemes or Courses within its admissions policy and pursue positive recruitment policies to ensure maximum open access.

A1.10.2 Academic Provision

The University will work towards enriching, informing and supporting the content, delivery, culture and criteria for assessment of all its Schemes or Courses in order to ensure equality of opportunity throughout students' academic careers.

A1.11 Powers of the Academic Board

A1.11.1 Quality and Standards

The Academic Board will take any reasonable action it considers necessary to protect the quality of Schemes or Courses and the standard of its awards.

Academic Principles and Regulations

Section A2: Awards of the University and their Standard

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SECTION A2: AWARDS OF THE UNIVERSITY AND THEIR STANDARD

A2.1 Awards: General

A2.1.1 Title of Awards

The Academic Board is responsible for approving the title of any award of the University granted under these Regulations.

A2.1.2 Standard

The Academic Board, on behalf of the University, ensures that all awards and distinctions are consistent and comparable with awards granted and conferred throughout higher education.

A2.1.3 Designated Letters for Awards

Designated letters are established to enable holders of awards and distinctions of the University to use them in accordance with academic convention.

A2.2 Awards of the University

A2.2.1 Awards of the University

The awards of the University are as follow below.

A2.2.2 Pre-Degree Level

Foundation Certificate
Certificate
Certificate of Higher Education (CertHE)
Certificate in Education (CertEd)
Diploma
Diploma of Higher Education (DipHE)
Advanced Diploma
Vocational Certificate
Professional Diploma

A2.2.3 First Degree Level

Foundation Degree Arts (FdA)
Foundation Degree Engineering (FdEng)
Foundation Degree Science (FdSc)
Bachelor of Arts (BA)
Bachelor of Arts with Honours (BAHons)
Bachelor of Education (BEd)
Bachelor of Education with Honours (BEdHons)
Bachelor of Engineering (BEng)
Bachelor of Engineering with Honours (BEngHons)
Bachelor of Laws (LLB)
Bachelor of Laws with Honours (LLBHons)
Bachelor of Medical Science (BMedSci)
Bachelor of Science (BSc)
Bachelor of Science with Honours (BScHons)
Bachelor of Technology (BTech)
Bachelor of Technology with Honours (BTechHons)
Professional Graduate Certificate in Education (PGCE)

A2.2.4 Post-Experience

Certificate in Professional Studies
Diploma in Professional Studies

A2.2.5 Postgraduate

Advanced Professional Diploma
Postgraduate Certificate (PGCert)

Postgraduate Certificate in Education (PGCE)
Postgraduate Certificate in Higher Education (PGCHE)
Certificate in Management (CM)
Postgraduate Diploma (PGDip)
Diploma in Management Studies (DMS)
Graduate Certificate
Graduate Diploma

A2.2.6 Integrated Masters

Master of Osteopathy (MOst)
Master of Biomedical Sciences (MBioms)
Master of Engineering (MEng)
Master of Planning (MPlan)

A2.2.7 Taught Masters Awards

Master of Arts (MA)
Master of Business Administration (MBA)
Master of Education (MEd)
Master of Fine Art (MFA)
Master of Laws (LLM)
Master of Science (MSc)
Master of Public Administration (MPA)
Master of Architecture (MArch)
Master of Engineering (MEng)
Masters in Teaching and Learning (MTL)

A2.2.8 Research Awards

Master of Arts (MA by research)
Master of Science (MSc by research)
Master of Philosophy (MPhil)
Doctor of Philosophy (PhD)

A2.2.9 Professional Research Doctorates

Doctor of Philosophy (DProf)
Doctor of Engineering (DEng)
Doctor of Education (EdD)
Doctor of Business Administration (DBA)

A2.2.10 Higher Doctorates

Doctor of Laws (LLD)
Doctor of Letters (DLitt)
Doctor of Science (DSc)
Doctor of Technology (DTech)

A2.3 Specific Provisions in respect of University Awards

A2.3.1 Distinction and Merit

Provision for the recommendation of a Distinction or Merit may be made in the regulations for all taught awards except for the classification for the degree with honours.

A2.3.2 Classification of Honours Degrees

Bachelor Degrees with Honours are available in the following classifications:

- First Class
- Upper Second Class
- Lower Second Class
- Third Class.

A2.3.3 Pass or Unclassified Degree

Bachelor Degrees with Honours may be awarded as pass or unclassified degrees.

Where the Bachelor degrees are pass or unclassified, these awards do not appear on the degree certificate but may be on any transcript.

A2.3.4 Aegrotat Awards

An Aegrotat award may be recommended when a Board of Examiners does not have enough evidence of the student's performance to be able to recommend the award for which the student was a candidate, but is satisfied that but for illness or other valid cause the student would have reached the standard required. A candidate who has been offered an Aegrotat award, but who elects instead to be re-assessed may not claim the Aegrotat award in the event of failure.

Aegrotat awards do not carry any classification or distinction.

A2.3.5 Posthumous Awards

Providing that all normal conditions of an award have been satisfied, an award may be conferred posthumously and be accepted by another person on behalf of the late student; and as deemed appropriate by the University.

A2.4 Awards of Other Bodies

A2.4.1 Awards of Other Bodies

The University may confer awards of other institutions, validating and accrediting bodies either singly or jointly with University awards, where the University has an agreement with the other institution or body.

A2.5 Honorary Awards

A2.5.1 Conferment of Honorary Awards

The Academic Board, on behalf of the University, may confer honorary awards on individuals or organisations. The Academic Board delegates authority to the Honorary Awards Committee to seek nominations; select candidates against criteria and make invitations to candidates for the conferment of award.

A2.5.2 Categories of Honorary Awards

The University may confer honorary masters' degrees, honorary doctorates and honorary fellowships.

A2.5.3 Criteria for Conferment

Honorary awards of the University may be conferred on individuals or organisations whose work and achievement reflect the mission and values of the University and/or whose conduct or reputation has brought distinction in one or more of the following fields:

- research and scholarship
- education
- the arts and sport
- science and technology
- the professions
- industry and commerce
- public life
- public and voluntary service
- service to the University
- service to the City of Leeds and/or the region
- service to the national or international community.

A2.5.4 Selection for Conferment of Honorary Awards

In conferring honorary awards, the University will have regard to distinguished alumni of the institution and will also seek to ensure a broadly balanced list. Nominations for the conferment of honorary awards will be sought on a regular basis from all members of the University community, against the criteria for conferment.

A2.5.5 Recipients: Honorary Masters Degrees and Doctorates

Honorary masters' degrees and honorary doctorates may be conferred on individuals.

A2.5.6 Recipients: Honorary Fellowships

Honorary fellowships may be conferred on either individuals or organisations.

A2.5.7 Role of Recipients

Individuals and/or organisations invited to receive an award will also be invited to continue their involvement with the University after conferment for the benefit of students and staff.

A2.5.8 Award of Honorary Masters Degree

The general policy for the award of an honorary master's degree will be the honorary award of one of the taught or research master's degrees of the University or the honorary degree of Hon M Univ.

A2.5.9 Award of Honorary Doctorate

The general policy for the award of an honorary doctorate will be the award of one of the following:

- Hon D Arts
- Hon D Business Administration
- Hon D Ed
- Hon D Eng
- Hon D Laws
- Hon D Litt
- Hon D Music
- Hon D Science
- Hon D Sport Science
- Hon D Technology
- Hon D Univ

A2.5.10 Degree of Distinction

The conferment of honorary masters' and doctorate awards will be differentiated by the degree of distinction to be recognised.

A2.5.11 Personal Acceptance

Honorary awards of the University will not be conferred in absentia.

A2.5.12 Use of Designatory Letters

Recipients of honorary awards may use approved designatory letters but may not use the doctorate title unless they are entitled by virtue of their other qualifications.

A2.6 Academic Dress

A.2.6.1 Academic Dress

Styles and colours for academic dress will conform to the regulations approved by the University.

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Section A3: Definition of University Awards

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SECTION A3: DEFINITION OF UNIVERSITY AWARDS

A3.1 Definition of University Awards

A3.1.1 Benchmark Definition

For each award, the University has established a benchmark definition against which the proposal for a programme of study is to be judged, as follows:

- the possession of the necessary knowledge and skills needed for admission to a Scheme or Course may be demonstrated by means other than the possession of qualifications;
- the award may be attained by a variety of modes of study other than full-time;
- the period of study may be shorter or longer depending upon the student's prior knowledge and skills and upon the mode of study.

A3.1.2 Minimum Standard

The minimum standard shall be comparable with any other institution of higher education in the United Kingdom.

A3.1.3 Benchmark Standards

For programmes of study, benchmark standards may be defined in terms of credit points and levels.

(A) Pre-Higher Education Level

The University may offer awards at a pre-higher education level.

(B) Undergraduate Honours Programme

Normally 120 credit points each at HE Level 4, HE Level 5, or HE Level 6 equate with the first three years of a full-time undergraduate honours programme.

(C) Postgraduate Level

At postgraduate level, 180 credit points at Level 7 equate to one calendar year of full-time study.

A3.1.4 Successful Completion of a Programme of Study

Successful completion of a programme of study requires the achievement of the objectives and learning outcomes of the Scheme or Course.

The definitions therefore specify that the programme must be suitable for the fulfilment of the University's general educational aims, and require the standard of achievement required for the award to be demonstrated by the fulfilment of the objectives.

A3.2 Definition of Awards at Pre-Degree Level

A3.2.1 Foundation Certificate

The Foundation Certificate is awarded for a Foundation year or equivalent period of study at HE Level 0. These are specific programmes as pre-entry to a named higher HE award and are not offered as discrete awards.

A3.2.2 Certificate

The Certificate is awarded for the attainment of a minimum of 60 credit points at HE Level 4.

Certificate of Higher Education

The Certificate of Higher Education is awarded for the attainment of a minimum of 120 credit points at HE Level 4.

A3.2.3 Certificate in Education (CertEd)

The title of Certificate in Education (CertEd) is reserved for programmes of study of teacher education related to further education. The CertEd is awarded for the attainment of a minimum of 120 credit points at HE Level 4 and includes appropriate periods of teaching practice.

A3.2.4 Diploma

The Diploma is awarded for the attainment of a minimum of 120 credit points at HE Level 4 and 60 credit points at HE Level 5.

A3.2.5 Diploma of Higher Education

The Diploma of Higher Education is awarded for the attainment of a minimum of 120 credit points at HE Level 4 and 120 credit points at HE Level 5.

A3.2.6 Advanced Diploma

The Advanced Diploma is awarded for the attainment of a minimum of 60 credit points at HE Level 6.

A3.2.7 Vocational Certificate

The Vocational Certificate is awarded for the attainment of a minimum of 40 credit points at HE Level 4 or above studied on an award which provides the opportunity for continuous professional development.

A3.2.8 Vocational Diploma

The Vocational Diploma is awarded for the attainment of a minimum of 40 credit points at HE Level 5 or above studied on an award which provides the opportunity for continuous professional development.

A3.2.9 Professional Diploma

The Professional Diploma is awarded for the attainment of a minimum of 40 credit points at HE Level 6 or above studied on an award which provides the opportunity for continuous professional development.

A3.3 Definitions of First Degrees

A3.3.1 Foundation Degree

The Foundation Degree is awarded for the attainment of a minimum of 120 credit points at HE Level 4 and 120 credit points at HE Level 5.

Candidates must have demonstrated the achievement of work related learning and core skills.

A3.3.2 Bachelor Degree

The Bachelor Degree is awarded for the attainment of a minimum of 120 credit points at HE Level 4, 120 credit points at HE Level 5 and 60 credit points at HE Level 6.

A3.3.3 Bachelor Degree with Honours

The Bachelor Degree with Honours is awarded for the attainment of a minimum of 120 credit points at HE Level 4, 120 credit points at HE Level 5 and 120 credit points at HE Level 6.

Candidates must have demonstrated the capacity for sustained independent and high quality work.

A3.3.4 First Degree Programmes

First degree programmes lead to either:

- the title of Bachelor of Arts or Bachelor of Science;
- or
- a more closely defined award restricted to certain subjects and types of programme.

A3.3.5 Title of First Degrees

Programmes of study for first degrees have a title which demonstrates more clearly the subject or field studied. Such titles are incorporated into degree certificates and may be used in designated letters by those who receive such awards.

A3.3.6 Combined Subject Awards

Combined Subject Awards may be made.

Titles of Combined Subject Awards

The titles of Combined Subject Awards will normally be guided by the following conventions:

(A) Use of “and” in the title

Where two curriculum areas are combined in the title of the degree, the two areas shall be linked by the word “and” where:

candidates have attained at least 50% of the total credit points required for the completion of both HE Level 5 and HE Level 6 in each of the two curriculum areas identified in the title of the award.

(B) Use of “with” in the title

In cases where the approved programme of study does not meet the above requirements, the title of the award will specify the first curriculum area “with” the second as subsidiary curriculum area where:

- candidates have attained at least 25% of the total credit points for the completion of both HE Level 5 and HE Level 6 in a subsidiary curriculum area.

A3.3.7 Bachelor of Education (BEd)

The title of Bachelor of Education (BEd) is reserved for programmes of teacher education. The BEd may be at honours level or unclassified.

Initial or pre-service programmes include appropriate periods of teaching practice.

A3.3.8 In-service Bachelor of Education

The in-service Bachelor of Education degree is for qualified teachers holding a Certificate in Education or equivalent qualification.

The degree is awarded for the attainment of a minimum of 120 credit points at HE Level 5 and 60 credit points at HE Level 6.

The degree with honours is awarded for the attainment of a minimum of 180 credit points at HE Levels 2 and 3, of which at least 120 should be at HE Level 6.

A3.3.9 Bachelor of Engineering (BEng)

The title of Bachelor of Engineering (BEng) is reserved for Bachelor programmes of study which provide a technologically broad education with an emphasis on engineering applications.

A3.3.10 Bachelor of Technology (BTech)

The title of Bachelor of Technology (BTech) is reserved for Bachelor programmes of study specialised in Civil Engineering.

A3.3.11 Bachelor of Laws (LLB)

The title of Bachelor of Laws (LLB) is reserved for Bachelor programmes of study specialised in Law.

If Law is combined with another subject then the title shall be Bachelor of Arts or Bachelor of Science as appropriate.

A3.4 Definition of Post-Experience Awards

A3.4.1 Post-Experience Awards

Post-experience awards are reserved for programmes of study related to specific professional areas and designed to build upon professional qualifications and professional experience.

A3.4.2 Certificate in Professional Studies

The Certificate in Professional Studies is awarded for the attainment of a minimum of 40 credit points at HE Level 5 or HE Level 6.

A3.4.3 Diploma in Professional Studies

The Diploma in Professional Studies is awarded for the attainment of a minimum of 120 credit points at HE Level 5 or HE Level 6.

A3.4.4 Professional Graduate Certificate in Education (PGCE)

The Professional Graduate Certificate in Education (PGCE) is an award for a graduate who has successfully completed the study of the theory and practice of teaching at HE Level 6.

A3.5 Definition of Postgraduate Awards

A3.5.1 Advanced Professional Diploma

The Advanced Professional Diploma is awarded for the attainment of a minimum of 40 credit points at HE Level 7 or above studied on an award which provides the opportunity for continuous professional development.

A3.5.2 Postgraduate Certificate (PGCert)

The Postgraduate Certificate (PGCert) is awarded for the attainment of a minimum of 60 credit points at Level 7.

The programme can be designed to re-orientate students from one area in a discipline to another related area and will use the skills and competencies attained in the first degree studies.

A3.5.3 Certificate in Management (CM)

The Certificate in Management (CM) is awarded for the attainment of a minimum of 60 credit points at Level 7. It is a post-experience, postgraduate certificate and the standard is that expected of a person who has demonstrated competence in the appropriate aspects of management.

A3.5.4 Postgraduate Diploma (PGDip)

The Postgraduate Diploma (PGDip) is awarded for the attainment of a minimum of 120 credit points at Level 7.

A3.5.5 Diploma in Management Studies (DMS)

The Diploma in Management Studies (DMS) is awarded for the attainment of a minimum of 120 credit points at Level 7.

This is a post-experience, postgraduate diploma award designed to meet the needs of those who have at least two years' management experience and wish to achieve a range of general management knowledge, skills and competencies.

A3.5.6 Graduate Certificate

The Graduate Certificate is awarded for the attainment of a minimum of 60 credit points, 40 of which to be at HE Level 6 and 20 at HE Level 4 or 5 or above.

A3.5.7 Graduate Diploma

The Graduate Diploma is awarded for the attainment of a minimum of 120 credit points, 80 of which to be at HE Level 6 and 40 at HE Level 4 or 5 or above.

A3.5.8 Postgraduate Certificate in Education (PGCE)

The Postgraduate Certificate in Education (PGCE) is an award for a graduate who has successfully completed the study of the theory and practice of teaching at HE Level 7.

A3.6 Definition of Integrated Masters Awards

A3.6.1 Integrated Masters Awards

An Integrated Masters is awarded for the attainment of 480 credit points; 120 credits at level 4, 120 credits at level 5, 120 credits at level 6 and 120 credits at level 7. See Regulation A2.2.6 for Integrated Masters award titles.'

A3.7 Definition of Taught Masters Awards

A3.7.1 Taught Masters Awards

Taught Masters degrees are awarded for the attainment of a minimum of 180 credit points, of which a minimum of 160 credit points are at Level 7.

They are at a level which demands more advanced and intensive study than a first degree, and include a compulsory element of advanced independent work.

A3.7.2 Titles of Taught Masters Degrees (MA or MSc)

Programmes leading to awards of MA or MSc shall be given a title which indicates clearly the subject(s) studied.

A3.7.3 Master of Business Administration (MBA)

The title of Master of Business Administration (MBA) is reserved for programmes of study which focus on the general principles and function of management and the development of management skills.

Students entering MBA programmes shall have appropriate practical experience.

A3.7.4 Titles of MBA Degrees

Programmes leading to the MBA may be given a title which indicates clearly the management context studied.

A3.7.5 Master of Education (MEd)

The title of Master of Education (MEd) is reserved for programmes of study focused on education and professional practice in teaching.

All students must have appropriate professional experience.

A3.7.6 Master of Fine Art (MFA)

The title of Master of Fine Art is comprised of 300 credit points, of which a minimum of 240 credit points are at level 7.

A3.7.7 Master of Laws (LLM)

The title of Master of Laws (LLM) is reserved for programmes of study in which the focus is on the principles and/or application of Law.

A3.7.8 Master of Engineering (MEng)

The title of Master of Engineering (MEng) is reserved for programmes of study in Engineering or its application.

The standard of the award is that expected of a student with a Bachelor Degree with Honours in Engineering or equivalent who has followed an additional programme, normally of one year's full-time study or equivalent, which is at a level more demanding than that required for the award of BEng (Honours).

A3.7.9 Master of Architecture (MArch)

The title of Master of Architecture (MArch) is reserved for programmes of study in Architecture incorporating Part 2 of the Royal Institute of British Architects (RIBA) professional qualification

as prescribed by the Architects Registration Board (ARB). The award is comprised of 240 credit points at level 7.

A3.8 Definition of Research Awards (see also Section G)

A3.8.1 Masters by Research

The standard of a Masters by Research is that expected of an honours graduate who has satisfactorily completed an approved period of research training, has investigated a topic using appropriate research methodology, and has presented a satisfactory thesis.

Where the programme involves Level 7 credit, any award will conform to the standard requirements for a Taught Masters award.

A3.8.2 Title of Master of Research Awards

The title Master of Research (MRes) is used for all subject areas.

A3.8.3 Application of Titles of Masters by Research Awards

(A) Master of Arts

The title Master of Arts (MA) is used in art, design, the arts and humanities and areas of social and business studies.

(B) Master of Science (MSc)

The title Master of Science (MSc) is used where studies are substantially based on science or mathematics, or their applications.

A3.8.4 Masters by Research: Certificate of Award

The specification of the award of Master of Research is shown on the Certificate of Award.

A3.8.5 Masters by Research: Use of Designatory Letters

Award holders may use the designatory letters with or without the mode of attaining the award.

A3.8.6 Master of Philosophy (MPhil)

The standard of the Master of Philosophy (MPhil) is that expected of a good honours graduate who has satisfactorily completed an approved period of research training and has investigated and evaluated, or critically studied, an appropriate topic, demonstrating an understanding of research methods appropriate to the chosen field, and has presented a satisfactory thesis.

A3.8.7 Doctor of Philosophy (PhD)

The standard of a Doctor of Philosophy (PhD) is that expected of a good honours graduate who has satisfactorily completed an approved programme of research training. The student shall have investigated or critically studied an approved and appropriate topic resulting in a significant contribution to knowledge, and presented a satisfactory thesis.

A3.8.8 European Doctorate (PhD)

Part of the thesis results from work undertaken in another European country.

A3.8.9 Doctor of Philosophy (PhD): Published Works

The award of a Doctor of Philosophy (PhD) may also be made on the basis of published works. The work presented, supported by a synoptic review, is required to demonstrate a systematic approach showing independent, critical and original powers with a distinct contribution to knowledge.

A3.8.10 Professional Research Doctorate (EdD, DEng, DBA)

The standard of a Professional Research Doctorate is that expected of a good honours graduate who has satisfactorily completed an approved programme of research training and contextual study.

The candidate will have investigated or critically studied an approved topic or topics which result in a significant contribution to practice and has presented a satisfactory portfolio of research including two or more substantial research outputs.

A3.8.11 Doctor of Education (EdD)

The title of Doctor of Education (EdD) is reserved for programmes of research focused on education and professional practice in education.

Normally all candidates must have appropriate professional experience.

A3.8.12 Doctor of Engineering (DEng)

The title of Doctor of Engineering (DEng) is reserved for programmes of research focused on engineering and related subjects and professional practice in engineering.

Normally all candidates must have appropriate professional experience.

A3.8.13 Doctor of Business Administration (DBA)

The title of Doctor of Business Administration (DBA) is reserved for programmes of research focused on Business Administration and related subjects and professional practice

Normally all students must have appropriate and subject relevant professional experience.

A3.8.14 Higher Doctorates

The standard of the award of Higher Doctorates is that expected of an applicant who is a holder of at least seven years' standing of a first degree, or a holder of at least four years' standing of a higher degree, who is a leading authority in the field of study concerned and has made an original and significant contribution to the advancement or application of knowledge in that field.

Appendix A Credit requirements and minimum credit outcomes

	University Award	Overall Credits	Minimum required at Highest Level	Other credit and level requirements	QAA FHEQ level
1	Certificate (Cert)	120	60 @ L4		4
2	Certificate of Higher Education (Cert HE)	120	120 @ L4		4
3	Certificate in Education (CertEd)	120	120 @ L4	Appropriate periods of teaching practice	4
4	Diploma (Dip)	180	60 @ L5	Remaining 120 @ L4 or higher	5
5	Diploma of Higher Education (DipHE)	240	120 @ L5	Remaining 120 @ L4 or higher	5
6	Vocational Certificate	40	40 @ L4	Award must provide opportunity for continuous professional development	4
7	Vocational Diploma	40	40 @ L5	Award must provide opportunity for continuous professional development	5
8	Professional Diploma	40	40 @ L6	Award must provide opportunity for continuous professional development	6
9	Advanced Diploma	60	60 @ L6	Award must provide opportunity for continuous professional development	6
10	Foundation Degree (FdA or FdSc)	240	120 @ L5	Remaining 120 @ L4 or higher Candidates must demonstrate achievement of work related learning and core skills.	5
11	Bachelor Degree (Ordinary Degree BA or BSc)	300	60 @ L6	Minimum of 120 @ L5 and remaining 120 at L4 or higher	6
12	Bachelor Degree with Honours (BA (Hons) or BSc (Hons))	360	120 @ L6	Minimum of 120 @ L5 and remaining 120 at L4 or higher	6
13	Professional Graduate Certificate in Education (PGCE)	120	60 @ L6	Remaining 60 @ L5 or higher and meets requirements for Qualified Teacher Status	6

				(QTS)	
14	Postgraduate Certificate in Education (PGCE)	120	60 @ L7	Remaining 60 at L6 or higher and meets requirements for Qualified Teacher Status (QTS)	7
15	Postgraduate Certificate in Education (PGCE) Schools Direct	60	60 @ L7	Meets requirements for Qualified Teacher Status	7
16	Certificate in Professional Studies	40	40 @ L5 or L6		5 or 6
17	Diploma in Professional Studies	120	120 @ L5 or L6		5 or 6
18	Advanced Professional Diploma	40	40 @ L7	Award must provide opportunity for continuous professional development	7
19	Postgraduate Certificate (PGCert)	60	60 @ L7		7
20	Certificate in Management (CM)	60	60 @ L7		7
21	Postgraduate Diploma (PGDip)	120	120 @ L7		7
22	Diploma in Management Studies (DMS)	120	120 @ L7		7
23	Graduate Certificate	60	40 @ L6 and remaining 20 @ L 4 or L5 or above		6
24	Graduate Diploma	120	80 @ L6 and remaining 40 @ L4 or L5 or above		6
25	Integrated Masters (first degree e.g. MEng, MOst)	480	120 @ L7	Remaining 360 meets requirements of an honours degree	7
26	Masters Degree (MA, MSc, MBA)	180	160 @ L7	Remaining 20 credits @ L6 or above. Award must include a compulsory element of advanced independent work.	7
27	Master of Architecture (MArch)	240	240 @ L7	Award is reserved for study in architecture incorporating part 2 of the RIBA professional qualification in accordance with the Architects Registration Board	

				(ARB).	
28	Master of Fine Art	300	240 @ L7	Remaining 60 @ L6	7

Academic Principles and Regulations

Section A4: Taught Awards of the University

August 2015

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SECTION A4: TAUGHT AWARDS OF THE UNIVERSITY

A4.1 General Academic Regulations for Approved Schemes or Courses

A4.1.1 Regulations

All credit bearing schemes or courses are subject to the University's Academic Principles and Regulations which have been approved by Academic Board.

A4.1.2 Written Statements

Each approved Scheme or Course is governed by a programme specification available to students.

Programme of Study

- **Modules**

The University requires all programmes of study leading to one of its awards to be comprised of discrete modules of study, each with its own learning outcomes capable of being assessed separately.

- **Coherence and Progression**

All programmes of study should be capable of demonstrating coherence and, where appropriate, progression.

A4.2 Mode and Duration of Study

A4.2.1 Definitions of Award

All Schemes, Courses or individual programmes of study leading to an award must conform to the definitions for the award [see Section A3: Definition of University Awards], but may have a range of modes of study.

A4.2.2 Modes of Study

For any mode of study, the following should be specified and be designed to satisfy the duration requirements of the award:

- the level of knowledge and skills required at the entry point
- the curriculum
- teaching arrangements
- time available for students' private study
- the length and nature of any supervised work experience
- assessment arrangements.

A4.2.3 Minimum and Maximum Periods of Study

The minimum and maximum periods within which a student must normally complete the programme shall be specified.

A4.2.4 Normal Duration of Periods of Study

The normal duration of periods of study is as set out below.

(A) **Certificate of Higher Education**

The planned duration of the Certificate of Higher Education is 1 year full-time and 2 years part-time; and normally the maximum period of registration is 2 years full-time and 3 years part-time.

(B) **Diploma of Higher Education**

The planned duration of the Diploma of Higher Education is 2 years full-time and 4 years part-time; and normally the maximum period of registration is 5 years full-time and 7 years part-time.

(C) **Foundation Degree**

The planned duration of the Foundation Degree is 2 years full-time and 3 years part-time; and normally the maximum period of registration is 5 years full-time and 7 years part-time.

(D) Bachelor Degree

The planned duration of the Bachelor Degree is 3 years full-time and 5 years part-time; and normally the maximum period of registration is 6 years full-time and 8 years part-time.

(E) Bachelor Degree with Honours

The planned duration of the Bachelor Degree with Honours is 3 years full-time and 6 years part-time; and normally the maximum period of registration is 6 years full-time and 9 years part-time.

(F) Top-up Degree

The planned duration of the Top-up Degree is 1 year full-time and 2 years part-time; and normally the maximum period of registration is 2 years full-time and 3 years part-time.

(G) Masters Degree

The planned duration of the Masters Degree is up to 2 years full-time and 4 years part-time; and normally the maximum period of registration is 5 years full-time and 7 years part-time

(H) Vocational Certificate, Vocational Diploma, Professional Diploma and Advanced Professional Diploma.

The planned duration of the awards of Vocational Certificate, Vocational Diploma, Professional Diploma and Advanced Professional Diploma will be for delivery within one academic year; and normally the maximum period of registration is 2 years.

A4.2.5 Assessment beyond the Maximum Period of Registration

The Board of Examiners, having regard for the standard of the award, and the Scheme or Course objectives and regulations, may, at its discretion, allow a student to be assessed beyond the maximum period of registration.

A4.2.6 Sandwich Mode

A programme of study leading to the Degree or Honours Degree in the sandwich mode shall include a placement of not less than 30 weeks of supervised work experience, in addition to the period for any related full-time award. The placement period will not exceed one calendar year's duration.

Any arrangement other than this specified period will be agreed at approval of the award and reviewed at periodic review.

A4.2.7 Sandwich Mode: Engineering and Art and Design

These awards will align with the stipulations as at A4.2.7.

A4.2.8 Completion of Supervised Work Experience

For all sandwich mode awards, students are required to perform satisfactorily and complete the period of work experience before the award can be made.

A4.2.9 Sandwich Mode: Award Certificate

If the Scheme or Course is designed in the sandwich mode, then this is specified on the Award Certificate.

A4.3 Language of Study

A4.3.1 English

The standard language of delivery, study and assessment will be English.

A4.3.2 Other Languages

Courses and modules leading to a University award must be delivered and/or assessed in English.

A4.4 Titles of Programmes of Study

A4.4.1 Titles

The title of a programme of study will be simple and accurate. It must conform to the usual expectations of higher education bodies, relevant professional bodies, students and employers about the level of knowledge and skills to be expected from a person holding such a qualification.

A4.4.2 Approval of Award Titles

Where the title of a programme of study is to appear on the Award Certificate conferred by the University, that title must be approved by the Academic Board in accordance with such procedures as may be instituted.

A4.4.3 Change to Award Titles

Where the title of a programme of study is to appear on the Award Certificate conferred by the University, the title may not be changed without the approval of the Academic Board.

A4.5 Approval and Modification of Schemes or Courses

A4.5.1 Approval

All taught Schemes or Courses leading to final awards of the University will be approved through a system of peer review. All proposals will be scrutinised by panels of peers, drawn from the University, other academic institutions and from appropriate external organisations. Panels have the responsibility of recommending to the Academic Board whether or not, and under what conditions, Schemes or Courses should be approved.

A4.5.2 Contained Awards

Normally all Schemes or Courses leading to a final award will include a series of approved contained awards at different levels. The title of the contained award will be the same as the title of the final award unless an alternative title is specified in the approved Scheme or Course regulations.

A4.5.3 Professional or Statutory Bodies

Where Courses are accredited by professional or statutory bodies, the University will, where appropriate, seek to conduct approval and review on an appropriate joint basis.

A4.5.4 Edexcel Courses

The University has an agreement with Edexcel which applies to review of existing Edexcel courses and to the approval of new Edexcel courses.

A4.5.5 ECTS

The University recognises the principles and mechanisms of the European Community Course Credit Transfer System (ECTS) and this is applied where appropriate.

A4.5.6 Collaborations

Where a Scheme or Course of the University is offered by a partner institution, the collaboration will be in accordance with the University's regulations relating to collaborative provision.

A4.5.7 Withdrawal or Non-Renewal of Approval

(A) Withdrawal/Non-Renewal

The University has the right to withdraw approval or to decide not to renew approval for a Scheme or Course at any time. Where there is evidence that a Scheme or Course is not meeting the standard of the award, the University will withdraw approval.

(B) Provisions for Students

In any of these circumstances, the University will ensure that opportunities for the achievement of objectives and learning outcomes are maintained for any students remaining on the Scheme

or Course, or that, where possible, the students are enabled to transfer to a suitable alternative Scheme or Course.

A4.5.8 Course Approval Documentation

Course approval documentation for all the University's approved Schemes or Courses are lodged with the Registrar and Secretary's Office.

A4.5.9 Memorandum of Collaboration

Schemes or Courses offered in collaboration with partner institution(s) are the subject of a signed Memorandum of Collaboration which:

- defines the means through which academic standards will be maintained;
- sets out the channels of authority, accountability and executive action for the collaboration.

A4.5.10 Monitoring and Review

All Schemes or Courses are subject to annual review and additionally, to periodic review within a 6 year cycle.

A4.5.11 Modifications

Modifications to Schemes or Courses will be progressed in accordance with the University Regulations under the authority of the University Academic Board and its Committees.

A4.5.12 Modifications to Progression and Assessment Regulations

No change will be made to regulations on the progression and assessment of students without formal consultation with the students on the Scheme or Course who may be directly affected by the proposed changes.

A4.5.13 External Examiners

Any changes which affect the regulations for assessment of students for an award must also have received the written consent of the approved external examiner(s).

A4.5.14 Record of Modifications

All modifications made to a Scheme or Course are kept on file as part of the course approval documentation.

A4.6 Admission

A4.6.1 Admission Regulations

The admission regulations for a Scheme or Course must conform to the general Admissions Regulations of the University and describe the basis on which a student is admitted to the beginning of a Scheme or Course or to subsequent stages. The regulations should do the following:

(A) Knowledge and Skills

Identify the knowledge and skills required at admission and relate these to the content and objectives of the Scheme or Course.

(B) Definition of Award

Describe the way in which these arrangements will accord with the University's requirements relating to the definition of the award, as set out in Section A3: Definition of University Awards.

(C) Suitability for Admission

Set out criteria and means of assessing the student's suitability for admission with reference to the University's procedures and practice.

(D) Honours Classification

Set out, where appropriate, the procedures to be used in assessing for the purposes of Honours classification any relevant previous work of a student admitted with specific credit, with reference to the University's procedures and practice.

A4.7 Assessment, Progression and Re-assessment

A4.7.1 Scheme or Course Regulations

All Scheme and Course regulations for assessment, progression and re-assessment will be in accordance with Section C3: Student Progression unless specific permission for variation has been given in accordance with the University Regulations.

A4.7.2 Assessment Regulations for Schemes or Courses

The assessment regulations for a Scheme or Course state the basis on which the students will be assessed for an award, relating the assessment to both the general educational and the Scheme or Course specific aims, as well as to the standard of the award.

A4.7.3 Progression Regulations for Schemes or Courses

Progression regulations for Schemes or Courses will:

- specify the minimum requirements for progression from one level to the next; and
- clearly identify core, elective and pre-requisite modules.

A4.7.4 Attendance

Where the objectives and learning outcomes of the Scheme or Course require it, the regulations may specify compulsory attendance at any element of the programme of study and must be detailed in the programme specification.

A4.7.5 Monitoring of Student Progress

Scheme or Course handbooks give details of any formal arrangements designed to monitor students' progress and how students are informed of their progress.

A4.8 General Regulations for the Conferment of Awards

A4.8.1 Awards of the University

The awards conferred by the University upon students who have completed all the requirements of an approved programme of study are set out in Section A2: Awards of the University and their Standard.

A4.8.2 Enrolment and Registration of Students

Students enrolling on programmes of study leading to a University award are required to be registered for an award with the University and to pay the relevant fees.

A4.8.3 Conditions of Award

An award of the University will be conferred when the following conditions are satisfied:

(A) Registration, Fees and Financial Liabilities

The candidate was a registered student with the University at the time of their assessment for an award, and payment of all the appropriate tuition and other relevant fees and outstanding financial liabilities has been made.

(B) Completion of Programme of Study

The candidate has completed a programme of study approved by the University leading to the award being recommended.

(C) Recommendation for an Award

The award has been recommended by a Board of Examiners, convened, constituted and acting under the regulations approved by the Academic Board of the University; or a duly established Appeal Panel of the University.

A4.8.4 Recommendation for Award

All recommendations for awards of the University shall be made in writing to the Chair of the Academic Board, who shall then authorise conferment. A report of all recommendations will be made to the next meeting of the Academic Board of the University.

A4.8.5 Date of Conferment

The date of conferment of an award will normally be the date of the award ceremony for that programme of study. A student may elect to receive their award in absentia.

Where, through the working of the Appeal process, the classification of a Bachelor Degree with Honours is determined subsequent to the relevant award ceremony for the student's cohort, the date of the conferment of the degree will be deemed to be the date of that award ceremony.

Where through the working of the Appeal process, the entitlement to an award of the University is determined, the date of the conferment of that award will be deemed to be that date of the award ceremony for the student's cohort; and the student shall be entitled to attend a subsequent award ceremony if the student so wishes.

A4.8.6 Certificate of Award

The Certificate of Award conferred by the University records:

- the name of the University, together with, if appropriate, the name of any other institution sharing responsibility for the student's programme of study
- the student's full name as given on the final recommendations of the award
- the award and the date of conferment
- the title of the programme of study, if any, as approved by the University for the purposes of the Certificate of Award
- an approved endorsement, where appropriate that:
 - the programme of study was in the sandwich mode
 - the award is made with distinction or merit in one or more spoken elements for another language programme of study.

A4.8.7 Signatories of the Certificate of Award

The Certificate shall bear the signature of the Vice-Chancellor of the University and/or the Chair of the Board of Governors.

A4.8.8 University Transcript

A University Transcript may be issued on request to a student who has successfully completed any modules approved by the University as suitable to form part of an approved programme of study leading to an award.

A4.8.9 Contents of University Transcript

The University Transcript, or Certificate of Credit, records:

- the full name of the student
- the dates of the student's enrolment with the University
- the modules successfully completed, with details of their level and credit rating, grade achieved (where appropriate) and date of completion
- details of any periods of supervised work experience or placement, with grades where appropriate and dates.

A4.8.10 Signatory of the University Transcript

The transcript shall bear the signature of the Vice-Chancellor or nominee.

(A) The Programme of Study

A student may only be a candidate for an award of the University if she or he has followed an approved programme of study designed to lead to that award and has satisfied the Board of Examiners for the Scheme or Course.

(B) Distinction, Merit and Classification

The Board of Examiners may recommend that an award be conferred with merit or distinction or with an honours classification where Scheme or Course regulations make such provision and where the student has satisfied the requirements of the regulations for such an award.

(C) Candidates Proceeding to a Further Award

Where Scheme or Course regulations make such provision, the Board of Examiners may recommend that an award be conferred upon a student who has satisfied the requirements for that award, whether or not the candidate is proceeding directly to a programme of study leading to a further award.

A4.8.11 Failure: Lower Award or Re-assessment

A candidate who has failed to satisfy the examiners in the first attempt at an assessment for an award but has in the examiners' judgement satisfied the requirements for a lower award as specified in the Scheme or Course regulations may, at the examiners' discretion, be offered a choice of:

- accepting the lower award immediately;
- or
- re-assessment for the higher award under Sections [C3: Student Progression](#) or [C4: Conferment of Awards](#) as appropriate.

If the student is re-assessed and fails, the student may claim the lower award previously offered.

A4.8.12 Posthumous Awards

Providing that all normal conditions for an award would have been satisfied, an award may be conferred posthumously and be accepted by another person on behalf of the late student.

Academic Principles and Regulations

Section B1: New Course Approval

August 2015

Approved June 2002;
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SECTION B1: NEW COURSE APPROVAL

B1.1 New Course Approval: General

B1.1.1 Requirement for New Course Approval

The University requires that all proposed academic provision is subject to New Course Approval before it can be included within the University's portfolio. This includes:

- New awards
- New forms of delivery
- Partnership and collaborative provision

B1.1.2 Purpose of New Course Approval

The purpose of New Course Approval is to decide whether the proposal is consistent with the strategic direction of academic provision within the University.

B1.1.3 Award Information Required

Documentation for New Course Approval must, as a minimum, include the following information:

- the proposed title of the target award
- the proposed structure of the award (e.g. Scheme, Course, Short Course)
- the proposed mode(s) of delivery e.g. full time, part time, sandwich, distance etc
- the proposed start date for the first cohort
- its congruence with the strategic direction of academic provision within the University
- the marketing rationale
- broad feasibility and costing projections, including requirements for academic and support staffing and the minimum number of anticipated students
- relevant partnership information where the proposal is for Joint Provision [see Section E1].
- a progression route to an honours degree (if the proposed award is a foundation degree), agreed in principle, with supporting documentary evidence of curriculum-mapping having taken place.

B1.1.4 Outcome of New Course Approval

New Course Approval is the formal agreement by the University of the following in respect of the proposed provision:

- the proposed title of the award
- the proposed structure of the award
- the planned start date of the first cohort
- the proposed provision may proceed to academic approval.

B1.1.5 Registration of Students

Registration is authorised only if the following apply:

- the Scheme or Course has received New Course approval
- the Scheme or Course is in academic approval
- the Scheme or Course is offered for delivery in the current session
- the minimum number of anticipated students is forecast
- in the case of collaborations, the financial and contractual agreement and a Memorandum of Collaboration are current.

B1.1.6 Advertising

No new academic provision may be advertised before it has received New Course Approval. When a Scheme or Course is awaiting academic approval (either within the University or in a recognised institution) then this should be made clear in any advertising.

Academic Principles and Regulations

Section B2: Academic Approval

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SECTION B2: ACADEMIC APPROVAL

B2.1 Academic Approval: General

B2.1.1 University Requirements

The University requires that all Schemes or Courses leading to an award of the University undergo a formal process of academic approval.

B2.1.2 Methods of Approval

The University requires that the process of academic approval follows a prescribed format appropriate to the nature and complexity of the proposal.

B2.1.3 University Regulations

The University requires that all awards of the University are subject to the overarching principles of the regulations.

B2.1.4 Aim of Academic Approval

The overall aim of academic approval is to secure for students a high quality of educational and academic experience.

B2.1.5 Peer Review

A system of peer review will be applied to the approval of all taught Schemes and Courses leading to awards of the University.

B2.1.6 Approval Panel

Academic approval of proposed Schemes and Courses is undertaken by a group of peers drawn from:

- the University,
 - other academic institutions
- and
- from external organisations, where relevant

B2.1.7 Professional, Statutory and Regulatory Bodies

Where a Course is accredited by a professional, statutory or regulatory body, the University, where appropriate, will seek to conduct approval and review on an appropriate joint basis.

B2.1.8 Requirements for Academic Approval

Academic approval must ensure that:

- Schemes and Courses are designed and operated in accordance with the University's Regulations
- the human and physical resources are available and the environment within which the Scheme or Course is offered is satisfactory
- the standards and quality of teaching are appropriate to the award at the relevant level
- Attention is given to relevant external reference points including QAA subject benchmark statements and Framework for Higher Education Qualifications
- there is an agreed route for progression to an honours degree (for foundation degrees only)

B2.1.9 Duration of Approval

A Scheme or Course will be subject to periodic review within a 6 year period from the date of approval or sooner if the approval panel deems an earlier periodic review to be necessary.

B2.1.10 Contained Awards: General Provisions

All approved Schemes and Courses leading to a target award will contain a series of contained awards at different levels unless specific provision is made to exclude these awards in the course approval documentation.

B2.1.11 Contained Awards: Degree with Honours

Where the final award is a Degree with Honours, the approved contained awards are the:

- Degree
 - Diploma of Higher Education
- and
- Certificate of Higher Education

These contained awards are required to have discrete academic coherence.

B2.1.12 Contained Award: Masters Degree

Where the final award is a Masters degree, the approved contained awards are:

- Postgraduate Diploma
- Postgraduate Certificate

These contained awards are required to have discrete academic coherence.

B2.1.13 Other Contained Awards

All other contained awards are subject to academic approval. Contained awards are required to have discrete academic coherence.

B2.1.14 Title of Contained Awards

The title of the contained award(s) will be the same as the title of the target award unless an alternative title is specified in the approved Scheme or Course programme specification.

B2.1.15 Combined Subject Awards

The titles of combined subject awards shall follow the conventions set out in Section A3.3.6

B2.2 Academic Approval: Faculty

B2.2.1 Responsibility for Academic Approval

The responsibility for the academic approval process is delegated to Faculties.

B2.2.2 Notification of Planned Approvals

The Dean of Faculty or Associate Dean must provide the Director of Quality Assurance with an annual Schedule of Approval and Review for the entire faculty portfolio for the current academic year by 30 September.

B2.2.3 Schedule of Academic Approval and Review

The Schedule of Academic Approval and Review is derived from the University's corporate student information system(s) and reflects the current operational portfolio.

B2.3 Academic Approval: Initial Stages

B2.3.1 New Course Approval Required

No arrangements for the formal process of academic approval of a proposal may be made until new course approval has been obtained.

B2.3.2 Course Development Team

The process of academic approval is initiated and the proposed scheme or course initially developed through a Course Development Team in accordance with guidance issued by Quality Assurance Services.

B2.3.3 Role and Responsibilities of the Course Development Team

The role of the Course Development Team is to ensure that the course is designed and developed with due consideration to key issues relating to:

- assessment, learning and teaching strategies
- academic regulations
- policy issues
- external reference points e.g. subject benchmark statements and Framework for Higher Education Qualifications
- professional, statutory or regulatory bodies (where relevant).

The Course Development Team is responsible for:

- the development of the proposal
- the preparation of the documentation for academic approval
- liaison with Quality Assurance Services on regulatory matters
- liaison with a wide range of individuals whose expertise may contribute to the design and development of the course
- liaison with the library to consider the resource implications of the proposal
- working to guidance produced by the Quality Assurance Services in relation to academic approval

- liaison with the appropriate University, Faculty, partner College or other higher education institution, as appropriate in respect of arrangements for an appropriate progression to an honours degree. This should not exceed 1.3 years of full time equivalent study (for foundation degrees only).

B2.3.4 Membership of the Course Development Team

The Course Development Team will be determined by the Faculty in which the provision resides with due consideration to the role and responsibilities of the Course Development Team (B2.3.4)

B2.4 Academic Approval: Faculty Consideration

B2.4.1 Initial Consideration of the Proposal

The Dean of Faculty or Associate Dean is responsible for the initial consideration of the academic approval proposal.

B2.4.2 Submission for Academic Approval Documentation

The Dean or Associate Dean is responsible for submitting the approval documentation to the Approval Panel and Quality Assurance Services in accordance with deadlines issued in guidance.

B2.5 Academic Approval: Approval Panel, Documentation and Outcomes

B2.5.1 Membership of the Approval Panel

The Membership of the Approval Panel will be appropriate to the quality assurance requirements of the programme(s) under consideration, in accordance with guidance issued by Quality Assurance Services.

The following members are common to all approval panels:

- Chair (not associated with the provision under consideration)
- A Member of Academic Staff external to the University from the subject area related to the proposal (External Panel Member)
- An external to Faculty Academic Representative
- An internal to Faculty Academic Representative
- Other members may be required and assigned as appropriate to provision under consideration.

B2.5.2 Documentation

The Approval Panel will be provided with adequate documentation to support their consideration. This will include, as a minimum:

- Course Approval Template
- Module Approval Template(s)
- Staff CVs
- Professional, Statutory or Regulatory Body Requirements, if applicable

B2.5.3 Approval Panel Decisions

The Approval Panel can make one of the following decisions:

- to approve the proposal
- to approve the proposal subject to conditions and/or recommendations
- not to approve the proposal

B2.5.4 Decision Not to Approve

Where a scheme or course is not approved the Dean or nominee will consider whether the proposal may be re-developed and re-submitted for approval within the next academic year or whether the provision should be withdrawn from the portfolio.

B2.6 Criteria for Academic Approval

B2.6.1 Standard of University Awards

The University is responsible for the articulation, maintenance and assessment of the standard of its awards and the quality of learning opportunities. It aims to fulfil these responsibilities by appropriate quality control and assurance methods at all stages of the approval process.

B2.6.2 Approval Panel Consideration

The primary objective of academic approval [see Section B2. 1.8] is to establish that the proposed Scheme or Course:

- is of a standard appropriate to the award(s) offered
 - will be delivered to a standard appropriate to the award(s) offered
- and
- that the students will receive a worthwhile and relevant education.

To enable the Approval Panel to consider the proposed provision the following information should be provided:

(A) Aims and Objectives

The aims and objectives of the proposed Scheme or Course in relation to currency, comparability, national standards (including benchmark statements), professional standards (if applicable), general educational objectives, anticipated student outcomes and the specific programme rationale.

(B) Learning Outcomes

The relationship and consistency between anticipated learning outcomes and evidence of achievement (assessment outcomes) and the validity of the teaching and learning methods by which these will be achieved.

(C) Structure and Content of the Scheme or Course

The structure of the programme in relation to the given aims and objectives and anticipated learning outcomes.

The distinctions between any different awards that may be offered; the sequencing and level of content; and the provisions for any supervised work experience or placement learning should also be considered. Particular attention may focus on the inter-relations between subject areas; core/optional modules and the academic rationale for pre-requisite modules.

(D) Learning Support and Resources

The adequacy of the learning support mechanism to enable the students to achieve the anticipated learning outcomes; and that the level of resources is sufficient to deliver the programme as described.

(E) Regulations for Assessment

These will be those of the University, and, where relevant, those of any Professional, Statutory or Regulatory Body in question. Any additional requirements should be clearly identified, their rationale explained, and specific approval be given to them. Where there are proposed variations to the University Regulations they should be presented to Quality Assurance Services for approval in accordance with B2.4.2.

(F) Admissions

These will be in accordance with University requirements and processes. Any specific requirements or provisions should be clearly identified and specific approval be given to them.

(G) Programme Evaluation and Enhancement

These will be in accordance with University requirements and processes for Annual Review and Periodic Review. Any specific requirements or provisions should be clearly identified and specific approval be given to them e.g. Professional, Statutory or Regulatory Body requirements.

B2.6.3 Outcome and Oversight Reports

Quality Assurance Services will issue a process oversight report to the approval panel to provide assurance of due process being followed.

Faculty Academic Quality and Standards Sub-committee will receive regular reports on faculty approval schedules and their completion.

Quality Assurance Services will provide an outcome of approval report to Academic Board or its Committees.

B2.7 Academic Approval of Individual Programmes of Study

B2.7.1 Individual Programmes of Study

The University has regulations which allow students to follow an individual programme of study leading to one of its awards.

B2.7.2 Approval

The framework for the provision of individual programmes of study within Schemes or Courses and the awards to which they lead are subject to both strategic planning approval and academic approval.

B2.7.3 Purpose of Approval

Individual programmes of study are subject to scrutiny and academic approval by an appropriately constituted approvals board to ensure the coherence of the proposed learning and assessment programme appropriate to award outcomes.

B2.7.4 Responsibility for Approval of Individual Programmes of Study

Responsibility for the approval of individual programmes of study lies at Faculty level.

B2.7.5 Responsibility for Quality Assurance of Individual Programmes of Study

Quality assurance responsibilities for individual programmes of study lie with the Faculty concerned.

B2.7.6 Approvals Board

The Faculty responsibilities identified above are fulfilled through appropriate membership, functions and operational criteria of an Approvals Board.

B2.7.7 Role of the Approvals Board

The role of the Approvals Board is to:

(A) Student Programmes

Receive, examine and, where appropriate, approve student programmes in relation to the award in accordance with the general criteria set out in Section B2.7.10.

(B) Accreditation of Prior or Concurrent Learning (AP(E)L)

Receive, examine and make decisions upon proposals for the accreditation of prior or concurrent learning undertaken or being undertaken, subject to University parameters.

(C) Review

Keep under review the above functions and to report annually to the Faculty Board or its committees on their operation.

B2.7.8 Student Submissions

Students constructing an individual programme of study are required to complete a documented statement, normally as an outcome of completing a programme planning module.

B2.7.9 Examination for Approval

This statement, known as the Proposal of Study Programme for (award), along with any supporting evidence, is examined for approval by the Approvals Board.

B2.7.10 General Criteria for Approval

The Proposal of Study Programme will be considered for approval against the following general criteria:

(A) Regulations for the Award

The proposed programme must fulfil the University Regulations for the award.

(B) Learning Objectives

The proposal must include a statement of learning objectives which may have arisen from any programme planning module or other academic counselling process.

(C) Diet of Modules

The proposal must set out the diet of modules proposed in order to demonstrate coherence in relation to (A) and (B) above.

(D) Rationale: Sequence and Progression

The proposal must set out the rationale for the sequence of modules to demonstrate progression in relation to (A) and (B) above.

(E) Accreditation of Prior or Concurrent Learning

Where the proposal includes a request for the accreditation of prior or concurrent learning, the Approvals Board must be satisfied that this is in accordance with the University parameters

Academic Principles and Regulations

Section B3: Periodic Review

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SECTION B3: PERIODIC REVIEW

B3.1 Periodic Review: General

B3.1.1 Definition

Periodic review is the process whereby the progress of an approved Scheme or Course is critically appraised at intervals, determined by the University, by a Review Panel including external peers. All Schemes and Courses must be periodically reviewed within a 6 year period, without exception. The Dean of Faculty or Associate Dean must provide Quality Assurance Services with an annual Schedule of Approval and Review for the entire faculty portfolio for the current academic year by 30 September including details of periodic review.

B3.1.2 Purpose

Periodic Review is undertaken in order to confirm that:

- the Scheme or Course retains continued validity and academic relevance
 - it continues to meet the University's requirements for an award of the level concerned
- and
- it is aligned with the broader subject area.

B3.1.3 Consideration of Scheme and Courses

Where a scheme has been established this does not negate the requirement for each course within the scheme to be considered in periodic review on an individual basis.

B3.1.4 Enhancement

The process will enable:

- identification of the strengths and weaknesses within the provision
- development of enhancements to the Scheme or Course
- external developments relevant to the Scheme or Course

B3.1.5 Decision to Undertake a Periodic Review earlier than 6 years

As a result of consideration of relevant evidence, Faculty Academic Quality and Standards Subcommittee may decide that it is appropriate to conduct a periodic review of a Scheme or Course earlier than the 6 year cycle. Such consideration would include annual review outcomes, major and minor modifications, management information e.g. National Student Survey, External Examiner reports, Professional, Statutory or Regulatory Body requirements and the Schedule of Approval and Review.

B3.1.6 Subject Areas

Where periodic review is undertaken, issues relating to the wider subject area shall be integral to the review.

B3.1.7 Content of Periodic Review

Periodic review shall, in the wider context of University and external developments:

- build directly on a critical appraisal of the evidence provided by the continuous annual review and continuous evaluation of the Scheme or Course
- register examples of good practice
- make an evaluation of modifications to the Scheme or Course
- consider external examiner reports and other external reference points e.g. QAA Subject benchmark statements and Framework for Higher Education Qualifications
- consider module evaluations
- consider management information
- consider research within the subject area in relation to course content

B3.2 Periodic Review: Faculty

B3.2.1 Role and Responsibilities of Course Team

The role of the Course Team is to ensure that the course is reviewed with due consideration to key issues relating to:

- Critical appraisal
- assessment, learning and teaching strategies
- academic regulations
- policy issues

- external reference points e.g. subject benchmark statements and Framework for Higher Education Qualifications
- professional, statutory or regulatory bodies (where relevant).

The Course Development Team is responsible for:

- completing a critical appraisal
- the preparation of the documentation for periodic review
- liaison with Quality Assurance Services on regulatory matters
- liaison with a wide range of individuals whose expertise may contribute to the review and development of the course
- liaison with the library to consider the resource implications of the proposal
- working to guidance produced by the Quality Assurance Services in relation to periodic review liaison with the appropriate University faculty (or partner College or other higher education institution, as appropriate) in respect of arrangements for an appropriate progression to an honours degree. This should not exceed 1.3 years of full time equivalent study (for foundation degrees only).

B3.3 Periodic Review: Panel, Documentation and Outcomes

B3.3.1 Membership of the Periodic Review Panel

The Membership of a periodic review panel will be appropriate to the quality assurance requirements of the provision under consideration, in accordance with guidance issued by Quality Assurance Services.

The following members are common to all Periodic review panels:

- Chair (not associated with the provision under consideration)
- A Member of Academic Staff external to the University from the subject area related to the proposal (External Panel Member)
- An external to Faculty Academic Representative
- An internal to Faculty Academic Representative
- Other members may be required and assigned as appropriate to provision under consideration.

B3.3.2 Documentation

The panel will be provided with adequate documentation to support their consideration. This will include, as a minimum:

- Critical Appraisal
- Course Approval Template
- Module Approval Template(s)
- Staff CV's
- Professional, Statutory or Regulatory body requirements, if applicable

B3.3.3 Submission for Periodic Review

The Dean of Faculty or Associate Dean is responsible for submitting documentation to the panel and Quality Assurance Services in accordance with deadlines issued in guidance.

B3.3.4 Periodic Review Panel Decisions

The Periodic Review Panel can make one of the following decisions:

- to approve the proposal
- to approve the proposal subject to conditions and/or recommendations
- not to approve the proposal

B3.3.5 Decision Not to Approve

Where a scheme or course is not approved the Dean or nominee will consider whether the proposal may be re-developed and re-submitted for periodic review within the next academic year or whether the provision should be withdrawn from the portfolio.

B3.3.6 Outcome Report

Quality Assurance Services will issue a process oversight report to the approval panel to provide assurance of due process being followed.

Faculty Academic Quality and Standards Sub-committee will receive regular reports on faculty approval schedules and their completion.

Quality Assurance Services will provide an outcome of approval report to Academic Board or its Committees.

Any recommendations will be reviewed by Faculty Board or its committees.

Academic Principles and Regulations

Section B4: Monitoring and Management of Schemes and Courses

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SECTION B4: MONITORING AND MANAGEMENT OF SCHEMES AND COURSES

B4.1 Monitoring and Management: General

B4.1.1 Scheme or Course Structure

Each Scheme or Course shall have the following:

- Scheme or Course Leader
- Scheme or Course Management Team
- Scheme or Course Team
- Scheme or Course Annual Review meetings

B4.1.2 Student Focus Groups

A Scheme or Course shall establish a Student Focus Group, which will be conducted according to the provisions of B6.3.6.

B4.1.3 Reporting Mechanisms

Reporting mechanisms shall be established to ensure that issues identified as requiring action are brought to the attention of the appropriate persons or body.

B4.1.4 Faculty and University Assurance

The following Committees shall be assured of the health, quality and standard of all the Faculty's Schemes and Courses:

- the Faculty Board and its committees
- the Academic Board

B4.2 Dean of Faculty

B4.2.1 General Responsibilities

The Dean, acting on behalf of the Faculty, retains formal responsibility for:

- all the Faculty's Schemes and Courses
- and
- the execution of all matters contained within these Regulations.

B4.2.2 Scheme/Course Leaders: Appointment

The Dean is responsible for the appointment of Scheme/Course Leaders.

B4.2.3 Staffing

Appropriate arrangements for inter-faculty servicing of Faculty Schemes or Courses will be agreed between the respective Deans of Faculty.

B4.2.4 Member of Scheme or Course Monitoring and Review Meeting

The Dean of Faculty shall be an ex officio member of all Scheme or Course Monitoring and Review meetings in the Faculty and shall receive the minutes and all other papers relating to Scheme or Course Monitoring and Review meetings.

B4.2.5 Right of Intervention

The Dean shall exercise the right of intervention if the health of a Scheme or Course is imperilled.

B4.3 Scheme/Course Leader

B4.3.1 Appointment and Tenure

A Scheme/Course Leader is appointed, and the appointment reviewed, by Faculties, annually.

B4.3.2 General Responsibilities

The Scheme or Course Leader is responsible for:

- Day to day management of the Scheme/Course
- Scheme/Course planning and operation
- Scheme/Course quality, review and enhancement
- Information to applicants and students

B4.4 Scheme or Course Management Team

B4.4.1 Nature and Function

The Management Team is the group of staff, headed by the Scheme/Course Leader, responsible for the day-to-day operation of the provision. Depending on the size of the Scheme or Course, this may be identical with the Scheme or Course Team.

B4.4.2 Establishment

Management Team members are nominated according to Faculty procedures.

B4.4.3 Reporting

The Management Team reports formally to the Scheme or Course Monitoring and Review meeting.

B4.5 Scheme or Course Team

B4.5.1 Composition

The Scheme or Course Team is comprised of all staff teaching modules which are part of the Scheme or Course.

B4.5.2 Records

All members of the Scheme or Course Team are required to maintain such records of student attendance, submission of work and academic progress as shall make it possible for them to report on student general and academic progress as required by the Scheme/Course Leader.

B4.5.3 Reports

Students giving reason for concern should be reported to the relevant Scheme/Course Leader or other personal tutor.

B4.5.4 Defined Responsibilities

The Scheme/Course Leader may be assisted by particular tutors, each with defined responsibilities. These responsibilities may include, for example, admissions; oversight of a cohort of students; placements; projects.

Academic Principles and Regulations

Section B5: Modifications to Schemes or Courses in Approval

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SECTION B5: MODIFICATIONS TO SCHEMES OR COURSES IN APPROVAL

B5.1 Modifications: General

B5.1.1 Application

During the period of approval it may be necessary to make changes to the Scheme and/or Course. Regulations and procedures for the approval of changes will depend upon the scale of the modification(s) proposed.

B5.1.2 Minor and Major Modifications

Changes will be either minor or major modification(s).

B5.2 Minor Modification

B5.2.1 Definition

A minor modification is one which does not affect the overall aims, objectives, philosophy and balance of the Scheme or Course but may involve changes.

B5.2.2 Scope of Minor Modifications

Changes which constitute a minor modification are, for example:

- change of a module title
- changes in assessment methods and weightings at module level
- the addition or deletion of modules where the effect of this is not to alter the overall aims and learning outcomes of a Scheme or Course.
- Change to the planned length and mode(s) of study
- Regulations for the assessment of students (NB an exemption may also be required)

B5.2.3 Effecting Minor Modifications

Minor modifications are effected by:

- consideration at Scheme or Course level
- approval by Dean of Faculty or Associate Dean

Minor modifications must be effected in accordance with university guidance issued by Quality Assurance Services.

B5.2.4 Implication of Minor Modifications on progression

Where the Scheme or Course is a precursor to an honours degree consideration must be given as to whether the progression route remains appropriate in light of any minor modifications.

B5.2.5 Reporting Minor Modifications

Following approval by the Dean of Faculty or Associate Dean all minor modifications must be reported to Faculty Board or its committees and Quality Assurance Services at the following intervals:

- 1 December
- 1 March
- 1 August

B5.3 Major Modification

B5.3.1 Definition

A major modification is one which may involve changes to a Scheme or Course in one or more of the following aspects of the delivery.

B5.3.2 Scope of Major Modifications

The following changes constitute a major modification to a Scheme or Course in approval:

- title of the Scheme or Course and/or the award to which it leads
- overall aims and learning outcomes
- the addition or deletion of module(s) where the effect of this will lead to an alteration in the overall aims and learning outcomes of a Scheme or Course
- a significant addition to the resources required.

B5.3.3 Effecting Major Modifications: Scheme or Course Leader

Requests for approval of major modifications to a Scheme or Course should be made by the Scheme or Course Leader to the Faculty Board or its committees.

B5.3.4 Effecting Major Modifications: External Examiners

External examiners must be consulted and must be informed in relation to any proposed major modification.

B5.3.5 Effecting Major Modifications: Faculty

The Faculty Board or its committees is responsible for considering the proposed modifications.

B5.3.6 New Modules

Where the proposed major modification involves the approval of new modules, the criteria for the consideration of additional modules include the following:

(A) Intellectual Challenge

The module provides an intellectual challenge at a level consistent with the levels as indicated and described in the course approval documentation.

(B) Coherent Learning Experience

The module provides a coherent and significant learning experience in its own right, which is demonstrably appropriate to the Scheme or Course aims, objectives and philosophy.

(C) Learning Outcomes

The module is specified in sufficient detail in order to allow consideration of consistency of learning objectives/outcomes, syllabus content, teaching and learning methods, assessment tasks and criteria.

(D) Assessment

The assessment tasks, methods and criteria are consistent with the learning objectives/outcomes and the teaching and learning methods, and are a specified part of the module.

(E) Level Consistency

The learning outcomes and the assessment criteria are consistent with the proposed duration and level of the module.

(F) Integration into the Scheme or Course

There is a clear indication of the way in which the module relates to other existing modules and how it integrates within the Scheme or Course leading to an award.

(G) Resources

The resources required for effective delivery of the module are clearly stated and realistically available.

(H) Congruence with University Mission and Policies

The proposal is congruent with the policies and mission of the University and the Faculty in relation to such matters as equal opportunities, professional/vocational orientation, enterprise and independent learning.

B5.3.7 Implications of Major Modifications on Progression

Where the Scheme or Course is a precursor to an honours degree consideration must be given as to whether the progression route remains appropriate in light of any major modifications.

B5.3.8 Reporting Major Modifications

Following approval by the Dean of Faculty or Associate Dean all major modifications must be reported to Faculty Board or its committees and Quality Assurance Services. Quality Assurance Services must receive a copy of the report from the consideration of the major modification and the corresponding minutes of Faculty Board or its committees where the report was discussed.

B5.3.9 Limits on Modifications

Proposed modifications of a substantial nature should be regarded as being beyond the scope of the regulations in this section. Please see section B2 Academic Approval and section B3 Periodic Review.

B5.3.10 Substantial Modification

Modifications of a substantial nature are normally where substantial changes to the structure of the award are proposed.

B5.3.11 Cumulative Effect of Modifications

Modifications to Schemes or Courses must be reported to Faculty Board or its committees regularly to monitor the cumulative effect of changes to schemes and courses. Action must be taken to initiate the next stage of review where courses are deemed to have exceeded the limits of modification.

Academic Principles and Regulations

Section B6: Annual Review and Enhancement of Academic Provision in Approval

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and July 2014



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SECTION B6: ANNUAL REVIEW AND ENHANCEMENT OF ACADEMIC PROVISION IN APPROVAL

B6.1 Annual Review and Enhancement: General

B6.1.1 University Requirement

The University requires that all academic provision is annually reviewed in order to ensure both that its quality and standards are operating as intended and that programmes of quality enhancement are developed, implemented and evaluated.

B6.1.2 Components of Review

The components of review comprise:

- Student Focus Groups
- Scheme/Course Development and Enhancement Meetings
- Annual Review meetings
- Annual reports (Scheme/Course, Faculty, Service Area and University)

B6.1.3 Focus of Review: Schemes and Courses

Schemes and Courses within the University are reviewed in order to:

- ensure that the programmes remain current and valid in the light of developing knowledge in the area and the practice of its application;
- evaluate the breadth and depth of student achievement, the overall student learning experience and the extent to which the intended learning outcomes are being attained by students;
- evaluate the continued effectiveness of the curriculum and assessment practices in relation to the intended learning outcomes and in line with the provisions of Section C5: Management of Assessment;
- ensure that appropriate action be taken to address issues of quality, standards and enhancement;
- consider the level of ongoing external involvement, and relevant external issues.

B6.1.4 Annual Programme of Review

It is the responsibility of each Dean of Faculty or Associate Dean to ensure that an appropriate annual programme of review is established for all of the Faculty's provision. A planned programme of annual review must be provided in accordance with B2.2.2.

B6.1.5 Purposes of Annual Review

The purposes of Annual Review at Faculty level are to:

- ensure that the Scheme, Course or designated grouping of Courses are operating to accepted levels of quality and standards
- and
- facilitate the development, operation and monitoring of a programme of quality enhancement in relation to the Scheme, Course or designated grouping of Courses.

B6.2 Annual Review: Sub-Faculty Level

B6.2.1 Annual Review at sub-Faculty Level

The purposes of annual review of provision at the sub-Faculty level are twofold:

- enhancement of the quality of the student experience
- assurance of the academic standard of the provision.

B6.2.2 Scope of Review

The processes of annual review will reflect the scale and nature of the provision.

B6.2.3 Provision of Data by the University

It is the responsibility of the University to provide data for use at sub-Faculty level during the course of the academic year. The information provided will be from a variety of sources including but not exclusively:

- National Student Survey
- Cohort Statistics
- External Examiner Reports

B6.2.4 Other Information

Other relevant information will be derived from within the Faculty, for example module evaluation outcomes or issues raised by the Student Focus Group; or from external sources, for example employers or Professional, Statutory or Regulatory bodies.

B6.2.5 Sub-Faculty Level Annual Reports

The Dean of Faculty or Associate Dean is responsible for annual reporting to Faculty Board using standard proforma provided by Quality, Assurance Services.

B6.3 Annual Review: Scheme/Course Annual Review Meetings

B6.3.1 Establishment

A Scheme/Course Annual Review meetings shall be established to ensure each Scheme or Course in the University is appropriately considered.

Where this raises serious logistic problems, the matter shall be raised with the Dean of Faculty or Associate Dean who will agree an appropriate process by which essential staff and student input into the programme in question can be obtained.

B6.3.2 Responsibilities of the Monitoring and Review meetings

The Scheme/Course annual review meetings are responsible for:

- Review of academic matters relating to the Scheme/Course and recommendations for action
- Review of matters relating to the quality of the student experience, student outcomes and recommendations for action.

B6.3.3 Reporting

The Scheme/Course Annual Review meetings will report to the Dean or Associate Dean and the Faculty Board or its committees.

B6.3.4 Membership

The membership, remit and operation of the Scheme/Course Annual Review meetings will be in accordance with guidance published by Quality Assurance Services.

B6.3.5 Annual Review: Scheme/Course Development and Enhancement Meetings

Scheme/Course Development and Enhancement meetings will be convened during the year. The major emphasis of these meetings is on the development and enhancement of the Scheme/Course

The membership, remit and operation of the Scheme/Course Team Development and Enhancement meetings will be appropriate to the Scheme/Course and in accordance with guidance published by Quality Assurance Services.

B6.3.6 Student Focus Groups: Establishment

Student Focus Groups or equivalent must be established to ensure appropriate student contribution to discussions on the operation and development of Schemes and Courses. Each Scheme, Course or designated grouping of Courses should decide how best to establish these.

B6.3.7 Purpose

Student Focus Groups are intended to provide a flexible forum in which students can raise issues which are of current concern and discuss them with staff.

B6.3.8 Outcomes

All views, concerns, suggestions and action taken must be recorded at the next Scheme/Course Development and Enhancement meeting. Any action taken in response to student feedback must be reported to students at the earliest opportunity.

B6.3.9 Development and Enhancement

Within this process, the major emphasis of the Monitoring and Review meetings should be future oriented and concentrate on development and enhancement of the provision.

B6.4 Annual Review: Faculty

B6.4.1 Consideration of the Sub-Faculty Level Reports

Sub-Faculty level reports will be considered by the Faculty Board or its committees.

B6.4.2 Faculty Annual Reports

The reports and the outcome of their consideration will form the basis of the Faculty Annual Quality Report. The content of the Faculty Annual Quality report shall include:

- Annual Review
- Currency of the curriculum
- Academic Standards
- Students' attainment of learning outcomes
- Student feedback
- Assessment, learning and teaching
- Collaborative partnerships
- External reviews and professional, statutory or regulatory body visits
- Review of previous action plan
- Issues for current action plan

The Faculty Annual Quality Report must be submitted to Quality Assurance Services.

B6.4.3 Subject Areas

The Faculty Annual Quality Report should facilitate the identification of issues relating to subject areas, both those delivered wholly within the Faculty and those delivered across one or more Faculties, to allow for ease of compilation of any data or reports on these subject areas which may be required from time to time.

B6.5 Annual Review: University

B6.5.1 Quality Assurance Services

Quality Assurance Services are responsible for producing a composite Annual Quality Report drawing upon the Faculties Annual Quality Reports.

B6.5.2 Academic Board

The University Annual Quality Report will be reviewed by the Academic Quality and Standards Committee and prior to ratification by Academic Board.

Academic Principles and Regulations

Section B7: Awards Withdrawn from the University Portfolio

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SECTION B7: AWARDS WITHDRAWN FROM THE UNIVERSITY PORTFOLIO

B7.1 Awards withdrawn from the University Portfolio

B7.1.1 University Planning Procedures

Decisions not to recruit students to awards in academic approval are made from time to time as a result of the University's review of its academic portfolio.

B7.1.2 Final Cohorts of Students

When an award ceases to recruit students, the Faculty or associated institutions—will take appropriate action to ensure that:

- standards are maintained for any students remaining on the award;
- or
- students are transferred to a suitable alternative award.

Such decisions will be taken in consultation with students, as appropriate.

B7.1.3 Withdrawal of Academic Approval

B7.1.4 Timing

Withdrawal of academic approval, or a decision not to renew academic approval, may occur at any time.

B7.1.5 Academic Standards

Academic Board shall withdraw academic approval of a Scheme or Course:

- offered by the University;
- or
- by an associated institution if the University has evidence that the Scheme or Course is no longer meeting minimum acceptable standards.

B7.1.6 Consultation

No decision:

- to withdraw academic approval of Schemes or Courses;
- or

- not to renew academic approval

will be taken without due consultation with the Secretary and Registrar.

Academic Principles and Regulations

Section B8: The Admission of Students

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SECTION B8: THE ADMISSION OF STUDENTS

PRINCIPLES

Academic Judgement

The admission of any student to a programme of study is based on the academic judgement that the applicant may reasonably be expected to meet the learning outcomes of the programme of study and to achieve the standard of the award.

Admissions Process

Selection, recruitment and admissions processes will be undertaken by experienced staff in accordance with University Procedures. All applicants for admission to the University will be treated with equity, fairness and consistency.

Entry Requirements

Each programme of study will specify the minimum entry requirements deemed necessary for fulfilment of its learning outcomes and to achieve the standard of the award. Additionally, further entry requirements above the minimum threshold may be specified.

Information to Applicants

Prospective applicants for admission to the University will be provided with sufficient, relevant and current information to enable them to make an informed decision in respect of application for programmes of study offered by the University.

Evidence of Attainment

The University requires evidence of personal, professional and educational experience which provides an indication of the ability of the student to meet the learning outcomes of the programme of study.

Complaint Procedure

The University will operate a formal complaint procedure which aims to deal with any complaints in a fair and timely manner.

Monitoring and Review

Admission policies and procedures will be monitored and reviewed to ensure their currency, relevance and appropriateness.

Admission with Academic Credit

The University will admit students with academic credit in accord with good practice throughout higher education in the United Kingdom.

Uncertificated Learning

The University will encourage uncertificated experiential learning to be assessed for entry to programmes of study.

Confidentiality

All information provided by applicants for admission to the University will be subject to relevant legislation.

ADMISSION OF STUDENTS

B8.1 Admission

B8.1.1 Academic Judgement

The admission of any student to a programme of study is based on the academic judgement that the student may reasonably be expected to:

- meet the learning outcomes of the programme of study and
- achieve the standard of the award.

B8.1.2 Review

The University will keep recruitment and admission policy and procedures under review to ensure their fairness, consistency, currency, relevancy and appropriateness.

B8.2 Information to Applicants

B8.2.1 Entry Requirements

The entry requirements for all programmes of study within the University will be clearly and comprehensively identified to potential applicants.

Currency

All information made available to potential applicants to the University will be relevant and accurate at the time of its publication.

B8.2.2 Programmes of Study

Programmes of study will be described in sufficient detail in order to facilitate applicant choice. In the event of significant changes to, or withdrawal of, a programme of study, potential applicants and/or successful applicants (as appropriate) will be informed of:

- the nature of such changes
- the options available to applicants consequent on these changes.

B8.2.3 Responsibilities of Successful Applicants

Successful applicants will be made aware of the obligations placed upon them subsequent to the take-up of an offer on a programme of study within the University.

B8.2.4 Complaints Procedure

Applicants considering a complaint against the University in respect of the admissions process or considering submitting a request to appeal against an offer decision may access the complaints procedure via the university website or by requesting a copy of the procedure from the Student Admissions Team.

B8.3 Admissions Process

B8.3.1 Judgements

All judgements made in the admissions process will be based on clear and comprehensive entry requirements which have been made available to all applicants.

B8.3.2 Entry Profiles

All Courses will state clearly the criteria for admission to the Course. Such entry profiles will specify the entry requirements and criteria to be met by applicants.

In appropriate circumstances, a Scheme or Course may designate a normal entry profile or profiles which reflect the market for that Scheme or Course, in accordance with University policy and Regulations.

B8.3.3 Selection Process

Where there are a significantly high number of applications for a programme of study, the University requires that all applications which meet the specified entry requirements, as set out in the relevant entry profiles, are subject to a selection process.

B8.4 Admissions to Programmes of Study at Undergraduate Level

B8.4.1 Benchmark Qualifications

Certified Qualifications

Entry to Level 4

A pass in two subjects equivalent to QCF level 3. In addition to English and for some courses Mathematics at GCSE grade C or above or QCF level 2 equivalents

Entry to Level 5

A pass in a relevant subject equivalent to QCF level 4. This is equivalent to 120 credit qualifications such as a Higher National Certificate (HNC); or Certificate of Higher Education (CertHE)

Entry to Level 6

Pass in a relevant subject equivalent to QCF level 5. This is equivalent to 240 credit qualifications such as a Higher National Diploma (HND) or Foundation Degree.

B8.4.2 Specific Subject Requirements

For some programmes of study it is necessary for students to have reached the equivalent of QCF level 2 or level 3 in at least one specific subject.

B8.4.3 General Intellectual Skills

In other fields of study the emphasis is on the general intellectual skills developed through previous learning.

B8.4.4 Potential to Succeed

With respect to either specific requirements or general intellectual skills, a variety of forms of preparation can provide evidence of an applicant's potential to succeed in a course of higher education.

B8.4.5 Other Acceptable Qualifications Profiles

Other patterns and combinations of GCE/VCE A Level; BTEC qualifications (QCF); BTEC Nationals (NQF); GCSE; O Level; CSE grade 1 passes may be acceptable.

B8.4.6 Advanced Subsidiary Qualifications

A GCE Advanced Subsidiary pass is at a level lower than GCE/VCE 'A' level and so, while welcome as part of an entrant's overall qualifications profile, is not regarded as equivalent of half an 'A' level, except insofar as it attracts that number of UCAS tariff points.

B8.4.7 Other Qualifications

Qualifications at the relevant level within the FHEQ; QCF/NQF Northern Ireland; CQF for Wales; NFQ for Ireland and SCQF (Scotland) qualification frameworks may be acceptable. Qualifications outside of these frameworks, including International and Professional, which demonstrate the appropriate knowledge required may also be acceptable.

B8.4.8 English Language Requirement

Normally, English Language, GCSE grade C or above, or an equivalent QCF level 2 qualification is required for entry to all programmes. For those whose first language is not English, IELTS with a score of 6.0 (with no skill below 5.5) will be accepted as an equivalent qualification. Where this level of English Language differs, either higher or lower, this will be stated in the entry requirements criteria.

B8.5 Admission to Taught Postgraduate Programmes

B8.5.1 Postgraduate Programmes of Study

(A) Minimum Requirement

The minimum entry requirement for a postgraduate programme of study is one of the following:
an Honours degree at 2:2 classification or above
a postgraduate diploma
a professional qualification recognised as being equivalent to an Honours degree.

(B) Other Qualifications or Experience

Other qualifications or experience which demonstrates that an applicant possesses appropriate knowledge and skills at honours degree level may be acceptable.

B8.5.2 Professional and International Qualifications

An applicant's professional or international qualification(s) may be assessed for entry to postgraduate programmes of study.

Academic Principles and Regulations

Section B9: Recognition of Prior Learning

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Approved July 2014



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SECTION B9: RECOGNITION OF PRIOR LEARNING

B9.1 Definitions

B9.1.1 Recognition of Prior Learning (RPL)

RPL is the overarching name given to the process for assessing, recognising and/or awarding credit for prior certificated and experiential learning. University RPL arrangements relate to applications from individual applicants or students (for Articulation arrangements, which relate to groups or cohorts of students seeking admission to the University having studied elsewhere, see B9.5 below).

B9.1.2 Recognition of Prior Certificated Learning (RPCL)

RPCL is the process for assessing and awarding credit for learning that has been previously accredited or certificated through a training provider, but has not led to an award or qualification which is defined in the QAA Quality Code (Part A: Setting and maintaining threshold academic standards, Chapter A1: The national level).

B9.1.3 Recognition of Prior Experiential Learning (RPEL)

RPEL is the process for assessing and awarding credit for learning that has been achieved through experience and/or training that has not been certificated or formally assessed.

B9.1.4 Credit Transfer

Credit Transfer is the process of recognising/transferring the credit and/or qualification, which is defined in the QAA Quality Code (Part A: Setting and maintaining threshold academic standards, Chapter A1: The national level), achieved by a student against one course, to another course. This may include instances where a student transfers from one Leeds Beckett University course to another or where the student transfers in to Leeds Beckett University from another higher education provider.

A student may transfer from one approved programme to another at the discretion of the University:

- if the requirements of the programme of study are met
and
- subject to the regulations of the programme of study that the student is transferring to.

B9.1.5 Admission through RPL

Admission through RPL describes the process for admitting students onto the start of an undergraduate or taught postgraduate programme of study, based on qualifications and/or experience other than those specified by the academic entry threshold requirements in the admissions profile and programme specification.

B9.1.6 Exemption from academic credit

Exemption from academic credit, through RPCL, RPEL or Credit Transfer, describes the process for undergraduate or taught postgraduate students being awarded, or having recognised, credit toward the achievement of specific modules and/or levels on their programme of study.

B9.1.7 General credit

General credit refers to the value (quantity) of credit and the level (recognition of performance at an identified level of academic study) attributable to:

- a taught module of learning
- learning achieved through experience
- the credit achieved through the attainment of an award.

All credit rated programmes have general credit recognising academic value at a given level.

For example, a Certificate of Higher Education will have general credit of 120 credits at level 4 and a Foundation Degree will have general credit of 120 credits at level 4 and 120 credits at level 5. This general credit must be made 'specific' if it is to be used toward another programme of study.

B9.1.8 Specific credit

Specific credit refers to the value and the level of credit, which can be accepted as contributing towards a specific programme of study offered at the University. Specific credit is recognised where prior learning matches the learning outcomes, content and level of an identified university module, or level of study. General credit must be identified as specific credit for it to be used in a claim for RPL.

B9.2 Admission and Recognition of Prior Learning

B9.2.1 Opportunity to make a claim for Recognition of Prior Learning

Prospective and current students will be made aware of the opportunity to submit a claim for recognition of prior learning through promotional materials and information published on the University website. This includes the option to claim prior learning in place of specified entry requirements, when applying for acceptance on to a programme of study, and the option to make a claim for exemption from academic credit at the point of admission or during the course of the programme.

B9.2.2 Admission through Recognition of Prior Learning

Where specific certificated learning is stated within the admission criteria of a programme of study, applicants are permitted to submit evidence of prior learning in place of the specified learning to demonstrate their ability to study the programme. Such evidence will outline how the prior learning is a suitable replacement for the specified learning.

The admission requirements of all programmes of study will specify where prior learning cannot be used in place of specified learning (normally due to Professional, Statutory or Regulatory Body requirements or similar).

B9.3 Exemption from academic credit

B9.3.1 Exemption from academic credit

An applicant's or student's prior experiential or certificated learning may be assessed for exemption from academic credit against:

- undergraduate programmes of study
- taught postgraduate programmes of study.

An applicant or student may be exempt if the University is satisfied that s/he:

- has fulfilled some of the assessment and progression requirements of the programme of study by means other than attendance

and

- by completing the remaining requirements will be able to meet the learning outcomes of the programme of study and attain the standard required for the award.

B9.3.2 Responsibility of applicant or student

It is the responsibility of the applicant or student:

- to make the claim
- to demonstrate they have acquired knowledge and skills
- to support the claim with appropriate evidence.

B9.3.3 Method of identification of learning

Prior experiential learning

The identification of prior experiential learning is achieved through:

- The systematic reflection on experience
- The writing of clear statements about the learning achieved through experience
- The collection and collation of evidence to support those statements.

The identification of prior learning must be conducted in accordance with university guidance.

Prior certificated learning and Credit Transfer

The identification of prior certificated learning and Credit Transfer is achieved through:

- The submission of evidence of certification
- The submission of course documentation, evidencing content, learning outcomes and level
- The evidencing of module results

B9.3.4 Preparation of evidence of learning

The academic function of assisting the applicant or student to prepare evidence of learning should be separated from the function of assessing that learning.

B9.3.5 Academic assessment

Academic assessment of the claim will be the responsibility of the relevant Course Leader and approval of a claim will be conducted by a Faculty Recognition of Prior Learning Approvals Board in accordance with university guidance.

B9.3.6 Limits on RPL

Applicants and students may claim RPL against up to two thirds of the total credit value of the university target award. However, in all cases a minimum of one third of the total credit of the target award, or 60 credits - whichever is the higher - must be studied at the University. No university award may be made solely on the basis of RPL.

There are no limits to Admission through RPL.

B9.4 Assessment of academic credit

B9.4.1 Exemption from specific modules

An applicant or student who has been successful in a claim for RPL against specific module(s)/level(s) and has therefore been awarded, or had recognised, specific credit against those modules, will be exempt from studying those modules, subject to Scheme and Course approval documentation.

Course documentation must be explicit in stating where there are Professional, Statutory or Regulatory Body requirements that might affect an applicant's or student's ability to make an RPL claim for specific credit against certain modules.

B9.4.2 Assessment of prior certificated learning

The assessment of prior certificated learning will take place in accordance with university guidance.

An applicant or student may have specific credit awarded or recognised at an appropriate point on an approved programme if he or she has:

- successfully completed the whole or part of a qualification defined in the QAA Quality Code (Part A: Setting and maintaining threshold academic standards, Chapter A1: The national level) and thereby be eligible for Credit Transfer

or

- another programme of study delivered by an education or training provider, and thereby be eligible for RPCL.

A course may establish precedents to recognise Credit Transfer or accept RPCL claims from those holding specific qualifications.

B9.4.3 Assessment of prior experiential learning

The assessment of prior experiential learning will take place in accordance with university guidance.

The University may assess an applicant's or student's claim for prior experiential learning. Where it is difficult to quantify the learning in terms of academic credit by drawing on the existing evidence, the University may assess this by:

- requiring the applicant/student to take the normal progression assessments of the relevant modules from the programme of study against which the applicant/student is claiming RPEL (in which case they would be deemed to have "taken" the module and would be awarded the appropriate mark and credit in place of RPEL).

or

- by some other appropriate form of assessment.

Assessment in such an instance is intended to assess learning against specific module or course level learning outcomes.

B9.4.4 RPL against non-credit bearing provision

RPL may be sought against non-credit bearing modules where they form part of the course requirements, unless specified otherwise in the relevant course documentation.

B9.4.5 Criteria for assessment

Claims for RPL will be evaluated against the following criteria:

- Acceptability - is there an appropriate match between the evidence presented and the

- learning being demonstrated? Is the evidence valid and reliable?
- Sufficiency - is there sufficient evidence to demonstrate fully the achievement of the learning claimed?
- Authenticity - is the evidence clearly related to the applicant's or student's own efforts and achievements?
- Currency - does the evidence relate to current learning? Are there any professional, statutory or regulatory bodies' specific requirements and, if so, have these been addressed?
- Directness – was the learning specific? Can it be identified and categorised?
- Relevance – is the learning relevant to the claim/future programme?
- Level – did the learning reach the appropriate level to allow the learner to benefit from the proposed programme?
- Breadth – was the learning in a context understood by the learner?
- Volume – was the prior notional learning time, or academic credit, equivalent to the amount of credit being sought for exemption?

B9.4.6 Appeal against RPL decisions

Applicants or students may make an appeal against an RPL decision in accordance with university guidance.

B9.5 Articulation agreements

B9.5.1 General provisions

The University may enter into an Articulation agreement with an institution whereby a programme of study at that institution is recognised as meeting the admissions requirements for defined provision of the University.

B9.5.2 Entry from an articulated course after the normal point of entry

The University may choose to enter into an Articulation agreement with an institution where a programme of study at that institution is recognised for direct entry to a university programme of study after the normal point of entry.

B9.5.3 Approval of articulation agreements

Articulation agreements must be approved in accordance with university guidance.

B9.5.4 Modification to articulated provision

Proposed modifications must be notified to the University. If a significant modification is proposed, resubmission of the accreditation proposal may be required.

Academic Principles and Regulations

Section C1: Assurance of Academic Standards: Assessment

August 2015

Approved June 2002;
Amended June 2003, July 2004, July 2005, May 2006, July 2007, May 2008, July 2009, July 2012,
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SECTION C1: ASSURANCE OF ACADEMIC STANDARDS: ASSESSMENT

REGULATIONS

C1.1 General Provisions

C1.1.1 Primacy of University Regulations

Assessment regulations for all Schemes or Courses within the University must be compliant with the Assessment Regulations of the University.

Any provisions for variation must be in accordance with Section C1.2.

C1.1.2 Programmes of Study

All programmes of study in the University must be subject to Scheme or Course regulations as appropriate.

C1.1.3 Scheme/Course Regulations

These must be compliant with:

- the University's Assessment Regulations
- the regulations of any external or professional body which accredits the programme of study in question.

C1.1.4 Scheme/Course Regulations and Assessment

(A) Assessment Requirements

The Scheme/Course regulations relate the assessment requirements of the programme of study to its objectives.

(B) Examiners' Judgements

It is within these specific assessment regulations that examiners make their judgements on student achievement towards an award.

Any provisions for variation must be in accordance with Section C1.2.

C1.2 Precedence of University Regulations and Permitted Variation

C1.2.1 General

In the case of a potential conflict between the assessment regulations of a Scheme or Course and those of the University, the following provisions apply.

C1.2.2 Potential Conflict with Scheme/Course Regulations

In the case of a potential conflict between the assessment regulations of a Scheme or Course and those of the University:

- the University's Assessment Regulations take precedence unless
- variation has been permitted in accordance with the provisions below.

C1.2.3 Potential Conflict with the Regulations of an External Body

In the case of a potential conflict between the University's Assessment Regulations and those of an external body which accredits the provision:

- the University's Assessment Regulations take precedence unless
- variation has been permitted in accordance with the provisions below.

C1.2.4 Permitted Variation

Scheme or Course regulations may be permitted to vary from the University's Assessment Regulations only if that variation is formally approved by Quality Assurance Services.

C1.2.5 Timing of Request for Variation

Such permission would normally only be considered as part of the approval or review process.

C1.2.6 Responsibility for Progressing a Proposed Variation

It is the responsibility of those seeking variation to ensure that any proposed variation is progressed appropriately and in accordance with the relevant University guidance issued by Quality Assurance Services.

C1.3 Leeds Beckett University Students Studying in Other Institutions

C1.3.1 Study in Other Institutions

Leeds Beckett University students may study in other institutions, including institutions in other countries, either as:

- a requirement of their Course
- an optional module or component of their Course.

C1.3.2 Assessment of Students Studying in Other Institutions

In the cases of such students the assessment will be specified in the Scheme or Course/Module documentation.

The assessment will be conducted either:

- according to the co-operation agreement between the universities concerned
or
- according to the regulations and procedures of the host institution.

C1.3.3 Marks of Students Studying in Other Institutions

Students of the University will normally be awarded appropriate credit for study undertaken in other institutions. In such cases their final award classifications will be based solely on the marks/grades earned for study at the University itself. By exception only, marks/grades achieved for specific study in other institutions may, on the basis of clear pre-determined formulae based on the University's assessment criteria, be converted into percentage marks and contribute to the classification of University awards. Information about any such arrangement will be detailed in the relevant scheme/course document and communicated to students before they commence any study in another institution.

C1.4 Assessment: General Provisions

C1.4.1 Programme of Study

Registered students will be enrolled on a programme of study leading towards the achievement of the award for which they are registered.

A programme of study within the University will comprise a subject/award-specific curriculum.

C1.4.2 Purpose of Assessment

The purpose of assessment is to enable students to demonstrate that they have fulfilled the objectives and learning outcomes of the programme of study, and achieved the standard required for the award for which they have registered.

C1.4.3 Individual Modules

For students studying individual modules only, the purpose of the assessment is to demonstrate that they have fulfilled the objectives and learning outcomes of the module(s) on which they are enrolled.

C1.4.4 Assessment Schemes

The assessment scheme of an individual programme of study is subject to both the University's Assessment Regulations and regulations specific to that Scheme or Course.

All Scheme or Course regulations must conform to the University's Assessment Regulations, unless variation has been specifically allowed, e.g. in respect of provisions for professional courses.

C1.4.5 Internal Examiners

Assessment will be carried out by competent and impartial internal examiners:

- by methods which are explicit, valid and reliable;
- by methods which allow them to assess students fairly.

[See also Section C5: Management of Assessment; Section C6: Conduct of Assessment; and Section C8: Written Examinations]

C1.4.6 Academic Judgement

It is important for students to understand the nature of examiners' discretion and judgement when details of module marks are made available to them. The following provisions apply to the exercise of academic judgement in relation to the assessment process:

- assessment of a student's work is a matter of judgement, not simply of computation;
- marks, grades and percentages are not absolute values, but symbols used by examiners to communicate their judgement of different aspects of a student's work;
- this is done to provide information on which the final decision on a student's fulfilment of Scheme or Course objectives will be based;
- the academic judgements of examiners cannot, in themselves, be questioned or overturned.

C1.4.7 Assessment Decisions

Boards of Examiners and Examination Committees will make decisions:

- in accordance with the provisions of Sections C1.4.2 to C1.4.6;
- in accordance with the provisions for progression, re-assessment and conferment of awards. [See Section C3: Student Progression and Section C4: Conferment of Awards]

C1.4.8 External Examiners

The University requires external examiner(s) to be associated with all assessments for a conferred award above the level of Certificate of Higher Education unless the Certificate of Higher Education is the target award.

This is in order to:

- ensure that justice is done to the individual student;
- ensure that student achievement is related to a consistent national standard.

[See Section C11: External Examiners and Advisors]

C1.4.9 Information to Students

The University requires that the following information is made known to students:

- the assessment requirements of their programme of study
- the assessment requirements of each module
- the re-assessment provisions for their programme of study
- the penalties for late submission of assessed coursework
- the grounds on which they may seek appeal against a decision of an Board of Examiners or Examination Committee.

[See Sections C5: Management of Assessment; C6: Conduct of Assessment; C8: Written Examinations; C10: Disabled Students and Students with Specific Learning Difficulties; C15: Extenuating Circumstances and Mitigation; and C16: Review and Appeal]

C1.4.10 Responsibilities of Students

(A) General Responsibilities

It is the responsibility of students to comply with the Scheme, Course and module requirements for attendance and for completion of assessments.

(B) Particular Responsibilities

Students should note these responsibilities in particular:

- to ensure that they are aware of examination dates and coursework submission dates;
- to attend examinations and submit work for assessments as required;
- to inform the Scheme/Course Leader (or equivalent) in writing of their intention to submit themselves for re-assessment (where appropriate);
- to provide to examiners in advance of their meetings any relevant information on personal circumstances which may have affected their performance and which they wish to be taken into account.

(C) Potential Consequences

Students should be aware of the following:

- in the event of failure to attend examinations or submit work for assessment without good cause, examiners have the authority to deem the student to have failed the assessment(s) concerned;
- in the event of failure to provide information in advance on extenuating circumstances that they wish examiners to take into account, where there is no valid reason for this not being provided, any request for an appeal hearing on the grounds of these circumstances will normally be rejected.

[See Sections C6: Conduct of Assessment; C8: Written Examinations; C10: Disabled Students and Students with Specific Learning Difficulties; C15: Extenuating Circumstances and Mitigation; and C16: Review and Appeal]

C1.5 Assessment Regulations: General Provisions

C1.5.1 Scheme/Course Assessment Regulations

The assessment regulations for a Scheme or Course must conform to the Academic Principles and Regulations unless exemption is specifically agreed and approved for inclusion in the definitive course documentation and course handbook.

C1.5.2 Application of Assessment Regulations

The assessment regulations of a Scheme or Course cover all assessments, at whatever point in the Scheme or Course these are undertaken.

C1.5.3 External Examiner(s)

External examiner(s) are required to be associated with assessment for a conferred award above the level of Certificate of Higher Education unless the Certificate of Higher Education is the target award.

[See Section C11: External Examiners and Advisors]

C1.5.4 Standard Requirements of Assessment Regulations

Assessment regulations for an award must:

- identify all the modules that will be assessed, including any assessed supervised work experience
- specify how each of these modules shall be assessed
- specify the arrangements for progression
- specify the threshold pass for a module
- specify the modules which have to be passed in order to obtain an award
- specify the credit weighting and standard (level) carried by each module
- specify the penalties for late submission of assessed coursework
- state the criteria for the recommendation of each award or level of award, including honours classification, and criteria for distinction or merit (where applicable)
- set out the composition and terms of reference of the Board of Examiners and Examination Committees. [See Section C12: Boards of Examiners and Examination Committees]

C1.5.5 Combined Assessment

The following regulations apply to combined assessments:

- modules may be combined and examined by a single assessment;
- such arrangements must be specified in the Scheme/Course regulations.

C1.5.6 Attendance

Where the objectives of a Scheme or Course are such that attendance is compulsory for certain modules, the assessment regulations of the Scheme or Course must specify the attendance requirements to be met by the students for both the level and the module as appropriate.

C1.5.7 Penalties for Late Submission of Coursework

Students are expected to submit work on time, but where a student has failed to submit assessments by the prescribed date without good cause they shall be penalised as given below. *Any work not submitted within these limits may not be submitted at that opportunity.*

“Days” include weekdays and include vacations, but exclude weekends, bank holidays and other days when the University or designated collaborative institution is closed.

Full-time Students

- 1 day late: 5% of the possible total mark will be deducted from the mark achieved by the student.
- 2 to 9 days late: 5% of the possible total mark will be deducted from the mark achieved by the student for every day on which the work remains unsubmitted.
- 10 days late or more: a mark of zero will be recorded.

Part-time Students

- 1 to 2 days late: 5% of the possible total mark will be deducted from the mark achieved by the student.
- 3 to 10 days late: 5% of the possible total mark will be deducted from the mark achieved by the student for each *two* days on which the work remains unsubmitted (ie 5% for days 3-4; 5-6; 7-8; 9-10).
- 11 days late or more: a mark of zero will be recorded.

Cases of persistent late submission shall be brought to the attention of the Board of Examiners or Examination Committee.

Where work for re-assessment is submitted late the last submission penalty will be applied before the assessment cap.

C1.6 Assessment: Marking Conventions and Degree Classification

C1.6.1 Marking Conventions

The University adopts the following conventions for

- the marking of assessed work for an award of the University and
- to assist Boards of Examiners in determining honours degree classification.

A	70%+	Excellent Outcome	First Class
B	60-69%	Above Average Outcome	Upper Second Class
C	50-59%	Average Outcome	Lower Second Class
D	40-49%	Satisfactory Outcome	Third Class
F1	30-39%	Unsatisfactory Outcome	Fail
F2	15-29%	Unsatisfactory: Very Poor Outcome	Fail
F3	below 15%	Unsatisfactory: Extremely Poor Outcome	Fail

These marking conventions will be supported by the prevailing University taxonomy as detailed in Guidance issued by Quality Assurance Services.

C1.6.2 Honours Degree Classification

In determining the class of Bachelor Degree with

Honours to be recommended, a Board of Examiners should take account of the weighted average of the best 100 credits at levels 5 (25%) and 6 (75%) in relation to the numerical conventions at Section C1.6.1.

Provisions in respect of the operation of this will be specified in the Scheme or Course documentation.

C1.6.3 Threshold Pass for an Award

The threshold pass for an award is 40%.

C1.7 Assessment for an Award

C1.7.1 Awards of the University

Students must fulfil the specified requirements for

- progression;
- and
- conferment of an award.
- [See Section C4: Conferment of Awards]

C1.7.2 Bachelor Degree with Honours and Postgraduate Awards

For a Bachelor Degree with Honours and postgraduate awards, students are required to:

- meet the progression requirements for that award;
- and
- meet other assessment requirements

C1.7.3 Awards Accredited by Professional, Statutory or Regulatory Bodies

For awards accredited by professional, statutory or regulatory bodies, students must:

- fulfil the requirements of Section C1.7.1;
- fulfil any further requirements for accreditation specified by the professional or statutory body.

[For fuller details on awards, see Section C4: Conferment of Awards]

C1.7.4 Information on Specific Requirements of Professional, Statutory or Regulatory Bodies

For awards accredited by professional, statutory or regulatory bodies, both staff and students must be made aware of the specific assessment and progression requirements to be fulfilled in order to obtain the accredited award.

C1.7.5 Alternative Programme of Study

Students failing to achieve the specific assessment requirements for awards accredited by professional, statutory or regulatory bodies will be advised of alternative programmes of study available within the University.

Academic Principles and Regulations

Section C2: Achievement of Credit

August 2015

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SECTION C2: ACHIEVEMENT OF CREDIT

C2.1 Credit: General Provisions

C2.1.1 Unit of Study

The basic unit of study within the University is the module.

C2.1.2 Module Credit

Each module will have a defined credit outcome.

C2.1.3 Definition of Credit

(A) Quantity and Standard

Credit is defined in respect of

- the quantity (value)
- and
- the standard (level) obtainable (e.g. 20 credits at Level 5).

(B) Notional Study Hours

For each credit point, 10 notional study hours are required.

(C) Specific and General

For the purposes of admissions with academic credit, such credit is further defined as:

- general credit
- and/or
- specific credit.

C2.1.4 Recognition of Achieved Credit

The credit achieved by a student in respect of a module will be defined by:

- the value (credit weighting)
- and
- the level.

C2.1.5 Recognition of Individual Performance

Individual performance will be further defined by the standard of achievement in that module as described by the accepted University marking conventions. [See Section C1.6.1]

C2.1.6 Admissions with Academic Credit

Admission with credit is subject to the following provisions.

(A) General Credit

General credit refers to the value (quantity) of credit and the level (standard) attributable to:

- a taught module of learning
- learning achieved through experience
- the credit achieved through the attainment of an award.

(B) Specific Credit

Specific credit refers to the value (quantity) and the level (standard) which can be accepted as contributing towards a specific programme of study.

C2.1.7 ECTS

The University recognises the principles and mechanisms of the European Community Course Credit Transfer and Accumulation System (ECTS). Two UK credits are equivalent to one ECTS credit.

C2.2 Ratification of Achievement of Credit

C2.2.1 Credit

Module success and its associated credit must be ratified formally by a Board of Examiners or an Examination Committee.

C2.3 Recording of Credit

C2.3.1 Credit

Each credit achievement will be recorded on the individual student's Transcript of Credit, along with the actual mark achieved.

C2.4 Credit and Awards

C2.4.1 Limits on the Acceptance of Credit

Once ratified credit has been accepted towards the conferment of an award, such credit *cannot* be accepted as contributing towards the requirements for the conferment of another award at the same or lower level.

C2.5 Successful Module Completion

C2.5.1 Threshold Pass

The threshold pass for a module is an average of 40% achieved across all components of assessment within the module.

C2.5.2 Completion of Assessment

In order to be awarded credit for a module, a student must normally have completed the assessment requirements associated with that module.

C2.5.3 Overall Achievement

In order to be awarded credit for a module, a student must have achieved a mark of 40% overall for that module.

C2.6 Penalties for Late Submission

C2.6.1 Penalties

The University has established penalties for the late submission of coursework. These penalties can be found at Section C1.5.7.

C2.7 Disabled Students

C2.7.1 General Provisions

If a student is unable through disability or other learning difficulty to be assessed by the usual method, separate arrangements may be made for examinations or other assessments.

C2.7.2 Detailed Regulations and Procedures

For the detailed regulations and procedures relating to this, see Section C10: Disabled Students.

C2.8 Cheating, Plagiarism and Other Forms of Unfair Practice

C2.8.1 General Provisions

The University operates an Unfair Practice Board to consider admitted or found cases of cheating, plagiarism and unfair practice across the institution.

Collaborating bodies may either choose to:

- Establish an Unfair Practice Board or;
- Consider admitted or found cases of cheating, plagiarism and unfair practice via the appropriate Board of Examiners.

C2.8.2 Detailed Regulations

For the detailed regulations relating to this, see Section C9: Cheating, Plagiarism and Other Forms of Unfair Practice.

Academic Principles and Regulations

Section C3: Student Progression

August 2015

Approved June 2002;
Amended June 2003, July 2004, July 2005, May 2006, July 2007, May 2008, July 2009, July 2012



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SECTION C3: STUDENT PROGRESSION

REGULATIONS

C3.1 Progression: General Provisions

C3.1.1 Progression Regulations: Application

The regulations for progression apply to all Schemes and Courses in the University, unless specific permission for variation has been given.

For permitted variation, see Section C1.2.

C3.1.2 Schemes and Courses with Permitted Variation

Where Schemes or Courses have been permitted to vary from these regulations (mainly professional courses), students on those Schemes or Courses must be specifically advised of their additional progression requirements.

C3.1.3 Pre-requisite Modules

Where any Scheme or Course contains designated pre-requisite modules at any level, the progression requirements for such Schemes or Courses must specify clearly any modules which are designated as pre-requisites.

For pre-requisite modules, see Section C3.3.

C3.2 Core and Elective Modules

C3.2.1 Core Modules

A core module is a module which a student is required to study at a specific level in a programme of study.

A core module is not necessarily a pre-requisite module.

C3.2.2 Elective Modules

An elective module is a module which the student may choose from a list of available options (if any) at a specific level of a programme of study.

C3.3 Pre-requisite Modules

C3.3.1 Definition

A pre-requisite module is one:

- which is considered to be an essential pre-requisite for the study of a specific module or modules at a higher level on the Scheme or Course
- and*
- for which a student must have been awarded a pass mark (40% or more) before they can undertake study on the specific module(s) of which it is a pre-requisite.

C3.3.2 Decision on Pre-requisite Modules

The decision on whether modules are pre-requisite rests with the Scheme/Course team.

C3.3.3 Approval of Pre-requisite Modules

Pre-requisite modules must be approved:

- during the Scheme/Course approval process
- or
- through the provisions of major modification to a Scheme or Course in Approval.
- [For these see Sections B2: Academic Approval and B5: Modifications]

C3.3.4 Academic Justification for Pre-requisite Modules

Where a Scheme/Course has pre-requisite modules the Scheme/Course team must:

- rigorously assess the academic justification for such modules
- keep the academic justification for such modules under review.

Such assessment and review should be conducted with particular reference to subject benchmarks.

C3.4 Progression Requirements and Profile of Achievement

C3.4.1 Progression Requirements

To be considered for progression from Level 4 to Level 5; or Level 5 to Level 6 a student must have fulfilled the following requirements:

- pursued a programme of study of 120 credit points at the relevant level (including any accreditation of prior learning)
- satisfied the submission and attainment requirements for each module of study.

C3.4.2 Submission Requirements

A student is required to submit in all specified components of assessment.

C3.4.3 Attainment Requirements

A student will be required to re-submit for assessment in respect of all failed components of assessment, where his or her profile of attainment for the module shows an overall average of less than 30%. Schools/ Academic units may not offer reassessment synoptically. All reassessment will be on a component basis.

C3.4.4 Profile of Progression – Level 4 to Level 5

Where a student has attained or exceeded the following profile, they will be deemed to have passed Level 4 for the purposes of progression; to have achieved the overall learning outcomes for the level; and to have achieved the standard required to progress from Level 4 to Level 5:

- achieved a minimum of 40% or more in modules equivalent to 100 credit points at Level 4 or above;
- achieved an overall average of 30% or more in each module studied;
- achieved an average of 40% or more across all modules studied at this level.

On achievement of this profile for progression, a student will be accredited with 120 credit points at Level 4.

C3.4.5 Profile of Progression – Level 5 to Level 6

Where a student has attained or exceeded the following profile, they will be deemed to have passed Level 5 for the purposes of progression; to have achieved the overall learning outcomes for the level; and to have achieved the standard required to progress from level 5 to level 6:

- achieved a minimum of 40% or more in modules equivalent to 100 credit points at Level 5 or above;
- achieved an overall average of 30% or more in each module studied;
- achieved an average of 40% or more across all modules studied at this level.

On achievement of this profile for progression, a student will be accredited with 120 credit points at Level 5.

C3.4.6 Rounding-up of Marks

Average marks of 0.5% and above will be rounded up to the next whole number when calculating the weighted average of final award marks.

C3.4.7 Individual Outcomes

The student's Transcript of Credit will record:

- the quantity and standard of the credit achieved
- the actual mark achieved for each module.

C3.4.8 Pre-requisite Modules

A student failing a pre-requisite module may progress to the next level *only if* the programme of study available enables them to take an elective which does not require the failed module as a pre-requisite.

C3.5 Re-assessment for Progression – General Provisions

C3.5.1 Opportunity to recover failure

A student failing to pass a module or modules at the first attempt will be given the opportunity to recover that failure during the academic level, subject to the limits below.

C3.5.2 Requirement to recover failure

A student failing to achieve an average of 30% across all components of assessment of a module, will be required to re-submit for assessment, *provided that* such re-assessment falls within the limits on re-assessment set out below in Section C3.5.4.

C3.5.3 Recovery of failure involving non-submission

Where re-assessment is required on account of a student's failure to submit for assessment, the following provisions will apply:

- the maximum mark available is 40%
- no tutorial guidance will be available in respect of this assessment unless extenuating circumstances have been presented and accepted.

C3.5.4 Limits on Re-assessment

Re-assessment opportunities are subject to the following provisions:

- One opportunity only

The opportunity for re-assessment will be given *once only* in respect of any module during an academic level.

C3.5.5 Re-assessment to recover failure only

Re-assessment may only be used for the recovery of failure. It may not be used to attempt to improve an existing mark.

C3.5.6 Re-assessment and level progression

A student who has otherwise achieved the requirements for level progression may be re-assessed in failed modules, provided that the re-assessment opportunity is still available. [see section 3.6]

C3.5.7 Marks for re-assessed work

The maximum mark achievable for a re-assessed piece of work is 40%. Where a student achieves a lower mark for the re-assessed work than for the original submission, the higher original mark will stand.

C3.5.8 Re-assessment and module average

Where individual components of assessments are re-assessed, there will be a maximum mark of 40% for those components. The marks attained for any successfully completed components will remain unaltered and will contribute to the final average for the module.

C3.6 Re-assessment for Progression: Process and Timing

C3.6.1 Results of Assessment

At the conclusion of the full assessment process for each module the internally-moderated module results will be given to the Scheme/Course Leader (or equivalent).

C3.6.2 Publication of Assessment Outcomes

(A) Publication of Interim Outcomes

The Scheme/Course Leader (or equivalent) will then publish interim student outcomes, in accordance with Section C14: Disclosure of Assessment Results.

(B) Purpose of Publication of Interim Outcomes

The purpose of the publication of these interim outcomes is solely to enable a student to identify the opportunity for re-assessment.

(C) Disclosure of Marks Achieved

Disclosure to the student of marks achieved remains part of the feedback process [see Sections C5: Management of Assessment and C6: Conduct of Assessment].

(D) Timing of the Publication

The timing of this may be different for assessed coursework and examinations.

C3.6.3 Eligibility for Re-assessment

A student is eligible for reassessment in all failed modules of his or her programme of study for the academic level

C3.6.4 Opportunity for Re-assessment

Any student:

- who has not achieved the pass requirements of a module and
 - who is eligible for re-assessment
- will be offered the opportunity to be re-assessed as required.

C3.6.5 Student Option

A student need not avail themselves of the opportunity for re-assessment.

C3.6.7 One Re-assessment Opportunity during the Academic Level

No further opportunity for re-assessment of this work will be available during the academic level.

C3.6.8 Previously Deferred Assessment

(A) Students Previously Unable to Submit for Assessment

A student who was unable to submit for assessment at the required time due to extenuating circumstances will normally be offered the opportunity for initial assessment at the time when re-assessment takes place.

(B) No Further Opportunity

Normally, there will be no further opportunity for assessment of this work during the academic year.

C3.6.9 Information to Students

Students will be informed when their academic progress may be a cause for concern; and specifically where the need to avail themselves of any re-assessment opportunities open to them in order to progress becomes apparent.

C3.6.10 Responsibilities of Students

Students are responsible for:

- maintaining an awareness of their successfully completed modules and running total of credit accumulation during the level;
- checking the dates of re-sit examinations and re-submission dates for assessed coursework.

Notification of these re-sit/re-submission dates may be by notices prominently displayed and need not be by individual letter.

C3.6.11 Timing of Re-assessment Opportunities

The detailed timing of re-assessment opportunities will be at the discretion of the School/Academic Unit and may be different for assessed coursework and examinations.

C3.6.12 Alternative Form of Assessment

(A) Practical Considerations

The Scheme/Course Leader (or equivalent) and the module tutor(s) may decide on an alternative form of assessment if necessary (for example, where the initial assessment required use of facilities which are not currently available).

(B) Rigour and Standard

The alternative assessment will be of the same rigour and standard as the original assessment.

C3.6.13 Results of Re-assessment Process

The results of the re-assessment process will normally be published:

- four weeks after the date of its submission/sitting (pass/fail only)
- or
- after the meeting of the subsequent Board of Examiners or Examination Committee whichever is sooner.

C3.6.14 Outcomes of Assessment and Re-assessment Process

On conclusion of the assessment and re-assessment process, student outcomes for the academic year will be presented to the relevant Board of Examiners or Examination Committee.

C3.6.15 End of Assessment/Re-assessment Process

(A) End of the Process

Normally there will be no further opportunity for assessment or re-assessment after the meeting of the Board of Examiners or Examination Committee.

(B) Exceptions

The exceptions to this are:

- where curriculum or operational requirements determine the need for later re-assessment;
- where exceptional circumstances in respect of student assessment occur.

C3.6.16 Curriculum or Operational Requirements

(A) Provision of Assessment/Re-assessment Opportunities

Where curriculum or operational requirements determine the need, semester two assessments may be:

- undertaken for the first time (deferred students);
- re-assessed (one opportunity only)

after the meeting of the Board of Examiners.

(B) Assessment Outcomes

In such cases:

- consideration of outstanding assessment and re-assessment may be remitted to a Reconvened Board of Examiners; [See Section C12: Boards of Examiners and Examination Committees]
- students should be made aware of the provisions for assessment/re-assessment.

C3.6.17 Exceptional Circumstances in respect of Assessment

Where exceptional circumstances occur:

- a Board of Examiners may provide for further assessment or re-assessment opportunities to take place after the Board;
- normally this would be only where the exceptional circumstances affect a whole cohort of students;
- in such cases, the consideration of the assessment/re-assessment in question may be remitted to a Reconvened Board of Examiners. [See Section C12: Boards of Examiners and Examination Committees]

C3.6.18 Carry-forward of Module(s)

(A) Provisions for the Carry-forward of Module(s)

Exceptionally, a Board of Examiners or Examination Committee may permit a student to carry forward a module or modules to the next academic year.

This is only when:

- a student has not been able to complete the assessment or re-assessment process
- and
- this non-completion is attributable to extenuating circumstances which have been accepted by a Board of Examiners or Examination Committee.

(B) Maximum Permitted Carry-forward

A student may only be permitted to carry forward a module or modules to a maximum of 40 credit points.

C3.7 Students Unable to Progress

C3.7.1 Courses of Action Consequent on Inability to Progress

A student who does not meet the requirements for level progression will be eligible for one or more of the following courses of action:

- contained award
- completion of level
- repeat of level with attendance
- requirement to repeat or withdraw
- be deemed to have failed.

Provisions in respect of these courses of action follow below.

C3.7.2 Contained Award

A student may be recommended for a contained award at a lower level if appropriate.

Provisions for contained awards are set out in Section C4: Conferment of Awards.

C3.7.3 Completion of Level

(A) Eligibility

A full-time student who:

- has achieved 50% or more of the credit points required for level progression

but

- has achieved insufficient credit points to progress may choose one of the following options for level completion.

(B) Options for Level Completion

Such a student may choose:

- to enrol in part-time mode in order to re-take the outstanding components of the programme of study for that level;
- to repeat the level with attendance.

(C) Advice

Advice on these options will be available to the student.

(D) Part-time Students

Part-time students will be counselled in accordance with the provisions above. Normally a part-time student would take the option of enrolling as a part-time student in order to complete the level.

C3.7.4 Credit Carried Forward

Students completing a level are entitled to carry forward credit for successfully completed modules.

C3.7.5 Repeat of Level with Attendance

(A) Eligibility

A student will be offered the opportunity below where they have:

- largely submitted themselves for assessment as required

but

- achieved less than 50% of the credit points required for progression at the level they are currently studying

(A) Opportunity to Repeat with Attendance

Such a student will be offered the opportunity to repeat the full programme of study for that level with attendance. No credit for successfully completed modules may be carried forward into a repeat of that level.

C3.7.6 Requirement to Repeat or Withdraw

(A) Eligibility

The options below may be exercised in respect of a student who has:

- achieved less than 50% of the credit points required for progression at the level they are currently studying
and
- whose lack of success derived largely from non-submission of assessed work.

(B) Requirement to Repeat or Withdraw

The Board of Examiners or Examination Committee may exercise its discretion and require the student to:

- repeat the full programme of study for that level with attendance
or
- withdraw from the Course.

C3.7.7 Students Deemed to Have Failed

A student will normally be deemed to have failed if:

- they have not given formal notice in writing of their intention to withdraw from the Course
and
- has substantially failed to submit assessments without explanation.

C3.7.8 Substitute Modules

A student completing or repeating a level may, subject to the agreement of the Scheme/Course Leader, (or equivalent) choose to take a different module or modules from those previously taken.

C3.7.9 Core Modules

A student completing or repeating a level may not take a substitute for a core module.

C3.7.10 Timescales for Completion/Repeat Requirements

A student required to complete or repeat a level will be entitled to one attempt only at completion or repeat.

C3.7.11 Marks for Repeated Modules

A student repeating a module or modules under any of the provisions for complete/repeat above will be assessed as if for the first time in that module and the work will be eligible to be awarded the full range of marks available.

C3.7.12 Availability of Modules

A student may not demand to repeat a module which is no longer current.

C3.8 Students on Sandwich Mode

C3.8.1 Successful Completion of Work Experience

A student on the sandwich mode is required to perform satisfactorily and complete the prescribed work experience before they can progress to the next level of study.

C3.8.2 Re-assessment

Where provisions for this can be made, a student may elect to repeat the work experience component of the programme of study.

C3.8.3 Students Unable to Progress

A student who has not satisfactorily completed the prescribed work experience and is:

- unable to repeat the work experience component;
 - does not wish to repeat the work experience component
- will be eligible to transfer to a non-sandwich mode of study.

Academic Principles and Regulations

Section C4: Conferment of Awards

August 2015

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SECTION C4: CONFERMENT OF AWARDS

C4.1 Recommendation for an Award of the University

C4.1.1 Recommendation for an Award

The Board of Examiners for each Scheme/Course; or the duly established Appeal Panel of the University, are the sole bodies empowered to recommend an award of the University

C4.2 Requirements for the Recommendation of an Award of the University

C4.2.1 Scheme/Course-specific Requirements

Individual Schemes or Courses may have specific requirements in respect of the recommendation for an award.

These will be specified in the Scheme/Course documentation; and will have been agreed by Quality Assurance Services and formally approved through the appropriate University process.

C4.3 Assessment for an Award

C4.3.1 Awards of the University

Students must fulfil the specified requirements for progression and conferment of an award.

C4.3.2 Benchmark Pass for an Award

The benchmark pass for an award of the University is 40%.

C4.3.3 Awards Accredited by Professional, Statutory or Regulatory Bodies

For awards accredited by professional, statutory or regulatory bodies, students must:

- fulfil the requirements of Section C4. 3.1;
- fulfil any further requirements for accreditation specified by the professional, statutory or regulatory body.

C4.4 Achievement of an Award of the University

C4.4.1 General Provisions

An award of the University will be recommended for candidates achieving the outcomes specified below.

C4.4.2 Certificate

The Certificate is awarded for the attainment of a minimum of 60 credit points at HE Level 4. The University awards these credit points where a student has achieved the following profile:

1. Pursued a programme of study of 60 credit points at HE Level 4 or above.
2. Satisfied the submission and attainment requirements for each module of study.
3. Achieved the overall learning outcomes for the award by attaining or exceeding the following requirements:
 - achieved a minimum of 40% or more in modules equivalent to 40 credit points at Level 4 or above;
 - achieved an overall average of 30% or more in each module studied.

C4.4.3 Certificate of Higher Education

The Certificate of Higher Education is awarded for the attainment of a minimum of 120 credit points at HE Level 4. The University awards these credit points where a student has achieved the following profile:

1. Pursued a programme of study of 120 credit points at Level 4 or above or has been accredited with no more than 60 credit points at Level 4 on admission.
2. Satisfied the submission and attainment requirements for each module of study.

3. Achieved the overall learning outcomes for Level 4 by attaining or exceeding (or been accorded under the provisions of Section C3.4.5) the following requirements:

- achieved a minimum of 40% or more in modules equivalent to 100 credit points at Level 4 or above;
- achieved an overall average of 30% or more in each module studied;
- achieved an average of 40% or more across all modules studied at this level.

A student progressing to the Certificate of Higher Education, having successfully completed the Certificate under the provisions of Section C4.4.2, must have successfully passed with a mark of 40% or more modules equivalent to a minimum of 100 credit points at Level 4 or above in order to be awarded the Certificate of Higher Education.

C4.4.4 Diploma

The Diploma is awarded for the attainment of a minimum of 120 credit points at HE Level 4 and 60 credit points at HE Level 5 or above. The University awards these credit points where a student has achieved the following profile:

1. Achieved the requirements for progression from Level 4 to Level 5 or has been accredited with 120 credit points at HE Level 4 on admission.
2. Pursued a programme of study of 60 credit points at HE Level 5 or above.
3. Satisfied the submission and attainment requirements for each module of study.
4. Achieved the overall learning outcomes for the award by attaining or exceeding the following requirements:
 - Achieved a minimum of 40% or more in modules equivalent to 40 credit points at Level 5 or above;
 - Achieved an overall average of 30% or more in each module studied.

C4.4.5 Diploma of Higher Education

The Diploma of Higher Education is awarded for the attainment of a minimum of 120 credit points at HE Level 4 and 120 credit points at HE Level 5. The University awards these credit points where a student has achieved the following profile:

1. Achieved the requirements for level progression from Level 4 to Level 5, or has been admitted directly to Level 5.
2. Pursued a programme of study of 120 credit points at Level 5 or above or has been accredited with no more than 60 credit points at Level 5 on admission.
3. Satisfied the submission and attainment requirements for each module of study
4. Achieved the overall learning outcomes for Level 5 by attaining or exceeding (or been accorded under the provisions of Section C3.4.7) the following requirements:
 - achieved a minimum of 40% or more in modules equivalent to 100 credit points at Level 5 or above;
 - achieved an overall average of 30% or more in each module studied;
 - achieved an average of 40% or more across all modules studied at this level.

A student progressing to the Diploma in Higher Education, having successfully completed the Diploma under the provisions of Section C4.4.4, must have successfully passed with a mark of 40% or more modules equivalent to a minimum of 100 credit points at Level 5 or above in order to be awarded the Diploma of Higher Education.

C4.4.6 Foundation Degree

The Foundation Degree is awarded for the attainment of a minimum of 120 credit points at HE Level 4 and 120 credit points at HE Level 5.

The University awards these credit points where a student has achieved the following profile:

1. Achieved the requirements for level progression from Level 4 to Level 5, or has been admitted directly to Level 5.
2. Pursued a programme of study of 120 credit points at Level 5 or above or has been accredited with no more than 60 credit points at Level 5 on admission.
3. Satisfied the submission and attainment requirements for each module of study
4. Achieved the overall learning outcomes for Level 5 by attaining or exceeding (or been accorded under the provisions of Section C3.4.7) the following requirements:
 - achieved a minimum of 40% or more in modules equivalent to 100 credit points at Level 5 or above;
 - achieved an overall average of 30% or more in each module studied;
 - achieved an average of 40% or more across all modules studied at this level.

Additionally, candidates must have demonstrated the achievement of work-related learning and core skills.

C4.4.7 Bachelor Degree

The Bachelor Degree is awarded for the attainment of a minimum of 120 credit points at HE Level 4, 120 credit points at HE Level 5 and 60 credit points at HE Level 6. The University awards these credit points where a student has achieved the following profile:

1. Achieved the requirements for level progression from Level 5 to Level 6, or has been admitted directly to Level 6.
2. Pursued a programme of study of 60 credit points at Level 6 or above.
3. Satisfied the submission and attainment requirements for each module of study.
4. Achieved the overall learning outcomes for the award by attaining or exceeding the following requirements:
 - achieved a minimum of 40% or more in modules equivalent to 40 credit points at Level 6 or above;
 - achieved an overall average of 30% or more in each module studied.

C4.4.8 Bachelor Degree with Honours

The Bachelor Degree with Honours is awarded for the attainment of a minimum of 120 credit points at HE Level 4, 120 credit points at HE Level 5, and 120 credit points at HE Level 6. The University awards these credit points where a student has achieved the following profile:

1. Achieved the requirements for level progression from Level 5 to Level 6 or has been admitted directly to Level 6.
2. Pursued a programme of study of 120 credit points at Level 6 or above or has been accredited with no more than 60 credit points at Level 6 on admission.
3. Satisfied the submission and attainment requirements for each module of study.
4. Achieved the overall learning outcomes for Level 6 by attaining or exceeding the following requirements:
 - achieved a minimum of 40% or more in modules equivalent to 100 credit points at Level 6 or above;
 - achieved an overall average of 30% or more in each module studied;
 - achieved an average of 40% or more across all modules studied at this level.

A student progressing to the Bachelor Degree with Honours, having successfully completed the Bachelor Degree under the provisions of Section C4.4.7 must have successfully passed with a mark of 40% or more modules equivalent to a minimum of 100 credit points at Level 6 or above in order to be awarded the Bachelor Degree with Honours.

C4.4.9 Modules Required to be Passed

Under exceptional circumstances a Scheme or Course may be permitted to designate a module as one which is required to be passed in order to obtain a University award.

Such designation may only be made in accordance with Guidance issued by the University.

C4.4.10 Postgraduate Certificate

The Postgraduate Certificate is awarded for the attainment of a minimum of 60 credit points at Level 7.

C4.4.11 Postgraduate Diploma

The Postgraduate Diploma is awarded for the attainment of a minimum of 120 credit points at Level 7. The University awards these credit points where a student has achieved the following profile:

1. Pursued a programme of study of 120 credit points at Level 7 or above or has been accredited with no more than 60 credit points at Level 7 on admission.
2. Satisfied the submission and attainment requirements for each module of study.
3. Achieved the overall learning outcomes for the programme of study by attaining or exceeding the following requirements:
 - achieved a mark of 40% or more in, or been credited with, modules equivalent to 100 credit points at Level 7 or above;
 - achieved an overall average of 30% or more in each module studied;
 - achieved an average of 40% or more across all modules studied at this level.

C4.4.12 Masters Awards

Masters degrees are awarded for the attainment of a minimum of 180 credit points at Level 7. The University awards these credit points where a student has achieved the following profile:

1. Pursued a programme of study of 180 credit points at Level 7 or above, or has been accredited with no more than 120 credit points at Level 7 on admission.
2. Satisfied the submission and attainment requirements for each module of study.
3. Achieved the overall learning outcomes for the programme of study by attaining or exceeding the following requirements:
 - achieved a mark of 40% or more in, or been credited with, modules equivalent to 160 credit points at Level 7 or above;
 - achieved an overall average of 30% or more in each module studied;
 - achieved an average of 40% or more across all modules studied at this level.

C4.4.13 Other Awards of the University

The requirements for the achievement of other awards of the University are as set out in Section A.

C4.5 Distinction and Merit

C4.5.1 Application

Awards of distinction and merit may be made in respect of all awards except an Honours Degree.

C4.5.2 Distinction

The award of a distinction may be made to those students who have demonstrated excellent performance against:

- a defined profile of achievement and/or
- the attainment of an average of 70% or more in assessments contributing to the final award.

C4.5.3 Merit

The award of merit may be made to those students who have demonstrated excellent performance against:

- a defined profile of achievement and/or
- the attainment of an average of 60% or more in assessments contributing to the final award.

C4.5.4 Scheme/Course Documentation

Scheme/Course documents will state:

- whether the award of merit or distinction will be made to students;
- the required profile of achievement (if applicable).

C4.6 Bachelor Degrees with Honours

C4.6.1 Honours Classification

The Bachelor Degrees with Honours are available with the following classifications:

- First Class
- Upper Second Class
- Lower Second Class
- Third Class.

C4.6.2 Determination of Honours Degree Classification

In determining the class of Bachelor Degree with Honours to be recommended, a Board of Examiners should take account of the weighted average of the best 100 credits at levels 5 (25%) and 6 (75%) in relation to the numerical conventions at Section C1.6.1.

C4.6.3 Components of Honours Degree Classification

In determining the class of Bachelor Degree with Honours to be recommended, a Board of Examiners will consider student outcomes at both Level 5 and Level 6 as follows:

- The best 100 credits of Level 5 work at 25% weighting
- The best 100 credits of Level 6 work at 75% weighting.

C4.6.4 Calculation of Honours Degree Classification: Average

In calculating the average performance in relation to the numerical conventions used by the University, the following formula will be used:

- The best 100 credits of Level 5 work at 25% weighting added to
- The best 100 credits of Level 6 work at 75% weighting.

C4.6.5 Students Admitted with Academic Credit

Only modules studied within the University or within the terms of an agreed University collaboration can be considered in respect of establishing the classification of an Honours Degree.

(A) Students Admitted to the University at Level 5

For students admitted to the University at Level 5 with academic credit, only those modules studied within the University or within the terms of an agreed University collaboration will be considered for the purposes of establishing a degree classification.

(B) Students Admitted to the University at Level 6

For students admitted to the University at Level 6 with academic credit, only those modules studied within the University or within the terms of an agreed University collaboration will be considered for the purposes of establishing a degree classification. In such cases, all Level 6 work will count at 100% for purposes of average.

C4.6.6 Previous Awards

Attainment which has contributed to the award of a lesser qualification cannot be considered for the purposes of establishing a degree classification.

C4.6.7 Sandwich Degrees

Work undertaken on the placement year for a Sandwich Degree cannot be considered for the purposes of establishing a degree classification unless it is a component part of a University module assessed for credit at Level 5 or Level 6.

C4.6.8 Bachelor Degree

Candidates for the Bachelor Degree with Honours who do not attain the required credit points for the award of an Honours degree, but who attain sufficient credit points for the Bachelor Degree [see Section C4. 4.7] may be awarded a Bachelor Degree.

C4.7 Re-assessment at Final Level

C4.7.1 Opportunity to Recover Failure

A student failing to pass a module or modules at the first attempt will be given the opportunity to recover that failure during the final level, subject to the limits below.

C4.7.2 Limits on Re-assessment

Re-assessment opportunities are subject to the following provisions:

(A) Amount of Re-assessment

A student may be re-assessed in all modules of his or her programme of study for the final level.

(B) One Opportunity Only

The opportunity for re-assessment will be given *once only* in respect of any module during the final level.

C4.7.3 Opportunity to Recover Failure: Non-submission of Assessment Requirements

Where failure arises from non-submission of assessment requirements, a student will be required to present themselves for assessment at the next opportunity.

The conditions for this assessment opportunity are:

- the maximum mark achievable is 40%;
- the assessment will count against the permitted maximum re-assessment opportunities;
- no tutorial guidance will be available in respect of this assessment unless extenuating circumstances are presented and accepted.

C4.7.4 Re-assessment to Recover Failure Only

Re-assessment may only be used for the recovery of failure. It may not be used to attempt to improve an existing mark.

C4.7.5 Maximum Mark

The maximum mark achievable for a re-assessed piece of work is 40%.

C4.7.6 Re-assessment at Final Level: Process and Timing

The process and timing of re-assessment at final level is as found in respect of re-assessment for progression. [see Section C3.6]

C4.8 Viva Voce Examination

C4.8.1 Application

The external examiner(s) have the right to examine any student by a *viva voce* examination in addition to the assessment specified in the Regulations.

This form of assessment may be of advantage in the following cases.

C4.8.2 Borderline Performance

A *viva voce* may be used where a student has attained a mark close to:

- pass/fail
- an honours classification grade
- an award of merit or distinction.

Such additional assessment can only raise and not lower a student's marks.

C4.8.3 Other Cases

A *viva voce* is an alternative or additional assessment where:

- valid reasons for poor performance has been established;
- a written assessment is not appropriate.

C4.9 Valid Reasons for Poor Performance

C4.9.1 Consideration

The Board of Examiners or delegated Examination Committee shall take into account evidence of extenuating circumstances which may have led to an unrepresentative performance to achieve the standard required for the assessment. [See Sections C13: Conduct of Boards of Examiners and Examination Committees and C15: Extenuating Circumstances and Mitigation]

C4.9.2 Student's Responsibility

It is the student's responsibility to present the request for consideration of extenuating circumstances to the Board, and this must be done in accordance with the appropriate Regulations. [See Section C15: Extenuating Circumstances and Mitigation]

C4.10 Aegrotat Awards

C4.10.1 Application

An Aegrotat award may be recommended when the Board of Examiners does not have enough evidence of a student's performance to recommend:

- the award for which the student was a candidate
or
- a contained award. [See Section C4. 13.1]

Such a recommendation may be made when the Board is satisfied that, but for illness or other valid cause, the student would have reached the standard required.

C4.10.2 Conditions of Recommendation

Before a recommendation of an Aegrotat award is made, the student must:

- have signified a willingness to accept the award
- have signified an understanding that the acceptance of this award waives the right to re-assessment.

C4.10.3 Refusal of Aegrotat Award

A student who has been offered an Aegrotat award, but who chooses instead to be re-assessed, may not claim the Aegrotat award in the event of failure.

C4.11 Posthumous Awards

C4.11.1 Posthumous Awards

Providing that all normal conditions of an award would have been satisfied, an award may be conferred posthumously and be accepted by another person on behalf of the late student.

C4.12 Repeat of Final Level

C4.12.1 Provisions

Students who do not achieve the requirements for an award at the final level may repeat work failed at the final level in order to achieve an award of the University, subject to the provisions below.

C4.12.2 Successfully Completed Modules

The marks or grades for successfully completed modules will be carried forward.

C4.12.3 Repeat Once Only

Students may repeat failed work *once only*.

C4.12.4 Substitute Modules

A student repeating the final level may, subject to the agreement of the Scheme/Course Leader (or equivalent), choose to take a different module or modules from those previously taken.

C4.12.5 Core Modules

A student repeating the final level may not take a substitute for a core module.

C4.12.6 Availability of Modules

A student may not demand to repeat a module which is no longer current.

C4.12.7 Marks for Repeated Modules

A student repeating the final level will be assessed as if for the first time in previously failed modules, and the work will be eligible to be awarded the full range of marks available.

C4.12.8 Honours Degree Classification

The honours degree classification for students repeating final level work will be determined in the manner prescribed by the University and the full range of classifications will be available to a repeating student.

C4.12.9 Merit and Distinction

A student repeating final level work for other awards will be entitled to the award of merit or distinction if they fulfil the requirements for this.

C4.12.10 Repeat Provisions for External Awards

Repeat provisions for other awards will be in accordance with the regulations for the external award in question.

C4.13 Conferment of Contained Awards

C4.13.1 Contained Awards from Level Progression

These provisions apply when students are progressing from one level to the next and *inter alia* qualify for a contained award.

C4.13.2 Recommendation for an Award

Students who fail to achieve the minimum performance for an award shall be recommended for the conferment of a lower award for which they have achieved the specified requirements.

C4.13.3 Contained Awards

Students may be entitled to one of the following contained awards:

- Certificate of Higher Education
- Diploma of Higher Education
- Bachelor Degree
- Postgraduate Certificate
- Postgraduate Diploma.

C4.13.4 Requirements for these Awards

(A) Certificate of Higher Education

As specified in Section C4.4.3

(B) Diploma of Higher Education

As specified in Section C4.4.5

(C) Bachelor Degree

Candidates for the Bachelor Degree with Honours who do not attain the required credit points for the award of an Honours Degree, but who attain sufficient points for the Bachelor Degree, may be awarded a Bachelor Degree.

The requirements for a Bachelor Degree are as specified in Section C4. 4.7.

(C) Postgraduate Certificate

Candidates for Masters Degrees who do not attain the required credit points for the award of that degree, but who attain sufficient points for a Postgraduate Certificate, may be awarded a Postgraduate Certificate.

The requirements for a Postgraduate Certificate are as specified in Section C4. 4.10.

(D) Postgraduate Diploma

Candidates for Masters Degrees who do not attain the required credit points for the award of that degree, but who attain sufficient points for a Postgraduate Diploma, may be awarded a Postgraduate Diploma.

The requirements for a Postgraduate Diploma are as specified in Section C4.4.11.

Academic Principles and Regulations

Section C5: Management of Assessment

August 2015

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SECTION 5: MANAGEMENT OF ASSESSMENT

C5.1 Learning Outcomes: General Provisions

C5.1.1 Standards and Objectives

Schemes or Courses approved by the University must conform in terms of standard and objectives to the requirements of the University's definition of award.

C5.1.2 Variety of Methods of Assessment

The University believes that it is essential for the advancement of education and the extension of educational opportunities that a variety of methods of assessment should be available to students.

C5.2 Quality of Learning Experience

C5.2.1 Learning and Teaching Strategies

Learning and teaching strategies should be appropriate to:

- the aims and objectives of the Scheme or Course
- the nature of the student population.

C5.2.2 Defined Aims and Objectives

Each Scheme or Course shall have aims, objectives and learning outcomes which the following are designed to fulfil:

- curriculum
- teaching and learning methods
- forms of assessment.

C5.2.3 General University Aims

The University's general educational aims reflect the concept of capability by developing students':

- intellectual and imaginative powers
- confidence and ability to take effective and appropriate action
- problem-solving and decision-making skills
- ability to communicate and explain their actions
- ability to work effectively with others and to continue to learn from their experience
- ability to see relationships within what they have learned
- ability to relate the studies to a wider context

C5.2.4 Overall Scheme/Course Aims

Approved Schemes or Courses will stimulate an enquiring, analytical and creative approach, encouraging independent judgement and critical self-awareness.

C5.2.5 Aims Related to the Field of Study

The aims will include the development of the following to the level required for the award:

- a coherent body of knowledge, skills and understanding
- appropriate to the field of study
- which reflect academic development in that field.

C5.2.6 Scheme/Course Objectives

The objectives of Schemes or Courses will specify in detail the knowledge and competencies to be developed and evaluated in the assessments.

C5.3 The Learning Environment

C5.3.1 Academic Supervision and Learning Support

The University shall provide the student with appropriate academic supervision and learning support.

Students shall have the opportunity to discuss their academic work with staff.

C5.3.2 Student Involvement

Students will be provided with opportunities to:

- negotiate and take responsibility for their own learning
- contribute to Scheme or Course development and quality assurance in an informed way and in a forum in which rational debate is encouraged
- provide feedback on the nature of their academic experience which can be input into the Scheme and Course monitoring and review process.

[See also Section B4: Monitoring and Management]

C5.4 Equal Opportunity

C5.4.1 Equal Opportunity

The University places great emphasis on equality of opportunity throughout students' academic careers.

To ensure this, the University will, as part of its normal periodic review, consider Schemes and Courses with specific reference to:

- content
- delivery
- culture
- criteria for assessment.

C5.5 Language of Study

C5.5.1 English

English will be the standard language of:

- delivery
- study
- assessment.

C5.5.2 Other Languages

Regulations may be approved which permit programmes of study leading to a University award to be delivered and/or assessed in another language.

C5.5.3 Permitted Variation

The process identified in Section C1.2 should be followed by those Schemes/Courses which wish to deliver the programme of study in an other language.

C5.6 Student Attendance

C5.6.1 Required Attendance

Where the objectives and learning outcomes of the Scheme or Course require it, the regulations may specify compulsory attendance.

C5.6.2 Permitted Variation

The process identified in Section C1.2 should be followed by those Schemes/Courses which wish to establish attendance requirements.

C5.6.3 Information to Students

Students should be clearly informed of any attendance requirements in respect of the programme of study or individual modules on the programme of study.

C5.7 Assessment Strategies

C5.7.1 Design of Assessment

The design and structure of assessment should be discussed by members of the teaching teams to ensure that:

- they enable students to learn
- they enable students to demonstrate that they have fulfilled the objectives of the Scheme or Course
- they enable students to demonstrate that they have achieved the required standards.

C5.7.2 Forms of Assessment

(A) Range and Type

A variety of forms of assessment should be used for all programmes of study.

(B) Learning Outcomes

Teaching teams should discuss the range and types of assessment used, and how these:

- measure skills and learning outcomes
- allow strengths and weaknesses to be demonstrated.

(C) Review

Teaching teams should regularly review assessment for both appropriateness and volume.

C5.7.3 Forms of Assessment: Definitions

The following forms of assessment will be used, as appropriate, on any Scheme or Course in the University.

(A) Written exam

A question or set of questions relating to a particular area of study.

(B) Written assignment, including essay

An exercise completed in writing.

(C) Report

A description, summary or other account of an experience or activity.

(D) Dissertation

An extended piece of written work, often the write-up of a final-year project.

(E) Portfolio

A collection of work that relates to a given topic or theme, which has been produced over a period of time.

(F) Project output (other than dissertation)

Output from project work, often of a practical nature, other than a dissertation or written report.

(G) Oral assessment and presentation

A conversation or oral presentation on a given topic, including an individual contribution to a seminar.

(H) Practical skills assessment

Assessment of a student's practical skills or competence.

(I) Set exercises

Questions or tasks designed to assess the application of knowledge, analytical, problem-solving or evaluative skills.

C5.8 Scheduling and Amount of Assessment

C5.8.1 Scheduling

Teaching teams should consider the scheduling of assessment to ensure that:

- the scheduling reflects the organisation and content of the curriculum
- students have adequate time to reflect on the learning before being assessed.

C5.8.2 Scheduling Information

Teaching teams should ensure that students are given sufficient notice of the timing of assessments to enable them to comply with the requirements.

C5.8.3 Amount of Assessment

Teaching teams should regularly consider the appropriateness of the amount of assessment required in relation to the learning outcomes of the programme of study.

C5.9 Standards

C5.9.1 Equity and Fairness

It is the responsibility of all internal examiners, individually and collectively, to ensure that the performance of students is fairly assessed.

C5.9.2 External Scrutiny

Teaching teams must take whatever action is appropriate to ensure that assessment practices and standards stand up to external scrutiny.

C5.9.3 External Examiners

Scheme/Course Leaders (or equivalent) will ensure that external examiners approve the form and content of proposed examination papers, coursework and other assessments which count towards an award above the level of Certificate of Higher Education or towards the Certificate of Higher Education if this is the target award.

C5.9.4 Criteria for Assessment

It is the responsibility of Scheme/Course Leaders (or equivalent) and teams to ensure that agreed criteria are used to assess coursework and examinations.

C5.9.5 Marking on Merit

All assessed coursework and examination work must be assessed on merit alone. The responsibility for taking into account extenuating circumstances which may have contributed to a student's performance rests with the appropriate Board of Examiners.

C5.9.6 Extenuating Circumstances

Any member of staff who has been made aware by a student of any extenuating circumstances which may have affected the student's performance must:

- advise the student to submit such information formally to the University;
- remind the student that a member of staff cannot do this on their behalf;
- refer the student to the appropriate regulations and guidance issued by the University.

C5.9.7 Unfair Practice

All internal examiners must report any suspected cases of cheating, plagiarism or other forms of unfair practice. [See Section C9: Cheating, Plagiarism and Unfair Practice]

C5.10 Information to Students

C5.10.1 General

Students will be given explicit, valid and reliable information on all assessments which they are required to submit.

C5.10.2 Coursework

Information to students on assessed coursework is as specified in Section C6: Conduct of Assessment.

C5.10.3 Examinations

Information to students on examinations and conduct of examinations is as specified in Section C7: Conduct and Administration of Examinations and Section C8: Written Examinations.

C5.11 Responsibilities of Students

C5.11.1 General

The responsibilities of students in respect of the assessment process will be clearly made known to them.

C5.11.2 Coursework

The responsibilities of students in respect of assessed coursework are as specified in Section C6: Conduct of Assessment: Coursework and Other Assessed Work.

C5.11.3 Examinations

The responsibilities of students in respect of examinations are as specified in C7: Conduct and Administration of Examinations and Section C8: Written Examinations. [See also Section C10: Disabled Students and Students with Specific Learning Difficulties.]

C5.12 Internal Marking and Moderation

C5.12.1 Moderation

Appropriate moderation policies should be determined by the teaching team.

C5.12.2 Forms of Moderation

These should be appropriate to the assessment form. Examples of moderation may include the following:

- moderation of the assessment tasks
- double marking
- sample marking.

C5.12.3 Marking

Module marking schemes will be in accordance with the University conventions. [See Section C1. 6.1]

C5.12.4 External Examiners

Moderation by external examiners will be conducted in accordance with Section C11: External Examiners and Advisors.

C5.13 Feedback

C5.13.1 Feedback

Students should be given appropriate feedback on their assessed work.

C5.13.2 Forms of Feedback

Feedback will vary with the assessment in question. Forms of feedback on assessed work may include the following:

- oral feedback
- written comment
- provisional marks indicated on scripts/submissions
- the final ratified mark.

C5.13.3 University Strategy

The University will, from time to time, issue advice and guidance on appropriate feedback to students.

Academic Principles and Regulations

Section C6: Conduct of Assessment: Coursework and Other Assessed Work

August 2015

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SECTION C6: CONDUCT OF ASSESSMENT: COURSEWORK AND OTHER ASSESSED WORK

C6.1 Definition

C6.1.1 Assessment: General

For the purpose of these Regulations, assessment includes the following forms of assessment.

C6.1.2 Coursework

Coursework is individual or group work, presented for marking, the results of which contribute to a student's formal assessment for:

- progression and/or
- an award.

Such coursework will include:

- written or other documented material e.g. essays, reports, projects
- dissertations, theses
- visual, three dimensional, audio and audio-visual material
- practical or task-orientated activities and their outcomes
- mixed-mode presentations
- written or other documented material in paper or electronic form
- such other individual or group learning as is appropriate for the Scheme, Course or an individual programme of study.

C6.1.3 Other Forms of Assessment

Other forms of assessment are such other means of assessment as may be incorporated from time to time in the scheme of assessment for the Scheme, Course or individual programme of study.

C6.2 Student Information

C6.2.1 Information on Assessments

Students will be informed of:

- the nature of the assessment
- the requirements of the assessment
- the weighting
- the submission date for the assessment.

C6.2.2 Requirements in respect of Assessments

Students will be given a clear indication of what is required for the successful submission of assessed coursework. [See Sections C6. 2.3 to C6. 2.7]

C6.2.3 Adequate Notice of Assessments

Students should be informed of the above details in sufficient time to:

- enable them to comply with the requirements
- organise their work schedule around the submission dates.

C6.2.4 Variation of Submission Dates

Any variation in the submission date(s) of assignments must be notified to all students.

C6.2.5 Provisions for Handing-in of Assessed Work

The provisions for the handing-in of assessed work will be clearly notified to students.

Provisions for handing in of assessed work may vary across the University. The University requirement is that they should be:

- secure
- and

- prevent, in so far as possible, a student being able to claim that a piece of work was handed in without such a claim being verifiable.

C6.2.6 Extension of Submission Deadlines

The procedures for requesting an extension of the submission deadline for assessed coursework will be clearly notified to students.

These provisions may vary across the University.

C6.2.7 Penalties for Late Submission

The penalties for late submission of assessed coursework will be clearly notified to students.

C6.2.8 Plagiarism and Other Forms of Unfair Practice

Students will be provided with information and resources on the nature of cheating, plagiarism and unfair practice. They will be informed of the consequences of breaching the regulations in respect of cheating, plagiarism and other forms of unfair practice.

C6.2.9 Extenuating Circumstances

Students will be clearly advised:

- that it is their responsibility alone to draw any extenuating circumstances which they think may have affected their performance to the attention of the Board of Examiners and
- the procedures for doing this.

C6.2.10 Request for an Appeal Hearing

Students will be advised of where the procedures for request for an appeal hearing or appeal can be found.

C6.2.11 Feedback on Assessed Coursework

Students will be informed of:

- the feedback they can expect
- the approximate timescale in which this will be provided
- the format in which the feedback will be communicated.

C6.2.12 Timing and Form of Information Provision

This will be provided in accordance with guidance issued by the University.

C6.3 Responsibilities of Students

C6.3.1 Awareness

Students are responsible for receiving and acting on the information provided.

C6.3.2 Compliance

Students are responsible for compliance with the requirements in respect of:

- the submission of work
- requesting extensions
- presenting extenuating circumstances to a Board of Examiners
- following the procedures for request for an appeal hearing
- avoiding plagiarism and other forms of unfair practice.

C6.3.3 Penalties

In the event of late submission of assessed coursework, the penalties for late submission of coursework will be invoked without further notification to the student.

C6.3.4 Definition of non-compliant submission of coursework

Non-compliant submission of coursework is that submission of materials consisting only of information that identifies the student.

C6.3.5 Non-compliant submission

In the event of non-compliant submission, the student will receive a non-submission (NS).

C6.4 Disabled Students

C6.4.1 Alternative Assessment Arrangements

Disabled students may be assessed under alternative assessment arrangements.

C6.4.2 Implementation of Alternative Assessment Arrangements

These will only be provided where the alternative arrangements have been agreed under the provisions of Section C10: Disabled Students.

C6.5 Information to Internal Examiners

C6.5.1 Internal Processes

The Scheme/Course Leader (or equivalent) is responsible for advising internal examiners of the dates of the assessment period and any other relevant information on the marking and moderation process.

C6.5.2 External Examiners

The Scheme/Course Leader (or equivalent) in conjunction with the Dean (or Associate Dean) is responsible for making internal examiners aware of:

- the role of the external examiners in the examining team as a whole
- the rights, responsibilities and powers of the external examiners.

C6.6 Responsibilities of Internal Examiners

C6.6.1 Submission of Assessed Coursework

All work will be marked in accordance with the given requirements for successful submission of assessed coursework.

Provisions for secure handing-in systems will be as required by Section C6. 2.5.

C6.6.2 Plagiarism and Other Forms of Unfair Practice

Internal examiners must:

- report any suspected cases of plagiarism or unfair practice to the Scheme/Course Leader (or equivalent)
- participate as appropriate in any subsequent proceedings.

C6.6.3 Marks

It is the responsibility of each internal examiner to ensure that any marks which contribute to the formal assessment of a student at any level:

- are recorded accurately
- are transmitted to the designated person by the required date.

C6.7 Marking, Moderation and External Scrutiny

C6.7.1 Security during Marking and Moderation

During the marking and internal moderation process, internal examiners are responsible for the strict security of examination scripts/submissions, whether on University premises or elsewhere.

C6.7.2 Scripts/Submissions: Consideration by External Examiner(s)

A) Scripts/Submissions Available to External Examiner(s)

After the internal marking and moderation process, an agreed sample of scripts/submissions should be made available to the external examiner(s).

(B) Timescale

External examiner(s) must be given reasonable time to consider the scripts/submissions prior to the meeting of the relevant Board of Examiners or Examination Committee.

(C) Despatch

The despatch of scripts/submissions to external examiner(s) must be done in accordance with the relevant guidance issued by the University.

C6.8 Confidentiality

C6.8.1 Proceedings of Boards of Examiners or Examination Committees

All internal examiners are required to observe the confidentiality of the proceedings of any Board of Examiners or Examination Committee.

C6.8.2 Data Protection

All internal examiners must ensure that the storage of marks or grades complies with the University's policy and procedures on confidentiality and data protection. It is the University's responsibility to maintain staff awareness of such policies and procedures.

C6.9 Retention

C6.9.1 Period of Retention

A sample of major coursework assessment will be retained until one academic year after the student or students have finished their course/module in the University.

C6.9.2 Samples Retained

Normally this will be two samples from each of the classification divisions and two samples of failures. A photographic record of artefacts may be kept where appropriate.

C6.9.3 Secure Storage

The Faculty must establish arrangements for the secure storage of these samples.

Academic Principles and Regulations

Section C7: Administration and Conduct of Examinations

August 2015

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SECTION C7: ADMINISTRATION AND CONDUCT OF EXAMINATIONS

REGULATIONS

C7.1 Application

C7.1.1 An Award of the University

The following Regulations apply to all written examinations which are part of the assessment contributing to an award of the University.

C7.1.2 External or Professional Bodies

Relevant sections of the Regulations apply to examinations set by any external or professional body, together with any additional requirements as may be specified by that body.

C7.1.3 Invigilation

The Guidance issued by the Secretary and Registrar's Office for the conduct of invigilation provides for:

- the timing of the appointment of invigilators
- the designation and duties of invigilators
- all aspects of the conduct of invigilation.

C7.2 Definition

For the purposes of these Regulations, an examination is defined as follows.

C7.2.1 A Formal Invigilated Examination

- a formal, timed written question paper
- normally answered in writing
- answered individually by each candidate
- on a specific day
- at a specified time and place.

C7.2.2 A Formal Invigilated Practical Assessment

- a timed practical assessment
- undertaken individually by each candidate, or in a group of candidates
- on a specific day
- at a specified time and place.

C7.3 Student Information: General

C7.3.1 Student Information: General

The Scheme/Course Leader (or equivalent) is responsible for informing students in writing of the nature and form of the examination(s).

This will normally be done through the Scheme or Course handbook or individual module specification given to students.

C7.4 Security and Confidentiality

C7.4.1 Security and Confidentiality

At each stage of:

- the setting, approving and/or moderation of examination papers
- the preparation and reproduction of examination papers
- the marking, moderating, re-marking or assessing of examination scripts
- the person(s) involved are responsible for security and confidentiality.

This applies to University full- and part-time staff, and to external examiners.

C7.5 Preparation and Approval of University Examination Papers

C7.5.1 Dean (or Associate Dean)

The Dean (or Associate Dean) is responsible for:

- secure arrangements for the drafting and typing of examination papers
- internal scrutiny of draft papers
- consultation with appropriate external examiners
- the subsequent amendment and reproduction of finalised examination papers.

C7.5.2 Format of Examination Papers

All examination papers must follow the University format and rubric.

C7.5.3 Internal Moderation

(A) Internal Team

Draft examination papers must be moderated by an internal group.

(B) Nature of Moderation

Internal moderation will be as appropriate for the examination in question.

(C) Security

Copies of draft examination papers must not be retained by members of the moderation group.

C7.5.4 External Examiner(s) Approval

(A) Submission to the External Examiner(s)

Where the examination paper(s) contribute to the assessment of the final award, above the level of Certificate of Higher Education, the draft papers must be submitted to the external examiner(s) for approval.

(B) Timing

Draft papers must be sent to the external examiner(s) to allow reasonable time for the detailed consideration of the drafts and discussion with internal staff if appropriate.

C7.6 Written Examination Papers from External Bodies

C7.6.1 Despatch to the University

Written examination papers originating from external or professional bodies and relating to examinations of these bodies are sent directly to the relevant Faculty.

C7.6.2 Security

The Faculty is responsible for the secure storage of these papers and for secure copying if this is necessary.

C7.7 Examination Timetables

C7.7.1 Responsibility for Timetables

Each Faculty is responsible for the preparation of a provisional timetable for all formal examinations.

C7.7.2 Religious Festivals

The provisional timetable should take account of religious festivals and practices and reasonable adjustments will be made where possible.

C7.7.3 Shared Modules

Normally where a module is shared by Schemes and/or Courses, any identical examination must be taken simultaneously.

C7.7.4 Accommodation

Allocation of suitable accommodation is the responsibility of each Faculty, assisted by the Head of Student Information, Awards and Examinations.

C7.7.5 Information to Students: Examinations

(A) Final Timetable

Students should be given:

- at least 6 weeks prior notice of the final examination timetable
- notification of the period of time in which they should raise any difficulties with this timetable [see Section C7. 7.6].

(B) Form of Notification

- Students should be informed in writing of the final examination timetable
- This may be by notices prominently displayed and/or via the student web portal

(C) Designated Person

The name of the person a student should inform in case of difficulty should be included in the information.

(D) Dictionaries

Students should be made aware of the provisions in respect of foreign language dictionaries and reminded that it is their responsibility to request a dictionary in accordance with the specified timescales.

C7.7.6 Difficulties with the Timetable

“Difficulties” includes matters such as a timetable clash for examinations or requirements of religious festivals and practices.

The scheduling of examinations within the University’s prescribed scheduling parameters *will not normally* be valid grounds for a review of the timetable. [See Sections C8. 5.3 and C8. 5.4].

C7.8 Invigilation

C7.8.1 Conduct of Invigilation

The Guidance issued by the Secretary and Registrar’s Office for the conduct of invigilation of examinations specifies:

- the timing of the appointment of invigilators
- the designation and duties of invigilators
- all aspects of the conduct of invigilation.

C7.8.2 Appointment of Invigilators

Each Faculty is responsible for the appointment of invigilators for all examinations. Invigilation teams must be appointed within the timescales prescribed in the Guidance issued by the Secretary and Registrar’s Office for the conduct of invigilation of examinations.

C7.9 Examination Organisation

C7.9.1 Responsibility

Faculty staff, together with the Head of Student Information, Awards and Examinations are responsible for the individual arrangements relating to each examination on the day of the examination.

C7.10 Marking, Moderation and External Scrutiny

C7.10.1 Security during Marking and Moderation

During the marking and internal moderation process, internal examiners are responsible for the strict security of examination scripts/submissions, whether on University premises or elsewhere.

C7.10.2 Despatch of Scripts/Submissions to External Examiner(s)

(A) Scripts/Submissions to External Examiner(s)

Where required, after the internal marking and moderation process, the scripts/submissions, or an agreed sample, should be sent to the external examiner(s).

(B) Timescale

External examiner(s) must be given reasonable time to consider the scripts/submissions prior to the meeting of the relevant Board of Examiners or Examination Committee.

C7.11 Retention

C7.11.1 Period of Retention

Examination scripts, including examination submissions in other media, shall be retained by the Faculty for one year after the date of the meeting of the Board of Examiners or Examination Committee at which the student outcomes were considered.

C7.11.2 Secure Storage

The Faculty must establish secure arrangements for the storage of these.

Academic Principles and Regulations

Section C8: Written Examinations: Regulations for Candidates

August 2015

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SECTION C8: WRITTEN EXAMINATIONS: REGULATIONS FOR CANDIDATES

REGULATIONS

C8.1 Application

C8.1.1 Application

These regulations apply to all formal written examinations within the University.

C8.2 Information to Students: General

C8.2.1 Information to Students: General

Faculties are responsible for bringing these Regulations to the attention of all candidates prior to their first examination.

C8.3 Registration for Assessment

C8.3.1 Registration

To be considered to be registered for any assessment, a student must have completed the requirements of the University in respect of registration.

C8.3.2 Fees

To be considered to be registered for any assessment, a student must have fully complied with the University's requirements on the payment of fees.

C8.3.3 Student Identification

Candidates presenting themselves for written examinations will:

- have their student ID cards checked by, or on behalf of, the Senior Invigilator within 30 minutes of the commencement of an examination (ID cards should have a full face photograph. If this is not the case some other form of visual identification should be provided, such as a passport);
- the names of students who do not have their student card with them will be recorded on the Invigilator's Report form.

C8.4 Breach of Regulations

C8.4.1 Breach of the Regulations

Students are warned that any breach of the assessment and/or examination regulations could result in severe penalties.

The possible penalties are those specified in Section C9: Cheating, Plagiarism and Other Forms of Unfair Practice.

C8.4.2 Examples of Potential Breaches of these Regulations

Actions which may be considered to be breaches of the assessment and/or examination regulations are to be found in the Appendix at the end of this section of the Regulations.

C8.5 In Advance of the Examination Period

C8.5.1 Information to Students

Before the examination period the following information will be given to students.

(A) Final Timetable

The final examination timetable will be published at least 6 weeks before the date of the first examination.

(B) Form of Notification

This will normally be by a notice prominently displayed and via the student web portal.

(C) Person to Contact in case of Difficulties

The notification of the final timetable will include the name of the designated person who should be contacted in the case of difficulties.

(D) Timescale for Notification of Difficulties

The notification of the final timetable will include the timescale within which the student should contact the designated person above in case of difficulties.

C8.5.2 Responsibilities of Students

(A) Checking the Timetable

It is the responsibility of students to check the timetable.

(B) Difficulty

In cases of difficulty a student should make representations to the designated person [see Section C8. 5.1].

(C) Timescale for notification of difficulty

This should be done within the timescale as specified in the published information [see Section C8. 5.1].

C8.5.3 Scheduling of Examinations

The University may schedule examinations so that:

- a candidate may be required to sit more than one examination on any day
- A candidate would not normally be expected to sit more than two examinations on any day
- examinations may be scheduled between 9am and 9pm Monday to Sunday
- examinations may be scheduled outside the normal working week
- examinations may be located in other premises than those of the University.

C8.5.4 Grounds for Review of the Timetable

Scheduling of examinations as specified above will *not normally* be valid grounds for review of the examination timetable.

C8.5.5 Dictionaries

Candidates

- whose first language is not English
- who wish to have a foreign language/English language dictionary available at the examination should consult with the appropriate faculty administration team at the start of the academic year with a view to this facility being made available.

C8.6 Conduct Immediately Prior to the Commencement of the Examination

C8.6.1 Assembly

Candidates shall assemble outside the examination room in good time before the published commencement time of the examination.

C8.6.2 Entry to the Examination Room

- Candidates may not enter the examination room until instructed to do so by the Senior Invigilator.
- This will normally be around 15 minutes before the published commencement time of the examination.

C8.6.3 Requirements on Entry to the Examination Room

Candidates shall follow the invigilator's instructions which are outlined in the Guidance issued by the Secretary and Registrar's Office.

C8.6.4 Other Instructions

Candidates should follow any other instructions pertaining to the examination as given by the Senior Invigilator.

C8.7 Electronic and Other Personal Equipment

C8.7.1 Permitted Equipment

Electronic and other personal equipment which is permitted to be used during an examination will be specified in the examination rubric.

C8.7.2 Information to Students

Candidates will be given advance notice of the specifications of such equipment.

C8.7.3 Cheating and Unfair Advantage

Candidates may not use or access equipment exceeding such specifications, including mobile phones. Any attempt to do so may be construed as an attempt to cheat or gain an unfair advantage.

C8.8 Conduct during the Examination

C8.8.1 Individual Conclusion of Examination

No candidate shall be allowed to terminate his or her examination during:

- the first 30 minutes after commencement time
- the final 30 minutes of examination time.

C8.8.2 Late Candidates

(A) Time of Arrival

A late candidate may be admitted up to 30 minutes after the commencement time of the examination, but not thereafter.

(B) Checking of Student Card

The following provisions apply:

- a late candidate shall be required to present his/her student card to verify his or her identity;
- a late candidate who does not have his or her student card with them will have their name recorded on the Invigilator's Report form.

(C) Finish Time

A candidate admitted after commencement time shall conclude his or her examination at the same time as the other candidates for the examination.

C8.8.3 Clarification

Candidates should read the examination rubric carefully.

Candidates who wish to have the "instructions to candidates" or typographical points clarified with the Senior Invigilator shall be able to do so:

- within the first 10 minutes of the examination
or
- during any reading time allowed.

Candidates seeking clarification outside this time may be able to do so, but should be aware that the clarification may take some time to resolve.

C8.8.4 Reading Time

In examinations in which "reading time" is allowed, throughout the specified reading time candidates:

- shall observe examination regulations
- may make rough notes on the stationery
- may annotate or highlight the examination paper.

Candidates may not commence writing their answers during this period.

After the period of reading time has expired, the invigilator will announce the start of the examination, at which time candidates may commence writing their answers.

C8.8.5 Stationery

- Candidates must use only the approved examination stationery supplied by the University.
- All “rough work” must be done on the paper provided.
- All “rough work” must be attached to, and handed in with, the candidate’s script.

C8.8.6 Communication with an Invigilator

A candidate who wishes to attract the attention of an invigilator shall do so by raising a hand.

C8.8.7 Dictionaries

A candidate may request the use of the dictionaries provided by attracting the attention of the invigilator.

C8.8.8 Leaving the Examination Room during the Examination

A candidate who is unwell or who needs to leave the examination room for any reason deemed adequate by the Senior Invigilator may do so under the supervision of an invigilator and return whilst the examination is in progress.

C8.8.9 Unaccompanied Departure

A candidate who leaves the examination room unaccompanied by an invigilator shall not be allowed to re-enter the examination room.

C8.8.10 Communication with Other Candidates

Candidates shall not communicate with other candidates by word of mouth, sign, writing or other means.

C8.8.11 Reading Other Candidates’ Work

Candidates shall not attempt to read the work of other candidates.

C8.8.12 Suitable Conduct

Candidates shall conduct themselves in a manner that will not cause disturbance to other candidates in the examination room.

C8.8.13 Mobile Phones: Disturbance

It is the responsibility of the candidate to ensure that any mobile phone is switched off and cannot cause disturbance in the examination room.

If the mobile phone of any candidate sounds in the examination room, the Senior Invigilator will make a report to the Chair of the Board of Examiners or Examination Committee:

- detailing the incident
and
- identifying the student whose phone caused the disturbance.

C8.8.14 Other Instructions

A candidate must comply with instructions given to them individually, or to all candidates, by the invigilator.

C8.9 Conduct on the Conclusion of the Examination

C8.9.1 Cease Writing

Candidates shall cease writing their answers when instructed to do so.

C8.9.2 Seating and Silence

Candidates shall remain silent and seated until instructed to leave the examination room.

C8.9.3 Examination Scripts

Candidates shall ensure that their scripts, any continuation sheets and rough work sheets are attached together ready for collection by the invigilator.

C8.9.4 Unused Stationery

Candidates shall put unused stationery and any other items provided by the University ready for collection.

C8.9.5 Removal of University Items from the Examination Room

Candidates shall not remove any item supplied by the University other than the question paper.

C8.9.6 Leaving the Room

When authorised to do so, candidates shall collect all their items from their desks, including sweet wrappings and other similar rubbish, and their other belongings and leave the examination room.

C8.10 Absence from Written Examinations

C8.10.1 Documentary Evidence

The Board of Examiners or Examination Committee requires documentary evidence of all cases of absence from examinations.

C8.10.2 Illness

A candidate whose illness prevents them from attending an examination is required to provide a medical note/certificate to this effect and forward the medical note/certificate without delay to the relevant person as outlined in the course handbook.

C8.10.3 Other Reasons

Candidates are expected to plan to arrive at the examination venue in good time. However, in the event of a failure of the transport service due to industrial action or severe weather conditions, candidates are required to:

- obtain an official note from the transport company to confirm the reason for the absence
- inform the Scheme/Course Leader (or equivalent) as soon as possible
- hand in or post the official note without delay.

C8.10.4 Extenuating Circumstances

In the event of absence from examinations through illness or for other reasons, besides providing information as required above, candidates should also submit a request for extenuating circumstances to be taken into consideration by a Board of Examiners or Examination Committee in accordance with Section C15: Extenuating Circumstances and Mitigation.

C8.11 Breaches of Assessment Regulations

C8.11.1 Action Where an Offence is Suspected

Where an offence is suspected in an examination the Senior Invigilator shall:

- annotate the candidate's script(s)
- remove the object(s) which has become the centre of suspicion.

C8.11.2 Continuation with the Examination

The candidate shall be allowed to continue the examination.

C8.11.3 Notification to Candidate

At the end of the examination the student will be informed that an investigation will be conducted.

C8.11.4 Investigation

In the event of an alleged breach of the assessment regulations, the matter will be investigated and considered in accordance with the University Regulations.

APPENDIX: ACTIONS WHICH MAY BE CONSIDERED TO BREACH THE UNIVERSITY ASSESSMENT OR EXAMINATION REGULATIONS

1 CHEATING

Section C9: Cheating, Plagiarism and Other Forms of Unfair Practice of the University's Assessment Regulations defines cheating as:

Cheating

Cheating is unfair behaviour in an examination. It *includes*:

- communicating with any other candidate during an examination
- copying from any other candidate during an examination
- communicating with any person other than an authorised invigilator or another member of staff during an examination
- making use of any written or printed materials in the examination room unless expressly permitted by the regulations
- making use of any electronically stored information in the examination room unless expressly permitted by the regulations
- gaining access to any unauthorised material relating to an examination during or before the examination
- obtaining a copy of a written examination paper in advance of the time and date for its authorised release.

This list is not exhaustive.

2 UNFAIR PRACTICE

Section C9: Cheating, Plagiarism and Other Forms of Unfair Practice of the University's Assessment Regulations defines unfair practice as:

Unfair Practice

Forms of unfair practice include:

- collusion, involving collaboration with another student in the completion of work which is submitted as that other student's unaided work
- offering a bribe or inducement to any member of staff of the University, or any external invigilator or examiner, who is connected with the student's assessments
- falsifying data in reports, projects, etc.
- the assumption by one person of the identity of another person with the intent to deceive or gain unfair advantage
- submitting copies of another person's work electronically.

Academic Principles and Regulations

Section C9: Academic Integrity

August 2015

Approved June 2002;
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SECTION C9: ACADEMIC INTEGRITY REGULATIONS

C9.1 INTRODUCTION

The University operates an Academic Integrity Board to consider admitted or found cases of unfair practice across the institution for all taught awards. The Research Degrees Sub-committee considers all admitted or found cases of unfair practice for research awards. Prior to consideration of admitted or found cases, investigation takes place at Faculty or Partner level through Investigatory Interview and Assessment Enquiry Panel, as appropriate.

Provisions of these regulations (C9) apply to Boards of Examiners for taught awards including those delivered in collaboration or partnership and the Research Degrees sub-committee for research awards.

C9.1.1 Assessment

For the purpose of these Regulations, assessment includes the following forms of assessment:

- Coursework
- Examinations
- Other Forms of Assessment (e.g. thesis, presentation).

C9.1.2 Coursework

Coursework is individual or group work presented for marking, the results of which contribute to a student's formal assessment for progression or for an award.

Such coursework **may** include:

- written or other documented material e.g. essays, reports, projects
- dissertations, theses
- visual, three dimensional, audio and audio-visual material
- practical or task-orientated activities and their outcomes
- mixed-mode presentations
- material stored electronically
- such other individual or group learning as is appropriate for the Scheme, Course or an individual programme of study.

C9.1.3 Examinations

An examination is a formal, timed, written question paper answered individually by each candidate, normally in writing, on a specific day at a specified time and place.

Such an assessment may be:

- a written examination
- an end of unit assessment
- a phase test
- such other form of assessment as is applicable to the Scheme, Course or individual programme of study.

C9.1.4 Other Forms of Assessment

Other forms of assessment are such other means of assessment as may be incorporated in a course, module or research award.

C9.2 DEFINITIONS

Any attempt to gain an unfair advantage, **whether intentional or unintentional**, is a matter of academic judgement and may be considered an offence under these regulations.

Examples of unfair practice are provided below:

C9.2.1 Cheating

Cheating is unfair behaviour relating to an examination. It includes:

- a) Actions within the examination room
 - communicating with any other candidate during an examination
 - copying from any other candidate during an examination
 - communicating with any other person other than an authorised invigilator or another member of staff during an examination
 - possession of any written or printed materials in the examination room unless expressly permitted by the examination regulations
 - possession of any electronically stored information in the examination room unless expressly permitted by the examination regulations
 - use of a mobile phone or other electronic device during an examination, unless expressly permitted by the examination regulations
- b) Actions outside of the examination room
 - gaining access to any unauthorised material relating to the examination during or before the examination
 - obtaining a copy of a written examination paper in advance of the time and date for its authorised release.

C9.2.2 Plagiarism

Plagiarism is the substantial, unacknowledged, incorporation in a student's work of material derived from the work (published or unpublished) of another. "Work" includes, but is not limited to, materials in all formats and sources including print, electronic, online, audio visual etc.

Examples of plagiarism include:

- the inclusion in a student's work of substantial extracts from another person's work without the use of quotation marks
- the substantial summarising of another person's work without acknowledgement
- the substantial and unauthorised use of the ideas of another person without acknowledgement

C9.2.3 Self-Plagiarism

Self-plagiarism occurs when a student submits work which has been submitted elsewhere. This may be part of a piece of work or the entire piece of work. It may have been submitted to this University or another institution and may or may not have been awarded credit.

C9.2.4 Collusion

Collusion occurs when a student collaborates with another student in the completion of work which is then submitted as unaided work by either student.

C9.2.5 Other Forms of Unfair Practice

Other forms of Unfair Practice include, but are not limited to:

- offering a bribe or inducement to any member of staff of the University, or any external invigilator or examiner, who is connected with the student's assessments
- falsifying data in any piece of work

- the assumption by one person of the identity of another person with the intent to deceive or gain unfair advantage
- submitting copies of another person's work stored on an electronic device
- ghostwriting, i.e. soliciting a third party to do some or all of a piece of work (paid or unpaid)
- non-compliance with university research ethics procedures
- failure to gain ethical approval for the submitted piece of work, as appropriate.

C9.3 GENERAL PROVISIONS

C9.3.1 Authority to Determine Penalty

The Academic Integrity Board is the only body which has the right to determine penalty in respect of found or admitted instances of unfair practice for taught awards. The Research Degrees Sub-committee is the only body which has the right to determine penalty in respect of found or admitted instances of unfair practice for research awards. Any penalty shall be in accordance with those specified in Section C9.7 of these regulations.

C9.3.2 Determination of whether an offence has occurred

The determination of whether an offence has occurred is not a matter for the Academic Integrity Board or Research Degrees Sub-committee. Such determination is made through an Investigatory Interview, or by an Assessment Enquiry Panel.

C9.3.3 Right of Appeal

A student has the right to appeal a decision of the Board of Examiners, Examination Committee or Research Degrees Sub-committee, where the application of decision is manifest. Grounds on which the appeal is made must be included in the notification of appeal. A simple request for a re-hearing does not constitute valid grounds for appeal. See section C16 of these regulations.

C9.3.4 Standard of Proof

The standard of proof required by an Assessment Enquiry Panel is that of "the balance of probabilities".

C9.3.5 Reports to the Academic Integrity Board or Research Degrees Sub-committee

A report will be made to the Chair of the Academic Integrity Board or Chair of the Research Degrees Sub-committee for the purpose of determining penalty where an allegation has been **admitted** or **found**. This report is the basis upon which the Academic Integrity Board or Research Degrees Sub-committee can be satisfied that, on the balance of probabilities, an offence has taken place, and can proceed to consider subsequent action.

C9.3.6 Remit of the Academic Integrity Board and Research Degrees Sub-committee

The role of the Academic Integrity Board and Research Degrees Sub-committee is to consider the individual case or cases, and to exercise its discretion and authority accordingly, and in accordance with these regulations.

C9.3.7 Consideration of Individual Cases

Each case will be considered on its own merits, and on the basis of:

- the gravity of the case
- the circumstances of the case
- the level at which the offence took place
- whether the offence was a repeat offence

C9.3.8 Record of Offences

A record of all admitted or found offences will remain on the student's file for the duration of their study in the University.

C9.3.9 Other University Procedures

From the time when action is taken by a member of staff that an investigation is taking place into a possible offence under these regulations, the student may not invoke the Student Complaints Procedure on any matter directly related to these investigations or proceedings. Complaints may only be raised on the conclusion of the procedures established for the consideration of allegations of unfair practice i.e. Investigatory Interview and Assessment Enquiry Panel as relevant.

C9.4 SUSPECTED CASES

C9.4.1 Making an allegation

An allegation of suspected unfair practice may be presented by a member of staff of our university or of a collaborative partner.

Taught awards may be investigated following submission of assessment or examination.

Research awards may be investigated prior to or following submission for examination.

Investigation of a suspected offence may consider previously awarded modules, if there is cause to do so.

C9.4.2 Right to Accompaniment or Representation

At any stage of these procedures a student will have the right to:

- be accompanied by a friend (provided that the friend is not a professionally contracted advocate);
- be accompanied or represented by a Student Union representative. (This right of accompaniment and representation is a general right and is not the right to accompaniment and/or representation by a specific individual.)

C9.4.3 Stage 1 – Investigatory Interview

C9.4.3.1 Written Information to the Student

A student will be given the following information in writing, at least 5 working days in advance of a request to attend an Investigatory Interview:

- the reason for their attendance being required
- a copy of any relevant report or other evidence
- the right to seek advice from the Students' Union
- the right to accompaniment/ representation (as above).

C9.4.3.2 Purpose of the Investigatory Interview

The purpose of the investigatory interview is to establish whether unfair practice has occurred.

C9.4.3.3 Investigatory Interview Membership

The membership of the investigatory interview will consist of:

- Chair (Faculty/Partner Academic Integrity Co-ordinator)
- Internal Examiner (the person identifying the alleged offence)
- Director of Studies (Research only)

The student and their friend and/or representative will also be in attendance. (see C9.4.2 above)

C9.4.3.4 Responsibilities of Student(s)

It is the student(s) responsibility to:

- co-operate with the regulations concerning the alleged offence
- seek independent advice, if required (see C9.4.2)
- attend the Investigatory Interview
- demonstrate that the work is their own or that the alleged offence has not occurred

C9.4.3.5 Outcomes of the Investigatory Interview

The possible outcomes of the investigatory interview are:

- an offence has been admitted
- no offence has occurred
- the matter is unresolved and is referred to an Assessment Enquiry Panel

C9.4.3.6 Action following Investigatory Interview

Upon conclusion of an investigatory interview the following action may be taken:

- a) An offence has been admitted:
The offence will be reported to the Academic Integrity Board or Research Degrees Sub-committee to determine penalty.
- b) No offence has occurred:
In the event of a finding that no offence has occurred the following apply:
 - the matter shall be considered to be concluded
 - no report of it shall be made to the Academic Integrity Board or Research Degrees Sub-committee
 - no report of it shall be made within the University
 - the student will be considered in the usual way and the matter will not be raised in the proceedings of the Board of Examiners or Examination Committee.
 - any member of the Board or Committee who has been party to the allegation or the investigation shall totally disregard the original allegations.
- c) The matter is unresolved and referred to an Assessment Enquiry Panel
In the event of non-attendance (in person, by telephone or internet) without good cause, of a student, at an Investigatory Interview the Chair will confirm the matter to be non-resolved and referred to an Assessment Enquiry Panel.

C9.4.4 Stage 2 – Assessment Enquiry Panel

C9.4.4.1 Written Information to the Student

A student will be given the following information in writing, at least 5 working days in advance of a request to attend an Assessment Enquiry Panel:

- the reason for their attendance being required
- a copy of any relevant evidence
- the right to seek advice from Student Services and/or the Students' Union
- the right to accompaniment/ representation (as above)
- the right to present witnesses, if applicable

C9.4.4.2 Purpose of the Assessment Enquiry Panel

The purpose of the Assessment Enquiry Panel is to establish whether unfair practice has occurred.

C9.4.4.3 Assessment Enquiry Panel Membership

The membership of the investigatory interview will consist of:

- Chair (Senior Faculty Academic Nominated by the Dean)
- Member of Academic Staff who has not taught the student in relation to the assessment(s) under investigation or been a member of the Research Supervisory Team (nominated by the students' Head of School)
- Member of Academic Staff from another School within the Faculty

In attendance:

- Internal Examiner (the person identifying the alleged offence)
- Secretary
- Student
- Student's friend and/or representative, if applicable
- Witnesses, if applicable

C9.4.4.4 Responsibilities of Student(s)

It is the student(s) responsibility to:

- Co-operate with the regulations concerning the alleged offence
- Seek independent advice, if required (see C9.4.2)
- Attend the Assessment Enquiry Panel
- Provide details of any witnesses who will be in attendance, at least 2 days in advance of the Assessment Enquiry panel
- Demonstrate that the work is their own or that the alleged offence has not occurred

C9.4.4.5 Outcomes of the Assessment Enquiry Panel

The possible outcomes of the Assessment Enquiry Panel are:

- an offence has been admitted
- an offence has been found
- no offence has occurred

C9.4.4.6 Action following Assessment Enquiry Panel

Upon conclusion of an Assessment Enquiry Panel the following action may be taken:

- a) An offence has been admitted:
The offence will be reported to the Academic Integrity Board or Research Degrees Subcommittee to determine penalty.
- b) An offence has been found:
The offence will be reported to the Academic Integrity Board or Research Degrees Subcommittee to determine penalty.
- c) No offence has occurred:
In the event of a finding that no offence has occurred the following apply:
 - the matter shall be considered to be concluded

- no report of it shall be made to the Academic Integrity Board or Research Degrees Sub-committee
- no report of it shall be made within the University
- The student will be considered in the usual way and the matter will not be raised in the proceedings of the Board of Examiners or Examination Committee.
- Any member of the Board or Committee who has been party to the allegation or the investigation shall totally disregard the original allegations.

C9.4.4.7 Non-Attendance of Student at Assessment Enquiry Panel

In the event of non-attendance (in person, by telephone or internet) without good cause, of a student, at an Assessment Enquiry Panel, the Panel in question is authorised to proceed in his, her or their absence.

C9.5 Action by the Academic Integrity Board or Research Degrees Sub-Committee

C9.5.1 Receipt of Offences

The Academic Integrity Board for all taught awards or Research Degrees Sub-committee for all research awards, will receive reports of all admitted or found cases for the determination of penalty.

C9.5.2 Extenuating Circumstances

If a student admits the offence at any stage of these proceedings i.e. Investigatory Interview or Assessment Enquiry Panel, or an offence is found by an Assessment Enquiry Panel; the student should be advised of the following in respect of any extenuating circumstances which he or she may wish to adduce in explanation of his or her action.

- a) Submission of Extenuating Circumstances
The need separately to submit these in writing to the relevant Faculty for consideration by the Academic Integrity Board or Research Degrees Sub-committee.
- b) Evidence
The need to submit independent documentary evidence, alongside requests for mitigation.
- c) Upholding the Outcome
That such submission does not negate the process whereby the offence was admitted, and is not an appeal - the submission simply provides an opportunity to draw attention to any extenuating circumstances relevant to the admission or finding. The admission or finding will not itself be overturned by the Academic Integrity Board or Research Degrees Sub-committee.
- d) Consideration of Extenuating Circumstances
Any extenuating circumstances submitted will be considered by the Academic Integrity Board or Research Degrees Sub-committee only in regard of penalties to be determined in respect of the admitted offence.

C9.5.3 Mitigation Outcomes

Where the Academic Integrity Board accepts the extenuating circumstances, these will be taken into consideration when determining penalty.

C9.5.4 Determination of Penalty

Where an offence has been admitted or found a mark of zero will be attributed to the assessment for taught awards and the Academic Integrity Board will determine the penalty.

Any eligibility for re-assessment will be confirmed by the relevant Board of Examiners/ Examination Committee and be available at the next scheduled re-assessment period.

For research awards no mark will be attributed and the Research Degrees Sub-committee will determine the penalty using the schedule of decisions. (see C9.7.4)

C9.5.5 Right to request an appeal hearing – Fail Withdraw

All students have the right to request an appeal hearing to reconsider a decision of Fail Withdraw by the Academic Integrity Board or Research Degrees Sub-committee, where the University has agreed that there are valid grounds for the appeal (see section C16).

C9.5.6 Range of Decisions

The Academic Integrity Board or Research Degrees Sub-committee may take one of the decisions set out in the Schedule at C9.7. Penalties in respect of marks will be accompanied by the relevant letter of advice, warning, final warning or withdrawal

C9.5.7 Academic Integrity

The University wishes to promote good academic practice and the Academic Integrity Board or Research Degrees Sub-committee will provide details of the requirement for students to complete learning on positive academic practice following an offence.

C9.5.8 Maximum penalty

The Academic Integrity Board will be limited in its discretion to a maximum penalty of the student failing the level and being required to withdraw.

C9.5.9 Entitlement to Lower Award

In the event of a student being required to withdraw the student will be entitled to any lower award for which he or she is eligible subject to confirmation by the relevant Board of Examiners or Examination Committee.

C9.6 Documentation

C9.6.1 Finding that No Offence has Occurred

In the event of a finding that no offence has occurred at any stage of these processes (i.e. Investigatory Interview and Assessment Enquiry Panel), the documentation associated with the allegation shall be shredded immediately after the decision is reached.

The responsibility for this rests with the Faculty.

C9.6.2 Offence Admitted or Found

Where an offence has been admitted, or has been found, at any stage of the proceedings, all documentation associated with the case shall be securely retained for the duration of the students' study in the University.

The responsibility for the secure retention of this material rests with the Faculty.

C9.7 Schedule of Penalties

C9.7.1 Schedule of Penalties for Taught Awards and Key to Taught Awards Tariff

The Academic Integrity Board may determine to do any one of the following:

- A. Determine that the student may be awarded the full range of marks for the re-assessed work. A letter of advice will be sent to the student and they will be strongly

recommended to take and pass a non-credit bearing module on academic integrity. This is an exceptional outcome normally reserved for cases with mitigation at level 4.

- B. Determine that the mark for re-assessed work will be capped to the minimum pass mark.

A letter of warning will be sent to the student they will be strongly recommended to take and pass a non-credit bearing module on academic integrity.

- C. Determine that the re-assessed work will be capped to the minimum threshold pass mark.

A letter of final warning will be sent to the student, emphasising that any repeat offence may result in a more serious sanction, they will be strongly recommended to take and pass a non-credit bearing module on academic integrity.

- D. Determine that the student has failed the level and is required to withdraw from the programme of study.

The Board of Examiners will advise the student of their entitlement to a contained award or credit achieved, if applicable.

C9.7.2 Tariff of Decisions Available to the Academic Integrity Board

Level	Offence Occurrence			
	1	2	3	4
Level 4	B	B	C	D
Level 5	B	C	D	N/A
Level 6	B	C	D	N/A
Level 7	B	C	D	N/A

C9.7.3 Considerations upon awarding penalty

- Students may submit extenuating circumstances pertaining to their admitted or found case for consideration by the Academic Integrity Board.
- The circumstances and the gravity of the offence may result in a different penalty being applied to that shown in the tariff.
- Re-assessment is subject to the limitations of regulation C3.5.4 which states that the opportunity for re-assessment will be given once only. The Board of Examiners or Examination Committee will apply this regulation upon receipt of the Academic Integrity Board decision.
- Where courses are subject to Professional, Statutory or Regulatory Body regulations the Board of Examiners or Examination Committee will apply the penalty within the context of the PSRB regulatory requirements.

C9.7.4 Schedule of Decisions Available to the Research Degrees Sub-committee Research Awards

The Research Degrees Sub-committee may determine to do one of the following depending on the circumstances and gravity of the offence.

Awards and Level	Available Penalties	
MRes – Level 7	Resubmit	Withdraw from the programme of study
MPhil – Level 7	Resubmit	Withdraw from the programme of study
PhD / Professional Doctorate / European PhD / PhD by Existing Published Work – Level 8	Resubmit	Withdraw from the programme of study

C9.7.5 Considerations upon awarding penalty

- Students may submit extenuating circumstances pertaining to their proven case for consideration by the Research Degrees Sub-Committee.
- The circumstances and the gravity of the offence may result in a different penalty being applied to that shown in the tariff.

Academic Principles and Regulations

Section C10: Disabled Students

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SECTION C10: DISABLED STUDENTS

REGULATIONS

C10.1 Application

C10.1.1 Assessment

“Assessment” shall be taken to mean any form of assessment as defined in Section C6: Conduct of Assessment, and shall include formal examinations.

C10.1.2 Disabled Student

A “disabled student” is any student who has a diagnosed disability or impairment as defined by the Equality Act 2010.

The Equality Act defines a person as having a disability where:

- they have a physical or mental impairment
- the impairment has a substantial and long-term adverse effect on their ability to perform normal day to day activities.

C10.1.3 Declaration of Disability

All students requesting alternative arrangements for assessment must declare and provide evidence of their disability to the University via Disability Advice. This may include students who:

- have a diagnosed disability at the point of application
- are diagnosed with a disability following commencement of their studies
- become aware of an existing disability after their programme has started

C10.2 Reasonable Adjustment for Exams and Assessment or Alternative Methods of Assessment

Reasonable adjustment for examinations and assessment or alternative methods of assessment enable disabled students to participate fully in their course and assessment ensuring they are not disadvantaged as a result of their disability or impairment.

Reasonable adjustment for examinations and assessment or alternative methods of assessment are agreed following the receipt of appropriate evidence and discussion between a Disability Adviser, student and, where necessary, an academic representative from the course team.

C10.2.1 Entitlement

Consideration should be given to requests for reasonable adjustments, and/or, alternative methods of assessment, where a disabled student would be otherwise disadvantaged.

Requests for reasonable adjustment for examinations and assessment or alternative methods of assessment may only be considered if the learning outcomes and core competency standards of the course are not compromised.

This will require negotiation between Disability Advice, the student and, where necessary, an academic representative from the course team.

C10.2.2 Timing of the Request

Requests for reasonable adjustment for examinations and assessment or alternative methods of assessment should, where possible, be made prior to admission, but may be made at any time during the student’s course of study, if practicable and considered reasonable by the University.

C10.2.3 Academic Rigour

Reasonable adjustment for examinations and assessment or alternative methods of assessment must be:

- consistent with academic rigour,

- consistent with core competency standards and professional requirements of the course enable the course team to accurately measure learning outcomes

C10.3 Responsibilities of Disabled Students

C10.3.1 Declaration

It is the responsibility of the student to declare their disability to the University's Disability Advice service.

C10.3.2 Timescales

Requests for reasonable adjustments and/or alternative methods of assessment must be made within timescales specified by the University.

C10.3.3 Evidence

It is the responsibility of the student to provide appropriate evidence of their disability.

C10.4 Responsibilities of Disability Advice

C10.4.1 Post Declaration

Following declaration by the student, Disability Advice will undertake an assessment of the student's support requirements.

C10.4.2 Evidence

Reasonable adjustments and/or alternative methods of assessment can only be agreed if there is: evidence of a disability, e.g in the form of a letter from a medical professional or educational psychologist's report.

C10.4.3 Recommendations for reasonable adjustments and/or alternative methods of assessment

Disability Advice will provide the Faculty with:

- a written recommendation for reasonable adjustments to examinations or assessment
- the timescale to which the reasonable adjustments should be applied.

C10.5 Responsibility of Dean (or Associate Dean)

C10.5.1 Delegation of Implementation

If a Dean (or Associate Dean) delegates responsibility for the implementation of:

- alternative methods of assessment
- and

- appropriate arrangements for assessment

this shall be to a designated member of staff within the Faculty

C10.5.2 Meeting the Request

The Dean (or Associate Dean) is responsible for determining the extent to which the request can and should be met.

Requests for alternative assessment methods or arrangements shall not be unreasonably refused. Where recommendations cannot be implemented this must be discussed with Disability Advice.

C10.5.3 Informing the Student

The Dean (or Associate Dean) should inform the student (as appropriate) of:

- whether the request will be met
- any modes of assessment which are unreasonable on academic or professional grounds

C10.5.4 Arrangements for Alternative Assessment

The Dean (or Associate Dean) is responsible for ensuring that the agreed:

- method of assessment
- and

- arrangements for assessment are fully implemented.

C10.5.5 Other Methods of Assessment

The Dean (or Associate Dean) is responsible for ensuring that any prescribed assessment other than written or practical assignments and examinations e.g. group work, presentations, field trips or placements:

- are discussed with disabled students at appropriate points throughout their programme of study and
- agreed alternatives are arranged where necessary.

C10.5.6 Notification to the Board of Examiners

The Dean (or Associate Dean) is responsible for notifying the Chair of the Board of Examiners or Examination Committee of:

- any alternative methods of assessment or arrangements for assessment and
- the student(s) to whom these apply.

C10.6 Assessment after the Event

C10.6.1 Limitations on Seeking Assessment after the Event

A disabled student shall not be permitted to seek reasonable adjustment after the event:

- when the student, without good reason, has not previously requested that alternative arrangements be put in place.

C10.7 Requests in respect of Extenuating Circumstances

C10.7.1 Precluded Requests

Provided that the agreed reasonable adjustment arrangements have been fully implemented:

- a student shall not normally be permitted to request further extenuating circumstances to be taken into account where these relate to the disability for which these arrangements were made.

C10.7.2 Non-precluded Requests

Circumstances in which a request for consideration of extenuating circumstances to be taken into account are permitted where:

- any mode of assessment is not covered by an alternative arrangement
- the agreed method of assessment or arrangements for assessment have not been fully implemented
- the student's disability is fluctuating in nature, and therefore unpredictable, and their circumstances and support requirements may change during the course of an assessment.

C10.8 Confidentiality

C10.8.1 Requirements for Confidentiality

Any information relating to a student's disability will be treated confidentially. Diagnostic evidence provided to Disability Advice will never be shared with third parties without consent from the disabled student.

C10.8.2 Consent

Disability Advice will request consent from Disabled students prior to sharing information relating to a student's disability and recommended reasonable adjustments.

Academic Principles and Regulations

Section C11: External Examiners and Advisers

August 2015

Approved June 2002;
Amended June 2003, July 2004, July 2005, May 2006, July 2007, May 2008, July 2009, July 2013
and July 2015



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SECTION C11: EXTERNAL EXAMINERS

REGULATIONS

C11.1 Application

C11.1.1 Application: Taught Awards

The regulations outlined below apply only to taught awards.

Regulations for external examiners for research awards are documented separately.

C11.2 Requirement for External Examiners

C11.2.1 Requirement to Have External Examiners

External examiners must be appointed for all approved Schemes or Courses leading to an award of the University.

C11.3 The Role of External Examiners

C11.3.1 Role of External Examiners: General

The role of the external examiner(s) approved by the University for Schemes and Courses is to ensure that students are assessed fairly in relation to other students on the Scheme or Course.

C11.3.2 Role of External Examiners: Individual Programmes of Study (IPOS)

External examiners may also be involved in the approval of programmes of study for individual students.

C11.3.3 Rights and Responsibilities: General

In order to exercise their rights and carry out their responsibilities, the external examiner(s) must be:

- competent in assessing students' knowledge and skills at higher education level
- expert and/or experienced in the field of study concerned
- impartial in judgement
- properly briefed on their role, the programme and the University's requirements.

The functions and attributes of external examiners are specified below:

(A) Impartiality

Be able to judge students impartially on the basis of the work submitted for assessment without being influenced by previous association with:

- the Scheme or Course staff
- students.

(B) Confirm Standards for Awards

Confirm that the standards set for the awards are appropriate by referencing:

- relevant national subject benchmark statements
- the framework for higher education qualifications
- the national qualifications framework
- University approval and validation documentation
- any appropriate professional, statutory and regulatory requirements.

(C) Compare Performance of Students

Be able to compare the performance of students with that of their peers on comparable programmes of higher education elsewhere.

(D) Approve Assessment

Approve:

- the form and content of proposed examination papers, coursework and other assessments which count towards an award above the level of Certificate of Higher Education, except where the Certificate of Higher Education is the target award.

In order to:

- ensure that the assessments are capable of measuring achievement of the intended learning outcomes, in such a way that external examiners will be able to judge whether they have fulfilled the objectives of the programme and reached the required standard.

(E) Proposed Changes to Assessment: Consultation

Be consulted about:

- any proposed changes to the approved assessment regulations which will directly affect students currently on the Scheme or Course.

(F) Proposed Changes to Assessment: Consent

Agree to:

- any proposed major modifications to assessment for a final award above the level of Certificate of Higher Education except where the Certificate of Higher Education is the target award.

(G) Examiners' Meetings

External Examiners have the right to attend or participate in the following meetings:

- Boards of Examiners
- Examination Committees
- any meetings in which a review of the decision about individual awards is taken during the examiner's period of office
- meetings to approve Individual Programmes of Study (IPOS)

(H) Access to Assessed Work

In order to ensure that each student is fairly placed in relation to the rest of the cohort, external examiners have the right:

- to see the work of a representative sample of students proposed for the highest available category of the award and for failure
- to see samples of the work of students proposed for each category of award
- of appropriate access to all assessed work where practicable.

(I) Moderation

External examiners have the right to moderate the marks awarded by internal examiners.

(J) Alteration to Sets of Marks

Exceptionally, the external examiner(s) may propose to the Board of Examiners or Examination Committee the moving of the threshold boundary in relation to a particular cohort of students on a particular module.

Such a proposal may be made in respect of:

- the pass/fail threshold
- other classification boundaries.

In such a case, discussion will be held with internal examiners in accordance with the provisions for the conduct of Boards of Examiners. [See Section C13 6.2 to C13. 6.4]

(K) Viva Voce Examinations

External Examiners have the right to conduct a viva voce examination of any candidate. Such a viva voce examination will be in accordance with Section C4.8: Viva Voce Examinations.

Such additional assessment can only raise and may not lower a student's marks.

(L) Attendance at Boards of Examiners

External examiners have the right:

- to attend Examination Committees in accordance with the University Regulations
- to attend the meeting of the Board of Examiners at which decisions on recommendations for awards are made

and

- to ensure that those recommendations have been reached by means according with the University's requirements and normal practice in higher education.

(M) Participation in Reviews of Decisions

External examiners have the right to participate as required in any reviews of decisions about individual students' awards taken during the examiner's period of office.

(N) Return Annual Reports

External examiners are required to report annually in writing to the University and within four weeks of the date of the Board of Examiners for the award they examine on:

- the effectiveness of the assessments
- and
- any lessons to be drawn from them.

(O) Other Reports

External examiners will provide other reports as required by the University.

(P) Matters of Serious Concern

External examiners have the right to report to the University through the Chair of the Academic Board on any matters of serious concern arising from the assessments which put at risk the standard of the University's award, or jeopardise the fair treatment of students.

C11.4 Powers of External Examiners

C11.4.1 An Award of the University

No recommendation for the conferment of an award of the University above the level of Certificate of Higher Education may be made without the written consent of the approved external examiner(s).

Normally, this is through the signing of the spreadsheet of marks but may also be by oral agreement followed by written confirmation. [See Section C12: Boards of Examiners and Examination Committees].

C11.4.2 Confirmation of the Proceedings of the Board or Committee

Signing the spreadsheet of marks is also confirmation that:

- the external examiner is satisfied that the conduct of the Board of Examiners and/or Examination Committee has been in accordance with the regulations of the University
- and
- any further consideration of the decisions made at the Board of Examiners and/or Examination Committee is limited to the University regulations for the review of a decision of a Board of Examiners or Examination Committee and an appeal against the outcome of that review. [See Section C16: Appeal Against the Decision of the Board of Examiners or Examination Committee]

C11.4.3 Matters of Principle

On any matter which the external examiner(s) have declared a matter of principle, the decision of the external examiner(s) shall either:

- be accepted as final by the Board of Examiners
- or
- be referred to the Academic Board.

Any unresolved disagreement between external examiners shall be referred to the Academic Board. [See also Section C13. 5]

C11.4.4 Disagreements

(A) Between External Examiner(s) and Boards of Examiners

Any unresolved disagreement between external examiner(s) and a Board of Examiners shall be referred to the Academic Board.

(B) Between External Examiners

Where an external examiner disagrees with other external examiners, and will not agree a recommendation, it is for the Academic Board to ensure that the matter is resolved.

If the disagreement concerns only one or more individual students, the recommendations for all other students should be signed.

[See also Section C13. 5]

C11.5 Duties of External Examiners

C11.5.1 Duties of External Examiners

On appointment, external examiners are assigned specific duties, which may include:

(A) Awards and Progression

Participation in decisions about recommendations for the award(s) and student progression within a Scheme or Course.

(B) Moderation

Moderation of:

- modules of a Course
or
- groups of modules, appropriate to their subject or professional expertise.

The modules may also contribute to an award for which the external examiner is not responsible.

(C) Individual Programmes of Study (IPOS)

Participation in decisions about the approval of individual programmes of study.

(D) Changes to Assessment Regulations

Participation in decisions about changes in the assessment regulations for a Scheme or Course.

(E) Modifications

Participating in decisions and/or approval of:

- new modules
- modifications to existing modules of a Scheme or Course.

C11.6 The Appointment of External Examiners

C11.6.1 Approval

All nominations of external examiners are required to be approved by the Faculty Board (or equivalent) or by approved sub-committees on their behalf.

Final approval of external examiners rests with Academic Board.

C11.6.2 Process of Appointment

The process of appointment of external examiners must be in accordance with the current University Regulations.

C11.6.3 Number of appointments

An external examiner may hold up to two external examiner appointments with the University. These may be with two collaborative partners or one collaborative partner and a University faculty. The limits on concurrent appointments also apply in such cases, as outlined in section C11.11.1.

C11.7 Chief External Examiner

C11.7.1 Circumstances of Appointment

A chief external examiner may be appointed from within a team of approved external examiners where there is more than one external examiner.

C11.7.2 Approval of Appointment

The approval of the appointment of an external examiner who is to act in this capacity is subject to the normal criteria and the person is expected to have had or to retain subject responsibilities within the examining team.

C11.7.3 Experience of Chief External Examiner

Where a chief external examiner is to be appointed, the nominee should have sufficient external examining experience to:

- take an overview of the Scheme or Course
- ensure that a consistent standard is maintained across the range of subjects to be examined.

C11.8 Criteria for the Selection of External Examiners

C11.8.1 Number of External Examiners

The number of external examiners to be appointed will vary from Scheme to Scheme and from Course to Course; and is specified in the relevant Scheme/Course approval documentation.

C11.8.2 Subject Expertise

The number of external examiners appointed will reflect the major subject areas of the Scheme or Course. There may also be particular requirements laid down by Professional, Statutory and Regulatory Bodies in relation to the number of practitioner and academic external examiners.

C11.8.3 Criteria for Selection

Appointment of external examiners is subject to the criteria specified below.

(A) Academic/Professional Qualification

An external examiner's academic and/or professional qualifications are in an appropriate subject and at a level appropriate for the award.

(B) Ratification by Professional/Statutory Bodies

Any professional and statutory bodies ratify, where appropriate, the external examiner appointment.

(C) Academic/Professional Standing

An external examiner is of an appropriate academic and/or professional standing to maintain the comparability of academic standards in the context of higher education.

(D) Experience

An external examiner has sufficient recent experience of examining at the required level, preferably including experience as an external examiner, or comparable related experience to indicate competence in assessing students in the subject area.

(E) Indications of Standing, Expertise and Breadth of Experience

Standing, expertise and breadth of experience may be indicated by:

- the present (or last, if retired) post and place of work
- the range and scope of experience across higher education / professions
- current and recent active involvement in research / scholarly / professional / consultancy activities in the field of study concerned.

C11.9 External Examiners with No Previous Experience at the Appropriate Level

C11.9.1 Evidence of Experience

If the proposed examiner has no previous external examiner experience or has no previous experience at the appropriate level, the application should be supported by:

- evidence that the proposed examiner will join an experienced team of examiners who will provide support to the new examiner
or
- a proposal for the appointment of a mentor to support the new examiner.

C11.9.2 External Examiner Teams

Proposed examiners without experience as externals should, where possible, join an experienced team of externals.

C11.9.3 Mentors

(A) Requirement for a Mentor

The external examiner should work initially, normally for one academic year, alongside an appointed mentor, where

- there is only one external or
- the external examiner team as a whole has limited experience.

(B) The Role of the Mentor

The mentor role is to support an inexperienced external examiner in ensuring that the proper processes of assessment have taken place in terms of:

- confirmation of standards
- justice to the students.

The mentor should provide advice to the mentee on:

- moderation of examination papers and other forms of assessment
- sampling of students' work
- providing advice to the Board of Examiners
- presenting an annual report.

(C) Experience of Mentors

Normally mentors will have significant external examiner experience, but not necessarily in the Scheme/Course/discipline. It is acceptable to ask the retiring external examiner or another external examiner within the faculty to fulfil the role of mentor.

(D) Term of Office of a mentor (tenure)

The period of tenure for a mentor will be for one academic year and this is usually the first year of appointment of the external examiner.

C11.10 Prohibitions to the appointment of an External Examiner

C11.10.1 Wide Variety of Contexts and Traditions

External examiners should be drawn from a wide variety of institutional / professional contexts and traditions in order that the Scheme or Course benefits from wide-ranging external scrutiny.

C11.10.2 Prohibitions

Accordingly, there should **not** be:

- more than one examiner from the same institution in the team of external examiners, except in a complex scheme involving a very large number of discrete subject areas and where those examiners will have no contact with each other during their period of tenure with the University, nor will they attend the same Board of Examiners during their tenure
- reciprocal external examining between University staff and external examiners on courses or in the same departments in their two institutions for the same or similar courses and Faculties should take responsibility for ensuring that this practice does not take place
- direct replacement of an external examiner by an individual from the same institution
- an examiner in any significant personal or professional relationship which may influence staff or students on the Scheme or Course concerned and it is the examiner's responsibility to declare these relationships
- an external examiner from an institution which has been the source of examiners in the same subject area in the recent past (normally five years)
- an external examiner who has been a member of staff or a governor of the University or any of its collaborative partners within the previous five years.

In addition within the previous 5 years an examiner should not have been:

- an examiner on a cognate Scheme or Course in the University or any of its collaborative partners;
- a student on a cognate scheme or course in the University or its collaborative partners, nor should an examiner become a student of the University on a cognate scheme or course in the University or its collaborative partners during the period of tenure.

C11.11 Discharge of Duties

C11.11.1 Other Examining Commitments

External examiners will not have other such extensive examining commitments that they cannot properly discharge their duties in respect of the University. Accordingly the following provisions apply.

(A) Limits on Concurrent Appointments

The examiner should not currently hold more than the equivalent of two substantial external examiner appointments at other HE institutions.

(B) Exceeding this Norm

If an examiner appears to exceed this norm, the Faculty must:

- provide supporting arguments for his/her appointment, for example that the phasing of examinations alleviates the workload during an academic session
- include a commentary on the amount of work involved and the numbers of students.

C11.12 Structure and Continuity

C11.12.1 Balance of External Examining Teams

External examining teams are expected to have an adequate balance including:

- examining experience
- academic and professional practice
- a range of subject specialisms
- membership of a number of institutions of higher education
- gender.

C11.12.2 Professional Awards

If the Course is associated with, or may lead to, a professional award at least one practitioner with appropriate experience should be in the examining team.

C11.12.3 Phasing of Appointments

The phasing of appointments to an examining team should be structured to ensure continuity.

C11.13 Period of Tenure (Term of Office)

C11.13.1 Normal Duration

The period of tenure for an external examiner will normally be four consecutive years running from the 1st November to the 31st October.

C11.13.2 Cohorts of Students

The tenure will normally allow an external examiner to assess four successive cohorts of full-time students.

C11.13.3 Timing of the Appointment of a Successor

A new external examiner will normally take up appointment on or before the retirement of his/her predecessor.

C11.13.4 Reviews of Decisions

External examiners must remain available after the last assessments with which they are to be associated in order to deal with any subsequent reviews of decisions.

C11.13.5 Extension of Tenure

In certain circumstances, for example in the case of a new award or in order to ensure continuity within an examining team, the period of appointment of an external examiner may be extended by a period of one year only. The external examiner must be consulted and should consent to the extension of tenure.

In order to extend the term of office of an external examiner, the appropriate University process must be followed.

C11.14 Re-allocation of Responsibilities

C11.14.1 Re-allocation

External examiners' responsibilities may be re-allocated within the period of appointment. This may be due to the award to which the examiner was first appointed ceasing to run or where it is decided by a faculty to re-shuffle the responsibilities allocated within a large team of examiners. This may also occur when there is illness or where an external examiner ceases their tenure early due to resignation or the University has sought the early cessation of duties of an examiner.

C11.14.2 Consultation and Process

In order to re-allocate an external examiner's responsibilities:

- the external examiner must be consulted and agree the proposed re-allocation
- appropriate University processes must be followed.

C11.15 Cessation of Appointment

C11.15.1 Normal Cessation

The appointment of an external examiner will normally cease at the end of their appointed tenure.

C11.15.2 Early Cessation

In certain circumstances it may be necessary for the appointment to cease before the completion of the approved period of tenure.

Examples of reasons for the early cessation of an appointment may include:

- resignation
- changes in Scheme or Course structure
- non-fulfilment of duties
- unprofessional conduct
- breakdown in relationship with staff teams or
- other cause which may disadvantage students

If such early cessation is thought to be necessary, the appropriate University Guidance will be followed.

C11.15.3 Temporary Cessation of Appointment

Examiners may request to temporarily cease their appointment, for example due to illness or maternity leave, and another suitable University Examiner should be asked to temporarily extend their duties to cover the period of absence. If this extension of duties is not possible the examiner must resign and a new examiner be appointed.

C11.15.4 Resignation

Resignations of external examiners should be made in writing addressed to the appropriate Dean of Faculty. The resignation must be notified to the Chair of the University External Examiners Subcommittee and the appropriate Faculty staff.

In the case of resignations late in the assessment cycle, the University may request the external examiner to perform some or all of their duties.

C11.16 External Examiners' Reports

C11.16.1 Annual Reports

External examiners are required to report annually in writing to the Academic Board about the ways in which assessment has been conducted and on issues relating to assessment. Reports must be made using the template issued by Quality Assurance Services and submitted electronically to the designated e-mail address.

C11.16.2 Purpose of Annual Reports

The purpose of the report is to assure the University that the academic standards of its awards are appropriate to and enable the University to judge whether the Scheme or Course is meeting its stated objectives and to make any necessary improvements, either immediately or at the next review as appropriate.

C11.16.3 Additional Reports

External examiners have authority to submit a confidential report direct to the Chair of the Academic Board if they are concerned about standards of assessment and performance, particularly where they consider that assessments are being conducted in a way which jeopardises either the fair treatment of individual students or the standard of the University's awards.

C11.16.4 Consideration of External Examiners' Reports

The University requires that:

- external examiners submit their reports to the University within 4 weeks of the date of the Board of Examiners with which they are associated
- external examiners' reports are considered at Scheme or Course level and the outcomes of such consideration are formally recorded
- reports do not reference individuals by name
- reports are made publicly available
- the final report of an examiner's tenure will be shared with the incoming external examiner for the purposes of continuity.

C11.16.5 Response to External Examiners

External examiners will be provided with a written response to their comments and recommendations by the Scheme/Course Leader.

C11.17 External Advisers

C11.17.1 External Advisers

Schemes or Courses may appoint external advisers with particular subject expertise to assist the external examiners, for example language awards.

C11.17.2 Approval of Nominations

All nominations of external advisers are required to be approved initially by the Faculty Board (or equivalent), or by its sub-committees.

Final approval of external advisers rests with the Academic Board.

C11.17.3 Appointment

The process of appointment of external advisers must be in accordance with the current University Regulations.

C11.17.4 Duties

The duties of external advisers will be fewer than those of external examiners and do not necessarily include participation in meetings of Boards of Examiners. Normally, a schedule of duties will be drawn up and agreed with the Scheme or Course Team and progressed in accordance with the current University Regulations.

An adviser is required to submit an annual report to the external examiner and the appropriate Faculty.

C11.18 Edexcel External Examiners

C11.18.1 External Examiners for Edexcel Courses

All arrangements for and duties of external examiners for courses leading to Edexcel awards will be in accordance with the Licence Agreement and appropriate University guidance issued by the Quality Assurance Services.

Academic Principles and Regulations

Section C12: Boards of Examiners and Examination Committees

August 2015

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SECTION C12: BOARDS OF EXAMINERS AND EXAMINATION COMMITTEES

C12.1 Boards of Examiners and Examination Committees

C12.1.1 General Provisions

The University provides for:

- Boards of Examiners
- Examination Committees

C12.1.2 Board of Examiners

The University requires that there be a Board of Examiners for every Scheme or Course leading to an award of the University.

C12.1.3 Remit of Board of Examiners

A Board of Examiners is authorised to:

- assess students in accordance with the Scheme/Course and University regulations
- determine student progression for awards
- make recommendations to the University on the conferment of awards
- determine outcomes for progression and award in respect of a report of extenuating circumstances and mitigation
- determine outcomes for progression and award in respect of a report of cases of cheating and plagiarism and other forms of unfair practice
- determine the outcomes of re-assessment (where relevant).

(See section C9 Cheating, Plagiarism and other forms of Unfair Practice and C15 Extenuating Circumstances and Mitigation)

C12.1.4 Examination Committees

The University permits Boards of Examiners to establish Examination Committees.

C12.1.5 Remit of Examination Committees

Examination Committees are authorised to:

- determine the standard of student module assessment outcomes
- consider amendment of cohort marks as appropriate
- record credit where the student will not be presented to a Board for level progression or an award
- note cases of cheating or plagiarism and other forms of unfair practice
- determine the progression of Level 4 students.

C12.1.6 Boards without Committees

Where a Board of Examiners decides not to establish an Examination Committee, the Board will undertake the functions of the Examination Committee.

In such cases, the agenda will reflect the distinct stages of the process otherwise carried out discretely by Committees and Boards.

C12.1.7 Powers of the Academic Board: Review

A Board of Examiners may be required to review a decision or have that decision annulled.

C12.1.8 Academic Judgement

Disagreement with the academic judgement of a Board of Examiners or Examination Committee cannot in itself constitute grounds for a request for a review of a decision.

C12.1.9 External Examiners: Attendance at Examination Committees

All external examiners are required to attend the Examination Committee(s) for the Scheme/Course to which they are appointed where such a Committee considers student assessment above the level of Certificate of Higher Education (unless the Certificate of Higher Education is the target award).

C12.1.10 External Examiners: Attendance at Boards of Examiners

Where there is more than one external examiner for a Scheme or Course, one only need attend the Board of Examiners.

Attendance of an external examiner is only required where a Board of Examiners considers student assessment above the level of Certificate of Higher Education (unless the Certificate of Higher Education is the target award).

All external examiners are entitled to attend the Board of Examiners.

C12.1.11 Right of Attendance

The following have the right to attend any meeting of a Board of Examiners, an Examination Committee or an Examination Review Committee as non-voting observers:

- Chair of Academic Board (or nominee)
- Chair of Academic Quality and Standards Committee (or nominee).

C12.2 Boards of Examiners

C12.2.1 Requirement

For each Scheme or Course leading to an award of the University there must be a Board of Examiners.

C12.2.2 Constitution

The constitution, terms of reference and membership of the Board of Examiners must:

- comply with the provisions of Sections C12. 2.3 to C12. 2.22
- accord with the approved regulations for the Scheme or Course
- include at least one external examiner approved by the University.

C12.2.3 Responsibilities

(A) Awards

A Board of Examiners may be responsible for more than one award.

(B) Levels

A Board of Examiners is responsible for all levels of a Scheme or Course.

C12.2.4 Boards of Examiners: Shared Provision

In cases where a Board has elected not to establish an Examination Committee, the Board itself acts as an Examination Committee where:

- modules are shared by Schemes or Courses and/or
- the assessment contributes to a number of awards.

C12.2.5 Authority

A Board of Examiners is authorised to:

- assess students in accordance with the Scheme/Course and University regulations
- determine student progression for awards
- make recommendations to the University on the conferment of awards
- determine outcomes for progression and award in respect of a report of extenuating circumstances and mitigation
- determine outcomes for progression and award in respect of a report of cases of cheating and plagiarism and other forms of unfair practice
- determine the outcomes of re-assessment (where relevant)
- establish Examination Committees or act as an Examination Committee where one is not established
- establish an Examination Review Committee.

C12.2.6 Progression

The purpose of the Board is to reach decisions on students' suitability for progression.

C12.2.7 Awards

The purpose of the Board is to reach decisions on students' suitability for receiving an award by their:

- achieving the standard required for the award
and
- having fulfilled the objectives and requirements of the programme of study.

C12.2.8 Recommendations for the Conferment of Awards

The Board of Examiners is the sole body authorised to recommend the conferment of an award to the University.

C12.2.9 Amendments to Decisions of Boards of Examiners

No other body has the authority to amend the decision of a Board of Examiners acting within its terms of reference and in accordance with the Regulations.

C12.2.10 Extenuating Circumstances and Mitigation

The Board of Examiners will consider individual extenuating circumstances and appropriate mitigation in accordance with Section C15 Extenuating Circumstances and Mitigation.

C12.2.11 Cheating, Plagiarism and Other Forms of Unfair Practice

The Board of Examiners will make final decisions in respect of the outcomes of cases of cheating, plagiarism and other forms of unfair practice in accordance with Section C9: Cheating, Plagiarism and Other Forms of Unfair Practice.

C12.2.12 Examination Committees

A Board of Examiners may establish an Examination Committee to carry out the functions identified in Section C12.1.5.

C12.2.13 Membership of Boards of Examiners

The Board of Examiners shall consist of:

- the Chair
- the Scheme/Course Leader (or equivalent)
- all internal examiners with significant responsibilities
- at least one external examiner
- a Secretary to the Board (in attendance).

C12.2.14 Representative of a Team of Tutors

Provided that the assessment has previously been considered through an internal moderation process, one member of a team of tutors may attend to speak for them all.

C12.2.15 Shared Modules

In cases where modules are shared by Schemes or Courses and the assessment contributes to a number of awards:

- internal examiners (or a representative member of a team of examiners) must be present at the Examination Committee at which the standard of the students' assessment outcome was determined;
- but need not attend all meetings of the Boards of Examiners to which these assessment outcomes are forwarded.

C12.2.16 Chairs of Boards of Examiners

The Chair of the Board of Examiners shall be a member of the academic staff of the University with seniority and experience of Boards of Examiners. Chairs must receive Board of Examiners staff development annually.

Normally the Chair will be an Associate Dean or Senior Academic Manager nominated by the Dean.

C12.2.17 Restrictions in respect of Chairs of Boards of Examiners

A member of:

- the teaching team
- the team of tutors

cannot be the Chair of the Board of Examiners for the Scheme or Course in question.

C12.2.18 Students

(A) Students of the Scheme or Course

No student of a Scheme or Course shall be a member of the Board of Examiners or associated Examination Committee.

(B) Students on Other Courses

A person:

- otherwise qualified to be an examiner for a Scheme or Course (e.g. as a member of academic staff or external examiner)
- who is coincidentally registered as a student on another programme of study, either at the University or elsewhere

shall not, by virtue of this in itself, be disqualified from carrying out normal examining commitments.

C12.2.19 Attendance

All members of the Board of Examiners are required to be present at the meeting where decisions are to be reached.

C12.2.20 Absence

If a member is absent due to:

- illness
- other good cause

the Board must ensure that the contribution that would be made by that member can be satisfactorily covered by other appropriate arrangements.

C12.2.21 Commencement of Proceedings

The Board shall formally decide whether the membership of the Board is sufficient and appropriate before discussion of students' progress can take place. [For sufficient membership, see Section C12.2.13]

C12.2.22 Recording

The Secretary to the Board of Examiners will compile records in accordance with the relevant procedures.

These will constitute the minutes.

C12.2.23 Confidentiality

(A) Minutes

The minutes will be confidential and will be available to the next meeting of the Board.

(B) External Examiner(s)

The external examiner(s) may retain mark sheets, minutes and other materials, but shall be required to maintain confidentiality.

C12.3 Examination Committees

C12.3.1 Establishment

A Board of Examiners may establish one or more Examination Committees.

C12.3.2 Scope of Committee(s)

The Board of Examiners may establish:

- a single Examination Committee to consider the assessment outcomes of all modules within the Scheme or Course
- or
- more than one Examination Committee to consider the assessment outcomes of designated modules within the Scheme or Course (e.g. all modules at Level 4; all modules at Level 5; all modules at Level 6).

C12.3.3 Terms of Reference

Examination Committees are authorised to:

- determine the standard of student module assessment outcomes
- consider amendment of cohort marks as appropriate, in accordance with Sections C12. 3.5 to C12. 3.7
- record credit where the student will not be presented to a Board for level progression or an award
- note at first instance cases of cheating or plagiarism and other forms of unfair practice
- determine the progression of Level 4 students.

C12.3.4 Assessment Outcomes: Marks

An Examination Committee will consider and determine the marks and grades for specified modules, and forward its decisions to the appropriate Board(s) of Examiners.

C12.3.5 Adjustment to Cohort Marks: External Moderation

Exceptionally, the external examiners may propose to the Examination Committee the moving of the threshold boundary in relation to a particular cohort of students on a particular module. Such a proposal may be made in respect of:

- the pass/fail threshold
- other classification boundaries.

C12.3.6 Adjustment to Cohort Marks: Discussion with Internal Examiners

In such cases it is expected that the matter will have been discussed with the internal examiners in an attempt to reach agreement. [See also Section C13. 6: Discussion of the Marks Overall]

C12.3.7 Adjustment to Cohort Marks: Cohort Mitigation

Adjustments may be made to the marks of a cohort of students after consideration of extenuating circumstances applicable to the entire cohort.

C12.3.8 Representation at an Examination Committee

Provided that the assessment has previously been considered at an internal moderation process, one member of a team of tutors may attend to speak for them all.

C12.3.9 Shared Modules

Where an Examination Committee is responsible for modules that contribute to more than one award, its decisions and recommendations will be forwarded to all relevant Boards of Examiners.

C12.3.10 Shared Modules: Internal Examiners

In cases where modules are shared by Schemes or Courses and the assessment contributes to a number of awards:

- internal examiners (or a representative member of a team of examiners) must be present at the Examination Committee at which the standard of the students' assessment outcome was determined;
- but need not attend all meetings of the Boards of Examiners to which these assessment outcomes are forwarded.

C12.3.11 Recording of Credit

For students who are not being presented to a Board for level progression or for an award, the Examination Committee will formally record:

- the marks
- the amount and level of credit achieved.

C12.3.12 Student Suitability to Proceed

Where a student is not being presented for level progression and his or her attainment is identified as a matter of concern, the Committee should refer the issue to the relevant Board of Examiners for consideration of that student's suitability to proceed on the programme of study.

C12.3.13 Membership

The membership shall include:

- the Chair of the Board (or nominee)

- Subject Group Leader
- the Scheme/Course Leader (or equivalent)
- all staff making a significant contribution to the modules under consideration
- a Secretary to the Committee (in attendance).

C12.3.14 External Examiners

All external examiners are required to attend the Examination Committee(s) for the Scheme/Course to which they are appointed where such a Committee considers student assessment above the level of Certificate of Higher Education (unless the Certificate of Higher Education is the target award).

C12.3.15 Conduct and Recording

The conduct of an Examination Committee and the recording of its proceedings will be in accordance with the current University Regulations and Procedures.

C12.3.16 Forwarding of the Committee Minutes

The minutes of the Examination Committee will be confirmed by the Chair of the Committee and forwarded to the next meeting of the relevant Board of Examiners.

C12.3.17 Acceptance of Results

The Board of Examiners will accept the results of module assessment outcomes agreed by the Examination Committee.

These results will not be amended except, where relevant, in respect of:

- mitigation in relation to individual extenuating circumstances
- cheating, plagiarism or other forms of unfair practice
- other material or procedural irregularities.

C12.4 Re-assessment: Reconvened Board of Examiners

C12.4.1 End of the Assessment/Re-assessment Process

Normally there will be no further opportunity for assessment or re-assessment after the meeting of the Board of Examiners, except as below.

C12.4.2 Reconvened Board

The Board of Examiners will be reconvened to consider outstanding matters of assessment and progression, where:

- curriculum or operational requirements determine later assessment or re-assessment for progression or awards and/or
- exceptional circumstances in respect of student assessment occur.

Such circumstances are defined in Sections C3. 6.15 to C3. 6.17.

C12.4.3 Board of Examiners and Examination Committee

In such circumstances the Reconvened Board of Examiners will fulfil the functions of both an Examination Committee (determination of module assessment outcomes) and a Board of Examiners.

C12.4.4 Membership: General

The membership of a Reconvened Board of Examiners need not be the full membership of the Board.

C12.4.5 Academic Judgement

The membership of a Reconvened Board of Examiners shall be determined by the Board. Membership shall be sufficient to ensure fair and equitable exercise of academic judgement.

C12.4.6 Membership: Requirements

The membership of a Reconvened Board of Examiners shall include:

- the Chair of the Board (or nominee)
- Subject Group Leader
- the Scheme/Course Leader (or equivalent)

- one external examiner
- at least two members of academic staff making a significant contribution to the teaching of the Scheme/Course modules
- a Secretary to the Board (in attendance).

C12.4.7 Membership: Restrictions

The membership of a Reconvened Board of Examiners may not be wholly identical with that of an Examinations Review Committee which has been convened to consider the case of a student, and which has then referred the case back to the Board of Examiners for reconsideration and decision .

C12.4.8 External Examiners

One external examiner shall be associated with the decisions of the Reconvened Board of Examiners where such a Reconvened Board considers student assessment outcomes above the level of Certificate of Higher Education (unless the Certificate of Higher Education is the target award).

All external examiners have the right to attend and vote.

C12.4.9 Conduct and Recording

The conduct of the Reconvened Board and the recording of its proceedings shall be in accordance with current University Regulations and Procedures.

The records will constitute the minutes.

C12.4.10 Confidentiality

(A) Minutes

The minutes will be confidential and will be available to the next meeting of the Board.

(B) External Examiner(s)

The external examiner(s) may retain marksheets, minutes and other materials, but shall be required to maintain confidentiality.

Academic Principles and Regulations

Section C13: The Conduct of Boards of Examiners and Examination Committees

August 2015

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SECTION C13: THE CONDUCT OF BOARDS OF EXAMINERS AND EXAMINATION COMMITTEES

PART ONE: EXAMINATION COMMITTEES

C13.1 Attendance at Examination Committees

C13.1.1 Internal Examiners

Attendance for the entire duration of the Examination Committee is compulsory for all staff responsible for a significant part of the assessment under consideration (except as provided for at Section C13. 1.2). This requirement is to ensure that tutors who have previously taught students may contribute their knowledge to the decision-making. "Significant" is a matter for the Chair's judgement.

This provision also applies where a meeting of a Board of Examiners incorporates an Examination Committee stage [see Part Two of this Section].

C13.1.2 Representative of Team of Tutors

Provided that the assessment has previously been considered at an internal moderation process, one member of a team of tutors may attend to speak for them all.

C13.1.3 Part-time Staff

Part time staff attend on the same basis as full-time staff and are paid for this attendance.

C13.1.4 Absence of Internal Examiners

Unavoidable absences, wherever possible, should be covered by:

- written comments
- a substitute when the absent person is representing a team of tutors.

C13.1.5 External Examiners

External examiners must be present at meetings of Examination Committees.

C13.1.6 Absence of External Examiners: Advance Notice Given

(A) Absent External Examiner Is Part of a Team

In this circumstance the following apply:

- the Scheme/Course Leader (or equivalent) must ensure that a written report from the external examiner is available to be tabled at the Committee;
- this report will complement the observations of those external examiners present at the Committee and inform the discussion.

(B) Absent External Examiner Is Sole Examiner

In this circumstance the following apply:

- the Scheme/Course Leader (or equivalent) must ensure that a written report from the external examiner is available to be tabled at the Committee;
- this report will inform and assist the Committee in making its decisions;
- in addition, the School/Academic Unit may seek to invite another external examiner who, whilst they may not have experience in the Scheme/Course discipline area, will be able to support the Committee in ensuring justice to students.

C13.1.7 Absence of External Examiners: No Notice Given

(A) Absent External Examiner Is Part of a Team

In this circumstance the following apply:

- the Scheme/Course Leader (or equivalent) should attempt to seek some comment in advance of the meeting;
- the other external examiners will support the discussion and decision making at the Committee;
- the absent external examiner will provide further comment to the University through the external examiner's report.

(B) Absent External Examiner Is Sole Examiner

In this circumstance the following apply:

- the Examination Committee should still take place;
- all decisions must be subject to the written consent of the external examiner;
- consequently all initial decisions should be subject to “Chair’s Action”;
- Quality Assurance Services will be informed and advice sought on recording the circumstance and effecting decisions of the Committee.

C13.2 Record of Attendance

C13.2.1 Record of Attendance

There should be a full list of members of the Examination Committee available, which must be signed by all members present.

This is evidence of their attendance.

C13.2.2 Absences

All absences should be recorded on this list.

C13.3 Chairing of Examination Committees

C13.3.1 Chair

Normally an Associate Dean or Senior Academic Manager nominated by the Dean will chair all Examination Committees.

C13.3.2 Experience

A Chair of an Examination Committee will normally have experience of Examination Committees and have participated in relevant staff development on an annual basis.

C13.4 Information to Examination Committees

C13.4.1 Marks

The following provisions apply:

- the schedule/spreadsheet of marks arrived at by internal examiners will be tabled as a confidential paper;
- where there is a discrepancy, the marks as moderated by the external examiner(s) may also be tabled, providing both sets of marks are shown;
- the schedule of marks will be presented in accordance with the relevant guidance.

C13.4.2 Identification of Need of Further Consideration

The following students should be clearly identified:

- students on whom further evidence will be presented to the Committee
- students who have failed a module.

C13.4.3 Documentation: Cohort Mitigation

Extenuating circumstances which have affected an entire cohort of students will be presented to the Examination Committee.

C13.4.4 Other Relevant Documentation

Where the Examination Committee will consider further evidence concerning a student (for example in cases of cheating, plagiarism or other forms of unfair practice or student suitability to proceed), relevant documentation will be prepared to permit due consideration of the matter in question.

C13.4.5 Written Reports

Where relevant, tutors should provide written reports on such students to the Committee.

Reliance solely on oral comment at the Committee itself should be avoided.

C13.5 Discussion and Decision-Making

C13.5.1 Possible Courses of Action

The Chair should clearly identify the courses of action open to the Examination Committee.

C13.5.2 Voting

Provisions in respect of voting at Examination Committees are:

- votes should be avoided where possible;
- if a vote is taken, all voting members of the Committee may vote [see Section C12: Boards of Examiners and Examination Committees];
- the Chair has a casting vote.

For non-voting members, see Section C12.1.11.

C13.5.3 Declaration of a Matter of Principle

When a Chair has identified a course or courses of action open to the Committee, where necessary external examiner(s) should be asked to declare whether any of these courses of action is a matter of principle.

On any matter which the external examiner(s) have declared a matter of principle, the decision of the external examiner(s) shall either:

- be accepted as final by the Examination Committee
or
- be referred to the Academic Board.

C13.5.4 Disagreement on a Matter of Principle: Adjournment

If the external examiners are in disagreement about a matter or matters of principle, the Chair should call a short adjournment to give them the opportunity to resolve their disagreement.

C13.5.5 Disagreement on a Matter of Principle: Resolution

If the disagreement has not been resolved, the following apply:

- no decision can be taken on the specific matter under consideration;
- the matter will be referred to the Academic Board for resolution;
- the Committee can resume its deliberations on other matters.

C13.5.6 Disagreement between External Examiner(s) and the Committee

Any unresolved disagreement between external examiner(s) and an Examination Committee will be referred to the Academic Board for resolution.

C13.5.7 Disagreements between External Examiners

Where an external examiner disagrees with other external examiners, and will not agree a recommendation, it is for the Academic Board to ensure that the matter is resolved.

If the disagreement concerns only one or more individual students, the recommendations for all other students should be agreed.

C13.5.8 External Examiner's Veto

Other than where they declare a matter of principle, external examiners do not have an automatic veto over the decisions of an Examination Committee.

C13.6 Discussion of the Marks Overall

C13.6.1 Discussion of the Marks Overall

Discussion of the marks overall precedes discussion of individual marks. The following provisions apply:

(A) Internal Examiners

The internal examiners should be given the opportunity to comment on the marking and student performance overall.

(B) External Examiners

The external examiner(s) should be given the opportunity to comment on the level of internal marking.

C13.6.2 Adjustment to Cohort Marks: External Moderation

Exceptionally, the external examiner may propose to the Examination Committee the moving of the threshold boundary in relation to a particular cohort of students on a particular module.

Such a proposal may be made in respect of:

- the pass/fail threshold
- other classification boundaries.

C13.6.3 Adjustment to Cohort Marks: Discussion with Internal Examiners

In such cases, it is expected that such a proposal will have been discussed with internal examiners in an attempt to reach agreement.

C13.6.4 Discussion with Other Relevant Staff

In such cases it is expected that the matter will have been discussed with the appropriate staff so that:

- any necessary recalculation of overall total marks can have been completed before the meeting or
- both sets of marks can be presented to the meeting if required.

C13.6.5 Adjustment to Cohort Marks: Cohort Mitigation

Adjustments may be made to the marks of a cohort of students after consideration of extenuating circumstances applicable to the entire cohort.

C13.6.6 Determination of Adjustment to Cohort Marks

Final decisions on any adjustments to the marks of a cohort of students should be taken before the consideration of individual student outcomes.

C13.7 Determination of Individual Module Assessment Outcomes

C13.7.1 Individual Marks

The individual mark of any student *may not* have been moved in the process of moderation by external examiner(s); except where the module marks for a cohort have been adjusted.

C13.7.2 Module Assessment Outcomes

The module assessment outcomes for each student should be conducted as follows:

- the marks for each student should be considered;
- any amendment to the marks will be agreed and recorded on the mark sheet/schedule;
- the overall module assessment outcomes for the student will be agreed.

C13.7.3 Academic Integrity

All admitted or found cases of unfair practice within taught awards will be presented to the University Academic Integrity Board for determination of penalty.

A report of the penalty will be made to the Board of Examiners for application against the student's academic profile.

C13.8 Progression Decisions: Level 4 Students

C13.8.1 Decisions on Progression

Progression decisions on Level 4 students are within the remit of the Examination Committee.

C13.8.2 Schedule of Decisions

The schedule of possible decisions open to an Examination Committee is found in Section C13.29.

C13.8.3 Notification to Boards of Examiners

The Board of Examiners should be provided with a schedule of students who have:

- been offered the opportunity for re-assessment to complete the level
- failed the level and been offered the opportunity for completion/repeat of the level

- been required to withdraw
- been deferred in one or more modules.

C13.8.4 Extenuating Circumstances

In the event that such a student presents extenuating circumstances which the Mitigation Panel recommends for acceptance to the Board of Examiners, the Board may amend the progression decision reached by the Examination Committee.

C13.9 Students Not Completing a Level or Being Recommended for an Award

C13.9.1 Recording of Credit

For students who have not completed Level 4, or are not being presented to a Board of Examiners for level progression or for an award, the Examination Committee will formally record:

- the marks achieved
- the amount and level of credit achieved.

C13.9.2 Student Suitability to Proceed

Where a student is not being presented for level progression and his or her attainment is identified as a matter of concern, the Examination Committee should refer the issue to the relevant Board of Examiners for consideration of the student's suitability to proceed on the programme of study.

C13.10 Information to the Board of Examiners

C13.10.1 Minutes of the Examination Committee

The decisions of the Examination Committee will be formally recorded in the minutes.

C13.10.2 Forwarding of the Minutes to the Board of Examiners

The Chair of the Examination Committee will confirm the minutes and will forward them to the next meeting of the relevant Board of Examiners.

PART TWO: BOARDS OF EXAMINERS

C13.11 Boards of Examiners and Examination Committees

C13.11.1 Boards without Examination Committees

Where a Board of Examiners has decided not to establish an Examination Committee, the Board will fulfil the functions of both an Examination Committee (determination of module assessment outcomes) and a Board of Examiners.

C13.11.2 Agenda

Where this is the case, the agenda of the meeting of the Board of Examiners will be structured to reflect the distinct stages of the process carried out by Examination Committees and Boards of Examiners.

C13.11.3 Proceedings of the Examination Committee Stage

The Examination Committee stage should be conducted in accordance with the provisions for the conduct of Examination Committees found in Sections 13.1 to C13. 10.

C13.11.4 Proceedings of Boards of Examiners

The proceedings of Boards of Examiners are as found below for both:

- Boards of Examiners as a discrete meeting following the deliberations of an Examination Committee;
- Boards of Examiners meeting at the conclusion of the Examination Committee stage of a combined meeting.

C13.12 Attendance at Boards of Examiners

C13.12.1 Internal Examiners

Attendance for the entire duration of the Board of Examiners is compulsory for all staff responsible for a significant part of the assessment under consideration (except as provided for at C13. 12.2 and C13. 12.3). This requirement is to ensure that tutors who have previously taught students may contribute their knowledge to the decision making. "Significant" is a matter for the Chair's judgement.

C13.12.2 Representative of Team of Tutors

Provided that the assessment has previously been considered at an internal moderation process one member of a team of tutors may attend to speak for them all.

C13.12.3 Shared Modules

In cases where modules are shared by Schemes or Courses and the assessment contributes to a number of awards:

- internal examiners (or a representative member of a team of examiners) must be present at the Examination Committee at which the standard of the students' assessment outcomes was determined;
- but need not attend all meetings of the Board of Examiners to which these assessment outcomes are forwarded.

C13.12.4 Part-time Staff

Part time staff attend on the same basis as full-time staff and are paid for this attendance.

C13.12.5 Absence of Internal Examiners

Unavoidable absences, wherever possible should be covered by:

- written comments
- a substitute when the absent person is representing a team of tutors.

C13.12.6 External Examiners

Where there is more than one external examiner for a Scheme or Course, *one only* need attend the meeting of the Board of Examiners.

Attendance of an external examiner is only required where a Board of Examiners considers student assessment outcomes above the level of Certificate of Higher Education (unless the Certificate of Higher Education is the target award).

All external examiners are entitled to attend the Board of Examiners.

C13.12.7 Absence of External Examiner: Advance Notice Given

(A) Absent External Examiner Is Part of a Team

In this circumstance the following apply:

- the Scheme/Course Leader (or equivalent) must ensure that a written report from the external examiner is available to be tabled at the Board;
- the Chair of the Board will attempt to arrange the attendance of another member of the external examiners team.

(B) Absent External Examiner Is Sole Examiner

In this circumstance the following apply:

- the Scheme/Course Leader (or equivalent) must ensure that a written report from the external examiner is available to be tabled at the Board(s);
- this report will inform and assist the Board in making its decisions;
- in addition, the School/Academic Unit may seek to invite another external examiner who, whilst they may not have experience in the Scheme/Course discipline area, will be able to support the Board in ensuring justice to students.

C13.12.8 Absence of External Examiners: No Notice Given

In this circumstance, and where it is impossible to arrange the attendance of another member of the external examining team, the following apply:

- the Board of Examiners should still take place;
- all decisions must be subject to the written consent of the external examiner;
- consequently all initial decisions should be subject to “Chair’s Action”;
- Quality Assurance Services will be informed and advice sought on recording the circumstance and effecting decisions of the Board.

C13.13 Record of Attendance

C13.13.1 Record of Attendance

There should be a full list of members of the Board available, which must be signed by all members present.

This is evidence of their attendance.

C13.13.2 Absences

All absences should be recorded on this list.

C13.14 Chairing of Boards of Examiners

C13.14.1 Chair

An Associate Dean or Senior Academic Manager nominated by the Dean will chair all Boards of Examiners and Examination Committees.

C13.14.2 Experience

A Chair of a Board of Examiners will normally have experience of Boards of Examiners and have participated in relevant staff development on an annual basis.

C13.15 Information to Boards of Examiners

C13.15.1 Module Assessment Outcomes

The schedule of module assessment outcomes as forwarded from relevant Examination Committee(s) (or determined in the earlier part of the meeting of the Board of Examiners) should be tabled as a confidential paper.

C13.15.2 Report from the Mitigation Panel

The recommendations of the Mitigation Panel in respect of students who have requested that extenuating circumstances be taken into account should be tabled as a confidential paper.

C13.15.3 Reports from Examination Committee(s)

Reports from Examination Committee(s) on matters relating to individual students should be tabled as a confidential paper.

C13.15.4 Identification of Need of Further Consideration

The following students should be clearly identified:

- students on whom further evidence will be presented to the Board
- students who have failed to complete the requirements for level progression or for an award.

C13.15.5 Other Relevant Documentation

Where the Board will consider further evidence concerning a student (for example in cases of cheating, plagiarism or other forms of unfair practice), relevant documentation will be prepared to permit due consideration of the matter in question.

C13.15.6 Written Reports

Where relevant, tutors should provide written reports on such students to the Board.

Reliance solely on oral comment at the Board of Examiners itself should be avoided.

C13.16 Discussion and Decision-Making

C13.16.1 Possible Courses of Action

The Chair should clearly identify the courses of action open to the Board of Examiners.

C13.16.2 Voting

Provisions in respect of voting at Boards of Examiners are:

- votes should be avoided where possible;
- if a vote is taken, all voting members of the Board may vote [see Section C12: Boards of Examiners and Examination Committees];
- the Chair has a casting vote.

For non-voting members, see Section C12.1.11.

C13.16.3 Declaration of a Matter of Principle

When a Chair has identified a course or courses of action open to the Board or Committee, where necessary external examiner(s) should be asked to declare whether any of these courses of action is a matter of principle.

On any matter which the external examiner(s) have declared a matter of principle, the decision of the external examiner(s) shall either:

- be accepted as final by the Board of Examiners or Examination Committee
or
- be referred to the Academic Board.

C13.16.4 Disagreement on a Matter of Principle: Adjournment

If the external examiners are in disagreement about a matter or matters of principle, the Chair should call a short adjournment to give them the opportunity to resolve their disagreement.

C13.16.5 Disagreement on a Matter of Principle: Resolution

If the disagreement has not been resolved, the following apply:

- no decision can be taken on the specific matter under consideration
- the matter will be referred to the Academic Board for resolution
- the Board or Committee can resume its deliberations on other matters.

C13.16.6 Disagreement between External Examiner(s) and the Board

Any unresolved disagreement between external examiner(s) and a Board of Examiners will be referred to the Academic Board for resolution.

C13.16.7 Disagreements between External Examiners

Where an external examiner disagrees with other external examiners, and will not agree a recommendation, it is for the Academic Board to ensure that the matter is resolved.

If the disagreement concerns only one or more individual students, the recommendations for all other students should be signed.

C13.16.8 External Examiner's Veto

Other than where they declare a matter of principle, external examiners do not have an automatic veto over the decisions of a Board of Examiners or Examination Committee.

C13.17 Discussion of the Marks Overall

C13.17.1 Discussion of the Marks Overall

Discussion of the marks overall precedes discussion of individual marks. The following provisions apply:

(A) Internal Examiners

The internal examiners should be given the opportunity to comment on the marking and student performance overall.

(B) External Examiners

The external examiner(s) should be given the opportunity to comment on the level of internal marking.

C13.18 Consideration of Individual Results

C13.18.1 Individual Results

Consideration of individual results should be conducted as follows:

- the marks of each student should be considered together with any written evidence pertaining to that student;
- the consideration of extenuating circumstances should be conducted in accordance with Section C13. 19;
- the consideration of Conditional Awards should be conducted in accordance with Section C13. 21;
- any amendment to the marks will be agreed and recorded on the mark sheet/schedule;
- the overall result for the student will be agreed.

C13.18.2 Decisions of Boards of Examiners

The schedule of possible decisions open to a Board of Examiners is found in Section C13. 29

C13.19 Consideration of Extenuating Circumstances by Boards of Examiners

C13.19.1 Consideration

A Board of Examiners should seek to establish to its satisfaction that a student's:

- inability to submit assessed coursework on the required date
- absence from examinations or other scheduled assessments
- failure to submit assessed coursework
- poor performance.

was wholly or in part due to a cause found to be valid on consideration of the evidence presented.

C13.19.2 Report from Mitigation Panel

Boards of Examiners will receive a report of decisions from a Mitigation Panel in respect of submitted extenuating circumstances in accordance with the provisions of Section C15.

C13.19.3 Determination

On the basis of this report of decisions, a Board of Examiners will determine the mitigation to be permitted (if any) in accordance with the provisions of Section C15.

C13.19.4 Mitigation: Deferral of Assessment

If the Board of Examiners permits mitigation, the mitigation will normally be permission for the student to be assessed in the work in question as if for the first time. Such a student is deemed deferred.

If the student fails the deferred assessment, any re-assessment will be in accordance with current University Regulations.

C13.19.5 Sole Form of Mitigation

A deferral will normally be the sole form of mitigation offered by a Board of Examiners.

C13.19.6 Exceptional Circumstances: Other Forms of Mitigation

In *exceptional circumstances*, and at its discretion, a Board of Examiners may:

- permit the student to be assessed in a form agreed by the Board
- deem the student to have passed the assessment
- award a mark
- raise a mark or permit re-assessment to raise a mark
- offer the relevant award if it is the final stage.

C13.19.7 Deem the Student to Have Passed the Assessment

Where the Board is satisfied as to the student's progress overall, the work relating to the level and the overall achievement of the learning outcomes, it may deem the student to have passed the assessment(s) in question.

C13.19.8 Award a Mark

(A) Decision to Allocate a Mark

The Board may allocate a mark, where it is satisfied that:

- the student's achievement overall in the programme of study is of high quality and
- the record of work relating to the level is good.

(B) Determination of the Allocated Mark

Such an allocated mark may be:

- the average of the student overall
- the average for that cohort
- another mark.

(C) Student Option

The student will be given the choice between:

- accepting the mark
- being assessed as for the first time.

C13.19.9 Re-assessment or Raised Mark

Where the student has passed the module(s) but where the grade or mark attained is lower than might reasonably be expected from the student's overall performance, the Board may permit the student either:

- to be re-assessed in that module permitting the mark to be raised
- award a higher mark.

C13.19.10 Offer the Relevant Award

Where the Board is satisfied as to the student's progress overall in the work relating to the programme of study it may:

- deem the student to have passed the assessment(s) in question
- offer the relevant award if it is the final stage.

C13.20 Award Classification

C13.20.1 Award Classification: Bachelor with Honours

The classification of awards of Bachelor with Honours should be determined in accordance with the provisions of Section C4: Conferment of Awards.

C13.20.2 Merit and Distinction

The award of merit or distinction should be determined in accordance with the provisions of Section C4: Conferment of Awards.

C13.21 Conditional Awards

C13.21.1 Awards without Degree Classification

If a student's final award cannot be determined at the Board of Examiners the following provisions apply:

- whenever possible, a conditional award should be made (eg award subject to passing a placement/teaching practice etc.);
- where this is done it is not necessary to reconvene the whole Board of Examiners in order for the award finally to be determined;
- the Board of Examiners should formally endorse Chair's Action in respect of such a conditional award.

C13.21.2 Honours Degree Classification

Where Honours Degree classification is to be decided, the above apply with the additional requirement that the external examiner(s) present at the Board of Examiners must be associated with the decision.

“Associated” may be by oral agreement followed by written confirmation.

C13.22 Contained Awards

C13.22.1 Entitlement and Recording

Where relevant, entitlement to a contained award should be noted and minuted.

C13.23 Re-assessment

C13.23.1 Opportunity for Re-assessment

If relevant, students may be offered the opportunity for re-assessment under the provisions of Sections C3: Student Progression and C4: Conferment of Awards.

C13.23.2 Tutorial Support

The responsibility for providing tutorial guidance to the student should be identified.

C13.23.3 Information and Confidentiality

Tutors should take care not to disclose the confidential proceedings of the Board of Examiners or Examination Committee, and should guide the student on what they now have to do.

C13.23.4 Reconvened Boards of Examiners: Student Outcomes

If a Board of Examiners decides that re-assessment outcomes will be determined by a Reconvened Board of Examiners, the Board of Examiners should:

- determine the course of action in the event of the student successfully re-submitting for assessment;
- determine the course of action in the event of the student failing the re-assessments;
- determine the course of action in the event of the student failing to achieve the requirements for level progression.

C13.23.5 Reconvened Board of Examiners: Recommendations for Awards

If a Board of Examiners decides that re-assessment outcomes will be determined by a Reconvened Board of Examiners, the Board of Examiners should:

- determine the arrangements by which the external examiner may be associated with the decision in the event of the Re-convened Board of Examiners making a recommendation for an award of the University.

“Associated” may be by oral agreement followed by written confirmation.

C13.23.6 Membership of the Reconvened Board of Examiners

If a Board of Examiners decides that re-assessment outcomes will be determined by a Reconvened Board of Examiners, the Board of Examiners should determine the membership of the Reconvened Board of Examiners.

C13.24 Completion and Repeat

C13.24.1 Opportunity to Complete/Repeat

A student may be offered the opportunity to complete or repeat a level under the provisions of Sections C3: Student Progression and C4: Conferment of Awards.

C13.24.2 Information to Students

In cases of students being required to complete or repeat a level, the Board must make clear:

- what is being required of the student
and
- what options (if any) are open to the student.

C13.25 Student Results

C13.25.1 Accuracy

At the conclusion of the determination of individual results, the overall result for each student will be read from the results sheet/spreadsheet as a final check on its accuracy.

C13.25.2 Signing the Results Sheet

The results sheet/spreadsheet will then be signed by the Chair of the Board and the external examiner(s).

C13.25.3 Recommendations for Awards

No recommendations for an award of the University may be made without the written consent of the external examiner(s).

This is normally through the signing of the results sheet/spreadsheet.

C13.25.4 Proper Conduct and Review/Appeal

The signing of the results sheet/spreadsheet by the external examiner(s) is also confirmation:

- that the external examiner is satisfied that the Board has been conducted in accordance with the Regulations of the University;
- that any further consideration of any of the decisions of the Board is limited to the provisions of Section C16: Appeal Against the Decision of a Board of Examiners or Examination Committee.

C13.25.5 Recording of Results

The recording of the results on the University's student record system will proceed as provided for in the relevant Procedures.

C13.26 Confidentiality

C13.26.1 Results Sheets/Spreadsheets

Results sheets/spreadsheets may be retained by:

- the Chair
- External Examiner(s)
- the Scheme/Course Leader (or equivalent)
- any other staff authorised to disclose results.

All other results sheets/spreadsheets must be collected at the end of the meeting.

C13.26.2 Disclosure of Results

Only designated staff are authorised to disclose results [see Section C13. 27].

C13.26.3 Proceedings and Outcomes

All members of the Board of Examiners should take care not to disclose the confidential proceedings or outcomes of the Board.

C13.27 Disclosure

C13.27.1 Coursework Marks

Marks awarded for coursework at any stage should be disclosed to the student, but it should be made clear that the marks are subject to:

- internal moderation
- moderation by external examiners
- the final decision of an Examination Committee and/or Board of Examiners.

C13.27.2 Confirmed Marks

Students will be informed of their confirmed marks as adjusted and agreed by the Committee and Board for all levels of a programme of study, both:

- overall
and
- for individual modules.

C13.27.3 Disclosure of Individual Results

The following provisions apply:

- disclosure of the module outcomes of an individual student must be to that student only or, in exceptional circumstances, to another third party specifically authorised by the student;
- disclosure should be done only by an authorised tutor, either orally in a tutorial situation or by an official letter;
- clerical/secretarial staff should be instructed not to give out results or marks.

[See also Section C14: Disclosure of Assessment Results]

C13.27.4 Publication of Overall Results

Results lists (which include the results of deferred/referred students) will be prepared and published in accordance with the relevant Procedures. These will be signed by the Chair of the Board and the Scheme/Course Leader (or equivalent).

These will be published within five working days following the Board meeting.

C13.28 Conduct of Reconvened Boards of Examiners

C13.28.1 Functions of a Reconvened Board of Examiners

A Reconvened Board of Examiners will fulfil the functions of both an Examination Committee (determination of module assessment outcomes) and a Board of Examiners.

C13.28.2 Membership

The membership of a Reconvened Board of Examiners will be as determined by the Board of Examiners in accordance with Sections C12. 4.4 to C12. 4.7.

C13.28.3 External Examiners

One external examiner shall be associated with the decisions of the Reconvened Board of Examiners where such a Reconvened Board considers student assessment outcomes above the level of Certificate of Higher Education (unless the Certificate of Higher Education is the target award).

“Associated” may be by oral agreement followed by written confirmation.

All external examiners have the right to attend and vote.

C13.28.4 Attendance

Attendance at the Reconvened Board of Examiners should meet the minimum requirements for membership. Where designated members are unable to attend the meeting, the Chair of the Board may replace them with substitute members to ensure the minimum attendance requirements.

C13.28.5 Minutes of the Board of Examiners

The confirmed minutes of the Board of Examiners should be tabled at the meeting of the Reconvened Board of Examiners so as to have available the previously determined:

- course of action in the event of the student successfully re-submitting for assessment
- course of action in the event of the student failing the re-assessments
- course of action in the event of the student failing to achieve the requirements for level progression.

C13.28.6 Proceedings

The Reconvened Board of Examiners should proceed according to the Regulations and Procedures for Boards of Examiners in respect of:

- record of attendance
- chairing of the Reconvened Board
- information to the Reconvened Board of Examiners
- discussion and decision-making
- consideration of individual results
- consideration of extenuating circumstances

- determination of student outcomes (awards, conditional awards, honours degree classification, contained awards, re-assessment, completion and repeat)
- student results
- confidentiality
- disclosure.

C13.28.7 Consultation with External Examiner

The Chair of the Reconvened Board of Examiners should consult with the designated external examiner when difficult or borderline cases are to be considered.

C13.28.8 Recommendations for Awards

No recommendations for an award of the University may be made without the written consent of the external examiner.

The written consent of the designated external examiner to any recommendations for award made by a Reconvened Board of Examiners should be obtained by the arrangements previously agreed by the Board of Examiners.

C13.28.9 Proper Conduct and Review/Appeal

The written consent of the external examiner(s) is also confirmation that, in respect of the recommendation for the award:

- the external examiner is satisfied that the Reconvened Board of Examiners has been conducted in accordance with the Regulations of the University.
- any further consideration of any of the decisions of the Reconvened Board of Examiners is limited to the provisions of Section C16: Appeal Against the Decision of a Board of Examiners or Examination Committee.

C13.29 Schedule of Possible Decisions

C13.29.1 Schedule of Possible Decisions: Board of Examiners

The following is a schedule of the possible decisions open to a Board of Examiners.

C13.29.2 Schedule of Possible Decisions: Examination Committees

Examination Committees should use whichever of these available decisions are relevant for Level 4 students and the recording of credit for students not presented for level progression or for an award.

Pass Award

Successful completion of final level; the student is eligible for a final award; there will not be any subsequent levels.

The award may be made with a classification, merit or distinction (if appropriate).

Note that 'final' may include an alternative award, it may also include a student who has withdrawn and takes a previous, lower level award, which had been obtained.

Pass Proceed

Successful completion of level; eligible to proceed to next level. The student does not receive an award at this point.

Award Proceed

Successful completion of level; eligible to proceed to next level. The student may receive a contained award.

Components Pending

Failed to achieve the requirements to progress to next level. Offered the opportunity for *re-assessment* to complete the level. Re-submitted work to be completed by a specified date.

Level Incomplete

Non-progression decision. The student is not yet ready to be presented for progression.

Failed - Complete

Failed the level/part of level. Offered the opportunity to:

- enrol with part-time mode of attendance on the same full-time level;

Attendance at the institution is required.

Failed - Repeat

Failed the level/part of level. Offered the opportunity to repeat the whole of the level in full-time mode.

Attendance at the institution is required.

Failed Placement

Failed the compulsory placement. Offered the opportunity to:

- repeat the placement
or
- transfer to an alternative programme of study.

Failed - Withdraw

Failed the level. Required to withdraw. Re-enrolment is not normally permitted to the same programme of study.

Deferred

The decision is being deferred until a later date for further information, e.g. marks not available, work outstanding, etc. This deferral is likely to be for a prolonged period, i.e. greater than one week.

Deferred Proceed

The decision to pass the level is deferred. Eligible to proceed to next level carrying forward outstanding modules.

Module Deferred (Mitigation)

Assessment of one or more modules deferred to specified later date.

Chair's Action

The decision is subject to immediate action by the Chair *where that action is agreed beforehand by the Board.*

Conditional Award

Award to be confirmed at a subsequent meeting of the Board or Reassessment Committee.

Letter of Completion

The student has been successful on part of the level and has accumulated credits (normally relevant for taster courses only).

Exchange Student

The successful student is on an exchange and is not assessable by Leeds Beckett University (to be used when an exchange student has enrolled on a Leeds Beckett University awardset.)

Not Assessed

The student's level is, for example, a sandwich year, for which there is no assessment.

Academic Principles and Regulations

Section C14: Disclosure of Assessment Results

August 2015

Approved June 2002;
Amended June 2003, July 2004, July 2005, May 2006, July 2007, May 2008, July 2009 and July 2013



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SECTION C14: DISCLOSURE OF ASSESSMENT RESULTS

C14.1 Assessment Outcomes Prior to the Board of Examiners

C14.1.1 Assessment Outcomes: Coursework

Written essays, assignments and other work will normally be returned with appropriate feedback within four weeks of their submission.

C14.1.2 Coursework Marks

Marks awarded for coursework at any stage should be disclosed to the student, but it should be made clear that the marks are subject to:

- internal moderation
- moderation by external examiners
- the final decision of an Examination Committee and/or Board of Examiners.

C14.1.3 Confidentiality

Disclosure of the detailed assessment outcomes of an individual student (e.g. actual mark(s) achieved) must be to that student only; except for marks which are posted by student ID as provided for in Section C14. 1.5.

Any written feedback on an individual assessment must be confidential to that student only.

C14.1.4 Assessment Outcomes: Examinations

The assessment outcomes of examinations will be made available to the student in accordance with University Regulations either:

- during the course of the academic year to permit re-assessment if required
- or
- after the meeting of the relevant Board of Examiners or Examination Committee.

C14.1.5 Publication of Assessment Outcomes: Re-assessment

At the conclusion of the full assessment process for each module, the internally-moderated module results will be given to the Scheme/Course Leader (or equivalent).

The Scheme/Course Leader (or equivalent) will then publish interim student outcomes. Where the student ID number is used, individual marks may be posted. Where names are used, outcomes must be designated pass/fail only. The publication of these interim student outcomes will be in accordance with current University procedures.

The purpose of the publication of these interim outcomes is solely to enable a student to identify the opportunity for re-assessment.

C14.2 Assessment Outcomes After the Board of Examiners

C14.2.1 Confirmed Marks

Students will be informed of their confirmed marks as agreed by the Board of Examiners or Examination Committee for all levels of a programme of study, both:

- overall
- and
- for individual modules.

C14.2.2 Disclosure of Individual Results

Disclosure of the detailed module outcomes of an individual student (e.g. actual marks achieved) must be to that student only.

C14.2.3 Confidentiality

Disclosure of the detailed module outcomes must be done only by an authorised tutor, either orally or by letter.

C14.2.4 Publication of Progression or Award Decisions

Results lists (which include the results of deferred/referred students) will be prepared and published in accordance with the current University Procedures, and will be published within 5 working days of the meeting of the Board of Examiners.

C14.2.5 Form of Results Lists

Results lists will take a standard form namely:

Leeds Beckett University

Award

Assessment results level:

- *Surname, forenames*: Pass/deferred/referred (include details as necessary)

Classifications thus:

- First; Upper Second; Lower Second; Third Class Honours; Pass Degree

At the foot of the final sheet:

- Date of the Board of Examiners meeting
- Signature of the Chair of the Board of Examiners and the Scheme/Course Leader (or equivalent)

C14.3 Confidentiality

C14.3.1 Disclosure to the Student

Disclosure of detailed assessment outcomes of an individual student must be to that student only in accordance with the provisions of Sections C14.1 and C14.2.

C14.3.2 Telephone Enquiries

Student outcomes either overall or for individual modules *will not be given out over the telephone*.

C14.3.3 Disclosure to Third Parties

Disclosure to third parties may only be done in exceptional circumstances.

C14.3.4 Conditions of Disclosure to Third Parties

Disclosure to any third party will only be done:

- if specifically authorised by the student with express written consent;
- and
- in accordance with the terms of that authorisation.

C14.4 Storage of Marks and Other Assessment Information

C14.4.1 Storage of Marks Prior to the Meeting of the Board of Examiners or Examination Committee

Raw, internally-moderated and externally-moderated marks can be stored either electronically or manually prior to the meeting of the Board of Examiners or Examination Committee.

C14.4.2 Presentation to the Board or Committee

A schedule of internally-moderated and externally-moderated marks can be presented to the Board of Examiners or Examination Committee.

C14.4.3 Final Marks

The confirmed marks and results of the Board of Examiners are the definitive outcomes of the assessment process.

C14.4.4 Storage of Final Marks

Final marks can be stored either electronically or manually provided that these are maintained in a secure location.

C14.4.5 Purpose of Storage of Final Marks

The final marks are stored for the purpose of record-keeping only.

The formal minuted decisions of Boards of Examiners and Examination Committees are the formal University record and are retained for this purpose.

C14.4.6 Deletion/Destruction of Other Marks

University staff should delete or destroy all other marks stored prior to the meeting of the Board of Examiners or Examination Committee within two working days of that meeting.

C14.4.7 Coursework: Retention by the University

A sample of major coursework assessment will be retained for one year after the meeting of the Board of Examiners or Examination Committee at which the assessment was considered.

C14.4.8 Examination Scripts: Retention by the University

Examination scripts, including examination submissions in other media, shall be retained for one year after the date of the meeting of the Board of Examiners or Examination Committee at which the student outcomes were considered.

C14.4.9 Purpose of Retention of Coursework and Scripts

A sample of major coursework assessment and examination scripts are retained for external audit purposes only.

C14.4.10 Secure Storage

The Faculty must establish secure arrangements for the storage of retained coursework and examination scripts.

C14.5 Information to Students

C14.5.1 Information on Disclosure

Students will be informed of the University's provisions for the disclosure of assessment outcomes and for the publication of results.

C14.5.2 Alternative Disclosure Methods

Students will be informed of the possibility of alternative disclosure methods.

C14.5.3 Agreement to Disclosure

In the absence of any specific request for alternative disclosure methods, the student will be deemed to have consented to the University's Regulations and Procedures in respect of disclosure.

C14.5.4 Request for Alternative Disclosure Methods

Consideration will be given to alternative disclosure methods for any student who for good reasons requests alternative disclosure methods.

Requests for alternative disclosure method(s) should be made in accordance with the current guidance issued by the Secretary and Registrar.

C14.6 Related Disclosure

C14.6.1 Request for an Appeal Hearing

A student requesting an appeal against a decision of a Board of Examiners or Examination Committee will be provided with information in accordance with the provisions of Section C16: Appeal Against the Decision of a Board of Examiners or Examination Committee.

C14.6.2 Requests for Other Information

Requests for any further information relating to assessment results beyond that detailed in these Regulations may be pursued by an individual under the provisions of the Data Protection Act 1998. The University will address any such request in accordance with the provisions of that Act.

APPENDIX A: LEGAL CONTEXT

LEGAL CONTEXT

C14.A1 Data Protection Act 1998

Under the terms of this Act students have the right, on the payment of a fee, to see personal data. This includes data held on computer or other electronic storage systems, and structured manual files.

C14.A2 Personal Data

The 1998 Data Protection Act defines “Personal Data” as:

“Personal Data’ are data which relate to a living individual who can be identified from that information, or from that data and other information in the possession of the data controller or which are likely to come into his or her possession. These include any expression of opinion about the individual and of the intentions of the data controller in respect of that individual”.

C14.A3 Data Subject Access

The 1998 Data Protection Act defines “Data Subject Access” as:

“Data Subject Access’ is the right of an individual to access personal data relating to him or her which is held by a data controller”.

C14.A4 Exclusions

Personal Data consisting of information recorded by candidates during an examination are exempt from subject access under the Data Protection Act 1998.

“Examination” means “any process for determining the knowledge, intelligence, skill or ability of a candidate by reference to his or her performance in any test, work or other activity”; and thus includes written assessment work and assessment work submitted in other media.

C14.A5 Permitted Extension of Timescales

Where a Data Protection Act subject access request is made in relation to examination marks or results before these have been announced, the timescale is extended to whichever of the following is earlier:

- five months from the date on which the request was received (or from the date on which the fee and any required additional information was received); or
- forty days from the announcement of the examination results.

Academic Principles and Regulations

Section C15: Extenuating Circumstances and Mitigation

August 2015

Approved June 2002;
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SECTION C15: EXTENUATING CIRCUMSTANCES AND MITIGATION

REGULATIONS

C15.1 General Provisions

C15.1.1 Definitions

Extenuating Circumstances are those which:

- affect a student's ability to attend or submit assessment(s)
- are outside a student's control
- can normally be corroborated with original documentary evidence
- occurred during or shortly before scheduled assessment

Mitigation is awarded to lessen the harmful effect of extenuating circumstances on student's assessment outcomes.

C15.1.2 Fit to Sit/Submit Principle

The University Extenuating Circumstances and Mitigation regulations are based on the principle of fit to sit/submit. The principle asserts that students who undertake an assessment declare themselves fit to take that assessment; any claim for extenuating circumstances in relation to that assessment will not, normally, be considered.

C15.1.3 Non-submission

Where a student has not declared themselves fit to sit/submit and has not completed a request for mitigation the respective assessment(s) will normally be recorded as non-submission(s).

C15.1.4 Extenuating Circumstances

Students may submit requests for consideration of extenuating circumstances in respect of:

- inability to submit assessed coursework on the required date
- inability to sit an examination or other scheduled assessment on the required date
- . The same extenuating circumstances may not be claimed more than once for the same assessment.

C15.1.5 Mitigation

If the submitted extenuating circumstances are found to be valid, mitigation in respect of these will be considered in accordance with the University Regulations. There are two types of mitigation:

- Mitigation at the point of assessment
- Other Mitigation determined by a Mitigation Panel

C15.1.6 Mitigation at the Point of Assessment

Mitigation at the point of assessment in respect of coursework submissions will be considered and determined within the Faculty, and a report of any mitigation granted will be made to the relevant Mitigation Panel [See Section C15.7 below].

C15.1.7 Other Mitigation.

All other requests for consideration of extenuating circumstances must be submitted to the relevant Mitigation Panel and outcomes are forwarded to the appropriate Board of Examiners. The Board determines what action (if any) should be taken. The nature of the extenuating circumstances themselves is not disclosed to the Board.

C15.1.8 Consequences of Failure to Notify: Appeal

If, without good cause, a student fails to seek consideration of extenuating circumstances in accordance with University Regulations and guidance, normally, any Request for an Appeal Hearing on the grounds of these extenuating circumstances will be rejected.

C15.1.9 Mitigation Panels

The University authorises the establishment of Mitigation Panels at Faculty level to:

- consider extenuating circumstances
- make appropriate recommendations to the relevant Boards of Examiners.

For collaborative partners panels will be established at an appropriate level as determined by the University.

C15.1.10 Authorised Absence from Assessment

Students are permitted to seek permission for an authorised absence from assessment in relation to circumstances which are outside the fit to sit/submit principle. Such circumstances may include, but are not limited to, Jury Service, UK Border Agency interviews, and court proceedings.

A request for authorised absence from assessment must be directed to the designated member of Academic Staff for approval.

Authorised absence from assessment must be supported by original documentary evidence.

All requests for Authorised absence from assessment will be presented to the Mitigation Panel for information.

Authorised absence from assessment will be recorded in the University's student record system.

C15.2 Responsibility of Students

C15.2.1 Student Responsibility

It is the responsibility of the student to do the following:

- Declare themselves fit to sit/submit by attending or submitting assessment.
- Inform the University of any extenuating circumstances which they wish to be taken into consideration in respect of inability to submit assessed coursework and/or sit examinations or other scheduled assessment. Ensure the request is received in writing, in the appropriate manner and is received by the designated member of staff
- Ensure the request is supported by original documentary evidence
- Ensure the request clearly states the module or modules affected and the specific assessment(s) affected
- Ensure the request clearly states the date(s) for or between which the submitted extenuating circumstances are being claimed. Failure to do so may result in the mitigation panel being unable to recommend any mitigation.

C15.2.2 Formal Notification

Extenuating circumstances will normally only be taken into account if the formal provisions for notification [Section C15.6 below] are followed.

C15.2.3 Timing

A student who has not taken assessment because they consider themselves to be unfit must make a request for consideration of their extenuating circumstances at the earliest possible time and normally no later than 5 working days from the date of assessment.

Where a student has declared themselves fit to sit/submit but later deems their declaration to have been incorrect they will, in exceptional circumstances, be permitted to submit extenuating circumstances within 5 working days of the date of assessment. For example, becoming ill during an examination.

C15.2.4 Evidence

All requests for consideration of extenuating circumstances must be substantiated by original, documentary evidence.

Evidence should be submitted with the request and normally no later than 5 working days of the request for extenuating circumstances being received by the University.

C15.3 Information to Students

C15.3.1 Information

It is the responsibility of the Dean of Faculty to ensure that students have access to the following information:

- the current University Regulations and associated guidance
- the name of the person(s) designated to receive requests for consideration of extenuating circumstances
- the location to which Extenuating Circumstances should be directed, including electronic submission
- sufficient advance notice of the dates by which such submissions must be submitted to enable them to be presented
- appropriate sources of advice and guidance.

C15.3.2 Discussion with University Staff

Discussion of problems or difficulties with a member or members of University staff does not in itself constitute a submission of extenuating circumstances.

C15.3.3 Statements from University Staff

Any relevant statement to be presented to a Mitigation Panel as original documentary evidence arising from previous discussion with or disclosure to a member of University staff

- Needs to be requested from that member of staff by the student
- Be in writing
- Be submitted by the student

C15.4 Confidentiality

C15.4.1 Details of Extenuating Circumstances

All submissions giving details of extenuating circumstances will be confidential to the University staff authorised to receive and consider them, except for the provisions of C15.4.3 to C15.4.5 below.

C15.4.2 Discussion of Extenuating Circumstances

Discussion of extenuating circumstances by Mitigation Panels or Boards of Examiners will be confidential to those members of staff, except for the provisions of C15.4.3 to C15.4.5 below.

C15.4.3 Exceptions to Confidentiality

Submission of Extenuating Circumstances will not normally be disclosed outside the Mitigation Panel other than in the following circumstances:

- Where the needs of a Professional, Statutory or Regulatory Body requires wider disclosure.
- Where the decision of a Board of Examiners requires wider disclosure
- Where a student subsequently requests and is granted, an Appeal Hearing.
- Where investigation of matters under the general student regulations requires wider disclosure.
- Where there is a potential threat to life.

Wider disclosure will be limited to the External Examiner, Chair or Investigating Officer as appropriate to each circumstance. Where disclosure is deemed to be necessary beyond these person(s) the student(s) will be informed in advance of disclosure.

C15.5 Retention of Information

C15.5.1 Retention of Information

Records of extenuating circumstances will be securely retained as follows:

(A) Mitigation Granted

Where the outcome of consideration was that a form of mitigation was granted to the student, records relating to this will be retained for the student's duration of study plus one year.

(B) Mitigation not Granted

Where the outcome of consideration was that mitigation was not granted to the student (including on account of late submission of the request), records relating to this will be retained for the student's duration of study plus one year.

These provisions also apply to requests for mitigation at the point of assessment (Sections C15.6 and C15.7).

C15.5.2 Reasons for Retention of Information

Such information will be retained for the purposes of an Appeal against a decision of a Board of Examiners or Examination Committee (if appropriate).

C15.5.3 Destruction of Records

At the end of the period of retention, records of extenuating circumstances will be destroyed in a manner which ensures that confidentiality of the information is not breached.

C15.6 Submission of Extenuating Circumstances

C15.6.1 Written requests

All requests for the consideration of extenuating circumstances must be in writing in accordance with guidance issued by the University.

Electronic submissions are acceptable, provided that they are accompanied by verification of the student's identity via University systems (e.g. Student ID number).

Electronic submission must be followed by submission of original documentary evidence.

This includes requests for extensions to submission deadlines for coursework.

C15.6.2 Third Party Submission of Extenuating Circumstances

In exceptional circumstances, third party submission of extenuating circumstances will be accepted, provided they are accompanied by confirmation of the student's inability to submit themselves.

C15.7 Mitigation at the point of Assessment: Coursework

C15.7.1 Inability to meet coursework submission date

Students may seek an extension to a coursework submission date, where they have valid extenuating circumstances in respect of being unable to meet the relevant submission deadline.

C15.7.2 Requests for Coursework Extensions

Such requests must:

- be submitted to the person designated to receive them
- identify the circumstances

provide independent documentary evidence

C15.7.3 Consideration

Consideration of such requests will be made by a designated member of academic staff, appointed by the Faculty for this purpose.

C15.7.4 Outcome of Consideration

The outcome of the consideration will be that the extension will be permitted or not permitted. There is no appeal against the outcome of this consideration through the regulations for an Appeal against a Decision of a Board of Examiners or Examination Committee (see University Regulations Section C16).

C15.7.5 Length of Extensions

The length of the extension given will normally be:

- for five working days only - "Working Days" includes weekdays and vacations
- Saturdays, Sundays, Bank Holidays, Customary Days, and other days when the University is closed are not working days for the purposes of these regulations.

If the student requests a longer period of time and the member of staff considering the request finds this to be justified, the length of the extension given may normally be given to a maximum of 10 working days.

C15.7.6 Sole Form of Mitigation

Such an extension will normally be the sole form of mitigation allowed in respect of these extenuating circumstances.

C15.7.7 Reporting of Extensions

All extensions, where granted, must be reported to the Faculty Mitigation Panel and recorded in the University's student record system.

C15.7.8 Extensions Requested after the Submission Date

An extension will not normally be given after the date on which the coursework should have been submitted.

C15.8 Mitigation: Coursework, Examinations or Other Scheduled Assessments

C15.8.1 Mitigation: Coursework

A student who is unable to meet a coursework deadline may submit their extenuating circumstances to the Faculty Mitigation Panel where:

- their circumstances are valid and
- an extension to their course work deadline is not a suitable remedy or has already been exhausted

In cases where an extension has already been granted the student would need to demonstrate that their circumstances had changed in some way and how this had impacted upon their ability to submit assessment.

C15.8.2 Absence from Examinations or Other Scheduled Assessments

A student who was absent from an examination or other scheduled assessment and considers that they have valid extenuating circumstances in respect of this, must request consideration of those circumstances in accordance with University Regulations.

If the circumstances are found to be valid, the mitigation panel will permit the student to take the assessment as if at the first attempt (deferral) at the next available opportunity.

No special examination or other scheduled assessment will, normally, be provided for such students.

C15.8.3 Mitigation: Examinations

If the circumstances are found to be valid, the mitigation panel will permit the student to take the examination as if at the first attempt (deferral) at the next available opportunity.

No special examination will be provided for such students.

C15.9 Extenuating Circumstances affecting a Cohort of Students

C15.9.1 Presentation to Examination Committees or Board of Examiners

Extenuating circumstances which may have affected the performance of a cohort of students will be presented to the relevant Board of Examiners or Examination Committee acting on behalf of a Board of Examiners.

C15.9.2 Notification

The Scheme/Course Leader (or equivalent) (or nominee) is responsible for informing the Committee or Board of such circumstances.

C15.9.3 Consideration

Consideration of such circumstances will be conducted in accordance with Section C12 of the University Regulations: Boards of Examiners and Examination Committees. Where the circumstances are deemed to warrant this, the marks of the entire cohort may be adjusted upwards.

C15.10 Mitigation Panels

C15.10.1 Establishment

Mitigation Panels will be established for the consideration of extenuating circumstances presented to Boards of Examiners.

C15.10.2 Scope and Extent

Mitigation Panels may be established at Faculty level in accordance with current University Regulations.

For collaborative partners panels will be established at an appropriate level as determined by the University.

C15.10.3 Minimum Membership Requirement

The following members are required for all Mitigation Panels:

- Senior member of academic staff nominated by the Dean(Chair)
- At least two members of academic staff internal to the Faculty, nominated by the Dean
- A senior member of Support Staff nominated by the Dean
- One experienced member of academic or senior support staff external to the faculty in which the students are located
- a Secretary to the Panel (in attendance).

C15.10.4 Agenda and Recording

Mitigation Panels will be conducted, and their proceedings recorded in accordance with guidance issued by the University. Provision for letter(s) of advice to students with repeated requests for mitigation is included in the guidance.

C15.10.5 Receipt of Authorised Absence

The Mitigation Panel will receive a report of authorised absences granted by the designated officer, for information.

C15.10.6 Consideration of Extenuating Circumstances

The Mitigation Panel will consider the extenuating circumstances presented and will determine as follows:

- The degree of seriousness of the extenuating circumstances accepted
- The assessments which were evidenced by the relevant extenuating circumstances.

C15.10.7 Categorisation of Seriousness

The Mitigation Panel will categorise the seriousness of extenuating circumstances as follows:

- Category A – Very Serious
- Category B – Sufficiently Serious to defer assessment
- Rejected – the panel will reject claims which are late, not substantiated by original documentary evidence or are not deemed sufficiently serious to warrant deferral.

C15.10.8 Report to the Board of Examiners

The Mitigation Panel will make a report to the relevant Board of Examiners in respect of each student:

- Identifying the assessments which were affected by the extenuating circumstances and
- Categorising the seriousness of the relevant extenuating circumstances in respect of those assessments.

The Mitigation Panel will also present a report of all extensions to coursework assessment deadlines granted at the point of assessment and all outcomes of requests for authorised absence granted by the designated officer.

The Mitigation Panel may make no recommendations to the Board of Examiners beyond those specified here.

C15.10.9 Disclosure: Nature of the Extenuating Circumstances

The precise nature of the extenuating circumstances will not be disclosed to the Board of Examiners. Exceptions to confidentiality are detailed in regulation C15.4.3

C15.10.10 Notification of Outcomes to Students

All outcomes of the Mitigation Panel will be notified to students in writing in accordance with University guidance.

C15.11 Consideration of Extenuating Circumstances by Boards of Examiners

C15.11.1 Report from the Mitigation Panel

Boards of Examiners will receive a report from a Mitigation Panel in respect of submitted extenuating circumstances setting out its decisions as provided for under Section C15.10.7 above. The report may not be amended by a Board of Examiners. The Board of Examiners will consider the decisions advised by the Mitigation Panel and discuss appropriate action in respect of the students.

C15.11.2 Mitigation: Deferral of Assessment

The mitigation permitted by the Board of Examiners will normally be deferral of assessment to permit the student to be assessed as if for the first time.

C15.11.3 Category A

Category A mitigation permits the Board of Examiners to consider alternative forms of mitigation, detailed below (C15.11.4 – C15.11.7)

C15.11.4 Deem the student to have passed the assessment

Where the Board is satisfied as to the student's progress overall the work relating to the level and the overall achievement of the learning outcomes it may deem the student to have passed the assessment(s) in question.

C15.11.5 Award a mark

(A) Decision to allocate a mark

The Board may allocate a mark, where it is satisfied that:

- the student's achievement overall in the programme of study is of high quality;
- and
- the record of work relating to the level is good.

(B) Determination of the allocated mark

Such an allocated mark may be:

- the average of the student overall
- the average for that cohort
- another mark.

(C) Student Option

The student will be given the choice between:

- accepting the mark
- being assessed as for the first time.

C15.11.6 Re-assessment or raised mark

Where the student has passed the module(s) but where the grade or mark attained is lower than might reasonably be expected from the student's overall performance, the Board may permit the student either:

- to be re-assessed in that module permitting the mark to be raised
- award a higher mark.

C15.11.7 Offer the relevant award

Where the Board is satisfied as to the student's progress overall in the work relating to the programme of study, it may:

- deem the student to have passed the assessment(s) in question
- offer the relevant award if it is the final stage
- Offer an aegrotat award.

Academic Principles and Regulations

Section C16: Request for an Academic Appeal Hearing

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SECTION C16: APPEAL AGAINST A DECISION OF A BOARD OF EXAMINERS, EXAMINATION COMMITTEE OR RESEARCH DEGREES SUB-COMMITTEE

C16.1 Introduction

C16.1.1 Determination of Academic Outcomes

Academic Outcomes are determined by:

- Boards of Examiners;
- Examination Committees;
- Research Degrees Sub-Committee;
- Appeal Panels; or
- Unfair Practice Board (withdrawal only)

acting in accordance with the academic regulations of the University.

C16.1.2 Appeal against Academic Outcomes

Appeals against the decision of Boards of Examiners, Examination Committees, Research Degrees Sub-Committee or Unfair Practice Board acting in accordance with the academic regulations of the University will be permitted where the University has agreed that there are valid grounds for such an appeal.

C16.1.3 Student Complaints Procedure

An individual or group of students seeking redress in respect of a grievance relating to their position as student(s) of the University, should invoke the Student Complaints Procedure.

C16.1.4 Student Complaints Procedure and Grounds for Appeal

The outcome of the Student Complaints Procedure may provide grounds for appeal, either in itself or in association with other factors.

C16.1.5 Sequence of Procedures

Where any student who has invoked the Student Complaints Procedure lodges a Request for an Appeal Hearing before the Complaints Procedure has been concluded, the Appeal process will take precedence on account of its significance for the determination of progression or award.

C16.2 Rights and Responsibilities of Students

C16.2.1 Right of Appeal

All students have the right to seek an Appeal Hearing to reconsider a decision of a Board of Examiners, Examination Committee, Research Degrees Sub-Committee or Unfair Practice Board acting in accordance with the academic regulations of the University without risk of disadvantage. Appeal Hearings may only proceed where the University has agreed that there are valid grounds for the appeal. [See Section C16.6 below].

16.2.2 Group Appeals

The University will accept a request for an appeal hearing from students collectively. The Group may elect a spokesperson to liaise with the University on behalf of the group or communicate individually. In both cases the University will ensure communication is maintained with all members of the group to ensure the request fairly represents the views of all members of the group.

C16.2.3 Right to Accompaniment/Representation

Students have the right to be accompanied and/or represented at all stages of the process provided that the companion or representative is not a professionally contracted advocate (with the exception of Staff of the Students' Union).

C16.2.4 Right to Information and Advice

Students have the right to full information on the regulations and procedures in respect of Appeals; and to advice on their nature and operation.

C16.2.5 Right to Continue with Studies

A student whose case is under consideration within these regulations and procedures has the right to continue with his or her studies, subject to the provisions of Section C16.4 below.

C16.2.6 Notification of Factors Affecting Performance

It is the responsibility of a student to draw to the attention of the University any factors which they consider may have adversely affected their performance in assessments. This should be done as soon as possible in order that any due remedial action within the University Academic Regulations may be taken.

C16.2.7 Consequences of Lack of Notification.

Failure to seek remedial action or otherwise draw the attention of the University to relevant circumstances may lead to the rejection of a Request for an Appeal Hearing. This is particularly the case in respect of:

- perceived deficiencies in the management of a Scheme or Course
- disclosure of extenuating circumstances.

[Further details of this are found in Section C16.6 below].

C16.2.8 Results, Documentation and Evidence

It is the responsibility of the student to:

- ascertain his or her assessment outcomes
- submit all documentation required in respect of the appeal process
- submit any evidence connected with the appeal process
- arrange for accompaniment or representation (if required)
- provide accurate details of contact address, e-mail address (if available) and telephone number.

C16.3 Information and Advice to Students

C16.3.1 Information to Students

The University will make full information on these regulations and procedures available to students.

C16.3.2 Advice on Regulations and Procedures

This information to students will also identify sources of University advice to students on these regulations and their operation. This advice will be limited to advice on the requirements and operation of the regulations and procedures and will not extend to assistance with the preparation of a Request for an Appeal Hearing which remains the responsibility of the individual student; or to assistance with any Appeal Hearing.

C16.3.3 Students Union

A student who is considering seeking an appeal hearing is strongly advised to contact the Students Union. Staff of the Students Union are able to give advice on the regulations and their operation. They may also assist with the identification and framing of the grounds on which the appeal is sought; and/or advise or represent the student during any subsequent Appeal Hearing.

C16.4 Continuation of Studies

C16.4.1 Continuation of Studies

A student whose case is under consideration within these regulations and procedures normally shall have the right to continue with his or her studies until such time as a final decision is reached, unless this conflicts with requirements in respect of professional practice.

C16.4.2 Professional Practice

The determination of the requirements of professional practice will be taken by the relevant Dean of Faculty (or nominee) on the advice of appropriate members of staff.

C16.4.3 Purpose of the Right of Continuation of Studies

The right is intended to ensure that a student whose appeal is successful is not academically disadvantaged. Accordingly:

- it shall not be interpreted as acceptance of the student on a subsequent level of the programme of study; and

- satisfactory progress during such attendance is not admissible as evidence in any stage of the appeal process.

C16.4.4 Limits on Continuation of Studies

This right shall not apply to any student whose fees, charges and other debts have not been paid within the academic session in which the debts were incurred, or the period of the programme of study, if less.

C16.4.5 Administrative Arrangements

The Secretary and Registrar's Office will make the administrative arrangements necessary to ensure that the student's formal status is appropriate for this purpose.

C16.5 Reimbursement of Expenses

C16.5.1 Entitlement to Reimbursement

Subject to the limits below, the University will meet reasonable and proportionate expenses necessarily incurred by:

- any appellant; and
- one accompanying person where the student would otherwise be attending the appeal alone.

C16.5.2 Expenses which the University will not meet

The University will not meet, and is not liable for, the following:

- expenses incurred by an appellant who fails to attend a hearing
- travel expenses of an accompanying person travelling from outside the UK
- costs of legal advice
- expenses of any Officer of the Students Union
- expenses of any friend of the appellant, where the appellant is accompanied or represented by the Students Union.

C16.5.3 Evidence for Claims

The University will require appropriate documentary evidence, including receipts, in support of all such expenses.

C16.5.4 Resolution of Disputes over Expenses

The Secretary and Registrar will make a decision, which shall be final, in respect of a dispute over:

- the legitimacy of a specified expense
- the amount claimed
- the validity of supporting evidence.

C16.6 Grounds for Appeal

C16.6.1 Appeal Hearings

Permission for an Appeal Hearing against a decision of a Board of Examiners, Examination Committee, Research Degrees Sub-Committee or Unfair Practice Board acting in accordance with the academic regulations of the University will only be granted where a student can adduce valid grounds for such an appeal.

C16.6.2 Student's Responsibility

It is the student's responsibility to provide the University with sufficient information for a decision on acceptance or rejection of grounds for appeal to be made. The evidence which it is intended to submit need not necessarily be included in the Request for an Appeal Hearing, but the nature of such evidence needs to be identified. The submission of evidence must take place within 5 working days of the appeal request being submitted. [See Section C16.7.8 below].

C16.6.3 Excluded Matters

Disagreement with the academic judgement of a Board of Examiners, Examination Committee or Research Degrees Sub-Committee cannot, in itself, constitute a valid ground for appeal. [See Section C16.9.6]

C16.6.4 Valid Grounds for Appeal

There are 4 categories of valid grounds for appeal. These are:

- computational error
- material procedural or administrative error
- programme management deficiencies
- extenuating circumstances, which, for valid reasons, were not previously disclosed.

C16.6.5 Computational Error

A student who has reason to believe that a computational error has been made in respect of their Academic Outcomes, should lodge a Request for an Appeal Hearing, stating:

- the reasons for the belief that a computational error has taken place
- what they think the computation should have been and why.

C16.6.6 Initial Action on Computational Error

The Secretary and Registrar's Office will raise the query with the Faculty/Partner concerned. If the belief is found to be correct, appropriate action to rectify the matter will be taken by the Faculty Associate Dean; the student notified of this; and the matter deemed to be concluded informally without the need for an Appeal Hearing. If the Faculty/Partner maintains the computation is correct, and the student does not accept this view, the matter will proceed to appeal.

C16.6.7 Material Procedural or Administrative Error

An Appeal Hearing on the grounds of material procedural or administrative error might arise in relation to concerns about:

- the conduct of assessments or examinations
- the proceedings of the Board of Examiners, Examination Committee or Research Degrees Sub-Committee.

C16.6.8 Requests Relating to a Material Procedural or Administrative Error

A student who has reason to believe that a material procedural or administrative error has been made, should lodge a Request for an Appeal Hearing, stating:

- details of the procedural or administrative error which they believe has occurred
- in what way this was material to the determination of their Academic Outcomes
- in what way they feel disadvantaged on account of this alleged error
- what evidence there is of the error, and, if available, evidence of adverse consequences of it.

C16.6.9 Acceptance of Material Procedural or Administrative Error Grounds

Permission for an Appeal Hearing to take place on the grounds of material procedural or administrative error will only be granted where there is a clear *prima facie* case that:

- the error complained of may have occurred or did occur;
- and*
- that this resulted in the possibility or actuality of material disadvantage to the student.

C16.6.10 Programme Management Deficiencies

It is the expectation of the University that students will seek to have any perceived deficiencies in the management of the programme of study rectified through the available mechanisms or procedures at the time when they were thought to have occurred.

C16.6.11 Requests Relating to Programme Management Deficiencies

A student seeking an Appeal Hearing on the grounds of material deficiencies in the management of a Scheme or Course, or any component of a Scheme or Course, should lodge a Request for an Appeal Hearing stating:

- details of the alleged deficiencies
- the time when they took place
- in what way these deficiencies were material to the determination of his or her Academic Outcomes
- in what way they feel disadvantaged on account of this alleged irregularity
- what action the student took to have these deficiencies rectified and the outcome of this or (as relevant)

- why the student did not seek to rectify the deficiencies through Scheme or Course mechanisms or other University procedures.

C16.6.12 Acceptance of Programme Management Deficiencies grounds

Permission for an Appeal Hearing to take place on the grounds of programme management deficiencies will only be granted where the student can show one of the following:

- the mechanisms available within the management of the Scheme or Course were not made available to them
- that the mechanisms did not remedy the deficiencies
- that there were valid reasons why they did not use these mechanisms
- that there were valid reasons why the concern was not raised through other University procedures.

C16.6.13 Previously Undisclosed Extenuating Circumstances

It is the expectation of the University that any extenuating circumstances which a student wishes to have taken into account are disclosed prior to the meeting of a Board of Examiners, Examination Committee, Research Degrees Sub-Committee or Unfair Practice Board acting in accordance with the academic regulations of the University. For extenuating circumstances to be considered at an Appeal Hearing, evidence needs to be produced by the student showing that they were:

- unable to do this;
- or
- for valid reasons, unwilling to do this.

C16.6.14 Valid Reasons

Simple unwillingness to disclose personal circumstances is insufficient for permission for an Appeal Hearing to be given on these grounds. For a claim of valid reasons for non-disclosure to be accepted, it is normally expected that

- the circumstances themselves were exceptionally serious, or had an exceptionally serious impact on the student's academic performance;

and

- there were substantial and grave reasons why the student was unwilling to disclose them to a Mitigation Panel.

C16.6.15 Requests Relating to such Extenuating Circumstances

A student who seeks an Appeal Hearing on the grounds that previously undisclosed extenuating circumstances have adversely affected their Academic Outcomes, should lodge a Request for an Appeal Hearing stating:

- the nature of the extenuating circumstances
- evidence of the extenuating circumstances
- the reasons why they were unable to submit these prior to the meeting of the Board of Examiners, and evidence of the reasons or (as relevant)
- the reasons why they were unwilling to do this, and any supporting evidence for this claim.

C16.6.16 Acceptance of Extenuating Circumstance Grounds

Permission for an Appeal Hearing to take place on the grounds of previously undisclosed extenuating circumstances will only be granted where there is a clear *prima facie* case of inability, or valid reasons for unwillingness, to disclose the circumstances prior to the meeting of the Board of Examiners.

C16.7 Submitting a Request for an Appeal Hearing

C16.7.1 Timescales: submission of Request for an Appeal Hearing

All Requests for an Appeal Hearing should be submitted within the maximum submission time of 15 working days after the formal publication of decisions of a Board of Examiners, Examination Committee or Research Degrees Sub-Committee.

C16.7.2 Timescales: determination of grounds and hearing

It is the intention of the University to determine speedily whether there are valid grounds for seeking an Appeal Hearing; and to hold any permitted Appeal Hearing promptly. The University has developed a service standard for handling requests for an appeal hearing. The full service standard

may be found in the procedures which accompany this section of the regulations. The University undertakes to endeavour to meet the timescales of the service standard, but accepts no liability for failure to do so.

C16.7.3 Timescales for Complex Cases

In exceptional cases; or where it becomes apparent that an appeal is likely to be complex and protracted ; or where relevant evidence cannot be speedily obtained and presented; variation of the expected timescales should be agreed between the appellant and the University.

C16.7.4 Definition of Working Days.

“Working Days” includes weekdays and vacations. Saturdays, Sundays, Bank Holidays, Customary Days, and other days when the University is closed are not working days for the purposes of these regulations.

C16.7.5 Time Limits

A Request for an Appeal Hearing must be lodged with the Secretary and Registrar’s Office within the timescales specified in C16.7.1 above. Permission for an Appeal Hearing to take place will not normally be given in respect of a request lodged outside of these timescales, unless a student can show good and valid reasons for its late submission.

C16.7.6 Extension of Deadlines

The Secretary and Registrar (or nominee) has the discretion to extend the deadline for submission of the Request for an Appeal Hearing in exceptional circumstances.

C16.7.7 Non-Agreed Late Submissions

Non-agreed late submissions will normally be rejected as out of time. In exceptional cases, the Secretary and Registrar (or nominee) has the discretion to accept late submissions where the student has shown serious and valid reasons for:

- the late submission
- the failure to contact the Secretary and Registrar’s Office prior to the deadline.

C16.7.8 Submission of Information and Evidence.

Information and evidence relating to the Request for an Appeal Hearing should be submitted or indicated at this point. The nature of the information and evidence required is identified in Section C16.6 above.

C16.7.9 Purpose of Submission of Information and Evidence

The purpose of the submission of information and evidence at this point is twofold:

- it enables the University to reach a decision on whether or not valid grounds for appeal exist; and, where an Appeal Hearing is granted
- it is forwarded to the Faculty/Partner in question to enable them to prepare a response (hereafter called the Appeal Response) which will be sent to the student prior to the Appeal Hearing itself.

C16.7.10 Acceptance of Submissions without Evidence

Acceptance of submissions without evidence, or indication of evidence (as appropriate) is at the discretion of the Secretary and Registrar, who will appoint a designated officer to make a decision on such submissions and notify the student accordingly. This decision is final.

C16.7.11 Identification of Witnesses

Requests for an Appeal Hearing should also, if possible, include the names of any persons the student would hope to call as a witness at an Appeal Hearing, and the expected nature of that evidence. The University recognises that this may not be appropriate until after the student has received the Appeal Response from the Faculty/Partner. [See Section C16.11.2 below].

C16.7.12 Evidence at Appeal Hearing

It is expected that the evidence to be adduced at any Appeal Hearing is either disclosed or identified at the point of submission of the request for an appeal hearing. No new *matter* (e.g.. different grounds for appeal) will be permitted at the Appeal Hearing. At the discretion of the Chair of the Appeal Panel, supplementary evidence germane to the issue raised may be permitted, where this arises in reply to the Appeal Response, or for some other good reason. [See Section C16. 11.4]

C16.8 Consideration of a Request for an Appeal Hearing

C16.8.1 Notification and Timescales

All appeal submissions will be acknowledged by email within three working days and the date by which a final outcome should be available will be confirmed.

Students can normally expect to receive the outcome within 20 working days of submitting a request. If this is exceeded, the student will be advised and a revised deadline provided.

C16.8.2 Valid Grounds for Appeal

An Appeal Hearing against a decision of a Board of Examiners or Examination Committee may only take place where valid grounds exist for such an Appeal Hearing to be granted. These grounds, and the information and evidence which should be submitted in respect of them, are set out in full in Section C16.6 above.

C16.8.3 Basis of Consideration

Requests for an Appeal Hearing will be considered to establish whether valid grounds exist on which an Appeal Hearing may be granted. This will be done on the basis of:

- the statements made in the Request for an Appeal Hearing; and
- the evidence submitted.

C16.8.4 Consideration Limited to Validity

Consideration at this point concerns the establishment of the validity or otherwise of the grounds adduced for an Appeal Hearing and does not extend to any judgement on the merits of any permitted Appeal Hearing, which is a matter for the designated Appeal Panel.

C16.8.5 Initial Consideration

The Secretary and Registrar or nominee of appropriate seniority will consider the Request for an Appeal Hearing and will decide:

- that valid grounds exist;
- or
- that valid grounds do not exist.

The nominee may be a designated senior member of University staff but not from the same academic subject area as the student requesting an appeal hearing. A list of designated staff is maintained by the Secretary and Registrar's Office.

C16.8.6 Review of Initial Decision

The request will be reviewed by another designated senior member of staff. This reconsideration will result in:

- an Appeal Hearing being granted;
- or
- the Appeal Hearing being rejected
- or
- the matter being referred for further, final, consideration

C16.8.7 Final Consideration

If both designated senior members of staff did not concur on the decision reached, the matter will be referred for consideration by the Secretary and Registrar (or nominee).

C16.8.8 Final Decision

The Secretary and Registrar (or nominee) will decide:

- that valid grounds exist, in which case an Appeal Hearing is granted at this stage
- or
- that valid grounds do not exist, in which case the Request for an Appeal Hearing is rejected.

C16.8.9 End of the Process

The decision of the Secretary and Registrar (or nominee) is final; and ends the process of consideration of grounds. There is no appeal against this decision within the University.

C16.8.10 Informal Resolution

Where it has been found that valid grounds for appeal do exist the Secretary and Registrar's Office will seek to determine whether the case may be resolved informally without the need to convene an appeal hearing. For example in cases of computational error.

Informal resolution will be sought at appropriate points in the process including but not exclusively following Initial Consideration, Review of initial decision, Final consideration and upon compilation of the Faculty Response.

The Associate Dean (Student Experience) or their nominee will be the point of contact for all matters relating to Informal Resolution within each Faculty.

Where a student is not satisfied with any proposed informal resolution, the formal appeals process will be reinstated. The outcome will be notified to the student within 20 working days from the date of the rejection of the informal resolution.

C16.8.11 Review Stage

Students may request a review of the decision to reject their request for an appeal hearing on the grounds of:

- procedural irregularity; and/or
- that new evidence is available which was not available at the time that the appeal request was submitted.

A Request for review must be submitted within 10 working days of the notification of the outcome of the Request for an Appeal Hearing.

Requests for review will be considered by the Secretary & Registrar or designated senior member of University staff. The designated member of staff will have no prior involvement in the case and will not be from the same academic subject area as the student.

The Secretary & Registrar or nominee of appropriate seniority will consider the Request for a Review and will decide:

- that valid grounds exist, in which case an Appeal Hearing is granted;
- or
- that valid grounds do not exist, in which case the Request is rejected.

C16.8.12 "Completion of Procedures" letter

Where it is decided that no valid grounds for appeal exist following the Review Stage, the student will be notified in writing of the finding and the reasons for it, and informed that the process is now at an end. This communication will be a formal "Completion of Procedures" letter for the purposes of any application to the Office of the Independent Adjudicator.

Where a student does not request a Review, a "Completion of Procedures" letter will be issued at the expiry of the deadline for submitting a request for a Review.

C16.8.13 Office of the Independent Adjudicator

A student whose Request for an Appeal Hearing has been rejected by the University has the right to refer the matter to the Office of the Independent Adjudicator. See Appendix A for details on this.

C16.9 Appeal Hearing

C16.9.1 Appeal Panels

Appeals against a decision of a Board of Examiners or Research Degrees Sub-Committee will normally be heard by an Appeal Panel of 3 members which will consist of:

- Chair (member of Academic Board)
- 2 members from the membership of Academic Board, Associate Deans and/ or Heads of Schools and/or Directors of Research and/or senior staff with experience of research supervision

In exceptional circumstances (absence due to illness or other unforeseen circumstance) an appeal hearing panel may be heard by the Chair and 1 panel member. If the panel falls below this membership requirement the appeal hearing cannot proceed and must be re-scheduled.

C16.9.2 Composition of Appeal Panels

All members of Academic Board, with the exception of student members of the Board, and all Associate Deans and/or Heads of School and/or Directors of Research will be eligible to serve on Appeal Panels. The Secretary and Registrar is responsible for determining the specific membership of any Appeal Panel in accordance with the following provisions.

- The Chair of the Panel shall be a member of Academic Board, with the exception of student members of the Board.
- No member of the Appeal Panel shall be drawn from the appellant's Academic Subject area.
- The Panel shall be composed with regard for the experience of its members.

C16.9.3 Remit of Appeal Panels.

Appeal Panels are required to consider each appeal on its individual merits; and, where appropriate, to determine an appropriate remedy for the particular circumstances in question, in accordance with these regulations.

C16.9.4 Individual Consideration of Appeals

All appeals will be considered on their individual merits and the circumstances of the case. Consequently, no precedent may arise from an appeal, and no precedent may be cited in the course of an appeal.

C16.9.5 Consistency and Fairness

A representative of appropriate experience of the Secretary and Registrar's Office shall be in attendance at all hearings. The remit of this representative is to seek to clarify facts (if appropriate); to advise; and, where necessary, to direct the Appeal Panel to ensure consistency of outcomes and the avoidance of perverse decisions. [See Section C16.14].

C16.9.6 Academic Judgement

The academic judgements of examiners cannot in themselves, be questioned or overturned. This is in accordance with Section C1.4.6 of the University's academic regulations which states:

The following provisions apply to the exercise of academic judgement in relation to the assessment process:

- the assessment of a student's work is a matter of judgement, not simply of computation;
- marks, grades and percentages are not absolute values, but symbols used by examiners to communicate their judgement of different aspects of a student's work;
- this is done to provide information on which the final decision on a student's fulfilment of Scheme or Course objectives will be based;
- the academic judgements of examiners cannot, in themselves, be questioned or overturned.

Consequently, disagreement with the academic judgement of a Board of Examiners or Examination Committee cannot, in itself, constitute a valid ground for appeal.

C16.9.7 Academic Judgement and Appeal Outcomes

The Appeal process within the University may result in an amendment to the decisions of a Board of Examiners, Examination Committee or Research Degrees Sub-Committee. Where this is the case, it should be clearly understood that this is not a review of the soundness of the original academic judgement made in respect of the assessment or assessments in question.

An amendment to a decision of a Board of Examiners, Examination Committee or Research Degrees Sub-Committee; is a recognition that, while extraneous or more recently disclosed circumstances make it appropriate to change the final decision in respect of a student, the integrity and soundness of the initial academic judgement itself is not thereby questioned.

C16.9.8 Consideration by Appeal Panel: most grounds

With the exception of grounds for appeal on the basis of previously undisclosed extenuating circumstances, the Appeal Panel will carry out this general remit by:

- seeking to establish the facts of the matter
- seeking to establish the degree of gravity of the circumstances
- on the basis of the evidence presented, reach a finding that an appeal is upheld or rejected
- determine a course of action in respect of appeals which have been upheld.

C16.9.9 Process of Appeal Hearing: most grounds

The process of the appeal hearing for all grounds except those relating to previously undisclosed extenuating circumstances will be as set out in Sections C16.12 below. The essence of this process is that the Faculty/Partner will be invited to respond to the substance of the appeal (Appeal Response) and members of staff of the Faculty/Partner will be eligible to participate in an Appeal Hearing and contest the appeal.

C16.9.10 Consideration by Appeal Panel: previously undisclosed extenuating circumstances

Where the ground for appeal is that of previously undisclosed extenuating circumstances, the Appeal Panel will carry out its general remit by:

- seeking to establish the facts of the matter in respect of the extenuating circumstances adduced
- seeking to establish, on the basis of the evidence presented, whether there were good grounds for the previous non-disclosure of these circumstances
- on the basis of the above consideration, reach a finding that an appeal is upheld or rejected
- where an appeal is upheld, determine the gravity of the extenuating circumstances themselves, in accordance with University Regulations Section C15
- in the light of this determination of gravity, determine any appropriate course of action.

C16.9.11 Process of Appeal Hearing: previously undisclosed extenuating circumstances

The process of the Appeal Hearing in respect of grounds of previously undisclosed extenuating circumstances, will be as set out in Section C16.13. The essence of this process is that, on account of the confidentiality of extenuating circumstances, the matter is conducted entirely between the student, and his or her friend, representative and witnesses (if relevant), and the Appeal Panel. The Faculty/Partner is not invited to comment on the submission, nor does a representative of the Faculty/Partner attend the Appeal Hearing.

C16.9.12 Standard of Proof

Where the facts of the matter are at issue, the standard of proof required by the Appeal Panel in respect of all appeals, is that of "balance of probabilities".

C16.9.13 No Detriment to Academic Outcomes

A decision to reject an appeal shall not adversely affect a student's Academic Outcomes decided by the Board of Examiners, Examination Committee or Research Degrees Sub-Committee, except in cases where it has been found that an incorrect mark has been presented to the Board of Examiners or Examination Committee.

C16.10 Arrangements for Appeal Hearings

C16.10.1 Notification and Timescales

Where an appeal hearing has been granted, the student will be notified by email.

An appeal hearing will normally take place within 15 working days of the decision having been taken to grant the request. If this is exceeded, the student will be advised and a revised date provided by which the hearing will take place.

C16.10.2 Attendance at the Appeal Hearing

A student may choose:

- to attend and participate in the Appeal Hearing in person
- to have the appeal considered through written submission(s) only, without personal attendance.

C16.10.3 Appeal through Written Submission

Where a student chooses this option they must inform the Secretary and Registrar of this in writing at the time of submission of the Request for an Appeal Hearing. Unless such notification is received it will be assumed that the student will be attending the Appeal Hearing in person, and the provisions found below relating to attendance will operate.

C16.10.4 Appeal Hearings by Telephone Conference

In exceptional circumstances, for example a student being resident abroad or having serious mobility difficulties, the Secretary and Registrar has the discretion to permit a telephone conference to be used. It is the student's responsibility to seek this permission from the Secretary and Registrar, and it should be understood that ordinary timescales cannot apply to such arrangements. Should this process be agreed, a variant on the normal conduct of the hearing will be used for the determination of the appeal.

C16.10.5 Student Undertaking

The appeal processes are designed to provide for the prompt hearing of any appeal. A student granted an Appeal Hearing is required to give information on the best and most expeditious means of contact; and is deemed to have agreed to access that form of contact (e-mail or letter) regularly; and to contact the Secretary and Registrar's Office if expected communications have not been received, or if any other material difficulties arise which may impede the process.

C16.10.6 Identification of Witnesses

It is the responsibility of the student to inform the University at the earliest opportunity of the name of any witness which they would wish to call at the Appeal Hearing, and the expected nature of the evidence. Witnesses not identified within the prescribed timescales will not be permitted to attend the hearing.

C16.10.7 Date of Appeal Hearing

A date for the Appeal Hearing will be sent to the student. It is the responsibility of the student to be available on this date; unless they have chosen to have the hearing conducted through written representations only. It will not normally be possible for this date to be changed, and this will only be done in respect of exceptional circumstances, for example medical treatment. Holiday arrangements do not constitute a valid reason for seeking to change the date of the Appeal Hearing.

C16.10.8 Attendance of Witnesses

It is the responsibility of the student to ensure the attendance of any witnesses at the Appeal Hearing. If a witness is unable to attend the hearing, the student may present a written statement from the witness, provided that the identity of the witness has previously been disclosed. The non-availability of a witness will not be a valid reason for a change to the date of the Appeal Hearing, unless the Secretary and Registrar's representative at the Appeal Hearing (see below) decides that the evidence of the witness is essential to the determination of the facts of the matter.

C16.10.9 Postponement of an Appeal Hearing

Where a student anticipating an award of the University has asked for, and been given, a postponement of the Appeal Hearing; it is unlikely that the re-arranged hearing will take place before the relevant award ceremony.

C16.10.10 Absence of the student

If a student fails to attend for the Appeal Hearing, or, where this has been arranged, is unavailable by telephone; the Chair of the Appeal Panel will determine either

- to proceed on the basis of the written evidence available; or
- to terminate the Appeal Hearing and dismiss the appeal.

The decision of the Chair of the Appeal Panel is final.

C16.10.11 Terminated Appeal Hearing

Where the Chair of the Appeal Panel has taken the decision that the Hearing should be terminated and the appeal dismissed, the matter will be deemed concluded at this point; unless the Secretary and Registrar accepts that there were good grounds for the student's absence or non-contactability, and arranges for another hearing to take place.

It is the responsibility of the student to inform the Secretary and Registrar of the reasons for the absence or non-contactability and seek a re-arranged hearing. Such re-arrangement is at the discretion of the Secretary and Registrar, whose decision on the matter is final.

C16.10.12 Refusal of Re-arranged Hearing

Where a re-arranged Appeal Hearing is refused the student will be notified in writing of the refusal and the reasons for it and informed that the process is now at an end. This communication will be a formal "Completion of Process" letter for the purposes of any application to the Office of the Independent Adjudicator.

C16.10.13 Office of the Independent Adjudicator

A student whose appeal has been terminated without an Appeal Hearing taking place has the right to refer the matter to the Office of the Independent Adjudicator. See Appendix A for details on this.

C16.11 Student Submission and Appeal Response

C16.11.1 Information to the Faculty/Partner

Once permission for an Appeal Hearing to take place has been granted the submission and evidence contained in the Request for an Appeal Hearing (Student Submission) will be sent to the Associate Dean (Student Experience) or their nominee.

C16.11.2 Appeal Response

The Associate Dean (Student Experience) is responsible for undertaking an investigation within the Faculty/Partner and producing the Appeal Response (Faculty Response) to the Student Submission.

This investigation is conducted between appropriate academic colleagues and does not involve an interview with the student who is appealing.

C16.11.3 Information to the Student

The Appeal Response will be sent to the student to enable them to prepare for the Appeal Hearing. The Appeal Response is the substantive response to the matter raised by the student. The Faculty/Partner will not normally be able to raise any new matter or adduce further evidence in the Appeal Hearing itself.

C16.11.4 Information from the Student

On receipt of the Appeal Response, the student should notify the Secretary and Registrar's Office if they

- wish to produce evidence in reply to the Appeal Response, indicating what that evidence will be
- wish to call a witness or witnesses in reply to the Appeal Response, indicating the nature of the proposed testimony.

C16.11.5 Agreement by the Faculty/Partner to informal resolution

The Associate Dean (Student Experience) or their nominee, after consultation with colleagues, and the external examiner(s) if relevant, may accept that the student's appeal is well founded. In such a case, the Secretary and Registrar or their nominee should propose a remedy to the student. It is expected that such a proposed remedy will be in accord with decisions normally taken by a Board of Examiners. Such a remedy will be deemed to resolve the appeal informally.

Where the proposal would involve the recommendation for an award of the University above the level of Certificate of Higher Education, or an amendment to the classification of a Bachelor Degree with honours, or the designation of Merit/Distinction to a Masters award, the Associate Dean (Student Experience) or their nominee must consult with the external examiner(s), and confirm to the Secretary and Registrar that this has taken place.

The Secretary and Registrar's Office is responsible for ensuring that this consultation has taken place before issuing the "Completion of Procedures" letter. No amended award classification will be progressed by the Secretary and Registrar's Office without the "Completion of Procedures" letter.

Where the external examiner does not agree with a proposal to recommend an award of the University, or amend a degree classification or designation the matter will be remitted for consideration by an Appeal Panel.

If the student accepts the proposed remedy, the matter is terminated at this point; and the appropriate amendment made to the minutes of the Board of Examiners; and a "Completion of Procedures" letter issued.

If the student does not accept the proposed remedy any Appeal Hearing will be conducted for the purposes of establishing due remedy only. Such remedy may be the same as that originally proposed by the Faculty/Partner.

C16.11.6 Absence of Appeal Response

If the Faculty/Partner fails to make a response within the required timescale, the Appeal will be considered to be non-contested, and the matter referred to an Appeal Panel for remedy only.

C16.11.7 Representation at Appeal Hearing

The Associate Dean (Student Experience) or their nominee will propose an experienced member of staff to represent the faculty at the Appeal Hearing. This person must have been present at the meeting of the Board of Examiners or Research Degrees Sub-Committee in question. The Associate Dean (Student Experience) or their nominee should notify the Secretary and Registrar's Office of any member of staff who will be attending the hearing at the time when the Faculty/Partner Response is submitted, in order that the student can be informed of their identity.

C16.12 The Appeal Hearing: most grounds

C16.12.1 Conduct of the Appeal Hearing

The Appeal Hearing will be conducted in accordance with the procedures which accompany this section of the regulations.

C16.12.2 Adjournment

The Chair of the Appeal Panel has the authority to adjourn the Appeal Hearing should the necessity for this become apparent, for example to seek further clarification of evidence produced.

C16.12.3 Information to the Appeal Panel

The Appeal Panel will be provided with the following information:

- the minutes of the relevant Board of Examiners and/or Examination Committee and/or Research Degrees Sub-committee
- details of the student's academic profile
- the student's file
- outcomes of any requests for consideration of extenuating circumstances made by the student where these apply to any assessments which are the subject of the appeal
- the Course/Scheme regulations.
- Course Handbook

C16.12.4 Access to Information

The Appeal Panel shall have the right to access any other information it considers may be relevant.

C16.12.5 Evidence in Person

The Appeal Panel will hear evidence from:

- the student
- the Faculty representative proposed by the Associate Dean (Student Experience) or their nominee
- all other appropriate persons.

C16.12.6 Written Evidence

The Appeal Panel will consider:

- written evidence produced by the appellant (Student Submission)
- written evidence produced by the Faculty/Partner (Appeal Response)
- written witness statements.

C16.12.7 Further Evidence

It is expected that the evidence to be adduced at any Appeal Hearing will have been previously disclosed or identified (Student Submission and Appeal Response) No new *matter* (e.g. different grounds for appeal) will be permitted to be raised at the Appeal Hearing. At the discretion of the Chair or the Appeal Panel, a student may be permitted to present supplementary evidence germane to the issue raised where this arises in reply to the Appeal Response, or for some other good reason. It is not normally expected that the Faculty/Partner will seek to present further evidence; and the Chair of the Appeal Panel will only permit this in exceptional cases.

C16.13 The Appeal Hearing: previously undisclosed extenuating circumstances

C16.13.1 Conduct of the Appeal Hearing

The Appeal Hearing will be conducted in accordance with the procedures which accompany this section of the regulations.

C16.13.2 Adjournment

The Chair of the Appeal Panel, in consultation with other Panel members, has the authority to adjourn the Appeal Hearing should the necessity for this become apparent, for example to seek further clarification of evidence produced, or in the light of statements made during the hearing which suggest that other enquiries need to be made before a decision can be reached.

C16.13.3 Information to the Appeal Panel

The Appeal Panel will be provided with the following information:

- the minutes of the relevant Board of Examiners and/or Examination Committee and/or Research Degrees Sub-committee
- details of the student's academic profile
- the student's file
- minutes of the relevant Mitigation Panel (to ensure that double-mitigation is not being sought)
- the Course/Scheme regulations.
- Course Handbook

C16.13.4 Evidence in Person

The Appeal Panel will hear evidence from:

- the student
- all other appropriate persons.

C16.13.5 Written Evidence

The Appeal Panel will consider:

- written evidence produced by the appellant (Student Submission)
- written witness statements.

C16.13.6. Further Evidence

It is expected that the evidence to be adduced at any Appeal Hearing will have been previously disclosed or identified (Student Submission). No new *matter* (e.g. different grounds for appeal) will be permitted to be raised at the Appeal Hearing, but at the discretion of the Chair or the Appeal Panel, a student may be permitted to present supplementary evidence germane to the issue raised where there is good reason for this.

C16.14 Decisions and Any Consequent Action

C16.14.1 Decisions on Conclusion of the Hearing

At the conclusion of the hearing, the Appeal Panel will reach one of these decisions:

- the appeal is upheld
- the appeal is rejected.

Where the appeal is upheld, the Panel will also determine any appropriate action in respect of this finding.

Where the appeal is on the grounds of hitherto undisclosed extenuating circumstances, the Appeal Panel will first categorise the grounds themselves as provided for in Section C15 10.7 of the University regulations, before determining appropriate action.

C16.14.2 Notification to the Student

It is normally expected that the decision, and any action arising from it, will be notified to the student verbally on the day and subsequently confirmed in writing. Where the Appeal Panel proposes to recommend an award of the University above the level of Certificate of Higher Education, or amend the classification of a Bachelor degree with honours, or the designation of Merit/Distinction to a Masters Award, the student will be informed that such a recommendation or amendment is subject to consultation with the external examiner.

Where some delay is anticipated in reaching a decision on any proposed action arising from an upheld appeal, the student should be advised of this, and given an indication of when it is anticipated the matter will be concluded.

Research awards of the University cannot be made without successful completion of the relevant examination process.

C16.14.3 No Amendment to an Academic Outcome

An Appeal Panel may find that the appeal itself is upheld, but that the circumstances do not warrant an amendment of the decision on the student's Academic Outcomes reached by the Board of Examiners, Examination Committee or Research Degrees Sub-Committee. In such a case, the Appeal Panel will determine whether any other outcome, for example an apology, is appropriate.

C16.14.4 Amendment to an Academic Outcome

If the Appeal Panel determines that an amendment should be made to an Academic Outcome as determined by the Board of Examiners, Examination Committee or Research Degrees Sub-Committee, this should be one of the actions authorised under Section C13.29 or section G, in the case of research students, of the University Academic Principles and Regulations.

C16.14.5 Consultation with the Chair of the Board of Examiners

If the Appeal Panel considers that it is appropriate, members may consult with the Chair of the Board of Examiners or Research Degrees Sub-Committee on any proposed amendment to the decision of the Board of Examiners, Examination Committee or Research Degrees Sub-Committee. This would normally be solely for the purpose of ensuring consistency of treatment with other students.

C16.14.6 Professional and Statutory Body Programmes

Where the programme of study is accredited by a Professional or Statutory Body, the Appeal Panel must consult with the Chair of the Board of Examiners or the relevant Associate Dean to ensure that any proposed amendment to the decision of a Board of Examiners is compatible with the requirements of the Professional or Statutory Body in question.

C16.14.7 Consultation with External Examiners

Where the Appeal Panel proposes the recommendation of an award of the University above the level of Certificate of Higher Education, or that an amendment be made to the classification of a Bachelor degree with honours, or that the designation of Merit/Distinction be given in respect of a Masters award, this may only be done after consultation with the External Examiner for the programme of study, or the Chief External Examiner where there are several.

The written consent of the external examiner is required for the above. This may be by oral agreement followed by written confirmation.

C16.14.8 Non-agreement by External Examiner

Where an external examiner does not agree with a proposal to recommend an award of the University; amend the classification of a Bachelor degree with honours; or designate Merit or Distinction for a Masters Award the Chair of the Appeal Panel will inform the Secretary and Registrar.

The Secretary and Registrar will remit the matter for consideration and determination between the Chair of Academic Board and the external examiner. The Chair of Academic Board's decision on the matter shall be final.

C16.14.9 Consistency and Fairness

A representative of appropriate experience of the Secretary and Registrar's Office shall be in attendance at all hearings. The remit of this representative is to seek to clarify facts (if appropriate); to advise; and, where necessary, to direct the Appeal Panel to ensure consistency of outcomes and the avoidance of perverse decisions.

A perverse decision is one which is grossly inconsistent with the evidence presented; proposes a disproportional remedy outside the normal scope of the University regulations, or fails to give a reasonable remedy in the light of the circumstances.

C16.14.10 Non-agreement on Consistency and Fairness

In the event of non-resolvable differences between the representative of the Secretary and Registrar's Office and the Appeal Panel, the Chair of the Appeal Panel will inform the Secretary and Registrar.

The Secretary and Registrar will remit the matter for consideration and determination of outcome to the Chair of Academic Board, whose decision on the matter shall be final.

C16.15 Errors or Irregularities Affecting More than One Student

C16.15.1 Errors or Irregularities Affecting More than One Student

If the Appeal Panel has reason to believe that an error or irregularity raised during the Appeal Hearing may have adversely affected the performance of more than one student, the Chair of the Appeal Panel shall discuss the finding with the Associate Dean (Student Experience) or nominee.

C16.15.2 Discussion with the Associate Dean (Student Experience)

The purpose of that discussion will be to establish whether or not more than one student was adversely affected, and if so, what remedial action might be appropriate in respect of other students.

C16.15.3 Circumstances affecting an entire Cohort of Students

Where the circumstances are found to have affected the entire cohort of students, the matter shall be reported to the Secretary and Registrar. The Secretary and Registrar will inform the Chair of the Academic Board, who, after consultation with such colleagues as are deemed appropriate, will determine a course of action to be taken.

C16.15.4 Action in respect of such circumstances.

The course of action to be taken will be determined in the light of the circumstances of the case and the need for equitable and fair treatment of students of the University; and includes the authority to annul an examination, or any other assessment or part of it.

In order to provide for equitable and fair treatment of students of the University, any course of action determined on in such a case is not limited to action which is currently provided for within the academic regulations.

C16.16 Conclusion of the Appeal Process

C16.16.1 End of the Process

The decision of the Appeal Panel, or Chair of Academic Board where relevant, is final; and ends the process of appeal. There is no further appeal mechanism available in the University.

C16.16.2 "Completion of Procedures" letter

On the conclusion of the process, all appellants will receive a formal letter from the University, setting out:

- the decision
- a summary of the reasons for the decision
- notification of any outcome arising from the decision
- confirmation that the process is now at an end.

This communication will be a formal "Completion of Procedures" letter for the purposes of any application to the Office of the Independent Adjudicator.

C16.16.3 Office of the Independent Adjudicator

A student whose Appeal has been rejected by the University, or who is otherwise dissatisfied with the process or its conduct, has the right to refer the matter to the Office of the Independent Adjudicator. See Appendix A for details on this.

C16.17 Reporting of Outcomes and Formal Record

C16.17.1 Amendment to Minutes of Boards of Examiners and Student Record System

Where the outcome of the Appeal Hearing was an amendment to the Academic Outcome of the student, the Secretary and Registrar or nominee will so inform the Associate Dean (Student Experience) in order that the necessary addendum to the Minutes of the Board or Committee and student record system, recording that amendment, can be made.

C16.17.2 Report to Faculties on outcomes

The Secretary and Registrar (or nominee) will inform each Associate Dean (Student Experience) of the outcome of Appeals to facilitate future enhancement of the student experience. This information will be anonymised to maintain student confidentiality.

C16.17.3 Report to the Academic Board

The Secretary and Registrar will make an annual report to the Academic Board of the University or its Committees on the Appeal Process.

APPENDIX A: APPLICATION TO THE OFFICE OF THE INDEPENDENT ADJUDICATOR

- C16.A1 A student who is dissatisfied with the academic appeal process or its conduct has the right to submit an application to the Independent Adjudicator that their dissatisfaction be reviewed independently of the University.
- C16.A2 This right may only be exercised once the internal processes have been exhausted.
- C16.A3 The University issues a "Completion of Procedures" letter when:
- permission to appeal has not been granted;
 - or, as relevant
 - at the conclusion of an Appeal Hearing or earlier resolution.
- This letter is the formal University confirmation that the internal process is at an end.
- C16.A4 A Scheme Application Form must be completed in order to make a submission to the Office of the Independent Adjudicator.
- C16.A5 This must be received within 3 months of the date of the "Completion of Procedures" letter.
- C16.A6 The Office of the Independent Adjudicator will not review:
- Admissions
 - Academic judgement
 - Student employment
 - Matters which have already been considered by a court or tribunal and where the proceedings have been concluded
 - Matters which are being considered by a court or tribunal where the proceedings have not been **stayed**
 - Matters which have not materially affected the complainant as a student
 - Matters which they have already dealt with
 - Complaints where the main issues complained about took place more than three years before the complaint is received by the OIA.
- C16.A7 Further information on the Office of the Independent Adjudicator and its services is available on <http://www.oiahe.org.uk/>

Academic Principles and Regulations

Section D: Academic Audit

August 2015

Approved June 2002;
Amended June 2003, July 2004, July 2005, May 2006, July 2007, May 2008, July 2009 and July 2013



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SECTION D: ACADEMIC AUDIT

REGULATIONS

D1.1 Academic Audit: Purposes

D1.1.1 Purposes of Academic Audit

The University employs academic audit for two main purposes:

- to provide Academic Board with the assurance that the delegated responsibilities for quality and standards of academic provision are being properly discharged
- to promote quality enhancement by the identification and dissemination of good practice.

D1.2 Form and Process of Academic Audit

D1.2.1 Form of Academic Audit

The form of Academic Audit comprises two elements:

- Continuous Audit; ongoing activity which involves the collection, monitoring and evaluation of routinely produced evidence and observation of a range of activities.
- Enhancement Audit; specific issues or themes which arise from consideration of the outcomes of continuous audit and/or any other form of internal or external monitoring and review at Faculty or University level. Issues or themes to be audited may be at all levels of University academic and related activities.

D1.3 Responsibility

D1.3.1 University Level Oversight

The Academic Quality and Standards Committee maintains oversight and has overall responsibility for Academic Audit, which may be delegated within the devolved structure.

D1.3.2 Conduct

Quality Assurance Services are responsible for the conduct of Academic Audit.

D1.3.3 Participation

Academic Audit will be conducted through an internal and external peer review process as described in guidance produced by Quality Assurance Services.

D1.4 Academic Audit Reports to the University

D1.4.1 Coverage

Academic Audit reports will comprise an analysis and evaluation of the outcomes of Continuous Audit activity and Enhancement Audit issues or themes. The reports will be presented to Academic Board or its committees.

D1.4.2 Purpose

The purpose of Academic Audit Reports are:

- to assure the University of the quality and standards of its academic provision
- to promote quality enhancement by the identification and dissemination of good practice
- to provide a means whereby opportunities for improvement can be identified.

Academic Principles and Regulations

Section E: Partnerships and Collaborative Provision

November 2015

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SECTION E: PARTNERSHIPS AND COLLABORATIVE PROVISION

E.1 PARTNERSHIPS AND COLLABORATIVE PROVISION

PRINCIPLES

Assurance of standards

Quality of learning opportunities

Register of partnerships and collaborative provision

Partnerships

Collaborative provision

Serial arrangements

New course approval

Academic approval and periodic review

Institutional recognition and review

Validation and review

Access and equal opportunities

Public information

Conferment of award

Peer review

Overseas provision

Maintenance of academic standards and quality

Written agreements

Use of agents in partnerships and collaborative provision

Joint approval with professional or statutory regulatory bodies

Dual awards with other degree-awarding institutions

Joint awards with other degree-awarding institutions

Delivery of awards validated by other bodies

Academic quality and standards of awards validated by other bodies

Duty of care

PARTNERSHIPS AND COLLABORATIVE PROVISION

PRINCIPLES

Assurance of standards

The University is responsible for the academic standard of all credit and awards granted in its name.

Quality of learning opportunities

The quality of learning opportunities must be appropriate to the achievement of the learning outcomes for the award.

Register of partnerships and collaborative provision

The University shall make publicly available an up-to-date and authoritative record of its partnerships and collaborative provision.

Serial arrangements

The University will not permit serial arrangements, whereby a collaborating body uses a collaborative arrangement with the University as a basis for establishing collaborative provision of its own with other parties, but offering the University's awards, whereby the other party delivers the Scheme or Course.

Partnerships

The University may enter into partnerships with other bodies in the United Kingdom or overseas. Partnerships do not involve delivery of University awards.

Collaborative provision

Collaborative provision is educational provision leading to an award, or to specific credit toward an award, of the University delivered and/or supported and/or assessed through an agreement with a collaborating body. The University may collaborate with other bodies in the United Kingdom or overseas to offer Schemes or Courses or part of a Scheme or Course leading to an award of the University.

New course approval

At an early stage new course approval for collaborative provision must be sought in accordance with University procedures.

Academic approval and periodic review

All Schemes or Courses are subject to academic approval and subsequent periodic review. The approval and periodic review of collaborative provision is as set out in B2 and B3 and the specific processes for collaborative provision will be informed by University guidance.

Institutional recognition and review

In order for a collaborating body to deliver academic provision of the University it must first be recognised by the University as an institution fit for this purpose. It is a requirement that all recognised institutions undergo subsequent institutional review.

Validation and review

The University requires that all provision delivered by a recognised institution is subject to validation. It is a requirement that all validated Schemes or Courses undergo subsequent review of validation.

Access and equal opportunities

All validated Schemes and Courses will meet the same requirements for access and equal opportunities as for Schemes or Courses delivered solely by the University.

Public information

The University shall make appropriate information available to students on collaborative provision in accordance with external requirements.

Conferment of award

The University requires that all collaborative provision leading to an award of the University must satisfy the University's normal requirements for the conferment of an award.

Peer review

All proposals for the validation of Schemes or Courses will undergo a process of peer review including representation both internal and external to the University.

Maintenance of academic standards and quality

To ensure academic standards and quality, all validated Schemes or Courses shall be subject to both annual and periodic review. To ensure academic standards, all proposed modifications to validated Schemes or Courses will be subject to approval in the same way as modification to Schemes or Courses delivered within the University.

Written agreement

There must be a written and legally binding agreement or contract setting out the rights and obligations of the parties and signed by the authorised representatives of the University and the partner or collaborating body or agent in respect of delivery, monitoring, review, enhancement and modification of the provision.

Use of agents in partnerships and collaborative provision

The University shall take all reasonable steps to satisfy itself that any agent used to broker or facilitate partnerships and collaborative provision will not have any conflict of interest with the University and its students, and that where appropriate, written legally binding agreements shall be in place.

Joint approval with professional or statutory regulatory bodies

The University will endeavour to reach agreements with professional or statutory regulatory bodies on procedures for approval, validation, monitoring and review to enable programmes of study to provide both an award of the University and a professional qualification.

Dual awards with other degree-awarding institutions

The University may approve and validate Schemes or Courses which lead to a dual award of the University and of another degree-awarding institution.

Joint awards with other degree-awarding institutions

The University may, together with another degree-awarding institution, approve and validate Schemes or Courses which lead to a joint award of the University and of that institution.

Delivery of awards validated by other bodies

The University may from time to time, deliver and assess awards that are designed and validated by an external body. Specific arrangements will be incorporated in written agreements between the University and the external body.

Academic quality and standards of awards validated by other bodies

The academic quality and standards of delivery of awards validated by other bodies will be in accordance with the quality assurance processes of that body.

Duty of care

In the event of withdrawal from a collaborative agreement, the University has a duty of care to all students registered on collaborative provision to reasonably enable them to complete a programme of study, subject to the limitations of the General Regulations.

REGULATIONS

E1.1 Partnerships and collaborative provision: general provisions

E1.1.1 Assurance of standards

The University is responsible for the academic standard of all credit and awards granted in its name. These standards should meet any applicable external requirements.

E1.1.2 Register of partnerships and collaborative provision

The University shall make publicly available an up-to-date and authoritative record of its partnerships and collaborative provision.

E1.1.3 Guidance documentation

The University shall set out the requirements and processes in respect of partnerships and collaborative provision through a series of guidance documents available through Quality Assurance Services.

E1.1.4 Due diligence

Prior to entering into a partnership or collaborative provision with another body in the United Kingdom or overseas, the University will need to be assured of the following:

- the benefit to the University of the proposal
- the level of risk of the proposed partnership or collaborative provision
- the reputation and suitability of the proposed partner
- the financial standing of the proposed partner
- the legal status of the proposed partner
- the monitoring and review activities involved
- any implications the proposal may have on Schemes or Courses that are accredited, approved or recognised by professional or statutory regulatory bodies
- future opportunities the proposal may present
- Safeguards against inappropriate practices

Requirements for due diligence shall be proportionate to the type of activity sought.

E1.1.5 Written agreements

The University shall make available a set of agreement templates relating to the types of partnership and collaborative provision as set out in the guidance documents. All such written agreements must adhere to these templates unless variation has been expressly authorised by the Deputy Vice-Chancellor, Strategic Development.

E1.1.6 Serial arrangements

The University will not permit serial arrangements, whereby a collaborating body uses a collaborative arrangement with the University as a basis for establishing collaborative provision of its own with other parties, but offering the University's awards, whereby the other party delivers the Scheme or Course. [see also Regulation E.1. 1.7]

E1.1.7 Location of delivery by a collaborating body

The University may in some circumstances allow a collaborating body to deliver an element of a validated programme of study at a location other than the collaborating body's own premises. The process for this shall be detailed within University guidance.

E1.2 Partnerships: general provisions

E1.2.1 Partnerships: definition

The University may enter into partnerships with other bodies in the United Kingdom or overseas. Partnerships do not involve delivery of University awards. Partnerships may contribute to students achieving credit or non-credit placements. Responsibility for the management of placements will be devolved to faculties. Organisations that are able to offer a placement will be assessed, monitored and reviewed by faculty placement units in accordance with faculty procedure.

E1.2.2 Review of partnerships

The operation of all partnerships and currency of agreements entered into in respect of those partnerships will be subject to review within a maximum period of six years in line with University guidance.

E1.3 Collaborative provision: general provisions

E1.3.1 Collaborative provision: definition

The University may collaborate with other bodies in the United Kingdom or overseas to offer Schemes or Courses or part of a Scheme or Course leading to an award or credit of the University. Collaborative provision is educational provision leading to an award, or to specific credit toward an award, of the University delivered and/or supported and/or assessed through an agreement with a collaborating body. More detailed definitions in respect of collaborative provision shall be as set out in the University taxonomy, in addition to further guidance.

E1.3.2 Form of collaborative provision

The form of the collaborative provision shall be established through discussions with the collaborating body and will be informed by University guidance.

E1.3.3 Executive approval

All proposals for collaborative provision shall be subject at an early stage to executive approval by the Deputy Vice-Chancellor, Strategic Development. The processes to be undertaken to achieve this are as set out in University guidance.

E1.3.4 New course approval

At an early stage new course approval for collaborative provision must be sought in accordance with University procedures.

E1.3.5 Institutional recognition

In order for a collaborating body to deliver academic provision of the University it must first be recognised by the University as an institution fit for this purpose.

E1.3.6 Assessment

The University requires that all collaborative provision leading to an award or credit of the University is subject to arrangements for assessment in accordance with University regulations, whether or not this provision might also lead to an award of a collaborating body.

E1.3.7 Public information

The University and the collaborating body shall make appropriate information on collaborative provision available to students and the wider public in accordance with external requirements and as set out in the written agreement between the University and the collaborating body. The University shall be responsible for all public information in respect of collaborative provision. The process to approve information produced by a collaborating body is as set out in University guidance

E1.3.8 External examiners and advisers

The arrangements in respect of external examiners and advisers for collaborative provision shall comply with the University's requirements as set out in Section C. The University shall retain responsibility for the appointment and functions of external examiners and advisers for all collaborative provision. The University shall offer the same level of support and developmental opportunities to external examiners and advisers on collaborative provision as for awards offered within the University.

E1.3.9 Professional or statutory regulatory bodies

The University shall notify any professional or statutory regulatory body, which has accredited, approved or recognised a Scheme or Course, that it will be offered as collaborative provision. Prospective students shall also be notified of the status of the Scheme or Course in relation to the professional or statutory regulatory body.

E1.3.10 Conferment of award

The University requires that all collaborative provision leading to an award of the University must satisfy the University's normal requirements for the conferment of an award, whether or not this provision might also lead to another award.

E1.3.11 Certificate of award

The University has sole authority to produce certificates of award and associated transcripts for programmes of study delivered through collaborative provision. The certificate of award will not normally vary in format or content from any other award of the University, subject to any overriding statutory or legal requirements or constraints in any relevant jurisdiction. The certificate of award information will make reference to the name of the collaborating body and location of delivery

E1.3.12 Contractual and financial arrangements

Contractual and financial arrangements pertaining to collaborative provision shall be discussed at faculty level, the content of which shall be determined and agreed by the Deputy Vice-Chancellor, Strategic Development in line with current University guidance. These shall form part of the written agreement.

E1.3.13 Schemes or courses offered in a language other than English

Where a Scheme or Course is to be delivered and assessed either partly or wholly in a language other than English, the University will ensure that appropriate measures are in place to assure the academic standards and quality of the provision.

E1.3.14 Use of agents in collaborative provision: conflict of interest

The University will take all reasonable steps to satisfy itself that the interests of any agent used to broker or facilitate collaborative provision will not conflict with:

- those of the University;
- those of the students recruited to join the programmes of study provided under the collaborative provision.

E1.3.15 Use of agents in collaborative provision: conflict of interest: due diligence

Prior to entering into an agreement with an agent used to broker or facilitate collaborative provision, the University will investigate fully the following:

- the reputation and suitability of the proposed agent
- the financial standing of the proposed agent
- the experience and understanding of UK higher education of the proposed agent.

E1.3.16 Legal agreements with agents

The University requires that any agreement or contract with an agent used to broker or facilitate collaborative provision will be in writing and legally binding. Agreements will specify the following:

- the role, responsibilities and delegated power (if any) of the agent
- provisions for monitoring, arbitration and termination
- financial arrangements
- the legal jurisdiction under which any disputes would be resolved
- arrangements for review and possible renewal of the agreement

Further specification of contractual requirements in respect of agents will be informed by University guidance.

E1.4 Institutional recognition and review of recognition

E1.4.1 Institutional recognition: definition

Before any Scheme or Course can be validated, the collaborating body must be recognised by the University. Institutional recognition is the institution-to-institution process whereby the University assures itself of an external body's suitability to offer collaborative provision.

E1.4.2 Institutional recognition process

The process of recognition or review of recognition (institutional review) will be appropriate to the form of collaborative provision proposed and will be informed by University guidance. The requirements for institutional recognition and institutional review apply to collaborative provision delivered both in the UK and overseas.

E1.4.3 Conduct

The University is responsible for the conduct of the recognition and review process.

E1.4.4 Institutions routinely recognised

The University may recognise the following institutions as a matter of routine:

- those institutions within the UK with their own taught or research degree-awarding powers
- those institutions within the UK with their own foundation degree-awarding powers providing that the proposed collaborative provision is not above foundation degree level
- those institutions overseas which have met requirements established by the University in respect of the specific country. Such requirements will be determined by the University Academic Board

E1.4.5 Requirements for recognised status

To recognise any other body or for a recognised institution to retain its status as a recognised institution, the University will need to be assured of the following:

(A) Legal impediment

That there is or continues to be no legal impediment to the institution delivering University Schemes or Courses.

(B) Financial viability

That the institution has or has maintained good standing and is financially stable.

(C) Institutional mission

That the philosophy, mission and aims of the institution are or remain acceptable to and compatible with those of the University.

(D) Legal requirements

That the institution meets or continues to meet its legal requirements, specifically in relation to matters affecting students such as health and safety, data protection, equal opportunities and non-discrimination.

(E) Learning and teaching resources

That the institution has or continues to have an infrastructure and learning resources adequate to ensure that the academic standards of the University's provision and the quality of learning opportunities are maintained and enhanced.

(F) Written agreement

That appropriate written agreements will be in place which specify clearly the mutual arrangements and obligations upon each other.

E1.4.6 Designation as a recognised institution

Once the University, via the institutional recognition process set out in University guidance, is satisfied that the requirements above are met, then the body may be formally designated as a recognised institution of the University.

E1.4.7 Duration of period of recognition

The period of recognition will normally be aligned to the University's academic cycle (i.e. 1 August – 31 July). A recognised institution will be subject to institutional review within a period of six years of commencement of that period. In some cases – and at the discretion of the University – the period of recognition may be fewer than six years. This will be identified at the institutional recognition or review event.

E1.4.8 Requirement for institutional review

All recognised institutions are subject to periodic review of their recognised status within a period as defined at institutional recognition (or review).

E1.4.9 Purpose of institutional review

The purpose of reviewing the recognised status of the institution is to assure the University that this status remains valid and reliable. In addition, this may be used as an opportunity to review the balance of responsibilities between the University and the recognised institution.

E1.4.10 Revocation of period of recognition

The University may at its own discretion revoke or shorten the agreed period of recognition in the event of the following:

- The recognised institution ceases to deliver validated collaborative provision before the end of the agreed period of recognition.
- The written agreement under which collaborative provision is delivered is terminated before the end of the agreed period of recognition.
- Recognition will automatically be revoked if the period as defined in regulation E1.4.7 runs out and institutional review has not taken place.

In all such cases the Deputy Vice-Chancellor, Strategic Development shall inform the collaborating body of the revocation of this status.

E1.5 Validation and review of validation of collaborative provision

E1.5.1 Validation: definition

Validation is the process by which the University is assured that the quality of delivery of University Schemes and Courses offered in whole or in part by a recognised institution is equivalent to that of comparable Schemes and Courses delivered solely by the University. A validated Scheme or Course may be designed and/or delivered by a recognised institution alone or jointly with the University or solely by the University.

E1.5.2 Approval

Any proposal for delivery of Schemes or Courses by a recognised institution is subject to:

- Due Diligence
- new course approval
- academic approval and periodic review
- validation and review of validation

E1.5.3 Process

The validation and review of validation processes is as set out in University guidance.

E1.5.4 Conduct

The University is responsible for the conduct of the validation and review process.

E1.5.5 Pre-requisites for validation and review

To validate or re-validate a Scheme or Course, the University will need to be assured of the following:

(A) Recognised institution

That the body in which the Scheme or Course or part thereof will be delivered has been and remains designated a recognised institution in accordance with University regulations.

(B) New course approval

That the proposal for the validation has successfully undergone the University's new course approval processes in accordance with University regulations.

(C) Academic approval

That the academic standards and quality of the Scheme or Course have been assured previously through a proper process of academic approval (or periodic review) in accordance with the University regulations. Where any variance to the Scheme or Course is proposed,

this must be subject to the processes in respect of modifications to Schemes or Courses in approval.

(D) That scrutiny of resources of the proposed location of delivery and a review of libraries and learning resources has been undertaken as set out in University guidance.

E1.5.6 Requirements for validated status

To validate or re-validate a Scheme or Course at a recognised institution, the University will need to be assured of the following:

(A) Quality of learning opportunities

That the body is able to and continues to provide learning opportunities equivalent to that of comparable Schemes and Courses delivered by the University. This will where appropriate include consideration as to whether the staffing body is appropriately qualified and able to deliver the Scheme or Course to the standard of the award.

(B) Quality assurance

That appropriate arrangements are and remain in place to enable quality assurance, control and enhancement mechanisms to be effective.

(C) Written agreement

That appropriate written agreements will be in place which specify clearly the mutual arrangements and obligations upon each party.

(D) Provisions for the admission of students

That the arrangements for the admission of students onto collaborative provision are subject to the provisions of Section B of the regulations.

(E) Overseas provision

In the case of overseas provision where approval of an overseas government, agency or department is required for delivery of a UK Scheme or Course, that it has been obtained and continues to be in place prior to registration of the students and delivery of the Scheme or Course.

Once the University, via the validation process is satisfied that the above requirements have been met, the Scheme or Course may be validated.

E1.5.7 Duration of period of validation

The period of validation will normally be aligned to the University's academic cycle (i.e. 1 August – 31 July). A validated Scheme or Course will be subject to review of validation within a period of six years of commencement of that period. In some cases – and at the discretion of the University – the period of validation may be fewer than six years. This will be identified at the institutional recognition or review event.

E1.5.8 Requirement for review of validation

All validated Schemes or Courses are subject to periodic review of their validation status within a period as defined at validation (or review).

E1.5.9 Purpose of review of validation

The purpose of reviewing the validated status of the Scheme or Course is to assure the University that the academic standards and quality of the Scheme and Course offered at a recognised institution remains equivalent to those of comparable Schemes and Courses delivered at the University and that the collaborating body has met and continues to meet its obligations as set out in the written agreement.

E1.5.10 Revocation of period of validation

The University may at its own discretion revoke or shorten the agreed period of validation in the event of the following:

- The recognised status of the recognised institution is revoked in accordance with section E1.4.10.

- The recognised institution ceases to offer validated collaborative provision before the end of the period of validation.
- The written agreement under which validated collaborative provision is delivered is terminated before the end of the period of validation.
- The validated status will automatically be revoked should the period of validation run out without a review of validation taking place.

In all such cases the Deputy Vice-Chancellor, Strategic Development, shall inform the collaborating body of the revocation of this status.

E1.6 Monitoring, review, enhancement and modification of validated Schemes and Courses

E1.6.1 Requirement for monitoring and review

All validated Schemes and Courses are subject to monitoring and review activity in accordance with University regulations.

E1.6.2 Annual report

All recognised institutions offering validated Schemes and Courses will report annually to the University on the conduct of each of the Schemes and Courses during the previous year. These reports feed into the annual monitoring and review cycle for each course. Recognised institutions who deliver more than one course will be required to report annually to the University on the health of the partnership.

E1.6.3 Outcomes

The outcomes of all monitoring, review and enhancement activity will be considered by the University's deliberative structure as appropriate.

The outcomes of all monitoring, review and enhancement activity will inform the processes of review of recognition and review of validation.

E1.6.4 Purpose

All monitoring, review and enhancement activity regarding validated Schemes and Courses will ensure that their academic standards and quality are equivalent to those of comparable Schemes and Courses delivered solely by the University.

Mutual review

Purpose of Mutual Review

To provide Academic Board with the assurance that arrangements for delivering learning opportunities with others are implemented securely and managed effectively.

Form of Mutual Review

- Mutual Review; specific to collaborative delivery with or by a collaborating body is conducted in the first year of a partner's operation. Mutual review involves the collection and evaluation of evidence along with a visit to the partner to observe activities and to collate further evidence through discussions with staff and students. Our University reserves the right to invoke Mutual Review in subsequent years of operation, in accordance with the following criteria:
 - Substantial or potential changes and/ or additions to a partner's portfolio or the model of delivery.
 - Significant concerns raised by one or more stakeholders e.g. University, External Examiner, Student, Faculty, Partner
 - Concerns related to one or more of the following:
 - non-compliance with quality management process;
 - non-compliance with regulatory or contractual requirements;
 - operational delivery.

- Recommendation of a collaborative approval Panel.

Participation

Mutual Review requires engagement by a collaborating body.

Coverage

Mutual Review reports will comprise an analysis and evaluation of the outcomes the issues or themes and analysis and evaluation of the outcomes of Mutual Review activity, The reports and associated plans for continuous improvement will be presented to Academic Board or its committees.

Purpose of Mutual Review reports

- To assure the University of the effective implementation and management of collaborative arrangements”

E1.7 Off-site delivery

E1.7.1 Off-site delivery: definition

Off-site delivery is where a Scheme or Course, or part of a Scheme or Course, is taught in a location other than the main campuses of the University, by University staff. It may involve the hiring of space and the use of other non-University physical resources.

E1.7.2 Approval

Any proposal for off-site delivery of Schemes or Courses is subject to:

- Due Diligence
- scrutiny of resources
- new course approval
- academic approval and periodic review
- operational approval of off-site delivery and review

E1.7.3 Process

The process for operational approval of off-site delivery will be informed by University guidance. This process is analogous to the process for validation.

E1.7.4 Conduct

The University is responsible for the conduct of the process for operational approval of off-site delivery and review of operational approval of off-site delivery.

E1.7.5 Pre-requisites for off-site delivery

To deliver of a Scheme or Course off-site, the University will need to be assured of the following:

(A) Scrutiny of resources

That a visit to the proposed premises for delivery has taken place and that the location has been deemed to be satisfactory for this use in accordance with University regulations. A venue visit report shall form part of the documentary requirements for operational approval of off-site delivery.

(B) New course approval

That the proposal for the off-site delivery has successfully undergone the University's new course approval processes in accordance with University regulations.

(C) Academic approval

That the academic standards and quality of the Scheme or Course have been assured previously through a proper process of academic approval (or periodic review) in accordance with the University regulations. Where any variance to the Scheme or Course is proposed, this must be subject to the processes in respect of modifications to Schemes or Courses in approval.

E1.7.6 Operational approval and review of operational approval of off-site delivery

The operational approval of a proposal for off-site delivery will ascertain the following:

(A) Quality of learning opportunities

The University will ensure through scrutiny of resources that the proposed location for delivery and access to the facilities and resources required for successful completion of the Scheme or Course are and remain to be satisfactory in relation to the quality of learning opportunities.

(B) Quality assurance

That appropriate arrangements are and remain in place to enable quality assurance, control and enhancement mechanisms to be effective.

(C) Student support

That the staffing body is appropriately qualified and able to deliver the required level of support to students who are studying remotely from the main campuses of the University and that the level of support required is appropriate to the achievement of the learning outcomes for the award.

(D) Written agreement

That appropriate written agreements will be in place which specify clearly the mutual arrangements agreed in respect of the use of the facilities and resources of the collaborating body.

E1.7.7 Duration of operational approval of off-site delivery

The period of off-site delivery approval will normally be aligned to the University's academic cycle (i.e. 1 August – 31 July). Approved collaborative provision for off-site delivery will be subject to review of that operational approval within a period of six years of commencement of that period. In some cases – and at the discretion of the University – the period of operational approval may be fewer than six years. This will be identified at the operational approval (or review) event.

E1.7.8 Requirement for review of operational approval of off-site delivery

Approved collaborative provision for off-site delivery is subject to periodic review of operational approval within a period as defined at approval (or review).

E1.7.9 Purpose of review of operational approval of off-site delivery

The purpose of reviewing the operational approval of off-site delivery of the Scheme or Course is to assure the University that the provisions set out in Section E1.7.6 remain valid and effective. It is expected that the review will include a visit to the premises on which the Scheme or Course has been delivered and subsequent venue visit report.

E1.8 Written agreements

E1.8.1 Legal agreement

The mutual arrangements specific to all partnerships and collaborative provision as described in these regulations as agreed between the University and the partner or collaborating body will be specified clearly in a legally binding written agreement. Agreement templates shall be available as set out in Section E1.1.5.

E1.8.2 Content

The written agreement must, as a minimum, cover the following:

- aspects of the partnership or collaborative provision concerned with the relationship between the University and the external institution
- aspects of the partnership or collaborative provision concerned with the Scheme(s) or Course(s), where applicable
- arrangements to ensure that the academic standards of any validated Scheme(s) or Course(s) are equivalent to those of comparable Schemes and Courses delivered at the University

- arrangements to ensure that the quality of learning opportunities offered at the recognised institution is equivalent to those offered by the University for comparable Schemes and Courses, where applicable
- arrangements to ensure that the monitoring, review and enhancement activity is conducted in accordance with University regulations
- arrangements in the event of early termination or arbitration to include:
- provisions to enable the University to suspend or withdraw from the agreement if the other party fails to fulfil its obligations
- residual obligations to students, where applicable
- the responsibilities of each party in respect of quality assurance and academic standards, with reference to any applicable external reference points
- a defined commencement and termination date which clearly set out the duration of the agreement
- arrangement in respect of payments between the parties, where applicable
- the law under which the agreement is governed, in addition to the judiciary system which will hear and determine any suit, action or proceedings, and to settle any disputes, which may arise out of or in connection with that agreement.
- arrangements for flow of information and deliberative and executive reporting structures, where applicable
- arrangements to ensure the accuracy of public information relating to the Scheme(s) or Course(s) offered as part of the collaborative provision, where applicable;
- arrangements for review and possible renewal of the agreement

E1.8.3 Due Diligence

All proposed written agreements must be accompanied by appropriate due diligence documentation, as advised by University guidance, in order to be signed by an appropriate University signatory. This requirement applies to both new and existent partners of the University.

E.2 ACCREDITATION OF PROVISION DELIVERED AT OTHER INSTITUTIONS

PRINCIPLES

Accreditation of other institutions

The University has established the principle that it may wish to accredit provision delivered at other institutions.

Assurance of standards

The University is responsible for the academic standard of all credit and awards granted in its name.

Mapping of curriculum

The University shall be satisfied that any provision to be accredited maps satisfactorily to any antecedent, concurrent or subsequent University Scheme or Course that leads to credit of or an award of the University.

REGULATIONS

E2.1 Assurance of standards

The University is responsible for the academic standard of all credit and awards granted in its name. These standards should meet any applicable external requirements.

E2.2 Accreditation of provision delivered at other institutions: definition

The University may accredit provision delivered by an educational, commercial or professional body that has established a relationship with the University. The institution offers a Scheme or Course which may then carry accreditation for credit of or an award of the University. In such a relationship, the University is the awarding body for Schemes and Courses granted in its name. Such a body shall be known as an accredited institution and this body is responsible for:

- the final approval of all Schemes and Courses granted in its own name;
- the academic standards and quality of all Schemes and Courses granted in its own name.

E2.3 Accreditation of provision delivered at other institutions: general provisions

The regulations set out in Section E1.1 in respect of partnerships and collaborative provision shall apply, in addition to those set out in Section B10 in respect of accreditation of learning external to the University.

E2.4 Remit of accredited institutions

Accredited institutions have full responsibility and authority for:

- the academic approval of Schemes or Courses which lead to its own awards
- the modification of Schemes or Courses which lead to its own awards
- quality assurance of such Schemes or Courses
- the maintenance of academic standards of such Schemes or Courses

E2.5 Mapping of the curriculum

The University is responsible for ensuring that the content of the Scheme or Course to be accredited maps satisfactorily to any antecedent, concurrent or subsequent University Scheme or Course that leads to credit of or an award of the University.

E2.6 Approval

Any proposal for accreditation is subject to:

- Due Diligence
- Mapping of the curriculum
- New course approval
- Academic approval and periodic review
- Accreditation approval and review

E2.7 Process

The process for accreditation will be informed by University guidance.

E2.8 Conduct

The University proposing the accredited provision is responsible for the conduct of the processes of curriculum-mapping and accreditation approval and review.

E2.9 Pre-requisites for accreditation

To accredit a course delivered at another institution the University will need to be assured of the following:

(A) Scrutiny of resources

That a visit to the proposed premises for delivery has taken place and that the location has been deemed to be satisfactory for this use in accordance with University regulations. A venue visit report shall form part of the documentary requirements for accreditation approval or review.

(B) New course approval

That the proposal for accreditation has successfully undergone the University's new course approval processes in accordance with University regulations.

(C) Mapping of the curriculum

That the scheme or course to be accredited is appropriate to the standard of the award that successful students will receive, in terms of curriculum content and level and assessment type.

(D) Academic approval

That the academic standards and quality of the Scheme or Course have been assured previously through a proper process of academic approval (or periodic review) in accordance with the University regulations. Where any variance to the Scheme or Course is proposed,

this must be subject to the processes in respect of modifications to Schemes or Courses in approval.

E2.10 Operational approval and review of operational approval of accreditation

The operational approval of a proposal for accreditation will ascertain the following:

(A) Quality of learning opportunities

The Faculty will ensure through scrutiny of resources that the proposed location for delivery and access to the facilities and resources required for successful completion of the Scheme or Course to be accredited are and remain to be satisfactory in relation to the quality of learning opportunities.

(B) Quality assurance

That appropriate arrangements are and remain in place to enable quality assurance, control and enhancement mechanisms to be effective.

(C) Mapping of the curriculum

That the curriculum-mapping process has been carried out appropriately.

(D) Written agreement

That appropriate written agreements will be in place which specify clearly the mutual arrangements agreed in respect of the use of the facilities and resources of the collaborating body.

E2.11 Duration of accreditation

The period of accreditation will normally be aligned to the University's academic cycle (i.e. 1 August – 31 July). Accredited provision will be subject to review of that approval within a period of six years of commencement of that period. In some cases – and at the discretion of the University – the period of accreditation may be fewer than six years. This will be identified at the accreditation approval (or review) event.

E2.12 Requirement for review of accreditation approval

Accredited provision is subject to periodic review of approval within a period as defined at accreditation approval (or review).

E2.13 Purpose of review of accreditation approval

The purpose of reviewing the accreditation approval is to assure the University that the provisions set out in Section E2.9 remain valid and effective. It is expected that the review will include a visit to the premises on which the Scheme or Course has been delivered and subsequent venue visit report.

E.3 FLEXIBLE AND DISTRIBUTED LEARNING

PRINCIPLES

Assurance of standards

The University is responsible for the academic standard of all credit and awards granted in its name.

Quality of learning opportunities

The quality of learning opportunities must be appropriate to the achievement of the learning outcomes for the award.

New course approval

The approval of programmes of study delivered by FDL is subject to prior new course approval. All proposals shall be consistent with University policy.

Academic approval and periodic review

All Schemes or Courses delivered by FDL are subject to academic approval and periodic review.

Access and equal opportunities

All Schemes and Courses delivered by FDL will meet the same requirements for access and equal opportunities as for Schemes or Courses delivered at the University.

Public information

The University shall make appropriate information available to students on FDL provision in accordance with external requirements.

Conferment of award

The University requires that all FDL provision leading to an award of the University must satisfy the University's normal requirements for the conferment of an award.

Maintenance of academic standards and quality

To ensure academic standards and quality, all Schemes or Courses delivered by FDL shall be subject to both annual and periodic review. To ensure academic standards, all proposed modifications to Schemes or Courses will be subject to approval in the same way as modification to Schemes or Courses delivered at the University.

E3.1 Flexible and distributed learning: general provisions

E3.1.1 Assurance of standards

The University is responsible for the academic standard of all credit and awards granted in its name. These standards should meet any applicable external requirements.

E3.1.2 Quality of learning opportunities

The University is responsible for ensuring that any FDL provision provides learning opportunities equivalent to that of comparable Schemes and Courses delivered at the University.

E3.1.3 Guidance documentation

The University shall set out the requirements and processes in respect of FDL through a series of guidance documents available through the Quality Assurance Directorate.

E3.1.4 Flexible and distributed learning: definition

The University may offer Schemes or Course delivered by FDL. FDL is educational provision leading to an award, or to specific credit toward an award, of the University delivered and/or supported and/or assessed through means which generally do not require the student to attend particular classes or events at particular times and particular locations. Further definitions in respect of FDL shall be as set out in guidance documentation.

E3.1.5 Professional or statutory regulatory bodies

The University shall notify any professional or statutory regulatory body, which has accredited, approved or recognised a Scheme or Course that it will be offered as FDL provision. Prospective students shall also be notified of the status of the Scheme or Course in relation to the professional or statutory regulatory body.

E3.1.6 Flexible and distributed learning offered through collaborative provision

The University will in principle permit a collaborating body to develop FDL provision of its own and this shall be subject to the provisions of section E1.

E3.1.7 Assessment

The University requires that all FDL provision leading to an award of the University is subject to arrangements for assessment in accordance with the University regulations.

E3.1.8 Public information

The University shall make appropriate information on FDL provision available to students and the wider public in accordance with external requirements.

E3.1.9 External examiners and advisers

The arrangements in respect of external examiners and advisers for FDL provision shall comply with the University's requirements as set out in Section C. The University shall offer the same level of support and developmental opportunities to external examiners and advisers on FDL provision as for awards offered at the University.

E3.1.10 Conferment of award

The University requires that all FDL provision leading to an award of the University must satisfy the University's normal requirements for the conferment of an award.

E3.1.11 Certificate of award

The University has sole authority to produce certificates of award for programmes of study delivered through FDL provision. The certificate of award will not normally vary in format or content from any other award of the University.

E3.1.12 New course approval

At an early stage new course approval for FDL provision must be sought in accordance with University procedures.

E3.1.13 Use of agents in FDL provision: conflict of interest

The University will take all reasonable steps to satisfy itself that the interests of any agent used to broker or facilitate FDL provision will not conflict with:

- those of the University;
- those of the students recruited to join the programmes of study provided under the FDL provision.

E3.1.14 Use of agents in FDL provision: conflict of interest: due diligence

Prior to entering into an agreement with an agent used to broker or facilitate FDL provision, the University will investigate fully the following:

- the reputation and suitability of the proposed agent
- the financial standing of the proposed agent
- the experience and understanding of UK higher education of the proposed agent.

E3.1.15 Legal agreements with agents

The University requires that any agreement or contract with an agent used to broker or facilitate FDL provision will be in writing and legally binding. Agreements will specify the following:

- the role, responsibilities and delegated power (if any) of the agent
- provisions for monitoring, arbitration and termination
- financial arrangements
- the legal jurisdiction under which any disputes would be resolved
- arrangements for review and possible renewal of the agreement

Further specification of contractual requirements will be informed by University guidance.

E3.2 Approval and periodic review of flexible and distributed learning provision

E3.2.1 Approval

Any proposal for delivery of Schemes or Courses by FDL is subject to:

- new course approval
- academic approval and periodic review

E3.2.2 Process

The process of approval and periodic review will be subject to the provisions of Section B and will be informed by University guidance. This process must include consideration as to whether the staffing body is appropriately qualified and able to deliver the Scheme or Course to the standard of the award.

E3.2.3 Conduct

The Faculty is responsible for the conduct of the approval and periodic process in accordance with the provisions of Section B.

E3.2.4 Requirements for the approval (and periodic review) of FDL provision

The approval process will ascertain the following (over and above those requirements as set out in Section B2.1.8):

(A) Method of delivery

That the University can be assured as to the robustness of the method and system of delivery and that alternative methods and systems of delivery would be made available to students should the primary method fail.

(B) Availability of electronic resources

That the University can be assured of the fitness for purpose, security and reliability of any mechanisms for electronic delivery of provision and that there is appropriate availability and life expectancy of this resource.

(C) Study materials

That the distinct study materials for FDL provision meet any applicable internal and external expectations.

(D) Support for students

That the staffing body is appropriately qualified and able to deliver the required level of support to students who are studying remotely from the main campuses of the University and that the level of support required is equivalent to that on Schemes or Courses delivered at the University.

(E) Aims and learning outcomes

That the aims and intended learning outcomes of FDL provision are reviewed periodically for their continuing validity and relevance, making appropriate reference to any applicable internal or external requirements.

E3.2.5 Provisions for the admission of students

The University shall ensure that the arrangements for the admission of students onto FDL provision are subject to the provisions of Section B.

E3.2.6 Information to applicants

In addition to the requirements as set out in Section B9.2, prospective students shall require a clear and realistic explanation of the expectations placed upon them for the study of FDL provision and for the nature and extent of autonomous, collaborative and supported aspects of learning.

E3.3 Monitoring, review, enhancement and modification of flexible and distributed learning provision

E3.3.1 Requirement for monitoring and review

All Schemes and Courses delivered by FDL are subject to monitoring, review and enhancement activity in accordance with University regulations.

E3.3.2 Annual report

All Schemes and Courses delivered by FDL will report annually to the University on the conduct of each of the Schemes and Courses during the previous year. These reports feed into the annual monitoring and review cycle for each course.

E3.3.3 Outcomes

The outcomes of all monitoring, review and enhancement activity will be considered by the University's deliberative structure as appropriate.

The outcomes of all monitoring, review and enhancement activity will inform the process of periodic review.

E.3.3.4 Purpose

All monitoring, review and enhancement activity regarding Schemes and Courses delivered by FDL will ensure that their academic standards and quality are equivalent to those of comparable Schemes and Courses delivered at the University.

E3.4 Information for students

E3.4.1 Course information

Students shall be provided with appropriate information relevant to their Scheme or Course, delivered by FDL, as set out in University guidance.

E3.4.2 Assessment

Students shall be provided with information relating to assessment and feedback in line with the provisions as set out in Section C.

E3.4.3 Receipt of assessed work

The University shall ensure that there are appropriate and adequate mechanisms in place for the safe and secure receipt of assessed work from students, including attribution of work to the correct student, on FDL provision, over and above the requirements of Section C.

Academic Principles and Regulations

Section G: Regulations for Research Awards of the University

August 2015

Approved by Academic Board July 2011, November 2011, July 2013, July 2014 and July 2015



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SECTION G: REGULATIONS FOR RESEARCH AWARDS OF THE UNIVERSITY

G1 RESEARCH AWARDS

G1.1 Research Awards of the University

The University makes the following awards to registered candidates who have successfully completed approved programmes of supervised research:

- Master of Research (MRes)
- Master of Philosophy (MPhil)
- Doctor of Philosophy (PhD)
- Professional Doctorate (which includes DBA, D Eng and Ed D).

G1.2 Other Research Awards

The University also makes the following awards subject to the fulfilment of the specific requirements of the award:

- PhD by Existing Published work
- Higher Doctorates

G1.3 Field of Study

Programmes of research may be proposed in any field of study subject to the following requirements:

- That the proposed programme is capable of leading to scholarly research
- That it can be presented for assessment by appropriate examiners
- That a suitable supervisory team can be formed.

G2 RESEARCH AWARDS: REQUIREMENTS

G2.1 Conditions of Award

An award of the University will be conferred when the following conditions are satisfied:

(A) Registration, Fees and Financial Liabilities

The candidate is a registered student for an award and payment of all the appropriate tuition and other relevant fees and outstanding financial liabilities has been made.

(B) Completion of Programme

The candidate has completed an approved programme of research.

(C) Recommendation for Award

The award has been agreed by the examiners, and confirmed by the Chair of the University Research and Enterprise Committee.

G2.2 Masters by Research (MRes)

A Masters is awarded to a candidate who has investigated a topic using appropriate research methodology and has presented a satisfactory thesis. An oral examination may be required at the discretion of the examiners.

G2.3 Masters Titles

Masters of Research (MRes)

The title Master of Research (MRes) is used for all subject areas.

G2.4 Masters: Certificate of Award

The specification of the award of Master of Research is shown on the Certificate of Award.

G2.5 Masters: Use of Designatory Letters

Award holders may use the designatory letters with or without the mode of attaining the award.

G2.6 Master of Philosophy (MPhil)

A Master of Philosophy (MPhil) is awarded to a candidate who has satisfactorily completed, or been exempted from, an approved programme of research training; has investigated and evaluated, or

critically studied, an appropriate topic demonstrating an understanding of research methods appropriate to the chosen field; and has presented a satisfactory thesis. The candidate is required to defend the thesis by oral examination.

G2.7 Doctor of Philosophy (PhD)

A Doctor of Philosophy (PhD) is awarded to a candidate who has satisfactorily completed, or been exempted from, an approved programme of research training; has investigated or critically studied an appropriate topic resulting in a significant contribution to knowledge; and has presented a satisfactory thesis. The candidate is required to defend the thesis by oral examination.

G2.8 PhD by Existing Published Work

A Doctor of Philosophy (PhD) may also be awarded on the basis of existing published work. This may include the candidate's own original creative work. The work presented must demonstrate a systematic approach evidencing independent, critical and original aspects, with a significant contribution to knowledge; and must include a synoptic review. The synoptic review and existing published work will form the thesis which is presented for examination. The candidate is required to defend the synopsis and published work (the thesis) by oral examination.

G2.9 Professional Doctorate

A Professional Doctorate is awarded to a candidate who has satisfactorily completed an approved programme of research training and contextual study. The candidate will also have investigated or critically studied an approved topic or topics which make a significant contribution to practice and/or knowledge, and presented a satisfactory thesis. The candidate is required to defend the thesis by oral examination.

G2.10 Doctor of Education (EdD)

The title of Doctor of Education (EdD) is reserved for programmes of research focused on education and professional practice in education.

Normally all candidates must have appropriate professional experience.

G2.11 Doctor of Engineering (DEng)

The title of Doctor of Engineering (DEng) is reserved for programmes of research focused on engineering and related subjects and professional practice in engineering.

Normally all candidates must have appropriate professional experience.

G2.12 Doctor of Business Administration (DBA)

The title of Doctor of Business Administration (DBA) is reserved for programmes of research focused on Business Administration and related subjects and professional practice

Normally, all candidates must have appropriate professional experience.

G2.13 Professional Doctorate (DProf)

The title of Professional Doctorate is reserved for those areas not covered by a named award.

Normally, all candidates must have appropriate professional experience.

G2.14 Higher Doctorates

The University awards Higher Doctorates to applicants who have undertaken work of high distinction, which has constituted an original and significant contribution to the advancement of knowledge, or its applications, or both.

Applications may be made for the following Higher Doctorates:

- Doctor of Laws (LLD)
- Doctor of Letters (DLitt)
- Doctor of Science (DSc)
- Doctor of Technology (DTech).

G3 RESEARCH AWARDS: GENERAL PROVISIONS

G3.1 Registration of Candidates

G3.1.1 Mode of Study

A candidate may register on a full-time or part-time basis.

A candidate may seek approval from the Research Degrees Sub-Committee of the University Research and Enterprise Committee for a change in the mode of study at any point during the research programme.

G3.1.2 Off Shore Study Option (MRes, MPhil, PhD, and Professional Doctorates)

A candidate may register on a full-time or part-time basis. Opting for offshore study will allow a candidate to remain in their own country to study for their award whilst using agreed facilities within a specified and University approved location (usually a place of education that the University has a pre-arranged agreement with).

A candidate opting for this mode of study will be expected to be in residence in Leeds and attend our University for a minimum of two months at the beginning of the programme of study. This will establish a good working relationship with the supervisory team, undertake appropriate training and prepare for the Confirmation of Registration. Additional visits will be required as necessary for the particular award being studied. The candidate must attend the Viva Voce Examination in person at Leeds Beckett University.

G3.1.3 Periods of Registration

Registration commences from the date the candidate registers and enrolls as a research candidate at the University. The minimum and maximum periods of registration (which includes any period of writing-up, examination and conferment of the award), are provided in the table below:

Award	Period of Study	Writing up	Total
Masters by Research (Full-Time)	1 year	N/A	1 year
Masters by Research (Part-Time)	2 years	N/A	2 years
Master of Philosophy (Full-Time)	2 years	1 year	3 years
Masters of Philosophy (Part-Time)	3 years	1 year	4 years
Doctor of Philosophy (Full-Time)	3 years	1 year	4 years
Doctor of Philosophy (Part-Time)	5 years	1 year	6 years
Professional Research Doctorate (Part-Time)	4 years	1 year	5 years
PhD by Existing Published Works	1 year	N/A	1 year

G3.1.4 Duration of Study – Submission Prior to Expiry of Minimum Period of Registration

The minimum period of registration can exceptionally be reduced by up to 6 months for both full-time and part-time candidates (with fees adjusted accordingly), with the support of the candidate's supervisory team and the prior approval of the Research Degrees Sub-Committee of the University Research and Enterprise Committee.

Candidates may submit their thesis for examination prior to the expiry of the minimum period of registration.

G3.1.5 Changes to a Candidate's Period of Registration

Where a candidate changes their mode of study or transfers from one research award to another, their period of registration will be calculated on a pro-rata basis.

G3.1.6 Candidates transferring from another institution – Periods of Registration

Where a candidate has commenced their period of registration with another institution, their period of registration will be calculated based on the date their registration commenced with the previous institution.

G3.1.7 Annual Progression and Continuation of a Candidate's Registration

Continuation of a candidate's registration will be subject to the outcome of the Annual Progression process.

G3.1.8 Duration of Study – Application to exceed maximum period of registration

A candidate registered for a research award of the University may only exceed the maximum period of registration in exceptional circumstances. The Research Degrees Sub-Committee of the University Research and Enterprise Committee is authorised to agree an extension to a candidate's registration up to a maximum of 12 months.

A candidate must submit a request to extend their registration at least 3 months prior to the expiry of their maximum period of registration or the request may be rejected.

G3.1.9 Externally-funded candidates – Duration of Study

Where a candidate accepted for a research award of the University is funded by an external body, and that external body prescribes time-limits for the completion of the award in question, the time-limit set by the external body shall be the duration of study for the candidate.

In accepting the funding from the external body to study within the University, the candidate agrees to be bound by the time limits set by the funding body for the submission of the award for which funding is given.

G3.1.10 Suspension of Registration

In exceptional circumstances, the Research Degrees Sub-Committee of the University Research and Enterprise Committee may approve a request for suspension of registration for any research award where the candidate is prevented by ill-health or any other valid cause from making progress on their research.

The minimum period for a suspension period is 3 months.

Application for suspension is not permitted within the first 6 months of a programme of study nor during the writing-up period.

During any period of suspension the candidate will be required to maintain regular contact with their Director of Studies, providing updated information (such as medical certificates) on their status and expected return date.

Any period of suspension will not count towards the candidate's overall period of registration.

G3.1.11 Withdrawal of Registration

A candidate wishing to withdraw their registration from the University must inform the University Research Office of this intention in writing. The University Research Office should offer the candidate an exit-interview in which the reasons for withdrawal will be discussed.

G3.1.12 Registration and Confirmation of Registration

To meet academic standards and to ensure that candidates are embarking on an achievable programme of research leading to an award of the University, candidates are required to submit for confirmation of their registration on their target award.

G3.1.13 Transfer of Registration

If, through the course of their research, the candidate feels their research project may be suitable for an alternative award than the one which they originally registered for (a candidate wishing to transfer from MRes to MPhil or MPhil to PhD for example), they may seek to transfer their registration. Candidates are advised to seek the opinion, and advice of, their supervisory team before making a request to transfer their registration to an alternative award.

An application to transfer to an alternative award will be considered by the Research Degrees Sub-Committee of the University Research and Enterprise Committee who may arrange for the candidate to undertake the Transfer of Registration process.

G3.2 Fees for Research Candidates

G3.2.1 Fees

The payment of fees will be as prescribed by the appropriate University guidance and processes.

The candidate will be expected to re-enrol and pay fees on an annual basis, subject to the outcome of the annual progression process.

The candidate's registration and fee payment must be current at the time of examination.

G3.2.2 Candidate entitlement on payment of fees

Payment of the required full-time or part-time fees entitles the research candidate to access the University's facilities and services. The candidate is entitled to receive supervision only during the period in which they pay the full fee for the appropriate mode of study.

G3.2.3 Writing-up Fee – MPhil, PhD only

A candidate permitted to register on to the writing-up fee by the Research Degrees Sub-Committee of the University Research and Enterprise Committee will not require, or receive, any supervision during the period in which they are paying the writing-up fee; but will be able to access the library and other learning facilities of the University.

The writing-up fee period will be a minimum of 2 months and a maximum period of 12 months which may not be extended.

G3.2.4 Writing-up Fee and Periods of Registration

A flat rate fee will be charged for the writing-up period. The fee is non-refundable.

Any period of writing-up will count towards the candidate's overall period of registration.

G3.3 Equality and Diversity: Reasonable Adjustments

G3.3.1 Consideration of Adjustments

In the interests of ensuring compliance with relevant equality and diversity legislation, where a candidate is prevented through disability, or any other valid cause, from undertaking the processes relating to their research award in the standard way, the Research Degrees Sub-Committee of the University Research and Enterprise Committee will consider and approve any variation to the processes relating to that award. In doing so, the standards of the award must be maintained.

G4 ANNUAL REPORTING

G4.1 Process

The Research Degree Sub-Committee of the University Research and Enterprise Committee will receive reports on research students' progress, data and issues relating to research degree programmes.

G5 EXTENUATING CIRCUMSTANCES

G5.1 Fit to Sit/Submit Principle

The Research Awards regulation in respect of Extenuating Circumstances is based on the principle of fit to sit/submit. The principle asserts that students who undertake an assessment or confirmation of registration process declare themselves fit to take that assessment or process; any claim for extenuating circumstances in relation to that assessment or process will not, normally, be considered.

G5.2 Progression

Extenuating circumstances which may have affected a candidate's progress should be drawn to the attention of the Research Degree Sub-Committee of the University Research and Enterprise Committee in respect of decisions which may be made on any aspect of a candidate's progress including confirmation of registration and examination.

G5.3 Early Notification

Candidates should draw the attention of their supervisory team (or independent contact) to any circumstances which may have affected or be affecting the progress of their studies at the earliest opportunity. This will enable the supervisory team to take this into account in respect of the annual progression review.

G5.4 Extenuating Circumstances - Examination and Outcomes

Where the extenuating circumstances relate to the timing of the viva-voce examination and / or any further examination (as relevant), the candidate must inform the University Research Office of these circumstances at the earliest possible opportunity so that arrangements can be made to postpone / re-schedule the viva-voce examination and/or any further examination.

Normally, no research award of the University may be conferred without the candidate successfully undertaking the relevant examination process for that award.

G5.5 Research Degrees with Structured Learning

Students undertaking Research Degree Awards with structured learning may submit their extenuating circumstances for consideration by a Research Mitigation Co-ordinator.

G5.6 Consideration of Extenuating Circumstances

The Research Mitigation Co-ordinator may approve an extension up to 10 days.

The Chair of the University Research Degrees Sub-committee or nominee may approve an extension up to 1 month.

Request for extensions over 1 month must be presented to the University Research Degrees Sub-committee to consider suspension of study.

G6 APPEAL PROVISIONS

G6.1 Regulations and Procedures for Appeal

The regulations and procedures governing the submission of an appeal are as found in Section C16 of the University Academic Principles and Regulations.

G6.2 Application

These regulations apply to any candidate appeal in respect of the following:

- Confirmation of Registration
- Transfer of Registration
- Registration for an alternate award
- The outcomes of the Annual Progression panel
- The examiners' decision in respect of a research award of the University.

G7 RESEARCH MISCONDUCT AND UNFAIR PRACTICE

G7.1 Investigating Research Misconduct and Unfair Practice

The circumstances of a claim of Research Misconduct will be investigated in line with the provisions of the Policy and Procedures for investigating allegations of misconduct in research.

A candidate or member of staff studying towards a research award who is suspected of plagiarism, collusion or other form of unfair practice may be investigated under the provisions of Section C9 of the University Academic Principles and Regulations.

G8 CONFIDENTIALITY AND PRESENTATION OF WORK

G8.1 Confidentiality of Theses

Where a candidate or the University wishes the thesis to remain confidential for a period of time after completion of the work, application for approval is normally made to the University at the time of registration or as soon as the need for confidentiality emerges. Application must be made to the University Research Office on the appropriate form.

The Research Degrees Sub-Committee of the University Research and Enterprise Committee normally only approves an application for confidentiality in order to enable a patent application to be lodged or to protect commercially sensitive material. The maximum period of confidentiality is normally two years, although in exceptional circumstances the Research Degrees Sub-Committee of the University Research and Enterprise Committee may approve a longer period.

G8.2 Form of Presentation

The form of presentation may be by:

- A written thesis; or
- A thesis that comprises other material accompanied by a written critical evaluation and contextualising overview of the process and product of the intellectual enquiry.

G8.3 Creative Work

Candidates may propose a programme of work in which the candidate's own creative work forms a significant part of the intellectual enquiry where it is an integral part of the process and product. In such cases, the following are required:

(A) Research programme

Such creative work shall be undertaken within and as part of an identified research programme.

(B) Context

Such creative work must be clearly presented in relation to a written critically evaluating contextual overview of the process and product of the intellectual enquiry. This written component should be not less than 10,000 words and not more than 25,000 as appropriate to the particular research proposal.

(C) Form of Submission, Methods of Assessment and Permanent Record

The form of the proposed submission and the proposed methods of assessment must be set out in the application for registration and be such that they meet the regulatory requirements for the award. Creative work submitted for examination must be documented through appropriate textual and photographic, video, CD-rom or DVD evidence including any artefacts or documentation integral to the creation of the work. Such documentation will provide a permanent archival record of the full submission. Where a web-based submission is made, a permanent archival record of the website on disk must be provided. Submissions in such a format may if appropriate integrate the written component (see G8.3 (B) above).

G8.4 Scholarly Editions

Applicants may propose a programme of research of which the principal focus is the preparation of a scholarly edition of a text or texts, musical or choreographic work, or other original artefact. In such cases the following are required:

(A) Form of Submission

The application must show how the final work shall be submitted.

(B) Commentary and Context

The resultant work to be examined shall include a substantial introduction and a critical commentary setting the text(s) in the relevant historical, theoretical and critical context.

(C) Other Requirements

The thesis shall conform to the usual scholarly requirements and be of an appropriate length.

G9 CO-OPERATION WITH OTHER ORGANISATIONS

G9.1 Co-operation with Other Organisations

The University encourages programmes of research that involve co-operation with industrial, commercial, professional or research organisations leading to one of its awards.

Such co-operation is undertaken with the intention of:

- Encouraging outward looking and relevant research
- Extending a research candidate's experience and perspectives
- Providing a wider context for the development of the research topic to be undertaken
- Benefiting the research of the co-operating organisation.

G9.2 Co-operating Organisations

Formal co-operation may be with one or more external bodies or institutions, each of which is referred to as a Co-operating Organisation.

G9.3 Details of Agreement

The establishment of such a co-operation shall specify:

- The resources and facilities available for a candidate
- The arrangements (if appropriate) for joint or other supervision
- Their commitment to support the candidate to submission, or other relevant guarantee.

Any agreement with a co-operating organisation(s) will be subject to the procedures identified in 'Section E: Partnerships, Collaborative Provision, Flexible and Distributed Learning and Accreditation of Provision Delivered at other Institutions' of the University Academic Principles and Regulations.

G9.4 Academic Independence

All proposed research programmes are considered for research award registration on their academic merits and without reference to the concerns or interests of any associated funding body.

G10 ADMISSION

G10.1 Admission & Entry Qualifications

G10.1.1 Admission

Admission of candidates for research awards will conform to the general Admission Regulations of the University, as appropriate, and to the specific provisions in respect of application and qualification for registration for research awards.

G10.1.2 Evidence of Qualifications

All applicants will be required to provide satisfactory evidence of the qualifications or experienced claimed. Falsification of such evidence will lead to the termination of registration.

G10.1.3 MRes, MPhil, PhD, PhD by Existing Published Work

The normal entry qualifications for registration on to the degrees of MRes, MPhil or PhD, is an appropriate honours degree of a United Kingdom higher education institution; or one recognised by the University as equivalent.

Admission may also be through a qualification which is regarded by the Research Degrees Sub-Committee of the University Research and Enterprise Committee as equivalent.

G10.1.4 Professional Doctorates

Candidates for Professional Doctorates should normally have an appropriate honours degree of a United Kingdom higher education institution; and have had a minimum of three years of professional experience. Professional experience will be understood as practical experience within the relevant field of enquiry.

G10.1.5 Non-standard Entry Qualifications

An application made by someone other than those holding an appropriate entry qualification is considered on its merits. Evidence is required to demonstrate that the background knowledge is appropriate and that the candidate has the ability to carry out the research to the level required for that award.

Such an application is considered by the Chair of the University Research and Enterprise Committee who will consider the recommendation in the context of consistency and fairness across the University and make a recommendation.

G10.1.6 English Language Qualification

If a candidate's first language is not English, the University will require evidence that the candidate has the necessary language skills to fulfil the requirements of the award.

Candidates are required to provide evidence of a minimum International English Language Testing System Grade, or equivalent, of 6.5 (IELTS 6.5) with no individual sub-score below 6.0 for all research awards.

G10.1.7 Transfer of Registration from another Institution

An applicant wishing to transfer their registration from another institution in the United Kingdom must provide evidence:

- That the proposed programme of study has been accepted by that institution and when their registration commenced
- The level at which it was accepted.

Subject to the satisfactory provision of evidence, an applicant for transfer into the University may register for the target award of PhD, MPhil or MRes.

Candidates whose programme of study was approved for the award of MPhil or MRes and who wish to register for a higher or alternative award with the University will be required to submit for confirmation of registration on to the higher / alternative award.

G10.2 Consideration and Determination of Application

G10.2.1 Application for Admission

Application for admission to a research award of the University is made to the University Research Office.

G10.2.2 Reference to relevant external legislation and policies

The University requires all candidates to comply with all laws, legislation and policies appropriate to the research project and provide documentary evidence as appropriate.

Confirmation of compliance with the relevant legislation / policies must be forwarded to the University Research Office before any decision on admission can be made.

This requirement applies equally where the requirement to comply with any law, external legislation / policies emerges after registration.

G10.2.3 Group Projects

An applicant whose work forms part of a larger group project may apply to register for a research award subject to the following requirements:

- The project work to be undertaken by the applicant must be clearly defined, together with supervisory and technical assistance

- The individual contributions must be clearly identified and be distinguishable at the examination.

G10.2.4 Research Projects substantially undertaken outside the University

Applications may be made from persons proposing to work substantially outside the University or outside the United Kingdom provided that:

- The facilities are available to carry out the programme of research
- Arrangements for supervision can be made to provide for adequate and appropriate contact between the candidate and the supervisor(s) based in the University.

G10.2.5 Research Training Programme

It is compulsory for a candidate registered for a research award to have successfully completed an approved research training programme before they are eligible to be examined for the research award, unless exemption has been agreed.

MRes candidates will be exempt from this requirement due to the nature of their award.

On account of the basis on which the submission will be made, a candidate for PhD by Existing Published Work is exempt from the requirement to participate in the University's Research Training Programme.

G10.2.6 Exemption from the Research Training Programme

The Research Degree Sub-Committee of the University Research and Enterprise Committee may, following an application from the supervisory team, exempt an applicant from the Research Training Programme.

In cases where a candidate has been exempted from the approved training this should be stated clearly on the offer letter to the applicant prior to them registering on their award.

G10.2.7 Decision on an Application

The University will determine:

- Whether an offer of a place should be made to an applicant
- The level at which registration should take place (if relevant)
- Whether the applicant is exempt from the Research Training Programme.

The University Research Office will communicate the decision to the applicant.

G10.2.8 Registration

After an offer of a place is made and accepted by the applicant, the new candidate must register and enrol as a research candidate of Leeds Beckett University on the appropriate award; and commence the payment of fees.

G11 SUPERVISION OF RESEARCH

G11.1 Supervision of Research

A research degree candidate is normally supervised by a Director of Studies and at least one other supervisor. In exceptional circumstances, an additional supervisor may be added to the supervisory team.

G11.2 Appointment of Supervisory Team

The supervisory team will be proposed by the relevant Faculty with the relevant members of academic staff, during the process of consideration of the application.

G11.3 Supervisory Team: staff development

All supervisors will be required by the University to engage in development of various kinds to equip them to supervise candidates. New supervisors will participate in specified development activities arranged by the University to assure their competence in the role.

G11.4 Advisors

An advisor or advisors may be proposed in addition to the Director of Studies and supervisor. The advisor would normally provide one or more of the following:

- A specialised knowledge of value to the research project
- Additional extensive experience of research award supervision
- An appropriate link with, or is in, an external organisation that will assist with the programme of research.

G11.5 Staff ineligible to act as Research Supervisors

To avoid potential conflicts of interest, real or perceived, a member of staff registered for a research degree, either internal or external to the University, should not act as a supervisor to another research degree candidate.

In exceptional circumstances the Research Degrees Sub-Committee of the University Research and Enterprise Committee has discretion to approve variance to this provision; and such exemption should be sought from the Chair of the Research Degrees Sub-Committee of the University Research and Enterprise Committee.

G11.6 Change in Supervisory Arrangements

Changes in supervisory arrangements should be reported to the Research Degrees Sub-Committee of the University Research and Enterprise Committee.

G12 COMMENCEMENT OF STUDY

G12.1 Candidates

During the first stage of the research project, the research candidate will work with the supervisory team, and:

- Refine the proposed project
- Comply with any other relevant University procedures required for confirmation of registration.

G12.2 Supervisory team

During the first stage of the research project, the supervisory team will work with the candidate, and:

- Assure themselves of the candidate's suitability to undertake the research and the feasibility of the proposed project
- Ensure compliance with any other relevant procedures.

G12.3 Ethical Approval of Research Programme

The supervisors will determine the type and level of approval or authorisation the candidate's project is likely to require and whether the proposed project requires reference to the Faculty Research Ethics Committee; or requires any other external approval.

Where ethical approval has been sought and agreed, the relevant documentation must be submitted with the documentation for Confirmation of Registration. Where ethical approval is ongoing and/or subject to further refinement, a report to that effect must be included with the documentation for confirmation as defined by the confirmation of registration regulations for that award.

G12.4 Health and Safety: Risk Assessment

The supervisors, with the advice of the University Health and Safety Officers if appropriate, will determine whether the proposed project requires a risk assessment.

Where required, such a risk assessment must be carried out prior to confirmation of registration; and the record of the risk assessment and its outcomes included with the documentation for confirmation of registration.

G12.5 Data Protection Act 1988

Research candidates must make themselves aware of the provisions of the Data Protection Act 1988, and how this impacts on their programme of study.

G12.6 Intellectual Property Provisions

Research candidates must ensure they are aware of the University Regulations with regards to intellectual property (see General Student Regulations); by enrolling on to a University programme, candidates will confirm their compliance with these provisions.

G12.7 Collaborating Institutions or Organisations

The supervisors will ensure that, where required, a formal letter of support from a collaborating institution or organisation, setting out the terms of the collaboration, is obtained by the candidate. This letter will be included with the documentation for confirmation of registration.

G13 PROGRESSION

G13.1 Progression

At any point a formal progression meeting can be held.

G13.2 Annual Progression

The progress of all candidates will be reviewed annually through the Annual Progression process.

In the absence of such progress, the progression panel will take appropriate action which may include the requirement for the candidate to withdraw from their programme of study.

G13.3 Annual Progression: Process

The Annual Progression Process will take the following format:

- Annual Progression Panel is formed
- Candidate submits Annual Progression Form with any relevant supporting information (Director of Studies also completes the relevant section of this form)
- The candidate presents an overview of their work to date and outlines the progress made in a presentation to the Annual Progression Panel
- The Annual Progression Panel confirms outcome to the candidate
- Outcomes of the Annual Progression Process are reported to Research Degrees Sub-Committee of the University Research and Enterprise Committee.

G13.4 Annual Progression Panels

Candidate progress will be reviewed by an Annual Progression Panel which will meet within 12 months of the candidate's enrolment date with the University.

The candidate's progress will be reviewed on an annual basis thereafter.

G13.5 Annual Progression: Outcomes

The Annual Progression Panel is permitted to decide one of the following outcomes:

- **Continue** - The candidate is permitted to continue their studies
- **Continue with Written Warning** - The candidate is permitted to continue with their studies with a written warning regarding their lack of satisfactory progress which will be reviewed by the next available Annual Progression Panel or at an earlier additional progression point, as defined by the Panel
- **Alternative Award** - The candidate is not permitted to continue their studies on their current award but is offered the opportunity to registers on an alternative (MPhil to MRes) or lesser award (PhD to MPhil or MRes)
- **Withdraw** - The candidate is not permitted to continue their studies and is required to withdraw from their research programme.

G13.6 Annual Progression: Review of Written Warnings

Where the outcome of the Annual Progression Panel is to permit the candidate to continue with their studies with a written warning regarding the lack of satisfactory progress, this may be reviewed by the next Annual Progression Panel or at an earlier additional progression point as decided by the panel. If the additional progression point is set prior to the next meeting of the Annual Progression Panel, the date by which the review will take place will be clearly specified to the candidate.

Upon further reviewing the progress of the candidate, at the additional progression point, the Panel will retain the right to make any of the decisions available at the original Annual Progression Panel from which the written warning originated (as in G13.4).

G13.7 Appeal

A candidate whose registration is terminated or amended may lodge a request for an appeal hearing under the provisions of the University Academic Principles and Regulations, section C16. Appeals on the grounds of academic judgement are not permitted under these regulations.

G14 TRANSFER OF REGISTRATION

G14.1 Transfer of Registration - Higher Award

A candidate registered for the award of MPhil may seek to transfer their registration to PhD. A candidate registered for the award of MRes may seek to transfer their registration to MPhil.

G14.2 Transfer of Registration – Lower Award

A candidate registered for a research award who is unable to complete the approved programme of work at that level may make an application to the Research Degrees Sub-Committee of the University Research and Enterprise Committee to revert to a lower award, providing this is done before the submission of the examination arrangements for the candidate.

In considering the application to transfer to the lower award, the Research Degrees Sub-Committee of the University Research and Enterprise Committee is required to confirm that the candidate will realistically be able to achieve the lower award.

Where there are doubts, the candidate may be required to submit for Confirmation of Registration for the lower award.

G14.3 Timescales

A request for transfer may take place at any point before the submission of the examination arrangements for the candidate.

G14.4 Process

The process of transfer will be the same as the process for confirmation of registration for the award the candidate is transferring to.

G14.5 Appeal

A candidate refused transfer of registration on to a higher award, may lodge a request for an appeal hearing under the provisions of the University Academic Principles and Regulations, section C16. Appeals on the grounds of academic judgement are not permitted grounds of appeal under these regulations.

G15 CONFIRMATION OF REGISTRATION

G15.1 Confirmation of Research Award

The following provisions for Confirmation of Registration apply to MPhil, PhD and Professional Doctorate candidates. For PhD by Existing Published Work see section G22.3.

G15.2 Purpose and Requirements of Confirmation of Registration

The purpose of these provisions is to ensure:

- That the completion of the research project as described will realistically enable the candidate to achieve a research award of the University at the designated level
- The suitability of the candidate to pursue the research project at that level.

G15.3 Timescales

Confirmation of Registration on their award will be completed within 4 months of enrolment for full-time candidates and 6 months for part-time candidates.

Candidates are required to undertake the Confirmation of Registration during the fixed weeks appropriate to the Intake Date.

The Research Degrees Sub-Committee of the University Research and Enterprise Committee may approve a change from the fixed weeks, in exceptional circumstances only. Any application for a change from the fixed weeks must be made at the earliest possible opportunity when the reasons for making such a request emerge.

G15.4 Outcomes

The discussion will result in one of the following outcomes:

- Confirmation of registration for the award
- Confirmation of registration for a lesser award
- Termination of programme.

G15.5 Appeal

A candidate refused Confirmation of Registration to a research award may lodge a request for an Appeal Hearing under the provisions of Section C16 of the University Academic Principles and Regulations.

Appeals on the grounds of academic judgement are not permitted as grounds of appeal under these regulations.

G16 ELIGIBILITY AND SUBMISSION FOR EXAMINATION

G16.1 Eligibility for Examination

G16.1.1 Research Training Programme – Research Awards

Unless specifically exempted, a candidate registered for a Research Award of the University is required to follow an approved Research Training Programme before they are eligible to be examined for the research award.

G16.1.2 Research Training and Contextual Study – Professional Doctorate

A candidate for the award of Professional Research Doctorate is not eligible to be examined until the approved programme of research training and contextual study specific to that award has been successfully completed.

G16.1.3 Confirmation of completion of Research Training Programme

Before examination for the registered award, the candidate must obtain written confirmation that the relevant research training programme and/or contextual study has been satisfactorily completed.

G16.1.4 Submission at the Discretion of the Candidate

Where a minimum period of registration exists for the candidate's award, the candidate may submit the thesis prior to the expiry of their minimum period of registration but may not be conferred with the award unless specific permission has been granted by the Research Degrees Sub-Committee of University Research and Enterprise Committee.

Submission of the thesis for examination is at the sole discretion of the candidate. Although a candidate would be unwise to submit the thesis against the advice of the supervisors, it is their right to do so.

Candidates should not assume that a supervisor's agreement to the submission of the thesis guarantees the award of the degree.

G16.1.5 Mock Viva

Any candidate registered on a research award of the University must be given a mock viva prior to submission of the final version of the thesis.

The outcome or advice received by the candidate as a result of this process does not guarantee receipt of the award.

G16.1.6 Compliance with University Requirements

It is the responsibility of the candidate to ensure prior to the examination:

- That the requirements of the relevant University Principles and Regulations have been met, including the payment of fees
- That registration is still current.

G16.1.7 Examination Arrangements and contact with External Examiner(s)

A candidate may not take part in the arrangement of the examination and shall have no formal contact with the external examiner(s) between the appointment of the examiners and the oral examination and any subsequent re-submission of the thesis and/or oral and any further examination as required.

G16.1.8 Candidate's Declaration

The candidate is required to confirm in writing that:

- The thesis has not been submitted for a comparable academic award
- The thesis is the candidate's own work.

Where work which has already been submitted for a degree or comparable award is included in the thesis, this should be declared.

The candidate's declaration must include a signature from their Director of Studies confirming that, so far as they are aware, the work was undertaken by the candidate. If the Director of Studies is unable to confirm this, any concerns will be outlined. Where appropriate, the Candidate's Declaration form will be presented to the Research Degree Sub-Committee of the University Research and Enterprise Committee, and any concerns raised by the Director of Studies may be investigated prior to the examination taking place.

Candidates should not assume that the Director of Studies signature guarantees the award of the degree.

G16.1.9 Format of the Thesis and Language of Submission

The candidate is responsible for ensuring that the thesis is submitted in the appropriate format.

All theses must be submitted in English.

G16.2 The Thesis: Submission, Deposit and Confidentiality

G16.2.1 Post-Examination: Submission of copies of final text to the University

Following a recommendation of the award, the candidate shall submit to the University Research Office such copies of the final text of the thesis as may be required under the Academic Principles and Regulations. This will be the text endorsed for the conferment of the award by the Chair of the University Research and Enterprise Committee.

G16.2.2 Deposit in Library

Following the award of the degree the University Research Office shall:

- (For PhD awards only) Send one loose copy of the abstract, table of contents and title page to the British Library for indexing
- Lodge one copy of the bound thesis in the appropriate library of the University; and one copy in the library of any collaborating establishment.

In the case of research by creative work, the permanent archival record of the full submission (see Regulation G8.3 (C)) shall be lodged in the appropriate Library of the University and a copy in the library of any collaborating establishment.

G16.2.3 Confidentiality: restriction of access

Where the Research Degrees Sub-Committee of the University Research and Enterprise Committee has agreed to confidentiality, this precludes the thesis being made freely available in:

- Any Library of the University
- The library of any Collaborating Establishment
- The British Library (PhD theses only).

In such cases the thesis shall, immediately on completion of the programme of work:

- Be retained by the University on restricted access
- For a defined period of time, shall only be made available to those who were directly involved in the project.

G16.2.4 University Property

The copies of the thesis submitted for examination remain the property of the University.

G17 EXAMINATION PROVISIONS

G17.1 Examinations: General Provisions

G17.1.1 Proper Conduct of Examinations

The Research Degrees Sub-Committee of the University Research and Enterprise Committee has responsibility for ensuring that all examinations are conducted in accordance with University Principles and Regulations; and that all recommendations for awards are made in accordance with the Academic Principles and Regulations of the University.

G17.1.2 Action on Irregularities

In any instance where the Research Degrees Sub-Committee of the University Research and Enterprise Committee is made aware of a failure to comply with all the procedures of the examination process or of any circumstances which may have adversely affected the examination process of a candidate, it may declare the examination null and void, and appoint new examiners.

G17.1.3 Research Degrees Sub-Committee

The Research Degrees Sub-Committee of the University Research and Enterprise Committee is responsible for approving examination arrangements for all research degrees.

Non-UK based examiners will not normally be considered unless an exceptional rationale is made for their appointment.

G17.1.4 Contact with Examiners: prior to examination

A candidate shall have no formal contact with the external examiner(s) between the appointment of the examiner(s) and the conclusion of the examination process (including any re-assessment).

Any queries from the candidate will be directed to the Independent Chair.

G17.1.5 Authority to Decide the Outcome of an Examination

The examiners will make a decision on the outcome of an examination.

Where this relates to the conferment of an award of the University, whether following the successful completion of minor, re-submission or any other circumstances, the Chair of the University Research and Enterprise Committee will be required to confirm their agreement on behalf of the University Research and Enterprise Committee before the award is conferred.

In doing so, the Chair may inspect any relevant paperwork or information.

G17.1.6 Posthumous Awards

Research Awards may be awarded posthumously on the basis of a thesis completed by a candidate, which is ready for submission for examination.

G17.2 Examiners

G17.2.1 Number of Examiners

A candidate is examined by at least two and normally not more than three examiners. One examiner shall be an internal examiner. Examiners should be experienced in research in the general area of the candidate's thesis and, where practicable, have experience as a specialist in the topic(s) to be examined.

The supervisory team will propose suitable examiners for approval by the Research Degrees Sub-Committee of the University Research and Enterprise Committee.

G17.2.2 External Examiners

At least one of the examiners shall be external to the University. External examiners are required to have substantial experience of examining research candidates to the level of the award being examined. This is normally regarded as having undertaken at least three previous examinations in the field and at the level in question.

G17.2.3 External Examiners: independence

The external examiner is required to be independent both of the University and of the collaborating body (if any); and shall not have acted as the candidate's adviser or supervisor.

The Research Degrees Sub-Committee of the University Research and Enterprise Committee must also ensure that an external examiner is not approved so frequently that their familiarity with the University might prejudice objective judgement.

Former members of the University are not normally approved as external examiners until five years after the termination of their employment with the University.

G17.2.4 Requirement for Second External Examiner

Where the candidate and the internal examiner are both on the permanent staff of the University, a second external examiner shall be appointed.

This provision does not apply in respect of a candidate who is on a fixed short-term employment contract (for example a research assistant).

Where other circumstances arise outside of those above, the chair of the Research Degrees Sub-Committee of the University Research and Enterprise Committee will make a final decision regarding whether the circumstances of the individual case dictate that a second external examiner is required.

G17.2.5 Internal Examiners

An internal examiner may be:

- A member of staff of the University
- A former member of staff, employed during the period of registration
- A member of staff of any co-operating establishment concerned with the project.

G17.2.6 Ineligibility to act as Examiner

No member of the candidate's supervisory team should be appointed as internal examiner for that candidate.

No candidate registered for a research award may act as an examiner.

G17.2.7 Independent Chairs

The Research Degrees Sub-Committee of the University Research and Enterprise Committee will appoint a non-examining Independent Chair for all viva-voce examinations for research awards of the University.

G18 EXAMINATION

G18.1 Form of Examination

G18.1.1 MRes

Examination for Masters by Research awards is normally through consideration of the written thesis only.

External examiners have the right to require that any candidate also be examined by oral examination. This form of assessment may be of advantage when the thesis is considered borderline.

G18.1.2 MPhil, PhD, Professional Doctorate

The examination for these research awards normally proceeds in two stages:

- The submission and preliminary assessment of a thesis

- An oral examination where the candidate is required to defend the thesis.

G18.1.3 MPhil, PhD, Professional Doctorate: Oral Examination

A candidate is normally examined orally on the programme of work and on the field of study in which the programme lies. The oral examination is normally held in the United Kingdom and the candidate is expected to attend in person.

In exceptional circumstances, the Research Degrees Sub-Committee of the University Research and Enterprise Committee may approve an alternative form of examination.

G18.1.4 Oral Examination: Supervisors and Advisors

Members of the supervisory team or an advisor may, with the consent of the candidate, attend the oral examination. They may participate in the discussion at the discretion of the examiners but they are required to withdraw prior to the deliberations of the examiners on the outcome of the examination.

G18.1.5 Oral Examination: Timing

The oral examination is normally arranged to take place within 3 months of the submission of the thesis.

G18.2 Re-examination

G18.2.1 Number and timescales - One Re-examination

Where the examiners decide that the candidate should be re-examined, they will be permitted to be re-examined once only.

G18.2.2 Information to Candidates

The examiners are required to provide the candidate with written guidance on any deficiencies of the first submission, which will be forwarded to the candidate with the result of the first examination.

Receipt of this guidance does not of itself guarantee successful re-examination.

G18.2.3 Timescale for Re-examination

Timescales in respect of re-examination commence from the date of the written notification from the University Research Office of the candidate's entitlement to re-submit.

All candidates will be re-examined at the earliest opportunity following the original examination and re-examination must take place within 12 months of the receipt of the written notification.

G18.2.4 Extension of the Timescale for Re-examination

The Research Degrees Sub-Committee of the University Research and Enterprise Committee may approve an extension of this period in exceptional circumstances only.

G19 EXAMINATION PROCEDURES

G19.1 Examination for the awards of MPhil, PhD and Professional Doctorate

G19.1.1 Preliminary Assessment Report

Each examiner is required to read and examine the thesis and produce an independent preliminary assessment report on it.

The University Research Office will make arrangements for the exchange of preliminary assessment reports between examiners.

G19.1.2 Status of this documentation – Preliminary Assessment Report

The preliminary assessment report is a preliminary assessment of the academic standard of the work only. The contents of the preliminary report are confidential to the examiners and do not carry the status of a final decision.

The University Research Office will retain this documentation for the purpose of assuring due process only; and the contents of the preliminary view will not be disclosed to any other person under normal circumstances.

G19.1.3 Further Examination in addition to Oral Examination

The examiners may request a further examination in addition to the oral examination. This further examination is deemed to be part of the candidate's first examination.

A further examination requires the approval of the Research Degrees Sub-Committee of the University Research and Enterprise Committee; and shall normally be held within 2 calendar months of the oral examination unless the committee permits otherwise.

G19.1.4 Examiners' Decisions

Following the oral examination (and, if relevant, further examination), where the examiners are in agreement they complete the relevant joint decision paperwork.

The Research Degrees Sub-Committee of the University Research and Enterprise Committee will routinely review the paperwork produced following examinations to satisfy itself that due process has been followed and the decisions reached are sound.

In cases where the examiner's decision is to confer the award, the Chair of the University Research and Enterprise Committee must sign to confirm this on behalf of the committee.

G19.1.5 Available Outcomes

The examiners may make one of the following decisions:

- The candidate receives the award
- The candidate receives the award subject to minor amendments being made to the thesis within a 1 month period
- The candidate be permitted to re-submit for the award, and be re-examined on the thesis with an oral examination (and/or further examination (as applicable))
- The candidate be permitted to re-submit for the award, and be re-examined on the thesis only
- (For PhD and Professional Doctorate) That the candidate has not achieved the standard of the award, but has satisfied the criteria for award of an MPhil. In this case the candidate may, after possible changes to format of the thesis to satisfy the terms of the regulations for the degree, be awarded the degree of MPhil
- (For MPhil examinations) That the candidate has not achieved the standard of the award of MPhil, and should be awarded the alternative award of MRes subject to confirmation that the thesis meets the requirements for the award
- (For all examinations) That the candidate has not achieved the standard of the award, but should be offered the opportunity to re-submit to be assessed for the award of MPhil (PhD, or Professional Doctorate registrations) or MRes (MPhil registrations).

G19.1.6 Recommendations where the Examiners are not in agreement

Where the examiners are not unanimous in respect of their final decision, each examiner must complete, and forward their individual recommendation to the Research Degrees Sub-Committee of the University Research and Enterprise Committee, in the required format.

The individual recommendations must provide sufficiently detailed comments to enable the Committee to satisfy itself that due process has been followed.

G19.1.7 Course of Action open to the University

On receipt of the individual recommendations, Research Degrees Sub-Committee of the University Research and Enterprise Committee may take one of the following courses of action:

- Accept a majority recommendation, providing that the majority recommendation includes at least one external examiner
- Accept the recommendation of the external examiner
- Appointment an additional external examiner.

G19.1.8 Additional External Examiner

Where an additional external examiner is appointed, they are not informed of the recommendations of the other examiners.

The additional external examiner is required to provide an independent report on the thesis making any recommendation open to an examiner. For clarification, where an additional examiner is appointed following the requirement for the candidate to re-submit their thesis and/or be re-examined by oral examination, only the recommendations available to examiners at the re-assessment stage will be available.

The additional external examiner may also conduct an oral examination. This may be in addition to any previous oral examination which may have taken place. In such cases, the Independent Chair of any previous examination will also be present.

G19.2 Re-examination for the awards of MPhil, PhD and Professional Doctorate

G19.2.1 Application

These provisions apply to re-submission following the decision of examiners for the awards of MPhil, PhD and Professional Doctorate.

G19.2.2 Responsibility of the candidate

It is the candidate's responsibility to re-submit the work in the appropriate format and within the required timescale.

G19.2.3 Re-examination process

The process for examination and determination of outcomes is the same as that for the initial examination, however the list of available decisions differ as outlined below.

G19.2.4 Available Outcomes

The examiners may make one of the following recommendations:

- The candidate receives the award
- The candidate receives the award subject to minor amendments being made to the thesis within a 1 month period.
- (For PhD, Professional Doctorate) That the candidate has not achieved the standard of the award, and should be awarded the degree of MPhil, subject to the conditions for that award being met
- (For MPhil examinations) That the candidate has not achieved the standard of the award of MPhil, and should be awarded the alternative award of MRes subject to the conditions for that award being met
- That the candidate has not achieved the standard of the award or that of a lesser or alternative award; and shall not receive an award.

G19.2.5 Appeal

A candidate:

- Who has been offered a lower or alternate award (MPhil or MRes)
- Who has not been recommended for an award.

May lodge a request for an Appeal Hearing under the provisions of the University Academic Principles and Regulations, section C16. Appeals on the grounds of academic judgement are not permitted grounds of appeal under these regulations.

G20 EXAMINATION FOR AWARD OF MRes

The general examination provisions will apply with the following exceptions:

G20.1 Application

These provisions apply to:

- Examination / Re-examination for the award of MRes
- Re-submission to be assessed for the award of MRes after examination for the awards of MPhil, PhD or Professional Doctorate (only the outcomes listed in G20.5 will be available)

G20.2 Meeting between Examiners

If, having completed the preliminary assessment reports, the examiners consider that the assessment process requires a meeting between the examiners; the University Research Office will arrange such a meeting.

G20.3 Oral Examination

The examiners may request an oral examination in addition to assessing the thesis. This may be particularly useful in determining the outcome of borderline cases.

The examination process is not complete until this oral examination has taken place.

G20.4 MRes Examination: Outcomes

The list of available decisions includes the following only:

- The candidate receives the award
- The candidate receives the award subject to minor amendments being made to the thesis within a 1 month period
- The candidate is permitted to re-submit for the award.

G20.5 MRes Examination: Re-Assessment Outcomes

The list of available decisions at the re-examination stage includes the following only:

- The candidate receives the award
- The candidate receives the award subject to minor amendments being made to the thesis within a 1 month period
- The candidate shall not receive the award.

G21 RECOMMENDATION FOR AN AWARD OF THE UNIVERSITY

G21.1 Recommendation for a Research Award of the University

The University Research and Enterprise Committee is the sole body empowered to approve the conferment of a research award of the University. The chair of the University Research and Enterprise Committee will be given delegated authority to approve the conferment of a research award.

G21.2 Confirmation of Completion of Minor Amendments

Where the examiners have decided that the candidate receives the award subject to minor amendments being made to the thesis, the examiners (internal and/or external) shall confirm to the Chair of the University Research and Enterprise Committee that this has been completed satisfactorily.

G21.3 Documentation presented to the Chair of University Research and Enterprise Committee

The chair of the University Research and Enterprise Committee may in exceptional circumstances inspect any relevant documentation. This would normally include the following:

- The paperwork relating to the formal decision of the examiners
- The candidate declaration in respect of the work
- (For PhD awards only) A loose copy of the abstract, table of contents and title page
- a copy of the thesis
- (If appropriate) Written confirmation that required minor amendments have been satisfactorily completed.

G21.4 Formal Progressing of the Recommendation for an award

The Chair's approval will be presented to the next meeting of the University Research and Enterprise Committee for formal recording of the conferment of the award to the candidate.

G21.5 Date of Conferment

The date of conferment of an award will be the date when the Chair of the University Research and Enterprise Committee confirms the examiner's decision to award the degree.

The certificate of award will be available to the candidate at the time of the next award ceremony following conferment of the award and the University being in receipt of the hard copy of the thesis.

A candidate may elect to receive their award in absentia.

G22 DOCTOR OF PHILOSOPHY BY EXISTING PUBLISHED WORK

G22.1 GENERAL REQUIREMENTS

G22.1.1 General Provisions

A candidate for the award of PhD by Existing Published Work will be covered by the standard University Academic Principles and Regulations and procedures for research awards with the following exceptions / additions.

A candidate may submit for the degree of PhD by Existing Published Work in any field of study. Published Work includes creative work where this is an integral part of the process and product.

G22.1.2 General Requirements

Published Work may be submitted for the award of PhD by Existing Published Work providing that:

- The submitted works constitute a sufficient, coherent programme of published peer-reviewed research, as opposed to a series of unconnected works
- The creative work has been placed in the public domain and underpins a coherent programme of research
- The University is able to provide appropriate advisor in the field of study.

G22.1.3 Eligibility

The award is open to all members of staff contracted to our University, graduates of our University, former academic staff and honorary academics. Candidates are normally expected to have at least five years relevant experience and evidenced research at postgraduate level prior to application

G22.1.4 Application

Applications for this award will be reviewed initially at the University Research Degrees Sub Committee.

G22.1.5 Research Standing

The PhD by Existing Published Work is primarily intended as an alternative route to the award of PhD in which recognition is given to the contribution of established researchers who have a substantial research and publication record and have made a contribution to the field of study commensurate with that of a PhD thesis. It is normally expected that the submission will demonstrate original work which has extended the forefront of the discipline in question.

Creative work is expected to be a substantive corpus of original creative work which extends the forefront of the discipline, and in which intellectual enquiry is shown to be an integral part of the process and product.

It is normally expected that the works submitted by a candidate form part of a substantial record of publication.

G22.1.6 Indicative Scope of Submission

As an indication of what would be sufficient, candidates would be expected to submit at least six distinct, substantial refereed journal articles or equivalent (for example chapters in edited collections or selected chapters from wholly authored publications) from an extensive portfolio of publications. These articles and the accompanying synopsis (see below) are expected to approximately equate to the written work expected of more conventional doctoral dissertations in similar subject areas. This number should be increased appropriately where articles of multiple authorship are submitted, and authors will be expected to state the nature and quantity of their contribution to any shared publication. It is normally expected that some of the articles submitted should be single authored.

As an indication of what would be expected for submissions relying on creative work, candidates would normally be expected to submit a significant corpus of work which represents an equivalent

depth and breadth of enquiry to that of a PhD. This may include original words, or, where necessary, their representation through other means.

G22.1.7 Candidate's Declaration

Normally, a candidate must not have submitted any of the publications listed in this application for any other award. A declaration to this effect must be submitted by the candidate, both at the time of application for registration and with the final submission.

Any exception to this provision must be agreed by the Research Degrees Sub-Committee of the University Research and Enterprise Committee as part of the admission process.

G22.1.8 Language of Submission

The published works and synopsis should be presented in English.

G22.1.9 Requirements in relation to Publications

A work is normally regarded as published only if it is traceable through ordinary catalogues, abstracts or citation indices and is available to the general public. This will normally require that the works are registered with an ISSN/ISBN numbers and therefore in the public domain.

G22.2 APPLICATION PROCESS

G22.2.1 Application Process

The process followed is that set out in the Academic Principles and Regulations, Section G10, with the following additions.

G22.2.2 Information Required on Application

Each applicant should provide the following information with their application:

- A statement of not more than 1,500 words which identifies in outline how the proposed submission shows work at the forefront of the discipline; and outlines the rationale for the cohesion of the proposed works
- A full citation and short abstract of 50 words for each submission/output. Where there are joint publications the applicant must state the nature and quantity of their contribution
- A copy of the published works which the candidate proposes to submit
- A Curriculum Vitae
- Details of two academic referees.

G22.3 CONFIRMATION OF REGISTRATION – PhD BY EXISTING PUBLISHED WORK

G22.3.1 Purpose

The purpose of these provisions is to ensure that the completion of the research project as described will realistically enable the candidate to achieve the award of PhD by Existing Published Work.

The candidate should provide the Review Panel with sufficient material for the Panel to be able to consider:

- The coherence of the submission
- The extent to which the proposed submission for the award demonstrates work which is original and has extended the forefront of the discipline in question
- The extent to which the proposed submission for the award is commensurate with that of a PhD.

G22.3.2 Interview Stage

A formal and rigorous interview of the Candidate by a Review Panel comprising selected members of University Research Degrees Sub Committee will be held. The candidate must attend in person. The Panel must satisfy itself that the published work is significant and the level of the individual's contribution justifies the registration for the award of the degree.

G22.3.3 Appeal

A candidate refused confirmation of registration may lodge a Request for an Appeal Hearing under the provisions of the University Academic Principles and Regulations, section C16. Appeals on the grounds of academic judgement are not permitted grounds of appeal under these regulations.

G22.3.4 Format of the Synopsis

The candidate is responsible for ensuring that the format of the submission is in accordance with the University Academic Principles and Regulations. The requirements are set out in Section G22.5.

G22.4 REQUIREMENTS FOR SUBMISSION

G22.4.1 Contents of Submission

A candidate is required to submit copies of the published works accompanied by a synopsis which demonstrates how these works taken together constitutes a coherent piece of research which makes a significant contribution to knowledge.

G22.4.2 Requirements in relation to Publications

A work is normally regarded as published only if it is traceable through ordinary catalogues, abstracts or citation indices and is available to the general public. This will normally require that the works are registered with ISSN/ISBN numbers and therefore in the public domain.

G22.4.3 Collaborative Research

Where any work submitted for the award has been carried out in collaboration with others, a candidate must include within the Candidate's Submission a statement clearly setting out the relative input of the contributing/collaborating parties. This statement will also have to be included with the final submission for the award. The University reserves the right to consult with any of the co-authors or collaborators in respect of this statement.

G22.5 FINAL SUBMISSION

G22.5.1 Final Submission

The final submission is the finished submission after any amendments have been undertaken and the award has been conferred.

One copy must be permanently bound in its final form according to the format detailed in the University Academic Principles and Regulations for Research Awards. A further copy of the abstract, title and contents page is also required for the British Library records.

The final form must be such as to provide for a permanent record of any creative work considered for the award. This should be bound, where practicable, with the written component.

G22.6 THE EXAMINATION PROCESS

G22.6.1 The Examination Process

The examination for the degree of PhD by Existing Published Work is in two stages:

- The submission and preliminary assessment of the published work and accompanying synopsis
- Defence of the submission by oral examination

G22.6.2 Assessment of the Submission

In examining the candidate, the examiners must determine whether:

- The submission demonstrates that the candidate has produced work which is commensurate with the requirements for the PhD thesis in the chosen field.
- The submission demonstrates original research and independent critical thinking which has extended the forefront of knowledge in the discipline in question.
- The submission demonstrates that the candidate has made a systematic and coherent study within a single or closely related field(s) and has made a distinctive contribution to knowledge.
- The candidate has demonstrated an appropriate level of critical analysis and reflection on the research undertaken.

G22.6.3 Available Decisions

Following consideration of the written submission and the oral examination, the examiners may make one of the following decisions:

- The candidate receives the award.
- The candidate receives the award subject to minor amendments being made to the synopsis within a 1 month period.
- The candidate be permitted to re-submit for the award, and be re-examined on the synopsis only without the need for an oral examination.
- The candidate be permitted to re-submit for the award and be re-examined by oral examination only without the need to re-submit the synopsis.
- The candidate be permitted to re-submit for the award, and be re-examined on the synopsis with an oral examination. This recommendation may include advice to the candidate to include further published work in the portfolio.

G22.6.4 Additional Material in portfolio

Where the examiners consider that the overall submission would not meet the requirements for a PhD on account of the volume or weight of the published works themselves, the examiners may recommend that re-submission should include a further paper or chapter, which may already be published, or about to be published.

G22.6.5 Re-examination Outcomes

The examiners may make one of the following decisions:

- The candidate receives the award.
- The candidate receives the award subject to minor amendments being made to the synopsis within a 1 month period.
- That the candidate has not achieved the standard of the award

G22.6.6 Appeal

A candidate who has not been recommended for an award may lodge a request for an Appeal Hearing under the provisions of the University Academic Principles and Regulations, section C16. Appeals on the grounds of academic judgement are not permitted grounds of appeal under these regulations.

G23 HIGHER DOCTORATES

G23.1 HIGHER DOCTORATES: GENERAL PROVISIONS

G23.1.1 Award of Higher Doctorates

The University awards Higher Doctorates to those who have contributed works of high distinction.

G23.1.2 Consideration of Applications

The University Research and Enterprise Committee considers all applications for Higher Doctorates.

G23.2 APPLICANTS

G23.2.1 Applicants

Applications for a Higher Doctorate may normally be considered from persons fulfilling the requirements below.

G23.2.2 First Degree

Holders of at least seven years standing, of a first degree awarded by an institution of Higher Education in the United Kingdom or a qualification of equivalent standing.

G23.2.3 Higher Degree

Holders of at least four years standing, of a research degree by an institution of Higher Education in the United Kingdom or of a qualification of equivalent standing.

G23.3 APPLICATIONS

G23.3.1 Eligibility

The award is open to all members of staff contracted to our University, graduates of our University, former academic staff and honorary academics.

G23.3.2 Criteria for Consideration

Applicants are required to demonstrate that they have undertaken work of a high distinction, which has constituted an original and significant contribution to the advancement of knowledge, or its application, or both.

The application should demonstrate that the applicant is a leading authority in their field or area of study.

G23.3.3 Submission to the University

The applicant should submit three copies of the work on which the application is based to the University Research Office.

G23.3.4 Form of Submission

The submission may take the form of

- books
- contributions to journals
- patent specifications
- reports
- conference proceedings
- specification and design studies

The submission may also include other relevant evidence of original work.

G23.3.5 Presentation of Submission

The submission, other than books, may be in one, or more, hardback folders, or be bound.

G23.3.6 Title Page

Each book or folder shall contain a title page, which includes:

- the name of the applicant with designatory letters
- the subject/area of the bulk of the work
- the list of contents
- the name of the degree for which application is being made.

G23.3.7 Submission for any other Academic Award

The applicant is required to state which part of the submission, if any, has been submitted for another academic award.

G23.3.8 Applicant's statement

The applicant is required to provide three copies of the following:

(A) Nature and significance of the work

A statement of not more than 2,000 words, setting out the applicant's view as to the nature and significance of the work submitted and highlighting the progression of the work and of any inter-relationships.

(B) Personal contribution

A full statement of the extent of the applicant's contribution to the work(s) submitted and detailing joint authorship or other types of collaboration.

G23.3.9 English Language

The contents of the submission will be English.

G23.3.10 Fees

The applicant is responsible for the payment of fees for each stage of the assessment.

G23.4 ASSESSMENT OF THE SUBMISSION

G23.4.1 Process of Assessment

The assessment of the submission consists of two stages which are set out below.

G23.4.2 Assessment Panel within the University

Preliminary consideration of the submission is undertaken by an Assessment Panel established by the University Research and Enterprise Committee. The Assessment Panel is required to ascertain whether a prima facie case exists for proceeding to a formal examination of the submission.

The panel will comprise of four members, one of whom will be the Chair of the University Research and Enterprise Committee. The Chair of the University Research and Enterprise Committee will act as the Chair of the Assessment Panel.

All members of the Assessment panel will have extensive research experience.

G23.4.3 External Examination

If the Assessment Panel determines that the submission be formally examined, consideration of the submission will be undertaken by two external examiners, wholly independent of the University and the applicant.

The examiners will be appointed by the University Research and Enterprise Committee of Academic Board.

Each examiner is required to make an independent report to the University Research and Enterprise Committee.

G23.4.4 Action in Case of Disagreement

In the case of disagreement between the examiners the University Research and Enterprise Committee may appoint a third examiner and will accept a majority decision.

G23.5 DECISION ON AN AWARD

G23.5.1 University Research and Enterprise Committee

The University Research and Enterprise Committee will make a decision on the report and recommendation(s) of the examiners in respect of the candidate.

G23.5.2 Confirmation of the Degree

The power to confirm the degree rests with the Academic Board of the University.