

# Assessments and Examinations (undergraduate and taught postgraduate) and Conferments (University - delivered provision)

UPR AS12 version 14.1

## Policies superseded by this document

This document replaces version 14.0 of UPR AS12, with effect from 5 October 2021.

## Summary of significant changes to the previous version

Changes to version 14.0 related to Appendix I only. Changes to version 13.0 are as follows:

References to anonymous marking have been corrected to indicate that marking is done pseudonymously (see section 5.4.1).

Other minor amendments have also been made for clarification purposes, to reflect current practices or in line with regulatory changes elsewhere.

## Glossary

A glossary of approved University terminology can be found in [UPR GV08](#).

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## 1 Introduction

- 1.1 With the exception of examinations and assessments deferred or referred from the Academic Year 2020-2021, the regulations, procedures and guidelines set out in this document (UPR AS12) will apply to all examinations and assessments conducted by the University on or after 1 September 2021.
- 1.2 This document should be read in conjunction with UPR AS11<sup>1</sup>; UPR AS14<sup>2</sup>; individual programme regulations; where applicable, the regulations of external validating bodies and UPR SA03<sup>3</sup>/UPR SA02<sup>4</sup>.

## 2 Scope

- 2.1 All members of staff, candidates and relevant University Committees and Boards are required to comply with the regulations, procedures and guidelines set out in this document which apply to the examination and assessment of:
- i all taught Home Programmes (as defined in section 3, ix) leading to approved awards of the University of Hertfordshire and
  - ii the awards of other bodies, for example, the Edexcel Foundation, where the University of Hertfordshire has been licensed to conduct assessments and to make award(s) on their behalf.

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<sup>1</sup> UPR AS11 'Schedule of Awards'

<sup>2</sup> UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes'

<sup>3</sup> UPR SA03 'Admissions - Undergraduate and Taught Postgraduate Students'

<sup>4</sup> UPR SA02 'Admissions - Research Students'

2.2 The University requires that the principles embodied in these regulations are applied universally in the examination and/or assessment of all credit bearing modules leading to awards of the University of Hertfordshire.

### 2.3 **Research degrees**

Examinations, assessments and conferments for research degrees will be subject to the appropriate research degree regulations. Candidates for, and holders of, research degrees awarded by the University of Hertfordshire are subject to the regulations in this document (UPR AS12) relating to the written examination and assessment of taught components of programmes of research training, award certificates and Graduation Ceremonies.

## 3 **Definitions**

For the purposes of this document the following definitions will apply:

i **'programme'**:

a programme is a set of one or more awards which are administered together. The essential feature is that each programme has only one set of programme regulations contained in a Programme Specification, even though there may be many awards (and their associated interim awards).

ii **'module'**:

a module is defined as a self-contained amount of study with defined objectives, syllabus and assessment which measures knowledge/skill. Its minimum size will normally be **15** credits (which are equivalent to **7.5** European Credit Transfer System (ECTS) credit points) or integral multiples thereof. **15** credits are formally regarded as one twenty-fourth of the knowledge/skill gained by a student with a standard entry qualification during their study for an honours degree and one twelfth of that gained by a student following a taught Master's programme. Students enrol on a combination of modules which are specified in the Programme Specification. A module is also defined by its module identifier, its aims and intended learning outcomes, its level, its size (expressed in credit points) and other details captured in the Definitive Module Document (DMD);

iii **'examination script'**:

completed examination answers on official examination stationery (including, but not limited to, answer books, continuation sheets and graph paper) as supplied by the Assistant Registrar (Exams and Awards) or equivalent electronic versions;

iv **'coursework'**:

for the purposes of these regulations, coursework will include, but is not limited to, all essays, assignments, tests, projects, dissertations, practical work, performance, placement or field trip reports, designs, theses, artefacts, presentations, candidate-led seminars and exhibitions;

v **'Assistant Registrar':**

the Assistant Registrar (Exams and Awards);

vi **'Student Administration Service Manager':**

the Student Administration Service Manager or an individual within the Student Administration Service who has been nominated by the Student Administration Service Manager to be responsible for administrative tasks relating to the assessment of candidates.

vii **'Invigilator':**

This term is used in the singular throughout this document and refers, as appropriate, to circumstances where University regulations require that only one Invigilator need be present at an examination (that Invigilator is, therefore, the Invigilator in Charge). It is also used in circumstances where the regulations require that more than one Invigilator is present at an examination and that the Assistant Registrar designates one of these Invigilators as the 'Invigilator in Charge'.

viii **'Invigilator in Charge':**

This term is used where these regulations assign specific responsibilities to Invigilators in Charge;

ix **'Home Programme':**

a programme which is not the subject of a collaborative agreement between the University and a Partner Organisation but which is delivered by University of Hertfordshire staff and leads to an approved award of the University of Hertfordshire;

x **'Off-campus':**

premises neither owned nor occupied by the University of Hertfordshire;

xi **'Academic Student Debt':**

See Appendix I, UPR SA13<sup>5</sup> and Appendix I, UPR SA15<sup>6</sup>;

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<sup>5</sup> UPR SA13, Appendix I 'University Schedule of Sanctions and Penalties for Academic and Non-Academic Disciplinary Offences' sets out the University's definition of **'Student Debt'**, **'Academic Student Debt'** and **'Non-Academic Student Debt'** and defines **'Academic Student Debt'** as unpaid tuition fees.

<sup>6</sup> UPR SA15, Appendix I 'University Schedule of Sanctions and Penalties for Academic and Non-Academic Disciplinary Offences' sets out the University's definition of **'Student Debt'**, **'Academic Student Debt'** and **'Non-Academic Student Debt'** and defines **'Academic Student Debt'** as unpaid tuition fees.'

## 4 Institutional Roles and Responsibilities

### 4.1 Deans of School will ensure that:

- i Programme Handbooks are prepared for each programme and that they are updated annually;
- ii with the exception of coursework set in the first four (4) weeks of the Semester, the dates of coursework are published no later than four (4) weeks before they are due to be submitted;
- iii the appropriate Handbook is issued to all of the students registered for each programme;
- iv candidates are aware that they are also subject to institutional regulations and that they are required to conduct any coursework, studies, projects, investigations, questionnaires or other procedures involving the use of human participants in accordance with the requirements of the University's ethics regulations (UPR RE01)<sup>7</sup>.

### 4.2 The Assistant Registrar will ensure that:

- i with the exception of 'out of time' and re-sit examinations, the dates of examinations are published four (4) weeks before they are due to take place.
- ii an update of the document 'Instructions for Exam Candidates' is published on StudyNet.

### 4.3 The Student Administration Service Manager will:

- i at the start of each academic session, notify candidates of the make and model of the calculator approved by the University;
- ii ensure that:
  - a the titles of the Programme, Module and Short Course Boards of Examiners, the names of their respective Chairs and the dates on which they are scheduled to meet, are published to all candidates (see section C, UPR AS14<sup>3</sup>);
  - b all candidates are advised to read the 'Instructions for Exam Candidates' which are published on StudyNet by the Assistant Registrar;
  - c in a timely manner, all candidates are registered on the Student Record System as being enrolled on their modules;
  - d all candidates are informed of the process and timescale for checking, via StudyNet, that they have been enrolled on the correct modules.

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<sup>7</sup> UPR RE01 'Studies Involving the Use of Human Participants'

#### **4.4 Institutional role of the Assistant Registrar**

- 4.4.1 Although the Assistant Registrar may delegate certain responsibilities to members of staff under their management, ultimate responsibility for the administration of examinations and conferments lies with the Assistant Registrar.
- 4.4.2 For the purposes of these regulations, the Assistant Registrar is the nominee of the Secretary and Registrar.

### **5 Regulations and Procedures relating to the setting, review, submission, marking and moderation of examinations and assessments**

#### **5.1 Setting and review of assessments**

(see also section 7.2: 'Setting and moderation of examination papers')

- 5.1.1 All assignment tasks (including examination papers) should not normally be identical in detail on successive occasions that a module runs, nor at first and second (referred/deferred) sitting of a module. While the nature of an assignment task and the learning outcomes assessed can be the same, this requirement will reduce the possibility of academic misconduct by students utilising work produced by other students in earlier years. However, an identically worded coursework task may be used where the assessment is based on an individual student's experience since this will produce a unique response. Likewise, it may be appropriate to use an identically worded coursework task at a second (referred/deferred) sitting in order to assess progress in achievement of learning outcomes based upon feedback provided on the first attempt.
- 5.1.2 All summative assessment (coursework as well as examinations) should be reviewed by an academic colleague prior to being handed out to students. This activity may be achieved within a module team or may be assigned to an appropriate individual, for example, an internal moderator. The review process should ensure that learning outcomes are addressed and the total assessment load is satisfactory.
- 5.1.3 Where a single element of coursework counts for **30%** or more of a module grade, approval of the appropriate External Examiner should also be sought for that element of coursework before being handed out to students. However, it is not expected that the External Examiner should be asked to approve each individual project or individually negotiated portfolio. For elements of coursework counting less than **30%** of a module grade, the coursework assessment tasks will be reviewed retrospectively by module External Examiners.
- 5.1.4 School, discipline or programme Grading Criteria are used to inform the grade awarded to a given piece of student work. Where these Grading Criteria provide insufficient granularity to be useful for student feedback and guidance, additional Marking Schemes which are directly correlated to the module learning outcomes should be published for each assessment task.



## 5.2 Publication and use of Grading Criteria

5.2.1 The following minimum requirements apply to the development, publication and use of grading criteria:

- i every Programme must publish Grading Criteria in the Programme handbook(s);
- ii Grading Criteria must relate to the University's Grade Descriptors and associated numeric grades, described in section D1.1, UPR AS14<sup>3</sup>;
- iii relevant Grading Criteria should be available for all assessments that students on the programme will encounter;

Further guidance is available on the Learning and Teaching Innovation Centre StudyNet pages, at:

<http://www.studynet2.herts.ac.uk/intranet/lti.nsf/Teaching+Documents?Openview&count=9999&restricttcategory=Strategy+and+Policy/Grading+Criteria>

## 5.3 Submission of coursework

5.3.1 Applications for coursework extensions are approved by the School with academic responsibility for the module concerned (see section 4, i, c and d, Appendix I, UPR AS12<sup>8</sup>). If an extension is granted, the revised hand-in date is taken as the deadline for the coursework.

## 5.4 Marking of student work

5.4.1 All examination scripts should be marked pseudonymously<sup>9</sup>. Wherever possible summative student work must be submitted and marked pseudonymously. There are some situations where it is not feasible to mark work pseudonymously, or where there is no significant scope for bias to affect the outcome of the marking process. The following forms of assessment are examples of assessments that are exempt from the need to be submitted and marked pseudonymously:

- i assessments where candidates can be identified during the assessment process (for example, oral presentations, performances, observed practice assessments);
- ii assessments where an assessor's familiarity with individual submissions makes anonymity impossible (for example, dissertations, work involving ongoing student/staff interaction, work subject to formal formative feedback);

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<sup>8</sup> Appendix I, UPR AS12 'Assessments and Examinations – Regulations for Candidates (Including Requests for Review of Examination Decisions (Appeals Procedure)) (University-Delivered Provision)'

<sup>9</sup> a pseudonym will be used (ie the Student Record Number) to substitute the student's identity so that the student cannot be identified without referring to additional information. The additional information (eg the student's name, etc) will be held separately to ensure that the document being marked is not attributed to an identified or identifiable student.

- iii assessments where there are particular circumstances relating to the submission that may identify it as the work of a particular student or group of students (for example, individually negotiated titles, alternative formats relating to a study needs agreement);
  - iv objective tests, such as multiple choice questions, and other assessments, such as highly structured mathematical or technical problems, where there is little or no opportunity for evaluative interpretation of the answer.
- 5.4.2 Blind double marking is the process whereby two assessors work independently and neither marker is aware of the other's assessment decision in formulating their own mark.
- 5.4.3 Blind double marking culminates in a single agreed mark.
- 5.4.4 For modules at levels **6** and **7**, a coursework assignment requires blind double marking if:
- i it counts for over **50%** of the module assessment; **and**
  - ii is marked by more than one first marker; **and**
  - iii the question or title has been developed and/or agreed on an individual basis.
- 5.4.5 An example of an assessment task that must be blind double marked is the individual project/dissertation module. Assignments where students, for instance, respond to a common question but draw on practice in order to answer that question do not need to be blind double marked. Blind double marking replaces internal moderation.
- 5.4.6 Feedback on marked student work must be consistent with the University's Grade Descriptors.

## **5.5 Internal moderation of marked student work**

The University needs to be assured that robust, effective and consistent moderation processes are being applied across all Schools.

Staff should refer to the detailed guidance on moderation produced by the Learning and Teaching Innovation Centre.

- 5.5.1 Internal moderation is a process separate from that of marking and provides assurance of the quality of marking and feedback. The process of internal moderation involves checking that the marks have been awarded fairly and consistently and in accordance with the grading criteria/marketing scheme. The process also provides the opportunity to reflect on and refine assessment and feedback practices. Moderation must take account of the marks awarded to the full set of assessed work for the task, module or programme, in the context of the academic standards for the award. It is, therefore, not about making changes to an individual student's marks.
- 5.5.2 The module leader is responsible for ensuring that internal moderation has taken place.

- 5.5.3 Except in exceptional circumstances approved by the Dean of School or nominee, staff undertaking moderation should not have been involved in the marking process and should have a minimum of two (2) years' experience in UK Higher Education.
- 5.5.4 All summative assessments must be internally moderated, with the exception of those assessments that have been blind double marked (see section 5.4.2) and assessments that have undergone objective marking including by a computer. Student work from each assessment in a module should be sampled.
- 5.5.5 Where there is more than one (1) marker the moderator should identify and consider any differences in the distribution of marks between markers.
- 5.5.6 Moderators must select a minimum sample size that is equal to the square root of the total number of items, but not fewer than five (5), selecting work from across the range of grades awarded. If there are fewer than five (5) items of assessment, then all items will be reviewed. Where there is more than one marker, the sample must include at least three (3) items from each marker.
- 5.5.7 The outcome of the moderation process will be one or more of:
- i the marking is fair and consistent, requiring no change to either the marks or the feedback provided to students;
  - ii the marking is consistent but too harsh or too generous, requiring all relevant marks to be adjusted up or down following consultation with the relevant marker(s);
  - iii there are significant inconsistencies in marking, requiring a re-mark of all work following consultation with relevant marker(s);
  - iv the quality of the feedback provided by one or more markers requires improvement;
  - v the feedback provided by one or more markers requires greater consistency.

The marks of individual students should not be changed as a result of internal moderation.

If agreement cannot be reached between the internal moderator and the marker(s) about any aspect of the marking process, the Dean of School or their nominee will appoint a second moderator.

- 5.5.8 Clear documentation must be provided to evidence the process of moderation and this must be made available to the external examiner.
- 5.5.9 For assessment that involves judgements of transient events (for example, oral presentations, interviews) and other less traditional forms of assessment that do not lend themselves to the above procedure, the School must take appropriate steps to ensure the assessment process is safe.

## **5.6 Checking for errors in examination and coursework marking**

- 5.6.1 All examination scripts and any other assessments that are not returned to students should be checked to ensure that no part has been overlooked by the examiner(s) and that the total mark is arithmetically correct. This includes coursework which comprises objective assessments where the total mark requires manual calculation.
- 5.6.2 Where, at any point in the subsequent moderation process, an error in the mark calculations is identified the whole set of assessments should be checked to ensure that the same error does not occur elsewhere.

## **5.7 External Examiners**

- 5.7.1 Appropriate samples of marked student work should be reviewed by External Examiners, selected from across the range of grades awarded (however, see section 5.7.2). Where moderation is required, the sample provided for the External Examiner is the same as that used for the internal moderation process. However, the External Examiner has the right to review all relevant examination scripts and in-course assessments.
- 5.7.2 With the agreement of the External Examiner, samples of marked student work from the referred/deferred examination period do not need to be reviewed by External Examiners, providing that:
- i the External Examiner is satisfied with the standard of marking of student work during the first-sit examination period; and
  - ii the External Examiner has reviewed the referred/deferred assessments prior to their use; and
  - iii all marginally-failed referred/deferred student work is internally moderated or blind double marked, as appropriate (see section D1.1, UPR AS14<sup>3</sup>, for the definition of a marginal fail grade); and
  - iv all other marking and internal moderating requirements, as defined in sections 5.4.1 to 5.7.1 above, are adhered to.

See section 9.3 if the External Examiner is also absent from the Module Board of Examiners for the referred/deferred examination period.

## **5.8 Return of marked student work**

- i Where blind double marking has taken place, the provisional mark agreed by the markers is the only mark provided to the student. Feedback to the student should be consistent with the grading criteria/marketing scheme. Any inconsistencies in individual marker comments should be resolved before the feedback is given to the student.

- ii Students' coursework will be returned to them together with feedback no later than four (**4**) calendar weeks after the submission deadline. Any exceptions to this must be agreed by the Associate Dean of School (Academic Quality Assurance) or the Associate Dean of School (Learning and Teaching) and notified to students in advance of the expiry of the four (**4**) week period. For work of an on-going nature, such as a major project or dissertation, supervising staff will ensure that students are provided with feedback at interim stages.

## **5.9 Provision of feedback on examinations**

5.9.1 Schools must ensure that, if sought, feedback on performance in written examinations is available to students. Schools are responsible for determining the nature and extent of feedback but subject to the following:

- i Students who are resitting an examination are entitled to guidance on the strengths and weaknesses of their examination performance;
- ii Students should normally receive individual feedback although in some circumstances more generic feedback, which does not address the individual case, may be appropriate;
- iii If requested, feedback must include a breakdown of marks and any markers' comments.

5.9.2 Markers must ensure that any comments on assessments, including examination answers, are not inappropriate and only relate to the answer and grading criteria/marketing scheme.

## **6 Regulations and Procedures relating to the invigilation of examinations and assessments**

### **6.1 General regulations**

#### **6.1.1 Scope**

These general regulations apply to all examinations and assessments. Where responsibility for invigilation has been assumed by a School, the regulations in section 6.3 also apply.

#### **6.1.2 Ratio of Invigilators to candidates**

- i One (**1**) Invigilator is required for each room in which up to **35** candidates are to sit an examination.
- ii Where more than **35** candidates are to be examined in a room, an additional Invigilator must be present for each additional **35** candidates (or part thereof).
- iii In cases where extra time is granted to candidates with disabilities or additional needs, the examination will take place in a separate examination room and will be invigilated by a member of the University's Panel of Invigilators (see section 6.2.1).

### 6.1.3 Role and responsibilities of Invigilators (see Appendix III, UPR AS121)

All Invigilators, whether members of the University's Panel of Invigilators or members of the University's staff, will ensure that the University's regulations for the invigilation of examinations and assessments are observed at all times.

## 6.2 The University's Panel of Invigilators

The Assistant Registrar:

- i will appoint Invigilators;
- ii is responsible for the training and, as appropriate, the payment of members of the Panel of Invigilators and for the maintenance of records concerning the Panel;
- iii will provide members of the Panel of Invigilators with detailed notes of guidance together with relevant extracts from the regulations set out in this document (UPR AS12).

## 6.3 Invigilation of examinations and assessments supervised by the Schools

General regulations

- i Examinations and assessments to be invigilated by the Schools  
Practical examinations, including laboratory-based examinations and such other non-laboratory examinations as the relevant Board of Examiners decides, will be invigilated by the School responsible for the module.
- ii The Dean of School:
  - a is responsible for ensuring that these examinations are conducted in a manner consistent with the requirements of the regulations set out in this document (UPR AS12);
  - b will ensure that members of their staff are available and have full information concerning the examination(s) which they are to invigilate.

## 6.4 Examinations involving the use of computers for candidates with a Study Needs Agreement in place

### a INVIGILATION

For Semester A and B examinations and the main referred/deferred examination periods, the Assistant Registrar will be responsible for arranging the invigilation of examinations involving the use of computers.

- b Regardless of whether invigilation is the responsibility of the Assistant Registrar or a School, the officers responsible will ensure that suitable technical support is available in the Examination Room.

- c Invigilators will ensure that candidates are aware that they must print and save their work in accordance with the provisions of section 2, Appendix III, UPR AS12<sup>1</sup>.

- d **ELECTRICAL AND/OR COMPUTER BREAKDOWN**

In the event of an electrical or computer breakdown, the Invigilator will consult the Assistant Registrar, where the Assistant Registrar is responsible for the invigilation of the examination, or the Module Leader/Internal Examiner, where the examination is taking place in the School, to determine the course of action to be taken and will notify the candidates accordingly.

## **7 Regulations and Procedures relating to examinations supervised by the Assistant Registrar**

### **7.1 Scheduling of examinations (including referred/deferred examinations)**

7.1.1 Where an examination paper is to be used for more than one examination, all of those examinations, regardless of where they are to be held, will be conducted at the same time.

7.1.2 The Assistant Registrar is responsible for formulating and publishing the University Examination Timetable. The Timetable will, where practicable, schedule examinations in such a way that no candidate will have more than three (3) examinations scheduled in any two-day period.

7.1.3 The Student Administration Service Manager will ensure that:

- i candidates for examination are entered correctly on the Student Record System, by the deadline specified by the Exams and Awards Office (this will include information concerning all of the modules on which students are enrolled, regardless of whether or not these are assessed) and
- ii with the exception of referred/deferred examinations held during the period specified in the University Calendar, details of all of the examinations to be held are submitted to the Assistant Registrar on form E1 in accordance with the following deadlines.

The School may be required to arrange the necessary accommodation for an examination and provide Invigilators in the event that the following deadlines are not met:

| <b>Schedule of examinations:</b>   | <b>Deadline for submission:</b>             |
|--|---|
| January (Semester A):  | third Friday in the preceding October;      |
| March/April:   | first working day in the preceding January; |
| May/June (Semester B):   | third Friday in the preceding February;     |
| June/July referred/deferred examinations:  | not applicable;                             |
| September (any referred/deferred examinations during this period with the prior written consent of the Director of Academic Quality Assurance (or Deputy): | third Friday in the preceding July.         |

#### 7.1.4 Off-campus formal examinations for home programmes

- i Home programmes (i.e. non-collaborative programmes, delivered by University of Hertfordshire staff) where students are not required to attend the University campus on any occasion for any reason are collectively referred to as off-campus delivered programmes (for example, distance learning programmes, University-delivered elements of Joint and Dual Awards and Fly-In Faculty<sup>10</sup> arrangements).
- ii Where students registered on programmes delivered off-campus sit a formal examination away from the University campus, all University policies and regulations must be adhered to.

<sup>10</sup> Services and premises contracts (see UPR FR06 'Corporate Governance and Financial Regulation')



- iii If students registered on off-campus delivered programmes are not sitting a paper at the same time as campus-based students, a different examination paper must be set for these candidates (see section 7.1.1).
  - iv If overseas-based students registered on off-campus delivered programmes are permitted by the Exams and Awards Office to sit a formal examination overseas, they must sit the examination:
    - a at an academic institution with which the University of Hertfordshire has agreed an arrangement for the examination sitting(s) after an approach has been made to that institution by the student or the student's School or
    - b at the British Council or
    - c in the case of a cohort of students only, on premises under the supervision of a member of University staff who will be responsible for receiving the examination paper, invigilating the examination and sending the completed examination scripts for marking or
    - d at an approved University academic support partner (see section D2, UPR AS17<sup>11</sup>).
  - v If UK-based students on off-campus delivered programmes are permitted by the Exams and Awards Office to sit a formal examination other than on the University Campus, they must sit the examination:
    - a at an academic institution with which the University of Hertfordshire has agreed an arrangement for the examination sitting(s) after an approach has been made to that institution by the student or the student's School or
    - b (in the case of a cohort of students only) on premises under the supervision of a member of University staff who will be responsible for receiving the examination paper, invigilating the examination and sending the completed examination scripts for marking or
    - c at an approved University academic support partner (see section D2, UPR AS17<sup>12</sup>).
- Sections 7.1.4, iv and 7.1.4, v, will not apply where a professional or statutory-regulatory body requires an examination to be sat at a professional body-registered examination centre.
- vi All formal examination papers should be sent out by post or the University's file exchange server to the member of staff responsible for the administration of the examination taking place off the University Campus.

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<sup>11</sup> UPR AS17 'Academic Quality'

- vii For the purpose of the above sub-sections, a formal examination means one which is administered through the Exams and Awards Office and is defined as such in the Definitive Module Document (DMD).

#### 7.1.5 Exceptional and unforeseen circumstances for off-campus formal examinations

- i It is not University practice to permit candidates to sit examinations other than on University premises.

**(Note for guidance:**

**Non-EU Credit Accumulation and Transfer Scheme (CATS) exchange students**

It should be noted that non-EU/CATS exchange students are recognised by the University as an exception for the purposes of section 7.1.5, i. If non-EU/CATS exchange students are permitted by the Exams and Awards Office to sit a formal examination at their home institution, they must sit the examination on the same day as campus-based students and under the supervision of a nominated member of staff of their home institution who will be responsible for receiving the examination paper, invigilating the examination and sending the completed examination scripts to the University for marking.

**Other circumstances**

In specific circumstances the University may consider relaxing this rule (see section 7.5.1, i) in order to permit a candidate to sit an examination at another location but will do so at its absolute discretion and is not bound to agree. Each case will be considered on an individual basis by the Assistant Registrar who acts as the nominee of the Secretary and Registrar. The decision of the Assistant Registrar is final and will be notified to the candidate, in writing. Any consent is conditional upon the candidate sitting the examination on the same day as campus-based students and under the supervision of a nominated individual approved by the Assistant Registrar who will be responsible for receiving the examination paper, invigilating the examination and sending the completed examination scripts to the University for marking.

- ii Procedure for obtaining permission

Candidates must direct their requests to the Assistant Registrar via their Associate Dean of School or Disability Adviser.

Where permission is granted by the Assistant Registrar, the examination must be taken in conditions that are, as far as reasonably possible, similar to those in which examinations are conducted on University premises and must be conducted and invigilated in accordance with the regulations set out in this document.

## 7.2 Setting and moderation of examination papers - roles and responsibilities within the School

### 7.2.1 Deans of School

- i Deans of School will identify managers who will be responsible for the accuracy of examination papers, for ensuring compliance with the regulations and procedures set out in this section (7.2) and for responding, in writing, to External Examiners summarising the action taken in light of their comments.
- ii These managers will normally be Associate Deans of School who may, in turn, delegate responsibility for the completeness and accuracy of individual examination papers to the appropriate Module Leader.
- iii Where several Internal Examiners share responsibility for an examination paper, the Dean of the School designated on the Definitive Module Document as the 'owner' of the module will nominate one of the Internal Examiners to act as 'Module Leader'.

### 7.2.2 Module Leaders

- i The Internal Examiner designated as the Module Leader will have overall responsibility for the production and academic credibility of the examination paper and will also be responsible for acting on the comments of the External Examiner.
- ii Module Leaders, in collaboration with other Internal Examiners, if appropriate, will also be responsible for the following:
  - a ensuring that the examination is of a whole hour's duration or multiples thereof;
  - b setting two (2) examination papers including rubrics, which must indicate, without ambiguity, what the Examiners require of the candidate;  
(where required, the second examination paper will be used as the examination paper for the referred/deferred examination. Should the second paper not be required, it may be used, where appropriate, when the module is next examined.)
  - c where this is normal practice, preparing outline or model solutions;
  - d preparing marking schedules;
  - e checking the questions and the solutions for those examination papers for which they are responsible prior to their being sent to the External Examiner(s);
  - f making any changes that have been agreed with the External Examiner(s);
  - g correcting all proofs and typing their name into the electronic E2 form which is ultimately appended to the front of the examination envelope, thereby confirming the completeness and accuracy of the examination paper which it contains (see section 7.4.4, iv).

### 7.2.3 Internal Moderator

The Internal Moderator is responsible for ensuring and confirming that the questions set out in the examination paper are comprehensible and of the appropriate academic standard, including ensuring that any drafting errors are corrected (see section 5.1.2).

### 7.2.4 Copy Editor

The Copy Editor is responsible for ensuring that:

- a the format and presentation of the examination paper are consistent with current requirements;
- b the rubric details are correct;
- c the paper is free from typographical errors.

### 7.2.5 The Student Administration Service Manager will:

- i publish annually to the Dean of School, members of the School academic staff and the Assistant Registrar a schedule setting out:
  - a the deadlines for the various key stages for the production of examination papers and the deadline(s) for their completion;
  - b the deadlines for the submission of marks and grades to Boards of Examiners;
  - c the dates of all of the meetings of the Boards of Examiners for which they are responsible;
- ii for each module, maintain a record of the names of:
  - a Module Leaders;
  - b External Examiners;
  - c Internal Examiners;
  - d Internal Moderators;
  - e Copy Editors;
- iii ensure that examination papers for those modules are submitted to the appropriate External Examiner(s) and that comments received from External Examiner(s) are conveyed to the appropriate Module Leader;
- iv ensure that examination papers are not submitted to the Assistant Registrar until they have been approved by the relevant External Examiner(s) and Module Leader.

### 7.2.6 External Examiners will:

consider and comment on all examination papers for modules which contribute to a University final award (see section E2, UPR AS14<sup>5</sup>).

## 7.3 Preparation of examination papers

### 7.3.1 General regulations and procedures

- i Security and confidentiality
  - a The arrangements for the production of examination papers will be such that security and confidentiality are maintained at all stages of the process.
  - b The production of examination papers on computer workstations must be undertaken in accordance with the requirements of UPR IM20<sup>12</sup>.
  - c Examination papers must be prepared and stored in secure areas to which students do not have access.
  - d Examination papers must not be saved on hard disk drives or placed on non-secure servers. Electronic storage onto which examination papers have been saved must be held securely in locked areas. Networked printers to which students may have access must not be used.
  - e All copies of preliminary drafts must be shredded.
  - f Under no circumstances will examination papers be sent via the internal post or by electronic mail.
  - g Examination papers may be sent to External Examiners or third parties approved by the Assistant Registrar to administer the examination via the University's File Exchange Server.
- ii Scheduling and managing the preparation process

The process must be scheduled and managed to ensure that the deadlines stipulated in these regulations and those published by the Student Administration Service Manager (see section 7.2.6, i, a) and by the Assistant Registrar are met. It is recommended, therefore, that:

- a papers are sent to External Examiners at least eight (**8**) weeks before the date of the first examination in the series;
- b where practicable, all papers for which an External Examiner has responsibility are sent to them in one (**1**) batch.

Papers may be made available to External Examiners via the University's File Exchange Server.

### 7.3.2 The Student Administration Service Manager will ensure:

- i compliance with the regulations and procedures set out in section 7.4.1, i and ii;

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<sup>12</sup> UPR IM20 'IT and Computing Regulations'

- ii that two **(2)** copies of each draft examination paper, two **(2)** copies of the solutions (where these have been prepared (see section 7.2.2 ii); one **(1)** copy of the previous year's examination paper and a 'standard comment sheet' are sent to the External Examiner(s) and that they are notified, in writing, of the deadline for the return of this material;

**(External Examiner(s) will also be informed at this time, in writing, that should they fail to return the material by the specified deadline it will be assumed that they have approved the examination papers and solutions and do not wish to make any corrections or amendments to them);**

- iii that, where sent by post, the proof of postage is obtained and that this is retained at least until such time as the deadline for appeals has passed. The deadlines specified to External Examiners will normally be not less than **25** working days prior to the date of the sitting of the first examination. Letters to External Examiners will make it clear that the deadline relates to the date/time when replies must be received at the University;
- iv that External Examiners are directed to convey their comments concerning draft examination papers on the 'standard comment sheet' and return by secure method, for example the University's file exchange server;
- v that the amendments agreed between the External Examiner(s) and the Module Leader have been made to the draft paper by the Module Leader.

### 7.3.3 Format of examination papers

All examination papers must conform to the standard format stipulated by the Exams and Awards Office.

## 7.4 Submission of completed examination papers to the Assistant Registrar

### 7.4.1 Those managers to whom Deans of School have delegated responsibility for the production of examination papers (see section 7.2) will ensure:

- i that all of the relevant regulations and procedures set out in this document have been observed;
- ii the accuracy of the completed examination papers which are to be submitted to the Assistant Registrar.

### 7.4.2 Deadline for the submission of completed examination papers

The University's deadline for the submission of completed examination papers to the Assistant Registrar is not less than **20** working days prior to the date of the sitting of the first examination. Semester A and B question papers must be accompanied by a re-sit paper.

### 7.4.3 Late submission of examination papers

Where it is likely that an examination paper will not be provided to the Assistant Registrar until after the University deadline has passed (see section 7.4.2), a written report must be made to the Assistant Registrar, stating the reason for the delay and notifying them of the date on which the examination paper will be available.

7.4.4 The Student Administration Service Manager will ensure compliance with all instructions issued by the Exams and Awards Office concerning the placement of examinations documentation in the Document Management System.

7.4.5 Submission of examination papers

The Student Administration Service Manager will ensure that all examinations papers and supporting documentation are provided to the Exams and Awards Office via the Document Management System by the deadline specified by the Exams and Awards Office.

## 7.5 **Reproduction of papers for the examination**

The Assistant Registrar is responsible for the reproduction of all examination papers that are to be copied in black and white. The use of colour should be kept to a minimum.

## 7.6 **The process of examination**

7.6.1 Role and responsibilities of the Invigilator

In general terms, it is the responsibility of the Invigilator to ensure, as far as is reasonably practicable, that at all times during examination candidates comply with the regulations set out in this document (UPR AS12 and its relevant Appendices).

7.6.2 Role and responsibilities of Module Leaders

Module Leaders:

- i will be available on campus and on the telephone number which they will have provided in advance to the Exams and Awards Office, for not less than **15** minutes prior to, and for the first **30** minutes of, the examination, to attend the examination room(s), if requested to do so and to answer any queries;
- ii will, for the remainder of the examination period (whilst the paper is being taken by the candidates), be available for consultation within the University;
- iii must not attend any examination room unless requested to do so by the Exams and Awards Office.

7.6.3 Role and responsibilities of the Assistant Registrar

The Assistant Registrar will make reasonable efforts to ensure that only authorised candidates are present in the examination room.

7.6.4 Procedure in the event of an emergency during the examination

- i Candidates:  
will be required to comply with the regulations and procedures set out in section 3.4, Appendix I, UPR AS12<sup>10</sup>.

- ii The Invigilator will:
  - a ask all candidates to leave the examination room unless they are specifically advised to the contrary by the Director of Occupational Health and Safety and Environment (or nominee) or by the Assistant Registrar, in which case the examination will continue;
  - b evacuate the room;
  - c be the last person to leave the room and, where possible, will lock the room;
  - d remain with the candidates and keep them all together in a group;
  - e remind candidates that they must not talk;
  - f unless given instructions to the contrary by the Assistant Registrar (see section 7.6.5), continue the examination as soon as possible after the 'all clear' sounds.
- iii The Assistant Registrar will:

where appropriate, advise the Invigilator in Charge of the amount of additional time that candidates are to be permitted.
- iv The Invigilator in Charge will:

inform the candidates of the amount of additional time that will be permitted and will record this in the Invigilator's log.

#### 7.6.5 Regulations and procedures relating to unsafe examinations

Where, as a result of an incident (see section 7.6.4), there is reason to believe that an examination may be unsafe, the Assistant Registrar will, if appropriate, consult with the Chair of the relevant Module Board of Examiners and/or the Vice-Chancellor or the Deputy Vice-Chancellor or the Secretary and Registrar to agree one of the following courses of action:

- i that the examination be restarted with an appropriate time allowance where possible  
or,
- ii where there is reason to believe that the integrity of the examination is at risk, that the examination be terminated at that point and rescheduled at a later date, with a new examination paper.

#### 7.6.6 Procedure in the event of a major disturbance

The Assistant Registrar will advise the Invigilator in Charge of the amount of additional time that candidates are to be permitted. This will be recorded in the Invigilator's Log.



## **7.7 Collection of examination scripts from the Assistant Registrar following the examination**

### **7.7.1 Module Leaders (or nominees)**

Examination scripts must be collected from the appropriate Campus Exams and Awards Office, during the advertised opening hours, by one of the Internal Examiners (or nominee) within three (3) working days of the examination. Internal Examiners (or nominees) must be able to present satisfactory proof of identity (normally a University Identity Card). At the end of the examination period, any examination scripts which have not been collected by the appropriate Internal Examiner (or nominee) will be returned to the Assistant Registrar.

## **7.8 Marking of examination scripts**

7.8.1 Unless it is unavoidable, for example, where a candidate has recorded an incorrect or incomplete Student Record Number on their examination script, members of staff will ensure that candidates' pseudonymity is preserved throughout the marking process.

7.8.2 Module Leaders (or nominees) are responsible for:

- i ensuring compliance with the requirements of section 7.8.1;
- ii marking the examination scripts;
- iii entering candidates' marks onto the appropriate mark sheet generated by the Student Record System;
- iv passing the completed mark sheet (see section 7.8.2, iii) and the marked examination scripts (see section 7.8.2, ii) to the administrator responsible for the module by the deadline specified in the schedule published by the Student Administration Service Manager (see section 7.2.5).

## **7.9 Archiving of examination papers**

With the exception of unused examination papers, within four (4) weeks of an examination, each School will publish their own examination paper on the University's Library Search. Instructions to withhold publication of examination papers must be made by the relevant Dean of School. Any papers containing errors discovered during the examination must be corrected before publication. The version sat by examination candidates will be archived in the University's Document Management System.

## **7.10 Storage and archiving of examination scripts**

Examination scripts will not be returned to candidates and will be retained by the University in accordance with the regulations and procedures set out UPR IM11<sup>13</sup>.

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<sup>13</sup> UPR IM11 'Records Management and the Archiving and Retention of Prime Documents and Business Records'

## **8 Regulations and Procedures relating to suspected assessment and examination offences**

### **8.1 General regulations**

8.1.1 Academic misconduct is defined in Appendix III, UPR AS14<sup>14</sup>. This document also sets out a range of other offences which the University will normally regard as academic misconduct.

8.1.2 Allegations of academic misconduct will be investigated in accordance with the procedures set out in Appendix III, UPR AS14<sup>14</sup>. Should such allegations be proven, the University reserves the right, at its sole discretion, to impose any of the penalties set out in Appendix III, UPR AS14<sup>14</sup>.

### **8.2 Suspected offences which occur in the examination room**

#### **8.2.1 Unauthorised material**

- i Where an Invigilator has reasonable grounds to suspect that a candidate is in possession of unauthorised material during an examination, they have the right to confiscate the material immediately.
- ii The Invigilator will contact the Assistant Registrar (or their representative) immediately to report the alleged offence.
- iii The candidate will normally be allowed to continue with the examination without prejudice to any subsequent decision of the Module Board of Examiners.
- iv The candidate will be informed at the end of the examination, normally by the Assistant Registrar (or nominee), that a report of the incident will be submitted to the appropriate Associate Dean of School (Academic Quality Assurance) (or nominee) (see Appendix III, UPR AS14<sup>15</sup>).
- v The Invigilator and the Assistant Registrar must prepare a written report of the incident. The report, together with a copy of any material that has been confiscated, must be submitted by the Assistant Registrar to the appropriate Associate Dean of School (Academic Quality Assurance) (or nominee) within one (1) working day of the incident.

#### **8.2.2 Other offences**

The Invigilator's Log, which contains details of the alleged offence, will be provided to the Chair of the Short Course/Module Board of Examiners.

### **8.3 Suspected offences identified during the marking process**

The Examiner will follow the procedures set out in section 8.4.

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<sup>14</sup> UPR AS14, Appendix III 'Academic Integrity and Academic Misconduct'

## **8.4 Suspected coursework assessment offences**

- 8.4.1 The Examiner will endorse the piece of work on the front cover with a note identifying the nature of the suspected offence and, where relevant, the location of any passages which they suspect are the result of academic misconduct.
- 8.4.2 In the case of other forms of assessable submissions, such as three-dimensional or two-dimensional artefacts, the area of the artefact where the suspected offence is deemed to have taken place will be identified clearly in the assessment report.
- 8.4.3 The Examiner will make a written report to the appropriate Associate Dean of School (Academic Quality Assurance) (or nominee) within one (1) working day of the conclusion of the marking process for the assessment concerned.

## **9 Consideration of results by Boards of Examiners**

### **9.1 General**

This section (9) must be read in conjunction with UPR AS11<sup>2</sup> and UPR AS14<sup>3</sup>.

### **9.2 Clerks to Boards of Examiners (Module and Programme)**

The role and responsibilities of Clerks to Boards of Examiners are fully described in Appendix II, UPR AS14<sup>15</sup>.

### **9.3 Absence of an External Examiner from a Board of Examiners meeting**

- 9.3.1 Where, in exceptional circumstances, a Module External Examiner is unable to be present at a Module Board of Examiners meeting, they must be asked to complete a form E9a following the meeting, to provide written confirmation of their concurrence with the recommendations of the Board prior to the publication of results to students (see section E3.2, UPR AS14<sup>3</sup>).
- 9.3.2 Where, in exceptional circumstances, a Programme External Examiner is unable to be present at a Programme Board of Examiners meeting, they must be asked to complete a form E10a following the meeting, to provide written confirmation of their concurrence with the recommendations of the Board prior to the publication of Award Pass Lists (see section E2.3, UPR AS14<sup>3</sup>).

### **9.4 Module Boards of Examiners**

- 9.4.1 The Clerk will:
- i have received the relevant marked examination scripts and mark sheets from the Internal Examiner(s) (see section 7.8.2, iv);
  - ii enter these marks onto the Student Record System which will generate the prescribed 'Module Board Report' for consideration by the Module Board of Examiners;

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<sup>15</sup> UPR AS14, Appendix II 'Clerks to Boards of Examiners - Role and Responsibilities

- iii ensure that the mark sheets received from the Internal Examiner(s) are brought to the meeting of the Board;
- iv ensure that the marked examination scripts can be made available to the Board if required.

#### 9.4.2 Role and responsibilities of Module External Examiners

Attendance at, or the written confirmation of External Examiners' concurrence with the decisions of, Boards of Examiners for modules which contribute to a University award is mandatory (see section E, UPR AS14<sup>3</sup>).

#### 9.4.3 Generation and approval of the final version of the E9 form

- i The Student Administration Service Manager will prepare an E9 form, dated with the date of the Module Board of Examiners meeting to which it refers, which will list all of the modules to be considered by the Board and the names of the current External Examiners associated with the relevant module(s).
- ii The Clerk will ensure that following the meeting the final version of the E9 Form is signed by:
  - a all of the External Examiners listed on the form and
  - b the Chair of the Module Board of Examiners and dated with the date of the relevant meeting of the Module Board of Examiners.
- iii External Examiners will sign the final version of the E9 form, thereby signifying that they agree with the recommendations made by the Board at the meeting or, where they were absent from the meeting, complete a form E9a in accordance with the requirements of section 9.3.1.
- iv The Chair will sign the final version of the E9 form, thereby confirming the grades awarded by the Board.
- v The Student Administration Service Manager will ensure that the original E9 form (or E9a form), bearing the signatures of the Chair of the Module Board of Examiners and the External Examiner(s) is held securely, together with the minutes of the meeting and the Module Board of Examiners Report.
- vi a copy of the E9 form should be sent to the School's designated Academic Services Officer (AQA).

### 9.5 Programme Boards of Examiners

#### 9.5.1 General regulations

- i Regulations concerning candidates' names
  - a The names of the candidates on the Award Pass List (see section 9.5.4, i) must be identical to those by which candidates are registered with the University and which appear on the Student Record System.

- b Students must be registered in their full legal name as defined in a document provided by a Government Agency (for example, passport, full UK photo driving licence, etc). Initials and abbreviations should not be used other than in cases where these have been adopted legally by the candidate.
  - c Any changes of name, for example, as a result of a change in marital status, must be notified by the candidate to Student Records and Enrolment, prior to the date of the Programme Board of Examiners meeting and must be accompanied by confirmatory legal evidence. Candidates cannot alter their names unless this is as a result of a process that is recognised in law, such as a marriage or deed poll. It should be noted that, although a marriage certificate is legal proof of a change to an individual's family name, it is not legal proof of any change to their forename(s).
  - d It is the responsibility of Student Records and Enrolment to ensure that this information is input on the Student Record System.
  - e No change of name that has taken place later than the date of the Programme Board of Examiners meeting can be taken into account unless the request for such a change is made by a trans graduate in which case the graduate concerned must address their request in the first instance to the Head of Admissions and Student Records.
  - f In the event that a candidate does not have in their possession, by the date of the Programme Board of Examiners meeting, the necessary legal evidence to support a name change that they wish to be recorded on their award documentation, the candidate may make a Statutory Declaration before a Commissioner for Oaths to enable the name change to be made. The candidate must present written evidence of the Statutory Declaration to the Assistant Registrar as soon as it is available.
  - g Names will appear in the format as defined in a document provided by a Government Agency (for example passport, full UK photo driving licence, etc).
- ii Identification of candidates  

Only the 'Programme Board of Examiners Report' will be used to identify candidates who are eligible for an award.
  - iii 'Programme Boards of Examiners Reports'  

'Programme Boards of Examiners Reports' will be generated by the Student Record System in the format determined from time-to-time by the Secretary and Registrar (or nominee).

iv Annotated Programme Board of Examiners Reports

A Programme Board of Examiners Report which has been annotated by the Clerk to the Board (see section 9.5.3) is a prime document as defined in UPR FR06<sup>16</sup> and must be filed with the minutes of the Board and the original version of the Award Conferment Recommendation Form (Form E10) which has been signed by the External Examiner(s) (see section 9.5.4, v, d).

v Absence of an External Examiner from a Board meeting (see section 9.3)

9.5.2 Preparations for a Programme Board of Examiners meeting

i Draft E10 form

The Student Administration Service Manager:  
will prepare an E10 form, dated with the date of the Programme Board of Examiners meeting to which it refers, which will list all of the awards to be considered by the Board and the names of the current External Examiners associated with the relevant programme(s).

ii The Clerk to the Board:

is responsible for ensuring that the relevant Programme Board of Examiners Reports are provided to the Board in the required format (see section 9.5.1, iii).

9.5.3 During the Programme Board of Examiners meeting

The Clerk:

will annotate the Programme Board of Examiners Report with the outcome of the Board's deliberations concerning each of the candidates who are listed there (see section 9.5.1, iii and iv). The annotated report forms an appendix to the Programme Board minutes.

9.5.4 Following the Programme Board of Examiners meeting

i Award Pass Lists

All Award Pass Lists will be produced from the Student Record System in the format prescribed by the Secretary and Registrar (or nominee) from time-to-time and it should be noted that this is the official University Pass List. The Award Pass List, together with the Programme Board minutes, is the formal record of the University awards which have been approved by a Programme Board of Examiners.

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<sup>16</sup> UPR FR06 'Corporate Governance and Financial Regulation'

- ii Exit awards
  - a The exit award shown on the Award Pass List will normally be the final award for the candidate's programme of study (for example, Master's Degree, Bachelor's Degree with Honours, Foundation Degree, BTEC Higher National Diploma/Certificate) unless: the candidate decides to finish studying at an intermediate stage of their programme or the candidate has reached their ultimate level of attainment at an interim award stage, in which case, the final (exit) award recommended by the Board could be any of the undergraduate or taught postgraduate awards listed in UPR AS11<sup>2</sup>.
  - b The exception to section 9.5.4, ii, a, is where a BTEC HND/HNC is an embedded award on a Bachelor's Degree with Honours programme. Although candidates may be expected to continue to study for the Bachelor's Degree with Honours after qualifying for the BTEC HND/HNC, an award must be recommended by the Programme Board of Examiners at the HND/HNC stage to enable certificates to be produced in accordance with the University's Edexcel Licensing Agreement.
- iii Format and content of Award Pass Lists

Award Pass Lists are produced from the Student Record System and will conform to the following requirements:

  - a candidates must be listed either in alphabetical, course instance or award order;
  - b the candidate's full name, as recorded on the Student Record System, will be used, and Student Registration Number;
  - c the Award Pass List must state the date of the meeting of the Programme Board of Examiners at which the awards were recommended.
- iv Approval of Award Pass Lists

Each Award Pass List must be signed by:

  - a the Chair of the Programme Board of Examiners (who, in doing so, certifies that the decisions reached by the Board have been recorded correctly on the Award Pass List) and
  - b the Student Administration Service Manager, who, in doing so, confirms that the document has been checked and the information contained in it is full and correct.

In the absence of the Chair of the Programme Board of Examiners, another senior member of the Board of Examiners (nominated by the Dean of School) may sign the Pass List(s).

**(Note for guidance:**

It is normally the case that the Vice-Chancellor signs letters to research degree candidates personally, notifying them of the award being made to them by the University. In these circumstances, the Vice-Chancellor is noting formally the decision of the Research Degrees Board which is the Board of Examiners for all research degrees.)

- v Generation and approval of the final version of the E10 form
  - a The Clerk:  
will ensure that following the meeting the final version of the E10 Form is signed by:
    - 1 all of the External Examiners listed on the form and
    - 2 the Chair of the Programme Board of Examiners and dated with the date of the relevant meeting of the Programme Board of Examiners.
  - b External Examiners:  
will sign the final version of the E10 form, thereby signifying that they agree with the recommendations made by the Board at the meeting or, where they were absent from the meeting, complete a form E10a in accordance with the requirements of section 9.3.
  - c The Chair:  
  
will sign the final version of the E10 form, thereby confirming the certification of the awards approved by the Board.
  - d the Student Administration Service Manager:  
  
will ensure that the original E10 form (or E10a form), bearing the signatures of the Chair of the Programme Board of Examiners and the External Examiner(s) is held securely, together with the master Award Pass List, the minutes of the meeting and the Programme Board of Examiners Report.
  - e a copy of the E10 form (or E10a form) should be sent to the School's designated Academic Services Officer (AQA).

## 10 Publication of Results

(See section C3.6, UPR AS14<sup>3</sup>.)

### 10.1 General regulations and procedures

- 10.1.1 In the event of any discrepancy between a result on a Programme Board of Examiners Report and the Award Pass List, it is the result on the Programme Board of Examiners Report which is the official result (see section 9.5.1, iii).



### 10.1.2 Issuing of results to candidates

The Student Administration Service Manager will ensure that: following the conclusion of the process described in section 9.5.4, i – iv, (inclusive) each candidate, who is not exiting the University with an award, is issued results electronically via the student portal, generated by the Student Record System. On request, a hard copy notification of results will be issued, which has been signed by the Chair of the Programme Board of Examiners (or nominee).

(Section C3.6, UPR AS14<sup>3</sup>, gives additional information concerning the publication of results.)

### 10.1.3 Award Pass Lists

The Student Administration Service Manager will ensure that not more than **20** working days following the relevant Board meeting:

- i an appropriate Award Pass List is produced and signed by the Chair of the Programme Board of Examiners and by the Student Administration Service Manager;

**(Note for guidance:**

The original Award Pass List is subsequently placed in the Minute Book (see section 3.2, Appendix II, UPR AS14<sup>15</sup>). Section 9.5.3 formally designates the annotated Programme Board of Examiners Report as an appendix to the minutes of the meeting to which it relates. The original Award Pass List is also an important record of the business of the Board. Although it does not form part of the minutes of the meeting, it too should be placed in the Minute Book to ensure that it is readily available for scrutiny.)

- ii students are notified of their award;
- iii a copy of a fully completed form E10 (or E10a) is received by the Assistant Registrar (Academic Services).

### 10.1.4 Issuing of Transcripts from the Student Record System

The Student Administration Service Manager will ensure that:

- i following the conclusion of the process described in section 9.5.4, i – iv, (inclusive) each candidate who is exiting the University with an award is issued with a Transcript, generated by the Student Record System, on University Transcript paper;
- ii the Transcript is accompanied by required supplementary information, available from the Academic Registrar (or nominee), which must be provided in compliance with European Commission regulations relating to the Diploma Supplement.

University Transcript paper, bearing the signature of the Vice-Chancellor, may be obtained from the office of the Academic Registrar (or nominee).

#### 10.1.5 Transcripts which cannot be produced from the Student Record System

It will not be possible to generate Transcripts for those students whose attendance at the University pre-dated the introduction of the Student Record Systems.

In these circumstances, the Student Administration Service Manager is responsible for ensuring compliance with the following requirements.

- i A Transcript will be made available, on request, to any student.
- ii The Transcript will give the student's full academic record at the University, will be printed on University Transcript paper and will also include:
  - a the student's full name, Student Registration Number and HESA number;
  - b the dates of their registration;
  - c all elements of study undertaken, their level, the date of their completion and the grades achieved (including fail grades);
  - d the number of credit points awarded for each element of study that the candidate has completed successfully;
  - e any awards for which the candidate has satisfied the criteria;
  - f for each element, the language in which study and assessment was undertaken;
  - g the location of study.
- iii The Transcript is accompanied by required supplementary information, available from the Academic Registrar (or nominee), which must be provided in compliance with European Commission regulations relating to the Diploma Supplement.

University Transcript paper, bearing the signature of the Vice-Chancellor, may be obtained from Academic Services.

#### 10.1.6 Data Protection and the disclosure of marks/results

- i The Data Protection Act 2018 and General Data Protection Regulations 2018 give individuals right of access to any personal information that is held about them both on computer and within structured manual filing systems (see UPR IM08<sup>17</sup>).
- ii Candidates are informed of their grades routinely, by means of the University's procedures for the publication of results (see section C3.6, UPR AS14<sup>3</sup>).

- iii Where a candidate makes a formal request to the Data Protection Officer for access to their personal data and pays the appropriate charge, they are entitled to receive a copy of all of the information held about them, including any marks held on any University computer or in structured manual filing systems.
- iv It is recommended good practice that, where practicable, all marks stored on computer while awaiting moderation should be accompanied by provisional grades and that the candidate should be given a clear explanation of the status of the marks and/or grades, including the right of Boards of Examiners to vary grades.
- v A Programme Board of Examiners may authorise the disclosure to a candidate by the Chair of the Programme Board of Examiners/Associate Dean of School of further information about their examination/assessment performance whenever a Board considers that it is in the candidate's interest to have that information (see sections 5.5 and 5.6).
- vi A Board of Examiners may not authorise the disclosure to a candidate of any list of examination results containing the grades or assessments of other candidates.

#### 10.1.7 Withholding of results

- i The University reserves the right to withhold the formal notification of the examination or assessment results from any student who owes money to the University in the form of Academic Student Debt, as defined in Appendix I, UPR SA13<sup>6</sup>/Appendix I, UPR SA15<sup>7</sup>, and such sum has not been paid.
- ii Candidates in these circumstances will, nevertheless, be notified of any examination or coursework referrals/deferrals and will be permitted to submit for such examinations or assessments. However, the University reserves the right to withhold the formal notification of the results of any referred examinations or assessments until such time as the moneys owed have been paid.

(This does not affect any rights of 'subject access' which the student may have under Data Protection legislation and candidates should refer to UPR IM08<sup>17</sup>).

## 10.2 Prizes

(See Appendix IV, UPR AS12<sup>18</sup>.)

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<sup>18</sup> Appendix IV, UPR AS12 'Prizes (University-Delivered Provision)'

## 11 The Conferment and Certification of awards

### 11.1 Conferment of Awards

11.1.1 The Assistant Registrar (Academic Services) will:

- i check all conferred awards and the associated E10 (or E10a) form to ensure that the External Examiner(s) was/were present at the Programme Board of Examiners meeting where the recommendation for the award was made or that the External Examiner(s) has/have concurred with the recommendations of the Board (see section 9.3);
- ii acting on behalf of the Secretary and Registrar, satisfy himself or herself that all of the required checks have been made and that each award is correct.

11.1.2 Date of conferment (date from which awards are effective)

The awards that are listed on the Award Pass List will be deemed to have been conferred, as appropriate, either:

- i from the date of the Programme Board of Examiners meeting at which the recommendation for the award was made or
- ii from the date on which the candidate fulfilled any conditions for the award that were imposed by the Programme Board of Examiners.

The date of conferment is the date on which a student is deemed to have graduated.

11.1.3 Withholding notification of the conferment of an award

The University reserves the right to withhold notification of the conferment of an award from any student who owes money to the University in the form of Academic Student Debt, as defined in Appendix I, UPR SA13<sup>6</sup> /Appendix I, UPR SA15<sup>7</sup>, and such sum has not been paid.

**(Note for guidance:**

'Withholding notification' will include, but may not be limited to, withholding Transcripts, notifications of results and award certificates or such other action that the University, at its sole discretion, deems appropriate.)

### 11.2 Certificates and duplicate award certificates

11.2.1 Certificates

- i Certificates for University Awards will bear the University's Coat of Arms and the signature of the Vice-Chancellor. These certificates will be issued only by the Assistant Registrar.
- ii Certificates for Supervised Work Experience for sandwich degrees will be prepared by the Student Administration Service Manager and signed by the Chair of the appropriate Board of Examiners. The Student Administration Service Manager will ensure that the certificates are provided to the Assistant Registrar who will then issue them on the University's behalf.

### 11.2.2 Format of certificates

- i Certificates for all awards listed in UPR AS11, 'Schedule of Awards', with the exception of those identified in 11.2.2, ii, below:
  - a Will bear the University crest reproduced in full colour and will be signed by the Vice-Chancellor.
  - b The wording for first degree awards will be set out in accordance with the following example:  
'X (name) has been awarded the degree of Bachelor of Arts with First Class Honours/Upper Second Class Honours/Lower Second Class Honours /Third Class Honours/ having followed an approved sandwich programme in (subject)'.
  - c Where the award is not in the sandwich mode the word 'sandwich' will be omitted (see section 11.2.2, i, b).
  - d Where the award is achieved after a candidate has followed a degree only programme, there is no classification for the award.
  - e Programmes for which there is no approved title, for example, those approved under the University's Credit Accumulation and Transfer Scheme (CATS), will be described only as an 'approved programme'.

### 11.2.3 Replacement certificates

- i The certificate which the University issues as proof of the conferment of an award is a unique and valuable document which should be carefully preserved by its recipient. The University will not issue additional copies or replacements to any person to whom an original certificate has already been issued other than in the circumstances described in section 11.2.3, ii - iv.
- ii If a certificate is lost or destroyed, a replacement can be issued which will have precisely the same standing as the original certificate which it replaces. It will be produced in the format currently in use by the University and may not therefore be an exact replica of the original.
- iii An application for the issue of a replacement certificate must be made on the appropriate form which can be obtained from the Assistant Registrar. The applicant must, in addition, provide the Assistant Registrar with:
  - a the damaged or defaced certificate  
or  
a written declaration, signed by the applicant, setting out the circumstances in which the certificate was lost or destroyed, which includes a written undertaking by the graduate/diplomate that they will return the replacement to the University in the event that the original is found and
  - b payment of the prescribed fee.

### **11.3 Certificates of Attendance/Credit**

#### **11.3.1 Scope**

The following requirements are not relevant to Transcripts or Records of Achievement and it should be noted that the University is not empowered to certificate awards of external bodies, including any aspect of NVQ achievement.

#### **11.3.2 The Student Administration Service Manager:**

- i is responsible for issuing certificates of attendance, with and without credit, which cannot be generated by the Student Record System, in accordance with the following regulations and procedures:
  - a where made available, such certificates must be produced in the standard format stipulated from time-to-time by the Secretary and Registrar (or nominee), bear the University of Hertfordshire logo and be signed by the Dean of School (or nominee);
  - b certificates, their wording, the signature of the Dean of School (or nominee) and that of any other signatory may be pre-printed; special features, for example, the Registration Number for nurses, may also be pre-printed into individual or specific certificates.

#### **(Notes for guidance:**

- Official University of Hertfordshire 'Certificate of Attendance' and 'Certificate of Credit' paper, bearing the signature of the Vice-Chancellor, may be obtained from the Academic Registrar (or nominee).
- Where a Certificate of Attendance or a Certificate of Completion is generated manually:
  - i credit points must not be shown on such certificates unless the recipient has successfully completed an approved credit rated module;
  - ii where certificates bearing credit points are issued, full records of the credit achieved must be made and retained by the Student Administration Service Manager.)

## **12 Graduation Ceremonies for the presentation of graduates who have received degrees and diplomas**

### **12.1 General regulations and procedures**

12.1.1 The University will hold ceremonies each academic year for the presentation of students who have met the criteria listed in section 12.1.7.

12.1.2 The dates of the University's Graduation Ceremonies will be determined by the Academic Board which will be advised by the Assistant Registrar.

12.1.3 Candidates will normally be eligible to attend a ceremony only after they have completed the programme on which they are enrolled. Although they may have reached the standard to qualify for an interim award, it will be expected that they will continue to follow the programme until they have achieved the highest award for that programme.

12.1.4 Candidates who elect to receive an interim award

(See Section 9.5.4, ii)

- i Candidates who finish their studies before achieving the highest award on their programme must notify the Student Administration Service Manager, in writing, by the deadline specified by the Student Administration Service Manager, that they have completed their studies and (where they are eligible) wish to be invited to a ceremony. The University's normal practice is to invite such candidates to the relevant ceremony immediately following their having achieved their awards.
- ii A candidate who has been offered an interim award but has not returned to study nor notified the Student Administration Service Manager in writing of their acceptance of this offer by a deadline date published by the University will receive their interim award automatically shortly thereafter. The candidate may be invited to a ceremony provided that they have met the criteria listed in section 12.1.7.

12.1.5 Eligibility to attend graduation ceremonies

- i Only those graduates and diplomates confirmed on the Student Record System by the dates specified in Section 12.1.6 and who meet the criteria specified in section 12.1.7, iii-will be eligible to attend graduation ceremonies.
- ii When invited to attend a ceremony, graduates and diplomates must register their intention to attend by the published deadline in the manner prescribed by the University. Failure to comply with these requirements will render them ineligible to attend the ceremony.
- iii A graduate or diplomate will not be automatically eligible to attend any other ceremony if they are unable to attend the ceremony to which they had been invited by the University. Attendance for presentation at a graduation ceremony is not compulsory as a candidate is deemed to have graduated from the date of the Programme Board of Examiners meeting at which the award was approved or from the date on which they fulfilled any conditions imposed by the Programme Board of Examiners.
- iv If a graduate or diplomate is unable to attend the ceremony to which they had been invited, they may defer this invitation once, to the next ceremony period. In order to defer their invite, the graduate or diplomate must complete the online deferral form available on the Graduation Ceremonies website by the deadline specified. Successful submission of this form will generate a confirmation email sent to the email address provided by the student on the deferral form. The graduate or diplomate will not be eligible to attend any ceremony if they have not, for any reason, completed the deferral form and received the confirmation as above. Deferral requests are considered at the discretion of the Assistant Registrar, subject to availability and in meeting the eligibility criteria listed in 12.1.7.

- v It should be noted that attendance at ceremonies for the presentation of degrees and diplomas is solely by invitation of the University. An individual who is in debt to the University and where such sum has not been paid one (1) week or five (5) working days prior to the registration deadline (see Appendix I, UPR SA13<sup>6</sup>/Appendix I, UPR SA15<sup>7</sup>), is not eligible to be invited to any such ceremony.
- vi The University reserves the right, at its absolute discretion and without prior notice, to refuse an individual entry to any graduation ceremonies.

12.1.6 The following schedule sets out deadlines for awards to be confirmed on the Student Record System. It specifies the ceremonies that the graduates and diplomates referred to with confirmed awards (as specified in section 12.1.7) are eligible to attend:

| Period during which Programme Board met: | Awards to be confirmed on the Student Record System by: | Ceremony that graduates are eligible to attend:   |
|--|---|---|
| 1 August 2021-<br>3 November 2021        | 3 November 2021   | December 2021<br>(de Havilland Campus – Hatfield) |
| 4 November 2021-<br>31 July 2022         | 31 July 2022  | September 2022<br>(St Albans Abbey)               |

12.1.7 In accordance with the provisions of sections 12.1.5 and 12.1.7, the University will invite graduates and diplomates who:

- i have been taught by a member of the University's academic staff, based on the Hatfield Campus
- ii do not have an outstanding Academic Student Debt; and
- iii have achieved one of the following awards,

to the next scheduled ceremony organised by the Assistant Registrar following the completion of their studies:

Bachelor's Degree  
Diplomas (other than University Diploma)  
Higher and Initial Doctorate  
Foundation Degree (Science) Paramedic Science, and Health Care Practice only  
Master's Degree (taught and by research)  
Postgraduate Certificate in Education  
Professional Graduate Certificate in Education.

It should be noted that students graduating with an award undertaken at a Partner Organisation will instead be invited to attend ceremonies held at those Organisations.

12.1.8 The University's regulations relating to academic dress are set out in UPR AS01<sup>19</sup>.

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<sup>19</sup> UPR AS01 'Academic Dress'



## **12.2 Role of the Secretary and Registrar**

The Secretary and Registrar is responsible for determining the organisational arrangements for ceremonies and has delegated this responsibility, as it relates to graduates and diplomates, to the Assistant Registrar.

Sharon Harrison-Barker  
Secretary and Registrar  
Signed: **5 October 2021**

### **Alternative format**

If you need this document in an alternative format, please email us at [governanceservices@herts.ac.uk](mailto:governanceservices@herts.ac.uk) or telephone us on +44 (0)1707 28 6006.