

ASSESSMENTS AND EXAMINATIONS - REGULATIONS FOR CANDIDATES (INCLUDING REQUESTS FOR THE REVIEW OF ASSESSMENT DECISIONS (APPEALS PROCEDURE)) (UNIVERSITY - DELIVERED PROVISION)

SUMMARY OF PRINCIPAL CHANGES

General changes	
None	
Section	
3.1, iv,b	see text
5.6.2	see text
5.7.10	see text

(Amendments to version 10.0 Appendix I, UPR AS12, are shown in italics.)

Structure

- 1 **PREPARATIONS FOR EXAMINATIONS AND ASSESSMENTS**
- 1.3 **Candidates who are debtors of the University**
- 1.4 **Failure to attend an examination and/or to submit coursework**
- 1.5 **Confirmation of modules for assessment**
- 1.6 **Exam Numbers**
- 2 **CHEATING, PLAGIARISM, COLLUSION, OTHER ACADEMIC MISCONDUCT/
ASSESSMENT OFFENCES**
- 2.1 **Definitions**
- 2.1.1 'cheating'
- 2.1.2 'plagiarism'
- 2.1.3 'collusion'
- 2.1.4 'other Academic Misconduct/Assessment Offences'
- 2.1.5 'Serious Adverse Circumstances'
- 2.2 **Offences**
- 3 **EXAMINATIONS**
- 3.1 **Attendance**
- 3.2 **Permitted or required aids and special equipment in examinations**
- 3.3 **Conduct of candidates during the examination**
- 3.4 **Conduct of candidates in the event of an emergency**
- 3.5 **Writing the examination**
- 3.6 **Finishing the examination**
- 3.7 **Examinations involving the use of computers**
- 4 **ASSESSMENT OF COURSEWORK**
- 5 **REQUESTS FOR THE REVIEW OF ASSESSMENT DECISIONS – UNDERGRADUATE
AND TAUGHT POSTGRADUATE CANDIDATES (APPEALS PROCEDURE)**
- 5.1 **Scope of regulations**
- 5.2 **Confidentiality and Data Protection**
- 5.3 **General principles**
- 5.4 **Permitted grounds for a request for the review of an assessment decision**
- 5.4.2 **Serious Adverse Circumstances**

- 5.5 **Informal procedures**
 - 5.5.2 **Mark or grade of an individual item of coursework**
 - 5.5.3 **Overall result of an individual module**
 - 5.5.4 **Stage progression, entitlement to an award or the class or grade of an award**
 - 5.5.5 **A candidate's personal position**
 - 5.5.6 **Suspected administrative error or procedural irregularity**

 - 5.6 **Formal procedure for the review of a decision by a Board of Examiners**

 - 5.7 **Representations to the Vice-Chancellor**
 - 5.7.2 **Guidance**
 - 5.7.8 **Examinations Appeal Panel**

 - 5.8 **The Academic Board**
 - 5.9 **Vice-Chancellor**
 - 5.10 **Further representations**
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1 **PREPARATIONS FOR EXAMINATIONS AND ASSESSMENTS**

1.1 Each candidate:

- i is personally responsible for familiarising themselves and complying with all of the following:
 - a the regulations and procedures set out in this document (Appendix I, UPR AS12);
 - b UPR AS11¹ and the assessment regulations which relate to the programmes on which he or she is enrolled;
 - c the University's regulations relating to cheating, plagiarism, collusion and other Academic Misconduct/Assessment Offences (section 2, refers);
 - d the regulations and procedures that apply in cases of Serious Adverse Circumstances (UPR AS14², refers);
 - e Appendix II, UPR AS12³.
- ii is responsible for accessing, via his or her StudyNet portal, his or her Exam Number and examination timetable for Semester A, Semester B, 'out of time' and main referred/deferred examinations.

1.2 Candidates are required:

- i to ensure that they are registered correctly on the modules for which they are to be assessed (section 1.5, refers);
- ii to attend examinations and to submit work for assessments as required;
- iii when attending examinations, or when otherwise asked to do so, to present their University Identity Cards;
- iv by the deadline published by the Assistant Registrar on StudyNet, to inform him or her (the Assistant Registrar), in writing, of religious observance/belief dates during examination periods which proscribe the taking of examinations;

¹ UPR AS11 'Schedule of Awards'

² UPR AS14 'Structure and Assessment Regulations – Undergraduate and Taught Postgraduate Programmes'

³ Appendix II, UPR AS12 'Assessments and Examinations - Candidates with Additional Needs (University-Delivered Provision)'

- v through the Clerk to the appropriate Programme Board of Examiners, to notify the Chairman of the Module Board(s) prior to the meeting, in writing, of any Serious Adverse Circumstances which, in their opinion, prevented them from attending and/or submitting the assessment and which they wish the Module Board(s) of Examiners to take into account (section C3.8, UPR AS14², refers);
- vi prior to the date of the meeting of the relevant Programme Board of Examiners, to notify and to provide confirmatory legal evidence to the School Administration Managers of any changes of name, for example, as a result of a change in marital status (section 9.5.1, i, c, UPR AS12⁴, refers).
- vii with regard to all coursework, studies, projects, investigations, questionnaires or other procedures involving the use of human participants, to comply with the University's ethics regulations (UPR RE01⁵).

1.3 Candidates who are debtors of the University

Candidates who are debtors of the University will not be prevented from sitting examinations or taking other forms of assessment.

1.4 Failure to attend an examination and/or to submit coursework

1.4.1 Module Boards of Examiners have the authority to deem that a candidate has failed an examination or assessment in cases where the candidate has, without having given notice and reasons to the satisfaction of the Board, either failed to attend an examination or to submit work for assessment.

1.4.2 Candidates are advised to keep a record of coursework assignments and the date on which they are submitted and to retain copies of assignments making a contribution to overall assessments of the module.

1.5 Confirmation of modules for assessment

- i Candidates are required to check and confirm via StudyNet that they have been enrolled on the correct modules by the deadline for the notification of module changes published in the Calendar for the relevant Academic Year. For 2018-2019, the deadline is **12 October 2018**.
- ii Where the list of modules which can be viewed via StudyNet is incorrect, it is the candidate's responsibility to notify the School Administration Manager by the deadline for the notification of module changes published in the Calendar for the relevant Academic Year so that the necessary changes can be made. For 2018-2019, the deadline is **12 October 2018**.
- iii Confirmation by the candidate, via StudyNet, that he or she has been enrolled on the correct modules (section 1.5, i, refers) registers the candidate for written examinations/ other forms of assessment associated with those elements of his or her programme.
- iv The deadlines referred to in section 1.5, i, will be strictly enforced and failure to comply with the requirements of section 1.5, i, or, where they find that they are incorrectly enrolled, the action required in section 1.5, iv, may result in a candidate being barred from sitting examinations supervised by the Assistant Registrar.

⁴ UPR AS12 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (University-Delivered Provision)'

⁵ UPR RE01 'Studies Involving the Use of Human Participants'

1.6 Exam Numbers

- 1.6.1 In each academic year, every candidate will be issued with a personal Exam Number (section 1.1, ii, refers).
- 1.6.2 Candidates are responsible for bringing their Exam Number with them to the examination room and for ensuring that it is entered correctly on all examination scripts/examination stationery.

2 CHEATING, PLAGIARISM, COLLUSION, OTHER ACADEMIC MISCONDUCT/ ASSESSMENT OFFENCES

2.1 Definitions

For the purposes of these and all other University regulations, the following definitions will apply:

2.1.1 'cheating':

to attempt to gain an unfair, improper or dishonest advantage in the assessment process;

to gain an unfair, improper or dishonest advantage in the assessment process;

where on the balance of probability it could reasonably be construed that a candidate intended to gain an unfair, improper or dishonest advantage in the assessment process.

Cheating includes:

- a impersonation - either where a student allows any other person to take an assessment on their behalf or to present themselves as being that student or where a current University of Hertfordshire student takes an assessment on behalf of another University of Hertfordshire student;
- b obtaining or attempting to obtain unauthorised access to examination papers;
- c the copying of, or attempting to copy, the work of another candidate in the examination or other in class assessment, whether by overlooking what he or she has written or is writing or by asking him or her for information in whatever form;
- d the introduction into an examination room (or any other room in which a formal assessment is taking place) of aids including books, notes, personal notes or revision notes in any form, papers, stationery, computer disks or other devices of any kind other than those permitted in the rubric of the examination paper. This includes, for example, unauthorised information stored in the memory of a calculator, in a mobile telephone, smart watch, personal organiser or any other device;
- e requesting a temporary absence from an examination room (or any other room in which a formal assessment is taking place) with the intention of gaining, or attempting to gain, access to information that may be relevant to a formal assessment;
- f false statements made in order to receive special considerations by the Board of Examiners or to obtain extensions to deadlines or exemption from work;
- g assisting or attempting to assist another University of Hertfordshire student to gain or attempt to gain an unfair, improper, or dishonest advantage in the assessment process;
- h the purchase or theft of material submitted for assessment;
- i academic misconduct offences as defined by section 2.1.4, a - f, where on a balance of probability, it could reasonably be construed that a candidate attempted or intended to gain an unfair, improper or dishonest advantage in the assessment process.

2.1.2 'plagiarism':

the misappropriation or use of others' ideas, intellectual property or work (written or otherwise), without acknowledgement or permission. This may include, but is not limited to:

- a the importing of phrases from or all or part of another person's work without using quotation marks and identifying the source;
- b without acknowledgement of the source, making extensive use of another person's work, either by summarising or paraphrasing the work merely by changing a few words or by altering the order in which the material is presented;
- c the use of the ideas of another person without acknowledgement of the source or the presentation of work which substantially comprises the ideas of another person and which represents these as being the ideas of the candidate.

(Note for guidance:

for the avoidance of doubt, plagiarism may be intentional or unintentional)

2.1.3 'collusion':

evidence of the representation by an individual of work which he or she has undertaken jointly with another person as having been undertaken independently of that person.

2.1.4 'other Academic Misconduct/Assessment Offences':

evidence that a student failed to comply with the University's assessment and examination regulations, other than those offences falling under sections 2.1.1 to 2.1.3, above, including:

- a the falsification of data including the creation of false written materials or statistical data or its alteration, for example, by the invention of the statistics presented or the invention of quotations or references;
- b the duplication of assessed work – the submission of broadly similar work completed by the student for academic credit as part of the same programme without express acknowledgement of the previous submission;
- c the removal of an examination script or examination stationery or other materials from the examination room (or any other room in which a formal assessment is taking place);
- d failure to comply with the instructions of an invigilator;
- e the introduction into the examination room of any personal notes or revision notes in any form or stationery;
- f permitting or assisting another to present work that has been copied or paraphrased from a student's own work without attribution or as if it were the work of the other;
- g breach of professional confidentiality;
- h failure to obtain ethics approval prior to undertaking work involving human participants;
- i failure to comply with the terms and conditions of an ethics approval granted for work involving human participants.

2.1.5 'Serious Adverse Circumstances':

Section C3.8, UPR AS14², refers.

2.2 **Offences**

2.2.1 The following are regarded as offences:

- i cheating;
- ii plagiarism;
- iii collusion;
- iv Academic Misconduct/Assessment Offences.

- 2.2.2 Allegations of cheating, plagiarism, collusion and other Academic Misconduct/Assessment Offences will be investigated in accordance with the procedures set out in Appendix III, UPR AS14⁶. Should such allegations be proven, the University reserves the right, at its sole discretion, to impose any of the academic penalties set out in Appendix III, UPR AS14⁶ or, where the allegation is treated as a disciplinary matter, the University may, in addition, impose penalties under the provisions of Appendix I, UPR SA13⁷/Appendix I, UPR SA15⁸.

3 EXAMINATIONS

3.1 Attendance

i Candidates:

- a are personally responsible for ensuring that they arrive in good time for the examination and must arrive outside the examination room at least **15** minutes before the scheduled start of the examination and ensure that a seat in the examination room has been allocated to them;
- b must not enter the examination room until invited to do so by the Invigilator;
- c must sign the attendance register when asked to do so by the Invigilator;
- d must comply with seating requirements;
- e must comply with the instructions given by the Invigilator and should note that on entering the examination room they are subject to the authority of the Invigilator;
- f must ensure that, other than completing the appropriate sections on the front page of the examination script, they do not otherwise write on their examination script or other examination stationery prior to the start of the examination.

ii Late arrival at an examination

Candidates who arrive after the time scheduled for the start of the examination will not be permitted entry to the examination room, even if the examination has not commenced.

iii Verification of identity

- a The identity of the candidates present in the examination room will be checked (section 1.2, iii, refers).
- b Candidates are required to bring their University Identity Cards with them to the examination room and are required to place these, in a prominent position, on their desks.

iv Personal property

- a All personal property must be left in the area specified by the Invigilator. Candidates may take only those items specified in the rubric to their examination desks.
- b Candidates will ensure that mobile telephones, *'smart' watches and any other electronic device* have been switched off and that they are left in the area specified by the Invigilator. Any mobile telephone making an audible noise during an examination will be removed immediately and taken to the Exams and Awards Office, together with any item of the candidate's property, such as the coat, bag or other item, in which the telephone is stored. It may be collected by the candidate at the end of the examination. The incident will be recorded by the Exams and Awards Office.

⁶ UPR AS14, Appendix III 'Academic Offences'

⁷ Appendix I, UPR SA13 'University Schedule of Sanctions and Penalties for Academic and Non-Academic Disciplinary Offences'

⁸ Appendix I, UPR SA15 'University Schedule of Sanctions and Penalties for Academic and Non-Academic Disciplinary Offences'

- c Any notes, including blank pieces of paper, must not be kept on or near a candidate's person.
 - d The University does not accept liability for any loss or damage to candidates' personal property howsoever caused.
- v Candidates' attire
- During the examination, candidates will:
- a ensure that their attire is such that it does not cause offence to others, examples would include, but are not limited to, clothing bearing unseemly images or offensive slogans or clothing which is inappropriate or so scant that it could reasonably be expected to cause offence to others;
 - b not wear baseball caps, hoodies or other types of hat which obscure their face;
 - c will not have on their person any ear plugs, headphones or similar devices.

3.2 Permitted or required aids and special equipment in examinations

i Calculators

Candidates will have been notified at the start of the academic session of the make and model of the calculators approved by the University.

- a Candidates may use their own University approved calculators for any examination which allows their use. Other than in the circumstances set out in 3.2, i, b, no other calculators will be permitted in the examination room and these and other unauthorised devices will be confiscated. Candidates may not lend, borrow or share a calculator once the examination has commenced.
- b Candidates who are taking 'open book' examinations may be allowed to use a more sophisticated calculator or computing device provided that this has been specified in the rubric of the examination paper and that candidates have been notified of this exception in advance of the examination.
- c Where it is proven that a candidate has taken unauthorised information contained in the memory or case of a pocket calculator or other device into an examination room, he or she will be deemed to have committed a serious examination offence.

ii Dictionaries

(The University's examinations are conducted in English.)

- a Candidates are not allowed to take their own dictionaries into the examination room.
- b An English dictionary will be provided in each examination room and candidates may refer to it on making a request to the Invigilator.
- c The use of foreign language dictionaries is not permitted.

3.3 Conduct of candidates during the examination

i Candidates must not:

- a bring food or drinks (other than small, clear, unlabelled bottles of still water) into the examination room;
- b bring into the examination room any item which may cause a disturbance to others, for example, an audible alarm watch;
- c read or otherwise apprise themselves of the work of other candidates whilst in the examination room;
- d communicate with any person during the examination other than the Invigilator or the Internal Examiner if the Internal Examiner is in attendance;

- e have on or near their person, any book, manuscript, notes, blank pieces of paper, personal notes, revision notes in any form; stationery, calculator or other aid which is not specifically allowed in the rubric of the examination paper;
- f cause disturbance, either intentionally or unintentionally, to other candidates in the examination. Where the Invigilator considers that a candidate is causing an unacceptable level of disturbance, the candidate may be required to leave the examination room. Where a candidate is required to leave the examination room in such circumstances, he or she will not be eligible for a deferral.

(Note for guidance:

Where a candidate is required to leave the examination room because of a disturbance arising from his or her sudden illness, the relevant Module Board will be notified and has discretion to offer the student a deferred examination.)

ii Leaving the examination room during the course of the examination

- a Where an examination is of two (2) hours' duration or less, candidates are not permitted to leave the examination room and then return unless they can provide medical or other appropriate evidence to justify this. Candidates who leave the room without the necessary medical certification will not be permitted to return to the examination.

(Note for guidance:

'medical or other appropriate evidence' would include, but is not limited to, medical certificates or letters from doctors or psychiatric practitioners.)

- b Candidates are not permitted to leave any examination room during the first 40 minutes nor during the last 20 minutes of the examination unless medical or other appropriate evidence has been presented prior to the commencement of the examination.
- c Candidates must not leave the examination room during the examination without being accompanied by an Invigilator/informing the Invigilator.
- d Candidates who leave while the examination is in progress should do so as quietly as possible to minimise disturbance to others.
- e Any candidate who suddenly becomes unwell during an examination and elects to leave without completing the examination, must notify the Invigilator who will, in turn, ensure a member of the Exams and Awards Office speaks with the candidate before he or she is allowed to leave the examination.

(Note for guidance:

The Invigilator will note in the Invigilator's Log the candidate's decision to leave on grounds of sudden ill-health but the candidate is also required to submit a claim of Serious Adverse Circumstances in the normal way.

Where a student has claimed Serious Adverse Circumstances, the original examination mark will be null and void (section D5.1.3, UPR AS14², refers.)

- iii Candidates who have taken unauthorised items to their desks by mistake must inform the Invigilator immediately they discover them.
- iv A serious breach of the examination rules or disorderly conduct will render a candidate liable to expulsion from the examination room for the remainder of the examination period.

- v At the time of the examination, candidates should draw to the attention of the Invigilator any adverse environmental conditions that they believe to be affecting their performance.

(It will be for the Invigilator in Charge and/or the Assistant Registrar to decide whether or not action can or should be taken.)

3.4 Conduct of candidates in the event of an emergency

(Sections 6.6.4 and 6.6.5, UPR AS12⁴, refer)

Candidates must:

- a stop writing and await instructions from the Invigilator in Charge;
- b leave the room in silence and in an orderly manner when requested to do so by the Invigilator;
- c leave all examination materials on their desks;
- d leave bags and any other possessions in the examination room;
- e assemble at the designated assembly point;
- f remain silent at all times, even after they have left the examination room;
- g re-enter the examination room when instructed to do so by the Invigilator in Charge.

(Where extra time is to be given, the Assistant Registrar will advise the Invigilator in Charge of the amount of additional time that candidates are to be permitted.)

3.5 Writing the examination

Each candidate must:

- a unless instructed otherwise, write answers in black or blue ink;
- b write his or her correct Exam Number and any other particulars that are required, clearly and accurately on the front of each examination-script;
- c write his or her correct Exam Number on each item of examination stationery used (for example, continuation sheets and graph paper);
- d not, for any purpose, bring his or her own blank paper/stationery into the examination room;
- e not commence writing, other than to complete the identification details on the front of the examination script, until the start of the examination is announced by the Invigilator;
- f raise any query concerning the accuracy or content of the examination paper within the first **30** minutes following the start of the examination (by raising his or her hand to attract the Invigilator's attention) so that the query may be referred at once to the Internal Examiner(s) (or nominee) who will be available to attend the examinations room(s) during this period. After the first **30** minutes of the examination, any query raised will be recorded by the Invigilator but may not necessarily be answered during the examination;
- g start each answer at the head of a page and write on both sides of each sheet of the examination script or other material provided upon which questions are to be answered: continuation sheets must be numbered consecutively (1, 2, 3, etc.);
- h write each question number in the left-hand margin and leave the right-hand margin blank. All work leading to the solution of each question must be recorded in the examination script. Rough notes made during the examination should be neatly ruled through before completing the examination.

3.6 Finishing the examination

(A breach of 3.6, i, a, d or e, will be regarded as academic misconduct (section 2.1.4, refers).)

- i Candidates must:
 - a stop writing immediately the Invigilator announces the end of the examination;
 - b check that they have entered the number of each question attempted in the space provided at the foot of the front page of each examination script and that they have stated the number of continuation sheets and graph or other paper used;
 - c attach all continuation and other sheets to the appropriate examination script before handing it to the Invigilator (with the exception of multiple choice questionnaire sheets which must be inserted into the answerbook);
 - d remain silent and seated until all candidates' examination scripts have been collected and counted by the Invigilator and they have been formally dismissed by the Invigilator;
 - e not remove from the room any script, rough work, official stationery, materials or equipment supplied for the examination.
- ii Unless specified otherwise, candidates may take the examination paper that they have sat from the room at the end of the examination.

3.7 Examinations involving the use of computers

- i Candidates are responsible for:
 - a saving all their work regularly and in the manner prescribed for the examination;
 - b ensuring that their correct Exam Number is printed on each page;
 - c ensuring that their work is printed in full;
 - d ensuring that their printed work is inserted securely inside an examination script.
- ii In the event of an electrical and/or computer breakdown, candidates are required to follow the instructions given by the Invigilator.

4 ASSESSMENT OF COURSEWORK

- i Candidates are:
 - a responsible for familiarising themselves with any submission deadlines or penalties and any other requirements associated with the coursework;
 - b expected to contact their module lecturers if they are unclear about anything concerning the coursework assessment requirements;
 - c required to submit all work for assessment by the deadline that has been stipulated unless an extension of time has been granted, in writing, by the appropriate member of the academic staff;
 - d required to make any application for an extension by the deadline for the submission of the coursework to the appropriate member of the academic staff. Such applications must normally be made in writing, be accompanied by appropriate supporting evidence and be made in advance of the deadline for the submission of the coursework;
 - e responsible for familiarising themselves with the penalties that may be imposed as a result of their having submitted their coursework after the published deadline;
 - f responsible for stating clearly at the end of each piece of coursework being submitted for assessment, the name of any other student with whom they have worked.

- g LATE SUBMISSION OF COURSEWORK
Unless there are accepted Serious Adverse Circumstances:
- 1 Coursework (including deferred coursework, but with the exception of referred coursework) relating to modules at Levels **0, 4, 5** and **6**, submitted up to one **(1)** week after the published deadline will receive a maximum numeric grade of **40**.
 - 2 Coursework (including deferred coursework, but with the exception of referred coursework) relating to modules at Level **7** submitted up to one **(1)** week after the published deadline will receive a maximum numeric grade of **50**.
 - 3 Referred coursework submitted after the published deadline will be awarded a grade of zero **(0)**.
 - 4 Coursework (including deferred coursework) submitted later than one **(1)** week after the published deadline will be awarded a grade of zero **(0)**.
- ii Candidates:
- a must not behave in a manner likely to prejudice the academic performance of another candidate;
 - b must not offer bribes or inducements to any member of the University's staff, External Examiners or other candidates connected with the coursework that is being presented for assessment;
 - c are responsible for ensuring that they have complied with the requirements set out in section 1.2.

5 REQUESTS FOR THE REVIEW OF ASSESSMENT DECISIONS – UNDERGRADUATE AND TAUGHT POSTGRADUATE CANDIDATES (APPEALS PROCEDURE)

5.1 Scope of regulations⁹

5.1.1 These procedures will be followed in cases where:

- i a candidate or a member staff wishes to raise a query concerning a recommendation or decision relating to:
 - a the mark or grade for an individual item of coursework;
 - b the result of an individual module;
 - c completion of a stage of a programme and progression to the next;
 - d entitlement to an award;
 - e the class or grade of an award;
- ii a candidate who has committed an examination or coursework assessment offence (including cheating, plagiarism, collusion or other Assessment Offence) which has been dealt with in accordance with the procedures set out in Appendix III, UPR AS14⁶, wishes to exercise his or her right to request a formal review of the decision or recommendation of a Short Course/Module Board of Examiners.

5.1.2 Whilst no formal restriction is placed on a very wide range of queries, including any which amount to requests for confirmation, clarification or elaboration of a recommendation or decision, it should be noted that the University may not be able to answer all possible questions or that it will be able to provide as full a response as may be desired by the candidate raising the query.

⁹ Regulations and procedures for raising queries about assessment, progression and award regulations associated with a particular programme lie outside the scope of this document. Candidates who wish to raise such queries should do so via the appropriate Programme Committee through candidate representatives or by seeking an interview with the module tutor, programme leader or other programme officer.

5.2 Confidentiality and Data Protection

The University will deal with any review under these procedures in accordance with the legal context for data protection.

5.3 General principles

5.3.1 Whilst candidates may raise queries about the results of an assessment, the University will not admit queries which consist solely of a challenge to the academic judgement of Examiners in assessing the merits of a candidate's work or in reaching a decision or recommendation on progression, award or the class or grade of award based on the marks, grades and other information relating to the candidate's performance.

5.3.2 Where queries relate to the substantive correctness of a recommendation or decision (such as a request to be given the reasons or a request that it be reconsidered) the University will respond only to those that fall within the permitted grounds for a request for the review of an examination decision (section 5.4, refers).

5.3.3 At all stages of these procedures, the powers of the Dean of School and the Vice-Chancellor are limited to the referral of a case back to a Short Course/Module or Programme Board of Examiners for reconsideration, where they are satisfied that this is a justifiable course of action.

5.3.4 A Short Course/Module or Programme Board of Examiners (sections 5.6.1 and 5.6.2, refer) acts under authority delegated to it by the Academic Board and the decision of the Board of Examiners on a referred appeal is final, other than in exceptional circumstances where the Academic Board may decide to exercise its powers in accordance with the provisions of section B4, UPR AS14² (section 5.8 of this document also refers).

5.3.5 With limited exceptions, all written materials considered by the Dean of School (or nominee) or the Vice-Chancellor in their respective deliberations under this policy will be provided to the candidate.

5.4 Permitted grounds for a request for the review of an assessment decision

5.4.1 The grounds on which candidates are permitted to lodge a request for the review of a recommendation or decision are:

- i that the Examiners had been advised beforehand of medical or other Serious Adverse Circumstances which prevented the candidate from sitting or submitting an assessment but failed to appreciate their significance when arriving at their decision or recommendation (section 5.4.2, refers);
- ii where, at the time of sitting or submitting an assessment, the candidate was not capable of understanding that his or her performance was likely to be affected adversely by ill-health and/or its treatment (section D5.1, UPR AS14², refers) and
 - a this has the written support of a doctor or psychiatric practitioner and
 - b the circumstances only came to light after the relevant Assessment Panel or Short Course/Module Board had met (section 5.4.2, refers);
- iii that there was a material administrative error or procedural irregularity at some stage of the assessment process or that the examinations or other assessments were not conducted in accordance with the approved programme regulations or that some other material irregularity or procedural irregularity relevant to the assessments occurred;
- iv that there was unfairness or impropriety on the part of one or more of the Examiners or the Board.

5.4.2 **Serious Adverse Circumstances**

Where it is believed that there are Serious Adverse Circumstances which should be drawn to the attention of the Short Course/Module Board(s) of Examiners, it is the responsibility of the candidate to notify the Chairman of the appropriate Short Course/Module Board(s) of Examiners, in writing, through the Clerk to the appropriate Programme Board, as early as possible and not later than ten (10) working days before the meeting of the Short Course/Module Board of Examiners and to provide any relevant supporting evidence (section 1.2, v, refers). However, where the relevant assessment is within 12 working days of the meeting of the Short Course/Module Board of Examiners, any Serious Adverse Circumstances to be taken into consideration by the Short Course/Module Board must be notified no later than two (2) working days after the assessment.

5.5 **Informal procedures**

5.5.1 Within the limits of the permitted grounds set out in section 5.4, a candidate may initially wish to raise queries concerning the following matters (sections 5.5.2 – 5.5.6, refer) using the informal procedures set out in the relevant section.

5.5.2 **Mark or grade of an individual item of coursework**

- i The candidate or member of staff should raise the query with the lecturer(s) concerned immediately after receiving notification of the mark or grade. The lecturer will give an answer as quickly as possible, although it should be noted that some queries may take longer to address depending on their nature.
- ii Where, having received a response from the lecturer(s), the candidate still believes there is an error which has not been rectified and wishes to pursue the matter further, he or she must raise the issue, in writing, with the Associate Dean of School (Academic Quality Assurance) within five (5) working days of the date of the response.
- iii The Associate Dean of School (Academic Quality Assurance) will investigate the query and notify the candidate of the findings of that investigation. Where an error is found, any necessary corrections will be made following instruction from the Associate Dean of School (Academic Quality Assurance) to the appropriate member of academic or administrative staff.

5.5.3 **Overall result of an individual module**

The candidate or member of staff should raise the query with the designated module leader within five (5) working days of publication of the result. If the candidate is unsure which member of staff to contact, he or she should seek advice from the School Administration Manager. The candidate will receive an answer as quickly as possible, although some queries may take longer than others to address depending on their nature.

5.5.4 **Stage progression, entitlement to an award or the class or grade of an award**

The candidate should raise the matter at the earliest possible time with his or her Year or Programme Leader or Associate Dean of School (Academic Quality Assurance).

5.5.5 **A candidate's personal position**

The candidate should raise the matter at the earliest possible time with his or her Year or Programme Leader or Associate Dean of School (Academic Quality Assurance).

5.5.6 Suspected administrative error or procedural irregularity

The candidate or member of staff should raise the matter at the earliest opportunity with the Chairman of the Short Course/Module or Programme Board of Examiners (sections 5.6.1 and 5.6.2, refer).

5.6 Formal procedure for the review of a decision by a Board of Examiners

5.6.1 All requests for a formal review of a decision of a Board of Examiners under the provisions of the regulations in this section (5.6) must be made, in writing, solely by means of the current version of the pro forma published from time-to-time by the Dean of Students.

5.6.2 Irrespective of whether they have raised a query informally using the procedures set out in section 5.5 and regardless of whether they have received a response, candidates wishing to request a formal review must do so using the procedures set out in this section (5.6). Such request must be submitted strictly in accordance with the following schedule:

- i request for the review of an assessment decision

within ten (10) working days after the publication date for results by Short Course/Module Boards of Examiners;
- ii request for the review of a continuation or termination or award decision

within ten (10) working days of the date of the notification of the recommendation of the Programme Board of Examiners.

Requests for a formal review under the provisions of this section (5.6) not submitted using the required pro forma will not be considered.

(Note for guidance:

- With regard to the requirement to submit requests for a formal review under the provisions of this section (5.6) using the pro forma referred to in section 5.6.1, the University will make reasonable adjustments for disabled students.
- The current version of the pro forma is published on-line on the Dean of Students' *StudyNet* site.

5.6.3 Any candidate wishing to request a formal review should seek immediate guidance from the Dean of School (or nominee if the Dean of School is the Chairman or member of the Module or Programme Board of Examiners) (sections 5.6.1 and 5.6.2, refer) or the Students' Union.

5.6.4 Requests for a formal review must be made in the form of a written submission which must be lodged with the Dean of School (or nominee).

5.6.5 Candidates wishing to lodge a formal request for a review of a decision made by a Short Course/Module Board of Examiners or a Programme Board of Examiners should note that at no stage do the procedures set out in this section (5) provide for external representation, for example, by a Trade Union representative or a lawyer.

(Note for guidance:

The policies and procedures for the operation of the Examinations Appeal Panel which give effect to the principles determined by the University as they relate to representation and advice for students and the role of Students' Advisers at that, later, stage of the review process, are set out in section 5.7.7.)

- 5.6.6 The candidate's written submission should:
- i summarise the case and grounds for requesting the review;
 - ii indicate the date on which the decision/recommendation was taken by the Short Course/Module or Programme Board of Examiners;
 - iii include any relevant documentary evidence.
- 5.6.7 Upon receipt of a written request for a review, the Dean of School (or nominee) will consult colleagues to determine whether there are sufficient grounds to justify a review. Having completed his or her consultations and having reviewed all the evidence, the Dean of School (or nominee) will within **15** working days of the receipt of the request or as soon as possible thereafter:

- i dismiss the request; or
- ii refer the matter to the Short Course/Module or Programme Board of Examiners; and
- iii inform the candidate of his or her decision by means of a **Letter of Decision** in the following format:

Letter of Decision

The Dean of School (or nominee) will communicate his or her decision to the candidate in writing. Such letters (**Letters of Decision**) will:

- a inform the candidate of the decision;
- b give the reasons why the decision was taken;
- c where the matter has been referred to the Short Course/Module or Programme Board of Examiners, advise the student that the proceedings of the Short Course/Module or Programme Board of Examiners are confidential, that its decisions are a matter of academic judgement, cannot be influenced and are final;
- d explain any further rights of appeal that the student might have.

Included with the letter will be a copy of the report or record of any Hearing which has taken place.

Where appropriate, the **Letter of Decision** will be accompanied by a **Completion of Procedures Letter** which may be used in relation to any future dealings with the Office of the Independent Adjudicator.

The Dean of School is required to provide a copy of the **Letter of Decision** and all enclosures to the Student Procedures Co-ordinator, Governance Services.

Letters of Decision will be sent by recorded mail and to the email address the student has provided to the University for all correspondence.

- 5.6.8 The Dean of School will provide a copy of the **Letter or Decision** to the School Administration Manager, the Academic Registrar and, as necessary, to the Chairman of the Short Course/Module or Programme Board of Examiners.
- 5.6.9 Where the Dean of School has referred the matter to the Short Course/Module or Programme Board of Examiners, the Chairman of the Board of Examiners concerned will notify the candidate, in writing, of the decision of the Board.

5.6.10 Where the Short Course/Module or Programme Board of Examiners finds evidence of administrative error or procedural irregularity, the Short Course/Module or Programme Board of Examiners will take the appropriate action.

5.7 Representations to the Vice-Chancellor

5.7.1 In the event that either:

- i the decision of the Short Course/Module or Programme Board of Examiners remains unchanged after the request has been referred to it by the Dean of School (or nominee) or
- ii a candidate has had his or her request dismissed by the Dean of School (or nominee)

then a candidate may, in limited circumstances, make representations to the Vice-Chancellor, in his or her capacity as Chairman of the Academic Board. These representations can be made **only** on the grounds that exceptional circumstances apply but it must be emphasised that any submission to the Vice-Chancellor should not be regarded as merely another opportunity to present the same arguments as those submitted to the Dean of School (or nominee) and should be made only if the candidate believes that the correct procedure has not been followed and/or that all the relevant circumstances have not been considered and/or there is new evidence not previously considered by the Dean of School.

5.7.2 Guidance

Before making such a submission to the Vice-Chancellor, the candidate is strongly advised to seek guidance from the Dean of School (or nominee) concerned, who may further consult appropriate colleagues within the School. The candidate may also wish to seek advice from the Students' Union.

5.7.3 If, having obtained appropriate guidance, the candidate wishes to pursue the matter, he or she must:

make a request to the Vice-Chancellor, in writing, solely by means of the current version of the pro forma published from time-to-time by the Dean of Students and, in accordance with the procedures set out in this section (5.7.3), within ten (**10**) working days, as appropriate, of:

- i the date of the **Letter of Decision** from the Dean of School (or nominee) that his or her request has been dismissed,
- ii the date of the written notification from the Short Course/Module or Programme Board of Examiners that its decision is unchanged;

that he or she wishes the decision of the Short Course/Module or Programme Board of Examiners to be reviewed.

(Note for guidance:

It should be noted that the dates referred to in section 5.7.3 relate to the date of the correspondence/notification referred to in the relevant section and not to the date of its receipt.)

5.7.4 The written request must be:

- i supported by a statement detailing the grounds upon which the review is being sought, together with any relevant documentary evidence.

- ii lodged with the Student Procedures Co-ordinator, Governance Services.

Representations to the Vice-Chancellor under the provisions of this section (5.7) not submitted using the required pro forma will not be considered.

(Note for guidance:

- With regard to the requirement to submit requests for a formal review under the provisions of this section (5.7) using the pro forma referred to in section 5.7.3 and section 5.7.4, the University will make reasonable adjustments for disabled candidates. Disabled candidates should seek advice from Student Wellbeing.
- The current version of the pro forma is published on-line on the Dean of Students' web site)

- 5.7.5 The Vice-Chancellor may direct that an investigation is made, by an Investigating Officer into the request for review and may seek further information.
- 5.7.6 The Investigating Officer (normally the Dean of Students) will inform the relevant School Administration Manager that an appeal is pending and of the outcome when the final decision is reached.
- 5.7.7 Upon receipt of the candidate's written submission and/or the results of any further investigation, the Vice-Chancellor will consider whether there is sufficient justification to merit a review. The Vice-Chancellor will review all of the evidence. His or her decision will be based on the evidence available and he or she will assess whether any of the exceptional circumstances referred to in section 5.7.1 apply and not on a consideration which questions the academic judgement of the Short Course/Module or Programme Board of Examiners. Within **20** working days of the receipt of the appeal, or as soon as possible thereafter, he or she will:
- i dismiss the request and advise the candidate accordingly by means of a **Vice-Chancellor's Letter of Decision** in the format prescribed in section 5.7.10 or
 - ii determine that there is sufficient justification to require the Module or Programme Board of Examiners, as appropriate, to reconsider the case and advise the candidate accordingly by means of a **Vice-Chancellor's Letter of Decision** in the format prescribed in section 5.7.10 or
 - iii determine that a more detailed review should be made involving, possibly, the gathering of additional evidence and/or the seeking of further guidance and/or the establishment of an Examinations Appeal Panel and advise the candidate accordingly in writing.

(Note for guidance:

The candidate may be accompanied by a Student's Adviser at any meeting or Hearing at which the matter is discussed in accordance with the provisions of section 5.7.8, iii.)

5.7.8 Examinations Appeal Panel

The Vice-Chancellor, at his or her absolute discretion, may require the Secretary and Registrar, as Secretary to the Academic Board, to establish an Examinations Appeal Panel.

- i The Panel will consist of three (**3**) independent Deans of School (or the holders of comparable senior posts) and may interview the candidate, may obtain further information, if necessary, and may consider other appropriate representations.

- ii At any meetings to discuss the process of the appeal, or hearing, the student will be entitled:
 - a to present any evidence or documentation that is relevant to the representations being made and
 - b either to be accompanied by a Student's Adviser (section 5.7.8, iii, refers) or,
 - c where he or she wishes to exercise the right to representation, to be accompanied by a member or nominee of the Students' Union Executive (section 5.7.8, iii, b, refers).
- iii Student's Adviser
 - a An appellant may invite another person to accompany him or her to, and to act as his or her Adviser at, any Hearing or meeting (formal or informal) at which the matter is to be discussed.
 - b Although the appellant might, for example, invite a lawyer or a Trade Union representative to act as his or her Adviser, it should be noted that the person attends the meeting or Hearing purely in an advisory capacity and does not, therefore, act as the student's representative. However, the student may elect to be represented at the Hearing or meeting by a member or nominee of the Students' Union Executive.
 - c Where an appellant wishes to be accompanied by an Adviser at a meeting or Hearing, he or she should advise the University five (5) working days beforehand.
- iv Following a hearing and the Panel's deliberations, the Panel will advise the Vice-Chancellor either to dismiss the appeal or refer the matter back to the Short Course/Module or Programme Board of Examiners for review. The Vice-Chancellor has discretion to accept or reject the advice of the Panel.

5.7.9 It should be noted that the Vice-Chancellor does not possess the power to alter decisions. He or she may confirm the view of the Short Course/Module or Programme Board of Examiners (sections 5.6.1 and 5.6.2, refer) or require the Short Course/Module or Programme Board of Examiners to review the case in view of any exceptional circumstances.

5.7.10 The Vice-Chancellor's *decision will* be communicated to the candidate by means of a **Vice-Chancellor's Letter of Decision** in the following format:

Vice-Chancellor's Letter of Decision

- i The Secretary and Registrar will communicate the Vice-Chancellor's decision to the appellant in writing. Such letters (**Vice-Chancellor's Letter of Decision**) will:
 - a inform the candidate of the decision;
 - b give the reasons why the decision was taken;
 - c where the matter has been referred to the Short Course/Module or Programme Board of Examiners, advise the student that the proceedings of the Short Course/Module or Programme Board of Examiners are confidential, that its decisions are a matter of academic judgement, cannot be influenced and are final.
- ii Included with the letter will be a copy of the report or record of the Hearing.
- iii Where appropriate, the **Vice-Chancellor's Letter of Decision** will be accompanied by a **Completion of Procedures Letter** which may be used in relation to any future dealings with the Office of the Independent Adjudicator.

The **Vice-Chancellor's Letter of Decision** will be sent by recorded mail and to the email address the student has provided to the University for all correspondence.

5.7.11 At all times it has to be appreciated that the powers of the Vice-Chancellor are limited to the referral of a case back to a Board of Examiners for reconsideration, if he or she is satisfied that this is a justifiable course of action. The Short Course/Module or Programme Board of Examiners acts under authority delegated to it by the Academic Board and the decision of the Short Course/Module or Programme Board of Examiners on a referred appeal is final, other than in exceptional circumstances where the Academic Board may decide to exercise its powers in accordance with the provisions of section B5, UPR AS14².

5.8 The Academic Board

5.8.1 In very exceptional circumstances, for example, where it believes that a Programme or Short Course/Module Board of Examiners has misused or otherwise contravened its authority or there are procedural irregularities, the Academic Board has the power to consider and, if appropriate, change the decision of the Programme or Short Course/Module Board. In such exceptional circumstances, the delegation of authority made to the Programme or Short Course/Module Board by the Academic Board would be revoked temporarily¹⁰.

5.8.2 Candidates should note that the procedures set out elsewhere in this section (5), which have been approved by the Academic Board, provide the mechanism whereby they may progress queries about recommendations or decisions on assessment, progression and awards.

5.9 Vice-Chancellor

The Vice-Chancellor has discretion to draw to the attention of a Board of Examiners any relevant matter and to request that the Board concerned reconsiders its decisions in light of the information provided to it by the Vice-Chancellor. However, the Vice-Chancellor does not possess the power to alter the decisions of a Board of Examiners.

5.10 Further representations

Having exhausted the University's internal procedures and, subject to the provisions of legislation, the student has the right to request the Office of the Independent Adjudicator to review his or her case.

Mrs S C Grant
Secretary and Registrar
Signed: **1 August 2018**

¹⁰ Academic Board minute 725.3, 15 March 2000, refers.