

Assessments and Examinations (undergraduate and taught postgraduate) and conferments (partner organisation-delivered provision)

UPR AS13 version 16.0

Policies superseded by this document

This document replaces version 15.0 of UPR AS13, with effect from 1 September 2023.

Summary of significant changes to the previous version

None. Amendments relate to Appendix I only.

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 2021-2022, the regulations, procedures and guidelines set out in this document (UPR AS13) will apply to all examinations and assessments conducted on or after 1 September 2022 at Partner Organisations.
- 1.2 This document should be read in conjunction with UPR AS11¹; UPR AS14²; individual programme regulations; where applicable, the regulations of external validating bodies and UPR SA03³/UPR SA02⁴.

2 Scope

- 2.1 All members of staff, students and relevant University or Organisation 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 all taught programmes delivered and assessed by Partner Organisations (as defined in section 3, v) that lead to approved awards of the University of Hertfordshire.
- 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.

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.

¹ UPR AS11 'Schedule of Awards'

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

³ UPR SA03 'Admissions - Undergraduate and Taught Postgraduate Students'

⁴ UPR SA02 'Admissions - Research Students'

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) (see UPR GV08⁵);

iii **'examination script':**

completed examination answers on official examination stationery (including answer books, continuation sheets and graph paper) as supplied by the Examinations Officer 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, student-led seminars and exhibitions;

v **'Partner Organisation/Organisation':**

an organisation which, under the terms of a Memorandum of Agreement or other legal agreement with the University, delivers and assesses programmes leading to awards of the University of Hertfordshire;

vi **'Principal':**

the head of the Organisation with overall responsibility for academic matters;

vii **'Examinations Officer':**

the member of staff at the Organisation with responsibility for the administration of the examination process: the individual identified as the 'Examinations Officer' may be an academic or administrative member of staff;

viii **'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) and also in circumstances where the regulations require that more than one Invigilator is present at an examination and that the Examinations Officer designates one of these Invigilators as the 'Invigilator in Charge';

ix **'Invigilator in Charge':**

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

⁵ UPR GV08 'Glossary of Terminology'

- x **'Academic Conduct Officer':**
the individual identified by the Principal to investigate suspected cases of cheating, plagiarism and other Academic Misconduct, as set out in UPR AS14² and those of the Academic Conduct Officer set out in these regulations;
- xi **'Associate Director':**
the University's Associate Director (Academic Services);
- xii **'School'**
the University has an internal academic structure consisting of academic Schools;
- xiii **'Assistant Registrar (Student Administration – Collaborative Partnerships)' (AR(SA-CP))**
the Assistant Registrar (Student Administration – Collaborative Partnerships) (AR(SA-CP)) or an individual within the Collaborative Partnerships Unit who has been nominated by the AR(SA-CP) to be responsible for administrative tasks relating to the assessment of students registered on collaborative programmes;

4 General responsibilities of the University delegated to the organisation

- 4.1 The Organisation will ensure that:
 - i Programme Handbooks are prepared for each programme and that they are updated annually;
 - ii the appropriate Handbook is issued to all of the students registered for each programme. Notes for Guidance are available from the Academic Services section of the University's Academic Registry;
 - iii 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.
- 4.2 The Assistant Registrar (Student Administration – Collaborative Partnerships) will ensure that at the start of each academic session:
 - i all students are advised to read the 'Instructions for Exam Students' which are published on AskHerts by the Assistant Registrar (Exams and Awards);
 - ii in a timely manner, all students are registered on the Student Record System as being enrolled on their modules.
- 4.3 The Examinations Officer 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 students are aware that they are also subject to the regulations of the Organisation 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 (see UPR RE01⁶);
- iii at the start of each academic session,
 - a students are notified of the make and model of the calculator approved by the Organisation;
 - b each student is given a printout ('List of Assessed Modules'), produced by the University or a similar document produced by the Organisation listing their current programme and module registration details in full.

4.4 Organisational role of the Examinations Officer

Although the Examinations Officer may delegate certain responsibilities to members of staff under their management, ultimate responsibility for the administration of examinations and conferments lies with the Organisation's Examinations Officer.

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. All summative assessment should in addition be reviewed by an appropriate member of University staff.

⁶ UPR RE01 'Studies Involving the Use of Human Participants'

- 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. Communication with the External Examiner will be from the University.
- 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 AS14²;
 - 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 website.

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 AS13⁷). 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 anonymously. Wherever possible summative student work must be submitted and marked anonymously.
- 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.

⁷ Appendix I, UPR AS13 'Assessments and Examinations – Regulations for Students (Including Requests for the Review of Examination Decisions (Appeals Procedure)) (Partner Organisation-Delivered Provision)'

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 and University moderation of marked student work

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

Partner Organisations 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 appropriate manager at the Partner Organisation 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.

5.5.10 The sample that is internally moderated within the Partner Organisation will also be internally moderated by appropriate University staff prior to sending for external scrutiny.

5.5.11 For programmes within the Hertfordshire Higher Education Consortium which are delivered by more than one college, a cross-college moderation process has been developed. This process is described in the Consortium Quality Handbook, available on the Academic Quality website.

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 AS14², 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 / marking 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 appropriate manager at the Partner Organisation 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 Partner Organisations must ensure that, if sought, feedback on performance in written examinations is available to students. Partner Organisations 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 that contribute to University of Hertfordshire awards.

6.1.2 Ratio of Invigilators to students

- i One (1) Invigilator is required for each room in which up to **35** students are to sit an examination.
- ii Where more than **35** students are to be examined in a room, an additional Invigilator must be present for each additional **35** students (or part thereof).
- iii Invigilators in charge of examinations supervised by the Examinations Officer
In cases where more than one (1) Invigilator is required for an examination, the Examinations Officer will nominate one (1) Invigilator as the 'Invigilator in Charge'.
- iv In cases where extra time is granted for students with disabilities or additional needs, the examination may take place in a separate examination room and will be invigilated by an Invigilator approved by the Examinations Officer.

6.1.3 Role and responsibilities of Invigilators (see Appendix III, UPR AS13⁸)
All Invigilators will ensure that the University's regulations for the invigilation of examinations and assessments are observed at all times.

6.2 The Organisation's Invigilators

6.2.1 The Examinations Officer:

- i will appoint Invigilators for all examinations;

⁸ Appendix III, UPR AS13 'Invigilators – Role and Responsibilities (Partner Organisation-Delivered Provision)'

- ii is responsible, as appropriate, for training, for the maintenance of records relating to Invigilators and for the payment of Invigilators subject to custom and practice within the Organisation concerned;
- iii will provide Invigilators with detailed notes of guidance together with the relevant extracts from the regulations set out in this document (UPR AS13).

6.3 Invigilation of other kinds of examinations and assessments

6.3.1 General regulations

- i Practical examinations, including laboratory based examinations and such other non-laboratory examinations as the relevant Board of Examiners decides, will be invigilated by appropriate Organisation staff responsible for the module.
- ii Examinations involving the use of computers
The Principal (or nominee) will establish internal regulations and procedure to ensure that examinations involving the use of computers are conducted in a manner consistent with the requirements of University regulations and that confidentiality and security is maintained at all stages in the process.
- iii Examinations Officer:
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 AS13).

7 Regulations and Procedures relating to examinations supervised by the Examinations Officer

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 Examinations Officer is responsible for formulating and publishing the Organisation's Examination Timetable. The Timetable will, where practicable, schedule examinations in such a way that no student will have more than three (3) examinations scheduled in any two-day period.
- 7.1.3 The Assistant Registrar (Student Administration – Collaborative Partnerships) at the University will ensure that, as appropriate, students for examination are entered correctly on the University's Student Record System.
- 7.1.4 The Examinations Officer will ensure that details of all of the examinations to be held are submitted to the Assistant Registrar (Student Administration – Collaborative Partnerships) in accordance with the deadlines agreed with them.

7.2 Setting and moderation of examination papers - roles and responsibilities within Organisations

7.2.1 Principals

- i Principals will identify managers who will be responsible for the accuracy of examination papers and for ensuring compliance with the regulations and procedures set out in this section (7.2).
- ii These managers will normally be Programme Leaders who may, in turn, delegate responsibility for the completeness and accuracy of individual examination papers to the appropriate Internal Examiner or Module Leader (see section 7.2.2 and 7.2.3).
- iii Where several Internal Examiners share responsibility for an examination paper, the Principal 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 student; (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 signing the front of the examination envelope, thereby confirming the completeness and accuracy of the examination paper which it contains (see section 7.4.4).

7.2.3 Internal Moderator

- i Both the University and Organisation must appoint Internal Moderators.
- ii 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.

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 Assistant Registrar (Student Administration – Collaborative Partnerships) will:

- i publish annually to the relevant University and Organisation academic and administrative staff 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 of the modules, maintain a record of the names of External Examiners.

7.2.6 The Examinations Officer will:

- i for each of the modules, maintain a record of the names of:
 - a Module Leaders;
 - b Internal Examiners;
 - c Internal Moderators;
 - d Copy Editors;
- ii ensure that examination papers are submitted to the Assistant Registrar (Student Administration – Collaborative Partnerships) for onward submission to the appropriate External Examiner(s) and that comments received from External Examiner(s) are conveyed to the appropriate Module Leader;

- iii ensure that examination papers are not submitted to the Organisation's examination office or equivalent Organisation office until they have been approved by the relevant External Examiner(s) and Module Leader.

7.2.7 External Examiners will:

consider and comment on all examination papers which contribute to a University final award (see section E2, UPR AS14²).

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 Examination papers must be prepared and stored in secure areas to which students do not have access.
- c Examination papers must not be saved on hard disk drives or placed on 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.
- d All copies of preliminary drafts must be shredded.
- e Under no circumstances will examination papers be sent via any internal mail system or by electronic mail.
- f Examination papers may be sent to External Examiners, the Partner Organisation or third parties approved by the Assistant Registrar to administer the examination via the University secure File Exchange Server.

ii Scheduling and managing the preparation process

The Principal (or nominee) will ensure that the scheduling and management of the process enables the Organisation to meet all deadlines (see section 7.2.5, i).

7.3.2 The Examinations Officer and the Assistant Registrar (Student Administration – Collaborative Partnerships) will agree arrangements to ensure:

- i compliance with the regulations and procedures set out in section 7.4.1, i and ii;
- 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 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;
- iv that External Examiners are directed to convey their comments concerning draft examination papers on the 'standard comment sheet';
- v that the amendments agreed between the University moderator, 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 University which is supplied separately to the Organisation.

7.4 Submission of completed examination papers to the Examinations Officer

7.4.1 Those managers to whom Programme Leaders have delegated responsibility for the production of examination papers (see section 7.2.1) 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 Organisation examinations office or equivalent office.

7.4.2 Deadline for the submission of completed examination papers

Completed examination papers must be submitted 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 (Student Administration – Collaborative Partnerships) until after the University deadline has passed (see section 7.4.2), a written report must be made to the Assistant Registrar (Student Administration – Collaborative Partnerships) stating the reason for the delay and notifying them of the date on which the examination paper will be available.

7.4.4 The Organisation must have procedures in place to ensure that:

- i each examination paper is placed in a separate, clearly marked examination envelope which is signed by the Module Leader;

(The master examination paper and attachments/appendices must be placed in a clear, open-sided, plastic wallet on their own, within the examination envelope, so that they are clearly separated from any other material.)

- ii each examination envelope has within it a smaller sealed envelope containing:
 - a copies of the solutions (where these have been prepared);
 - b a copy of the External Examiner's comments;
 - c if applicable, the marking schedule and previous year's examination paper;
- iii all copies of preliminary drafts are shredded;
- iv the examination envelope indicates clearly which paper is to be used for the first sitting and which for the referral/deferral (if required).

7.5 Reproduction of papers for the examination and provision of examination stationery

The Examinations Officer is responsible for the reproduction of all examination papers and for providing examination stationery for students.

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 students comply with the regulations set out in this document (UPR AS13 and its relevant Appendices).

7.6.2 Role and responsibilities of Module Leaders

The Module Leader (or nominee):

- i will be available on campus for not less than **15** minutes prior to, and for the first **30** minutes of, the examination, to attend the examination room to answer any queries;
- ii will, for the remainder of the examination period (whilst the paper is being taken by the students) be available for consultation within the Organisation;
- iii where they are responsible for examinations taking place in more than one room at the same time (for example, where a disabled student is being examined separately) notify the Examinations Officer in advance of those examinations, of the arrangements that they (the Module Leader) has made to ensure that the requirements set out in 7.6.2, i and ii, are met.

7.6.3 Role and responsibilities of the Examinations Officer

The Examinations Officer will make reasonable efforts to ensure that only authorised students are present in the examination room.

7.6.4 Procedure in the event of an emergency during the examination

- i Students:
 - will be required to comply with the regulations and procedures set out in section 3.4, Appendix I, UPR AS13⁷.
- ii The Invigilator will:
 - a ask all students to leave the examination room unless they are specifically advised to the contrary by the Principal (or nominee);
 - b evacuate the room;
 - c be the last person to leave the room and, where possible, will lock the room;
 - d remain with the students and keep them all together in a group;
 - e remind students that they must not talk;
 - f unless given instructions to the contrary by the Examinations Officer (see section 7.6.5), continue the examination as soon as possible after the 'all clear' sounds.
- iii The Examinations Officer will:
 - where appropriate, advise the Invigilator in Charge of the amount of additional time that students are to be permitted (see section 7.6.5).
- iv The Invigilator in Charge will:
 - inform the students of the amount of additional time that will be permitted and will record this.

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 Examinations Officer will consult with the Principal (or nominated deputy) 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 Examinations Officer will advise the Invigilator in Charge of the amount of additional time that students are to be permitted. This will be recorded in the Invigilator's Log.

7.7 Collection of examination scripts from the Examinations Officer following the examination

Organisations must publish procedures for the collection of examination scripts by the Module Leader (or nominee).

7.8 Marking of examination scripts

7.8.1 Unless it is unavoidable, for example where a student has recorded an incorrect or incomplete Exam Number on their examination script, members of staff will ensure that students' anonymity 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 students' marks onto a mark sheet, as approved by the Organisation;
- iv passing the completed mark sheet (see 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 Examinations Officer (see section 7.2.5).

7.9 Storage and archiving of examination scripts

Examination scripts will not be returned to students and will be retained by the Organisation in accordance with the regulations and procedures set out in UPR IM11⁹.

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 AS14¹⁰. 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 section Appendix III, UPR AS14¹⁰. Should such allegations be proven, the University reserves the right, at its sole discretion, to impose any of the penalties set out in section Appendix III, UPR AS14¹⁰.

⁹ UPR IM11 'Records Management and the Archiving and Retention of Prime Documents and Business Records'

¹⁰ UPR AS14, Appendix III 'Academic Integrity and Academic Misconduct'

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 student is in possession of unauthorised material during an examination, they have the right to confiscate the material immediately.
- ii The Invigilator will contact the Examinations Officer (or their representative) immediately to report the alleged offence.
- iii The student will normally be allowed to continue with the examination without prejudice to any subsequent decision of the Module Board of Examiners.
- iv The student will be informed at the end of the examination, normally by the Examinations Officer (or nominee), that a report of the incident will be submitted to the Academic Conduct Officer (see Appendix III, UPR AS14¹⁰).
- v The Invigilator and the Examinations Officer 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 Examinations Officer to the Academic Conduct Officer within one (1) working day of the incident.

8.2.2 Other offences

- i The procedures set out in section 8.2.1, ii – v, will be followed.
- ii The Invigilators 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 marking

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

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 plagiarised or the result of collusion.
- 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 Academic Conduct Officer 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 AS11¹ and UPR AS14².

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 AS14¹¹.

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 AS14²).

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 AS14²).

9.4 Module Boards of Examiners

9.4.1 The Examinations Officer or Clerk to the Module Board of Examiners, as appropriate, will ensure that the Module Board of Examiners has available to consider:

- i the relevant marked examination scripts and mark sheets from the Internal Examiner(s) (see section 7.8.2, iv);
- ii a report detailing the individual students and their grades;
- iii the mark sheets received from the Internal Examiner(s), if required;
- iv the marked examination scripts, 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, AS14⁵).

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

¹¹ UPR AS14 · Appendix II 'Clerks to Boards of Examiners'

- i The Assistant Registrar (Student Administration – Collaborative Partnerships) 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 Assistant Registrar (Student Administration – Collaborative Partnerships), 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 E9a 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 students' names
 - a The names of the students on the Award Pass List (see section 9.5.4, i) must be identical to those by which students are registered with the University and which appear on the University's Student Record System.
 - b Students must be registered in their full legal name as defined in a document provided by a Government Agency (eg passport). Initials and abbreviations should not be used other than in cases where these have been adopted legally by the student.
 - c Any changes of name, for example, as a result of a change in marital status, must be notified by the student to the Examinations Officer, prior to the date of the Programme Board of Examiners meeting and must be accompanied by confirmatory legal evidence. The Examinations Officer will notify the Clerk to the Programme Board of Examiners prior to the meeting of the Board and will provide them with the confirmatory legal evidence. Students 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 the Examinations Officer to pass this information to the Assistant Registrar (Student Administration – Collaborative Partnerships) so that students' records on the University's Student Record System can be amended.
 - 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 A student must 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.
 - g Names will appear in the format as defined in a document provided by a Government Agency (eg passport).
- ii Students who will be considered by the Board
Only the 'Programme Board of Examiners Report' will be used to identify students who are eligible for an award.
 - iii 'Programme Boards of Examiners Reports'

'Programme Boards of Examiners Reports' will be generated and prepared for Programme Boards of Examiners meetings in the format stipulated in section 9.5.2, iii. The responsibility for this will be agreed between the Examinations Officer and the Assistant Registrar (Student Administration – Collaborative Partnerships).
 - 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 FR06¹² 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, vi, d).
 - v Absence of an External Examiner from a Board meeting

(See section 9.3.)

¹² UPR FR06 'Corporate Governance and Financial Regulations'

9.5.2 Preparations for a Programme Board of Examiners meeting

i Draft E10 form

The Assistant Registrar (Student Administration – Collaborative Partnerships) (or nominee):

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 sections 9.5.1, iii and 9.5.2, iii).

iii Format of a Programme Board of Examiners Report

Each report will:

list the students, in alphabetical order, with all the modules (and the grades that they have achieved - including fail grades) that they have undertaken in the pursuance of the award for which they are being considered.

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 students 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

a The official Award Pass List is the list produced in accordance with the requirements of section 9.5.4, v.

b The Clerk will supervise the production of any Award Pass Lists which the Organisation may be required to produce.

ii The Award Pass List:

a together with the Programme Board minutes, is the formal record of the University awards which have been approved by a Programme Board of Examiners;

b must include the names of all of the students recommended for an exit award by a Programme Board of Examiners, listed either in alphabetical, course instance or award order.

iii Exit awards

The exit award shown on the Award Pass List will normally be the final award for the student's programme of study (for example, Master's Degree, Bachelor's Degree with Honours, Foundation Degree) unless: the student decides to finish studying at an intermediate stage of their programme or the student has reached their ultimate level of attainment at an interim award stage, in which case the final (exit) award could be any of the undergraduate or taught postgraduate awards listed in UPR AS11¹.

iv Format and content of Award Pass Lists

Award Pass Lists will conform to the following requirements:

- a students must be listed either in alphabetical, course instance or award order;
- b the student's full name, as recorded on the University's Student Record System, must be used, family name first followed by all forenames (initials or abbreviations must not 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.

Students who have been awarded prizes must be listed separately under an appropriate heading.

v Approval of Award Pass Lists

Following Boards of Examiners, an official University Pass List will be produced by the Assistant Registrar (Student Administration – Collaborative Partnerships) using the University's Student Record Systems.

Each University 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 Assistant Registrar (Student Administration – Collaborative Partnerships) (who in doing so confirms that the document has been checked and the information contained in it is full and correct).

vi 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 Assistant Registrar (Student Administration – Collaborative Partnerships):

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 (see section 9.5.1, iii).
- e a copy of the E10a form should be sent to the School's designated Academic Services Officer (AQA).

10 Publication of Results

(See section C3.6, UPR AS14².)

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 Lists of referrals/deferrals and failures

These lists must not be displayed on student notice boards and should be regarded as confidential.

10.1.3 Notification of results to students

The Assistant Registrar (Student Administration – Collaborative Partnerships) will ensure that following the conclusion of the process described in section 9.5.4, i – v (inclusive), each student 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 AS14², gives additional information concerning the publication of results.)

10.1.4 Award Pass Lists

The Examinations Officer and/or Assistant Registrar (Student Administration – Collaborative Partnerships) 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 Assistant Registrar (Student Administration – Collaborative Partnerships);

(Note for guidance:

The original Award Pass List is subsequently placed in the Minute Book (see section 3.2, Appendix II, UPR AS14¹¹). 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 Director of Academic Services.

10.1.5 Issuing of Transcripts from the University's Student Record System

The Assistant Registrar (Student Administration – Collaborative Partnerships) will ensure that:

- i following the conclusion of the process described in section 9.5.4, i – iv (inclusive), each student who is exiting the programme with an award is issued with a Transcript, generated by the University's Student Record System on University Transcript paper;
- ii the Transcript is accompanied by required supplementary information, available from the Academic Registrar (or nominee).

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

10.1.6 Transcripts which cannot be produced from the University's 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 University's Student Record Systems.

In these circumstances, the Assistant Registrar (Student Administration – Collaborative Partnerships) is responsible for ensuring compliance with the following requirements when producing Transcripts for students from Partner Organisations.

- 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 student has completed successfully;
 - e any awards for which the student 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 the Office of the Academic Registrar (or nominee).

10.1.7 Data Protection and the disclosure of marks/results

The United Kingdom's Data Protection Act 2018 and General Data Protection Regulations 2018 gives individuals right of access to any personal information that is held about them both on computer and within structured manual filing systems. Organisations will ensure compliance with equivalent legislation in their respective countries.

10.2 Prizes

(See Appendix IV, UPR AS13¹³.)

11 Queries about recommendations or decisions on assessment, progression and awards (including appeals)

The Principal will ensure that the Organisation publishes appropriate University procedures whereby students may raise queries concerning recommendations or decisions on assessment, progression and awards (including appeals procedures) (see section 5, Appendix I, UPR AS13⁷).

¹³ Appendix IV UPR AS13 'Prizes'

12 The conferment and certification of awards

12.1 Conferment of Awards

12.1.1 The Director of 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.

12.1.2 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 student 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.

12.2 Certificates and duplicate award certificates

12.2.1 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 Associate Director.
- ii Certificates for Supervised Work Experience for sandwich degrees will be prepared by the Assistant Registrar (Student Administration – Collaborative Partnerships) and signed by the Chair of the appropriate Board of Examiners. The Assistant Registrar (Student Administration – Collaborative Partnerships) will ensure that the certificates are provided to the Associate Director who will then issue them on the University's behalf.

12.2.2 Format of certificates

Certificates for all awards listed in UPR AS11, 'Schedule of Awards':

- i Will bear the University crest reproduced in full colour and will be signed by the Vice-Chancellor.
- ii 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)'.

- iii Where the award is not in the sandwich mode the word 'sandwich' will be omitted (see section 12.2.2, ii).
- iv Where the award is achieved after a student has followed a degree only programme, there is no classification for the award.
- v Programmes for which there is no approved title, for example, those programmes approved under the University's Credit Accumulation and Transfer Scheme (CATS), will be described only as an 'approved programme'.

12.2.3 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 duplicates to any person to whom an original certificate has already been issued other than in the circumstances described in section 12.2.3, ii - iv.
- ii If a certificate is lost or destroyed, a duplicate 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 duplicate certificate must be made on the appropriate form which can be obtained from the Associate Director. The applicant must, in addition, provide the Associate Director 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 duplicate to the University in the event that the original is found and either:
 - b a cheque for the prescribed fee made payable to 'University of Hertfordshire' drawn against an account with a bank in the United Kingdom,
or
a Banker's Draft in sterling for the prescribed fee, to be drawn against an account with a bank in the United Kingdom.

13 Graduation Ceremonies for the presentation of graduates who have received degrees and diplomas

13.1 General regulations

- 13.1.1 Agreements between the University and the Organisation regarding responsibility for and attendance at graduation ceremonies are individually negotiated and specified in Memoranda of Agreement.
- 13.1.2 The Organisation must publish their procedures for ceremonies for the presentation of graduates who have received degrees and diplomas.
- 13.1.3 Students graduating with an award undertaken at a Partner Organisation are not eligible to attend ceremonies organised by the University of Hertfordshire.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2023**

Alternative format

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