



## University of Hertfordshire

---

### Academic Regulations for Undergraduate and Taught Postgraduate Programmes

---

## **INTRODUCTION**

This edition of the Handbook contains the University's key regulatory documents (University Policies and Regulations (UPRs)) relating to undergraduate and taught postgraduate studies, amended or endorsed by the Academic Board for the Academic Year 2017-2018. Please consult individual documents for detailed information concerning their scope and dates of effect.

## **NOTES FOR PARTNER ORGANISATIONS**

The UPRs included in this Handbook incorporate institutionally agreed notes to assist Partner Organisations.

## **DISTRIBUTION OF THIS HANDBOOK**

This Handbook will be distributed widely within the University, to External Examiners and to Partner Organisations. Further copies are available on request from the Head of Governance Services (Telephone: 01707 284000).

The 2017-2018 Handbook is also published on-line at the following location:

*<https://www.herts.ac.uk/about-us/corporate-governance>*

The UPR series (which includes the individual documents incorporated within this Handbook) is published on-line at the following location:

*[http://sitem.herts.ac.uk/secreg/upr\\_azlist\\_info.htm](http://sitem.herts.ac.uk/secreg/upr_azlist_info.htm)*

## **FURTHER ENQUIRIES**

Further enquiries concerning this publication and its contents should in the first instance be directed to the Head of Governance Services (Telephone: 01707 284000).

Mrs S C Grant  
Secretary and Registrar  
1 September 2017

### **Important notice**

Although reasonable efforts have been made to ensure that the information contained in this publication was correct at the time of going to press, the University of Hertfordshire Higher Education Corporation does not warrant its accuracy and disclaims any liability to any third party anywhere in the world for any injury, damage, direct or indirect loss, consequential or economic loss, or any other loss suffered as a result of the use or reliance upon the information contained in this publication to the maximum extent permitted by the law.

<b>CONTENTS</b>	<i>Page:</i>	<i>Page:</i>	
<b>Student Code of Conduct</b> <i>UPR SA01</i>	1	<b>ASSESSMENTS, EXAMINATIONS AND CONFERMENTS</b> <i>For University-delivered provision Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments</i> (University-Delivered Provision) <i>UPR AS12</i>	191
<b>Statement of Responsibilities and Commitments</b> <i>UPR SA01, Appendix I</i>	3		
<b>Drug and Alcohol Misuse by Students</b> <i>UPR SA11</i>	9		
<b>Learning and Teaching Policy and Graduate Attributes</b> <i>UPR TL03</i>	10	<b>Assessments and Examinations - Regulations for Candidates (Including Requests for the Review of Examination Decisions (Appeals Procedure)</b> (University-Delivered Provision) <i>UPR AS12, Appendix I</i>	223
<b>Studies Involving the Use of Human Participants</b> <i>UPR RE01</i>	14		
<b>Protocol for Reflective Practitioner Work by Academic Staff</b> <i>UPR RE01, Appendix I</i>	26	<b>Assessments and Examinations - Candidates with Disabilities or other Additional Needs</b> (University-Delivered Provision) <i>UPR AS12, Appendix II</i>	242
<b>Ethics Committees with Delegated Authority</b> <i>UPR RE01, Appendix II</i>	32	<b>Invigilators - Role and Responsibilities</b> (University-Delivered Provision) <i>UPR AS12, Appendix III</i>	247
<b>Student Attendance Regulations</b> <i>UPR SA06</i>	41	<b>Prizes</b> (University-Delivered Provision) <i>UPR AS12, Appendix IV</i>	251
<b>Student Withdrawal Regulations</b> <i>UPR SA14</i>	45		
<b>Admissions - Undergraduate and Taught Postgraduate Students</b> <i>UPR SA03</i>	50	<i>For Partner Organisation-delivered provision:</i> <b>Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments</b> (Partner Organisation-Delivered Provision) <i>UPR AS13</i>	254
<b>Student Mental Health</b> <i>UPR EQ07</i>	66		
<b>Schedule of Awards</b> <i>UPR AS11</i>	70	<b>Assessments and Examinations - Regulations for Candidates (Including Requests for the Review of Examination Decisions (Appeals Procedure))</b> (Partner Organisation-Delivered Provision) <i>UPR AS13, Appendix I</i>	282
<b>Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes</b> <i>UPR AS14</i>	95	<b>Assessments and Examinations - Candidates with Disabilities or other Additional Needs</b> (Partner Organisation-Delivered Provision) <i>UPR AS13, Appendix II</i>	298
<b>Chairmen of Boards of Examiners - Role and Terms of Reference</b> <i>UPR AS14, Appendix I</i>	135	<b>Invigilators - Role and Responsibilities</b> (Partner Organisation-Delivered Provision) <i>UPR AS13, Appendix III</i>	301
<b>Clerks to Boards of Examiners - Role and Responsibilities</b> <i>UPR AS14, Appendix II</i>	137		
<b>Assessment Offences</b> <i>UPR AS14, Appendix III</i>	141	<b>Prizes</b> (Partner Organisation-Delivered Provision) <i>UPR AS13, Appendix IV</i>	304
<b>Academic Quality</b> <i>UPR AS17</i>	149		

## STUDENT CODE OF CONDUCT<sup>1</sup>

### SUMMARY OF PRINCIPAL CHANGES

#### General changes

The document has been reviewed and is re-issued without amendment.

- 1 Our University is a student-focussed and diverse community of students and staff who work and study together closely and it is important that they are able to do so without disruption. The student community includes those enrolled on short courses; on undergraduate, taught postgraduate and Continuing Professional Development programmes; and those registered for research degrees.
- 2 The University has a fair admissions policy and aims to be responsive to all applicants and to provide pre-entry information that is appropriate. All students are able to use the high quality learning and teaching facilities and support services that we provide and are encouraged to participate actively in the work of the University through committee membership. There are well-established processes through which students may raise queries and complaints. Fuller information is given in the Statement of Responsibilities and Commitments (Appendix I, UPR SA01<sup>2</sup>, refers).
- 3 This Code of Conduct is intended to clarify the standard of behaviour that the University expects from students when they are at the University and when they go out into the wider community. These standards are enshrined in University regulation. Where this Code appears to conflict with University regulation, the latter will take precedence. The examples given in this Code are illustrative and are not an exhaustive list.
- 4 As a student we expect you:
  - i to commit to all elements of your programme of study, recognising that a full-time course requires the equivalent of a minimum **40** hours per week study time;
  - ii to be punctual in your attendance and to meet deadlines  
(persistent, unexplained, late arrival at, or early departure from, lectures, seminars, tutorials and practicals is not acceptable);
  - iii to be attentive in class  
(electronic devices other than those necessary for the session must be switched off for the entire period of the lecture, seminar, tutorial or practical, in particular, using your mobile telephone, texting or sending recordings/images is not acceptable;  
any other form of behaviour which could reasonably be regarded as disruptive or offensive is also not acceptable);
  - iv to ensure that you do not behave in a disruptive manner either on or off campus  
(the University considers disruptive, inconsiderate or offensive behaviour (including such behaviour in the on-line 'environment') to be a breach of discipline);

<sup>1</sup> Academic Board Minutes: 574.3, 11 March 2009; 9, 16 March 2011; 123, 14 March 2012; 359.5.2, 1 March 2014, refer.

<sup>2</sup> Appendix I, UPR SA01 'Statement of Rights and Responsibilities'

- v to be responsible for the good behaviour of any guests that you invite to the University  
(children are not permitted to attend timetabled learning and teaching activities, including lectures, seminars and other teaching activities);  
unless you have obtained permission beforehand, you are not allowed to bring visitors to timetabled learning and teaching activities, including lectures, seminars and other teaching activities);
- vi to be respectful and polite to fellow students, staff and others visiting or working on campus;
- vii to recognise and respect the cultural diversity of the University and take no action that might undermine the principles of cultural tolerance within our community;
- viii to uphold the good name and reputation of the University in your off-campus activities, exercising respect and tolerance in the wider community;
- ix not to behave in ways that bring the University into disrepute;
- x to carry your University Identity Card at all times when you are on campus (individuals without cards will be asked to leave campus);
- xi neither intentionally nor negligently to damage or misuse or make unauthorised use of University premises, property or equipment;
- xii to comply with the University's Health and Safety policies and regulations, to take reasonable care of your health and safety and not to endanger the health or safety of others;
- xiii to be personally responsible for your actions and behaviour and to comply with all University regulations, including this Code of Conduct (the University may take disciplinary action should you fail to do so);
- xiv to comply with the law at all times and report to the relevant authorities any incidents that you may witness.

In return you become a welcome member of our community, entitled to all of the rights and privileges associated with that membership which are summarised in the Statement of Responsibilities and Commitments<sup>2</sup>.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## STATEMENT OF RESPONSIBILITIES AND COMMITMENTS <sup>1</sup>

### SUMMARY OF PRINCIPAL CHANGES

#### General changes

The document has been reviewed and is re-issued without amendment.

---

## 1 INTRODUCTION

This Statement summarises the responsibilities and commitments of students and staff which are essential for the continued success of the University of Hertfordshire community<sup>2</sup>. It should be read in conjunction with the Student Code of Conduct<sup>3</sup>.

## 2 SCOPE

The Statement applies to all members of staff and all students, regardless of their mode of study, who are following taught programmes or programmes of research training which lead to awards of the University and which are provided at the University of Hertfordshire.

## 3 COMMITMENTS AND RESPONSIBILITIES

### 3.1 The student and staff community

Our University is a student-focused, multi-ethnic community of students and staff who work and study together closely and it is important that they are able to do so without disruption. The student community includes those enrolled on undergraduate, taught postgraduate and Continuing Professional Development programmes and those registered for research degrees.

### 3.2 The local and wider community

The University of Hertfordshire takes seriously its responsibilities to the local and wider community, recognises its broader social responsibilities as a Higher Education institution and is committed to upholding, through its aims, objectives and mission, certain standards and values. The University shall at all times be entitled to uphold and protect its good name and reputation and, therefore, reserves the right to take disciplinary action against students where there is reason to believe that they may have breached University regulations or brought the University into disrepute through their behaviour on University premises or elsewhere.

### 3.3 Equality and Diversity and Access to the University of Hertfordshire

#### 3.3.1 The University is committed to being an equal opportunities educational institution and seeks to create a climate of equality of opportunity in the process of recruitment and selection of students and in the provision of education.

---

#### Note 1 for Partner Organisations (UK and overseas)

<sup>1</sup> The Statement of Responsibilities and Commitments does not apply to Partner Organisations.

<sup>2</sup> Terminology - This document uses the terminology set out in UPR GV08 'Terminology – Glossary of Approved University Terminology'

Approval - Academic Board: Minutes 724.4, 15 March 2000; 795.2, 14 March 2000; 867.2, 6 March 2002; 956, 5 March 2003; 62.2, 10 March 2004; 155.2, 9 March 2005; 257.3.2, 1 March 2006; 369, 7 March 2007; 574.3, 11 March 2009, 9, 16 March 2011; 123, 14 March 2012; 359.5.2, 12 March 2014, refer.

Board of Governors: Minute 424, Board of Governors, 30 March 2000, refer.

Disclaimer - The University of Hertfordshire disclaims its liability to the fullest extent permitted by law in accordance with the notice published in the University Prospectus a copy of which may be viewed on-line via: <http://www.herts.ac.uk/>

<sup>3</sup> UPR SA01 'Student Code of Conduct'

3.3.2 The University's commitment to equal opportunities is set out in its Equality and Diversity Policy<sup>4</sup>. The University aims to ensure that no-one receives less favourable treatment because of characteristics protected by UK legislation<sup>5</sup> or because of family or care responsibilities, social class, trade union activity, being an ex-offender or other unreasonable grounds.

#### **3.4 Pre-entry information**

3.4.1 The University will:

- i provide a statement of its taught courses, research training programmes, entry requirements and facilities in the appropriate University prospectus, electronic media and other relevant promotional material;
- ii make available not less than four (4) months prior to registration, information concerning those fees which are determined by the University and any concessionary rates, grants, bursaries and scholarships which are available;
- iii provide outline timetables for taught full-time and sandwich courses at the time of registration, although it should be noted that this information may be subject to change;
- iv by the time of registration, provide information for applicants concerning tuition fees agreed with agencies outside the University, such as the Higher Education Funding Council for England and any concessionary rates, grants, bursaries and scholarships that are available;
- v by the time of registration, provide information concerning other costs such as those for car parking and Universitybus (Uno) fares;
- vi provide applicants with information concerning the cost and availability of University-controlled student residential accommodation.

3.4.2 Students are expected to:

- i familiarise themselves with the relevant pre-entry information and
- ii have sufficient funds to meet their financial commitments;
- iii have met, as necessary, any visa and other requirements of the UK Visa Agency (UKVI).

#### **3.5 A fair admissions policy**

3.5.1 The University will:

- i treat all applicants fairly and consider applications in accordance with the relevant published criteria and procedures;
- ii offer Open Days to applicants who wish to visit the University prior to admission;
- iii at all stages of the admissions process, make decisions on offers and/or interviews as rapidly as possible;

---

<sup>4</sup> UPR EQ03 'Equality and Diversity Policy'

<sup>5</sup> **Equality Act 2010 – Protected Characteristics**

The following are defined as protected characteristics by the Act:  
age, disability, gender reassignment, marriage/civil partnership status, pregnancy or maternity, race, religion or belief, sex and sexual orientation.

- iv send information about University-controlled student residential accommodation to applicants intending to study full-time once they have confirmed their acceptance of a place;
  - v make joining information available electronically for new entrants before their arrival at the University (information for students enrolling on Continuing Professional Development programmes may not be available electronically).
- 3.5.2 Applicants are expected to:
- i provide full and accurate information in a timely manner during the application process;
  - ii honour their commitment to the University if they have accepted an offer of a place.

### **3.6 Learning, teaching and research – taught programmes**

- 3.6.1 The University will:
- i ensure staff have the appropriate expertise and experience to deliver the courses on which students are enrolled;
  - ii provide appropriate facilities for learning;
  - iii provide appropriate IT facilities, laboratory accommodation and equipment to support students' learning;
  - iv provide up-to-date and well-equipped Learning Resources Centres;
  - v ensure that:
    - a staff specify assignment tasks clearly and make information available to students about the criteria that will be used to assess their performance and determine the grades which are to be awarded;
    - b staff mark students' work fairly and that they give constructive feedback on assessed coursework;
    - c students' coursework is returned to them together with feedback no later than four (4) calendar weeks after the submission deadline<sup>6</sup> unless the work is of an on-going nature, such as a major project or dissertation, in which case, supervising staff will ensure that students are provided with feedback at interim stages;
    - d when timetabling in-course assessments, staff will, where practicable, have regard for other assessment deadlines which students are being set;
    - e examinations and assessments are held in appropriate surroundings;
    - f with the exception of 'out-of-time' examinations which are timetabled on an individual basis, re-sit examinations and assessments set in the first four (4) weeks of the Semester, the dates of examinations and assessments are published four (4) weeks before they are due to take place.

- 3.6.2 Students following taught programmes are expected to:

- i attend and participate, as appropriate, in their lectures, tutorials, workshops, laboratory and other timetabled classes and to be punctual;

---

<sup>6</sup> Any exceptions to this must be agreed by the relevant Associate Dean of School (Academic Quality Assurance) or the Associate Dean of School (Learning and Teaching), and notified to students in advance of the expiration of the four week period.

- ii as required by the Student Code of Conduct<sup>3</sup>, behave in an acceptable and considerate way during lectures, tutorials and all other activities concerned with the learning experience held either at the University or elsewhere, for example, field trips or clinical or practice placements;
- iii comply with the University's Health and Safety regulations, particularly when using equipment and potentially hazardous materials and whilst working in laboratories;
- iv undertake on their own and in untutored groups, the amount of study specified in the Definitive Module Document for each of the modules for which they are registered;
- v complete and hand in all assignments by the relevant published deadline;
- vi give responsible feedback on their learning experience when asked, for example, through the National Student Survey;
- vii ensure that they comply with those University regulations which have particular relevance within the context of learning and teaching, especially those relating to cheating, plagiarism, other academic misconduct, ethics, examinations and assessments;
- viii comply with any external regulations affecting their studies.

### **3.7 Programmes of research training**

#### **3.7.1 The University will:**

- i appoint a supervision team with appropriate subject expertise and experience of supervising research students to a successful research degree submission;
- ii allocate appropriate resources to support the programme of research training;
- iii provide the opportunity for the student to undertake research training in a supportive environment;
- iv provide opportunities for training in generic and discipline-specific research skills and methodology;
- v ensure that the student registers on a programme of research training that can be achieved in the normal completion times;
- vi ensure that research degree supervisors give constructive feedback on research students' progression assessments and draft thesis or portfolio chapters;
- vii ensure that oral examinations for research degrees are conducted by appropriately qualified examiners.

#### **3.7.2 Research students are expected to:**

- i undertake their research in accordance with national ethical and professional standards;
- ii give research seminars on the progress of their research in accordance with School policies;
- iii submit regular progress reports to their supervisors in accordance with a jointly agreed timetable;

- iv comply with the University's Health and Safety regulations, particularly when using equipment and potentially hazardous materials and whilst working in laboratories;
- v ensure that they comply with University regulations, especially those relating to cheating, plagiarism, other academic misconduct, ethics, examinations and assessments;
- vi assign the intellectual property rights of their research to the University where this is required by the relevant University regulations.

### **3.8 Services and facilities**

#### **3.8.1 The University will:**

provide access to a range of services and facilities additional to normal academic provision. These will be set out in detail in 'A-Z of the University of Hertfordshire' published to students each September.

#### **3.8.2 Students will:**

- i use these services and facilities in accordance with the relevant University regulations and the operational guidelines established by the Head of each service;
- ii take reasonable precautions to protect themselves and their personal property;
- iii carry their University Identity Cards whilst on University premises;
- iv for all on-campus taught programmes, record attendance at least once each week using the appropriate mechanism provided by the University;
- v for research students, record attendance as stipulated in the Research Degrees Handbook;
- vi ensure their personal details are kept up-to-date on the University's systems;
- vii take responsibility for regularly checking their communications from the University, including e-mail and StudyNet.

### **3.9 Student Engagement**

#### **3.9.1 The University will:**

work in partnership with the student body and Students' Union to provide a range of opportunities for students to engage in the enhancement of their student experience. Mechanisms involving students include surveys, student discussion fora and student representation. Representatives of the Students' Union have assured places and the opportunity to have an active role on the Board of Governors, the Academic Board and where appropriate, on committees of these two Boards. Within Schools, student representatives will have places on Programme Committees and, as appropriate, on other School committees and groups.

#### **3.9.2 The Executive of the Students' Union will:**

work in partnership with the University to ensure effective student engagement and representation. This includes electing representatives from the student body, consisting of an agreed number of full-time remunerated student officers.

### **3.10 Queries and complaints**

#### **3.10.1 The University will:**

- i provide defined policies and procedures to enable students to take forward any queries, complaints or appeals that they may have whether of an academic or non-academic nature;
- ii endeavour to resolve all issues informally and at a local level, with formal processes being reserved only for those occasions where this has not been possible.

### **3.11 Conduct**

#### **3.11.1 Members of staff will:**

- i at all times act in a professional manner in their dealings with students and with respect to punctuality;
- ii be available at stated times, to deal with any queries, concerns and other matters raised by students.

#### **3.11.2 Students will:**

have agreed, at registration, to comply with University regulations which include the Student Code of Conduct<sup>3</sup>. University regulations are published as a series of documents called 'University Policies and Regulations' (UPRs) and may be viewed on-line at the following location:

<http://www.herts.ac.uk/secreg/>

### **3.12 Monitoring**

**3.12.1** The University's provision, outlined in this Statement, and its operation, are monitored internally by the Dean of Students by various means, including the National Student Survey, Module Feedback Questionnaire and School annual reports.

**3.12.2** Externally, the University will be monitored through independent reviews carried out by the Quality Assurance Agency, OFSTED and, where appropriate, other agencies.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## DRUG AND ALCOHOL MISUSE BY STUDENTS

### SUMMARY OF PRINCIPAL CHANGES

#### General changes

The document has been reviewed and is re-issued without amendment.

### POLICY STATEMENT

- 1 The University of Hertfordshire takes very seriously its legal responsibility for the health, safety and welfare of all its students, and is committed to promoting a supportive learning environment that will enable all of them to fulfil their potential.
- 2 The University of Hertfordshire operates a policy of zero tolerance in relation to the supply of illegal drugs. Whether alleged or proven, cases involving the supply of illegal drugs (dealing) will be referred to the Police. The student concerned will also be subject to disciplinary action.
- 3 The use of illegal drugs will be reported to the Police. The student concerned will also be subject to disciplinary action.
- 4 Encouraging others to take drugs is a disciplinary offence.
- 5 The University of Hertfordshire operates a policy of zero tolerance in relation to the excessive use of alcohol and students who abuse alcohol in this way will be subject to disciplinary action.
- 6 The following are also disciplinary offences and may also be criminal offences:
  - i encouraging others to misuse alcohol;
  - ii spiking the drinks of others;
  - iii serving alcohol to someone who is already intoxicated;
  - iv serving alcohol to someone who is under age.
- 7 In circumstances where a student's behaviour is persistently troublesome, disruptive or causes risk to others as a result of the misuse of drugs or alcohol, he or she may be required to obtain a medical assessment and/or to agree to seek help with their substance misuse as a condition of continuing with their studies at the University.
- 8 When drug or alcohol misuse threatens or harms others, the welfare of the person against whom that behaviour is directed will take priority. The use of drugs or excessive use of alcohol will not be accepted as justification for threatening or irresponsible behaviour.
- 9 Students should be aware that the misuse of drugs and alcohol could affect their future employment and career. For example, it might mean that they cannot practice as a lawyer, teach or be a Health practitioner.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## LEARNING AND TEACHING POLICY AND GRADUATE ATTRIBUTES<sup>1</sup>

### SUMMARY OF PRINCIPAL CHANGES

#### General changes

Section 4: see text

(Amendments to version **05.0**, UPR TL03 are shown in *italics*.)

### 1 INTRODUCTION

- 1.1 This document sets out the University's policy in relation to learning, teaching and assessment, the principles which underpin it and supersedes all previous versions with effect from 1 September 2017<sup>2</sup>.

### 1.2 Terminology

This document uses the terminology set out in UPR GV08<sup>3</sup>.

### 2 SCOPE

- 2.1 The University's Learning and Teaching Policy and Graduate Attributes apply to all learning, teaching and assessment activities conducted at the University of Hertfordshire and to University of Hertfordshire programmes provided by Partner Organisations. The associated issues of curriculum development are addressed through the processes of validation and periodic review (UPR AS17<sup>4</sup>, refers).
- 2.2 The policy reflects national priorities for Higher Education, including Widening Participation and graduate employability and the requirements of legislation and relevant University policies and regulations such as those concerning equality and diversity, individuals' rights and institutional duties to promote equality.

### 3 UNIVERSITY OF HERTFORDSHIRE GRADUATE ATTRIBUTES

- 3.1 The University is committed to providing a culturally enriched and research-informed educational experience that will transform the lives of its students. Its aspiration for its graduates is that they will have developed the knowledge, skills and attributes to equip them for life in a complex and rapidly changing world.
- 3.2 In addition to their subject expertise and proficiency, the University's graduates will have the following attributes:

<sup>1</sup> Note 1 for collaborative institutions (UK and overseas)

Partner Organisations to which the University franchises programmes are expected to subscribe to the attainment of the University's Graduate Attributes and Learning, Teaching and Assessment Principles which are set out in section 3 of UPR TL03. Partner Organisations must have a local mechanism for the implementation of these policies and principles - and for the monitoring and evaluation of that implementation - within those programmes franchised to them by the University. It is also expected that institutions will have an appropriate learning and teaching strategy to support the policy and principles. Where the University validates a programme designed by a Partner Organisation, the University expects that Organisation to have developed appropriate learning and teaching policies and strategies to give effect to the policy and principles in UPR TL03.

<sup>2</sup> Academic Board Minutes: 241.2.3 and 242, 1 March 2006, 369, 7 March 2007, 489.2, 1 June 2008 and 574.3, 11 March 2009; 123, 14 March 2012; 359, 12 March 2014; 480, 11 March 2015; 621, 22 June 2016 693 15 March 2017, refer.

<sup>3</sup> UPR GV08 'Terminology – Glossary of Approved Terminology'

<sup>4</sup> UPR AS17 'Academic Quality'

### **3.2.1 Professionalism, employability and enterprise**

The University promotes professional integrity and provides opportunities to develop the skills of communication, independent and team working, problem solving, creativity, digital literacy, numeracy and self-management. Our graduates will be confident, act with integrity, set themselves high standards and have skills that are essential to their future lives.

### **3.2.2 Learning and research skills**

The University fosters intellectual curiosity and provides opportunities to develop effective learning and research abilities. Our graduates will be equipped to seek knowledge and to continue learning throughout their lives.

### **3.2.3 Intellectual depth, breadth and adaptability**

The University encourages engagement in curricular, co-curricular and extra-curricular activities that deepen and broaden knowledge and develop powers of analysis, application, synthesis, evaluation and criticality. Our graduates will be able to consider multiple perspectives as they apply intellectual rigour and innovative thinking to the practical and theoretical challenges they face.

### **3.2.4 Respect for others**

The University promotes self-awareness, empathy, cultural awareness and mutual respect. Our graduates will have respect for themselves and others and will be courteous, inclusive and able to work in a wide range of cultural settings.

### **3.2.5 Social responsibility**

The University promotes the values of ethical behaviour, sustainability and personal contribution. Our graduates will understand how their actions can enhance the wellbeing of others and will be equipped to make a valuable contribution to society.

### **3.2.6 Global awareness**

The University fosters discussion of complex and evolving world issues. Our graduates will be confident to act effectively in settings where language and culture are not familiar to them and will have an understanding of international traditions and practices both within, and beyond, their discipline.

## **4 LEARNING AND TEACHING POLICY**

### **4.1 To enable students to achieve the Graduate Attributes and to reflect other local and national priorities for learning, teaching and assessment, the University is committed to promoting and supporting the following principles:**

- i learner-centred and *Technology-Enhanced Learning (TEL)* approaches that encourage active student engagement and provide flexibility in how, when and where students learn;
- ii complementary learning, teaching and assessment practices that are transparent, inclusive and fair and take account of the needs of a diverse student body;
- iii fit-for-purpose curricula that have been developed in conjunction with appropriate stakeholders to enhance the employability of our graduates;

- iv effective mechanisms that enable students to work with staff and other stakeholders in order to ensure that Learning, Teaching and Assessment practices are continuously enhanced;
- v academic and professional staff who are valued, rewarded and supported as scholarly and reflective practitioners in Higher Education;
- vi the provision of high quality virtual and physical learning spaces and excellent learning resources.

## 5 **IMPLEMENTATION, MONITORING AND EVALUATION**

### 5.1 **Role of the Director of Learning and Teaching**

The Director of Learning and Teaching, with the support of the Learning and Teaching Innovation Centre and the Student Educational Experience Committee of the Academic Board, is responsible to the Academic Board and the Deputy Vice-Chancellor for the implementation, further development, monitoring and evaluation of the University's Learning and Teaching Policy and Graduate Attributes.

### 5.2 **Education Operational Plan 2015-2020**

The University's Learning and Teaching Policy and Graduate Attributes will be realised through the Education Operational Plan 2015-2020 which, together with the Learning and Teaching Policy and Graduate Attributes, will be reviewed, by the Student Educational Experience Committee of the Academic Board, every five (5) years. The Committee will make a report to the Academic Board on the outcomes of that process.

### 5.3 **Committee structure of the Academic Board**

#### 5.3.1 Implementation of the University's Learning and Teaching Policy and Graduate Attributes is effected through the following elements of the Academic Board structure.

##### 5.3.2 **Student Educational Experience Committee**

- i The Academic Board has delegated responsibility to its Student Educational Experience Committee for all aspects of the University's Learning and Teaching Policy and Graduate Attributes, other than the approval of amendments.
- ii The Committee will be advised and informed by the Director of Learning and Teaching.

##### 5.3.3 **School Academic Committees**

- i School Academic Committees are responsible for the development of School Action Plans to give effect to the University's Education Operational Plan 2015-2020, Learning and Teaching Policy and Graduate Attributes. These plans and any amendments to them will be received by the Student Educational Experience Committee of the Academic Board which will also note, annually, Schools' progress in relation to their published Action Plans.
- ii Within the overarching framework provided by the School's Action Plan, local strategies may be developed provided that these are consistent with those identified at School level.
- iii Each Dean of School will appoint an Associate Dean of School (Learning and Teaching) to have responsibility for leading learning and teaching developments within the School and, in this regard, the member of staff will report direct to the Dean of School.

**5.4 Responsibilities in relation to individual programmes**

- 5.4.1 As a regular item in annual monitoring and evaluation processes and with reference to the Education Operational Plan 2015-2020, all programmes will evaluate learning, teaching and assessment methods.
- 5.4.2 Feedback from students will be designed to elicit responses about the effectiveness of the learning and teaching they have experienced. This feedback will be evaluated and, where appropriate, will influence future delivery.

**5.5 Individuals engaged in the support of learning**

- 5.5.1 All individuals engaged in the support of learning are expected to take account of the University's Education Operational Plan 2015-2020 and its Learning and Teaching Policy and Graduate Attributes.
- 5.5.2 All academic staff will have the opportunity to contribute to the development of the Learning and Teaching Policy and Graduate Attributes and, throughout their teaching activities, are expected to demonstrate commitment to the learning and teaching principles set out in this document.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## **STUDIES INVOLVING THE USE OF HUMAN PARTICIPANTS<sup>1</sup>**

### **SUMMARY OF PRINCIPAL CHANGES**

<b>General changes</b>	
<b>Section</b>	
8.2, 11.3	see text
14	addition of section on publication of requests for volunteers

(Amendments to version **07.0**, UPR RE01 are shown in *italics*.)

### **Structure**

- 1      **SCOPE**
- 1.8     **Definitions**
- 2      **PURPOSE**
- 3      **ETHICAL STANDARDS**
- 4      **COMPLIANCE**
- 5      **DELEGATED AUTHORITY**
- 6      **TRANSFER OF RESPONSIBILITY**
- 7      **PROCEDURES FOR PROTOCOL APPROVAL**
- 8      **CLASS PROTOCOLS**
- 8.4     **Conducting the studies**
- 8.5     **Types of study suitable for class protocol approval**
- 9      **STUDIES INVOLVING HUMAN PARTICIPANTS UNDERTAKEN WITHOUT AN APPROVED PROTOCOL**
- 10     **BODIES APPROVED BY THE ETHICS COMMITTEE TO GRANT EXTERNAL APPROVALS OF PROTOCOL APPLICATIONS**
- 10.1    **National Health Service**
- 11     **STUDIES CARRIED OUT IN COLLABORATION WITH ANOTHER ORGANISATION**
- 12     **APPLICATIONS REQUIRING CONSIDERATION BY THE HEALTH RESEARCH AUTHORITY (HRA)**
- 13     **REFLECTIVE PRACTITIONER WORK**
- 14     ***PUBLICATION OF REQUESTS FOR VOLUNTEERS TO ENGAGE IN STUDIES INVOLVING HUMAN PARTICIPANTS***

<sup>1</sup> **Notes for Partner Organisations (UK and overseas)**

Programme Specifications contain the following clause which specifies the application of these regulations.

"The programme operates in accordance with the University's Regulations Governing Studies Involving the Use of Human Participants (UPR RE01) agreed from time-to-time by the Academic Board of the University, unless and until responsibility for ethical standards is transferred to a Partner Organisation (section 6, refers). On transfer, the Partner Organisation will be responsible for all insurance liability in connection with the observance of ethical guidelines."

Unless a Partner Organisation has obtained the approval of the Academic Board, through the University's Ethics Committee for Studies Involving the Use of Human Participants, to have responsibility transferred to it for the ethical conduct of studies involving Human Participants, all protocols must be applied for and monitored through the relevant Ethics Committee with Delegated Authority. The *member of staff involved in the assessment process* will liaise with the Chairman of the appropriate ECDA to assist in the identification of those studies which might need ethics approval and to advise on the application of the procedures in bringing protocol applications forward to the relevant University ethics committee. Those organisations wishing to apply for transferred responsibility should refer to section 6.

## 1 SCOPE

- 1.1 These regulations apply to any study involving the use of Human Participants which is undertaken as part of a programme of work for which the University of Hertfordshire is responsible.
- 1.2 Where the relevant programme of work is offered in collaboration with another organisation there is a requirement that these regulations apply in cases where the University of Hertfordshire is the lead institution and takes responsibility for providing ethical clearance.
- 1.3 Throughout these regulations 'University' must be read as including those organisations with which the University has a formal collaborative agreement and the regulations be so applied, unless and until the University has transferred responsibility for ethical standards to a Partner Organisation, either within the United Kingdom or abroad, or there is a legal requirement to obtain ethical approval.
- 1.4 Partner Organisations seeking transferred responsibility should refer to section 6.
- 1.5 These regulations apply to all studies falling within the scope of section 1.1 including:
  - i studies conducted at every level;
  - ii all studies which include the use of questionnaires and/or interviews conducted either as part of a group or class programme or as individual project work;
  - iii all studies which use University employees and/or students as Human Participants in a programme of study and those which use members of the public;
  - iv all studies sanctioned by the University and conducted on University premises or elsewhere.
- 1.6 Those required to comply with these regulations include University employees, University students and researchers contracted or invited to work within the University.
- 1.7 It is the responsibility of the appropriate members of the University's academic staff to ensure that students for whom they are responsible are made aware of and comply with the University's regulations governing studies involving the use of Human Participants (UPR RE01).
- 1.8 **Definitions**

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

  - i 'Ethics Committee':  
the Ethics Committee for Studies Involving the Use of Human Participants of the Academic Board;
  - ii 'ECDA':  
Ethics Committee with Delegated Authority.
- 1.9 The regulations and procedures set out in this document have been approved by the Academic Board<sup>2</sup>.

---

<sup>2</sup> **Academic Board Minutes:** 684.2, 16 June 99; 731, 15 March 2000; 795.2, 14 March 2001; 867.2, 6 March 2002; 943.2, 5 March 2003; 40.2, 10 March 2004; 155.2, 9 March 2005; 241.2.1, 1 March 2006, 346.2.3, 3 June 2007, 479, 12 March 2008, 574.3, 11 March 2009; 667, 10 March 2010; 156 and 159.5, 20 June 2012; Minute 282, 19 June 2013; 359, 12 March 2014; 480, 11 March 2015; 621, 22 June 2016, refer

## **2 PURPOSE**

- 2.1 The purpose of these regulations is to ensure, as far as possible, that any study involving the use of Human Participants is conducted in accordance with proper ethical standards.
- 2.2 These standards require that any member of the academic staff responsible, either directly or as a supervisor, for any study involving the use of Human Participants takes reasonable steps to ensure that:
- i the study is well designed (section 4.2, refers);
  - ii there is an identifiable objective benefit, which may include the training of researchers, to be gained from the participation of Human Participants in the study (section 4.2, refers);
  - iii the work is conducted in accordance with UPR HS01<sup>3</sup>, which may require a risk assessment to be undertaken and the outcome of that assessment incorporated within a protocol for conducting the work safely or used as a basis for determining the appropriate approved School safety procedures to be adopted (section 4.2, refers).
- 2.3 In particular, these standards are defined in order to ensure that:
- i participants are safeguarded against procedures which may be harmful to them, including physical harm, mental or emotional harm, intrusion of their privacy or exploitation;
  - ii where there is a risk of harm, investigators are expected to take reasonable steps to avoid or minimise harm to participants and to ensure that where any participants do suffer harm, appropriate or professional care will be available promptly, in sufficient quantity, and at no cost to participants;
  - iii confidentiality is maintained in respect of the identity of those participating in a study and also in respect of any personal information which participants may disclose in the course of the study;
  - iv participants understand the nature of the study which is to be undertaken and their involvement in it and have given *informed* consent to their own participation and that, where participants are unable to give *informed* consent themselves, consent is obtained from a person recognised as having authority to give that consent;
  - v participants are informed that they may withdraw from the study at any time without disadvantage and without having to give a reason;
  - vi the purpose of any payment or other reward offered to a participant is to compensate him or her for inconvenience or expense and that it does not constitute an inducement to submit to risk which the participant would otherwise decline;
  - vii where a collaborative, commercially-oriented sponsor wishes to make payments or offer other rewards direct to participants, the relevant ECDA satisfies itself that the level of payment or the reward is justifiable and consistent with the sponsor's normal practice.

---

<sup>3</sup> UPR HS01 'Corporate Health and Safety Policy'

**(Note:**

Human Participants resident in the UK, to whom payment is to be made or who are to receive other rewards, must undergo right to work checks, prior to taking part in the study, in accordance with current Home Office regulations and will not be permitted to participate in a study where this would place them in breach of Home Office regulations.)

- 2.4 Exceptionally, a study may be approved where the consent of the participant(s) is not sought or obtained. Any study so proposed would be required to include full reasons as to why consent was not being sought and the committee approving such a proposal would be obliged to record the terms and limitations on which such an approval was granted.

- 2.5 A further purpose of these regulations is to satisfy the requirements of the University's insurers that the University has adopted proper ethical standards in respect of any study involving the use of Human Participants and that procedures exist within the University to enforce those standards.

**3 ETHICAL STANDARDS**

- 3.1 In determining the standards which should apply to studies carried out within these regulations, investigators and supervisors are required to observe:
- i relevant statutory provisions;
  - ii standards laid down by the University itself;
  - iii any codes of conduct appropriate to the discipline or profession within which any study is being carried out;
  - iv any other specified standard identified within an application for approval and agreed by those granting approval for the study to be undertaken.

- 3.2 Where there is any conflict between the standards identified in section 3.1, ii, iii and iv above, it will be for those granting approval to determine which standard should apply.

**4 COMPLIANCE**

- 4.1 The University's Academic Board has established an Ethics Committee for Studies Involving the Use of Human Participants ('Ethics Committee') whose responsibility it is to ensure that proper ethical standards are defined and maintained in respect of all studies involving the use of Human Participants.
- 4.2 The definition and maintenance of those standards referred to in section 2.2 above, are primarily the responsibility of academic staff devising and/or supervising particular programmes of study and those standards are not subject to approval by the Ethics Committee. However, the Committee reserves the right to comment on and refer back applications for approval which it considers do not meet those standards.
- 4.3 The definition and maintenance of those standards referred to in section 2.3 above are the direct responsibility of the Ethics Committee or of any other committee to which the Ethics Committee delegates responsibility for ethical standards in respect of studies involving the use of Human Participants (section 5, refers).

- 4.4 In order to ensure compliance:
- i each study which involves the use of Human Participants must be covered either by an approved protocol of the University of Hertfordshire or by an appropriate external approval;
  - ii the protocol must include the methodology to be applied and the means by which informed consent, where required, will be obtained;
  - iii every proposed protocol to be approved by the University must be submitted to the Ethics Committee or ECDA and approved prior to the start of the investigative stage of the study;
  - iv studies with approved protocols must be monitored appropriately;
  - v the number of the protocol and the name of the ECDA which approved it must be quoted on all correspondence relating to studies which have received ethical clearance.

Failure to do so may lead to disciplinary proceedings being taken.

- 4.5 It is for the Ethics Committee to determine which other bodies should have authority to grant an external approval. Normally, any such body would be expected to have formal procedures for the approval of protocols. A list of approved bodies is set out in section 10 of this document.
- 4.6 The Ethics Committee may require, at its absolute discretion, that a study approved by a body which the Ethics Committee has approved to grant external approval of protocol applications (section 10, refers) must also be approved by the relevant ECDA.

## 5 DELEGATED AUTHORITY

- 5.1 Under powers granted to it by the Academic Board, the Ethics Committee may, as it sees fit, delegate its authority to approve or reject proposed protocols.
- 5.2 The structure and number of ECDAAs is determined by the Ethics Committee.
- 5.3 ECDAAs should apply in writing for renewal of delegated authority (Section 3.1, Appendix II, UPR RE01<sup>4</sup>, refers). There is no standard application form but applicants are expected to provide information as to:
- i their knowledge and experience of the ethical standards applicable to their discipline and/or profession;
  - ii how those standards would be or have been applied and monitored within the context of the academic work of the University;
  - iii the proposed or renewed membership of the Committee;
  - iv the matters (if any) which applicants might wish to have reserved for decision by the Ethics Committee, for example, physically invasive procedures, studies involving deception, studies involving Human Participants unable to give informed consent;
  - v any other matters required by the Ethics Committee as set out in Appendix II, UPR RE01<sup>4</sup>.

---

<sup>4</sup> UPR RE01, Appendix II 'Ethics Committees with Delegated Authority'

- 5.4 In considering applications for delegated authority, the Ethics Committee may itself specify matters in respect of which it is not prepared to grant delegated authority.
- 5.5 Committees granted delegated authority are required to comply with any conditions specified by the Ethics Committee. Standard conditions are:
- i the requirement to provide an Annual Report to the Ethics Committee detailing the work undertaken during the previous Academic Year under delegated powers as set out in the notes for guidance to Chairmen of ECDA (section 6, Appendix II, UPR RE01<sup>4</sup>, refers);
  - ii the necessity to report as soon as possible to the Chairman of the Ethics Committee any major irregularity including:
    - a compromises to the safety of participants or breaches of confidentiality;
    - b other serious breaches of approved protocols or
    - c studies undertaken without an approved protocol;
  - iii the requirement to notify the Ethics Committee of all approved protocols as part of an Annual Report.
- 5.6 Delegated authority will normally be reviewed after a period of five (**5**) years, with a view to the delegated authority being renewed, either on existing or revised terms.
- 5.7 The Ethics Committee reserves the right to withdraw delegated authority in any circumstances which reveal, after enquiry, that the committee with delegated authority has failed to exercise proper responsibility in the granting or monitoring of protocols for which it has delegated responsibility

## **6 TRANSFER OF RESPONSIBILITY**

- 6.1 The Ethics Committee may, as it sees fit, recommend to the Academic Board that responsibility for ethical standards be transferred to a Partner Organisation.
- 6.2 An application for transfer of responsibility must be made in the first instance to the appropriate ECDA.
- 6.3 There is no standard application form. The appropriate ECDA is expected to work together with the Partner Organisation to prepare documentation to support the application and no application will be considered by the Ethics Committee unless it is accompanied by a recommendation from the appropriate ECDA.
- 6.4 Documentation should include information as to:
- i the establishment, history and terms of reference of the ethics committee within the Partner Organisation;
  - ii the membership of such an ethics committee and the knowledge and experience of ethical standards applicable to each member's discipline and/or profession;
  - iii the regulations which will apply to all studies involving Human Participants, together with a summary of any significant differences between these regulations and the University's own regulations;
  - iv how ethical standards will be applied and monitored within the academic work of the Partner Organisation;
  - v any other information which the applicant Partner Organisation wishes to provide or which is specifically requested by the Ethics Committee.

6.5 The Ethics Committee may recommend to the Academic Board that transfer be subject to conditions and time limits placed on compliance with any condition.

6.6 Following transfer of responsibility, it will be for the Partner Organisation, at any review of the collaborative agreement, to include reference to the work of its ethics committee as appropriate.

## **7 PROCEDURES FOR PROTOCOL APPROVAL**

7.1 One of the following procedures will apply to applications for protocol approval.

- i Where the Ethics Committee has granted delegated authority to an ECDA (section 5, refers) applicants within the relevant academic area must comply with the procedures adopted by that ECDA, as approved by the Ethics Committee. A set of standardised application documentation has been developed, effective 1 January 2013, but ECDAs may devise appendices to the standard application Form EC1 to accommodate discipline-specific requirements.
- ii The methods for approving applications which may be adopted by ECDAs are set out in Appendix II, UPR RE01<sup>4</sup>.
- iii Where an application falls outside the scope of an ECDA or is of an interdisciplinary nature such that it cannot be handled by one ECDA, applicants must comply with the procedures set out in section 7.2.
- iv Where, in any circumstances, the Ethics Committee has withdrawn delegated authority from an ECDA, applicants from the relevant academic areas must comply with the procedures set out in section 7.3.
- v The regulations and procedures set out in sections 7.4, 7.5, 7.6 and 7.7 have general application, whether submission has been made to the Ethics Committee or to an ECDA.

7.2 Applications coming within the scope of regulation 7.1, iii, above, must be submitted using Form EC1 (regulation 7.3, i, refers). Such applications must be submitted in the first instance to the ECDA that appears most competent to handle the application. Should that ECDA find itself not competent or otherwise unable to handle the application, it should refer the application to the Ethics Committee.

7.3 Where application is to be made to the Ethics Committee the following procedure applies:

- i Form EC1 must be completed electronically and submitted electronically from an official email account of the student's supervisor to the Clerk to the relevant ECDA. All relevant questions on form EC1 must be answered. Failure to comply with these requirements will result in the application being referred back and may lead to delay in approval being granted;
- ii applicants will be notified formally by the Clerk that the application has been submitted to the Ethics Committee, for the approval process to be completed.

7.4 Approval will normally be notified to the applicant in writing by the Chairman of the Ethics Committee. Where an application is not approved, the applicant will be notified in writing and reasons for non-approval will be given. In appropriate instances, approval may be granted subject to certain conditions.

7.5 In the case of an individual piece of work, the applicant as the investigator must complete and sign the application form, which must also be countersigned, in respect of undergraduate, taught postgraduate and research students, by the applicant's supervisor.

7.6 In the case of a classwork practical or other group study it is the member of staff responsible for formulating the study, such as the Module Leader or Project Tutor, who must complete and sign the application form.

7.7 Individual protocols will normally be approved for the limited period of time specified on the application. Application may be made for extension of time.

## **8 CLASS PROTOCOLS**

8.1 Standard protocols ('Class Protocols') governing routine and/or repeated procedures such as classwork practicals or other group studies may be approved by an ECDA and are subject to review, normally on an annual basis.

8.2 The member of staff responsible for formulating the study, such as the Module Leader or Project Tutor, should make the application using Form EC1B.

### **8.3 Conducting the studies**

8.3.1 Where students are conducting studies involving Human Participants under an approved Class Protocol, the supervisor should record the titles of the individual projects, student names and brief indication of the methodologies being used. For protocol monitoring purposes, the relevant ECDA should be informed that a study has taken place and Form EC7, 'Protocol Monitoring Form', should be completed to indicate to the ECDA that the study was conducted in accordance with the agreed Protocol. The supervisor should also submit a list of the names of the students who conducted the studies.

8.3.2 In the case of studies requiring students to act as participants in classroom-based studies, Form EC8, 'Consent Register for use in Class Practicals Governed by an Approved Class Protocol', should also be used to record the consent of the participants. The briefing material, including Participant Information Sheet, which will have been reviewed prior to the granting of approval, should be made available to the students to enable them to decide if they wish to act as participants.

### **8.4 Types of study suitable for class protocol approval**

8.4.1 Typically, classwork practicals and certain types of data collection are suitable for Class Protocol approval. The methods of data collection under this type of protocol are restricted to questionnaires considered by the ECDA to be harmless and straightforward, individual interviews, focus groups, online surveys and overt observations. Software testing and low-risk studies by foundation degree students, where methodologies are restricted to simple methods, would also be appropriate activities. The triage checklists (lists of activities classified according to their level of risk for 'Expedited', 'Substantive' or 'Full' Review) for each ECDA contain a column listing types of activity suitable for class protocol.

8.4.2 Staff are advised to consult the relevant ECDA if they believe classroom- or group- based activities for a sizeable group of students would be appropriate for Class Protocol approval.

## **9 STUDIES INVOLVING HUMAN PARTICIPANTS UNDERTAKEN WITHOUT AN APPROVED PROTOCOL**

9.1 Studies undertaken without an approved protocol include both:

- i failure to obtain ethics approval prior to undertaking work involving Human Participants;
- ii failure to comply with the terms and conditions of an ethics approval granted for work involving Human Participants.

- 9.2 Any employee of the University who acts in contravention of these regulations will normally be subject to the University's disciplinary procedures.
- 9.3 Any student of the University acting in contravention of these regulations may be penalised through the assessment process (Appendix III, UPR AS14<sup>5</sup>, refers), may have his or her programme of study declared invalid, may not be permitted to graduate or where a student has already graduated, may have his or her award revoked. At its absolute discretion, the University may take disciplinary action. Any alleged breach of these regulations by a student in respect of study which will not be submitted for assessment, may be treated as a disciplinary offence.
- 9.4 The provisions of UPR RE02<sup>6</sup> also apply. A contravention of these regulations that arises from the participation of a student on a taught module, or credit bearing short course will normally, in the first instance, be dealt with in accordance with the procedures set out in Appendix III, UPR AS14<sup>5</sup>. Otherwise, the procedures set down in section 8, UPR RE02<sup>6</sup> will be followed.

#### **9.5 Other studies involving the use of Human Participants**

**(Note:**

From time-to-time, the University receives approaches from individuals or organisations external to the institution who wish to issue requests for human volunteers to participate in studies that they are leading or in activities that they are organising. In some cases, the individual or organisation may wish to conduct the study or activity on University premises. A study or activity may or may not have received ethical clearance from another body but may fall within the scope of UPR RE01.)

- 9.5.1 Regardless of whether a study or activity proposed by an individual or organisation external to the University has received ethical clearance from another body, the proposal will be referred for consideration and decision by the Chairman of the Ethics Committee.
- 9.5.2 For the avoidance of doubt, the proposed study or activity will not proceed unless the prior written consent of the Chairman of the Ethics Committee had been obtained.

### **10 BODIES APPROVED BY THE ETHICS COMMITTEE TO GRANT EXTERNAL APPROVALS OF PROTOCOL APPLICATIONS**

#### **10.1 National Health Service**

- 10.1.1 Studies which will be approved by the National Health Service (Health Research Authority (**HRA**)), including, but not limited to, studies involving patients, require the prior approval of the relevant Research Ethics Committee (REC) specifically recognised within the HRA and working to the 'Governance arrangements for research ethics committees' (GfREC).
- 10.1.2 These Research Ethics Committees are approved under the terms of these regulations (UPR RE01) as external bodies authorised by the University to grant approvals of protocol applications for studies which fall within the scope of their terms of reference.
- 10.1.3 Studies approved by an REC will not also require approval by the relevant ECDA, unless the ECDA concerned has determined otherwise (section 4.6, refers).

---

<sup>5</sup> UPR AS14, Appendix III 'Assessment Offences'  
<sup>6</sup> UPR RE02 'Research Misconduct'

## 10.2 Requirements of other external bodies

The requirements of the following external bodies must be observed in relation to studies which fall within their authority:

The Gene Therapy Advisory Committee (GTAC);  
The Human Fertilization and Embryology Authority (HFEA);  
The Human Tissue Authority (HTA).

## 11 STUDIES CARRIED OUT IN COLLABORATION WITH ANOTHER ORGANISATION

- 11.1 Research or other work carried out in collaboration between the University and other organisations or by a consortium of which the University is a member, may include studies involving human participants.
- 11.2 In these circumstances, it may be proposed that either the University or other collaborating organisation/consortium member should be made responsible for giving ethical clearance for all studies involving the use of human participants conducted as part of the collaboration/within the consortium.
- 11.3 Where such an arrangement is proposed (section 11.2, refers), University staff and students who will be working under the terms of such collaborations or within such consortia, are required to declare the proposed arrangement to the Ethics Committee through the relevant ECDA, using Form *EC1C*, 'Declaration of involvement in a non-UH approved study'.
- 11.4 Where the Ethics Committee gives consent, it has discretion to do so on a conditional basis and/or to set aside any requirement that University staff and students who will be working under the terms of such collaborations or within such consortia must, additionally, obtain ethical clearance from the Ethics Committee.
- 11.5 The Ethics Committee, acting on the University's behalf, reserves the right, at its absolute discretion, not to approve such proposed arrangements.
- 11.6 The Ethics Committee will determine appropriate processes to deal with such proposals.

## 12 APPLICATIONS REQUIRING CONSIDERATION BY THE HEALTH RESEARCH AUTHORITY (HRA)

- 12.1 The Pro Vice-Chancellor (Research and Enterprise) is responsible to the Vice-Chancellor for the co-ordination and management of the institutional process whereby proposals are made by the University for sponsored studies (including Clinical Trials of Investigational Medicinal Products (**CTIMPs**)) that require approval by the HRA.
- 12.2 This internal process requires that prior to submission to the HRA, the application is reviewed by the Ethics Committee in order to assure its quality and ethical soundness.
- 12.3 For the purposes of this review, applicants are required to submit the following for consideration by the Ethics Committee:

the completed sponsorship form, SP1;  
the Integrated Research Application System (**IRAS**) application form;  
a summary of the proposed study and a risk assessment.
- 12.4 Applications may only be submitted for approval by the HRA once the Ethics Committee has provided the necessary assurance to the Pro Vice-Chancellor (Research and Enterprise).

**(Note:**

For the purposes of this process, the Research Support Co-ordinator is the nominee of the Assistant Registrar (Academic Services).

The Assistant Registrar (Academic Services) will determine the arrangements for the creation and maintenance of a log of the applications reviewed by the Ethics Committee and the decisions taken.

The Clerk to the Ethics Committee will notify the applicant and the Research Support Co-ordinator, in writing, of the Committee's decision. The Research Support Co-ordinator will arrange for the IRAS Form and the Form SP1 to be signed by the Vice-Chancellor (or nominee) and will then return the signed forms to the applicant.)

- 12.5 In order to monitor the progress of CTIMP studies, the Ethics Committee will consider the reports prepared by Principal Investigators for the HRA and other relevant bodies.

**13 REFLECTIVE PRACTITIONER WORK**

The Committee recognises that, in certain discipline areas, ordinary professional practice may merge into reflection and research. Those engaged in reflective practitioner work will have due regard for the 'Protocol for Reflective Practitioner Work by Academic Staff' which is published as Appendix I of this document and are required to obtain any necessary ethics approvals in accordance with the provisions of these regulations (UPR RE01).

**14 PUBLICATION OF REQUESTS FOR VOLUNTEERS TO ENGAGE IN STUDIES INVOLVING HUMAN PARTICIPANTS**

- 14.1 *The purpose of the Statement in this Section is to clarify the University's position in relation to requests for human volunteers, published electronically and/or by means, of any printed notice to participate in studies involving human participants.*

- 14.2 *This Statement relates to studies involving the use of human participants which have been approved by the Ethics Committee for Studies Involving Human Participants (the Ethics Committee) of the Academic Board or a committee to which it has delegated authority, including the NHS/Health Research Authority.*

- 14.3 **Notices requesting human volunteers to participate in studies approved by the Ethics Committee**

*The member of staff or student conducting the study is required to ensure that appropriate information, including the name of the body which has given approval for the study and the protocol reference number, is included within any notice inviting volunteers to take part in that study.*

- 14.4 **Electronic publication of notices**

**14.4.1 Requests to members of staff**

- i *The member of staff or student conducting the study may publish general requests to staff for human volunteers via the University's intranets or email addresses available via StaffNet. Requests may be published on any of the University's Special Interest e-mail Lists without having to obtain the prior written consent of the Secretary and Registrar. However, such requests may not be published via the uhq or staffq e-mail lists.*
- ii *The publication of such requests on University intranets, including StudyNet, must be in accordance with the regulations for the use of these services and requests must be removed promptly on an agreed expiry date.*

#### 14.4.2 Requests to students

- i The member of staff or student conducting the study may publish general requests to students for human volunteers via the University's intranets without having to obtain the prior written consent of the Secretary and Registrar. The use of uhq or staffq is not appropriate and groups of students should only be approached via the programme or module leader of relevant programmes/modules.
- ii The publication of requests on University intranets including StudyNet must be in accordance with the regulations for the use of these services and must be removed on an agreed expiry date.

#### 14.4.3 Requests for volunteers who are external to the University

Members of staff or students who wish to publish requests for human volunteers at another institution or public area should approach the authorities of that institution or manager of the public area (for example local council, shop managers).

### 14.5 Publication of general notices other than by electronic means

#### 14.5.1 Use of the University' internal post

The member of staff or student conducting the study may publish general requests for human volunteers via the University's internal post provided that he or she has obtained the prior written consent of the Secretary and Registrar.

#### 14.5.2 Other methods of publication

The member of staff or student conducting the study may distribute requests for human volunteers by hand or display notices on University premises with the prior consent of the Dean of School or Senior Manager of a specific area, or the Dean of Students for access to more general areas of the University.

### 14.6 Use of the University's official stationery and logo

#### 14.6.1 Students

Students (including students who are also members of staff) are not permitted to use the University's stationery or logo, even where the study to be undertaken has been approved in accordance with this Regulation (UPR RE01). Section K.8 of UPR FR06, 'Corporate Governance and Financial Regulation' explains the circumstances under which the University's official stationery (headed notepaper) and logo may be used.

#### 14.6.2 Members of staff

Members of staff may use the University's official stationery and logo in connection with requests for human volunteers only where the proposed study has been approved in accordance with this Regulation (UPR RE01) and on condition that the notice complies with the requirements set out this section.

Mrs S C Grant  
Secretary and Registrar  
Signed: 1 August 2017

## **PROTOCOL FOR REFLECTIVE PRACTITIONER WORK BY ACADEMIC STAFF**

### **SUMMARY OF PRINCIPAL CHANGES**

#### **General changes**

This document has been reviewed and has been re-issued without amendment.

---

This Protocol should be read in conjunction with UPR RE01<sup>1</sup> and elaborates upon and clarifies the regulations which relate to reflective practitioner work (section 10, UPR RE01<sup>1</sup>, refers). It has been approved by the Ethics Committee of the Academic Board<sup>2</sup>.

---

### **SECTION A**

- 1 It is recognised that in the course of thinking about their ordinary professional work, staff reflect and evaluate current practices, make plans to modify them and instigate changes in terms of developing the curriculum, changing forms of assessment and so forth. Significant revisions may also appear at revalidation of programmes.
- 2 Increasingly commonly, such innovation is reported at both informal and formal discussions and conferences both within and outside the University of Hertfordshire.
- 3 The intention of this protocol, together with the illustrative narratives, is to give guidance to staff engaged in this kind of work and to help them decide whether their work is covered by this protocol, or whether they need to apply to an Ethics Committee with Delegated Authority (ECDA) for ethical approval.
- 4 The intention of a tutor who reflects on the curriculum, how it operates, how it matches the students' needs and expectations and the requirements of external bodies and so on, is simply to update and/or improve the curriculum in the interests of doing what the University is charged to do: providing a curriculum that is current and comparable to that offered at other institutions. This is normal professional practice and is undertaken with purely pedagogical concerns in mind. The tutor has no research agenda in mind at the time and it is important that this professional updating should proceed without any tutor thinking that it should be inhibited by ethical considerations. Assuming that what happens to the students as a result of the changes continues to be ethical in a broad sense, there is no need to apply for ethical approval for them. The distinction to be made is that the changes were made by the tutor in the interest of improving the module and the student experience and not in the interest of carrying out a piece of research.
- 5 Reflective activity of this sort is likely to feature, for example, local evaluations carried out via questionnaires, personal response systems, interview schedules, inline surveys and so on. Practitioners need to ensure that any such instrument is prefaced with statements to the effect that:
  - i the University routinely uses such methods as part of its evaluation of the curriculum;
  - ii the data so collected will be utilised for this primary purpose;
  - iii such evaluation of the curriculum is undertaken for pedagogical reasons and is not conceived as pure research;
  - iv there may be public dissemination of the data and findings, in which case confidentiality will be maintained.

---

<sup>1</sup> UPR RE01 'Studies Involving the Use of Human Participants'  
<sup>2</sup> Minute 503.3, Ethics Committee, 25 October 2006, refers.

- 6 A further stage is reached when a tutor decides to open a discussion with University colleagues about the results or effects of these changes, typically at an internal seminar or conference. Again, this is to be seen as normal professional practice, in which the role of the tutor is curriculum designer - not researcher.
- 7 On the other hand, there is a potential issue here of individuals being identified. Colleagues may know personally the students and/or tutors in question or at least be familiar with their programme; or a tutor may report that a (readily identifiable) sub-group of the student population is benefited or disfavoured by a particular innovation. Thus, although the tutor's intention had been to improve the curriculum and report on how this attempt worked in practice, he or she is in a similar position, though arriving there by a different route, to an investigator who reports findings about subjects or informants on whom he or she knowingly conducted research. So the same ethical considerations should apply: for example the concern not to identify individuals.
- 8 Colleagues need to decide for themselves on the merits or otherwise of masking various factors that allow the report to make full sense: for example, the name of the institution in which the work was done: see the Checklist in SECTION B.
- 9 Another stage is reached when a tutor decides to disseminate this work outside the University. But, providing that the usual caveats about identifying individuals are observed, there is no substantive difference between this stage and the preceding one.
- 10 A further issue that arises from reflective practitioner work is the use of 'retrospective data': that is, a tutor might come to think that information collected simply as part of the business of running a programme or module might, if interrogated in the right way, yield interesting findings. This is the point at which the stuff of ordinary professional practice can 'turn into' data. Again, at this stage, the tutor here is in a similar position to an investigator who has deliberately set out to execute a piece of research. The guiding principle here should continue to be that of confidentiality. Researchers should not be prevented from developing fresh insights into the results of past practice, provided, as ever, that confidentiality is respected. What this protocol permits is that tutors reinterpret past practices; it does not confer approval on a tutor who is planning a new intervention.

---

## **SECTION B**

### **A CHECKLIST FOR PRACTITIONERS**

This checklist sets out key ethical issues to be considered when contemplating reflective practitioner work. It is designed to assist colleagues in the design of their reflective practice.

It is sometimes possible to give a straight 'yes'/'no' answer to the questions posed under each heading; in other cases, a suggestion as to how to proceed is made.

As ever, it is the responsibility of the practitioner to decide whether, on balance, the planned work is covered by the protocol or whether an application should be made to the appropriate ECDA.

---

- 1 The distinction between normal (evolving and changing) practice and manipulating practice for research end (especially if it is of no direct benefit to the participants)**

Is the planned work:

- a ordinary curriculum development or
- b pure investigation?

If 'a', this aspect of the work is covered by this protocol.

If 'b', consider making an application to your ECDA.

**2 The beneficiaries of the activity (participants, other students, wider HE community, the teacher)**

Are the principal beneficiaries:

- a current or future students on the module/programme or
- b myself and/or others as a researcher/s and consumers of research?

If 'a', this aspect of the work is covered by this protocol.

If 'b', consider making an application to your ECDA.

---

**3 Risk (for example, whether the sorts of question likely to be asked pose any significant risk)**

Do any of my questions, or any other aspect of the procedure, intrude on the student's privacy, or risk upsetting or disturbing the students in any way?

If so, consider re-designing the procedure.

Have I made plans to assure the students of confidentiality and anonymity?

If 'yes', this aspect of the work is covered by the protocol.

If 'no', incorporate this in the procedure.

---

**4 Coercion (the issue of whether the students feel obligated to participate in a procedure)**

Have I made clear to the students their right to withdraw?

If not, incorporate this into the procedure.

Is it likely that some or any will feel under scrutiny?

If so, consider means of minimising the students' exposure to scrutiny (for example, your absence from the room during the procedure) while maintaining the level of participation.

---

**5 Inconvenience (for example, how much inconvenience it is reasonable to ask of students)**

If the investigation involves students' responses (for example, an online survey, to a questionnaire), can I be sure that the time so used will contribute to improving these or future students' educational experience?

If 'yes', this aspect of the work is covered by the protocol.

If 'no', consider whether the planned work is pedagogically driven or research driven.

Have I made clear to the students involved that the work is in their educational interest and to justify to them the contents of the questionnaire (or other instrument)?

If not, do this when first presenting the procedure to the students.

---

**6 Dissemination**

Am I respecting the usual norms of confidentiality, in terms of the anonymity of students and of the institution?

Which identifiers is it either honest or realistic to disguise?

The default position will be to preserve identity unless there are good reasons to do otherwise.

---

**7 Abuse of process: examples might be the use of a protocol to evade formal ethical procedures or use data collected accidentally and without consideration of the protocol simply the necessary permissions have not been obtained.**

Can I be sure that the protocol covers what I want to do and that I am not doing anything that goes beyond it and that requires an independent application to an ethics committee?

If so, proceed.

If not, consider making an application to your ECDA.

---

**8 Advice and reassurances given to students**

Have I included, in my information to students, statements regarding the issues listed at 5.1 to 5.4 in SECTION A above?

These issues need to be explicitly addressed in the instrument (questionnaire, survey, etc) that you design.

---

**SECTION C**

**SCENARIOS**

These scenarios represent real cases: although they are anonymous, they are actual accounts, by the participants themselves, of situations where they considered the ethical implications of their practice and asked whether or not their work required an independent application to an EDCA for approval.

Designed to be read alongside the protocol, they are intended to show the trail that leads from ordinary classroom practice, to pedagogically driven research, to research for its own sake.

---

**Scenario 1**

A lecturer initiates a poster presentation as a new method of assessment on a module. She writes the guidelines and, before the assignment has been marked and moderated, asks her students to complete a detailed written evaluation of the process. An analysis of the evaluation suggests that some groups of students feel they are disadvantaged by this method of assessment, in particular a very small number of second language learners.

She adds the analysis of the evaluation to the AMER. The external examiner is impressed with the method and suggests that she writes up the experience in more detail and presents it at a practitioner conference at his own institution.

**This work would be covered by the accompanying protocol.**

---

## **Scenario 2**

Two colleagues have been awarded funding to undertake a research project relating to the introduction of a blended learning strategy into particular programmes. The research involves substituting one of the taught sessions with a blended alternative and subsequently evaluating the innovation. The change necessitates an amendment to the module handbook but not the Definitive Module Document. The research is undertaken as an in-house project, with findings disseminated within the institution in the first instance.

**This work would be covered by the accompanying protocol.**

---

## **Scenario 3**

**Stage 1:** A lecturer was engaged in ordinary evaluations of his/her teaching, as part of the gradual evolution and enhancement of a programme in response to feedback from students and her/his own ideas, reading, dialogue with colleagues, etc.

He or she gave out an evaluation form (consisting of some closed and some open questions) in the last **15** minutes of a teaching session and asked the students if they would spend up to **10** minutes filling it out. He or she stressed that it was not compulsory and that they could leave when they were ready. The lecturer was occupied at the front of the class whilst they were doing this, did not look to see who left early and collected up the questionnaires at the end.

The results of this informal evaluation may be disseminated informally at, for example, a departmental lunch, or, more formally, at the University's annual learning and teaching conference or the HEA conference.

**Stage 2:** As a result of attendance at the conference, the lecturer developed an idea for a new type of assessment for the module. He/she introduced this new form of assessment - for example, poster presentations instead of an essay (as allowed within the scope of the existing DMD); the change was discussed at the Programme committee and was approved.

The tutor was keen to know the impact of this change, and so compared marks on the new assessment with those for the piece of work it replaced. He/she also gave the students an ad hoc questionnaire to explore their perceptions of how they approached their study and what they thought of it.

**Stage 3:** As another means of evaluating practice, the tutor used Gibbs' Assessment Experience Questionnaire (AEQ) to measure/assess the students' perceptions in a more quantifiable way. He/she used descriptive statistics to show differences in student perceptions.

**Work at all the above stages would be covered by the accompanying protocol.**

**Stage 4:** The tutor correlated student performance (ie the marks achieved for the presentations) with AEQ data to try to learn more about the interaction between experience and performance.

The distinction between Stages 3 and 4 is that in Stage 3, changes were made by the tutor in the interest of improving the module and the student experience and not in the pure interest of manipulating variables in the manner of an experiment.

Stage 4 is the point at which ordinary classroom practice and evaluation of programmes tips over into research. Here, the intention of the tutor is not to improve practice, but to carry out research.

**Hence Stage 4 work would require a separate application for ethical approval to an ECDA.**

---

#### **Scenario 4**

A teacher particularly interested in the use of discussion sites may, as part of evaluating student engagement with the discussions, use a recognised framework to analyse the students' contributions (for example, knowledge-building activity, metacognitive activity, etc). This gives him/her a greater insight into which tasks might work best with future students, and how best to moderate them. The work can be used as a basis for a paper at the HE Academy conference.

**The above work would be covered by the accompanying protocol.**

---

#### **Scenario 5**

The University has recently set up a consortium to provide large-scale pre-registration inter professional teaching for healthcare students across several HE institutions. The role and responsibilities of the Practice Lead are to develop inter-professional learning opportunities for healthcare students.

Three projects are being developed and piloted:

- 1 Second year University of Hertfordshire students of nursing, midwifery, paramedic sciences, radiography and physiotherapy engage in discussion across patient pathways.
- 2 Final year University of Hertfordshire nursing students are paired with final year University College, London, medical students during clinical placements.
- 3 University of Hertfordshire radiography students are placed with final year Oxford medical students and final year University College Northampton nursing students during clinical placement.

These pilots have been evaluated by the students via anonymous evaluation forms.

Other data have been obtained via pre- and post- experience questionnaires relating to the students' levels of knowledge prior to experience and the knowledge they have gained from the experience. There have also been face-to-face debriefing sessions following the cross-institutional pairing and group projects. Findings will be disseminated via conferences and/or journal articles and they will influence the design of other, similar projects.

**All the work in this scenario would be covered by the accompanying protocol.**

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## **ETHICS COMMITTEES WITH DELEGATED AUTHORITY**

### **SUMMARY OF PRINCIPAL CHANGES**

<b>General changes</b>	
<b>Section</b>	
5.6	Programme Tutor to read 'Programme Leader'
5.8	Completion of studies
5.12	Class protocols
7	Deletion of Section 7
8	Revision, removal and reposition as Section 14 in main document

(Amendments to version **07.0**, Appendix II, UPR RE01, are shown in *italics*.)

#### **Structure**

#### **1 INTRODUCTION**

##### **1.2 Forms**

#### **2 DELEGATED AUTHORITY**

#### **3 APPLICATIONS FOR RENEWAL OF DELEGATED AUTHORITY**

#### **4 ETHICS COMMITTEES WITH DELEGATED AUTHORITY**

##### **4.2 Terms of reference**

##### **4.3 Composition**

##### **4.4 Changes in membership**

#### **5 PROCESS FOR REVIEW OF APPLICATIONS FOR ETHICAL CLEARANCE**

##### **5.1 Application process**

##### **5.1.5 Review panels**

##### **5.2 Expedited Review**

##### **5.3 Substantive Review**

##### **5.4 Full Review**

##### **5.5 Approval of applications**

##### **5.5.1 Expedited Review and Substantive Review**

##### **5.5.2 Full Review**

##### **5.6 Permission to conduct studies on campus**

##### **5.7 Problems encountered during conduct of study**

##### **5.8 Completion of studies**

##### **5.9 Breach of Protocol**

##### **5.10 Notifying a Board of Examiners of a breach of Protocol**

##### **5.11 Modification to an approved Protocol**

##### **5.12 Class Protocols**

##### **5.13 Schedule of Protocols**

#### **6 ANNUAL REPORTS**

##### **6.4 Purpose**

##### **6.5 Structure and content**

##### **6.6 Timetable for the submission of Annual Reports**

##### **6.7 Presentation of the Annual Report to the Ethics Committee**

#### **7 NOTES OF GUIDANCE**

University Policies and Regulations (UPRs)

THIS DOCUMENT FORMS PART OF THE UNIVERSITY'S REGULATIONS AND ADVICE FOR STUDENTS

© University of Hertfordshire Higher Education Corporation (2017)

## 1 INTRODUCTION

1.1 This document has been approved by the Academic Board<sup>1</sup> and is also subject to amendment from time-to-time on the direct authority of the Ethics Committee for Studies Involving Human Subjects ('the Ethics Committee').

### 1.2 Forms

The following forms are referred to in this document:

- EC1 'Application Form'
- EC2 'Application to Modify/Extend an Existing Protocol Approval'
- EC7 'Protocol Monitoring Form'
- AC1 'Notification of an Alleged Assessment Offence'

## 2 DELEGATED AUTHORITY

- 2.1 The Ethics Committee for Studies Involving the Use of Human Participants of the Academic Board may delegate authority to another body elsewhere in the University for the approval and monitoring of studies involving Human Participants, including those involving invasive procedures. These bodies are known as 'Ethics Committees with Delegated Authority' (ECDAs).
- 2.2 Delegated authority is granted, at the discretion of the Ethics Committee, for periods of between one (1) and five (5) years subject to the regulations set out in UPR RE01<sup>2</sup> and to any other conditions that may be imposed from time-to-time by the Ethics Committee.

## 3 APPLICATIONS FOR RENEWAL OF DELEGATED AUTHORITY

- 3.1 The Ethics Committee will review delegated authority and, before the end of the period of delegation, the ECDA must apply in writing to the Ethics Committee to have its delegated authority renewed. Applications for renewal of delegated authority should accompany the Annual Report which immediately precedes the expiry of the current delegated authority.
- 3.2 It would normally be the case that, subject to satisfactory Annual Reports, an ECDA's delegated authority would be renewed for such period as the Ethics Committee deems appropriate. However, the Ethics Committee retains the right, at any time, and at its discretion, to withdraw delegated authority from an ECDA. That discretion would only be exercised where the Ethics Committee had evidence that an ECDA had failed to discharge its delegated authority satisfactorily.
- 3.3 Given the information sought from the ECDAs in respect of Annual Reports (section 5, refers), it is not necessary for that information to be repeated. However, in applying for renewal of delegated authority, ECDAs are invited to:
- i provide a brief overview of the period of delegation;
  - ii raise any policy or procedural issues in respect of ethics matters direct with the Ethics Committee;

<sup>1</sup> Academic Board Minutes: 731, 15 March 2000; 795.2, 14 March 2001; 867.2, 6 March 2002 and 943.2, 5 March 2003; 155.2, 9 March 2005; 188.1, 15 June 2005; 241.2.1, 1 March 2006; 346..2.3, 13 June 2007, 479, 12 March 2008 and 574.3, 11 March 2009; 156; 59.5, 20 June 2012; 282, 19 June 2013; 359, 12 March 2014; 480, 11 March 2015, 600, 22 June 2016, refer.

<sup>2</sup> UPR RE01 'Studies Involving the Use of Human Participants'

- iii request any amendment to the terms of their existing delegated authority;
- iv assess the training provided and identify training issues;
- v report on any other matter within their terms of reference;
- vi include any other relevant comments or suggestions.

## **4 ETHICS COMMITTEES WITH DELEGATED AUTHORITY**

**4.1** ECDAs form part of the committee structure of the Academic Board and are required to operate in accordance with the Standing Orders of the Academic Board.

### **4.2 Terms of reference**

Core terms of reference have been determined by the Academic Board for all ECDAs. An ECDA may propose additional terms of reference for consideration by the Ethics Committee which may then recommend them for approval by the Academic Board.

### **4.3 Composition**

**4.3.1** It is a condition of delegated authority that every ECDA has at least one (1) external member approved by the Ethics Committee. An external member is defined as one external to the scope of the ECDA concerned but internal (within the staff of the University), preferably with ECDA experience.

**4.3.2** When establishing an ECDA, the Ethics Committee may, in addition to the required external member, stipulate other categories of membership and will approve the initial membership of the ECDA.

### **4.4 Changes in membership**

ECDAs are required to inform the Ethics Committee at the earliest opportunity of any membership changes.

## **5 PROCESS FOR REVIEW OF APPLICATIONS FOR ETHICAL CLEARANCE**

### **(Note for guidance:**

A flow chart illustrating the review process is give on the final page of this document and is also published at the following location:

<http://sitem.herts.ac.uk/secreg/upr/RE01.htm> )

### **5.1 Application process**

**5.1.1** Applications for ethical clearance should be made on Form EC1 and submitted electronically to the Clerk of the relevant ECDA.

**5.1.2** In order that the Clerk can track effectively the progress of an application, for example, where further information concerning the application is required from the applicant (sections 5.2.4 and 5.3.2, refer), contact between applicants and the subject or other specialist(s) (section 5.1.6, refers) responsible for reviewing that application should be routed through the Clerk.

**5.1.3** There are three (3) processes whereby an ECDA can examine an application:

- a 'Expedited Review' (section 5.2, refers);
  - b 'Substantive Review' (section 5.3, refers);
  - c 'Full Review' (section 5.4, refers).
- 5.1.4 It is not necessary for an application to be subjected to Expedited or Substantive Review before referral for Full Review if, at the time of its submission, the nature of the application is such that a Full Review is deemed appropriate.
- 5.1.5 **Review panels**
- To enable them to operate the review processes referred to in section 5.1.3, ECDA are responsible for selecting subject specialists who may be called upon to examine and assess protocol applications. The Substantive Review process provides for the appointment of reviewers who are non-subject specialists.
- 5.2 **Expedited Review**
- 5.2.1 Expedited Review is a limited review process whereby applications will be required to satisfy particular criteria and procedures.
- 5.2.2 ECDA are not required to handle applications for Expedited Review at Committee meetings but are required to specify the conditions under which Expedited Review can be allowed and agree these with the Ethics Committee.
- 5.2.3 The Expedited Review process requires that a minimum of one (1) subject specialists from a panel of subject specialists (which might include the Chairman or Vice-Chairman of the ECDA) examine an application independently and recommend it for approval by the Chairman of the ECDA.
- 5.2.4 Expedited Review should be completed within ten (10) working days of the date of the receipt of the application by the Clerk of the ECDA or as soon as possible thereafter. It should be noted that the reviewing subject specialists may request further information to inform their consideration of the application and that this may delay the approval process.
- 5.2.5 These regulations require that both of the reviewing subject specialists are in agreement concerning their final recommendation which may be rejection, approval, referral for revision or referral for Substantive or Full Review. Where the subject specialists cannot reach agreement the decision of the Chairman of the ECDA should be sought.
- 5.2.6 Should the application be referred for Full Review, the subject specialist(s) may be required to attend the meeting for the relevant item in order to provide specialist advice.
- 5.3 **Substantive Review**
- 5.3.1 ECDA are not required to handle applications requiring Substantive Review at Committee meetings. The Substantive Review process requires that a minimum of three (3) reviewers from a panel of specialists (which might include non-subject specialists) examine an application independently and decide whether to recommend it for approval by the Chairman of the ECDA.
- 5.3.2 The Substantive Review should be completed within ten (10) working days of the date of its receipt by the Clerk of the ECDA or as soon as possible thereafter. It should be noted that the reviewers may request further information to inform their consideration of the application and that this may delay the approval process.
- 5.3.3 These regulations require that all reviewers are in agreement concerning their final recommendation which may be rejection, approval, referral for revision or referral for Full

Review. Where the reviewers cannot reach agreement the decision of the Chairman of the ECDA should be sought.

5.3.4 Should the application be referred for Full Review, the reviewers may be required to attend the meeting for the relevant item in order to provide specialist advice.

#### **5.4 Full Review**

An application may be referred for Full Review, either at the time of its submission or as an outcome of one or more of the review processes described in sections 5.2 and 5.3 or as a result of a referral by the Chairman of the ECDA, for example, in cases where the reviewing subject specialists have been unable to reach a unanimous decision. Should the requirement for Full Review be at the recommendation of the subject specialist who have considered the application at an earlier stage, these individuals may be required to attend the ECDA meeting for the relevant item in order to provide specialist advice.

#### **5.5 Approval of applications**

##### **5.5.1 Expedited Review and Substantive Review**

Approval of applications through the Expedited Review and Substantive Review processes will be given by the Chairman or Vice-Chairman of the ECDA. All decisions concerning approval should be confirmed at the next meeting of the ECDA by an appropriate method.

##### **5.5.2 Full Review**

- i Applications referred for Full Review will be considered at a meeting of the ECDA. It should be noted that the ECDA may request further information to inform its consideration of the application and that this may delay the approval process.
- ii Where, to inform its deliberations, the ECDA requires further information that is not available at the meeting, the members of the ECDA might, at their discretion, allow the Chairman to approve the application by Chairman's Action following circulation to them of the additional information requested by the ECDA and their consent to approval being given by Chairman's Action.

5.5.3 An appropriate method for monitoring approved Protocols, including Class Protocols, should be established by the ECDA to ensure that studies are not allowed to continue beyond their expiry date. Should an extension be required, the permission of the ECDA should be sought. An extension, where permitted, might be deemed to be a modification (section 5.12, refers).

5.5.4 Should new evidence come to light following the granting of approval such that there is believed to be a risk of harm to either participant or to investigator that was not known at the time of the original review, the Chairman of the approving ECDA is authorised to withdraw approval. In such a circumstance, the principal investigator should be asked to complete Form EC7 and submit it to the relevant ECDA.

#### **5.6 Permission to conduct studies on campus**

Module Leaders or Programme Leaders should approve a list of all projects being carried out as part of a particular module which will contain the names of the students, their supervisors and project titles. The ECDA would be provided with this information together with a copy of their written approval. Any such arrangements are required to be renewed on an annual basis.

**5.7 Problems encountered during conduct of study**

Form EC7 should be used to record any problems encountered during the conduct of a study, such as, for example, adverse reaction by participants. The Form EC7 should be completed and submitted without delay to the relevant ECDA Chairman, via the ECDA Clerk.

**5.8 Completion of studies**

**5.8.1 Students**

All submissions of work should contain a statement that the study (that is, the collection of data from participants) is completed and has been carried out in accordance with the approved Protocol. Alternatively, a student may make the declaration using Form EC7, '*Protocol Monitoring Form*'. *When approval has been granted conditionally, the supervisor should indicate this on the submission document or EC7 (if used). Form EC7 should also be completed in respect of studies involving invasive procedures and if a problem had been encountered during the study.*

**5.8.2 Staff**

*The completion of Form EC7 following completion of data collection is required to be lodged with the ECDA Clerk in respect of all studies undertaken by staff.*

**5.9 Breach of Protocol**

Section 9.3, UPR RE01<sup>2</sup>, refers).

**5.10 Notifying a Board of Examiners of a breach of Protocol**

In accordance with the provisions of Appendix III, UPR AS14<sup>3</sup>, the relevant Associate Dean of School (Academic Quality Assurance) (or nominee), is responsible for notifying the Chairman of the Short Course/Module Board of Examiners of the outcome of any Breach of Protocol case.

**5.11 Modification to an approved Protocol**

Any modification(s) of an approved Protocol must be notified to the ECDA via the Clerk using Form EC2. It is expected that any modifications proposed via Form EC2 will be minor. Should substantial modification be required, it would be necessary to make a fresh application for ethical approval.

**5.12 Class Protocols**

Class/laboratory activities of an identical nature involving Human Participants which are carried out on a routine or repetitive basis may be granted approval by issuing a Class Protocol. *These Protocols are reviewed on an annual basis; staff are required to confirm that the Protocol for which they have responsibility is still required and whether there are any changes to the approved procedures. Minor amendments may be approved by submission to the ECDA of Form EC2; more complex amendments will require resubmission using Form EC1.*

**5.13 Schedule of Protocols**

In accordance with section 4, UPR RE01<sup>2</sup> ('Compliance'), all approved Protocols must be allocated a Protocol number, including those approved by an NRES ethics committee, and must be entered on a Schedule of Protocols. The prescribed Schedule should be used in line with the requirements of the University's insurers and should be reviewed at every meeting of the ECDA.

## 6 ANNUAL REPORTS

- 6.1 Every ECDA is required to submit a written Annual Report to the Ethics Committee.
- 6.2 Reports should normally be written by the Chairman of the ECDA in consultation with his or her members.
- 6.3 Given the nature of the work being undertaken, as a matter of good practice, the Ethics Committee will welcome Annual Reports which deal openly with the inevitable problems which occur rather than those which are a bland assertion that all Protocols have been routinely approved and monitored.

### 6.4 Purpose

The purpose of these reports is to inform the Ethics Committee of what the ECDA has been doing and, in particular, how it has been discharging its delegated authority.

### 6.5 Structure and content

Reports need not be long but will include the following mandatory elements:

- i **the current membership of the ECDA**  
as approved under delegated authority, identifying in particular its external member(s);
- ii **the frequency of meetings and the attendance record of its members**  
the Ethics Committee will wish to note the attendance, in particular, of the external member(s);
- iii **Protocol applications**  
statistics showing the number of applications approved, rejected, referred back and pending, indicating the category of Protocol and the programmes and levels of study to which the applications refer. This information should distinguish between University-based programmes and collaborative programmes and should also include any re-approval of standard and Class Protocols;
- iv **problems and issues**  
encountered in considering and evaluating proposals and the ways in which those problems have been resolved;
- v **monitoring of approved Protocols**  
the procedures adopted by the ECDA for monitoring approved Protocols, together with information about any problems or issues encountered, including any adverse reactions and the action taken to deal with cases where non-observance of a Protocol is suspected or proven;
- vi **a schedule of all Protocols under the ECDA's management.**  
this information is to be supplied on the pro forma provided by the Clerk to the Ethics Committee;  
ECDAs will also notify the Ethics Committee of any studies involving the use of Human Participants undertaken by University staff or students under the terms of Protocols approved by bodies permitted under the terms University regulations to grant external approval of Protocol applications;

vii **administration**

where relevant, any review undertaken of the paperwork involved in processing applications;

viii **codes of practice**

where relevant, any review undertaken of the codes of practice relevant to ethics matters within the disciplines or professions;

ix **new developments**

any developments, for example, within the ECDA's operating environment or externally, which may impact on the ECDA's activities in the coming year;

x **collaborative programmes**

information on the ethics management of collaborative programmes in the academic areas relevant to the ECDA;

xi **Class Protocols**

a list of all active Class Protocols, with their expiry dates;

xii **breaches of ethics Protocols**

information concerning any departure by a student or member of staff from an approved Protocol, to include the extent of this departure and any disciplinary action taken. A Form EC7 should have been completed to record the circumstances of the breach;

xiii **actions arising from the previous Annual Report**

the ECDA's response to any matters raised at the time of the previous year's report which required action from the ECDA.

All of the above headings must be included in the Report and Chairmen of ECDAs will signify that there is nothing to report where that is the case.

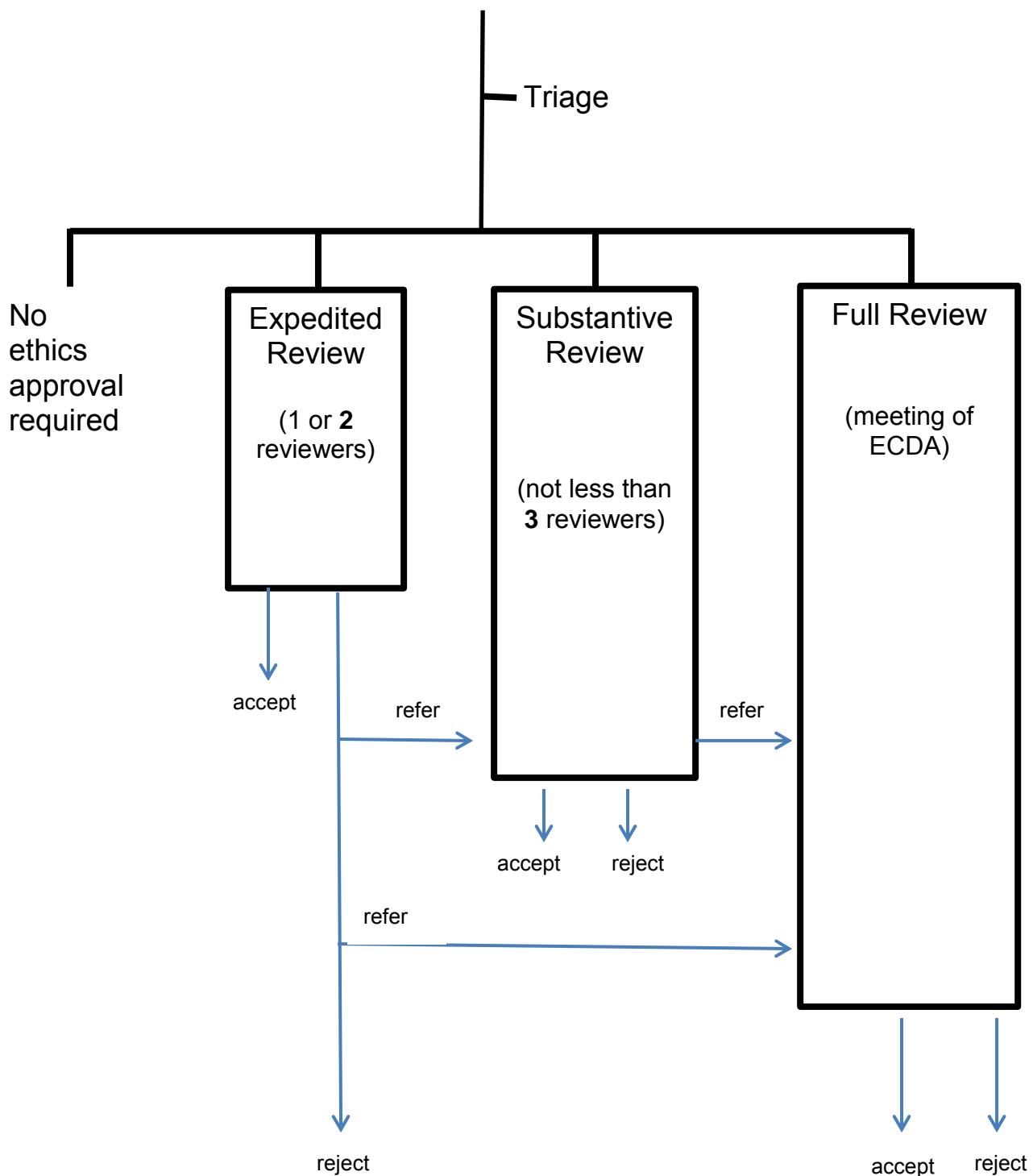
**6.6 Timetable for the submission of Annual Reports**

Annual Reports from ECDAs for the previous Academic Year must be submitted to the Autumn meeting of the Ethics Committee. Chairmen of ECDAs will be informed by the Clerk to the Ethics Committee of the date by which they should submit their Reports.

**6.7 Presentation of the Annual Report to the Ethics Committee**

Chairmen of ECDAs are expected to attend to present their Annual Reports. Where attendance is not possible, arrangements for another member of the ECDA to present the report must be agreed with the Chairman of the Ethics Committee in advance of the meeting.

## Studies Involving Human Participants



Mrs S C Grant  
Secretary and Registrar  
Signed: 1 August 2017

## STUDENT ATTENDANCE REGULATIONS<sup>1</sup>

### SUMMARY OF PRINCIPAL CHANGES

#### General changes

##### Section:

3.3, Regulations for staff

(Amendments to version **06.0**, UPR SA06 are shown in *italics*.)

#### Structure

- 1       **INTRODUCTION**
- 2       **DEFINITIONS**
- 2.1      *'short-term absence'*:  
*'prolonged absence'*:
- 3       **REGULATIONS FOR STAFF**
- 4       **REGULATIONS FOR STUDENTS**
- 4.5      **Absence for religious observance**
- 4.6      **Disability-related absence**
- 4.7      **Absence through illness**
- 4.8      **Reporting of prolonged absences**
- 4.9      **Students whose fees are paid by their employer, a Government Agency or other sponsor**
- 4.10     **Students who are in receipt of a student loan**
- 4.11     **International Students**

---

#### 1       **INTRODUCTION**

- 1.1      Irrespective of whether a programme has formal academic attendance requirements, the University has responsibilities for the pastoral care of students and also has a number of legal obligations to monitor students' progress and to inform certain external bodies of students' temporary or permanent absence from their programme. These regulations are aimed at fulfilling these responsibilities<sup>2</sup>.
- 1.2      This document incorporates, as appropriate, the agreed institutional terminology set out in UPR GV08<sup>3</sup>.

---

#### Note 1 for partner organisations (UK and overseas)

- <sup>1</sup>      Partner organisations will establish appropriate regulations relating to student attendance and will ensure that these are published to students.
- <sup>2</sup>      **Academic Board Minutes** 489.3, 19 June 96; 795.2, 14 March 2001; 956, 5 March 2003; 155.2, 9 March 2005; and 346.2.11, 13 March 2007; 123, 14 March 2012; 359, 12 March 2014; 621, 22 June 2016 refer
- <sup>3</sup>      UPR GV08 'Glossary of Approved University Terminology'

## 2 DEFINITIONS

For the purposes of these regulations:

### 2.1 'short-term absence':

is defined for full-time students as absence of less than one (1) week and, for part-time students, as being absent for one (1) session.

### 2.2 'prolonged absence':

is defined for full-time students as absence of one (1) week or more and, for part-time students, as absence for two (2) or more consecutive sessions.

## 3 REGULATIONS FOR STAFF

- 3.1 Where the objectives of a programme are such that attendance is compulsory for certain elements, the programme regulations must give details of the attendance requirements to be met by students. Programme regulations and module regulations, where relevant, must define what constitutes 'attendance' on that programme/module.
- 3.2 Deans of School, in consultation with their School Administration Managers and the Secretary and Registrar, are responsible for ensuring that there is a mechanism for students to record their attendance on programmes in their School, including franchised programmes, and that this is monitored.
- 3.3 As a minimum requirement, they must ensure that students record attendance once a week, or per session if part-time, using the mechanism provided by the University, currently the 'Check-In' system. *The University also reserves the right to monitor attendance to ensure students active engagement with their studies.*
- 3.4 Special arrangements should be made when students are pursuing their programme away from the University for a period of one (1) week or more, for example, when they are undertaking a field course, a project, a short placement or distance learning. Deans of School are also responsible for ensuring that the University's procedures relating to the notification of student absence/withdrawal are followed.
- 3.5 The impact on student performance of absences, including those absences agreed for reasons of religious observance and disability, may be monitored using data from the systems for recording attendance.

## 4 REGULATIONS FOR STUDENTS

- 4.1 Other than in cases of absence for religious observance (4.5, applies) or disability-related absence (section 4.6 applies), students are required to fulfil any specific academic attendance regulations for their programmes which are specified in the programme/module regulations. Failure to comply with these regulations may affect academic progression. These regulations may be obtained from the appropriate Administrator.
- 4.2 The University recognises that there may be clashes between programme/module attendance and religious observance requirements which proscribe study or attendance on particular dates or days. Students do not have a legal or automatic right to be absent on such days. Students who know that their religious observance requirements may clash with the attendance requirements of their programme/module, should discuss these in advance with their Programme Leader. Programme/module requirements, including those for attendance, must be met and students are responsible for making good work missed through absence.

- 4.3 The University recognises that, in certain circumstances, a student may be prevented from attending for a reason related to his or her disability as defined in relevant legislation. Disability-related absence may only be agreed provided that the student will still meet the programme/module requirements, including those for attendance. Students are responsible for making good the work missed through absence.
- 4.4 Irrespective of whether their programme has formal academic attendance requirements, all students must record their attendance as instructed by their School. Failure to do so may affect their immigration status and academic progression and, where relevant, any entitlement to a Local Authority award, support for tuition fees from the Student Loan Company and/or Student Loan or Tuition Fee Loan. As a minimum requirement, students must record attendance once a week, or per session if part-time, using the mechanism provided by the University, currently the 'Check-In' system. (UPR SA14<sup>4</sup>, refers).

#### **4.5 Absence for religious observance**

Students who wish to request absence for reasons of religious observance must write to their Programme Leader at least five (5) working days prior to the absence to seek permission and are, at that time, required to provide satisfactory supporting evidence from an appropriate person, for example an Imam, Rabbi, Vicar or Priest. Programme Leaders may treat such absences in a comparable way to absences requested for other significant reasons. Students who do not attend and have not received the prior permission of their Programme Leader will be recorded as being absent without permission (Appendix I, UPR AS12<sup>5</sup>, refers).

#### **4.6 Disability-related absence**

- 4.6.1 Students who think they need permission for absence for disability-related reasons should discuss this with the relevant Disabled Students' Co-ordinator and their Programme Leader. Where it is not possible to agree this in advance, students must contact their Disabled Students' Co-ordinator and Programme Leader no more than three (3) working days following the absence. It should be noted that disabled students who do not attend and have failed to follow this procedure without good reason, will be regarded as being absent without permission.
- 4.6.2 It is the responsibility of the student to inform his or her Module Leader that he or she (the student) will be absent.
- 4.6.3 Where disability-related absences are not approved, for example, due to the amount of leave required or the timing of the leave, students should discuss any scope for alternative arrangements that will meet their disability-related needs with the Programme Leader and, where appropriate, the Disabled Students' Co-ordinator.

#### **4.7 Absence through illness**

Unless otherwise instructed by their Schools, students are required to report prolonged absence to their Administrator and to provide him or her with a doctor's medical certificate.

#### **4.8 Reporting of prolonged absences**

- 4.8.1 Irrespective of the reason for the absence (including absence for religious observance or disability-related absence), students must report prolonged absences, in writing, to their Administrator, stating the reason for the absence.

<sup>4</sup> UPR SA14 'Student Withdrawal Regulations'

<sup>5</sup> UPR AS12, Appendix I 'Assessments and Examinations - Regulations for Candidates (Including Requests for the Review of Examination Decisions (Appeals Procedure) (University-delivered provision))': "Candidates are required by the deadline published by the Assistant Registrar, to inform him or her (the Assistant Registrar), in writing, of religious observance/belief dates during examination periods which proscribe the taking of examinations."

4.8.2 Activities forming part of an approved programme are not regarded as 'absence' under these regulations and would include, for example, undertaking a short placement, field courses, attending conferences at other institutions, collecting data for a project, undertaking distance learning. Such activities must be agreed in advance with the relevant member of academic staff.

4.8.3 Where the absence is either for reasons of religious observance or is disability-related, students must indicate, in writing, to the Administrator the steps they have taken to request permission for prolonged absence in advance from the Programme Leader and the Programme Leader's response to this request.

**4.9 Students whose fees are paid by their employer, a Government Agency or other sponsor**

The University reserves the right to inform the employer (or other sponsor, where applicable) where a student is absent from his or her programme without good cause.

**4.10 Students who are in receipt of a student loan**

Students have a responsibility to inform the Student Loan Company by completing and returning a 'Change of Circumstances' form (CO1) which can be obtained from the Student Loan Company if they:

- a leave at any time before the end of their programme or
- b suspend attendance on their programme for any reason or
- c transfer to another programme or
- d marry or
- e change address.

**4.11 International Students**

4.11.1 In addition to the weekly recording of attendance, international students will be required to record attendance on a more regular basis. This will include:

- a monitoring to ensure passport and visa information is valid and
- b recording of attendance to ensure active engagement with their studies.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## STUDENT WITHDRAWAL REGULATIONS<sup>1</sup>

### SUMMARY OF PRINCIPAL CHANGES

#### General changes

##### Section:

3.3.3,c: non-attendance

(Amendments to version **05.0**, UPR SA14, are shown in *italics*.)

- 1       **INTRODUCTION**
- 2       **STUDENT-INITIATED WITHDRAWAL**
- 3       **UNIVERSITY-INITIATED WITHDRAWAL**
  
- 3.2      **Academic Withdrawal**  
3.2.1     **Academic failure**  
3.2.2     **Fitness to practise**  
3.2.3     **Academic Misconduct/Assessment Offences**
  
- 3.3      **Non Academic Withdrawal**  
3.3.1     **Moneys owed to the University**  
3.3.2     **Non-Academic Misconduct**  
3.3.3     **Non-attendance**  
3.3.4     **Failure to complete the full registration process**  
3.3.5     **Failure to comply with UK Visa and Immigration (UKVI) sponsorship requirements**
  
- 4       **Student complaints**

---

## 1       **INTRODUCTION**

The regulations and procedures set out in this document have been approved by the Secretary and Registrar with effect from *1 September 2017*.

## 2       **STUDENT-INITIATED WITHDRAWAL**

Where a student wishes to withdraw from the University, the regulations and procedures set out in this section (2) will apply.

- a       Students should contact their Programme Leader/Student Administrator to discuss their intention to withdraw.
- b       Students are advised that the Office of the Dean of Students is available to provide support during the Student Withdrawal process, which includes counselling and advice on procedures.
- c       Students are encouraged to hold an early discussion with Student Finance regarding their financial position with the University.
- d       Students are advised that the last date for students on standard Academic Year programmes to withdraw from Semester A is the end of teaching week 4, and for Semester B modules, is the end of teaching week 3. After this date non-completion of the module will be recorded as failure.

---

#### Note 1 for partner organisations (UK and overseas)

<sup>1</sup> Partner organisations will establish appropriate regulations relating to student attendance and will ensure that these are published to students.

- e Once the student has discussed his or her options, if withdrawal is still deemed appropriate the student must notify the University, in writing, by completing a withdrawal form which can be found on StudyNet at the following location:  
<http://www.studyNet1.herts.ac.uk/ptl/common/studentcentre.nsf/page/DB708F749B183C7E8025792800538A55x>
- f The withdrawal form requires the signature of the relevant *Programme Leader* and once signed, the student is responsible for passing the completed form to the appropriate School Office.
- g International students should also seek advice from the International Student Support Office.
- h The last recorded date of attendance, usually taken from the mechanism provided by the University (currently the 'Check-In' system) will be the official leaving date for refund purposes and for informing external agencies.

### 3 UNIVERSITY-INITIATED WITHDRAWAL

- 3.1 There are also circumstances in which the University may withdraw students from their programmes of study at the University. These circumstances include, but are not necessarily limited to, the following.

#### 3.2 Academic Withdrawal

##### 3.2.1 Academic failure:

- a Programme Boards of Examiners will operate within the University's assessment regulations and within any approved programme-specific assessment regulations and have the responsibility to make decisions about the continuation and termination of students on programmes of study (section C.3.3.1, vii, UPR AS14<sup>2</sup>, refers).
- b A Programme Board has discretion to withdraw a student from a programme with the offer of the maximum possible interim award if the student has not achieved credit during the academic session (section D3.9, UPR AS14<sup>3</sup>, refers).
- c A Programme Board also has the discretion to withdraw a student from a programme, with the offer of the maximum possible interim award if they acquire **45** credit points or more of modules with FNFA status codes (section D3.8, UPR AS14<sup>3</sup>, refers).
- d As a result of failing to participate in their learning activities, students can be withdrawn under the provisions of Appendix I, UPR SA01<sup>3</sup>. Students attending the University are expected to actively engage with their learning and teaching. This includes attending and participating in their lectures, tutorials, workshops, laboratory and other timetabled classes. Students are expected to undertake, on their own and in untutored groups, the amount of learning specified in the Definitive Module Document for each of the modules for which they are registered.

##### 3.2.2 Fitness to practise

- a The achievement of certain University of Hertfordshire awards, at any level, makes the student concerned eligible to apply for Registration (UPR SA15<sup>2</sup>, refers) and/or would entitle him or her to practise and/or would indicate the student's potential suitability to practise.

**(Note:**

Successful completion of a Professional Programme, as defined in SA15<sup>2</sup>, would make the student concerned eligible to apply for Registration and/or would entitle him or her to practise and/or would indicate the student's potential suitability to practise.

<sup>2</sup> UPR AS14 'Structure and Assessment Regulations – Undergraduate and Taught Postgraduate Programmes'  
<sup>3</sup> Appendix I, UPR SA01 'Statement of Responsibilities and Commitments'

UPR SA15<sup>2</sup> defines 'Registration' as the process whereby a Regulator registers individuals thereby permitting them to practise their profession lawfully. The term 'Regulator' is used generically in UPR SA15<sup>2</sup> and means a body authorised by the Privy Council to permit practise but also, where appropriate, a Professional Statutory Regulatory Bodies or Professional Bodies, where appropriate/relevant.)

- b Allegations (including alleged criminal offences) that, if proven, would call into question a student's fitness to practise, are considered under the provisions of UPR SA15<sup>2</sup>.
- c UPR SA15<sup>2</sup> sets out, amongst other things, the circumstances in which a student might be withdrawn from a programme (and would, therefore, cease to be a student of the University of Hertfordshire) and also the circumstances in which a student might be excluded from the University by the Vice-Chancellor.

### 3.2.3 Academic Misconduct/Assessment Offences:

- a Cheating, plagiarism, collusion and other Academic Misconduct/Assessment Offences are defined in Appendix I, UPR AS12<sup>4</sup>/Appendix I, UPR AS13<sup>5</sup>. Allegations will be considered initially under the provisions of Appendix III, UPR AS14<sup>6</sup> but, in certain circumstances, may be referred for consideration under the provisions of UPR SA13<sup>7</sup> or UPR SA15<sup>2</sup>.
- b The University reserves the right, at its sole discretion, to impose academic penalties where an Assessment Offence is proven. These are set out in Appendix III, UPR AS14<sup>7</sup>. Where an allegation has been referred for consideration under the provisions of UPR SA13<sup>8</sup> or UPR SA15<sup>2</sup> and an Academic Misconduct offence is also proven, the University also reserves the right to impose sanctions and penalties as set out in Appendix I, UPR SA13<sup>8</sup> or Appendix I UPR SA15<sup>9</sup>; a possible outcome is Exclusion from the University and therefore, withdrawal of the student concerned from his or her programme.

## 3.3 Non Academic Withdrawal

### 3.3.1 Moneys owed to the University

All students should endeavour to meet their fee liability in line with the University's Tuition Fee Policy. The Tuition Fee Policy can be found on the Student Support section of StudyNet. Student Financial Advisors are available within the Student Centre to provide guidance to those students finding it difficult to meet their financial obligations. Students who continue to remain in debt to the University will be withdrawn from their programmes. Please refer to the StudyNet for more information:

[http://www.studyNet1.herts.ac.uk/intranet/studentregistry.nsf/Teaching+Documents/40D0158289C7443180257CE8003B848B/\\$FILE/Fees%20and%20Finance%20Policy%202014%202015.pdf](http://www.studyNet1.herts.ac.uk/intranet/studentregistry.nsf/Teaching+Documents/40D0158289C7443180257CE8003B848B/$FILE/Fees%20and%20Finance%20Policy%202014%202015.pdf)

### 3.3.2 Non-Academic Misconduct

- a Non-Academic Misconduct refers to a breach of the non-academic regulations of the University, for example, the regulations relating to security, the prevention of harassment and bullying or local, non-academic regulations determined, for example, by the Dean of School or the Chief Information Officer or the manager of another academic or non-academic area.

<sup>4</sup> Appendix I, UPR AS12 'Assessments and Examinations - Regulations for Candidates (Including Requests for the Review of Examination Decisions (Appeals Procedure) (University-delivered provision))'

<sup>5</sup> Appendix I, UPR AS13 'Assessments and Examinations - Regulations for Candidates (Including Requests for the Review of Examination Decisions (Appeals Procedure)) (Partner Organisation-delivered provision)'

<sup>6</sup> Appendix III, UPR AS14 'Assessment Offences'

<sup>7</sup> UPR SA13 'Student Discipline'

<sup>8</sup> Appendix I, UPR SA13 'University Schedule of Sanctions and Penalties for Academic and Non-Academic Disciplinary Offences'

<sup>9</sup> Appendix I, UPR SA15 'University Schedule of Sanctions and Penalties for Academic and Non-Academic Disciplinary Offences'

- b Such cases will be dealt with in accordance with UPR SA13<sup>8</sup> or UPR SA15<sup>2</sup> and the University reserves the right to impose any of the penalties set out in Appendix I, UPR SA13<sup>9</sup> or Appendix I, UPR SA15<sup>10</sup>; a possible outcome is Exclusion from the University and, therefore, withdrawal of the student concerned from his or her programme.

### 3.3.3 Non-attendance

- a Irrespective of whether a programme has formal academic attendance requirements, all students must record attendance as instructed by their School. Failure to do so may affect their immigration status, academic progression and, where relevant, any entitlement for financial support.
- b As a minimum requirement, students must ensure they record attendance once a week or per session if part-time, using the mechanism provided by the University, currently the 'Check-In' system (section 4.4, UPR SA06<sup>10</sup>, refers).
- c *Students are also expected to actively engage in their studies. Where a student is not actively engaging in his or her studies due to non-attendance, the University reserves the right to withdraw from their programme of study.*
- d In addition to the weekly recording of attendance, International students will be required to record attendance on a more regular basis. This includes monitoring to ensure passport and visa information is valid and the recording of attendance to ensure active engagement with their studies.

### 3.3.4 Failure to complete the full registration process

Students who fail to provide to the University on registration any original certificates and requested documentation will be at risk of withdrawal.

### 3.3.5 Failure to comply with UK Visa and Immigration (UKVI) sponsorship requirements

- a The University's Tier 4 licence has to be renewed annually. If the University fails to comply with its duties under the terms of the licence the result can be the revocation or suspension of the University's sponsor licence. Failure by students to comply with their legal responsibilities under the immigration rules can also affect the renewal of the University's sponsor licence.
- b To be compliant with the University's responsibilities as a Tier 4 sponsor and in order to protect the sponsor licence, the University of Hertfordshire has the right to withdraw student Tier 4 sponsorship in the following situations:
  - 1 Where a student does not have a valid visa for study at the University of Hertfordshire (either extant leave or Section 3C leave (Immigration Act 1971)).
  - 2 Where a student has given false or misleading information in order to obtain a Confirmation of Study (CAS) or offer of study.
  - 3 Where a student is not actively engaging in his or her studies due to non-attendance.
  - 4 Where a student is known to be in breach of his or her immigration status.
  - 5 Where a student acts in such a way as to prevent the University of Hertfordshire from fulfilling its Tier 4 sponsorship duties, for example, failure to maintain accurate contact details; failure to attend as required by their programme of study; failure to provide the latest copy of their leave; failure to inform the University of a change in his or her circumstances.
  - 6 Where a student is not required to be in attendance for a period of **60** days or more (excluding approved University vacation periods).
  - 7 Where a student fails to enrol.
  - 8 Where a student defers his or her studies.

<sup>10</sup>

UPR SA06 'Student Attendance Regulations'

- 9** Where the University has reason to believe that a student is unable to make a successful Tier 4 application.
- 10** Where the University has reason to believe that the student is engaging in criminal activity.

In all circumstances, students are encouraged to seek advice from the Dean of Students prior to withdrawal from a programme.

#### **4 Student complaints**

Student may raise concerns about the way in which the University has administered the regulations in this document (UPR SA14) via UPR SA16<sup>11</sup>.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

---

<sup>11</sup> UPR SA16 'Student and Applicant Complaints'

## ADMISSIONS - UNDERGRADUATE AND TAUGHT POSTGRADUATE STUDENTS

### SUMMARY OF PRINCIPAL CHANGES

#### General changes

The document has been reviewed and is re-issued without amendment.

(Amendments to version **06.0**, UPR SA03 are shown in *italics*.)

#### Structure

- 1      **INTRODUCTION**
- 2      **SCOPE**
- 2.3     **Admissions guidelines and operating procedures**
- 3      **DEFINITIONS**
  - 3.1     '*programme*'
  - 3.2     '*applicant*'
  - 3.3     '*student*'
  - 3.4     '*overseas student*'
  - 3.5     '*international student*'
- 4      **COMMITTEES AND COMMITTEE CHAIRMEN**
  - 4.1     **Academic Board**
  - 4.2     **Recruitment and Admissions Policy Review Committee**
  - 4.3     **Chairman of the Recruitment and Admissions Policy Review Committee**
  - 4.4     **Deans of School (Chairmen of School Academic Committees)**
- 5      **GENERAL PRINCIPLES OF ADMISSIONS**
- 6      **ADDITIONAL PRINCIPLES GOVERNING ADMISSION**
  - 6.1     **Applicants with disabilities**
  - 6.2     **Applicants who will be minors when they register as students of the University**
  - 6.3     **International applicants**
  - 6.4     **Applications from people who are at risk or who may be a risk**
  - 6.5     ***Applicants who are debtors of the University***
  - 6.6     ***Criminal offences and convictions***
- 7      **ADMISSIONS TUTORS AND THE AUTHORISATION OF OTHER MEMBERS OF STAFF TO MAKE OFFERS TO APPLICANTS**
  - 7.1     **Admissions Tutors**
    - 7.1.1    **Role and Responsibilities**
    - 7.1.2    **Appointment**
  - 7.2     **Authorisation of other members of staff to make offers to applicants**
  - 7.3     **Request for the review of an admission decision**
  - 7.4     **Complaints**
- 8      **UNIVERSITY ADMISSIONS SERVICE**
  - 8.1     **Academic Registrar**
  - 8.2     **Head of the Student Centre**
- 9      **RELATIONSHIPS WITH THE CLEARING HOUSES**

University Policies and Regulations (UPRs)

THIS DOCUMENT FORMS PART OF THE UNIVERSITY'S REGULATIONS AND ADVICE FOR STUDENTS

© University of Hertfordshire Higher Education Corporation (2017)

- 10 **GENERAL REGULATIONS GOVERNING THE ADMISSION OF STUDENTS TO UNDERGRADUATE AND TAUGHT POSTGRADUATE PROGRAMMES**
- 11 **GENERAL ENTRY REQUIREMENTS**
  - 11.1 **Admission to programmes at first degree level - benchmark qualifications**
  - 11.2 **Admission to taught postgraduate programmes**
    - 11.2.1 **Master's programmes**
    - 11.2.2 **Postgraduate Diploma programmes**
    - 11.2.3 **Postgraduate Certificate in Education (Primary)**
    - 11.2.4 **Postgraduate Certificate in Education (Secondary)**
- 12 **APPLICANTS WHO LACK THE PRESCRIBED ENTRY QUALIFICATIONS**
- 13 **ADMISSION WITH SPECIFIC CREDIT**
  - 13.1 **'Specific credit' (definition)**
  - 13.2 **Specific credit - statement of policy**
  - 13.3 **General regulations**
  - 13.4 **Assessment of prior learning**
  - 13.5 **Applications for admission to extended (Year 0) degree programmes**
- 14 **INFORMATION TO PROSPECTIVE APPLICANTS**
- 15 **OFFERS**
  - 15.1 **General regulations**
  - 15.2 **Deferred entry offers**
- 16 **ADMISSION OF APPLICANTS WITH DISABILITIES**
  - 16.1 **Statement of general policy**
    - 16.1.4 **Applicants who become disabled whilst they are students of the University - statement of policy**
    - 16.1.5 **Disclosure by an applicant of a disability**
    - 16.1.6 **Students choosing or altering all or part of their chosen programme after admission - statement of policy**
  - 16.2 **Procedures for the admission of disabled students**
- 17 **APPLICANTS WHO WILL BE MINORS WHEN THEY REGISTER AS STUDENTS OF THE UNIVERSITY**
  - 17.1 **Statement of principle**
  - 17.2 **General regulations and procedures**
- 18 **INTERNATIONAL APPLICANTS**
- 19 **COMPETENCE IN THE USE OF THE ENGLISH LANGUAGE**
- 19.1 **Statement of policy**
- 20 **DETERMINATION OF APPLICANTS' TUITION FEE STATUS**
- 21 **UK VISAS AND IMMIGRATION SERVICE (UKVI)**
- 22 **INTAKE TARGETS**
- 23 **FAILURE TO RUN PROGRAMMES OR MODULES BECAUSE OF LOW RECRUITMENT**

## 1 INTRODUCTION

- 1.1 This document (UPR SA03) has been approved by the Academic Board. This version is effective from 1 September 2016<sup>1</sup>. It incorporates, as appropriate, the agreed institutional terminology set out in UPR GV08<sup>2</sup>.
- 1.2 UPR SA03 may be amended only with the prior approval of the Academic Board and/or, as appropriate, the Standing Working Party on UPRs.

## 2 SCOPE

- 2.1 The University's policies and regulations relating to the admission of undergraduate and taught postgraduate students are set out in this document (UPR SA03).
- 2.2 UPR SA03 applies to applicants, to students and staff of the University and also to staff of member institutions of the Hertfordshire Higher Education Consortium (HHEC) and other UK based partners where identified in the legal agreement admitting students to University programmes.

### (Note for guidance – admission of research students)

The University's principles, policies, regulations and procedures for the admission of research students are published in UPR SA02<sup>3</sup>.)

## 2.3 Admissions guidelines and operating procedures<sup>4</sup>

Associated guidance is available on request from the Head of the Student Centre.

## 3 DEFINITIONS<sup>5</sup>

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

### 3.1 'programme':

a programme is a set of one or more awards 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) (UPR GV08<sup>2</sup>, refers);

### 3.2 'applicant':

a person applying to the University of Hertfordshire for admission to a programme;

### 3.3 'student':

a person registered by the University, studying and/or continuing to study for a University owned and/or delivered programme which will be assessed and will normally lead to a University award;

---

<sup>1</sup> Academic Board Minutes: 716.1, 1 December 99; 787.5.1, 14 March 2001; 861.2, 6 March 2002; 956, 5 March 2003; 62.2, 10 March 2004; 55.2, 9 March 2005; 346.2.9, 7 March 2007; 479, 12 March 2008, 574.3, 11 March 2009, Minute 667, 10 March 2010; 9, 16 March 2011; 123, 14 March 2012; 292 and 304.1.2, 19 June 2013; 359, 12 March 2014; 402, 25 June 2014; 480, 11 March 2015; 512, 24 June 2015; 621, 22 June 2016, refer.

<sup>2</sup> UPR GV08 'Glossary of Approved University Terminology'

<sup>3</sup> UPR SA02 'Admissions - Research Students'

### Notes 4, 5 and 6 for Partner Organisations (UK and overseas):

<sup>4</sup> Partner Organisations will have their own standard operating procedures although they may refer to the Head of the Student Centre for guidance.

<sup>5</sup> Partner Organisations may have their own definitions for the purposes of admitting students.

<sup>6</sup> Partner Organisations may have their own committee and management structures.

3.4   **'overseas student':**

a person who will be required by the University to pay tuition fees at the overseas rate;

3.5   **'international student':**

a person from a country outside the United Kingdom.

4   **COMMITTEES AND COMMITTEE CHAIMEN<sup>6</sup>**

4.1   **Academic Board**

Subject to the overall responsibility of the Board of Governors, the Academic Board is responsible for determining the University's principles, policies, regulations and procedures relating to the admission of all students to University programmes. The Academic Board receives reports on the outcomes of the University's student recruitment activities and the activites of the University's admissions services.

4.2   **Recruitment and Admissions Policy Review Committee**

The Recruitment and Admissions Policy Review Committee is a committee of the Academic Board and is responsible to the Board for reviewing the University's policies for the recruitment and admission of students and making necessary recommendations to the Board.

4.3   **Chairman of the Recruitment and Admissions Policy Review Committee**

It is the responsibility of the Chairman of the Recruitment and Admissions Policy Review Committee to advise the Academic Board and the Chief Executive's Group on the further development of the University's admissions principles, policies, regulations and procedures.

4.4   **Deans of School (Chairmen of School Academic Committees)**

Any admissions policies, regulations and procedures within programme regulations are the responsibility of the relevant Programme Committee. They must be:

- a   consistent with the principles, policies, regulations and procedures set out in this document (UPR SA03) and with those of any relevant external validating or professional body and
- b   approved by the relevant Deans of School and such approvals noted by the School Academic Committee.

5   **GENERAL PRINCIPLES OF ADMISSION<sup>7</sup>**

5.1   The admission of individual applicants is at the discretion of the University. It should be noted that the University regards decisions concerning whether an applicant satisfies the general principles of admission set out in section (5) and the entry requirements for the programme to which admission is being sought, to be matters of academic judgment.

5.2   In exercising this discretion, the University will be guided by the following principles:

- i   there should be a reasonable expectation that anyone admitted to a programme has the potential to fulfil the objectives of the programme and achieve the standard required for an award;

---

**Note 7 for Partner Organisations (UK and overseas):**

<sup>7</sup>   The principles of admissions also apply to all University programmes which are the subject of franchise or validation agreements.

- ii in considering each individual applicant for admission to a programme, evidence will be sought of the applicant's personal, professional and educational experiences that provide indications of his or her ability to meet the demands of, and benefit from, the programme;
- iii the University aims to ensure in the admission and treatment of applicants and students that no-one receives less favourable treatment because of characteristics protected by UK legislation<sup>8</sup> or because of family or care responsibilities, social class, trade union activity, being an ex-offender or other unreasonable grounds;
- iv admission with academic credit and/or on the basis of prior experience will be governed by the same principles as those applying to applicants seeking admission to the beginning of the programme.

The awarding of specific credit is a recognised route of entry to University programmes.

## 6 ADDITIONAL PRINCIPLES GOVERNING ADMISSION

### 6.1 Applicants with disabilities<sup>9</sup>

(Section 16, refers.)

The University is committed to developing educational opportunities which can be accessed by all suitably qualified applicants and welcomes applications from disabled people.

### 6.2 Applicants who will be minors when they register as students of the University<sup>10</sup>

(UPR HS07<sup>11</sup> and section 17 of this document, refer.)

- 6.2.1 Unless prohibited by individual professional or programme regulations, consideration will be given to applicants who will be under **18** years at the time of their admission to the University. Such applicants will be considered on their individual merits and on their potential to benefit from their chosen programme.

#### **(Note for guidance – ‘time of admission’)**

For the purposes of this policy, the ‘time of admission’ will be deemed to operate from the commencement of any pre-sessional programme which the applicant is to attend at the University or the time at which he or she proposes to take up residence in University accommodation or the time at which he or she registers as a student of the University, whichever is the *earlier*.)

- 6.2.2 It is a condition of admission that applicants who will be under **18** years of age at the time of their admission to the University have a parent or guardian based in the UK. It should be noted that it will be possible to identify the age of a student who is a minor from his or her University Identity Card.

#### **(Note for guidance:**

Advice concerning the admission of minors may be obtained from the Dean of Students.)

---

#### **Note 8, 9, 10 and 11 for Partner Organisations (UK and overseas):**

<sup>8</sup> The following are protected characteristics under the provisions of the Equality Act 2010:  
age, disability, gender re-assignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation.

<sup>9</sup> The principle enshrined in section 6.1 (above) should be applied.

<sup>10</sup> In Partner Organisations outside the UK, care will have to be taken in applying the regulation in line with relevant national statutes and regulations (for example, the definition of a minor may be at variance with the definition in the UK). UPR HS07 ‘Children, Young People and Vulnerable Adults’

### 6.3 International applicants<sup>12</sup>

(Section 18, refers.)

The University welcomes applications from people who reside outside the UK. It seeks to recruit international students in a fair and responsible manner and in compliance with UKVI guidelines, the British Council's 'Code of Practice for Educational Institutions and Overseas Students', the CVCP 'Code of Practice, Recruitment and Support of International Students in UK Higher Education' and Chapter B2 of the QAA Code of Practice 'Recruitment, Selection and Admission to Higher Education'.

### 6.4 Applications from people who are at risk or who may be a risk<sup>13</sup>

- 6.4.1 Where the risk is deemed to be solely to the applicant, to enable the applicant to come to an informed view of his or her ability to meet the demands of the chosen programme, reasonable efforts should be made to provide him or her with appropriate advice and assistance either from the University's own services or from other appropriate external agencies.
- 6.4.2 Where it is believed that an applicant might constitute a risk to the University, the matter must be referred by the Admissions Tutor/Head of the Student Centre to the Chairman of the Recruitment and Admissions Policy Review Committee who will, where necessary, refer individual cases to the Vice-Chancellor *for risk assessment and decision*.
- 6.4.3 Whilst the University would not seek further to penalise an ex-offender or any other applicant who might be a risk, nevertheless, there will be occasions when it will be appropriate for an academically suitable applicant to be refused entry to the University other than on academic grounds, for example, where the requirements of an external body prohibit the admission of ex-offenders or where the applicant might constitute a risk to other people.

### 6.5 Applicants who are debtors of the University

*The University reserves the right, at its absolute discretion, to refuse admission to individuals who are debtors of the University. The University may consider/re-consider an application when the debt has been paid in full, but is not bound to do so.*

### 6.6 Criminal offences and convictions

*Applicants are expected to declare any criminal offences on their application forms. During the period between an applicant's acceptance of an offer from the University and his or her registration as a student of the University, he or she is required to advise the Dean of Students immediately if he or she has been charged with or convicted of a criminal offence.*

---

#### Notes 12 and 13 for Partner Organisations (UK and overseas):

- <sup>12</sup> Partner Organisations outside the UK will have their own definitions of 'abroad' and their own codes of practice.
- <sup>13</sup> Partner Organisations outside the UK will need to apply the regulation taking into account the national definition of 'at risk' which applies in their respective countries.

## 7 ADMISSIONS TUTORS AND THE AUTHORISATION OF OTHER MEMBERS OF STAFF TO MAKE OFFERS TO APPLICANTS<sup>14</sup>

For the purposes of this section (7), the nominee of the Dean of School will normally be the appropriate Head of Department (where appointed) or a member of staff with appropriate standing and experience.

### 7.1 Admissions Tutors

#### 7.1.1 Role and Responsibilities

- i The Admissions Tutor for a particular programme is responsible to the Dean of School (or nominee) for the management of student admissions to that programme.
- ii The Admissions Tutor will work in close liaison with the Head of the Student Centre and his or her staff to enable the University Admissions Service to admit students under the guidelines and within the framework agreed between the Admissions Tutor and the Head of the Student Centre.
- iii The Vice-Chancellor, the Dean of School (or nominee), the Dean of Students or the Head of the Student Centre may direct an Admissions Tutor to reject an applicant on non-academic grounds if, for example, the applicant is considered to be a risk to the University or its students.

#### 7.1.2 Appointment

- i Admissions Tutors are appointed by the Dean of School or Head of Academic Partnerships.
- ii An alternate with delegated powers to make offers must be appointed by the Dean of School for each Admissions Tutor so that cover is provided for the absence of an Admissions Tutor.
- iii The Dean of School must notify the Head of the Student Centre of all appointments made under the provisions of 7.1.2, i and ii, and is also required to notify the Head of the Student Centre, in writing, when such appointments are terminated.

### 7.2 Authorisation of other members of staff to make offers to applicants

- 7.2.1 The Dean of School will authorise the Head of the Student Centre (or nominee) to make offers to applicants in accordance with the admissions strategy of the School and with explicit written criteria which have been determined by the appropriate Admissions Tutor.
- 7.2.2 The Head of the Student Centre must be informed, in writing, of all such authorisations and of the names and responsibilities of any nominees.

---

#### Notes 14 for Partner Organisations (UK and overseas):

<sup>14</sup> The authority to take admissions decisions will depend on the Partner Organisation's own internal arrangements, provided that these arrangements are clear and that there are clear procedures for reviewing an admissions decision. Where it is specifically provided for in the relevant Memorandum of Agreement, the appropriate University of Hertfordshire Admissions Tutor and/or the Chairman of the University's Recruitment and Admissions Policy Review Committee may take decisions.

### 7.3 Request for the review of an admissions decision

**(Note for guidance:**

Where an applicant is a minor (under the age of 18) the applicant may designate a parent or guardian to act on his or her behalf.)

- i The University regards decisions concerning whether an applicant satisfies the general principles of admission set out in section (5) and the entry requirements for the programme to which admission is being sought, to be matters of academic judgment.
- ii Regardless of whether an applicant is rejected with or without interview, Admissions Tutors will, in response to a request by the applicant, review the decision with the Dean of School (or nominee) and notify the applicant, in writing, of the outcome of the review.
- iii Where the Admissions Tutor and/or the Dean of School (or nominee) judge it appropriate, the applicant should be offered a first or further interview by an experienced academic colleague who has not been involved in the earlier decision to reject.
- iv An applicant who remains dissatisfied with the outcome of this review is entitled to appeal to the Vice-Chancellor, in writing, and must be advised of this right at the time that he or she is notified of the outcome of the review (section 7.3, i, refers).

### 7.4 Complaints

**(Note for guidance:**

Where an applicant is a minor (under the age of 18) the applicant may designate a parent or guardian to act on his or her behalf.)

- 7.4.1 The process for dealing with requests for the review of an admissions decision is set out in section 7.3.
- 7.4.2 Complaints by applicants relating to the administration of this document (UPR SA03) or the processes that it describes or other issues that have arisen will be progressed by means of UPR SA16<sup>15</sup>.
- 7.4.3 A copy of UPR SA16<sup>15</sup> must be provided to anyone wishing to make such a complaint.

## 8 UNIVERSITY ADMISSIONS SERVICE<sup>16</sup>

### 8.1 Academic Registrar

It is the responsibility of the Academic Registrar to ensure that the University's admissions principles, policies, regulations and procedures are operated fairly and effectively and to ensure that the level and quality of administrative support is appropriate to the demands placed upon the University Admissions Service.

---

<sup>15</sup> UPR SA16 'Student and Applicant Complaints'

**Note 16 for Partner Organisations (UK and overseas)**

<sup>16</sup> The University Admissions Service acts as the central processing point for all undergraduate and taught postgraduate admissions to the University. Where it is provided for in the relevant Memorandum of Agreement, the Partner Organisation will handle all necessary admissions processes via its own admissions unit, using its own procedures.

## 8.2 Head of the Student Centre

The Head of the Student Centre is responsible to the Academic Registrar for the efficient administration of admissions to undergraduate and taught postgraduate programmes in accordance with the University's regulations and procedures. The Head of the Student Centre (or nominee) is the UCAS correspondent for the University and has responsibility for advising all relevant staff on UCAS policy and procedures, ensuring that the University complies with these and implementing procedures to detect fraudulent applications. The University Admissions Service provides administrative support for all aspects of admissions work.

**(Note for guidance:**

For the purposes of section 8.2, the nominee of the Head of the Student Centre will normally be the Head of Admissions.)

## 9 RELATIONSHIPS WITH THE CLEARING HOUSES<sup>17</sup>

- 9.1 With the exception of the Postgraduate Certificate in Education, which recruits through UCAS Teacher Training (UTT), all applications for places on full-time and sandwich first degree, Foundation Degree, and Extended Year (Year 0) programmes are processed through UCAS.
- 9.2 The University has a contractual relationship with the clearing houses and it is essential that all University staff comply with the procedures and deadlines stipulated by UCAS and UTT in their respective publications.
- 9.3 Applicants are also required to comply with clearing house rules which are notified to them by UCAS and UTT.

## 10 GENERAL REGULATIONS GOVERNING THE ADMISSION OF STUDENTS TO UNDERGRADUATE AND TAUGHT POSTGRADUATE PROGRAMMES<sup>18</sup>

- 10.1 Programme regulations must stipulate the basis on which a student will be admitted, either to the beginning or to subsequent stages of the programme, by:
  - i identifying the knowledge and skills required at admission and relating these to the content and objectives of the programme;
  - ii setting out the criteria and means by which the suitability of applicants will be judged;
  - iii where appropriate, setting out the procedures to be used in assessing, for the purposes of the final classification of award, any relevant previous work of all students who are admitted with specific credit.
- 10.2 In order for a student to have a reasonable expectation of being able to fulfil the objectives of a programme and achieve the standard required for the award, programme regulations should specify minimum entry requirements.

---

### Notes 17 and 18 for Partner Organisations (UK and overseas)

<sup>17</sup> This regulation refers to the United Kingdom Clearing Houses and relates to admissions to UK based programmes. It does not apply to programmes based outside the UK.

<sup>18</sup> These regulations apply to all programmes franchised by the University. Where programmes are validated by the University, the same regulations or equivalent relevant regulations drawn up by the Partner Organisation should be applied.

- 10.3 Although a wide range of entry qualifications may be accepted, it is usual for programmes to specify minimum entry requirements in terms of 'benchmark' qualifications as defined by the Qualifications and Curriculum Authority (QCA). Specific practical experience may be required. In some cases, the entry requirements for a programme may be stipulated by an external body.
- 10.4 Provided that it remains above the minimum entrance requirements specified by the Programme Specification, the admissions tariff for the programme will be determined by the Dean of School (or nominee) in light of student demand and the number of places available for students on the programme. The admissions tariff may be altered by the Office of the Vice-Chancellor in response to recruitment patterns across the University.
- 10.5 Candidates who choose to be presented for an interim award and who, subsequently, decide to undertake further study on the same programme towards a higher award, may do so only on the return of the interim award certificate to the Assistant Registrar (Exams and Awards) (UPR AS14<sup>19</sup> refers).

## 11 GENERAL ENTRY REQUIREMENTS<sup>20</sup>

### 11.1 Admission to programmes at first degree level - benchmark qualifications

- 11.1.1 The minimum level of attainment normally required for entry to the start of programmes of the minimum length leading to awards at first degree level is a minimum of **12** units, based on six (**6**) unit or **12** unit qualifications (equivalent to two (**2**) GCE Advanced levels or two (**2**) Vocational A levels or one (**1**) vocational double award) supported by GCSE passes to include GCSE Mathematics and English Language (a 'pass' in GCSE means grade C or above). Certain programmes also require GCSE Science or Double Science at Grade C or above.
- 11.1.2 Unconditional offers will not normally be made on the basis of AS level results alone.
- 11.1.3 Unless specifically excluded in a programme's entry requirements, the University accepts AS and A level General Studies which will be counted as contributing towards applicants' overall entry qualifications but it will not be accepted in place of a pre-requisite.
- 11.1.4 The University accepts applicants with Key Skills or Functional Skills qualifications and allows these to be counted as contributing towards applicants' overall entry qualifications. The University will accept certain specified equivalents in place of GCSEs at Grade C in Mathematics and English Language, unless this is specifically excluded in the entry requirements for a programme. The accepted equivalents are listed on the University's website:

<http://www.herts.ac.uk/apply/entry-requirements/undergraduate-degrees/gcse-equivalent-entry-requirements>

- 11.1.5 Any degree level award taught and assessed in the English language will be regarded as an equivalent to the GCSE English Language and Mathematics requirement.
- 11.1.6 To ensure that applicants have the appropriate pre-requisite knowledge, individual programmes may specify that applicants obtain a minimum number of points from certain qualifications in certain subject areas. For example, in some fields of study it will be necessary for entrants to have reached the equivalent of A level in at least one (**1**) specific

---

#### Note 19 and 20 for Partner Organisations (UK and overseas)

<sup>19</sup> UPR AS14 Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes

<sup>20</sup> These regulations apply to all programmes franchised by the University. Where programmes are validated by the University, the same or equivalent relevant regulations drawn up by the Partner Organisation should be applied.

subject; in others the emphasis will be on the general intellectual skills developed by previous study. In both cases, a variety of forms of preparation can provide evidence of an applicant's potential to succeed in a Higher Education programme. The presentation of a portfolio of work is required for entry to some programmes.

- 11.1.7 A lower level of attainment may be required for entry to a sub-degree programme such as a Year 0 or Foundation Degree.

## 11.2 Admission to taught postgraduate programmes

### 11.2.1 Master's programmes

- i The normal entry requirement for a Master's programme is a UK Honours degree or a postgraduate diploma or a professional qualification recognised as being equivalent to a UK Honours degree with a pass at an appropriate standard.
- ii Other qualifications or experience which demonstrate that a candidate possesses appropriate knowledge and skills at UK Honours degree standard may be acceptable.

### 11.2.2 Postgraduate Diploma programmes

- i The normal entry requirement is a UK degree or other qualification at equivalent level. A lower level qualification, together with appropriate experience or, exceptionally, substantial related experience alone, may be acceptable.
- ii Some programmes leading to awards which are recognised by professional bodies require relevant practical experience.

### 11.2.3 Postgraduate Certificate in Education (Primary)

- i Candidates should hold either a degree of a UK university or of the former CNAA or a recognised qualification equivalent to a degree which must be substantially related to National Curriculum subjects.
- ii A qualification equivalent to a degree should normally be based on a minimum of three (3) years' full-time study at undergraduate level or its part-time equivalent. Applicants must hold GCSE English Language and Mathematics and Science at grade C or above or equivalent.

### 11.2.4 Postgraduate Certificate in Education (Secondary)

- i Candidates should hold either a degree of a UK university or of the former CNAA or a recognised qualification equivalent to a degree, relevant to the subject.
- ii A qualification equivalent to a degree should normally be based on a minimum of three (3) years' full-time study at undergraduate level or its part-time equivalent. Applicants must hold GCSE English Language and Mathematics at grade C or above or equivalent.

## 12 APPLICANTS WHO LACK THE PRESCRIBED ENTRY QUALIFICATIONS<sup>21</sup>

- 12.1 It is understood that some applicants who do not possess the prescribed entry qualifications may be admitted to a programme. However, Admissions Tutors are expected to satisfy themselves, as far as possible, that such applicants have the necessary motivation, potential and knowledge to follow their proposed programme successfully.

---

### Note 21 for Partner Organisations (UK and overseas)

<sup>21</sup> These regulations apply to all programmes franchised by the University. Where programmes are validated by the University the same or equivalent relevant regulations drawn up by the Partner Organisation should be applied.

12.2 The Vice-Chancellor may, annually, offer up to ten (**10**) places to highly talented applicants. Such applicants may not meet fully the entry qualifications prescribed for the programme to which they seek admission but may, at the absolute discretion of the Vice-Chancellor, be deemed 'highly talented' on the basis of their having achieved an exceptional standard in other disciplines/fields of endeavour. In determining whether a highly talented applicant should be admitted, the University will have a reasonable expectation that the applicant has the potential to fulfil the objectives of the programme and achieve the standard required for an award and that the admission is otherwise consistent with the requirements of this document (UPR SA03).

13 **ADMISSION WITH SPECIFIC CREDIT<sup>22</sup>**

13.1 **'Specific credit' (definition)**

This term is used to cover all cases where an individual applicant's prior qualifications and learning are accepted as fulfilling some of the requirements of the proposed programme.

13.2 **Specific credit - statement of policy**

The awarding of specific credit is a recognised route of entry to University programmes.

13.3 **General regulations**

13.3.1 Although *Programme Leaders* may be responsible for the assessment of applicants' prior learning and for determining the amount of specific credit which an applicant might be permitted, the decision as to whether or not the applicant should receive an offer of a place remains the sole responsibility of the relevant Admissions Tutor.

13.3.2 Provided that:

- i it is clear that an applicant has fulfilled some of the assessment requirements of the proposed programme by means other than attendance on that programme, subject to the requirements of UPR AS11<sup>23</sup> and
- ii that by completing the remaining requirements of the proposed programme, the applicant will be able to fulfil the objectives of the programme and attain the standard required for the award and
- iii that there are no constraints by external bodies,

the applicant may be admitted as a student to any appropriate point in the programme.

13.3.3 It is important that rigour is exercised in complying with the requirements relating to the standard of the award and with good practice in Higher Education in the United Kingdom.

---

**Note 22 for Partner Organisations (UK and overseas)**

<sup>22</sup> These regulations apply to all programmes franchised by the University. Where programmes are validated by the University the same or equivalent relevant regulations drawn up by the Partner Organisation should be applied.

<sup>23</sup> UPR AS11 'Schedule of Awards'

### 13.4 Assessment of prior learning

Academic assessment is the responsibility of members of the academic staff who, to arrive at an academic judgement about the evidence of prior learning which is submitted by an applicant, should refer to University guidelines which may be obtained via the Academic Quality web site at:

<http://www.studyNet2.herts.ac.uk/ptl/common/ago.nsf/page/F9CB2818BF9F476E802574F9003340D2>

### 13.5 Applications for admission to extended degree (Year 0) programmes

The initial year of extended degree programmes (Year 0) is intended to ensure that a student who completes it successfully has the knowledge, understanding and skills needed for progression to the first year of an appropriate HND, foundation degree or degree programme.

## 14 INFORMATION TO PROSPECTIVE APPLICANTS

The University will ensure that all information and publicity material associated with undergraduate and taught postgraduate programmes is clear, accurate and of sufficient detail to inform applicants' choice *and follows the guidance issued, from time-to-time, to Higher Education institutions by the Competition and Markets Authority (CMA)*<sup>24</sup>.

## 15 OFFERS

### 15.1 General regulations

- 15.1.1 An offer of a place on a programme imposes an obligation on the University to admit the applicant and should not be withdrawn without the applicant's specific consent, except where:
- i the applicant fails to meet the conditions of the University's offer and/or
  - ii the intake to the programme is cancelled and/or
  - iii the applicant is found to have made a false statement on the application form or has otherwise sought to mislead the University and/or
  - iv the applicant has withheld pertinent information, such as failure in a previous programme and/or
  - v the applicant has not accepted the offer of a place by the specified deadline.

(Members of staff must ensure that they do not make an offer of a place to any applicant unintentionally, either in writing or orally, for example, during interview.)

- 15.1.2 Offers of places must not be made conditional on applicants withdrawing their applications to other institutions.

### 15.2 Deferred entry offers

The offer of a place is usually made for the following Academic Year. However, provided that the programme does not change in nature and the entry qualifications are not modified substantially, an offer can be made for entry in a later Academic Year.

---

<sup>24</sup>

Consumer Contracts (Information, Cancellation and Additional Charges) Regulations 2013, refer

## 16 ADMISSION OF APPLICANTS WITH DISABILITIES<sup>25</sup>

### 16.1 Statement of general policy

- 16.1.1 The University is committed to developing educational opportunities which can be accessed by all suitably qualified applicants and welcomes applications from disabled people.
- 16.1.2 The University's admissions process is accessible to disabled applicants. The procedures provide opportunities for the discussion of any reasonable adjustments which may be necessary.
- 16.1.3 In accordance with the Equality Act 2010, the University will only reject a suitably qualified applicant for a reason related to disability where:
  - i the reason is fully justified by the University on the basis of its general principles of admissions (section 5, refers);
  - ii necessary adjustments would not be reasonable.

### 16.1.4 Applicants who become disabled whilst they are students of the University - statement of policy

In admitting any applicant to the University, it is implicit that the University will endeavour to make reasonable adjustments to support students who become disabled whilst they are registered at the University of Hertfordshire, in accordance with the principles set out in this section (16.1).

### 16.1.5 Disclosure by an applicant of a disability

The University encourages disabled applicants to disclose their disabilities as early in the application process as possible in order to ensure that any necessary support arrangements can be put in place before applicants arrive at the University. The University's 'Statement on Disability Disclosure by Students' is published on-line at:

<http://www.herts.ac.uk/about-us/disability-services/statement-on-disability-disclosure-by-students>

### 16.1.6 Students choosing or altering all or part of their chosen programme after admission - statement of policy

- i Some disabled students may not have identified precisely at the time of their application to the University the programme which they would wish to follow.
- ii In such circumstances, the University will endeavour to make reasonable adjustments to enable the student to pursue his or her desired programme, as if the student were a new applicant for that programme. Similarly, the policies and procedures described above will apply equally to students who wish to choose certain options or change their programme or who identify new academic objectives which were not taken into consideration during their original assessment.

---

#### Note 25 for Partner Organisations (UK and overseas)

<sup>25</sup> Partner Organisations within the UK must fulfil their obligations under the Equality Act 2010 and must apply procedures based upon the regulations which adequately give effect to the principles embodied within the regulations. Partner Organisations outside the UK must apply the principles embodied within the regulations, taking into account national statute, regulation and public policy.

**16.2 Procedures for the admission of disabled students**

Information concerning the procedures for the admission of disabled students may be obtained from the University Admissions Service (Telephone 01707 284800) or via:

<http://www.herts.ac.uk/about-us/disability-services>

**17 APPLICANTS WHO WILL BE MINORS WHEN THEY REGISTER AS STUDENTS OF THE UNIVERSITY**

**17.1 Statement of principle**

Section 6.2 of this document and UPR HS07<sup>11</sup>, refer.

**17.2 General regulations and procedures**

- 17.2.1 Where it is likely that the University will offer an academic place to an applicant who will be a minor at the time at which he or she registers as a student of the University, the current version of the standard letter, published from time-to-time by the Secretary and Registrar, must be used to notify the applicant's parent or legal guardian of the University's policy in relation to students who are minors.

**(Note for guidance:**

For the current version of the standard letter referred to in section 17.2.1, contact the Student Centre.)

- 17.2.2 The letter must always be accompanied by a Child Protection Policy Consent Form, together with the Information Sheet ('Information for Applicants Who Will Commence their Studies before the Age of 18 (Student Minors)'). The letter and accompanying documents must be sent at the time an offer of a place is made or as soon as practicable thereafter.
- 17.2.3 The Child Protection Consent Form must be completed and signed by the applicant's parent or legal guardian and returned to the University Admissions Service prior to the applicant's arrival at the University. Receipt of the Child Protection Policy Consent Form signed by the parent or legal guardian must be recorded on the Student Record System and the document placed in the student's file.
- 17.2.4 Where the parent or legal guardian is domiciled outside the UK, he or she must nominate a person based in the UK to act as guardian and who is to be contacted in case of emergency.

**18 INTERNATIONAL APPLICANTS<sup>26</sup>**

- 18.1 It is important that applicants from abroad are provided with full, up-to-date and accurate information about the University's facilities and programmes. In particular, applicants should be provided at an early stage with information on fee levels, living expenses and methods of payment and should be notified of the University's requirements in relation to competence in the use of the English language (section 19, refers).
- 18.2 University staff who travel abroad in order to recruit students must comply with the regulations and procedures set out in this document.

---

**Notes 26 for Partner Organisations (UK and overseas)**

<sup>26</sup> This regulation is not relevant to programmes delivered outside the UK.

**19 COMPETENCE IN THE USE OF THE ENGLISH LANGUAGE<sup>27</sup>**

**19.1 Statement of policy**

- 19.1.1 It is the University's policy that no student shall be admitted to a programme unless he or she has the competence necessary in the English language to enable him or her to follow his or her chosen programme and complies with the UKVI requirements.
- 19.1.2 All applicants who do not hold a recognised qualification in English at the required level will be required to produce evidence of satisfactory competence.

**20 DETERMINATION OF APPLICANTS' TUITION FEE STATUS<sup>28</sup>**

The determination of tuition fee status (i.e. whether an applicant is 'home' or 'overseas' for tuition fee purposes) must be overseen by the Head of the Student Centre (or nominee) to ensure that the regulations are interpreted fairly and consistently across the University, in accordance with *The Education (Fees and Awards) (England) Regulations 2007*.

**21 UK VISAS AND IMMIGRATION SERVICE (UKVI)**

Students are expected to have met, as necessary, any visa and other requirements of the UKVI.

**22 INTAKE TARGETS<sup>29</sup>**

- 22.1 Maximum and minimum targets of numbers of students to be enrolled will be determined through consultation between the Deputy Vice-Chancellor and the Dean of School for a particular programme or an option within it. Such targets will be arrived at after consideration of the human and physical resources and facilities available to the programme, including any necessary specialist laboratory space, lecture and seminar rooms and the number of suitable teaching staff.
- 22.2 Applicants must be advised that the University cannot guarantee to run all programmes in any one Academic Year.

**23 FAILURE TO RUN PROGRAMMES OR MODULES BECAUSE OF LOW RECRUITMENT<sup>30</sup>**

- 23.1 Where a new module or programme is being introduced, the University must make clear to applicants and to employers, if appropriate, that commencement may be subject to achievement by the University of a minimum enrolment determined either when the programme was approved or subsequently.
- 23.2 If there is reason to suppose that enrolments for an existing or proposed new module or programme may not reach the minimum number specified, all applicants should be told at the earliest opportunity of the risk that the programme may have to be withdrawn.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

---

**Notes 27, 28, 29 and 30 for Partner Organisations (UK and overseas)**

- <sup>27</sup> Competence in the use of the English Language is required for all programmes, albeit for those delivered by Partner Organisations outside the UK the relevant Memorandum of Agreement may specify the prime medium of tuition.
- <sup>28</sup> These regulations are not generally applicable to franchised and validated programmes. Specific reference to such issues may appear in the relevant Memorandum of Agreement.
- <sup>29</sup> These regulations are not generally applicable to franchised and validated programmes. Specific reference to such issues may appear in the relevant Memorandum of Agreement.
- <sup>30</sup> These regulations are not generally applicable to franchised and validated programmes. Specific reference to such issues may appear in the relevant Memorandum of Agreement.

## STUDENT MENTAL HEALTH<sup>1</sup>

### SUMMARY OF PRINCIPAL CHANGES

#### General changes

The document has been reviewed and is re-issued without amendment.

(Amendments to version **04.0**, UPR EQ07 are shown *italics*.)

## 1 INTRODUCTION

*This document has been endorsed by the Academic Board with effect from 1 September 2016<sup>2</sup>. It incorporates, as appropriate, the agreed institutional terminology set out in UPR GV08<sup>3</sup> and should be read in conjunction with UPR EQ03<sup>4</sup>.*

## 2 SCOPE

The policies and procedures set out in this document apply across the whole of the University's educational provision and are intended to support students experiencing mental health problems.

#### (Notes for guidance:

- Unless it is inappropriate or unhelpful to do so, this document uses the term 'mental health' throughout. The term 'mental illness' is used specifically to refer to clinically recognised patterns or symptoms of behaviour that can be diagnosed as mental illnesses.
- Whilst these terms and others such as 'mental health problem', 'mental distress' and 'mental ill-health' may help to clarify aspects of the student mental health agenda, mental health is best understood as a continuum along which any person may move. The University recognises that diagnostic labels may not indicate the severity of illness or emotional difficulty and that each case is unique.
- Mental ill-health can affect anyone of any age, gender, ethnicity or social group. Whilst one in four people will experience some kind of mental health problem during the course of a year, mental health is still commonly stigmatised and misunderstood (ref mind.org.uk).)

## 3 POLICY

### 3.1 The University will take positive steps to:

- a provide a range of support and adjustments for students who experience mental health problems which impact on their University life;
- b offer support to all concerned when working with students with more complex mental illness impacting directly on their University life;
- c create an inclusive environment by promoting mental wellbeing, positive attitudes and enhanced understanding of mental health issues;
- d keep under review services and support for students with mental health conditions, including links to external services.

<sup>1</sup> Note 1 for Partner Organisations (UK and Overseas)

Organisations to which the University franchises programmes will be expected to have local mechanisms in place for the implementation of the policies set out in this document (UPR EQ07).

<sup>2</sup> Academic Board minute: 621, 22 June 2016, refers.

<sup>3</sup> UPR GV08 'Glossary of Approved University Terminology'

<sup>4</sup> UPR EQ03 'Equality and Diversity Policy'

**(Note for guidance:**

- The University recognises that some students will experience some type of mental health problem during the course of their studies. In all cases, the University is committed to supporting students who experience such problems and creating an environment in which positive attitudes towards mental health and wellbeing are promoted.
- In many cases, problems will be self-managed by the student concerned and remain unknown to the University. However, some will become more complex and will have a direct impact on the student's experience of University life.
- Mental health problems can impact on all areas of University life. The experience of the individual can be influenced by many factors including personal lifestyles, the perceived attitudes of others and the availability of support. The mental ill-health itself may, at times, have a significant effect on how a student perceives, experiences and deals with situations.
- Many students with mental health problems are supported successfully in managing their mental health needs with the aim of completing their studies. However, for a number of students, a mental illness has such a detrimental impact on their health and wellbeing, that this needs to be prioritised over their studies. Such situations can be difficult, in particular when the mental illness requires specialist mental health support and the student is unaware or unaccepting of the severity of his or her condition. The University recognises that complex situations like these can impact not only the students themselves but also on the people around them including their fellow students and University staff.)

- 3.2 The University seeks to promote mental wellbeing and positive attitudes towards mental health through its health promotion activities and work with the Students' Union and other agencies.
- 3.3 Through raised awareness and positive promotion of mental health, the University will seek to encourage applicants and students to disclose any mental health conditions, including those recognised as a disability, so that adjustments and support can be agreed for their University life.
- 3.4 In dealing with students with mental health problems, the University will take steps to ensure that, based on their own individual circumstances, students are always listened to, treated with dignity and respect and supported.
- 3.5 The University will make reasonable adjustments and meet its commitments under the provisions of the Equality and Diversity Policy (UPR EQ03<sup>5</sup>), the Data Protection Policy (UPR IM08<sup>5</sup>) and other relevant legislation.

**(Note for guidance:**

Some mental health conditions will be recognised as a disability under the Equality Act (2010). However, many people with mental health conditions will not identify themselves as being 'disabled' and some will not fall within the scope of the legal definition of disability. All are included in the context of this policy and will be supported in accessing services within the University.)

- 3.6 The disclosure of a mental health problem will be treated as a confidential matter unless there is reason to believe that a student's mental health would place the disclosing student or another person at serious risk, in which case information will be shared, without the consent of the disclosing student, on a 'need to know' basis.

---

<sup>5</sup>

UPR IM08 'Data Protection'

## 4 STUDENTS PRESENTING WITH COMPLEX MENTAL ILLNESS

- 4.1 When a student presents as having a complex mental illness, he or she will be supported in accessing the most appropriate services both within the University and, where appropriate, from external mental health teams and services.
- 4.2 Where a student's mental illness is having a detrimental impact on his or her student life, the Office of the Dean of Students and its Student Wellbeing teams will take pro-active steps to identify the most appropriate course of action to support the student and, where required, other students and University staff who are also involved. The University will, in all cases, use its best endeavours to ensure that students who are experiencing mental ill-health are enabled to continue their studies.
- 4.3 Where a student's mental ill-health is so severe that it impacts on his or her wellbeing and/or safety or that of others, the University will seek to ensure that the student's continued involvement in University life is not detrimental to his or her mental health recovery. Where required, the University will seek further evidence from an appropriate medical professional concerning whether continued study is appropriate for the student at that time.
- 4.4 Where it is evident that continued study is detrimental to the student's mental health recovery, this will be discussed with the student and an appropriate course of action will be identified and agreed.
- 4.5 Where a student wishes to continue with his or her studies but there is evidence that this would be detrimental to the student's mental health recovery or the safety and wellbeing of others, the Vice-Chancellor has discretion to suspend the student temporarily or to exclude the student (UPR GV01<sup>6</sup>, UPR SA13<sup>7</sup> and UPR SA15<sup>2</sup>, refer).
- 4.6 During periods of suspension, the University will hold open the student's place on his or her programme. Where evidence provided by an appropriate medical professional confirms that the student is well enough to return to study, the Vice-Chancellor has discretion to lift the suspension. Where a student is enrolled on a Professional Programme, the Suspension will not be lifted unless the student's fitness to practise has been confirmed and Occupational Health clearance has been given.

**(Note for guidance - students enrolled on Professional Programmes**

*UPR SA15<sup>2</sup> defines a Professional Programme as a programme of professional education leading to a University of Hertfordshire award, successful completion of which would make the student eligible to apply for Registration and/or would entitle him or her to practise and/or would indicate the student's potential suitability to practise. UPR SA15<sup>2</sup> uses the term 'Regulator' generically to refer to bodies authorised by the Privy Council to permit practise and where appropriate/relevant, to Professional Statutory Regulatory Bodies and to Professional Bodies.)*

## 5 IMPLEMENTATION

- 5.1 The University:
  - i provides a range of mental health support through the Office of the Dean of Students, its Student Wellbeing teams (Counselling, Disability and Mental Health), the University Medical Practice, the Students' Union Advice and Support Centre and the Student Occupational Health; support is also widespread in Schools, Housing and other professional departments;
  - ii maintains close links with external mental health teams and seeks to work closely with them, in particular during times of crisis;

---

<sup>6</sup> UPR GV01 'Articles of Government'  
<sup>7</sup> UPR SA13 'Student Discipline'

- iii provides regular support for people with mild, moderate and severe mental health conditions.
- 5.2 The Office of the Dean of Students will review the services available to support students with mental health problems and take steps to ensure that Schools and professional departments work effectively together to provide a cohesive approach.
- 5.3 This document will be reviewed annually by the Dean of Students.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## SCHEDULE OF AWARDS<sup>1</sup>

### SUMMARY OF SUBSTANTIVE CHANGES

#### General changes

None

Section	Changes to individual sections
3.3	Withdrawal of Doctor of Philosophy (PhD) on the basis of published work
12	Withdrawal of MTB pre-grade awards and graded examination

(Amendments to version 09.0, UPR AS11 are shown in underlined italics.)

### STRUCTURE

#### 1 INTRODUCTION

##### 1.2 Terminology

'School'

#### 2 REGULATIONS FOR AWARDS OF THE UNIVERSITY OF HERTFORDSHIRE

##### 2.1 Standards of University awards

##### 2.2 Accredited Prior Certificated Learning (APCL) and Accredited Prior Experiential Learning (APEL)

- 2.2.2 i 'Accredited Prior Certificated Learning' (APCL)
- ii 'Accredited Prior Experiential Learning' (APEL)

##### 2.3 Joint Honours and Combined Honours awards

##### 2.4 Sandwich awards

##### 2.5 Study abroad

##### 2.5.1 Award titles

##### 2.5.2 Language of delivery and assessment

##### 2.6 Dual Awards

##### 2.7 Joint awards

##### 2.8 Professional Development Studies awards

##### 2.9 The award to which a programme leads

##### 2.10 Approval of new awards

##### 2.11 Documentary evidence of study

##### 2.12 Conditions of awards

##### 2.13 Withholding of awards

##### 2.14 Withdrawal of awards from certificate holders, diplomates and graduates

#### 3 HIGHER DEGREES

##### 3.1 Higher Doctorates (Honorary)

Hon DArt Doctor of Arts

Hon DLitt Doctor of Letters

Hon LL D Doctor of Laws

Hon DEd Doctor of Education

Hon DSc Doctor of Science

---

#### Note 1 for partner organisations (UK and overseas)

<sup>1</sup> This UPR applies in full to all arrangements.

**3.2 Higher Doctorates (by research)**

DMus	Doctor of Music
DLitt	Doctor of Letters
LL D	Doctor of Laws
DSc	Doctor of Science

**3.3 Initial Doctorate (Doctor of Philosophy)**

PhD	Doctor of Philosophy
-----	----------------------

**3.4 Initial Doctorate (professional doctorate)**

DBA	Doctor of Business Administration
DClinPsy	Doctor of Clinical Psychology
DDes	Doctor of Design
Edd	Doctor of Education
EngD	Doctor of Engineering
DFA	Doctor of Fine Art
DHRes	Doctor of Health Research
DHeritage	Doctor of Heritage
DMan	Doctor of Management
MD	Doctorate in Medicine
DPM	Doctor of Project Management
DPsych	Doctor of Psychotherapy

**4 MASTER'S DEGREES**

**4.1 Master's degrees (Honorary)**

Hon MA	Master of Arts
Hon MLitt	Master of Letters
Hon MEd	Master of Education
Hon LL M	Master of Laws
Hon MSc	Master of Science

**4.2 Master's degrees (by research)**

MPhil	Master of Philosophy
MA	Master of Arts
MEd	Master of Education
MSc	Master of Science
MRes	Master of Research

**4.3 Master's degrees (taught)**

MA	Master of Arts
MBA	Master of Business Administration
MEd	Master of Education
LLM	Master of Laws
MHMed	Master of Health and Medical Education
MMid	Master of Midwifery
MPH	Master of Public Health
MSc	Master of Science
MTL	Masters in Teaching and Learning

**5 OTHER POSTGRADUATE AWARDS**

PgDip	Postgraduate Diploma
PGCE	Postgraduate Certificate in Education
DMS	Diploma in Management Studies
PgCert	Postgraduate Certificate
CMS	Postgraduate Certificate in Management Studies

**6 POST- EXPERIENCE AND GRADUATE AWARDS**

ProfGradCE	Professional Graduate Certificate in Education
GradDip	Graduate Diploma
GradCert	Graduate Certificate
PCSP	Practice Certificate in Supplementary Prescribing
PCIP	Practice Certificate in Independent Prescribing
CertPD	Certificate in Professional Development
DipPD	Diploma in Professional Development

**7 INTEGRATED MASTER'S DEGREES**

MEng	Master of Engineering
MPharm	Master of Pharmacy
MPys	Master of Physics
MOptom	Master of Optometry

**8 BACHELOR'S DEGREES**

BEdE	Extended Bachelor of Education
BA	Bachelor of Arts
BEd	Bachelor of Education
BEng	Bachelor of Engineering
LL B	Bachelor of Laws
BSc	Bachelor of Science

**9 FOUNDATION DEGREES**

FdA	Foundation Degree (Arts)
FdSc	Foundation Degree (Science)

**10 OTHER UNDERGRADUATE AWARDS**

EnhD	Enhanced Diploma
EDM	Enhanced Diploma of Midwifery
DipHE	Diploma of Higher Education
Dip	University Diploma
CertEd	Certificate in Education
CertHE	Certificate of Higher Education
EnhCert	Enhanced University Certificate
Cert	University Certificate
FCert	Foundation Certificate

**11 BTEC/EDEXCEL AWARDS**

HND	Higher National Diploma
HNC	Higher National Certificate
NVQ	National Vocational Qualification

**12 SPECIAL AWARDS**

AUH	Associate of the University of Hertfordshire
DWE	Diploma in Work Experience

**13 GENERIC LEARNING OUTCOMES FOR UNNAMED UNIVERSITY OF HERTFORDSHIRE INTERIM AWARDS**

**14 AEGROTAT AND POSTHUMOUS AWARDS**

## 1 INTRODUCTION

This document lists the awards approved by the Academic Board of the University<sup>2</sup>.

### 1.2 Terminology

This document uses the terminology set out in UPR GV08<sup>3</sup>.

### 1.3 Scope

Certificate holders, diplomates and graduates should note that they are subject, as appropriate, to the provisions of this document.

## 2 REGULATIONS FOR AWARDS OF THE UNIVERSITY OF HERTFORDSHIRE

### 2.1 Standards of University awards

- 2.1.1 The standards of University awards are defined in terms of the usual pattern of full-time study, normally considered to be represented by a rate of study which would permit the accumulation of **120** credit points within one two (**2**) Semester academic year by a student who has the appropriate knowledge and skills to enter a programme of the minimum length (see also UPR AS14<sup>4</sup>, section A4).
- 2.1.2 Successful completion of a programme requires the achievement of the specified learning outcomes set out in the Programme Specification.
- 2.1.3 The full range of University awards is available, in principle, throughout the United Kingdom and elsewhere. For example, the University may collaborate with other institutions or organisations in the delivery of its own programmes or in formally validating or credit-rating the modules and programmes of another institution as being of an appropriate quality and standard to be eligible for an award (or credit towards an award) of the University.
- 2.1.4 Credit points specified for each award define the normal (minimum) number and level of specific credit gained by following an approved programme required for the award. Any proposal to deviate from this must be approved by the University's Academic Development Committee.
- 2.1.5 For any award, credit at a higher level can count in place of credit at a lower level.
- 2.1.6 A degree programme may count up to **30** credit points of Level **5** modules to meet the Level **6** credit requirement, where appropriate, (for example, in multi-disciplinary study) and specified in the Programme Specification.
- 2.1.7 Unless specifically stated in the Programme Specification, where students attempt additional modules which are not part of a validated programme of study, they do not contribute towards the credit requirements for the award.
- 2.1.8 Individual study programmes may be approved which include or require more than the normal minima for the award.
- 2.1.9 Levels of study are further defined in UPR AS14<sup>4</sup>, section A2.8.

<sup>2</sup> Academic Board minutes 724.5; 728.1.1; 731; 861.2; 943.3; 40.3, 10 March 04; 139.3, 9 March 05; 188.2, 15 June 05; 227.1, 9 November 05; 241.2.4, 1 March 06; 318 345.1, 8 November 06; 346.2.5, 7 March 07; 400.3, 13 June 07; 455.4, 12 March 08; 490, 11 June 08; 560.4, 11 March 09 and 585.2.4, 10 June 09; 680.5, 9 June 10; 9.3, 16 March 11; 52.1, 15 June 11; 123.4, 14 March 2012; 271, 13 March 2013; 282.3, 19 June 2013; 359, 12 March 2014; 402, 11 June 2014; 480, 11 March 2015; 512, 24 June 2015, 621, 22 June 2016 and 693.2 15 March 2017, refer.

<sup>3</sup> UPR GV08 'Glossary of Approved University Terminology'  
<sup>4</sup> UPR AS14 'Structure and Assessment Regulations – Undergraduate and Taught Postgraduate Programmes'

## **2.2 Accredited Prior Certificated Learning (APCL) and Accredited Prior Experiential Learning (APEL)**

**2.2.1** Accredited Prior Learning (APL) is learning, appropriately evidenced, that has been achieved outside the formal education system offered by the University. The Quality Assurance Agency describes the Recognition (i.e. Accreditation) of Prior Learning as 'Assessing previous learning that has occurred in any of a range of contexts including school, college and university, and/or through life and work experiences. Once recognised through this process, prior learning can be used to gain credit or exemption for qualifications and/or personal and career development'. This recognition may give the learning a credit-value in a credit-based structure and allow it to be counted towards the completion of a programme of study and the award(s) or qualifications associated with it.

**2.2.2** The following definitions have been approved by the Academic Board:

i     **'Accredited Prior Certificated Learning' (APCL):**

'learning which has been recognised previously by an education provider, evidenced by formal certification, and assessed and recognised for the award of credit by the University.'

ii     **'Accredited Prior Experiential Learning' (APEL):**

'learning which has been achieved through experiences outside the formal education and training systems, normally associated with a working environment, which has been assessed and recognised for the award of credit by the University.'

**2.2.3** There are limits imposed on the amount of APCL and APEL that can be approved as part of credit requirements for credit-rated awards, which are identified in the tables in sections 4 to 12 of this document. The combined limit is typically **75%** of the total credit requirement for the award, subject to a minimum of **30** credits to be subsequently studied at and awarded by the University. The effect on the classification of students with significant amounts of APL is described in sections *D6.2.7* and *D7.2.7*, UPR AS14<sup>4</sup>.

**2.2.4** University guidelines on APL may be obtained from the *Centre for Academic Quality Assurance* website.

## **2.3 Joint Honours and Combined Honours awards**

### **2.3.1 Joint/Joint combinations**

Where a Joint Honours award is offered, and both fields are studied as a Joint/Joint combination, the award title should be:

**<Field X and Field Y>** (with fields presented in alphabetical order)

The award should be:

- i     A BA if both Field X and Field Y would be offered as BA;
- ii     A BSc if both Field X and Field Y would be offered as BSc;
- iii    A BSc if one field would be offered as BA and the other a BSc.

### 2.3.2 Major/Minor combinations

Where a Joint Honours award is offered, and the fields are studied in a Major/ Minor combination, the award title should be:

**<Field X with Field Y>** (with the major field presented first).

The award (BA or BSc) is based upon the award that would be offered by the major field.

### 2.3.3 Joint/Minor/Minor combinations

Where a Combined Honours award is offered, and the fields are studied in a Joint/Minor/ Minor combination, the award title should be:

**<Field X with Field Y and Field Z>** (with the joint field presented first)

The award (BA or BSc) is based upon the award that would be offered by the joint field.

### 2.3.4 Use of ‘and’, ‘with’ and the ampersand (‘&’)

- i Individual fields should avoid use of the word ‘with’, to avoid awards with major/minor combinations having to include this word twice.
- ii Wherever possible, individual fields should avoid use of the word ‘and’, to minimise awards with joint/joint combinations having to include this word twice. Where ‘and’ is used in a field, the ampersand symbol (&) should be used instead, to avoid repetition (this is the only situation where the ampersand symbol may be used). The award title should therefore be:

**<Field X and Field Yi & Yii>** (where Yi and Yii are the two components of a field)

or

**<Field X with Field Y and Field Zi & Zii>** (for Joint/Minor/Minor combinations, where Zi and Zii are the two components of a field)

### 2.4 Sandwich awards

A sandwich award requires the successful completion of at least **36** weeks full-time equivalent placement activity from a maximum of two separate placements, neither of which should be normally less than **12** weeks in duration, in order for the award to be made. The sandwich award title should be:

**<Award title (Sandwich)>**

### 2.5 Study abroad

#### 2.5.1 Award titles

Successful completion of a period of study abroad should lead to the award of one of two titles:

**<Award title with a Year Abroad>** (where at least two (**2**) Semesters of study have been completed and at least **90** credit points have been accumulated. One (**1**) Semester could be a Semester of placement activity abroad (typically, at least **12** weeks), in which case at least **45** credit points shall have been accumulated)

or

**<Award title with Study Abroad>** (where at least one **(1)** Semester of study has been completed and at least **45** credit points have been accumulated).

## **2.5.2 Language of delivery and assessment**

Where a period of study abroad replaces one **(1)** or two **(2)** Semesters of Level **5** studies on a student's programme at the University of Hertfordshire, the language of delivery and assessment for that period of study abroad must be English.

## **2.6 Dual awards**

The University may enter into collaborative arrangements with other organisations which lead to the possibility of students receiving an award from each institution. The arrangements for each award must be clearly stated in the Memorandum of Agreement and it is expected that each institution will issue its own award documents. Memoranda are produced to an approved template by Academic Services.

## **2.7 Joint awards**

- 2.7.1 The University may enter into collaborative arrangements with other organisations which lead to the possibility of students receiving one joint award from the institutions concerned. The arrangements for the joint award must be clearly stated in the Memorandum of Agreement. Memoranda are produced to an approved template by Academic Services.
- 2.7.2 Joint Awards are regarded by the Academic Board as having the same standing as other awards of the University and will, therefore, require the approval of the Academic Board.

## **2.8 Professional Development Studies awards**

Professional Development Studies awards are available to those who have accumulated credit which may not be fully coherent with nor align with an existing named award. The procedures for approving these awards are described in the University's Flexible Credit Framework which is published at:

[http://www.studyNet2.herts.ac.uk/ptl/common/ago.nsf/Teaching+Documents?Openview&content=9999&restricttocategory=Guidance+and+Strategy/Flexible+Credit+Framework+\(APL+and+Short+Courses\)](http://www.studyNet2.herts.ac.uk/ptl/common/ago.nsf/Teaching+Documents?Openview&content=9999&restricttocategory=Guidance+and+Strategy/Flexible+Credit+Framework+(APL+and+Short+Courses))

## **2.9 The award to which a programme leads**

The award to which a programme leads must be among the existing awards of the University approved from time-to-time by the Academic Board and specified in this document (UPR AS11) and programmes must conform to the requirements for the awards set out in the relevant sections of this document. The Academic Board will, however, consider proposals for the establishment of new awards (section 2.10, refers).

## **2.10 Approval of new awards**

- 2.10.1 The Academic Board will take advice from its committees before approving any new award. Where the proposed award is linked to a specific subject area, advice from the relevant Dean of School will be sought.
- 2.10.2 The Academic Board will consider proposals in the context of the whole range of the University's awards and their relationship to each other and to the awards of other bodies. In particular, the Academic Board will consider:
- i the characteristics and level of the proposed award that would both distinguish it from existing awards and relate it to them;

- ii the suitability of existing awards for the proposed programme(s) of study;
  - iii the likely demand for, and recognition of, the proposed award by institutions, students and employers.
- 2.10.3 In the case of a group of new award titles (or the addition of a new award title to an existing group) with a high proportion of common modules, there should be an adequate differentiation between award titles. Typically, this should entail:
- i for awards of **480** credits and above:  
at least **60** credits of differentiation, at least **30** credits of which must be at the level of the award;
  - ii for awards of **300** to **465** credits:  
at least **45** credits of differentiation, at least **30** credits of which must be at the level of the award;
  - iii for awards of **135** to **285** credits:  
at least **30** credits of differentiation at the level of the award.
  - iv for awards up to **120** credits:  
at least **15** credits of differentiation at the level of the award.
- 2.10.4 When the Academic Board approves a new award it will establish a definition for the award.
- 2.11 **Documentary evidence of study**
- Documentary evidence of study may be made available by the University in a variety of forms, for the convenience of students. Such documents are not in themselves **awards** of the University, though they may accompany awards.
- They may be variously termed:
- Certificates (or records) of attendance,  
Certificates (or records) of credit,  
Certificates (or records) of achievement,  
Transcripts (or lists) of modules taken, with the results of any assessments.
- 2.12 **Conditions of awards**
- An award of the University (other than an Honorary award) will be conferred only when all of the following conditions are satisfied:
- i The candidate was a registered student of the University or of another institution with which the University had entered into an agreement, at the time of assessment for the award.
  - ii All appropriate fees have been paid to the University by, or on behalf of, the candidate and the candidate is not otherwise in debt to the University or, where applicable, another institution with which the candidate was registered.
  - iii Where the programme has included a project or investigation involving one or more human subjects, the candidate has observed the University's requirements concerning the ethical aspects of the conduct of such projects or investigations.

- iv The University has in its possession appropriate confirmation that the candidate has completed an approved programme (including programmes of research) leading to the award which is to be recommended.
- v The award has been recommended by a Board (or, in the case of some research awards, a team) of Examiners, convened, constituted and acting under regulations approved by, or on behalf of, the University's Academic Board and including such external examiners as are required by the University's regulations to be associated with all recommendations for award.
- vi The recommendation for award has been approved in accordance with the requirements of UPR AS12<sup>5</sup>/UPR AS13<sup>6</sup> (as appropriate) **or**, in the case of research degrees, signed, countersigned and ratified as prescribed in the University's regulations for the award of research degrees, published separately.

## **2.13 Withholding of awards**

- 2.13.1 The University of Hertfordshire reserves the right to withhold an award. The grounds for such action might include, for example, the subsequent discovery by a Board of Examiners that a student has cheated in an assessment; the discovery that a student has fraudulently gained entry to a programme; circumstances where the award would give the holder an unwarranted "right to practise" or would confer on the holder unwarranted professional status or unwarranted respectability or where the possession of the University's award might bring the institution into disrepute or where the conduct of the student is such that it would devalue the nature of the award or otherwise discredit the University.
- 2.13.2 The process whereby the Academic Board will determine whether an award is to be withheld is set out in UPR AS21<sup>7</sup>.

## **2.14 Withdrawal of awards from certificate holders, diplomates and graduates**

- 2.14.1 The University of Hertfordshire reserves the right to withdraw an award from any of its certificate holders, diplomates or graduates. The grounds for such action might include, for example, the subsequent discovery by a Board of Examiners that a student has cheated in an assessment; the discovery that a student has fraudulently gained entry to a programme; circumstances where the award would give the holder an unwarranted 'right to practise' or would confer on the holder unwarranted professional status or unwarranted respectability or where the possession of the University's award might bring the institution into disrepute or where the conduct of the certificate holder, diplomate or graduate is such that it would devalue the nature of the award or otherwise discredit the University.
- 2.14.2 The process whereby the Academic Board will determine whether an award is to be withdrawn is set out in UPR AS21<sup>7</sup>.

---

<sup>5</sup> UPR AS12 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (University-delivered provision)'

<sup>6</sup> UPR AS13 Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (Partner Organisation-delivered provision)

<sup>7</sup> UPR AS21 'Withholding or Withdrawal of an Award of the University of Hertfordshire'

### 3 HIGHER DEGREES

The University confers the following Higher Degrees:

#### 3.1 Higher Doctorates (Honorary)

Hon DArt	Doctor of Arts
Hon DLitt	Doctor of Letters
Hon LL D	Doctor of Laws
Hon DEd	Doctor of Education
Hon DSc	Doctor of Science

Regulations for the award of Honorary Doctorates are set out in UPR AS04<sup>8</sup>.

#### 3.2 Higher Doctorates (by research)

DMus	Doctor of Music
DLitt	Doctor of Letters
LL D	Doctor of Laws
DSc	Doctor of Science

##### 3.2, A Higher Doctorates (by research)

(UPR AS02<sup>9</sup>, refers.)

##### 3.2, B Doctor of Music (DMus); Doctor of Letters (DLitt); Doctor of Laws (LL D) and Doctor of Science (DSc)

*The degrees of Doctor of Music, Doctor of Letters, Doctor of Laws or Doctor of Science may be awarded to a candidate who is a leading authority in his or her field of study and who has made an original and distinguished contribution to the advancement or application of knowledge in that field.*

#### 3.3 Initial Doctorate (Doctor of Philosophy)

PhD	Doctor of Philosophy
-----	----------------------

##### 3.3, A Doctor of Philosophy (PhD)

(UPR AS07<sup>10</sup> and UPR AS10<sup>11</sup>, refers)

*The standard of the PhD is that expected of a graduate who has critically investigated and evaluated an approved topic and its associated literature resulting in an independent and original contribution to knowledge and demonstrated an understanding of research methods appropriate to the chosen field and has presented and defended a thesis by oral examination to the satisfaction of the examiners.*

##### 3.3, B Doctor of Philosophy (PhD) with industry experience

*The University may award the degree of PhD with industry experience to a graduate who has critically investigated and evaluated an approved topic and its associated literature, and has undertaken a placement in industry resulting in an independent and original contribution to knowledge and demonstrated an understanding of research methods appropriate to the chosen field and has presented and defended a thesis by oral examination to the satisfaction of the examiners.*

<sup>8</sup> UPR AS04 'Honorary Awards'

<sup>9</sup> UPR AS02 'Higher Doctorate Degrees'

<sup>10</sup> UPR AS07 'MPhil/PhD by Approved Programme of Supervised Research 1998'

<sup>11</sup> UPR AS10 'Research Degrees – Generic Institutional Regulations'

### 3.4 Initial Doctorate (professional doctorate)

DBA	Doctor of Business Administration
DClinPsy	Doctor of Clinical Psychology
DDes	Doctor of Design
EdD	Doctor of Education
EngD	Doctor of Engineering
DFA	Doctor of Fine Art
DHRes	Doctor of Health Research
DHeritage	Doctor of Heritage
DMan	Doctor of Management
MD	Doctorate in Medicine
DPM	Doctor of Project Management
DPsych	Doctor of Psychotherapy

#### 3.4, A Professional doctorate

(UPR AS18<sup>12</sup> and UPR AS10<sup>11</sup>, refer.)

*Doctor of Business Administration (DBA); Doctor of Clinical Psychology (DClinPsy); Doctor of Design (DDes); Doctor of Education (EdD); Doctor of Engineering (EngD); Doctor of Fine Art (DFA); Doctor of Health Research (DHRes); Doctor of Heritage (DHeritage); Doctor of Management (DMan); Doctorate in Medicine (MD), Doctor of Project Management (DPM) and Doctor of Psychotherapy (DPsych).*

*A Professional Doctoral Degree shall be awarded to a candidate who has completed successfully an approved programme of supervised research and who has thereby investigated and evaluated critically one or more approved topics and their associated literature, resulting in an independent and original contribution to the professional discipline and has presented a thesis in accordance with the regulations and defended it in an oral examination to the satisfaction of the examiners.*

## 4 MASTER'S DEGREES

### 4.1 Master's degrees (Honorary)

Hon MA	Master of Arts
Hon MLitt	Master of Letters
Hon MEd	Master of Education
Hon LL M	Master of Laws
Hon MSc	Master of Science

Regulations for the award of Honorary Master's degrees are set out in UPR AS04<sup>8</sup>.

### 4.2 Master's degrees (by research)

MPhil	Master of Philosophy
MA	Master of Arts
Med	Master of Education
MSc	Master of Science
MRes	Master of Research

<sup>12</sup>

UPR AS18 'PhD (Professional Doctorate) – Generic Regulations'

**4.2, A Master of Philosophy (MPhil)**

(UPR AS18<sup>12</sup>, and UPR AS10<sup>11</sup>, refer.)

*The standard of the MPhil is that expected of a graduate who has critically investigated and evaluated an approved topic and its associated literature and demonstrated an understanding of research methods appropriate to the chosen field and has presented and defended a thesis by oral examination to the satisfaction of the examiners.*

**4.2, B Master's awards (research)**

(UPR AS10<sup>11</sup>, refers.)

*Master of Arts (MA), Master of Education (MEd) and Master of Science (MSc)*

*The degrees of Master of Arts, Master of Education and Master of Science shall be awarded to a candidate who, having completed a programme of research training based upon the execution of one or more investigations, has presented a portfolio of work in which the outcome of the investigation(s) is evaluated critically in terms of the associated literature and in which there is evidence of the candidate's understanding of the appropriateness of the chosen research methodologies and who has defended it by oral examination to the satisfaction of the examiners.*

**4.2, C Master of Research (MRes)**

*The degree of Master of Research shall be awarded to a candidate who, having completed an approved programme of research training which will normally include the execution of one or more investigations, has presented a portfolio of work which demonstrates understanding of research methodologies and their application and who has defended it by oral examination to the satisfaction of the examiners.*

**4.3 Master's degrees (taught)**

(This section should be read in conjunction with sections 2.1.6 and 2.1.7.)

The University awards the following Master's Degrees

MA	Master of Arts
MBA	Master of Business Administration
MEd	Master of Education
LLM	Master of Laws
MHMEd	Master of Health and Medical Education
MMid	Master of Midwifery
MPH	Master of Public Health
MSc	Master of Science
MTL	Masters in Teaching and Learning

Total credit at specified Level(s) normally required for an award (credit at a specified Level can be replaced by credit at a higher Level)	Typical duration of study required full-time	Minimum University of Hertfordshire credit and Level	Maximum combined APCL/ APEL, and Level					
			Total	0	4	5	6	7
<b>Taught Master's Degree (other than the Master of Business Administration):</b> 180 credits, to include at least 150 credits @ Level 7 (with no more than 15 credits below Level 6)	3 Semesters	45 @ 7	135		15		15	105
<b>Master of Business Administration:</b> 180 credits @ Level 7	3 Semesters	120 @ 7	60					60

4.3, A *Master of Arts (MA)*

*The title 'Master of Arts' is generally used in art and design, the arts and humanities, social sciences and in other areas of study where a more specialised title is not appropriate.*

4.3, B *Master of Business Administration (Executive) (MBA Executive)*

*The title 'MBA (Executive)' is reserved for programmes which focus on the general principles and functions of management and the development of management skills. Students entering MBA (Executive) programmes must have appropriate practical experience and should normally be at least 23 years old on admission.*

4.3, C *Master of Business Administration (MBA)*

*The title 'MBA' is reserved for programmes which focus on the general principles and functions of management and the development of management skills.*

*Students entering MBA programmes should normally have a first degree at 2:2 or above and at least three (3) years relevant experience in a management role.*

4.3, D *Master of Education (MEd)*

*The title 'MEd' is reserved for programmes focused on education and professional practice in teaching.*

4.3, E *Master of Laws (LLM)*

*The title 'Master of Laws' is generally used where studies are substantially based on law and its applications.*

4.3, F *Master of Health and Medical Education (MHMEd)*

*The title 'Master of Health and Medical Education' is reserved for programmes focussed on health and medical education and professional development.*

4.3, G *Master of Midwifery (MMid)*

*(Award approved with effect from 1 September 2012<sup>2</sup>)*

*The title 'Master of Midwifery' is reserved for programmes of specialised postgraduate study that focus on the science and practice of midwifery.*

**4.3, H Master of Public Health (MPH)**

*The title ‘Master of Public Health’ is reserved for programmes of specialised postgraduate study that focus on the science and art of preventing disease, prolonging life, and promoting health through the organised efforts of society.*

**4.3, I Master of Science (MSc)**

*The title ‘Master of Science’ is generally used where studies are substantially based on science, engineering or mathematics and their applications. It can also be used in social sciences.*

**4.3, J Masters in Teaching and Learning (MTL)**

*The title of ‘Masters in Teaching and Learning’ is reserved for programmes focused on education and professional practice in teaching.*

**5 OTHER POSTGRADUATE AWARDS**

(This section should be read in conjunction with sections 2.1.6 and 2.1.7.)

The University awards the following other postgraduate awards.

PgDip	Postgraduate Diploma
PGCE	Postgraduate Certificate in Education
DMS	Diploma in Management Studies
PgCert	Postgraduate Certificate
CMS	Postgraduate Certificate in Management Studies

Total credit at specified Level(s) normally required for an award (credit at a specified Level can be replaced by credit at a higher Level)	Typical duration of study required full-time	Minimum University of Hertfordshire credit and Level	Maximum combined APCL/ APEL, and Level					
			Total	0	4	5	6	7
<b>Postgraduate Diploma:</b> 120 credits, to include at least 90 credits @ Level 7 (with no more than 15 credits below Level 6)	2 Semesters	30 @ 7	90		15		15	60
<b>Postgraduate Certificate in Education:</b> 120 credits @ Level 6/7, to include at least 60 credits @ Level 7	2 Semesters	30 @ 7	90*				60	30
<b>Diploma in Management Studies:</b> 120 credits, to include at least 90 credits @ Level 7 (with no more than 15 credits below Level 6)	2 Semesters	30 @ 7	90		15		15	60
<b>Postgraduate Certificate:</b> 60 credits, to include at least 45 credits @ Level 7	1 Semester	30 @ 7	30		15			15
<b>Postgraduate Certificate in Management Studies:</b> 60 credits, to include at least 45 credits @ Level 7	1 Semester	30 @ 7	30		15			15

**5, A Postgraduate Diploma (PgDip)**

*Refer to table (above). This award is available as a named award only.*

**5, B Postgraduate Certificate in Education (PGCE)\***

*The title ‘Postgraduate Certificate in Education’ is reserved for programmes which enable degree graduates to complete initial training for teaching/lecturing.*

*\* APL not applicable for full-time students on PGCE or ProfGradCE programmes.*

**5, C Diploma in Management Studies (DMS)**

*The Diploma in Management Studies is a post-experience award, designed to meet the needs of those individuals who wish to achieve a range of general management knowledge, skills and competences.*

*It is suitable for a variety of candidates with the potential to meet the learning demands of Postgraduate Diploma programmes, including graduates from a variety of disciplines and mature and experienced managers. Entrants would normally be expected to have at least three (**3**) years of relevant management experience.*

**5, D Postgraduate Certificate (PgCert)**

*Refer to table (above).*

**5, E Postgraduate Certificate in Management Studies (CMS)**

*The Postgraduate Certificate in Management Studies is a post-experience award, designed to meet the needs of those individuals who wish to achieve a range of general management knowledge, skills and competences.*

*It is suitable for a variety of candidates with the potential to meet the learning demands of Postgraduate Certificate programmes, including graduates from a variety of disciplines and mature and experienced managers. Entrants would normally be expected to have at least two (**2**) years of relevant management experience.*

**6 POST-EXPERIENCE AND GRADUATE AWARDS**

(This section should be read in conjunction with sections 2.1.6 and 2.1.7.)

The University awards the following post-experience and graduate awards.

ProfGradCE	Professional Graduate Certificate in Education
GradDip	Graduate Diploma
GradCert	Graduate Certificate
PCSP	Practice Certificate in Supplementary Prescribing
PCIP	Practice Certificate in Independent Prescribing
CertPD	Certificate in Professional Development
DipPD	Diploma in Professional Development

Total credit at specified Level(s) normally required for an award (credit at a specified Level can be replaced by credit at a higher Level)	Typical duration of study required full-time	Minimum University of Hertfordshire credit and Level	Maximum combined APL/ APEL, and Level					
			Total	0	4	5	6	7
<b>Professional Graduate Certificate in Education:</b> 120 credits @ Level 6	2 Semesters	30 @ 6	90*				90	
<b>Graduate Diploma:</b> 120 credits, of which at least 90 must be @ Level 6 and no more than 15 below Level 5	2 Semesters	30 @ 6	90		15	15	60	
<b>Graduate Certificate:</b> 60 credits, of which at least 45 must be @ Level 6	1 Semester	30 @ 6	30		15		15	
<b>Practice Certificate in Supplementary Prescribing:</b> 30 credits @ Level 6/7	2 Semesters	30 @ 6	0					
<b>Practice Certificate in Independent Prescribing:</b> 30 credits @ Level 6/7	2 Semesters	30 @ 6/7	0					
<b>Certificate in Professional Development:</b> 30 credits @ Level 7/6/5/4	1 Semester	30 @ 7/6/5/4	0					
<b>Diploma in Professional Development:</b> 60 credits @ Level 7/6/5/4	1 Semester	60 @ 7/6/5/4	0					

6, A *Professional Graduate Certificate in Education (ProfGradCE)\**

*The title 'Professional Graduate Certificate in Education' is reserved for programmes which enable degree graduates to complete initial training for teaching/lecturing.*

*\* APL not applicable for full-time students on PGCE or ProfGradCE programmes.*

6, B *Graduate Diploma (GradDip)*

*The Graduate Diploma is normally based largely on undergraduate material and is normally reserved for those who have a first degree in another discipline.*

6, C *Graduate Certificate (GradCert)*

*The Graduate Certificate is normally based largely on undergraduate material and is normally reserved for those who have a first degree in another discipline.*

6, D *Practice Certificate in Supplementary Prescribing (PCSP)*

*The Practice Certificate in Supplementary Prescribing is an award reserved for students who are practicing health professionals registered with a relevant Professional or Statutory - Regulatory Body and who have met the standards set for supplementary prescribing.*

6, E *Practice Certificate in Independent Prescribing (PCIP)*

*The Practice Certificate in Independent Prescribing is an award reserved for students who are practicing health professionals registered with a relevant Professional or Statutory-Regulatory Body and who have met the standards set for independent prescribing.*

6, F *Certificate in Professional Development (CertPD)*

*The Certificate in Professional Development is normally reserved for those who have accumulated credit through work-based learning or further study as part of continuous*

*professional development activity. The Certificate in Professional Development is only available through the University Credit Accumulation and Transfer Scheme (CATS) programme.*

**6,G Diploma in Professional Development (DipPD)**

*The Diploma in Professional Development is normally reserved for those who have accumulated credit through work-based learning or further study as part of continuous professional development activity. The Diploma in Professional Development is only available through the University Credit Accumulation and Transfer Scheme (CATS) programme.*

**7 INTEGRATED MASTER'S DEGREES**

This section should be read in conjunction with sections 2.1.6 and 2.1.7.

The University confers the following Integrated Master's Degrees as *first degrees*:

MEng	Master of Engineering
MPPharm	Master of Pharmacy
MPhys	Master of Physics
MOptom	Master of Optometry

Total credit at specified Level(s) normally required for an award (credit at a specified Level can be replaced by credit at a higher Level)	Typical duration of study required full-time	Minimum University of Hertfordshire credit and Level	Maximum combined APCL/APEL, and Level					
			Total	0	4	5	6	7
<b>Integrated Master's Degree:</b> 480 credits, including at least 360 @ Level 7/6/5, of which at least 240 must be @ Level 7/6 and at least 120 must be @ Level 7	8 Semesters	120 @ 7	360		120	120	120	

**7, A Master of Engineering (MEng)**

*The title 'Master of Engineering' is reserved for undergraduate programmes in engineering or computer science which extend beyond the level and duration of programmes leading to the Bachelor's Degrees with Honours.*

**7, B Master of Physics (MPhys)**

*The title 'Master of Physics' is reserved for undergraduate programmes in physics which extend beyond the level and duration of programmes leading to the Bachelor of Science Degrees with Honours in Applied Physics and Astrophysics.*

**7, C Master of Pharmacy (MPPharm)**

*The title 'Master of Pharmacy' is reserved for an undergraduate programme in Pharmacy. The title is approved by the Royal Pharmaceutical Society of Great Britain.*

**7, D Master of Optometry (MOptom)**

*The title 'Master of Optometry' is reserved for undergraduate programmes in Optometry which integrate the practice component required for registration as an Optometrist. The title is regulated by the General Optical Council*

8

## BACHELOR'S DEGREES

This section should be read in conjunction with sections 2.1.6 and 2.1.7.

The University awards the following Bachelor's degrees:

BEdE	Extended Bachelor of Education
BA	Bachelor of Arts
BEd	Bachelor of Education
BEng	Bachelor of Engineering
LL B	Bachelor of Laws
BSc	Bachelor of Science

Total credit at specified Level(s) normally required for an award (credit at a specified Level can be replaced by credit at a higher Level)	Typical duration of study required full-time	Minimum University of Hertfordshire credit and Level	Maximum combined APCL/ APEL, and Level					
			Total	0	4	5	6	7
<b>Extended Bachelor's Degree with Honours:</b> 480 credits, including at least 360 @ Level 6/5, of which at least 240 must be @ Level 6	8 Semesters	120 @ 6	360		120	120	120	
<b>Bachelor's Degree with Honours (classified):</b> 360 credits, including at least 240 @ Level 6/5, of which at least 120 must be @ Level 6	6 Semesters	90 @ 6	270		120	120	30	
<b>Bachelor's Degree with Honours (without classification):</b> 360 credits, including at least 240 @ Level 6/5, of which at least 120 must be @ Level 6	6 Semesters	90 @ 6	270		120	120	30	
<b>Bachelor's Degree (without Honours):</b> 300 credits, including at least 180 @ Level 6/5, of which at least 60 must be @ Level 6	6 Semesters	75 @ 5/6	225		120	105		

8, A *Extended Bachelor of Education (BEdE)*

*The extended BEd (BEdE) is used in relation to certain University of Hertfordshire programmes franchised to partner organisations located outside the UK to satisfy the teaching qualification requirements in the country concerned.*

8, B *Bachelor's Degree with Honours (Classified)*

*Refer to table (above).*

8, C *Bachelor's Degree with Honours (without classification)*

*This award should normally be used only where there is considered to be insufficient evidence (for instance, insufficient graded credit) for classification.*

8, D *Bachelor's Degree (without Honours)*

*Refer to table (above). This award is available as a named award only.*

**8, E Bachelor of Arts (BA)**

*The title ‘Bachelor of Arts’ is traditionally used in art and design, the arts and humanities, including Joint Honours, social studies, and business studies, where appropriate. The title ‘BA Business Studies’ is reserved for programmes of study leading to an award in the sandwich mode.*

**8, F Bachelor of Education (BEd)**

*The title ‘Bachelor of Education’ is traditionally used for programmes which provide initial teacher education and include substantial periods of school placement.*

*A two (2) year BEd for students with overseas entry qualifications which are equivalent to one (1) year’s higher education study, is also available.*

**8, G Bachelor of Engineering (BEng)**

*The title ‘Bachelor of Engineering’ is reserved for programmes which provide a technologically broad education with an emphasis on engineering applications, primarily those programmes that may lead to registration with the Engineering Council.*

**8, H Bachelor of Laws (LL B)**

*The title ‘Bachelor of Laws’ is reserved for programmes of specialised study in law and may be given only to those students who achieve a Bachelor’s degree (with or without Honours). Those graduates who meet the requirements of the Solicitors Regulation Authority (awarded LL B (with Honours) Qualifying) shall be distinguished from those who do not (awarded LL B (with or without Honours) Non-Qualifying). Programmes where legal and other studies are combined will not lead to an LL B.*

**8, I Bachelor of Science (BSc)**

*The title ‘Bachelor of Science’ is traditionally used where studies are substantially based on science or mathematics and their applications. This may include social sciences and Joint Honours, where appropriate.*

**9 FOUNDATION DEGREES**

The University awards the following Foundation degrees:

FdA	Foundation Degree (Arts)
FdSc	Foundation Degree (Science)

Total credit at specified Level(s) normally required for an award (credit at a specified Level can be replaced by credit at a higher Level)	Typical duration of study required full-time	Minimum University of Hertfordshire credit and Level	Maximum combined APCL/ APEL, and Level					
			Total	0	4	5	6	7
<b>Foundation Degree:</b> 240 credits, including at least 120 credits @ Level 5	4 Semesters	60 @ 5	180		120	60		

**9, A Foundation Degree (Arts) (FdA) and Foundation Degree (Science) (FdSc)**

*The title Foundation Degree is used for programmes which integrate academic and work-based learning through collaboration between employers and programme providers.*

## 10 OTHER UNDERGRADUATE AWARDS

The University awards the following other undergraduate awards:

EnhD	Enhanced Diploma
EDM	Enhanced Diploma of Midwifery
DipHE	Diploma of Higher Education
Dip	University Diploma
CertEd	Certificate in Education
CertHE	Certificate of Higher Education
EnhCert	Enhanced University Certificate
Cert	University Certificate
FCert	Foundation Certificate

Total credit at specified Level(s) normally required for an award (credit at a specified Level can be replaced by credit at a higher Level)	Typical duration of study required full-time	Minimum University of Hertfordshire credit and Level	Maximum combined APCL/APEL, and Level					
			Total	0	4	5	6	7
<b>Enhanced Diploma:</b> 360 credits, including at least 195 @ Level 6/5, of which at least 45 must be @ Level 6	6 Semesters	90 @ 5/6	270		165	105		
<b>Enhanced Diploma of Midwifery:</b> 360 credits, including at least 195 @ Level 6/5, of which at least 45 must be @ Level 6	6 Semesters	360 @ 5/6	0					
<b>Diploma of Higher Education:</b> 240 credits, including at least 120 @ Level 5	4 Semesters	60 @ 5	180		120	60		
<b>University Diploma:</b> 180 credits, including at least 60 @ Level 5	3 Semesters	45 @ 5	135		120	15		
<b>Certificate in Education:</b> 120 credits @ Level 4	2 Semesters	30 @ 4	90		90			
<b>Certificate of Higher Education:</b> 120 credits @ Level 4	2 Semesters	30 @ 4	90		90			
<b>Enhanced University Certificate:</b> 75 credits @ Level 4	2 Semesters	30 @ 4	45		45			
<b>University Certificate:</b> 45 credits @ Level 4	1 Semester	30 @ 4	15		15			
<b>Foundation Certificate:</b> 120 credits @ Level 0	2 Semesters	30 @ 0	90	90				

### 10, A *Enhanced Diploma (EnhD)*

*The title 'Enhanced Diploma' is reserved for pre-registration nursing and midwifery programmes.*

### 10, B *Enhanced Diploma of Midwifery (EDM)*

*Refer to table (above).*

### 10, C *Diploma of Higher Education (DipHE)*

*Refer to table (above).*

### 10, D *University Diploma (Dip)*

*Refer to table (above). This award is available as a final intended award only.*

**10, E Certificate in Education (CertEd)**

*The title ‘Certificate in Education’ is reserved for programmes of study related to teaching or lecturing. Programme regulations must indicate the level of the programme.*

**10, F Certificate of Higher Education (CertHE)**

*Refer to table (above).*

**10, G Enhanced University Certificate (EnhCert)**

*The Enhanced University Certificate is reserved for Learning Support programmes in the School of Education.*

**10, H University Certificate (Cert)**

*Refer to table (above). This award is available as an unnamed interim award or a named final intended award only.*

**10, I Foundation Certificate (FCert)<sup>13</sup>**

*Refer to table (above).*

**11 BTEC/EDEXCEL AWARDS**

The following awards are conferred by the University under licence from BTEC/Edexcel:

HND	Higher National Diploma
HNC	Higher National Certificate
NVQ	National Vocational Qualification

Total credit at specified Level(s) normally required for an award (credit at a specified Level can be replaced by credit at a higher Level)	Typical duration of study required full-time	Minimum University of Hertfordshire credit and Level	Maximum combined APCL/ APEL, and Level					
			Total	0	4	5	6	7
<b>Higher National Diploma:</b> 240 credits, including at least 120 @ Level 5	4 Semesters	60 @ 5	180		120	60		
<b>Higher National Certificate:</b> 150 credits, including at least 75 @ Level 5	3 Semesters	45 @ 5	105		75	30		

**11, A Higher National Diploma (HND)**

*Refer to table (above).*

**11, B Higher National Certificate (HNC)**

*Refer to table (above).*

---

<sup>13</sup> Effective 12 March 2008 (Minute 455, Academic Board, 12 March 2008, refers.)

## 12 SPECIAL AWARDS

The University confers the following special awards:

AUH              Associate of the University of Hertfordshire  
 DWE              Diploma in Work Experience

Total credit at specified Level(s) normally required for an award (credit at a specified Level can be replaced by credit at a higher Level)	Typical duration of study required full-time	Minimum University of Hertfordshire credit and Level	Maximum combined APCL/APEL, and Level					
			Total	0	4	5	6	7
<b>Diploma in Work Experience:</b> 60 credits @ Level 5/6		30 @ 5/6	30			30		

- 12, A    *Associate of the University of Hertfordshire (AUH)*

*An individual who was enrolled as a student of and attended a predecessor institution of the University of Hertfordshire, and who thereby qualified for a post-secondary level award from an awarding body other than the University of Hertfordshire, may be admitted ad eundem to the Associateship of the University of Hertfordshire.*

- 12, B    *Diploma in Work Experience (DWE)*

*This award is available only in association with certain first degree awards where the programme includes periods of supervised work or training experience outside the University.*

## 13 GENERIC LEARNING OUTCOMES FOR UNNAMED UNIVERSITY OF HERTFORDSHIRE INTERIM AWARDS

- 13.1 The following un-named interim awards are available on University of Hertfordshire programmes:

Target award	Possible interim awards	Minimum credit requirements and Level			
		4	5	6	7
Foundation Degree	University Certificate	45			
	Certificate of Higher Education	120			
Bachelor's degree with honours and Integrated Master's Degree	University Certificate	45			
	Certificate of Higher Education	120			
	Diploma of Higher Education	120	120		
Master's degree and Postgraduate Diploma	Postgraduate Certificate	15			45

- 13.2 An unnamed Cert, CertHE, DipHE or PGCert is awarded when a student has achieved the requisite number of credits at the appropriate level and no named interim award was approved when the final intended award was validated. They are unnamed awards, and therefore the programme learning outcomes are not an appropriate point of reference in determining the learning outcomes the student has achieved.

13.3 The following generic learning outcomes have been adapted from the QAA Framework for HE Qualifications (FHEQ) qualification descriptors<sup>14</sup>:

13.3.1 University Certificate (Cert)

University Certificates (Cert) are awarded to students at the University of Hertfordshire who:

- i have demonstrated:
  - a knowledge of the underlying concepts and principles associated with their area(s) of study;
  - b an ability to develop lines of argument in accordance with basic theories and concepts of their subject(s) of study;
- ii are able to:
  - a communicate the results of their study/work accurately and reliably, and with structured and coherent arguments;
  - b undertake further training and develop new skills within a structured and managed environment;

13.3.2 Certificate of Higher Education (CertHE)

Certificates of Higher Education (CertHE) are awarded to students at the University of Hertfordshire who:

- i have demonstrated:
  - a knowledge of the underlying concepts and principles associated with their area(s) of study, and an ability to evaluate and interpret these within the context of that area of study;
  - b an ability to present, evaluate and interpret qualitative and quantitative data, in order to develop lines of argument and make sound judgements in accordance with basic theories and concepts of their subject(s) of study;
- ii are able to:
  - a evaluate the appropriateness of different approaches to solving problems related to their area(s) of study and/or work;
  - b communicate the results of their study/work accurately and reliably, and with structured and coherent arguments;
  - c undertake further training and develop new skills within a structured and managed environment;
- iii have the qualities and transferable skills necessary for employment requiring the exercise of some personal responsibility;

13.3.3 Diploma of Higher Education (DipHE)

Diplomas of Higher Education (DipHE) are awarded to students at the University of Hertfordshire who:

- i have demonstrated:
  - a knowledge and critical understanding of the well-established principles of their area(s) of study, and of the way in which those principles have developed;

<sup>14</sup>

<http://www.qaa.ac.uk/en/Publications/Documents/qualifications-frameworks.pdf>

- b ability to apply underlying concepts and principles outside the context in which they were first studied, including, where appropriate, the application of those principles in an employment context;
  - c knowledge of the main methods of enquiry in the subject(s) relevant to the named award, and ability to evaluate critically the appropriateness of different approaches to solving problems in the field of study;
  - d an understanding of the limits of their knowledge, and how this influences analyses and interpretations based on that knowledge;
- ii are able to:
    - a use a range of established techniques to initiate and undertake critical analysis of information, and to propose solutions to problems arising from that analysis;
    - b effectively communicate information, arguments and analysis in a variety of forms to specialist and non-specialist audiences and deploy key techniques of the discipline effectively;
    - c undertake further training, develop existing skills and acquire new competences that will enable them to assume significant responsibility within organisations;
  - iii have the qualities and transferable skills necessary for employment requiring the exercise of personal responsibility and decision-making.

#### 13.3.4 Postgraduate Certificate (PGCert)

Postgraduate Certificates (PgCert) are awarded to students at the University of Hertfordshire who:

- i have demonstrated:
  - a a systematic understanding of knowledge, and an awareness of current problems and/or new insights within their academic discipline, field of study or area of professional practice;
  - b an understanding of techniques applicable to research or scholarship in the field of study;
  - c conceptual understanding that enables the student to evaluate current research in the discipline;
- ii are able to:
  - a demonstrate self-direction and act autonomously in planning and implementing tasks at a professional or equivalent level;
  - b continue to advance their knowledge and understanding, and to develop new skills to a high level;
- iii have the qualities and transferable skills necessary for employment requiring:
  - a the exercise of initiative and personal responsibility;
  - b the independent learning ability required for continuing professional development.

**14 AEGROTAT AND POSTHUMOUS AWARDS**

- 14.1 The Aegrotat is an unclassified (non-Honours) undergraduate award or a postgraduate award carrying no classification or other mark of quality. It may be made available in respect of all approved awards subject to the criteria established in section D8, UPR AS14<sup>4</sup>.
- 14.2 Any award of the University, other than honorary awards, may be conferred posthumously and accepted on behalf of the candidate by a parent, spouse, partner or other appropriate person. All usual conditions of the award must normally have been satisfied, subject to the criteria established in section D8, UPR AS14<sup>4</sup>.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## STRUCTURE AND ASSESSMENT REGULATIONS – UNDERGRADUATE AND TAUGHT POSTGRADUATE PROGRAMMES<sup>A</sup>

### SUMMARY OF PRINCIPAL CHANGES

#### General changes

None

#### Section

C1.10	Director of Academic Quality Assurance delegated to approve alternative chairmen of Boards of Examiners
C2	Circumstances and process for taking Chairman's Action
C4.3.3v, D1.1, D4.4.2, D4.5.2, D5.3.3, D5.3.4, D8	Introduction of a Grade Point Average (GPA) system
D1.2, D5.3.4	Choice of replacement modules where a student is awarded FNFA status

(Amendments to version 09.1, UPR AS14, are shown in italics.)

### Structure

#### INTRODUCTION

A1      **Semesters**  
A2      **Modules and credit-bearing short courses**

- A2.1 **Definition of a module**
- A2.2 **Definition of a credit-bearing short course**
- A2.4 **Definition of module/short course size and credit points**
- A2.5 **Permissible shape of modules and short courses**
- A2.6 **Definition of module/short course level**
- A2.7 **Definition of Serious Adverse Circumstances**

A3      **Awards, programmes and courses**  
A4      **Normal and maximum study rates within an academic year**

- A4.1 **Normal study rate - full-time undergraduate**
- A4.2 **Maximum study rate – full-time undergraduate**
- A4.3 **Normal study rate – full-time taught postgraduate**
- A4.4 **Maximum study rate – full-time taught postgraduate**
- A4.5 **Maximum study rate - part-time students**
- A4.6 **Maximum study rates for individual students**
- A4.7 **Applications for further exceptions to the maximum study rate**

#### B      PRINCIPLES OF ASSESSMENT AND AWARD

B1      **General framework for assessment**  
B2      **The purpose of assessment**  
B3      **The scope of assessment regulations**  
B4      **Responsibility for assessment and conferment regulations**

- B.4.2 **Approval of variations to the assessment and conferment regulations**

B5      **Authority of the Academic Board**  
B6      **Vice-Chancellor**

<sup>A</sup>

#### Note A for Partner Organisations (UK and overseas)

This UPR applies in full to all franchised programmes. Organisations will have their own standard operating procedures although they may refer to the Academic Registrar (Academic Services) at the University for guidance. Where programmes are conducted under validated arrangements, the principles and conduct of assessment must be set out in the approved programme documentation.

C **BOARDS OF EXAMINERS**

C1 **General regulations for Boards of Examiners**

C2 ***Chairman's Action on behalf of a Board of Examiners***

C3 **Module Boards of Examiners (Module Boards) and Short Course Boards of Examiners (Short Course Boards)**

C3.3 **Composition of Module Boards and Short Course Boards**

C3.4 **Responsibilities of Module Boards and Short Course Boards**

C3.5 **Involvement of External Examiners in Module Boards and Short Course Boards**

C3.6 **Issue of results**

C3.7 **Assessment Panels**

C3.8 **Serious Adverse Circumstances**

C3.9 **Cheating, plagiarism, collusion and other Academic Misconduct/Assessment Offences**

C4 **Programme Boards of Examiners (Programme Boards)**

C4.2 **Composition of Programme Boards**

C4.3 **Powers and responsibilities of Programme Boards**

C4.4 **Programme External Examiners**

D **ASSESSMENT AND AWARD REGULATIONS**

D1 **Module and Short Course assessment grading**

D1.1 **Interpretation of grades**

D1.2 **Interpretation of module status codes**

D2 **Consideration of results**

D3 **Interim awards and progression**

D4 **Final Compensatory credit**

D4.4 **Final Compensatory credit for undergraduate programmes**

D4.5 **Final compensatory credit for postgraduate (taught) awards (including Integrated Master's Degrees)**

D5 **Deferral, Referral, Re-enrolment**

D5.1 **Deferred assessments**

D5.2 **Referral**

D5.2.2 **Referral in undergraduate programmes**

D5.2.3 **Referral in postgraduate programmes**

D5.3 **Re-enrolment**

D5.4 **Availability of Reassessment Opportunities (by Referral, Deferral or Re-enrolment)**

D5.5 **Alternatives to Reassessment**

D6 **Final awards – Honours classification**

D6.1 **Calculation of overall classification grade for Honours classification (Bachelor's Degree)**

D6.2 **Calculation of overall classification grade for Honours classification (Integrated Master's Degree)**

D6.3 **Recommendation for an Honours classification**

D7 **Final awards – Awards with distinction and commendation**

D7.2 **Criteria for conferring University awards 'with Distinction' or 'with Commendation'**

D8	<b>Final awards – Determination of a Grade Point Average (GPA)</b>
D9	<b>Valid reasons for poor performance</b>
D10	<b>Reassessment for award</b>
	<b>D10.2 Reassessment for award - undergraduate programmes</b>
	<b>D10.3 Reassessment for award - postgraduate programmes</b>
D11	<b>Viva Voce examinations</b>
D12	<b>Students' fitness to practise</b>
	<b>D12.4 Where a student is permitted, exceptionally, to continue on the programme</b>
	<b>D12.5 Where a student is permitted, exceptionally, to transfer to another programme</b>
D13	<b>Arrangements for collaborative programmes</b>
E	<b>EXTERNAL EXAMINERS</b>
E1	<b>General information</b>
	<b>E1.1 Programme External Examiners</b>
	<b>E1.2 Module External Examiners</b>
	<b>E1.3 Short Course External Examiners</b>
E2	<b>Role, responsibilities, rights and duties of Programme External Examiners</b>
E3	<b>Role, responsibilities, rights and duties of Module External Examiners and Short Course External Examiners</b>
E4	<b>Matters of concern to External Examiners</b>
E5	<b>Disagreements between or with External Examiners</b>

---

## INTRODUCTION

These regulations have been approved by the Academic Board. With the exception of examinations and assessments deferred or referred from the Academic Year 2017-2018, the regulations, procedures and guidelines set out in this document will apply to all examinations and assessments conducted on or after 1 September 2017<sup>B</sup>.

These regulations have been developed to give effect to a resolution by the Academic Board that Common Assessment Regulations and a Common Academic Structure should be adopted for all taught programmes, modules and credit-bearing short courses capable of leading to awards of the University (including most of those offered in collaboration with other organisations).

The regulations for externally validated programmes, modules and credit-bearing short courses will be considered on an individual basis as part of the normal validation and monitoring process (UPR AS17<sup>C</sup>, refers).

No deviations from the mandatory elements of these regulations will be allowed, unless they have been notified in advance and supported by an explicit justification found acceptable by the Vice-Chancellor (or nominee). The Student Educational Experience Committee of the Academic Board will ensure that these regulations are maintained, referring any issues of principle to the Academic Board for decision.

The Academic Board has determined that all short courses offered by the University of Hertfordshire will conform to a Flexible Credit Framework<sup>D</sup>.

---

<sup>B</sup> **Academic Board Minutes:** 680.3, 9 June 2010; 9.2, 16 March 2011; 52.2, 15 June 2011, 123.3, 14 March 2012; 159.3, 20 June 2012, 193, 19 July 2012; 282.2, 19 June 2013; 359, 12 March 2014; 402, 25 June 2014; 480, 11 March 2015; 512, 24 June 2015; 621, 22 June 2016, 693.3, 15 March 2017; 724 21 June 2017 refer.

**SWP Minutes:** 348.3, 8 June 2017

**C** UPR AS17 'Academic Quality' (Academic Quality Policies and Regulations)

**D** **Academic Board Minute:** 528.3, 12 November 2008, refers.

## A DEFINITIONS AND REGULATIONS RELATING TO TEACHING

### A1 Semesters

The academic session is divided for the purpose of student contact, including induction, advice, teaching, examining and assessment purposes, into semesters on the basis of an agreed common University calendar.

### A2 Modules and credit-bearing short courses

#### A2.1 Definition of a module

A module is defined as a self-contained quantum of study which is part of a validated programme of study, with defined intended learning outcomes, syllabus, and assessments, which measures knowledge/skill.

#### A2.2 Definition of a credit-bearing short course

A University of Hertfordshire Credit Bearing Short Course ('short course') is defined as a self-contained quantum of study, with defined intended learning outcomes, syllabus and assessments which measure these outcomes. A short course is not part of a defined programme of study leading to a University of Hertfordshire award, as defined in UPR GV08<sup>E</sup>, but the credit achieved may contribute to a University of Hertfordshire award.

#### A2.3 Module and short courses are further defined:

- i by the identifier code allocated by the Academic Registry which will be adopted;
- ii by the Level (see section A2.6 'Definition of module/short course level');
- iii normally by the academic School which has quality assurance responsibility for it.

**(NOTE:**

- 1 Although modules are approved and offered as part of a validated programme of study, they may additionally (but not instead) be offered on a standalone basis.
- 2 It is possible for similar modules to share some elements. For instance, similar modules may share part or all of the same lecture series or share some of the coursework assessment or questions on the examination papers. However, the differences should be recorded by having separate identifier codes, separate Definitive Module Documents and recognisable differences in the learning outcomes recorded for each module.)

In addition, a module may:

- i have other modules as a pre-requisite; be a pre-requisite for other modules or have prohibited combinations;
- ii be core or optional for awards available under one or more programmes.

**(NOTE:**

- 3 When individual modules are approved as part of an approved programme of study leading to an award, the regulations of that module are deemed to form part of the regulations for gaining the relevant award. The same module may be linked with a

---

<sup>E</sup> UPR GV08 'Terminology – Glossary of Approved University Terminology'

number of different delivery modes but modules should be assessed on the basis that the study time is in accordance with A2.4 'Definition of module/short course size and credit points' below.)

#### A2.4 **Definition of module/short course size and credit points**

The size of a module is **15** University credit points (which is equivalent to **7.5** European Credit Transfer System - ECTS - credit points) or integral multiples thereof.

The size of a short course is **5** University credit points (which is equivalent to **2.5** European Credit Transfer System - ECTS - credit points) or integral multiples thereof, up to a maximum of **30** University credit points.

An average student should be expected to devote approximately **150** hours of study per **15** credit points (including directed and independent study time). The maximum class contact time (including any timetabled laboratory time) per **15** credit points is **56** hours. Any deviation from this regulation requires the prior written approval of the Director of Academic Quality Assurance (or Deputy).

#### A2.5 **Permissible shape of modules and short courses**

i The permissible shape of modules is outlined in the table below.

Modules		Short Courses	
Credit points	Duration	Credit points	Duration
<b>15</b>	1 semester	<b>5</b>	Not specified
		<b>10</b>	Not specified
		<b>15</b>	Not specified
		<b>20</b>	Not specified
<b>30</b>	1 or 2 semesters	<b>25</b>	Not specified
		<b>30</b>	Not specified
		<b>45</b>	Not specified
<b>45</b>	1 or 2 semesters	<b>60</b>	Not specified
<b>60</b>	1 or 2 semesters		
<b>120</b>	2 semesters		

ii Only **15** credit point modules, which operate outside the conventional two (**2**) semester academic year, will be permitted to cross semester boundaries. Any exemptions will require the prior written consent of the Director of Academic Quality Assurance (or Deputy).

iii A module or short course shall be continuous without any breaks.

iv Assessment for a module shall be contained within the semester(s) within which it is being taught.

v A module with **60** credit points in one (**1**) semester or **120** credit points in two (**2**) semesters should only be used for major project work.

vi **For extended year programmes only** (which run over semesters A, B and C) the following are also permissible:

Credit points	Duration
<b>30</b>	3 semesters
<b>45</b>	3 semesters
<b>60</b>	3 semesters
<b>120</b>	3 semesters

## A2.6 Definition of module/short course level

All modules must be identified with one of the following Levels according to their academic function:

<b>Academic Level (also QAA Framework for Higher Education Qualifications Level, and Qualifications and Credit Framework level):</b>	<b>Description:</b>
<b>1</b>	The University recognises modules and awards at Level 1. These are reserved for Further Education level awards regulated by OfQual.
<b>2</b>	The University recognises modules and awards at Level 2. These are reserved for Further Education level awards regulated by OfQual.
<b>3</b>	The University recognises modules and awards at Level 3. These are reserved for Further Education level awards regulated by OfQual.
<b>0</b>	The University recognises modules and programmes of study at Level 0. These are designed for entrants to higher education who do not possess the appropriate entry qualifications for direct entry to specific programmes of study at Level 4. They may be offered as part of an extended degree programme or foundation programme.
<b>4</b> (previously Level 1)	Level 4 is typically equivalent to the standard of first year full-time degree study. Modules and short courses at this level will normally provide the basis for further study in a particular subject area.
<b>5</b> (previously Level 2)	Level 5 is typically equivalent to the standard of second year full-time degree study. Level 5 modules and short courses will normally develop study in a particular subject area in which students are beginning to specialise and typically assume some prior study of that subject at Level 4.
<b>6</b> (previously Level 3)	Level 6 modules and short courses represent in-depth, advanced or specialist study of a subject area and represent exit level standard for an Honours degree in that subject.  Level 6 modules may also be included in approved programmes of study leading to postgraduate awards, within the regulations for those awards (UPR AS11 <sup>F</sup> , refers).
<b>7</b> (previously Level M)	Level 7 modules and short courses represent exit level standard for a Master's degree in that subject.

<sup>F</sup>

UPR AS11 'Schedule of Awards'

(NOTE:

- 4 A module or short course may only be designated at a single Level. If there is a case for offering **exactly** the same module or short course to two groups of students, the first seeking, say, Level **5** credit and the second, say, Level **6** credit, then it should be designated as Level **6**.

If it is seen to be appropriate to offer two groups of students similar modules but different in, say, level of assessment, there should be two separate module codes, two separate Definitive Module Documents and some recognisable differences in the **learning outcomes** recorded for each module.)

A2.7 **Definition of Serious Adverse Circumstances**

Section C3.8, refers.

A3 **Awards, programmes and courses**

- A3.1 An **award** is a named qualification offered by the University in recognition of academic achievement. The list of awards that can be offered and the requirements for each type of award are listed in UPR AS11<sup>F</sup>. Individual named awards may have additional requirements that are set out in the Programme Specification for the set of awards to which it belongs.
- A3.2 A **programme of study** is the approved curriculum in terms of a set and sequence of modules followed by any individual student or group of students studying towards a particular named award.

- A3.3 The term '**course**' may be used to describe a set of modules which leads to a particular named award or set of awards which meet the overall programme aims and objectives or learning outcomes. A course may have prescribed modules and assessment regulations, including prerequisites and prohibited combinations of modules. Use of the term 'pathway' should be avoided in this and other contexts to minimise confusion.

- A3.4 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).

A4 **Normal and maximum study rates within an academic year**

A4.1 **Normal study rate - full-time undergraduate**

The normal rate of full-time study for undergraduates is **120** credit points per two (**2**) semester academic year or **180** credit points per three (**3**) Semester academic year for programmes designed with an accelerated study pattern.

A4.2 **Maximum study rate – full-time undergraduate**

- A4.2.1 Individual undergraduate students may increase their study rate to a maximum **150** credit points over a two (**2**) semester academic year (subject to timetabling constraints and including any additional modules which are not part of a validated programme of study), normally with the objective of retrieving previous failure. In order for this increased study rate to be approved, the student must have no more than **30** credit points of failure outstanding.
- A4.2.2 Individual undergraduate students may not increase their study rate above the maximum **180** credit points over a three (**3**) semester academic year (including any additional modules which are not part of a validated programme of study).

**A4.3 Normal study rate – full-time taught postgraduate**

The normal rate of full-time study for a student on a taught postgraduate programme is **180** credit points for one (1) calendar year and postgraduate programmes must not require a higher study rate.

**A4.4 Maximum study rate – full-time taught postgraduate**

Students studying for a taught postgraduate award may be permitted a higher study rate where necessary to retrieve failure and where agreed by the appropriate Associate Dean of School or Dean of School.

**A4.5 Maximum study rate - part-time students**

Undergraduate and taught postgraduate programmes should allow for part-time study rates, normally of not more than **75** credit points per two (2) semester academic year or up to **120** credit points over a year of more than two (2) semesters. Any exemptions will require the prior written consent of the Director of Academic Quality Assurance (or Deputy).

**A4.6 Maximum study rates for individual students**

Programme Boards of Examiners have the authority to restrict or counsel students to reduce their study rate on any programme of study. Individual students may be permitted to reduce their study rate or pattern of study, subject to availability of modules.

**A4.7 Applications for further exceptions to the maximum study rate**

Exceptionally, where there are strong traditions or requirements within particular disciplines, application may be made to the Academic Development Committee for approval in principle of a different study rate. The Student Educational Experience Committee of the Academic Board must confirm this approval at validation.

**B PRINCIPLES OF ASSESSMENT AND AWARD**

**B1 General framework for assessment**

- B1.1 The Academic Board has approved a Schedule of Awards and determined their standards (UPR AS11<sup>F</sup>, refers). The University registers the student on a programme which may embrace multiple awards. Students are normally registered as working towards the highest Level of award offered as part of that programme but each programme is required to also offer exit points with a lower Level of award. Students enrol on modules by which they can accumulate credit towards these awards. Cut-off dates, by which students must confirm enrolment and withdrawal, will be published by the Secretary and Registrar (or nominee).
- B1.2 Section 5, UPR AS12<sup>G</sup> and section 5, UPR AS13<sup>H</sup> stipulate minimum standards associated with assessment processes and should be referred to in implementing this framework for assessment. Associated guidance can be found on the University of Hertfordshire Learning and Teaching Innovation Centre Knowledge Exchange.

---

<sup>G</sup> UPR AS12 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (University-delivered provision)'<sup>G</sup>

<sup>H</sup> UPR AS13 Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (Partner Organisation-delivered provision')

**B2      The purpose of assessment**

The purpose of assessment is to enable students to demonstrate that they have essentially met the intended learning outcomes of a module or short course and achieved the standard required for the credit (and ultimately the award) they seek.

**B3      The scope of assessment regulations**

Deans of School are responsible for ensuring that these regulations (UPR AS14), programme-specific regulations and any module or short course-specific regulations are made known to students. The assessment requirements of an individual programme of study are normally subject both to these regulations (UPR AS14) and regulations specific to the programme within which that programme is being followed and students should be made aware of the detailed requirements of both sets of regulations.

**B4      Responsibility for assessment and conferment regulations**

**B4.1**    The Academic Board has overall responsibility for Assessment and Conferment Regulations and will:

- i      determine general examination policy and regulations;
- ii     establish both Module Boards of Examiners, Short Course Boards of Examiners and Programme Boards of Examiners and receive the titles of Boards and the names of their Chairmen;
- iii    consider matters referred to it by Boards of Examiners;
- iv     assure itself that appropriate arrangements exist for the appointment of External Examiners;
- v      ratify through the Secretary and Registrar (or nominee) the awards for all programmes of study showing the classes or grades of award made to successful students.

**B4.2     Approval of variations to the assessment and conferment regulations**

**(NOTE**

**5**      Significant deviations from the regulations set out in this document (UPR AS14) will be considered only in the case of Joint or Dual Awards with other degree-awarding bodies or where Professional or Statutory Regulatory Bodies specify alternative arrangements as a condition of approval.)

**i      Joint Awards**

Assessment regulations for Joint Awards will require the prior approval of the Standing Working Party on University Policies and Regulations of the Academic Board to which the Academic Board has delegated authority for this purpose, save and except that fundamental issues of academic principle and policy will be referred for decision by the Board itself and any approval given by the Standing Working Party reported to the Board at the earliest opportunity.

**ii      Approval of programme-specific assessment regulations which are not consistent with UPR AS14**

Such variations will require the specific, prior written approval of the Director of Academic Quality Assurance to whom the Academic Board has delegated authority for this purpose, save and except that fundamental issues of academic principle and policy will be referred for decision by the Board itself. Any variations so approved will be identified in the relevant Programme Specification.

**B5 Authority of the Academic Board**

- B5.1 The Academic Board has ultimate responsibility and authority for the decisions made by the University's Boards of Examiners. This responsibility is delegated to each Board of Examiners.
- B5.2 In very exceptional circumstances, for example, where it believes that a Programme, Module or Short Course 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 Board of Examiners. In such exceptional circumstances, the delegation of authority made to the Board of Examiners by the Academic Board would be temporarily revoked (Minute 725.3, Academic Board, 15 March 2000, refers).
- B5.3 The Academic Board has the power to withhold or withdraw an award. Examples of the circumstances in which the Board might exercise its authority are given in UPR AS11<sup>F</sup>.

**B6 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.

**C BOARDS OF EXAMINERS**

**C1 General regulations for Boards of Examiners**

- C1.1 The Vice-Chancellor, acting under the terms of a delegation of authority by the Academic Board, establishes Module Boards of Examiners, Short Course Boards of Examiners and Programme Boards of Examiners (section B.4.1, ii, refers). Module Boards and Short Course Boards are responsible for the award of grades to students on individual modules or short courses; Programme Boards are responsible for recommendations for the conferment of University awards and decisions on continuation on the basis of grades received from Module Boards and/or Short Course Boards.
- C1.2 Boards of Examiners are the only bodies authorised to assess students and must act in accordance with University, modules, short courses and programme assessment regulations. Within these regulations, Boards of Examiners have discretion in reaching decisions on the grades and awards to be recommended for individual students.
- C1.3 All Boards of Examiners are established by and accountable to the Academic Board and must conduct their business in accordance with the Standing Orders of the Academic Board.
- C1.4 All proceedings which relate to individual students are confidential to the members of the Board of Examiners concerned.
- C1.5 Boards of Examiners may not vary those of their decisions or recommendations which have been arrived at with the agreement of the External Examiner(s) without the approval of the External Examiner(s).
- C1.6 A Board's academic judgement cannot, on its own, be questioned or overturned. No other body or individual has authority to amend the decision of an approved and properly constituted Board of Examiners acting within its terms of reference and in accordance with assessment and conferment regulations unless the circumstances described in section B5 apply.

- C1.7 The title and Chairman of each Programme Board of Examiners will be recommended by the Dean of School responsible for the programme of study and must be approved by the Vice-Chancellor. The title of each Programme Board, the name of its Chairman and the dates on which it is scheduled to meet (and any subsequent amendments to this information) will be published by the School Administration Manager (or nominee) to the students concerned, and reported to the Academic Board.
- C1.8 The title and Chairman of each Module Board of Examiners will be recommended by the Dean of School responsible for the relevant modules and must be approved by the Vice-Chancellor. The title of each Module Board, the name of its Chairman and the dates on which it is scheduled to meet (and any subsequent amendments to this information) will be published by the School Administration Manager (or nominee) to the students concerned, and reported to the Academic Board.
- C1.9 The title and Chairman of each Short Course Board of Examiners will be recommended by the Dean of School responsible for the relevant short courses and must be approved by the Vice-Chancellor. The title of each Short Course Board, the name of its Chairman and the dates on which it is scheduled to meet (and any subsequent amendments to this information) will be published by the School Administration Manager (or nominee) to the students concerned, and reported to the Academic Board.
- C1.10 *In exceptional circumstances, the Director of Academic Quality Assurance has delegated authority to approve an alternative chairman of a Board of Examiners. The proposed alternative chairman must have prior experience of chairing meetings of Board of Examiners.*
- C1.11 Each Board of Examiners will be constituted in accordance with the relevant composition approved by the Academic Board as set out in C3.3 'Composition of Module Boards and Short Course Boards' and C4.2 'Composition of Programme Boards'. Provided that the University regulations requiring the attendance of External Examiners at specific meetings are observed, one half of the members of a Board of Examiners shall constitute a quorum.
- C1.12 In order to inform their decisions, Boards of Examiners may invite the attendance or comments of internal moderators and appropriate tutors not already members in some other capacity, such attendance not conferring rights of membership.
- C1.13 Students may be called to appear at a meeting of a Board of Examiners but they may not be a member or officer of a Board of Examiners or volunteer to attend an Examiners' meeting. The only exception to this is if a person qualified to be a member of a particular Board of Examiners (for example, as a member of academic staff) is co-terminously registered as a student under the authority of a different Board of Examiners; this will not, in itself, disqualify that person from carrying out normal examining commitments.
- C1.14 In order to avoid any suggestion of bias or favouritism, any member of staff who is a member or officer of a Board of Examiners (or who is otherwise involved in the assessment of students' work) having a present or past relationship with a candidate beyond the usual academic one is obliged to declare such an interest in confidence to his or her Dean of School and/or the Chairman of the appropriate Board of Examiners. (This would include, for example, a family, landlord/tenant, financial or consensual sexual relationship.)
- C1.15 The Dean of School or Chairman of the appropriate Board of Examiners should consider whether the relationship might be seen as casting doubt on the Examiner's ability to evaluate the candidate's work with the appropriate degree of impartiality and objectivity. He or she should then decide, in consultation with the Director of Academic Quality Assurance (or nominee), whether the member of staff may continue to serve as a member of the Board or whether any special arrangements should be made. The Examiner's Dean of School will consult the Chairman of the Board of Examiners if the membership or operation of the Board of Examiners is likely to be compromised in any way. If in doubt about the appropriate course of action, the Examiner's Dean of School should consult the Secretary and Registrar.

C2 **Chairman's Action on behalf of a Board of Examiners**

- C2.1 *Decisions or recommendations on student grades, continuation and awards will normally be considered at a Board of Examiners, and the University discourages the use of Chairman's action as a routine alternative method. However it is recognised that in particular circumstances it is necessary to make decisions or recommendations subsequent to these meetings. In such cases, the Chairman shall have delegated authority to take action, with or without consultation with Board members.*
- C2.2 *Chairman's Action should normally only be used:*
- i to fulfil a minuted Board decision to delegate authority, following completion of an action on an individual student (for example, a decision on progression following confirmation of an outstanding module grade, the outcome of a Student Academic Misconduct Panel, or acceptance of Serious Adverse Circumstances);*
  - ii where matters referred are considered by the Chairman to be non-contentious, to review a decision or recommendation when required to do so under the terms of the University's procedures for requesting a formal review of the decision or recommendation of a Board of Examiners (as appropriate Appendix I, UPR AS12 or Appendix I, UPR AS13, refers);*
  - iii to correct errors or omissions caused by administration processes.*
- C2.3 *Of the above, a Programme external examiner's approval and signature would usually only be required on recommendations affecting the final intended award of a student.*
- C2.4 *Chairman's Action should only be taken following recorded consultation with Board members:*
- i to make changes to grades or progression or award decisions for a cohort of students;*
  - ii to recommend a higher classification of award to an individual student;*
  - iii where matters referred are considered by the Chairman to be contentious, to review a decision or recommendation when required to do so under the terms of the University's procedures for requesting a formal review of the decision or recommendation of a Board of Examiners (as appropriate Appendix I, UPR AS12L or Appendix I, UPR AS13M, refers).*
- C2.5 *Following appropriate consultation and external examiner's approval (see sections C2.3 and C2.4, above), the Chairman has full delegated authority to make a decision or recommendation, which is not subject to subsequent ratification by the Board of Examiners. The decision or recommendation should only be re-opened if it is shown to be contrary to University regulations.*
- C2.6 *Chairman's Action should normally be taken by the Chairman of the Board of Examiners. However, in circumstances where the Chairman is unable to carry out Chairman's Action following the Board, the responsibility for those duties may exceptionally, and subject to the justified and recorded approval of the Dean of School, be delegated to an appropriate senior member of academic staff with experience of chairing Boards of Examiners.*
- C2.7 *All Chairman's actions must be recorded in the minutes of the next scheduled Board of Examiners meeting.*

**C3 Module Boards of Examiners (Module Boards) and Short Course Boards of Examiners (Short Course Boards)**

- C3.1 A Module Board must be established for every module and will typically cover one or more modules within a cognate subject area. Module Boards will meet and confirm grades before the meetings of relevant Programme Boards. A Module Board may also take responsibility for short courses within the same cognate subject area as the modules for which it has responsibility.
- C3.2 A Short Course Board must be established to cover every short course (unless it is covered by a Module Board (section C3.1, refers) and will typically cover one or more short courses within a cognate subject area.
- C3.3 **Composition of Module Boards and Short Course Boards**

A Module Board of Examiners or Short Course Board of Examiners shall be composed as follows:

- i a Chairman, nominated by the Dean of School and appointed by the Vice-Chancellor;  
(Chairmen of Module Boards of Examiners are not allowed to chair the Board whilst any modules or short courses are being considered for which they are either (a) the module or short course leader or (b) also in attendance as a representative of the module or short course in membership category ii, below. In addition, Chairmen are required to declare to the Board any modules or short courses under consideration on which they have taught or assessed)

**(NOTE:**

- 6 The procedures for the appointment and the responsibilities of Chairmen of Board of Examiners are set out in Appendix I of this document (Appendix I, UPR AS14<sup>1</sup>).
- ii at least one representative from the academic staff having a major responsibility for teaching and/or assessment of each module or short course;
- iii the Module or Short Course External Examiner(s), where appointed;
- iv appropriate Associate Deans, if not already members (ex officio).

**Officers in Attendance**

Secretary and Registrar (or nominee)  
Clerk nominated by the School Administration Manager

**Role of the Secretary and Registrar**

As Secretary to the Academic Board, the Secretary and Registrar is formally Secretary to all committees and boards within the Committee Structure of the Academic Board. The Secretary and Registrar may nominate another member of staff to attend meetings on his or her behalf. The individuals nominated will be expected to discharge all aspects of the Secretarial role and will have the authority to intervene on points of order and, where appropriate, to advise the Chairman on procedural issues.

---

<sup>1</sup> Appendix I, UPR AS14 'Chairmen of Boards of Examiners – Roles and Terms of Reference'

### In attendance

The Chairmen (or their nominees) of Programme Boards served by a Module Board will have the right to attend Module Boards but will not be members, unless qualified by one of the conditions above.

**(NOTE:**

- 7 The procedures for appointment and the responsibilities of Clerks to the Boards are set out in Appendix II, UPR AS14<sup>J</sup>.)

### C3.4 Responsibilities of Module Boards and Short Course Boards

The responsibilities of Module Boards and Short Course Boards are:

- i to receive and consider marks and/or grades for the modules and short courses for which the Module Board or Short Course Board has responsibility (in fulfilling this duty, Module Boards and Short Course Boards will consider the comments of External Examiners and the overall average student performance on the module or short course);
- ii in the case of Module Boards, confirm and report to Programme Boards the award of grades for all candidates, in accordance with section D1 'Assessment and Award Regulations' of this document (UPR AS14);
- iii to consider written communications from staff and/or students relevant to its work and, in particular, submissions from students with any relevant information on personal circumstances, including Serious Adverse Circumstances, which they wish the Examiners to take into account (see section C3.8 'Serious Adverse Circumstances');
- iv to decide on any changes to be made to un-amended *marks and/or grades* reported to the Board, in the light of proven cases of Serious Adverse Circumstances (see section C3.8 'Serious Adverse Circumstances'). Note that Module Boards and Short Course Boards must have available full details of all such cases, together with any comments or recommendations from the Assessment Panel where it exists (see section C3.7 'Assessment Panels');
- v to decide on the academic penalties to be imposed in proven cases of cheating, plagiarism, collusion, other Assessment Offences and/or Academic Misconduct (Appendix III, UPR AS14<sup>K</sup>, refers). Module Boards and Short Course Boards will take account of any recommendations from the Associate Dean of School (Academic Quality Assurance) (or nominee) and Assessment Panel where it exists;
- vi In the case of Module Boards, to monitor the performance of the various cohorts of students from different programmes enrolled upon a particular module and to report substantial differences in such performances to the appropriate Programme Boards and to the appropriate Programme Committees for annual monitoring purposes;
- vii to review a decision or recommendation when required to do so under the terms of the University's procedures for requesting a formal review of the decision or recommendation of a Board of Examiners (as appropriate, Appendix I, UPR AS12<sup>L</sup> or Appendix I, UPR AS13<sup>M</sup>, refers);
- viii to issue results to students after each Module Board or Short Course Board.

J UPR AS14, Appendix II 'Clerks to Boards of Examiners – Role and Responsibilities'

K UPR AS14, Appendix III 'Assessment Offences'

L UPR AS12, Appendix I 'Assessments and Examinations - Regulations for Candidates (Including Requests for the Review of Examination Decisions (Appeals Procedure) (University-delivered provision))'

M UPR AS13, Appendix I 'Assessments and Examinations - Regulations for Candidates (Including Requests for the Review of Examination Decisions (Appeals Procedure)) (Partner Organisation-delivered provision)'

**C3.5 Involvement of External Examiners in Module Boards and Short Course Boards**

C3.5.1 Module External Examiners may also be appointed to act as Short Course External Examiners and vice-versa.

**C3.5.2 Module External Examiners**

Module External Examiners are expected to attend Module Boards. If, exceptionally, they are unavoidably absent they should be consulted and their agreement on the decisions of the Board obtained. Module External Examiners will, in any event, have moderated the examination papers and/or other assessments and have the right to moderate the scripts and coursework assessment of candidates if they so wish.

**C3.5.3 Short Course External Examiners**

Short Course External Examiners are expected to attend Short Course Boards. If, exceptionally, they are unavoidably absent they should be consulted and their agreement on the decisions of the Board obtained. Short Course External Examiners will, in any event, have moderated any assessments and have the right to moderate the assessment of candidates if they so wish.

**C3.6 Issue of results**

C3.6.1 The University will issue results to students after each Board, upon their confirmation. The University will notify students of the arrangements for the publication of the outcomes of Module and Short Course Boards of Examiners.

C3.6.2 If External Examiners are in attendance at Module Boards or Short Course Boards, or have been consulted and signified their agreement to grades (and for those modules where there is no External Examiner involvement), grades are confirmed at this stage.

C3.6.3 If External Examiners are not in attendance and have not yet been consulted, all grades determined by the Module Board or Short Course Board will be provisional. The results will then be sent to the External Examiner for agreement that they may be released to students as confirmed grades. In exceptional cases, for example, if the External Examiner is unavailable for some weeks, the Chairman/Chairmen of the Module Board(s) or Short Course Board(s) will be consulted and may agree to the release of grades to students on the clear understanding that they are provisional and subject to moderation (section 9.3.1, UPR AS12<sup>G</sup>/section 9.3.1, UPR AS13<sup>H</sup>, refers).

C3.6.4 It is accepted that decisions on grades may be needed urgently in order for students to select study options (or, exceptionally, to retrieve failure) for the following semester and Module Boards may not be able to confirm grades in a timely manner. In such cases the Chairman of the Programme Board has authority to rule on study programmes for individual students, acting in consultation with Chairmen of Module Boards and programme officers as appropriate.

**C3.7 Assessment Panels**

C3.7.1 Deans of School may establish Assessment Panels chaired by the Associate Dean of School (Academic Quality Assurance) (or nominee), to meet before Module Boards and Short Course Boards.

C3.7.2 Assessment Panels are deemed to operate on the authority of the Module Boards and Short Course Boards to which they report and are established under powers delegated to Deans of School by the Academic Board.

C3.7.3 Such a Panel may provide a useful and effective way to achieve consistency of approach and to facilitate the work of Module Boards and Short Course Boards in considering students who require special consideration because of Serious Adverse Circumstances or assessment related regulatory issues, such as cheating or plagiarism.

C3.7.4 The meetings of the Assessment Panel must be minuted. If necessary, an 'in confidence' record, accessible only to the Chairman of the Panel, the Chairman and Clerk to the relevant Module Board(s) or Short Course Board(s) and the Module or Short Course External Examiner(s), will be kept which provides justification for the recommendations to Module Boards and Short Course Boards under C3.7.3 above.

C3.7.5 The Module Board or Short Course Board retains the responsibility for the final decision but it is expected that recommendations of the Assessment Panel will normally be accepted. Where an Assessment Panel is not established, the Module Board or Short Course Board will undertake the duties set out in this section (C3.7).

### C3.8 **Serious Adverse Circumstances**

C3.8.1 'Serious Adverse Circumstances' are significant circumstances beyond a student's control that would have affected his or her ability to perform to his or her full potential if he or she were to sit or submit an assessment at the appointed time.

C3.8.2 If a student has problems or difficulties significantly affecting performance on his or her programme of study, he or she should discuss this with appropriate University staff. Lecturers and/or Examiners may take appropriate action, such as extending the deadline for submission of a piece of work.

C3.8.3 Other than in the circumstances described in section C3.8.3, i and ii, students who sit or submit an assessment deem themselves to be sufficiently able to take the assessment and cannot later claim to have suffered Serious Adverse Circumstances:

- i where, at the time of sitting or submitting the assessment concerned, the student was not capable of understanding that his or her performance was likely to be affected seriously by ill health and/or its treatment and this view has the written support of a doctor or psychiatric practitioner; or
- ii where a student suddenly becomes unwell during an examination or in-class test and elects to leave without completing the assessment. In these circumstances, before leaving the examination room, the student must notify the Invigilator of the Serious Adverse Circumstances which have necessitated his or her leaving the examination or test.

C3.8.4 Where it is believed that there are significant Serious Adverse Circumstances adversely affecting performance, which should be drawn formally to the attention of the Module Board or Short Course Board when it meets to consider confirmation of grades, it is the student's responsibility to notify the Chairman of the Board, in writing, of the circumstances. This must be done at the earliest possible time, before the Board of Examiners' meeting.

C3.8.5 Schools will publicise to students information about how Serious Adverse Circumstances may be drawn to the attention of Module Boards and Short Course Boards, together with University guidance on what constitutes acceptable Serious Adverse Circumstances and their implications.

**(NOTE:**

- 8** School Administration Managers and, for collaborative Boards, the Assistant Registrar (Collaborative Partnerships) are responsible for appointing Clerks for Boards of Examiners, for identifying them to students and determining and communicating the School's procedures for administering written submissions.)

C3.8.6 Regardless of the circumstances (section C3.8.3, i or ii, or C3.8.4), the student's written statement of Serious Adverse Circumstances should give full details and should include supplementary evidence and testimony from independent or third parties, for example, the written support of a doctor or psychiatric practitioner, a medical certificate or letter from an employer, indicating the time, nature, and probable effect of the circumstances. If the

student is concerned about the personal nature of the information or finds it difficult to obtain substantiation, he or she should consult the Associate Dean of School (Academic Quality Assurance) (or nominee) and/or the Dean of Students prior to submission of the statement.

- C3.8.7 Students can be assured that all statements of Serious Adverse Circumstances will be treated as confidential and will not be disclosed outside the Assessment Panel and Module Boards or Short Course Boards. Where circumstances are particularly sensitive, students may request that they are disclosed only to the Chairman of the Assessment Panel, the Chairman of the Module Board or Short Course Board and the External Examiner(s).
- C3.8.8 The submission of Serious Adverse Circumstances will not necessarily cause the Module Board or Short Course Board to come to a different decision.
- C3.9 Cheating, plagiarism, collusion and other Academic Misconduct/Assessment Offences**
- C3.9.1 Cheating, plagiarism, collusion and other Academic Misconduct/Assessment Offences, are:
- i defined in Appendix I, UPR AS12<sup>L</sup>/Appendix I, UPR AS13<sup>M</sup> which also set out a range of other offences that the University will normally regard as Assessment Offences/ Academic Misconduct: Student Programme Handbooks should also include a section on cheating, plagiarism, collusion and other Academic Misconduct/Assessment Offences;
  - ii breaches of the University's academic regulations;
  - iii dealt with in accordance with the procedures set out in Appendix III, UPR AS14<sup>K</sup>.

**C3.9.2 Use of electronic plagiarism detection facilities and services**

The University of Hertfordshire reserves the right, at its absolute discretion, to use electronic plagiarism detection facilities and services. In registering as students of the University of Hertfordshire, individuals consent to copies of their work being submitted to any plagiarism detection service employed by the University or processed by any electronic plagiarism detection facility used by the institution. Where a student is not the rights holder of his or her work, it is the student's responsibility to notify the University.

**C4 Programme Boards of Examiners (Programme Boards)**

- C4.1 Programme Board(s) must be established for every programme of study leading to a University award. The main business of a Programme Board is to make decisions about interim and final awards and about the continuation of students on their programmes. A Programme Board is the only body authorised to recommend the conferment of an award of the University upon a student who, in the judgement of the Board, has fulfilled the learning outcomes of the approved programme and achieved the standard required for the award.

**C4.2 Composition of Programme Boards**

A Programme Board shall be composed as follows:

- i a Chairman, nominated by the Dean of School and appointed by the Vice-Chancellor

**(NOTE:**

**9** The arrangements for the appointment and the responsibilities of Chairmen of Boards are set out in Appendix I of this document (Appendix I, UPR AS14<sup>I</sup>, refers.)

- ii a minimum stated number of representatives of the staff associated with programme management
- iii representatives of the appropriate Module Boards
- iv appropriate Associate Deans if not already members (ex officio)

- v Programme External Examiners (where appointed) (See also section E2.2).

#### **Officers in Attendance**

Secretary and Registrar (or nominee)  
Clerk nominated by the School Administration Manager

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

As Secretary to the Academic Board, the Secretary and Registrar is formally Secretary to all committees and boards within the Committee Structure of the Academic Board. The Secretary and Registrar may nominate another member of staff to attend meetings on his or her behalf. The individuals nominated will be expected to discharge all aspects of the Secretarial role and will have the authority to intervene on points of order and, where appropriate, to advise the Chairman on procedural issues.

**(NOTE:**

- 10** The arrangements for the appointment and the responsibilities of Clerks to the Boards are set out in Appendix II of this document (Appendix II, UPR AS14<sup>J</sup>, refer.).

#### **C4.3 Powers and responsibilities of Programme Boards**

##### **C4.3.1** Programme Boards will operate within the University's assessment regulations and within any approved programme-specific assessment regulations and will have the following specific responsibilities:

- i to receive confirmed grades awarded by Module Boards;
- ii to decide on the award of final compensatory credit and to make the appropriate changes to confirmed grades (see section D4 'Final Compensatory credit');

**(NOTE:**

- 11** Programme Boards may only change grades and status codes awarded by Module Boards in the following circumstances:

- a in the award of final compensatory credit (see section D4);
  - b to convert FREFE/FREFC/FREFB status codes to FRENE/FRENCF/FREN status codes where referral opportunities are not taken (sections D5.2.2, ii, and D5.2.3, ii, refer);
  - c to rectify errors (section C4.3.1, xii and xiii, refer.).
- iii to consider the achievement of students completing programmes which may lead to awards and exercising discretion, as required, to uphold the standard of awards and to ensure that justice is done to individual students, to recommend to the Academic Board the conferment of awards and the class or grade of such awards;

**(NOTE:**

- 12** Programme Boards must be governed by both the programme specific regulations (as represented in the Programme Specification) and those in this document (UPR AS14) in recommending particular awards and the titles of those awards. Boards of Examiners do not have authority to devise titles or to make awards which are not provided for in the approved Programme Specification.)

- iv where University regulations require, to make recommendations for awards 'with Distinction' or 'with Commendation', as appropriate (see section D7 'Final awards - Awards with distinction and commendation');

- v where appropriate, to confirm the award of a Grade Point Average (GPA) for students completing programmes and at the completion of each academic stage;

**(NOTE:**

**13** The University is introducing a Grade Point Average (GPA) system, and will award a GPA for students completing their level 4 studies in 2017/18, their levels 0, 4 and 5 studies in 2018/19, their levels 0, 4, 5 and 6 studies in 2019/20 and their levels 0, 4, 5, 6 and 7 studies in 2020/21)

- vi to consider situations where a student's achievement has been affected by absence, failure to submit work or poor performance in all or part of an award due to illness or other valid cause and, where appropriate, recommend an award, including posthumous or Aegrotat awards (see section D9.2);
- vii to recommend to the Academic Board the award of University prizes and other prizes as appropriate;
- viii to make decisions about the continuation and termination of students on programmes of study, including students who have replaced their University of Hertfordshire level 5 studies with study abroad;
- ix to note and confirm recommendations for the award of APCL and/or APEL for students entering the programme during the current academic session;
- x to review a decision or recommendation when required to do so under the terms of the University's procedures for requesting a formal review of the decision or recommendation of a Board of Examiners (as appropriate Appendix I, UPR AS12<sup>L</sup> or Appendix I, UPR AS13<sup>M</sup>, refers);
- xi to make recommendations to the appropriate University committees on the assessment arrangements for the programme as a whole and to report to these bodies any significant issues.
- xii If, subsequent to a Programme Board of Examiners' meeting, an error is found in a mark or grade affecting the **continuation** of one or more candidates, the Chairman of the Programme Board of Examiners shall consult with the Chairman/Chairmen of relevant Module Boards of Examiners, the relevant School Administration Manager or, for collaborative Boards, the Assistant Registrar (Collaborative Partnerships), the appropriate administrator and, if appropriate, the internal Examiners/moderators for the module concerned to recommend a revised decision. The revised decision will be reported to the next meeting of the Programme and Module Board of Examiners.
- xiii In the case of an error which would affect the final **award** of one or more candidates, the case must (in addition to the consultation process defined in section C.4.3.1, xii) be considered by the full Programme Board of Examiners, including the External Examiner(s). At the discretion of the Chairman of the Programme Board of Examiners and with the explicit written agreement of the External Examiner(s), consultations with members of the Programme Board may be conducted other than by means of a formal meeting. The media employed might include, but are not necessarily limited to, video-conferencing, e-mail or the telephone.

- C4.3.2 Programme Boards, with the approval of the External Examiners, may also approve the membership and terms of reference for sub-committees to advise on particular areas of their work (for example, supervised work experience or professional aspects of the programme). Such delegation may not always be appropriate. In cases where recommendations for award are to be made, the membership of that sub-group must include at least one Programme External Examiner who shall be invited to attend a meeting of the sub-group and, if unable to be present, shall be consulted fully and agree to the recommendations in writing.

#### C4.4 Programme External Examiners

Programme External Examiners are expected to attend Programme Boards. If, exceptionally, they are unavoidably absent they should be consulted and their written agreement on the decisions of the Board obtained prior to the publication of Award Pass Lists (section 9.3.2, UPR AS12<sup>G</sup>/section 9.3.2, UPR AS13<sup>H</sup>, refers).

### D ASSESSMENT AND AWARD REGULATIONS

#### D1 Module and short course assessment grading

A student's performance on an individual module or short course will be reported to Boards of Examiners using the following grades for reporting/recording achievement, along with associated status codes for reporting additional information.

##### D1.1 Interpretation of grades

Levels 0, 4, 5, 6				Level 7			
Grade awarded		Interpretation of Grade		Grade awarded		Interpretation of Grade	
Numeric Grade <sup>1</sup>	Grade Point <sup>2</sup>	Grade Descriptor	Indicative Classification Descriptor	Numeric Grade <sup>1</sup>	Grade Point <sup>2</sup>	Grade Descriptor	Indicative Classification Descriptor
80-100 <sup>3</sup>	4.50	Outstanding	1 <sup>st</sup> Class Honours/ Distinction	80-100 <sup>3</sup>	4.50	Outstanding	1 <sup>st</sup> Class Honours/ Distinction
75-79	4.25	Excellent		75-79	4.25	Excellent	Honours/ Distinction
70-74	4.00			70-74	4.00		
67-69	3.75			67-69	3.75		
64-66	3.50	Very good	Upper 2 <sup>nd</sup> Class Honours/ Commendation	64-66	3.50	Very good	Upper 2 <sup>nd</sup> Class Honours/ Commendation
60-63	3.25			60-63	3.25		
57-59	3.00	Good	Lower 2 <sup>nd</sup> Class Honours/ Pass	57-59	3.00	Good/ satisfactory	Lower 2 <sup>nd</sup> Class Honours/ Pass
54-56	2.75			54-56	2.75		
50-53	2.50			50-53	2.50		
47-49	2.25	Satisfactory	3 <sup>rd</sup> Class Honours/ Pass	47-49	2.25	Marginal fail	
44-46	2.00			44-46	2.00		
40-43	1.75			40-43	1.75		
40 <sup>5</sup>	1.75			37-39	1.00		
37-39	1.00	Marginal fail	Not applicable	34-36	0.75	Clear fail	Not applicable
34-36	0.75			30-33	0.50		
30-33	0.50	Clear fail		20-29	0.25	Little or nothing of merit	
20-29	0.25			0-19	0.00		
0-19	0.00	Little or nothing of merit					

- 1 Where a coarser-grained reporting and recording mechanism is required for marking individual assessments, a reference scale is available on the Learning and Teaching Innovation Centre's StudyNet pages. Student performance on assessments more suited to coarse-grained judgements may be recorded using these reference grades.
- 2 *Module Boards award grade points alongside numeric grades for all modules from 2017/18.*
- 3 For classification purposes, a cap of **90** will be applied to all module or short course numeric grades contributing toward the average numeric grade used to determine Honours classification and for conferring University awards 'with Distinction' or 'with Commendation'.

- 4 A referred or re-enrolled pass for Level 7 modules will be awarded **50** (*with a grade point capped at 2.50*).
- 5 A referred or re-enrolled pass for Levels **0, 4, 5** and **6** modules will be awarded **40** (*with a grade point capped at 1.75*).

#### D1.2 Interpretation of module status codes

The following status codes will be reported by Module Boards to describe a student's status on a module:

Status Code	Description
P	Passed
P(40)	Passed, capped at 40. Level 0, 4, 5 or 6 module or short course passed at referral or re-enrolment, <i>or where an alternative module to a failed module has been passed</i> . The numeric grade for the module is capped to the minimum pass grade for classification purposes
P(50)	Passed, capped at 50. Level 7 module or short course passed at referral or re-enrolment, <i>or where an alternative module to a failed module has been passed</i> . The numeric grade for the module is capped to the minimum pass grade for classification purposes
COMP	Compensated pass. Failed module or short course which has been compensated by the Programme Board
FREFE	Fail, referred in examination. The student has failed to meet the minimum pass criteria for the module or short course. The Module Board or Short Course Board will allow the student to be <b>referred</b> (that is, reassessed without re-enrolment) in the <b>examination</b> element of this module or short course
FREFC	Fail, referred in coursework. The student has failed to meet the minimum pass criteria for the module or short course. The Module Board or Short Course Board will allow the student to be <b>referred</b> (that is, reassessed without re-enrolment) in the <b>coursework</b> element of this module or short course (the detail of which is prescribed by the Module Board or Short Course Board)
FREFB	Fail, referred in both coursework and examination. The student has failed to meet the minimum pass criteria for the module or short course. The Module Board or Short Course Board will allow the student to be <b>referred</b> (that is, reassessed without re-enrolment) in <b>both</b> elements of this module or short course (the detail of which is prescribed by the Module Board or Short Course Board)
FRENE	Fail, re-enrol. The student has failed to meet the minimum pass criteria for the module or short course and the Module Board or Short Course Board will permit <b>re-enrolment</b> , with reassessment in the <b>examination</b> element only. Re-enrolment is not available at any stage on repeating a module or short course which has been passed.
FREN	Fail, re-enrol. The student has failed to meet the minimum pass criteria for the module or short course and the Module Board or Short Course Board will permit <b>re-enrolment</b> , with reassessment in all elements. Re-enrolment is not available at any stage on repeating a module or short course which has been passed.
FRENC	Fail, re-enrol. The student has failed to meet the minimum pass criteria for the module or short course and the Module Board or Short Course Board will permit <b>re-enrolment</b> , with reassessment in <b>coursework</b> elements only (the detail of the assessment is prescribed by the Module Board or Short Course Board). Re-enrolment is not available at any stage on repeating a module or short course which has been passed.

Status Code	Description
FNFA	Fail, no further attempts. The student has failed to meet the minimum pass criteria and may not seek further re-enrolment or reassessment <i>on the module or short course. The student may enrol on an alternative module, only if available on the validated programme of study and at the discretion of the Programme Board.</i> Module Boards and Short Course Boards should exercise caution in applying this status code. It should normally be awarded only where a student has previously been referred and reassessed on the same module (see also sections D5 'Deferral, Referral, Re-enrolment' and C3.9 'Cheating, Plagiarism and Collusion').
DEFE	Deferred in examination. The Module Board or Short Course Board will allow the student to undertake a deferred examination because of proven Serious Adverse Circumstances.
DEFC	Deferred in coursework. The Module Board or Short Course Board will allow the student to undertake deferred coursework because of proven Serious Adverse Circumstances.
DEFB	Deferred in both coursework and examination. The Module Board or Short Course Board will allow the student to undertake deferred assessments because of proven Serious Adverse Circumstances.
AT	Attendance Only. To signify where a student has chosen at the outset to take a module without undertaking the formal assessment associated with that module
C	Competent (approved modules and short courses only)
N	Non-competent (approved modules and short courses only)
APCL	Credit for certified learning which has been achieved prior to entry onto the programme
APEL	Credit for prior experiential learning which has been assessed.

**(NOTE:**

**14** The University reserves the right to amend status codes, as required.)

**D1.3** A student may not enrol on a module or short course on more than two (**2**) occasions, unless there are agreed Serious Adverse Circumstances.

**D1.4** The failed grade awarded at the first assessment on repeating the module or short course may be FREFC/FREFE/FREFB or FNFA but not FRENC/FRENE/FREN. If FREFC/FREFE/FREFB is awarded at the first assessment on repeating the module or short course, subsequent failure at referral would automatically result in an FNFA.

**D2 Consideration of results**

**D2.1** The results of individual students will come before a Programme Board when the student:

- i is eligible for recommendation for an award on the programme for which the University has registered them, by virtue of having enrolled upon modules or short courses which, if passed, would have enabled the student to accumulate the required minimum number and level of credit points for that award;
- ii is to be considered for continuation on his or her programme;
- iii or where his or her registration is to be terminated.

**D3 Interim awards and progression**

**D3.1** The University wishes to recognise the achievement of students but to discourage the conferment of multiple awards for a particular period of continued study. Thus, undergraduate programmes typically provide for a range of exit points with interim awards and, in this context, all undergraduate awards up to and including a Bachelor's degree are considered as interim awards when approved as part of an Honours degree programme.

- D3.2 The conferment of interim awards is associated with exit from a programme of study. If a student withdraws from their programme of studies (or is withdrawn by the University without the option of continuation) before achieving the final intended award, the maximum possible interim award will be conferred upon them by the Programme Board of Examiners.
- D3.3 If a student is neither able to progress to the next stage of their programme of studies nor receive their final intended award, but is eligible to continue on their programme of studies (in other words, to repeat the failed elements of their studies), eligibility for an interim award will be noted by the Programme Boards of Examiners. If the student subsequently wishes to continue registration with the intention of achieving a higher award, he or she must indicate in writing that intention by the deadlines published by the University. Failure to do so will lead to the student being withdrawn and the interim award being conferred by the Programme Board.
- D3.4 A student who receives an interim award may subsequently seek to undertake further study towards a higher award but admission to such a programme (and the amount of specific credit to be allowed) is at the discretion of the University. Information concerning the University's APL guidelines may be obtained from Academic Services.

In such a case, the University will not normally admit the student to further study in the programme for a period of at least one (1) academic year; if the student seeks admission before this, it may only be granted on return of the interim award certificate; such students will not be entitled to attend a further awards ceremony. Programme and/or Admissions tutors will have discretion to take account of the circumstances of individual students, such as those studying part-time over extended and interrupted periods or those whose study pattern may be influenced by sponsorship, in applying these regulations.

Graduates with an award (either of this University or another) will not normally be allowed to register for the same award again unless it is in a substantially different subject area. The University wishes to discourage the use of Accreditation of Prior Learning (APL) for this purpose, on the basis that APL should normally be a means for students to move to a higher Level of award or to gain credit towards study in a different area.

- D3.5 This policy has been established in the full understanding that:
- i over a period of time, students may, nevertheless, gain multiple awards for the same period of study (although not necessarily evident from their qualifications alone, this will be identifiable on any Curriculum Vitae from the dates of the awards);
  - ii students who have gained interim awards elsewhere and are admitted through accreditation of prior learning might be seen to have an unfair advantage over those who exited with interim awards from this University (this will be a matter for APL, admissions policies and, again, will be evident from a Curriculum Vitae);
  - iii BTEC awards are not subject to the regulations outlined in this section (D3). A student registered for a BTEC award must receive that award if they meet the requirements, even if the BTEC programme is embedded within an undergraduate degree programme.
- D3.6 An undergraduate student cannot undertake further study at higher Levels on the same programme of study if they have more than **60** credit points of failure outstanding from previous Levels.
- D3.7 A student will be withdrawn from a programme with the maximum possible interim award if they acquire **45** credit points or more of modules with FNFA status codes which are part of their validated programme of study.

- D3.8 A Programme Board has discretion to withdraw a student from a programme with the maximum possible interim award if the student has not achieved any credit during the academic session.
- D3.9 A Programme Board has discretion to withdraw a student from a programme with the maximum possible interim award if the student has failed to achieve their final intended award within a period of eight (8) years for undergraduate programmes or five (5) years for postgraduate taught programmes.

**(NOTE:**

**15** The progression criteria in sections D3.6 to D3.9 describe minimum expected Levels of achievement. Further constraints may be applied by Programme Boards, for instance, to reflect Professional or Statutory Regulatory Body requirements.)

**D4 Final Compensatory credit**

- D4.1 Within the following regulations, Programme Boards have the authority and discretion to award final compensatory credit for failed modules and/or short courses, in light of the student's overall profile at the point at which an award is considered.
- D4.2 Final compensation shall not be awarded for any module or short courses where:
- i a student has not attempted any elements of assessment leading to a numeric grade of zero (**0**) for the module or short course;
  - ii a programme learning outcome is associated uniquely with the module or short course.

D4.3 It is recognised, however, that Programme Boards considering recommendations for University awards which are coterminous with licence to practise or professional registration may find that their discretion to award final compensatory credit is limited.

**D4.4 Final Compensatory credit for undergraduate programmes**

- D4.4.1 When considering students for any undergraduate award (except those awards requiring **60** credits or less) the Programme Board may award final compensatory credit for fail grades at any Level but is limited to a total of **30** credit points.
- D4.4.2 Where final compensatory credit is awarded, the appropriate fail status code(s) will be changed to COMP status code(s), *however the grade(s) awarded will be unchanged.*
- D4.4.3 Where final compensatory credit is awarded, it will influence degree classification in the manner described in sections D6.3.2 and D7.2.5.
- D4.4.4 Compensation cannot be applied if the average numeric grade for the modules contributing to award classification (identified in sections D6.1.1, D6.2.1 and D7.1) is less than **39.50**, after applying the penalty for final compensatory credit described in sections D6.3.2 and D7.2.5.
- D4.4.5 Where students choose to seek an opportunity for reassessment for an award, any final compensatory credit previously awarded will be forfeited.

**D4.5 Final compensatory credit for postgraduate (taught) awards (including Integrated Master's Degrees)**

- D4.5.1 When considering students for any postgraduate award (except those awards requiring **60** credits or less), the Programme Board may award final compensatory credit for fail grades at any Level but is limited to a total of **30** credit points.

- D4.5.2 Where final compensatory credit is awarded, the appropriate fail status code(s) will be changed to COMP status code(s), *however the grade(s) awarded will be unchanged.*
- D4.5.3 Where final compensatory credit is awarded, it will influence degree classification in the manner described in section D7.2.5.
- D4.5.4 Compensation cannot be applied if the average numeric grade for the modules contributing to award classification (identified in section D7.1) is less than **49.50**, after applying the penalty for final compensatory credit described in section D7.2.5.
- D4.5.5 Where students choose to seek an opportunity for reassessment for an award, any final compensatory credit previously awarded will be forfeited.

## D5 Deferral, Referral, Re-enrolment

Deferral, Referral and Re-enrolment are all alternative assessment or reassessment opportunities.

### D5.1 Deferred assessments

(NOTE:

**16** Grades DEFC, DEFE and DEF B will be used by Module Boards and Short Course Boards to indicate the recommended type of deferral. See section D1.2.)

- D5.1.1 A Module Board or Short Course Board has discretion to decide that a student who has not attempted one or more assessments because of proven Serious Adverse Circumstances, may be permitted to undertake deferred assessments. The Board is permitted to exercise its discretion to offer deferred assessments to students in the following circumstances:
  - i the student was not capable of understanding that his or her performance was likely to be affected seriously by ill health and/or its treatment and this view has the written support of a doctor or psychiatric practitioner; or
  - ii the student became unwell during the examination or in-class test and has appropriate evidence of Serious Adverse Circumstances to support such claim (section C3.8.3, refers).
- D5.1.2 Where a student submits a claim that, at the time of sitting or submitting the relevant assessment, they were not capable of understanding that their performance was likely to be affected by seriously by ill-health and/or its treatment and this view is supported, in writing, by a doctor or psychiatric practitioner and this claim is accepted by the Board, the original mark will be null and void. If the Module Board or Short Course Board rejects the student's claim, the original mark will stand.
- D5.1.3 Where, in seeking a deferral, a student who has become ill suddenly during an examination or in-class test relies on proven Serious Adverse Circumstances, his or her original mark will be null and void. If, however, the student's circumstances are rejected by the Module Board or Short Course Board, the original mark will stand.
- D5.1.4 At the discretion of the Module Board or Short Course Board, deferred assessments would normally be undertaken at the same time as referred assessments and be considered at the following Module Board or Short Course Board. Should such deferrals be failed and the candidate be offered referral or further deferral, these will be undertaken at the module's or short course's next regular assessment period.

- D5.1.5 Where a student is being considered for a final award, the Programme Board will, where possible, first recommend an award which may be an interim award based on the results achieved by the candidate including those results where the candidate has claimed Serious Adverse Circumstance (see section D9.4).

#### D5.2 **Referral**

- D5.2.1 Referral is defined as a reassessment opportunity for students who have been unsuccessful at their first attempt. Students are not required to re-enrol for the module or short course but will be reassessed, either within the University's normal referred assessment period or the module's or short course's next regular assessment period, whichever is the sooner.

#### D5.2.2 **Referral in undergraduate programmes**

- i Module Boards and Short Course Boards have the authority and discretion to allow a student the opportunity to be referred (indicated by the award of a FREFE/FREFC/FREFB status code) in an examination and/or coursework assessment if he or she has achieved an overall module numeric grade of **20** or more. It is the responsibility of the student to choose which referral opportunities to accept, with the benefit of advice and counsel from the programme team and in accordance with University and programme regulations.

**(NOTE:**

- 17 Where a module *numeric grade of 19* or less has been achieved through unintended non-submission of coursework or non-attendance at an examination or in-class test, Module Boards and Short Course Boards have the discretion to award a FREFE/FREFC/FREFB status code.)
- ii Where a candidate chooses not to accept a referral opportunity in a module at the next available assessment period, the Programme Board or Short Course Board will permit them to re-enrol on the module (indicated by the award of a FREN/FRENC/FRENE status code) unless the module is being repeated (see section D1.3). However, the Module Board or Short Course Board will normally offer a candidate with proven Serious Adverse Circumstances the opportunity to defer any chosen referred assessments.
- iii The nature of referral is at the discretion of the Module Board or Short Course Board, operating within policies established by Schools providing the modules or short courses.
- iv Students who are successful in referred assessments will be awarded a P(40) or P(50), as appropriate, status code for the module.

#### D5.2.3 **Referral in postgraduate programmes**

- i Module Boards and Short Course Boards have the authority and discretion to allow a student the opportunity to be referred (indicated by the award of a FREFE/FREFC/FREFB status code) in examination and/or coursework assessment if he or she has achieved an overall module numeric grade of **20** or more. It is the responsibility of the student to choose which referral opportunities to accept, with the benefit of advice and counsel from the programme team and in accordance with University and programme regulations. Where a student has more than **60** credits of referral the Programme Board will not allow further study other than that relevant to the referrals.

(NOTE:

- 18 Where a module *numeric grade of 19 or less* has been achieved through unintended non-submission of coursework or non-attendance at an examination or in-class test, Module Boards and Short Course Boards have the discretion to award a FREFE/FREFC/FREFB status code.)
- ii Where a candidate chooses not to accept a referral opportunity in a module or short course at the next available assessment period, the Programme Board will permit them to re-enrol on the module or short course (indicated by the award of a FREN/FRENC/FRENE status code) unless the module or short course is being repeated (see section D1.3). However, the Module Board or Short Course Board will normally offer a candidate with proven Serious Adverse Circumstances the opportunity to defer any chosen referred assessments.
  - iii The nature of referral is at the discretion of the Module Board or Short Course Board, operating within policies established by Schools providing the modules or short courses.
  - iv Students who are successful in referred assessments will be awarded a P(50) or P(40), as appropriate, status code for the module.
  - v Reassessment for postgraduate awards is also covered in *D10.3 'Reassessment for Award - Postgraduate Programmes'*.

D5.3 **Re-enrolment**

- D5.3.1 Re-enrolment is defined as the opportunity for a student to repeat a module(s) or short course(s) which he or she has previously failed at first attempt and possibly at referral and is indicated by the award of a FREN/FRENC/FRENE status code. In offering re-enrolment, the Module Board or Short Course Board considers that the student requires substantial further study in the module or short course and that it is normal for that student to repeat all assessment elements, irrespective of his or her overall performance. In cases where the Module Board or Short Course Board decides that it is not a requirement to repeat all assessment elements, it will identify the elements required (indicated by the award of a FRENC or FRENE status code).
- D5.3.2 Students who have achieved a pass grade in any module or short course will be credited accordingly. They may not elect to repeat the module or short course in an attempt to improve the grading, nor may they be required to repeat the module or short course in order to qualify for an award.
- D5.3.3 Following re-enrolment on any module or short course, whether or not the student has attended, the grades awarded will be those actually achieved in the assessment. However, for the purpose of Honours classification, for conferring awards 'with Commendation' or 'with Distinction' and *GPA calculation*, the *module numeric grades* will be capped to **50** (*with grade points capped to 2.50*) for Level **7** modules or short courses and **40** (*with grade points capped to 1.75*) for any Level **4, 5 or 6** modules or short courses.
- D5.3.4 *Whether students are eligible for re-enrolment on the module concerned (indicated by the award of a FREN/FRENC/FRENE status code) or not (indicated by the award of a FNFA status code), they may elect to study an alternative module, only if available on the validated programme of study and at the discretion of the Programme Board.* Attendance will be required and the grades awarded will be those actually achieved in the assessment. However, for the purpose of Honours classification and for conferring awards 'with Commendation' or 'with Distinction', the *module numeric grades* for the chosen alternative modules or short courses will be capped to **50** (*with grade points capped at 2.50*) for Level **7** modules or short courses and **40** (*with grade points capped at 1.75*) for any Level **4, 5 or 6** modules or short courses. *Further re-enrolment on the replacement module is not allowed.*

**D5.4 Availability of Reassessment Opportunities (by Referral, Deferral or Re-enrolment)**

A candidate for reassessment may not demand assessment in elements which are no longer current in the programme. It is the candidate's responsibility to check whether the syllabus or format of the reassessment is different from the original assessment. The Module Board or Short Course Board may, at its discretion, make such special arrangements as it deems appropriate in cases where it is not practicable for students to be reassessed in the same elements and by the same methods as at the first attempt.

**D5.5 Alternatives to Reassessment**

Where students have not been able to achieve the required credit points towards the named award of their choice by following the approved programme to which they were admitted, the following choices may be available to them:

- i to exit with a different award;
- ii to extend their period of registration in order to take additional modules and/or seek reassessment for modules previously failed (see also D10 'Reassessment for Award');
- iii to increase their study rate by taking additional modules or short courses where available.

**D6 Final awards – Honours classification**

**D6.1 Calculation of overall classification grade for Honours classification (Bachelor's Degree)**

**(NOTE:**

**19** Throughout sections D6 and D7 the word 'average' shall be read as 'arithmetical mean'.)

- D6.1.1 For students being considered for a final award with Honours classification, the Programme Board of Examiners will determine for each candidate:
  - i the average numeric grade of the best **90** credits at Level **6** or higher; and
  - ii the average numeric grade of the best remaining **90** credits at Level **5** or higher; and
  - iii a combined average numeric grade, weighted 75% (i) and 25% (ii); and
  - iv the candidate's Honours classification will be considered on the basis of this combined average numeric grade.
- D6.1.2 For classification purposes, a cap of **90** will be applied to all module and short course numeric grades contributing toward the average numeric grade used to determine Honours classification.
- D6.1.3 For the purpose of Honours classification, numeric grades awarded following re-enrolment on any failed module or short course (or alternative to that module or short course, if available on the validated programme of study) will be capped, as described in section D5.3 (Re-enrolment).

- D6.1.4 Where recommended by a Programme Committee, the Director of Academic Quality Assurance has discretion to authorise that up to **30** credits of identified modules at Level **6** or higher should contribute towards the calculation of the overall classification grade, even if these modules do not meet the criteria identified in section D6.1.1, i. These modules may only be designated:
- i in order to satisfy the published requirements of a Professional or Statutory-Regulatory Body; or
  - ii where core modules are, for example, fundamental to the attainment of QAA subject benchmark outcomes.
- D6.1.5 All pass grades (including referred passes) and compensated grades are eligible for inclusion in the determination of the combined average numeric grade, with the exception of grades awarded for non-University of Hertfordshire modules studied during a period of study abroad and additional modules which are not part of a validated programme of study.
- D6.1.6 For direct entrants to Level **6**, and for those students who have replaced all or part of their University of Hertfordshire level 5 studies with study abroad, Honours classification will be determined from the average numeric grade of the best **90** credits at Level **6** or higher.
- D6.1.7 For direct entrants to levels **5** or **6**, any graded University of Hertfordshire standalone credit (that is, credit not associated with a programme of study) achieved prior to admission to the programme is eligible for inclusion in the determination of the combined average numeric grade, providing that the modules or short courses concerned have been shown to contribute towards the achievement of the programme learning outcomes through an APCL process.
- D6.2 **Calculation of overall classification grade for Honours classification (Integrated Master's Degrees)**
- D6.2.1 For students being considered for a final award with Honours classification, the Programme Board of Examiners will determine for each candidate:
- i the average numeric grade of the best **90** credits at Level **7**; and
  - ii the average numeric grade of the best remaining **120** credits at Level **6** or higher; and
  - iii the average numeric grade of the best remaining **90** credits at Level **5**; and
  - iv a combined average numeric grade, weighted 50% (i), 30% (ii) and 20% (iii); and
  - v the candidate's Honours classification will be considered on the basis of this combined average numeric grade.
- D6.2.2 For classification purposes, a cap of **90** will be applied to all module and short course numeric grades contributing toward the average numeric grade used to determine Honours classification.
- D6.2.3 For the purpose of Honours classification, numeric grades awarded following re-enrolment on any failed module or short course (or alternative to that module or short course) will be capped, as described in section D5.3 (Re-enrolment).

- D6.2.4 Where recommended by a Programme Committee, the Director of Academic Quality Assurance has discretion to authorise that up to **45** credits of identified modules at Level **6** or higher should contribute towards the calculation of the overall classification grade, even if these modules do not meet the criteria identified in section D6.2.1. These modules may only be designated:
- i in order to satisfy the published requirements of a Professional or Statutory-Regulatory Body; or
  - ii where core modules are, for example, fundamental to the attainment of QAA subject benchmark outcomes.
- D6.2.5 All Pass grades (including referred passes) and compensated grades are eligible for inclusion in the determination of the combined average numeric grade, with the exception of grades awarded for non-University of Hertfordshire modules studied during a period of study abroad and additional modules which are not part of a validated programme of study.
- D6.2.6 For direct entrants to Level **6**, and for those students who have replaced all or part of their University of Hertfordshire level 5 studies with study abroad, Honours classification will be determined from:
- i the average numeric grade of the best **90** credits at Level **7**; and
  - ii the average numeric grade of the best remaining **120** credits at Level **6** or higher; and
  - iii a combined average numeric grade, weighted **62.5%** (i) and **37.5%** (ii); and
  - iv the candidate's Honours classification will be considered on the basis of this combined average numeric grade.
- D6.2.7 For direct entrants to levels **5**, **6** or **7**, any graded University of Hertfordshire standalone credit (that is, credit not associated with a programme of study) achieved prior to admission to the programme is eligible for inclusion in the determination of the combined average numeric grade, providing that the modules or short courses concerned have been shown to contribute towards the achievement of the programme learning outcomes through an APCL process.
- D6.3 Recommendation for an Honours classification**
- D6.3.1 Classification:
- i **For a first class Honours award** a candidate must achieve a combined average numeric grade of **69.50** or more;
  - ii **For an upper second class Honours award** a candidate must achieve a combined average numeric grade of **59.50** or more;
  - iii **For a lower second class Honours award** a candidate must achieve a combined average numeric grade of **49.50** or more;
  - iv **For a third class Honours award** a candidate must achieve a combined average numeric grade of **39.50** or more.
- D6.3.2 Candidates who are awarded final compensatory credit by the Programme Board, as indicated by a Comp status code, will have their combined average numeric grade reduced by **2.5** for each **15** credits of final compensatory credit awarded.
- D6.3.3 Candidates who fail to meet the requirements for an Honours award will be recommended for the highest interim award consistent with their achievements.

- D6.3.4 The Programme Board of Examiners retains discretion to recommend awards which do not strictly comply with the regulations provided it records clear grounds for doing so.
- D6.3.5 The Programme Board of Examiners may also, where there is good cause, place restrictions on the candidate seeking to undertake further study with the University.

**D7 Final awards – Awards with distinction and commendation**

D7.1 The following awards only may be made 'with Distinction' or 'with Commendation' on the recommendation of the Programme Board of Examiners. The number and Level of credit points on which Distinction and Commendation awards are calculated for each award are specified alongside:

- i Taught Master's degrees (including Master of Business Administration):  
- the best **150** credits contributing to the programme;
- ii Postgraduate Diploma:  
- the best **120** credits contributing to the programme;
- iii Diploma in Management Studies:  
- the best **120** credits contributing to the programme;
- iv Postgraduate Certificate in Education:  
- the best **120** credits contributing to the programme;
- v Professional Graduate Certificate in Education:  
- the best **120** credits contributing to the programme;
- vi Graduate Diploma:  
- the best **120** credits contributing to the programme, including all those studied at Level **6**;
- vii Bachelor's degrees (without Honours) where the award 'without Honours' is the final intended award:  
- the best **60** credits at Level **6** (including any mandatory elements at these Levels);
- viii Foundation Degree:  
- the best **120** credits at Level **5**;
- ix Enhanced Diploma:  
- the most recent **120** credits including all those studied at Level **6**;
- x Diploma in Professional Studies:  
- the best **90** credits contributing to the programme;
- xi Diploma of Higher Education:  
- the best **120** credits at Level **5**;
- xii University Higher Diploma:  
- the best **120** credits at Level **5**;
- xiii University Diploma:  
- the best **60** credits at Level **5**;
- xiv Certificate in Education:  
- the best **120** credits at Level **4**;

- xv Higher National Diploma:  
- the best **90** credits at Level **5**;
- xvi Higher National Certificate:  
- the best **60** credits contributing to the programme, including all mandatory elements at Level **5**.

The principles underlying the above list (section D7.1, refers) are that awards 'with Distinction' or 'with Commendation' will not be available where the primary award is a research degree or is relatively small and/or of modest Level or where an award with Honours or other marks of achievement is already available.

## D7.2 Criteria for conferring University awards 'with Distinction' or 'with Commendation'

### D7.2.1 For a Distinction award in a programme:

a candidate must achieve an average numeric grade of **69.50** or more, calculated from the credit points identified in section D7.1.

Where the student has completed more than the minimum credit requirements for an award, the calculations will be based on the best results which meet those requirements.

### D7.2.2 For a Commendation award in a programme:

a candidate must achieve an average numeric grade of **59.50** or more, calculated from the credit points identified in section D7.1.

Where the student has completed more than the minimum credit requirements for an award, the calculations will be based on the best results which meet those requirements.

### D7.2.3 For classification purposes, a cap of **90** will be applied to all module and short course numeric grades contributing toward the average numeric grade used for conferring University awards 'with Distinction' or 'with Commendation'.

### D7.2.4 For the purpose of conferring awards 'with Commendation' or 'with Distinction', numeric grades awarded following re-enrolment on any failed module or short course (or alternative to that module or short course, if available on the validated programme of study) will be capped, as described in section D5.3 (Re-enrolment).

### D7.2.5 Candidates who are awarded final compensatory credit by the Programme Board, as indicated by a Comp status code, will have their combined average numeric grade reduced by **2.5** for each **15** credits of final compensatory credit awarded.

### D7.2.6 Credit at a higher Level can always be substituted for credit at a lower Level in calculating averages for a Commendation or Distinction award provided it meets the programme and award requirements. If a candidate has already qualified for an interim award without Distinction or Commendation, these may not be added subsequently.

### D7.2.7 For entrants to taught Master's Degrees where up to **30** credits of APL have been approved, awards 'with Distinction' or 'with Commendation' will be determined from the average numeric grade of the best **150** credits contributing to the programme. For entrants where over **30** credits of APL have been approved and fewer than **150** credits of University of Hertfordshire credit have been passed, awards 'with Distinction' or 'with Commendation' cannot be made.

- D7.2.8 All Pass grades (including referred passes) and compensated grades are eligible for inclusion in the determination of the combined average numeric grade, with the exception of grades awarded for additional modules which are not part of a validated programme of study.
- D7.2.9 Any graded University of Hertfordshire standalone credit (that is, credit not associated with a programme of study) achieved prior to admission to the programme is eligible for inclusion in the determination of the combined average numeric grade, providing that the modules or short courses concerned have been shown to contribute towards the achievement of the programme learning outcomes through an APCL process.
- D7.2.10 The Programme Board of Examiners retains discretion to recommend awards which do not strictly comply with the regulations provided it records clear grounds for doing so.

**D8 Final awards – Determination of a Grade Point Average (GPA)**

**(NOTE:**

**20 A Grade Point Average (GPA) will be calculated for those students eligible for the awards identified in section D8, having accumulated credit contributing to the award from 2017/18 onwards. )**

- D8.1 For students being considered for the following awards, the Programme Board of Examiners will determine for each candidate the weighted arithmetic mean of the grade points awarded for the identified credits from the validated programme of study:
- i Integrated Master's Degree:  
- the best **480** credits (including at least 360 credits at levels 5/6/7, of which at least 240 must be at levels 6/7 and at least 120 must be at level 7)
  - ii Bachelor's Degree with Honours:  
- the best **360** credits (including at least 240 credits at levels 5/6, of which at least 120 must be at level 6)
  - iii Foundation Degree:  
- the best **240** credits (including at least 120 credits at level 5).
- D8.2 The candidate's GPA will be calculated on the basis of this combined average, alongside Honours classification or any classification 'with Distinction' or 'with Commendation'.
- D8.3 For the purpose of GPA calculation, grade points awarded following re-enrolment on any failed module or short course (or alternative to that module or short course, if available on the validated programme of study) will be capped, as described in section D5.3 (Re-enrolment).
- D8.4 All grade points (including those for referred passes, re-enrolled passes and compensated modules) are eligible for inclusion in the determination of the GPA, with the exception of grade points awarded for non-University of Hertfordshire modules studied during a period of study abroad and additional modules which are not part of a validated programme of study.
- D8.5 For direct entrants to Levels **5** or **6** and any other students awarded credit on the basis of prior certified or experiential learning (APCL or APEL), GPA will be determined for each candidate from the weighted arithmetic mean of the grade points awarded for the subsequent University of Hertfordshire modules from the validated programme of study. Any graded University of Hertfordshire standalone credit (that is, credit not associated with a programme of study) achieved prior to admission to the programme is eligible for inclusion in the determination of the GPA, providing that the modules or short courses concerned have been shown to contribute towards the achievement of the programme learning outcomes through an APCL process.

**D9      Valid reasons for poor performance**

- D9.1 If it is established to the satisfaction of the Module Board or Short Course Board that a student's absence, failure to submit work or poor performance in all or part of the assessment was due to illness or other cause found valid on production of acceptable evidence, the Board may allow the student to be reassessed as if for the first time in any or all of the elements of assessment. If an assessment affected by illness was itself a second attempt the student shall be permitted to resit as if for the second time (see also D5.1 Deferred assessments).
- D9.2 It is for the Module Board or Short Course Board, taking account of any advice from the Assessment Panel, to decide whether or not the student has presented a valid case. Where the Board is not satisfied, the student does not have a right to be reassessed as if for the first time. If the Board is not convinced by the evidence offered but does not wish to disregard it completely, it may choose to further assess the student in particular elements of the assessment.
- D9.3 The Board, taking account of any advice from the Assessment Panel, may exercise discretion in deciding on the particular form any further assessment or reassessment should take: options include viva voce examination; additional assessment tasks; review of previous work or normal assessment at the next available opportunity. The student should not be put in a position of unfair advantage over other candidates: the aim should be to enable the student to be assessed or reassessed on equal terms.
- D9.4 If it is established to the satisfaction of the Programme Board that a student's absence, failure to submit work or poor performance in all or part of an award was due to illness or other cause found valid on production of acceptable evidence, the Board may:
- i where it is satisfied that there is sufficient evidence of the student's achievement or this evidence is subsequently obtained, recommend the student for the award for which he or she is a candidate (with or without Honours classification, Distinction or Commendation, as appropriate). In order to reach a decision, a Programme Board of Examiners may assess the candidate by whatever means it considers appropriate: it may also recommend a posthumous award, typically at the highest academic level at which the student has achieved credit;
  - ii where the Programme Board does not have enough evidence of the student's performance to recommend the award for which the student was a candidate or an interim award permitted under these regulations but is satisfied that, but for illness or other valid cause, the student would have reached the standard required, recommend the offer of an Aegrotat award. The student may, however, decline the award and seek reassessment as if for the first time.
- D9.5 Before a recommendation under (i) or (ii) above is implemented the student must, within reason, have signified, in writing, that he or she is willing to accept the award and accepts that this implies waiving the right to be reassessed under D9.1 above.

**D10     Reassessment for award**

- D10.1 Students may not seek reassessment in order to improve their classification unless there are, in the view of the Programme Board, valid reasons for poor performance, in which case the regulations in section D9 'Valid reasons for Poor Performance' shall apply.
- D10.2    Reassessment for award - undergraduate programmes**
- D10.2.1 Students who have failed to qualify in their first consideration at a final Programme Board of Examiners for their intended award have the opportunity for reassessment, through referral (see section D5.2.2) and/or re-enrolment (if available and normally with the following cohort).

See section D5.3) in any or all Level **5/6/7** modules or short courses in which they have been awarded FREFE/FREFC/FREFB or FRENE/FRENCF/FREN (but not FNFA) status codes. Module Boards and Short Course Boards have discretion to decide whether or not attendance is required on re-enrolment on the relevant modules and/or short courses.

- D10.2.2** It is recognised that, in some cases, professional bodies will not permit such an arrangement for particular named awards; in such cases, alternative named awards may be made as is common practice under the CATS system. Approval for an award of this nature must be obtained under the University's normal quality assurance arrangements (sections D5.3 and C4.3.1, *iii*, refer).

**D10.2.3 'Topping up' interim awards**

A student who has accepted an interim award may seek to undertake further study in order to qualify for a higher award. Admission to such a programme and the amount of specific credit to be granted are at the discretion of the University and will be considered under the normal procedures for accreditation of prior learning. The study programme will be prescribed by the University to accumulate the specific credits required at each Level for the award. Section D3 'Interim Awards and Progression' contains other relevant regulations.

**D10.3 Reassessment for award - postgraduate programmes**

- D10.3.1** Candidates for a postgraduate award who fail in their first attempt to satisfy the final Programme Board of Examiners may, at the discretion of the Board of Examiners, be reassessed through referral (see section D5.2.3) and/or re-enrolment (if available and normally with the following cohort. See section D5.3) in any or all of the elements of assessment.

**D11 Viva Voce examinations**

- D11.1** Except when written into programme-specific regulations as part of the normal assessment process for all candidates, viva voce examinations may only be used at the discretion of Module Boards or Short Course Boards.

- D11.2** The results of the viva voce must be reported to the Module Board or Short Course Board and may be used:

- i to confirm the standards achieved on modules or short courses;
- ii as an alternative or additional assessment where valid reasons for poor performance have been established;
- iii where plagiarism or other examination offence is suspected.

**D12 Students' fitness to practise**

Successful completion of a Professional Programme (at any level), as defined in UPR SA15<sup>N</sup>, would make the student concerned eligible to apply for Registration and/or would entitle him or her to practise and/or would indicate the student's potential suitability to practise. UPR SA15<sup>N</sup> defines 'Registration' as the process whereby a Regulator registers individuals thereby permitting them to practise their profession lawfully. The term 'Regulator' is used generically in UPR SA15<sup>N</sup> and means a body authorised by the Privy Council to permit practise but also, a Professional Statutory Regulatory Bodies or Professional Bodies, where appropriate/relevant.

Concerns, complaints and allegations which, if upheld, would call into question a student's fitness to practise, are considered under the provisions of UPR SA15<sup>N</sup>.

<sup>N</sup>

UPR SA15 'Fitness to Practise'

UPR SA15<sup>N</sup> sets out, amongst other things, the circumstances in which a student might be withdrawn from a programme and also the circumstances in which a student might be excluded from the University by the Vice-Chancellor.

**D12.1 Where a student is permitted, exceptionally, to continue on the programme**

In certain exceptional cases, and following appropriate consultation, where the nature of the concern, complaint or allegation is such that it would not otherwise warrant his or her exclusion from the University, a student may be permitted to continue on his or her programme. In these circumstances, a Student Fitness to Practise Panel may impose a lesser penalty.

**(NOTE:**

- 21** UPR SA15<sup>N</sup> sets out the circumstances in which a report will be made by the University to the relevant Regulator.)

**D12.2 Where a student is permitted, exceptionally, to transfer to another programme**

- i Where the nature of the concern, complaint or allegation is such that it would not warrant his or her exclusion from the University had he or she been following another programme, the Student Fitness to Practise Panel may, in exceptional circumstances and subject to the following conditions, recommend that the student be permitted to transfer to another programme:
  - a the student's past conduct would not prevent him or her from achieving any Registration (as defined in UPR SA15<sup>N</sup>) associated with the new award or render him or her ineligible for membership of any professional body for which the new award would otherwise qualify its holder;
  - b a place is available on the programme which he or she has chosen;
  - c the student meets the entry requirements for the programme;
  - d the student is judged to be a suitable candidate by the Admission Tutor for that programme and by the relevant Associate Dean of School.
- ii In these circumstances, the student will be suspended from the University by the Vice-Chancellor until he or she enrolls on his or her new programme.

**D13 Arrangements for collaborative programmes**

Arrangements for the conduct of Boards of Examiners on a programme leading to an award of the University and offered at a partner organisation must comply with these regulations unless specifically agreed otherwise, in writing.

**E EXTERNAL EXAMINERS**

**E1 General information**

**E1.1 Programme External Examiners**

- i Programme External Examiners are appointed by the University to have oversight of the programme-specific assessment and ensure that it has been undertaken in a manner which is just to the individual student and that the standard of the University's awards is maintained. Membership and attendance of Programme External Examiners at the Programme Board of Examiners is expected (but see also section E2.3).

- ii By confirming the academic standards of a programme at its final board, the Programme External Examiner is implicitly endorsing the Level and standards of any interim awards for the programme. Therefore, unless there are specific Programme or Professional/Statutory Regulatory Body requirements for External Examiners to approve interim awards, it is not necessary to do so.

#### **E1.2 Module External Examiners**

- i Module External Examiners are appointed by the University to ensure that the assessment and academic standards in cognate subject areas are appropriate. They will be asked to moderate assessment and standards, possibly across a broad range of credit-rated modules at different Levels. Module External Examiners are members of Module Boards of Examiners (see C3.5 'Involvement of External Examiners in Module Boards and Short Course Boards' above). Membership and attendance of Module External Examiners at the Module Board of Examiners is expected (but see also section E3.2). Where they are not also Programme External Examiners they are not members of the Programme Board but may be invited to attend by the Chairman/Chairmen of relevant Programme Board(s).
- ii Module External Examiners are appointed for all modules at Levels **5, 6** and **7**. By confirming the academic standards of a Bachelor's programme at Levels **5** and **6**, External Examiners are implicitly endorsing the standards at Level **4** of a programme. Therefore, unless there are specific Programme or Professional/Statutory Regulatory Body requirements for External Examiners to consider modules at Level **4**, it is not necessary to do so. For final awards at Levels **0** and **4**, Module External Examiners are appointed for modules at the Level of the final award.

#### **E1.3 Short Course External Examiners**

- i Short Course External Examiners are appointed by the University to ensure that the assessment and academic standards in cognate subject areas are appropriate. They will be asked to moderate assessment and standards, possibly across a broad range of credit-rated short courses at different Levels. Short Course External Examiners are members of Short Course Boards of Examiners (see C3.5 'Involvement of External Examiners in Module Boards and Short Course Boards' above).
- ii Short Course External Examiners are appointed for all short courses at Levels **5, 6** and **7**.

#### **E2 Role, responsibilities, rights and duties of Programme External Examiners**

- E2.1 The role of the Programme External Examiner(s) is: to audit the programme assessment process; to ensure that justice is done to the individual student; to ensure that the standard of the University's award is maintained and to ensure compliance with the regulations for the award.
- E2.2 Programme External Examiners must be appointed to all programmes which may lead to an award. Where External Examiners have been appointed, no recommendation for the conferment of a University award may be made without their written consent. On any matter which the Programme External Examiner(s) declare(s) a matter of principle, the decision of the Programme External Examiner(s) shall either be accepted as final by the Board of Examiners or shall be referred to the Academic Board.
- E2.3 If a Programme External Examiner is absent from a meeting of a Board of Examiners which is concerned with the determination of the class or grade of award and, because of the circumstances, no substitute has been duly appointed, then they should be consulted and their agreement on the decisions of the Board obtained (section 9.3.2, UPR AS12<sup>G</sup>/section 9.3.2, UPR AS13<sup>H</sup>, refers). It is essential that, in such circumstances, every endeavour is

made to ensure that at least one (1) of the Programme External Examiners is present at the meeting and that no decision of the Board be made final until the concurrence of the absent External Examiner(s) has been established.

#### E2.4 Responsibilities of Programme External Examiners

The following outlines the collective and individual responsibilities of Programme External Examiners. They should:

- i be able to judge each student impartially on the basis of the results submitted by the relevant Module Boards and Short Course Boards, without being influenced by previous association with the School(s), the staff or any of the students;
- ii be able to compare the performance of students with that of their peers on comparable programmes of higher education elsewhere;
- iii attend all meetings of Programme Boards of Examiners at which recommendations for final awards are made and other meetings of Boards of Examiners, as agreed with the Chairman and/or Associate Dean of School (Academic Quality Assurance);
- iv be consulted about and agree to any proposed major changes to the assessment or programme regulations which will directly affect current students;
- v require assurance that the form and content of proposed assessments have been approved by Module and/or Short Course External Examiners;
- vi require assurance that all students have been assessed fairly in relation to the curriculum and regulations;
- vii ensure that recommendations for awards are reached by means consistent with the University's regulations, requirements and normal practice in Higher Education;
- viii participate, as required, in reviews of decisions and recommendations about individual students;
- ix report to the University annually on the conduct of assessments and on issues relating to assessment;
- x report to the Chairman of the Academic Board (the Vice-Chancellor) on any matters of serious concern arising from the assessments, which put at risk the standard of the University's award(s).

#### E3 Role, responsibilities, rights and duties of Module External Examiners and Short Course External Examiners

- E3.1 Any credit-rated module or short course which is capable of contributing to the classification of a final award of the University must have a Module External Examiner or Short Course External Examiner associated with it. Module External Examiners may be responsible for shared modules between a number of different programmes. They may also act as Programme External Examiners for one or more of the programmes.
- E3.2 If a Module or Short Course External Examiner is absent from a meeting of a Module Board or Short Course Board then his or her written agreement to the decisions of the Board must be obtained (section 9.3.1, UPR AS12<sup>G</sup>/section 9.3.1, UPR AS13<sup>H</sup>, refers). The decisions of the Board will be provisional until the agreement of the absent External Examiner has been obtained (see section C3.6).

- E3.3 The following outlines the responsibilities of Module and Short Course External Examiners. They should:
- i be able to judge each student impartially on the basis of the work submitted for assessment, without being influenced by previous association with the School(s), the staff or any of the students;
  - ii be able to compare the performance of students with that of their peers on comparable programmes of higher education elsewhere;
  - iii approve and moderate the form and content of proposed assessments, model solutions /marking schedules, where appropriate, and have the right to see all relevant examination scripts;
  - iv sample major coursework assessments;
  - v where appropriate, take part in forms of assessment such as oral examinations, observation of teaching experience, observation of creative presentations and performances etc., as appropriate;
  - vi discuss matters, where appropriate, with internal examiners and others involved in teaching and assessment (such as placement providers/assessors);
  - vii be consulted about any proposed changes to the assessment regulations which will directly affect students currently on the modules and/or short courses for which they are responsible;
  - viii have the right to recommend changes to the marks awarded by the internal Examiners but always in the context of fairness and equity to all candidates: such recommendations are to be made to the Module Board or Short Course Board;
  - ix ensure that the assessments are conducted in accordance with the regulations for the modules or short courses;
  - x attend all meetings of the Module Boards or Short Course Boards participating, as required, in reviews of decisions and recommendations about individual students;
  - xi report to the University annually on the conduct of assessments and on issues relating to assessment and academic standards in this subject area;
  - xii report to the Chairman of the Academic Board (the Vice-Chancellor) on any matters of serious concern arising from the assessments, which put at risk the standard of the University's award(s).

- E3.4 To enable Module External Examiners to fulfil their role effectively, they must be given adequate opportunities to communicate with internal examiners and others involved in teaching and assessment, including placement providers/assessors.

#### **E4 Matters of concern to External Examiners**

- E4.1 In addition to preparing annual reports, all External Examiners are free to write directly to the Chairman of a Board of Examiners, the Dean of School and, ultimately, the Vice-Chancellor on any matter of concern to them.

- E4.2 Where an External Examiner has a serious concern relating to systemic failings with the academic standards of a programme, and the matter has not been resolved through the submission of a confidential report to the Vice Chancellor, he or she may invoke QAA's concerns scheme:  
[http://www.qaa.ac.uk/en/Publications/Documents/QAA\\_concerns\\_guidance\\_external\\_examiners.pdf](http://www.qaa.ac.uk/en/Publications/Documents/QAA_concerns_guidance_external_examiners.pdf)

or inform the relevant professional, statutory or regulatory body.

**E5 Disagreements between or with External Examiners**

- E5.1 Where disagreements involving External Examiners arise, which result in a Board of Examiners being unable to agree a recommendation, it is for the Academic Board to ensure that the matter is resolved. This responsibility is delegated to an External Examiners' Disputes Committee, which is an ad hoc committee of the Academic Board.

**(NOTE:**

- 22** The student(s) concerned will be informed that the recommendation of the Board of Examiners has been deferred pending further discussion and will be notified of the date by which it is expected the matter will be resolved.)

- E5.2 The composition of the External Examiners' Disputes Committee shall be as follows:

- i a senior member of the academic staff, nominated by the Vice-Chancellor and appointed by the Academic Board, who shall be Chairman
- ii one (1) member of the academic staff, nominated and appointed by the School (these members should be experienced External Examiners)
- iii Secretary and Registrar (or nominee)

- E5.3 The External Examiners' Disputes Committee will meet as necessary and is empowered to investigate and take decisions on disputes. A quorum of three (**3**) is mandatory.

- E5.4 The Committee will not be required to report on individual disputes but the Academic Board reserves the right to request a report, where it deems this to be appropriate.

- E5.5 Dissenting Examiners retain the usual rights of all External Examiners to write, in confidence, to the Vice-Chancellor and, ultimately, to the QAA (or any relevant professional, statutory or regulatory body) if it is believed that there is a systematic failing with academic standards (section E4.2 refers).

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## CHAIRMEN OF BOARDS OF EXAMINERS - ROLE AND TERMS OF REFERENCE

### SUMMARY OF PRINCIPAL CHANGES

#### General changes

None

#### Section

None

(*Amendments to version 09.0, UPR AS14, Appendix I are shown in italics.*)

## 1 GENERAL

- 1.1 The Academic Board delegates the appointment of individuals with appropriate experience to chair Module, Short Course and Programme Boards of Examiners to the Vice-Chancellor, on the recommendation of the relevant Dean of School.
- 1.2 The Chairman of a Board of Examiners must ensure that it conducts its business in accordance with its constitution, terms of reference and the Standing Orders of the Academic Board, insofar as they apply to Boards of Examiners. The Structure and Assessment Regulations for Academic Programmes of the University (UPR AS14<sup>1</sup>, refers) make a clear distinction between the responsibilities of Module, Short Course and Programme Boards of Examiners and the responsibilities of Chairmen to these Boards vary accordingly.

## 2 MODULE BOARDS AND SHORT COURSE BOARDS

- 2.1 The key responsibilities of a Chairman are:

- i to appoint, in consultation with Deans of School and in collaboration with the appropriate Associate Deans of School (Academic Quality Assurance), the internal members of the Board of Examiners. The membership must include staff who have a significant responsibility for the teaching of any of the modules and/or Short Courses being considered, including any part-time staff with this responsibility;
- ii to ensure that all members of the Board are properly briefed and have access to a current copy of the relevant Definitive Module Documents and/or Short Course Descriptors;
- iii to liaise closely with the Clerk to the Board to ensure that the grades presented are full and correct;
- iv to ensure that full and frank discussion takes place about the performance of individual students, taking into account the views of any External Examiners and to guide the Board towards clear recommendations/decisions on both pass and fail grades;
- v to consider and initiate such actions as he or she thinks necessary on advice given by the External Examiners;
- vi to liaise closely with the Clerk to ensure that the confirmed grades reflect accurately the decisions which have been made at the Board;
- vii in close collaboration with the Clerk, to ensure that the grades confirmed by the Module Board or Short Course Board are issued to students and (in the case of Module Boards) communicated to an appropriate Programme Board(s);

<sup>1</sup> UPR AS14 'Structure and Assessment Regulations – Undergraduate and Taught Postgraduate Programmes'

- viii to ensure that the Chairmen of Programme Boards are aware of any issues which may influence decisions being made by Programme Board(s);
- ix in liaison with the External Examiners and the Clerk, to confirm the date of the Board of Examiners which will be considering referred/deferred candidates;
- x following the Board, to check, approve and sign the minutes as a true and accurate record of the proceedings.

**2.2 Cheating, plagiarism, collusion and other Assessment Offences (Appendix III, UPR AS14<sup>2</sup>, refers)**

- 2.2.1** In determining appropriate academic penalties for cheating, plagiarism, collusion and other Assessment Offences, Chairmen of Module Boards and Short Course Boards will ensure that proper account is taken of the written reports of the Associate Dean of School (Academic Quality Assurance) (or nominee) and the extent to which the nature of the assessment offence makes it unsafe to award academic credit for the particular assessment.

**3 PROGRAMME BOARDS**

- 3.1** The key responsibilities of a Chairman are:

- i to appoint, in consultation with the Dean of School with responsibility for the programme being considered, the internal members of the Board of Examiners. This will include members as specified in section C3.2, UPR AS14<sup>1</sup>;
- ii to ensure that all members of the Board are properly briefed and have access to a current copy of the relevant Programme Specification;
- iii to liaise closely with the Clerk to ensure that the grades presented to the Programme Board reflect accurately the decisions which have been made by Module Board(s) and Short Course Board(s);
- iv to ensure that full and frank discussion takes place on the overall profile of individual students, taking into account the views of any External Examiners and to guide the Board towards clear recommendations/decisions (see C3.3, UPR AS14<sup>1</sup>);
- v to consider the results of students awarded scholarships on the basis of their academic achievement and confirm their eligibility to retain the award;
- vi to consider and initiate such actions as he or she thinks necessary on advice given by the External Examiners;
- vii to ensure that the individual student notifications of results (where issued) and transcripts are accurate, reflect changes made by the Programme Board and are otherwise consistent with the requirements of University regulations;
- viii following the Board, to check, approve and sign the award pass lists and minutes thereby confirming that they are a true and accurate record of the proceedings.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

---

<sup>2</sup> UPR AS14, Appendix III 'Assessment Offences'

## CLERKS TO BOARDS OF EXAMINERS – ROLE AND RESPONSIBILITIES

### SUMMARY OF PRINCIPAL CHANGES

General changes	
None	
Section	
None	

(Amendments to version **09.0**, UPR AS14, Appendix II are shown in *italics*.)

### 1 GENERAL

- 1.1 The Secretary and Registrar has delegated the appointment of Clerks to School Administration Managers or, for collaborative programmes, to the Assistant Registrar (Student Administration - Collaborative Partnerships) (AR(SA-CP)). The Clerk should have a good working knowledge of the programme, modules and/or short courses which fall within the remit of the Board(s) to which they are Clerk and also the relevant University and programme-specific regulations and the Standing Orders of the Academic Board, insofar as they apply to Boards of Examiners.
- 1.2 The Structure and Assessment Regulations for Academic Programmes of the University (UPR AS14<sup>1</sup>, refers) make a clear distinction between the responsibilities of Module, Short Course and Programme Boards of Examiners and the responsibilities of Clerks to these Boards vary accordingly.

#### **(Note for guidance:**

A Clerk to a Module Board may be dealing with students from a number of programmes across the University registered on modules for which he or she has responsibility. The Clerk of a Programme Board will be dealing only with the students registered on the programme for which he or she has overall administrative responsibility. It is recognised that one individual may perform both roles.)

### 2 MODULE BOARDS AND SHORT COURSE BOARDS

#### 2.1 Key responsibilities and duties of the Clerk

- 2.1.1 The key responsibilities and duties of a Clerk to a Module Board or Short Course Board are expected to include:
  - i drafting the membership list;
  - ii making all administrative arrangements related to the Module Boards or Short Course Boards for which they are responsible, including establishing dates of meetings with the Chairman and External Examiners, in accordance with University regulations relating to the timing of examination board meetings;
  - iii liaising with External Examiners;
  - iv drafting agendas following University guidelines, in consultation with Chairman (or nominee);
  - v preparing and providing appropriate standard documentation for Boards of Examiners meetings, including University regulations, Assessment Panel decisions and student academic scholarship information;

<sup>1</sup> UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes'

- vi producing detailed and accurate minutes recording the rationale for decisions taken, where appropriate;
- vii recording decisions relating to individual students, including those relating to Serious Adverse Circumstances and ensuring that individual student records on the Student Record System are correct;
- viii recording the conditions of referred and deferred assessment and distributing coursework specifications to appropriate programme administrators;
- ix the co-ordination of arrangements for referred and deferred assessments;
- x in collaboration with the Chairman of the Module Board or Short Course Board, ensuring all actions are taken on results outstanding after the Board meeting;
- xi following confirmation by the Chairman of the Module Board or Short Course Board and authorisation by the School Administration Manager (or nominee) or, for collaborative programmes, to the AR(SA-CP), the issuing of confirmed results to candidates;
- xii ensuring that the Board is notified of any special examination arrangements agreed for disabled or other candidates (Appendix II, UPR AS12<sup>2</sup>/Appendix II, UPR AS13<sup>3</sup>, refer).
- xiii Offering students appropriate advice on issues relating to the University's Policies and Regulations or module specific regulations. Once confirmed results have been released, to offer appropriate advice to students on specific regulatory issues relating to their individual study.

**(Notes for guidance:**

The responsibility for informing students of the format and timing of referred/deferred assessments rests with the School Administration Manager (or nominee) or, for collaborative programmes, AR(SA-CP) (section 3, viii, refers.).

## 2.2 Minutes

- 2.2.1 Detailed and accurate written records of the proceedings of each Module Board or Short Course Board must be maintained by the Clerk to the Board.
- 2.2.2 The minutes are confidential to members of the Board and the officers listed in section 2.2.3 of this document. They must record the decisions of the Board and give details of the reasons for decisions in difficult cases and any precedents on which the Board has based its decision and must be produced as soon as possible after the meeting of the Board.
- 2.2.3 The Clerk should provide draft minutes to the Chairman for approval within **30** working days of the date of the meeting.
- 2.2.4 The draft minutes should normally be approved by the Chairman, acting in consultation with a senior member of the Board, within **10** working days of their receipt from the Clerk. The approved minutes should be published immediately to the following officers: the Chairman, the Clerk to the Board, the Dean of School, the Associate Dean of School (Academic Quality Assurance), the Programme Leader(s) (or equivalent), the External Examiner(s), the School Administration Manager or, as appropriate, for collaborative programmes, to the AR(SA-CP), and, on request, to the Secretary and Registrar.

---

<sup>2</sup> Appendix II, UPR AS12 'Assessments and Examinations - Candidates with Disabilities or other Additional Needs (University-delivered provision)'

<sup>3</sup> Appendix II, UPR AS13 'Assessments and Examinations - Candidates with Disabilities or other Additional Needs (Partner Organisation-delivered provision)'

### 3 PROGRAMME BOARDS

#### 3.1 Key responsibilities and duties of the Clerk

3.1.1 The key responsibilities and duties of a Clerk to a Programme Board of Examiners are expected to include:

- i drafting the membership list;
- ii making all administrative arrangements related to the Programme Boards for which they are responsible, including establishing dates of meetings with the Chairman and External Examiners, in accordance with University regulations relating to the timing of examination board meetings;
- iii liaising with External Examiners;
- iv drafting agendas following University guidelines, in consultation with Chairman (or nominee);
- v preparing and providing appropriate standard documentation for Boards of Examiners meetings, including collated grades from Module Boards, Short Course Boards and University and Programme regulations;
- vi producing detailed and accurate minutes;
- vii recording recommendations relating to individual students (which may include interim awards);
- viii arranging for signature and publication of appropriate award pass lists and notification of results/transcripts to individual students;

**(Note for guidance:**

Individual students will not be sent individual award pass lists and only award pass lists will be published.)

- ix amending student records on the Student Record System as necessary;
- x processing and notifying results to the Exams and Awards Office;

**(Note for guidance:**

UPR AS12<sup>4</sup>/UPR AS13<sup>5</sup>, as appropriate, refer.)

- xi Offering students appropriate advice on issues relating to the University's Policies and Regulations or programme-specific regulations. Once confirmed results have been released, to offer appropriate advice to students on specific regulatory issues relating to their individual study.

#### 3.2 Minutes

3.2.1 Detailed and accurate written records of the proceedings of each Board of Examiners must be maintained by the Clerk to the Board.

---

<sup>4</sup> UPR AS12 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (University-delivered provision)'

<sup>5</sup> UPR AS13 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (Partner Organisation-delivered provision)'

- 3.2.2 The minutes are confidential to members of the Board and the officers listed in section 3.2.3 of this document. They must record the decisions of the Board and give details of the reasons for decisions in difficult cases and any precedents on which the Board has based its decision and must be produced as soon as possible after the meeting of the Board.
- 3.2.3 The Clerk should provide draft minutes to the Chairman for approval within **30** working days of the date of the meeting.
- 3.2.4 The draft minutes should normally be approved by the Chairman, acting in consultation with a senior member of the Board, within **10** working days of their receipt from the Clerk. The approved minutes should be published immediately to the following officers: the Chairman, 3.2.4 , the Clerk to the Board, the Dean of School, the Associate Dean of School (Academic Quality Assurance), the Programme Leader(s) (or equivalent), the External Examiner(s), the School Administration Manager or, as appropriate, for collaborative programmes, to the AR(SA-CP), and, on request, to the Secretary and Registrar.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## ASSESSMENT OFFENCES

### SUMMARY OF PRINCIPAL CHANGES

General changes	
None	
Section	
None	

(Amendments to version **09.0**, UPR AS14, Appendix III are shown in *italics*.)

## 1 INTRODUCTION

- 1.1 Cheating, plagiarism, collusion, other Assessment Offences and Academic Misconduct:
- i are defined in Appendix I, UPR AS12<sup>1</sup>/Appendix I, UPR AS13<sup>2</sup> which also set out a range of offences that the University will normally regard as Assessment Offences and/or Academic Misconduct: while the University has attempted to present as comprehensive a list as possible, this list of offences should not be considered exhaustive; Student Programme Handbooks should also include a section on cheating, plagiarism, collusion and other Assessment Offences and/or Academic Misconduct and
  - ii will, in the first instance, be dealt with in accordance with the procedure set out in this document (Appendix III, UPR AS14).

- 1.2 The nature of some of the offences defined in section 2 of this document is such that they are either wholly or partly a matter of academic judgement. Whether or not a student intended to commit an Assessment Offence is not relevant for a finding of guilt.

## 2 DEFINITIONS

- 2.1 Appendix I, UPR AS12<sup>1</sup>, and Appendix I, UPR AS13<sup>2</sup>, define cheating plagiarism, collusion and other Assessment Offences/Academic Misconduct as follows:

“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;

<sup>1</sup> UPR AS12 Appendix I ‘Assessments and Examinations - Regulations for Candidates(Including Requests for the Review of Examination Decisions (Appeals Procedure) (University-delivered provision)’

<sup>2</sup> UPR AS13 Appendix I ‘Assessments and Examinations - Regulations for Candidates (Including Requests for the Review of Examination Decisions (Appeals Procedure)) (Partner Organisation-delivered provision)’

- 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 pocket calculator, in a mobile telephone, 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 C.2.8, UPR AS14<sup>3</sup>, refers.

**2.2 Offences**

2.2.1 The following are regarded as offences:

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

Allegations of cheating, plagiarism, collusion and other Assessment Offences will be investigated in accordance with the procedures set out in this document (Appendix III, UPR AS14). Should such allegations be proven, the University reserves the right, at its sole discretion, to impose any of the academic penalties set out in this document (Appendix III, UPR AS14) and (where the allegation is treated as an Academic Misconduct matter under the provisions of UPR SA13<sup>4</sup> or UPR SA15<sup>5</sup>) in Appendix I, UPR SA13<sup>6</sup>/Appendix I UPR SA15<sup>7</sup>.

**3 ACADEMIC MISCONDUCT - CASES DEALT WITH THROUGH THE STUDENT DISCIPLINARY PROCEDURES**

3.1 Alleged Academic Misconduct offences which necessarily involve making decisions that go beyond purely academic judgement will be dealt with in accordance with the provision of UPR SA13<sup>4</sup> or UPR SA15<sup>5</sup>. The University regards the following as matters to be referred for consideration under the provisions of UPR SA13<sup>4</sup> or UPR SA15<sup>5</sup>:

- i **Plagiarism**, as defined in section 2.1.2, where an Associate Dean of School (Academic Quality Assurance) (or nominee) considers the matter to be sufficiently serious to be dealt with under the provisions of the student disciplinary procedures (UPR SA13<sup>4</sup>) or to be considered under the provisions of UPR SA15<sup>5</sup>.
- ii **Cheating**, as defined in section 2.1.1.

---

<sup>3</sup> UPR AS14 'Structure and Assessment Regulations – Undergraduate and Taught Postgraduate Programmes'  
<sup>4</sup> UPR SA13 'Student Discipline', or equivalent Student Discipline Code operating in a partner institution, where agreed  
<sup>5</sup> UPR SA15 'Fitness to Practise'  
<sup>6</sup> Appendix I, UPR SA13 'University Schedule of Sanctions and Penalties for Academic and Non-Academic Disciplinary Offences'  
<sup>7</sup> Appendix I, UPR SA15 'University Schedule of Sanctions and Penalties for Academic and Non-Academic Disciplinary Offences'

- iii **Collusion**, as defined in section 2.1.3, where an Associate Dean of School (Academic Quality Assurance) (or nominee) considers the matter to be sufficiently serious to be dealt with under the provisions of the student disciplinary procedures (UPR SA13<sup>4</sup>) or to be considered under the provisions of UPR SA15<sup>5</sup>, in which case the circumstances will include, but may not necessarily be limited to:
    - a where an allegation of collusion has been made and one or more of the parties contests it, the matter will be dealt with through the student disciplinary procedure for the specific purpose of determining whether the alleged offence has been committed and by whom; where the disciplinary process identifies an offender, in addition to any disciplinary penalty that may be applied under the provisions of Appendix I, UPR SA13<sup>6</sup> or Appendix I, UPR SA15<sup>7</sup>, the matter will then be referred to the appropriate Short Course/Module Board of Examiners (see section 3.2).
  - iv **breach of professional confidentiality**;
  - v **failure to obtain ethics approval prior to undertaking work involving human participants** (UPR RE01<sup>8</sup>, refers) where the Chairman of the relevant Ethics Committee with Delegated Authority (ECDA), acting as the nominee of the relevant Associate Dean of School (Academic Quality Assurance), considers the matter to be sufficiently serious to be dealt with under the provisions of UPR SA13<sup>4</sup> or UPR SA15<sup>5</sup> (UPR RE01<sup>8</sup>, refers);
  - vi **failure to comply with the terms and conditions of an ethics approval granted for work involving human participants** (UPR RE01<sup>8</sup>, refers) where the Chairman of the relevant ECDA, acting as the nominee of the relevant Associate Dean of School (Academic Quality Assurance), considers the matter to be sufficiently serious to be dealt with under the provisions of UPR SA13<sup>4</sup> or UPR SA15<sup>5</sup> (UPR RE01<sup>8</sup>, refers).
- 3.2 Where a Student Academic Misconduct Panel (or equivalent panel in a partner institution, where agreed), convened under the provisions of UPR SA13<sup>4</sup> or UPR SA15<sup>5</sup>, finds that an Academic Misconduct offence, as defined in section 3.1, has been committed, the Student Academic Misconduct Panel will so inform the Short Course/Module Board of Examiners. The Short Course/Module Board of Examiners will exercise its academic judgement and allocate marks (see section 5.4.2).
- 3.3 The role of the Short Course/Module Board of Examiners is to exercise academic judgement. It has no role in determining the disciplinary or other sanctions or penalties that might be imposed under the provisions of UPR SA13<sup>4</sup> or UPR SA15<sup>5</sup>. Conversely, neither a Student Academic Misconduct Panel nor the Vice-Chancellor may seek to influence a Short Course/Module Board of Examiners in exercising its academic judgement in relation to a student.

#### 4 ASSESSMENT OFFENCES DEALT WITH BY SHORT COURSE/MODULE BOARDS

##### 4.1 Assessment Offences

4.1.1 The following types of Assessment Offence will be dealt with by Short Course/Module Boards and will not be referred for consideration under the provisions of UPR SA13<sup>4</sup> or UPR SA15<sup>5</sup>:

- i **plagiarism**, as defined in section 2.1.2, not referred by an Associate Dean of School (Academic Quality Assurance) (or nominee) to the student disciplinary process (see section 3.1);

---

<sup>8</sup> UPR RE01 'Studies Involving the Use of Human Participants'

- ii **collusion**, as defined in section 2.1.3, where an Associate Dean of School (Academic Quality Assurance) (or nominee) considers that the collusion should not be dealt with under the provisions of the student disciplinary process and where the allegation is not contested;

iii **Assessment Offences as defined in section 2.1.4, a-f inclusive.**

- 4.2 The Assessment Offences referred to in section 4.1, i – iii, will be dealt with in accordance with the procedures set out in section 5 of this document. The Short Course/Module Board has absolute discretion to impose any of the penalties set out in section 5.

## 5 PROCEDURE

- 5.1 Allegations of plagiarism, collusion and other Assessment Offences and/or Academic Misconduct, as defined in section 2, will be made, in writing, to the appropriate Associate Dean of School (Academic Quality Assurance) (or nominee) and will be accompanied by appropriate documentary evidence to support the allegation (see section 5.3).

- 5.2 To enable alleged offences involving the ethics regulations to be considered (UPR RE01<sup>8</sup>, refers), one or more of the Chairmen of Ethics Committees with Delegated Authority will be appointed as nominees of the Associate Dean of School (Academic Quality Assurance) for the purposes of dealing with cases relating to alleged breaches of the University's ethics regulations (UPR RE01<sup>8</sup>, refers).

**(Note for guidance:**

The matters referred to in section 5.1 include alleged failure to obtain ethics approval prior to undertaking work involving human participants (UPR RE01<sup>8</sup>, refers) and failure to comply with the terms and conditions of an ethics approval granted for work involving human participants (UPR RE01<sup>8</sup>, refers).

For the proper administration of these procedures, where an allegation is received by the Chairman or Clerk of an ECDA or other member of staff, he or she is expected to inform the relevant Associate Dean of School (Academic Quality Assurance) who will ensure that the matter is referred to the most appropriate ECDA Chairman and that he or she has been formally designated to act as nominee.

The Chairman of the ECDA so designated is required to follow the procedures set out in section 5.3 and to ensure that the Associate Dean of School (Academic Quality Assurance) is fully briefed on the progress of the matter.

Where the Associate Dean of School (Academic Quality Assurance) is also the Chairman of the ECDA and intends to deal with the allegation in that capacity, he or she may nominate another member of staff of appropriate standing to act as the nominee of the Associate Dean of School (Academic Quality Assurance) for the purposes of these procedures.)

- 5.3 **Responsibilities of the Associate Dean of School (Academic Quality Assurance) (or nominee)**

**(Note for guidance:**

Associate Deans of School (Academic Quality Assurance) and their nominees are advised to note their responsibilities under the provisions of UPR SA13<sup>4</sup> and UPR SA15<sup>5</sup>.)

- 5.3.1 The Associate Dean of School (Academic Quality Assurance) (or nominee) will carry out a preliminary investigation.

- 5.3.2 Provided that there is a *prima facie* case to be discussed with the student and investigated further by the Associate Dean of School (Academic Quality Assurance) (or nominee), he or she will:
- i within five (5) working days of the date on which the allegation was referred to him or her, or as soon as possible thereafter:
    - a inform the student, in writing, by means of a **Letter of Notification**:
      - 1 of the alleged offence and the underlying facts that have been provided to support the allegation;
      - 2 that the student has a right to refute the allegations of Assessment Offence and/or Academic Misconduct to the Associate Dean of School (Academic Quality Assurance) (or nominee) either in person or in writing within five (5) working days of the date of the **Letter of Notification** (not the date of its receipt by the student);
      - 3 that, based upon the Associate Dean of School (Academic Quality Assurance) (or nominee)'s investigation, the Associate Dean of School (Academic Quality Assurance) (or nominee) may refer the matter to be dealt with under the provision of UPR SA13<sup>4</sup> or UPR SA15<sup>5</sup>.
  - ii consider the allegation and any supporting documentation, seek advice from whomsoever he or she deems appropriate and either:
    - a inform the student that the matter is to be referred to be dealt with under the provision of UPR SA13<sup>4</sup> or UPR SA15<sup>5</sup> or
    - b where the Assessment Offence is not to be dealt with under the provisions of UPR SA13<sup>4</sup> or UPR SA15<sup>5</sup>:
      - 1 prepare a draft report (**Recommendation Report**) for the Short Course/Module Board in the required format, based on the investigation and
      - 2 provide the **Recommendation Report** to the student prior to its submission to the Short Course/Module Board and
      - 3 invite the student to respond to the **Recommendation Report** within five (5) working days of the date of the **Recommendation Report** (not the date of its receipt by the student) and
      - 4 where the student has responded to the **Recommendation Report**, submit the student's comments to the Short Course/Module Board together with the **Recommendation Report**.

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

- 5.3.3 The School Administration Manager (or nominee) will make a written record of any meeting between the Associate Dean of School (Academic Quality Assurance) (or nominee) and the student.
- 5.3.4 Only the Associate Dean of School (Academic Quality Assurance) (or nominee) will communicate with the student concerning any matter being considered under the provisions of the process set out in this section (5.3).
- 5.3.5 Where section 5.3.2, ii, a, applies, the Associate Dean of School (Academic Quality Assurance) (or nominee) will inform the Chairman of the Short Course/Module Board, in writing, that consideration of the candidate should be deferred to await the conclusion of the process before the Student Academic Misconduct Panel.

- 5.3.6 Following the conclusion of the process before the Student Academic Misconduct Panel, the Associate Dean of School (Academic Quality Assurance) (or nominee) will provide a report to the Chairman of the Short Course/Module Board so that it may determine the appropriate academic penalty to be applied under section 5.4.2 of this document.
- 5.3.7 Where an allegation is upheld at the level of the Student Academic Misconduct Panel, in addition to any sanction or penalty imposed under the provisions of UPR SA13<sup>4</sup> or UPR SA15<sup>5</sup>, the Short Course/Module Board may, where cheating, plagiarism, collusion or other Assessment Offences (as defined in section 2 of this document) has occurred, impose one or more of the academic penalties set out in section 5.4.2 of this document.

#### **5.4 Chairmen of Short Course/Module Boards**

- 5.4.1 Chairmen of Module Boards and Short Course Boards are responsible for:

- i reporting all allegations of an Assessment Offence, including proven cases of cheating, plagiarism, collusion or other Academic Misconduct, to all members of the Board;  
(where a Student Academic Misconduct Panel, convened under the provisions of UPR SA13<sup>4</sup> or UPR SA15<sup>5</sup>, finds that an Academic Misconduct offence, as defined in section 3.1, has been committed, the Student Academic Misconduct Panel will so inform the Short Course/Module Board. The Short Course/Module Board of Examiners will exercise its academic judgement and allocate marks (see section 5.4.2))
- ii ensuring that the report of the Associate Dean of School (Academic Quality Assurance) (or nominee) is provided to the Short Course/Module Board of Examiners so that it may determine the appropriate penalty to be applied and that receipt of the report is noted formally in the minutes of the Board meeting at which it is received;
- iii within ten (**10**) working days of the meeting of the Board, or as soon as possible thereafter, notifying the student, in writing, of the action taken by the Short Course/Module Board of Examiners in exercising its responsibilities and of his or her right to request a formal review of the decision or recommendation of a Board of Examiners under the provisions, as appropriate, of Appendix I, UPR AS12<sup>1</sup>/Appendix I, UPR AS13<sup>2</sup>, refers);
- iv ensuring that a report of the incident is made to any relevant Professional Body requiring such information.

#### **5.4.2 Academic penalties**

Short Course/Module Boards may, on academic grounds, and at their absolute discretion, impose any of the following academic penalties:

- i award a grade for an assessment based purely upon academic merit, taking into account the extent to which the work submitted represents evidence of the student having met the relevant learning outcomes, where the Board is, in its academic judgement, able accurately to determine this or
- ii reduce the grade awarded for an assessment, to reflect the extent to which the cheating, plagiarism, collusion and/or other Assessment Offences as defined in section 2.1 has, in their academic judgement, created doubt about the evidence represented by the submitted work for the student having met the relevant learning outcomes or

- iii award a grade of **0** for an assessment, where the extent of the cheating, plagiarism, collusion and/or other Assessment Offences is, in their academic judgement, such as to make it unsafe to award any academic credit for the work.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## ACADEMIC QUALITY

### SUMMARY OF PRINCIPAL CHANGES

#### General changes

- Title change – ‘Link Tutor’ superseded by ‘Collaborative Partnership Leader’
- The role of UH Global replaced by the ‘International Advisory Board’

#### General

- |                                    |               |
|------------------------------------|---------------|
| B1.1.14, B1.2.10, B2.5, B2.7, B3.1 | refer to text |
|------------------------------------|---------------|

(Amendments to version **09.0**, UPR AS17 are shown in *italics*.)

### Structure

## INTRODUCTION

- A      **ACADEMIC QUALITY POLICIES AND REGULATIONS – OVERVIEW** (formerly AQPR 8.1)
  - A1     Overview
  - A2     Key staff and committee structures
  - A3     Academic quality systems and procedures
  - A4     Collaborative provision
- B      **DEVELOPMENT AND APPROVAL PROCEDURES FOR NEW PROGRAMMES OF STUDY** (formerly AQPR.8.2)
  - B1     **Validation and Periodic Review** (formerly AQPR 8.2.1)
    - B1.1    **Validation of new programmes**
    - B1.2    **Periodic review of programmes**
    - B1.3    **Approval of additional delivery locations for validated programmes**
  - B2     Development and Approval Procedures for Modules (formerly AQPR 8.2.2)
  - B3     Withdrawal and Suspension of Programmes (formerly AQPR 8.2.3)
- C      **ONGOING QUALITY ASSURANCE** (formerly AQPR 8.3)
  - C1     External Examiners
    - C1.1    **Appointment of External Examiners** (formerly AQPR 8.3.1)
    - C1.2    **Criteria for the Appointment of External Examiners** (formerly AQPR 8.3.2)
    - C1.3    **Termination of External Examiner Appointments** (formerly AQPR 8.3.3)
    - C1.4    **Receipt and Consideration of External Examiners’ Reports** (formerly AQPR 8.3.4)
  - C2     Annual Monitoring and Evaluation (formerly AQPR 8.3.5)
  - C2.16   **Annual monitoring and evaluation of Collaborative Provision**
  - C3     Ongoing Developments of Regulations and Programmes (formerly AQPR 8.3.6)
    - C3.1    **Changes to programmes**
    - C3.2    **Major changes to programmes**
    - C3.3    **Substantial changes to programmes**
    - C3.4    **Minor changes to programmes**
    - C3.5    **Changes in assessment regulations**
  - C4     **Annual School Reports** (formerly AQPR 8.6)

- D **ACADEMIC QUALITY POLICIES AND PROCEDURES IN RELATION TO COLLABORATIVE PROVISION** (formerly AQPR 8.5)
  - D1 **Collaborative Provision overview** (formerly AQPR 8.5.1)
  - D2 **Types of Collaboration and Summary of Relevant Procedures for Approval in Principle** (formerly AQPR 8.5.2)
    - D2.1 **Types of collaboration**
    - D2.1.3 **Articulation Agreements**
    - D2.1.4 **Recognition Agreements**
    - D2.1.5 **Academic Support Agreements**
  - D2.2 **Summary of approval in principle**
- D3 **Approval of a New Partner Organisation as a Collaborative Partner of the University** (formerly AQPR 8.5.3)
  - D3.2 **Preliminaries to approval**
  - D3.3 **The approval process for a new Partner Organisation**
  - D3.4 **The approval process for a new Study Abroad Partner Organisation**
  - D3.5 **Re-approval of a Partnership**
- D4 **Planning Meetings and the Approval of Programmes** (formerly AQPR 8.5.4)
  - D4.1 **Planning Meetings**
  - D4.2 **Approval of Programmes**

#### **FLOWCHART 1**

- D5 **Approval of the Standard of Collaborative Awards and the Ability of the Partner Organisation to Deliver Collaborative Programmes** (formerly AQPR 8.5.5)
  - D5.1 **Introduction**
  - D5.2 **Approval visits to Partner Organisations: Stage I and Stage 2**
    - D5.2.3 **Documents required for Stage 2**
    - D5.2.4 **Composition of the Validation Panel**

#### **FLOWCHART 2**

- D5.3 **Follow-up to Stage 2**
- D5.4 **Changes proposed subsequent to validation but before ratification**
- D5.5 **Delayed Commencement of Collaborative Provision Programmes**
- D5.6 **Marketing of programmes**
- D5.7 **Collaborative programmes where there is little or no University discipline expertise**
  - D5.7.1 **Development and approval of the programme**
  - D5.7.2 **Ongoing monitoring processes**
  - D5.7.3 **Main attributes of external subject experts**
- D5.8 **Programmes delivered in a language other than English**
  - D5.8.1 **Upfront approval processes**
  - D5.8.2 **Ongoing monitoring processes**
  - D5.8.3 **Main attributes of external bilingual subject experts**
- D6 **Written Agreements** (formerly AQPR 8.5.6)

- D7      **Collaborative Partnership Leader** (formerly AQPR 8.5.7)
- D7.1    **General**  
D7.2    **Core Terms of Reference**
- D8      **Approval for a New Campus of an Existing, Approved Partner Organisation to Deliver a Collaborative Programme** (formerly AQPR 8.5.8)
- D8.1    **General**  
D8.2    **Campus approval process**  
D8.3    **External Examiners**
- D9      **Management of Academic Standards** (formerly AQPR 8.5.9)
- D10     **Review and Revalidation of Collaborative Arrangements** (formerly AQPR 8.5.10)
- D10.1    **The aims and purpose of review and revalidation at programme level**
- D10.1.2 **Review**  
D10.1.3 **Revalidation**
- D10.2    **Review or Revalidation outside the stated period of approval**
- D11     **Terminating a Collaborative Agreement** (formerly AQPR 8.5.11)
- E        **QUALITY ASSURANCE OF EDEXCEL QUALIFICATIONS** (formerly AQPR 8.4)
- 

## INTRODUCTION

This document (UPR AS17) sets out the University's policies and regulations for assuring academic quality which underpin the development, validation, monitoring and evaluation of all programmes offered by the University of Hertfordshire<sup>1</sup>.

- A        **ACADEMIC QUALITY POLICIES AND REGULATIONS – OVERVIEW** (formerly AQPR 8.1)

A1       **Overview**

- A1.1    This paper provides a brief overview of the key features of the University's academic quality assurance systems, policies and procedures. Detailed policies and regulations are contained within subsequent sections.

The University ensures a high quality of provision through:

- i       the terms of reference of the key staff and committees concerned with quality assurance;
- ii      a comprehensive set of University Policies and Regulations (UPRs) and associated guidance, which are regularly updated;
- iii     appropriate reporting structures for ongoing monitoring and evaluation;
- iv      peer review of teaching and a standard University Module Feedback Questionnaire (MFQ);

---

<sup>1</sup> **Academic Board Minutes** 62.2, 10 March 2004; 155.2, 9 March 2005; 241.2.2, 1 March 2006; 346.2.4, 7 March 2007; and 455.3, 12 March 2008; 667, 10 March 2010; 680.6, 9 June 2010; 52.4, 15 June 2011; 123.6, 14 March 2012; 159.8, 20 June 2012, 282, 19 June 2013; 359, 12 March 2014; 402, 25 June 2014; 480, 11 March 2015, 512, 24 June 2015; 621, 22 June 2016, 724 21 June 2017, refer.

- v processes for ensuring effective student engagement in educational enhancement and quality assurance;
- vi the provision of an appropriate infrastructure and support services.

There are also comprehensive policies and procedures relating to all aspects of staff appointment, induction, appraisal and development as outlined in the University Staff Handbook.

## A2 Key staff and committee structures

- A2.1 Deans of School (DoS) have executive responsibility for the day-to-day management of School staff who, in turn, are responsible for the development and operation of programmes and modules and the care of students. Each School is required to nominate a senior member of staff with specific responsibility for Academic Quality (the Associate Dean of School (Academic Quality Assurance) (ADoS)(AQA)), one with specific responsibility for Research (the Associate Dean of School (Research) (ADoS(R)) and one with specific responsibility for Learning and Teaching (the Associate Dean of School (Learning and Teaching) (ADoS(L&T)). Larger Schools are further organised into discipline-based Departments, with Heads of Department being responsible to the Dean of School for the management and development of the discipline. Titles reflecting different levels of responsibility, such as Programme and Year Tutors, indicate staff with allocated duties for the management of particular programmes, groups of programmes or modules and the care and support of groups of students.
- A2.2 The Academic Board reports to the Board of Governors and is the senior University committee concerned with the development, implementation and monitoring of all academic policies and procedures, including the admission, progression and assessment of students, the approval and conduct of programmes, the maintenance of academic quality, research and scholarship and the appointment of External Examiners.
- A2.3 The Student Educational Experience Committee (SEEC), a committee of the Academic Board, is responsible for the student experience of all taught students (undergraduate and taught postgraduate). It ensures that the student experience is aligned with the University's Strategic Plan and Student Experience Strategy, and establishes mechanisms to foster good relations amongst all students and the integration of students into the learning community. The Academic Standards and Audit Committee (ASAC) is responsible for oversight of strategies for the assurance of academic standards and for ensuring the fitness for purpose and effectiveness of University processes and mechanisms for the establishment and maintenance of academic standards. It also audits compliance with UPRs and procedures relating to the University's academic provision, and disseminates findings of good practice.
- A2.4 At School level, School Academic Committees (SACs) carry the major responsibility for the validation, monitoring and evaluation of programmes within the School. Each programme has a Programme Committee, including student representatives, which is responsible for the ongoing operation and development of the programme, monitoring performance and reporting annually. In addition, at least one open student forum meets each Academic Year for developmental discussion between students and staff concerned with the delivery and management of the Programme. Student representatives and School Student Representative Organisers (SSROs) are offered training for the role through programmes managed by the Hertfordshire Students' Union and the University's Human Resources (HR) Development Unit.
- A2.5 Other individuals with major responsibilities in relation to academic quality include the Director of Academic Quality Assurance (DAQA) (and Deputy Director plus Associate Directors), the Director of Learning and Teaching (DLT) (and Deputy) and the Director of the Doctoral College (previously Director of Research Degrees). Other committees of the Academic Board with responsibilities in this area include the Academic Development Committee (ADC) and the Research Degrees Board.

A2.6 All matters associated with quality assurance in programmes come under the general remit of the Pro Vice-Chancellor (Education and Student Experience), who is supported by the Director of Academic Quality Assurance (and Deputy) and Director of Learning and Teaching (and Deputy). Quality Assurance procedures are managed through the Centre for Academic Quality Assurance (CAQA), Academic Services (AS) and relevant School offices.

**A3 Academic quality systems and procedures**

A3.1 The key policies and regulations relating to academic quality assurance for programmes are set out in this UPR (UPR AS17) which is circulated widely within the University and reviewed regularly. UPR AS17, associated guidance and other University documentation include inter alia detailed procedures for:

- i the development and approval of new programmes. These include preliminary approval at University level by ADC; programme development, including external consultation on issues such as curriculum, assessment and resources; Programme Specifications (PSs); Definitive Module Documents (DMDs); programme handbooks; and a final recommendation for approval by the Academic Board;
- ii the criteria to be applied in the appointment of External Examiners, their rights and responsibilities and for the training of External Examiners. All programmes leading to University awards are required to appoint one or more External Examiners with appropriate experience and expertise, who are required to submit annual reports on the quality and standards of the programme and the students and who may also write direct to the Vice-Chancellor in the event of any major concerns. External Examiner nominations are made through Schools, and are subject to the approval of the Director of Academic Quality Assurance (DAQA) on behalf of the Academic Board. Training workshops are held for new External Examiners and are mandatory for those with no previous experience. External Examiner reports are received and scrutinised by the Pro Vice-Chancellor (Education and Student Experience) (or nominee) and routinely considered as part of annual monitoring by Programme Committees and SACs  
(SACs may establish working groups to scrutinise Annual Monitoring and Evaluation Reports of which External Examiner Reports form part. It is implicit that such working groups will report any issues of concern to the relevant SAC at the earliest opportunity);
- iii the monitoring and evaluation of programmes and modules. All programmes are required to submit an Annual Monitoring and Evaluation Report (AMER) which includes a review of their operation, responses to student feedback and External Examiner reports and action plans for the following year. Additionally, a discipline area may prepare an Annual Subject Monitoring and Evaluations Report (SMER) to provide a critical review of issues pertinent to the delivery of an academic subject. These reports are considered at School level, with an overall summary report presented annually within the School's Annual Report to SEEC and ASAC;
- iv the consideration of statistical management information such as student entry qualifications, progression rates, module grade profiles, award profiles and results of the MFQ;
- v the periodic review of all programmes, conducted on a six (**6**) year cycle aligned, where possible, with external quality assessment or inspection timetables;
- vi the submission of Annual School Reports to SEEC and ASAC against defined templates. These are required to include details of: staff and resource management; staff development activities; teaching and learning developments; and programme monitoring and review activities (all in the context of the previous Academic Year) and an action plan of priorities for the following year.

The associated guidance can be found on the Centre for Academic Quality StudyNet pages at: <http://www.studyNet2.herts.ac.uk/ptl/common/aqo.nsf/Homepage?readform>.

- A3.2 Generic structure and assessment regulations are in place for programmes across the University, to facilitate consistency and parity of treatment for all students.
- A3.3 Student feedback mechanisms are in use across the University and allow year-on-year and cross-University comparison. In addition to specific feedback on individual staff and on the quality of all modules in the MFQ, national surveys such as the National Student Survey (NSS) and Postgraduate Taught Experience Survey (PTES) cover a wide range of topics relating to learning and teaching activities, assessment practices, infrastructure and learning resources. Data from these questionnaires are fed back to Deans of School, to other officers responsible for particular programmes, to individual staff, and to those responsible for central services and student support. Results of the feedback for the teaching of individual staff are considered within the annual staff appraisal process.
- A3.4 A consistent University-wide system of peer observation of teaching is in place. Staff are trained as observers and a common feedback form is used.

**A4 Collaborative provision**

- A4.1 The University has developed collaborative arrangements with a range of Partner Organisations in the UK and overseas, under which programmes leading to University awards are delivered wholly or partly at the Partner Organisation by their staff. There are particularly close relationships with the four (4) Further Education Colleges in Hertfordshire (Hertford Regional College, North Hertfordshire College, Oaklands College and West Herts College) which operate with the University as the Hertfordshire Higher Education Consortium (HHEC) and are designated as Associate Colleges of the University. Further information and guidance is available in the Consortium Quality Handbook.
- A4.2 In the majority of cases, University programmes are 'franchised' for delivery at a Partner Organisation, sometimes with minor modifications to meet local needs. Programmes designed by a Partner Organisation may also be 'externally validated' by the University as being of acceptable standard to lead to a University award. 'Consortium provision' includes University programmes delivered by the HHEC (but not normally by the University itself). Additionally, Academic Support Partners may provide local academic support to a University-delivered programme and External Providers of credit-rated short courses may be accredited by the University. Approval procedures typically require financial and institutional audit of any new Partner Organisation, in addition to detailed consideration of staffing, resources and the learning infrastructure available to support the programme and a formal Legal Agreement. All such programmes are subject to the requirements of this document (UPR AS17).

**B DEVELOPMENT AND APPROVAL PROCEDURES FOR NEW PROGRAMMES OF STUDY**  
(formerly AQPR.8.2)

**B1 Validation and Periodic Review** (formerly AQPR 8.2.1)

**B1.1 Validation of new programmes**

Guidance on the application of these regulations can be found on the Centre for Academic Quality StudyNet pages. The relevant sections are referenced in the following text. Further guidance is also available from Academic Services (AS), the relevant Associate Director of Academic Quality Assurance (ADAQA) or the (ADoS(AQA)).

- B1.1.1 These regulations apply to the development of all new programmes leading to University awards. They also apply where major changes are to be made to existing programmes. For programmes to be offered in collaboration with Partner Organisations, see section D.

- B1.1.2 All proposals for new programmes must be supported, in principle, by a Dean of School as part of future academic provision. In the case of a joint development with a substantial input from two (2) or more Schools or Partner Organisations, all Deans of the collaborating Schools must support the proposal.
- B1.1.3 Initial approval (approval in principle to proceed to validation) must be sought as early as possible in the programme development process from the ADC. Initial approval is given for the stated award title and any subsequent proposal to change the award title must be approved by the ADC before final approval may be ratified. All new programmes are required to comply with UPR AS11 'Schedule of Awards' and UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes', unless specific exemption is sought and agreed by the Office of the Vice-Chancellor (OVC). For guidance on submissions to ADC, refer to the Centre for Academic Quality StudyNet pages.
- B1.1.4 At the outset, a Planning Meeting will be convened to agree the development and validation process. It will be chaired by the ADoS(AQA), formally minuted by AS and a copy of the confirmed minutes will be circulated by AS. The meeting will be attended by the Chairman of the Programme Development Committee, senior representatives of the School(s) concerned, the School Administration Manager and the relevant Associate Director of Academic Quality Assurance (ADAQA). For guidance on Planning Meetings, please refer to the Centre for Academic Quality StudyNet pages.
- B1.1.5 A Programme Development Committee will be established and chaired by the appropriate member of academic staff, for example, an Associate Dean of School or Programme Leader designate. Membership should reflect the needs of the development, including appropriate representation as required. The ADoS(AQA) has the right of attendance at meetings of the Programme Development Committee, can request all papers relating to the work of that committee and is available for consultation throughout the development process.
- B1.1.6 External advice must be sought at appropriate stages in the development and approval of a new programme. It is the responsibility of the Chairman of the Programme Development Committee, acting with the ADoS(AQA), to ensure consultation with appropriate independent experts at relevant times in development. For guidance on external consultation, please refer to the Centre for Academic Quality StudyNet pages.
- B1.1.7 A validation event is conducted, chaired by a senior academic from another School and including a representative of the DAQA and one (1) or more external members with appropriate subject expertise, at least one (1) of whom shall be from another University. Further external Panel members may be included and they may be from an academic, professional, business or industrial background. Current External Examiners for any University programme are not acceptable in this category.
- B1.1.8 In all cases, the validation event will be organised and clerked by AS in consultation with the School.
- B1.1.9 The remit of the validation event is to make a recommendation to the Academic Board in relation to programme approval. In so doing, the Panel should ensure that all aspects of the proposed programme have been considered, including:
- i aims, learning outcomes and programme specification;
  - ii curriculum design, content and organisation;
  - iii learning, teaching and assessment strategies;
  - iv student guidance and student support;
  - v learning resources and facilities;
  - vi quality management and enhancement.

- B1.1.10 Where a franchised programme is being validated, the Panel will focus on aspects iii to vi in section B.1.19, above.
- B1.1.11 The nature of the validation event will be tailored to the size and complexity of the development but is expected to include the opportunity for external members to view specialist resources, for the Panel to engage in dialogue with appropriate staff teams and for the Panel to meet student representatives, where appropriate.
- B1.1.12 A submission document will provide the basis for the development team's proposal. Guidance on the submission document can be found on the Centre for Academic Quality StudyNet pages. A Programme Specification must be produced in compliance with the standard University template available on the Centre for Academic Quality StudyNet pages.
- B1.1.13 The outcome of the validation event will be a report with a recommendation to the Academic Board on programme approval. The draft report will be circulated to all those present at the event for comment prior to confirmation by the Chairman. Approval will normally be for an indefinite period subject to compliance with the outcomes of annual monitoring and periodic review within a specified period (normally six (6) years). Collaborative programmes are subject to revalidation within a specified period not exceeding six (6) years. The recommendation will be subject to standard requirements and may, additionally be subject to specific conditions to be met within prescribed timescales. The report will be submitted through AS to the Vice-Chancellor as the formal recommendation to the Academic Board for final approval of the programme. The conclusions and recommendations will be extracted and presented to the Academic Board.
- B1.1.14 At the conclusion of a validation, an AQ3 approval form (or AQ4 approval form for collaborative programmes) should be completed by the School, with the appropriate documentation for ratification and signature by the Chairman of the validation event, the relevant ADAQA, the Chairman of SEEC and, finally, the Vice-Chancellor on behalf of Academic Board. Recommendations for approval of all new programmes must be made no later than 24 December (by 30 June for collaborative programmes) unless otherwise agreed by the DAQA.
- B1.1.15 A proposed programme cannot be marketed until it has been approved in principle to proceed to validation by ADC. UK-based undergraduate degree programmes also need to obtain a UCAS code before they can be marketed. Following approval in principle by ADC, any promotional material for the programme must include the caveat 'subject to validation'. Once the validation of the programme has been ratified by the Academic Board then it can continue to be marketed and 'subject to validation' removed from any promotional material.

## B1.2 Periodic review of programmes

- B1.2.1 It is a fundamental principle of the University that all taught provision is subject to periodic review, within a period not exceeding six (6) years. Detailed guidance on these regulations can be found on the Centre for Academic Quality StudyNet pages.
- B1.2.2 Periodic review may be implemented on a programme or subject area basis and may be arranged in relation to the timing and scope of external audit and assessment by professional, statutory or regulatory bodies and/or quality assurance agencies.
- B1.2.3 Following an initial analysis of the performance of the programme, a Planning Meeting will be convened to agree the development and periodic review process. It will be convened and chaired by the ADoS(AQA) and formally minuted by AS. The meeting will be informed by an initial analysis of the programme, using student data from the most recent three (3) years. For guidance on Planning Meetings, please refer to the Centre for Academic Quality StudyNet pages.

- B1.2.4 The remit of periodic review will be to consider all aspects of the provision including:
- i aims, learning outcomes and programme specification;
  - ii curriculum design, content and organisation;
  - iii learning, teaching and assessment strategies;
  - iv student guidance and student support;
  - v learning resources and facilities;
  - vi quality management and enhancement, including annual monitoring and evaluation, MFQ outcomes, etc.
- B1.2.5 Where a franchised programme is being revalidated, the Panel will focus on aspects iii to vi in section B.1.2.4, above.
- B1.2.6 If the programme to be reviewed is franchised to Partner Organisations, representatives of those partners should be involved in the review process. For detailed guidance refer to the Centre for Academic Quality StudyNet pages.
- B1.2.7 Periodic review will be informed by a review document based on operational experience and development over the previous six (6) years. The review document will collate issues raised in AMERs and review the operation of the programme/subject area over the previous six (6) years. Guidance on the review document can be found on the Centre for Academic Quality StudyNet pages.
- B1.2.8 There will be a periodic review event chaired by a senior academic member of staff from another School and to include one or more external Panel members, with appropriate subject expertise, at least one (1) of whom shall be from another University (current or recent External Examiners are not permitted to serve in this category of membership). Further external Panel members may be included and they may be from an academic, professional, business or industrial background. The Panel membership will be agreed at the Planning Meeting and may be subject to the approval of the DAQA (or Deputy) and will reflect the size of the provision being reviewed.
- B1.2.9 The nature of the review event will be tailored to the size and complexity of the provision being reviewed but is expected to include opportunity for external members to view specialist resources, for the Panel to meet student representatives and for the Panel to engage in dialogue with appropriate staff teams.
- B1.2.10 The outcome of the review will be a report of the review event with a recommendation to the Academic Board that the programme(s) either:
- i continue in indefinite approval, subject to compliance with the outcomes of annual monitoring and further periodic review within a specified period (normally six (6) years);  
or
  - ii continue in fixed term approval for a specified period; or
  - iii be not approved for further intakes.

The draft report will be circulated to all those present at the event for comment prior to confirmation by the Chairman of the Panel. The recommendation will be subject to standard requirements and may, additionally, be subject to specific conditions to be met within prescribed timescales. All recommendations to the Academic Board must be submitted no later than 24 December (by 30 June for collaborative programmes), unless otherwise agreed by the DAQA.

**B1.3 Approval of additional delivery locations for validated programmes (or elements thereof)**

- B1.3.1 The intention to deliver a validated programme (or element thereof) at an additional location should be noted and endorsed at ADC, and in the case of collaborative programmes also requires the approval of the *International Advisory Board (IAB)* for any additional overseas locations (for the approval of a new campus of an existing partner, see also section D.8). All proposals for new delivery locations must be supported, in principle, by the relevant Dean of School as part of future academic provision. There is an expectation that the same staff are involved in delivery at all approved locations.
- B1.3.2 The School is required to undertake a visit to the new location, to review the physical resources. However, where approval is being sought to deliver the programme at a location where there are no subject-specific learning resource requirements, this visit may be delegated to the collaborative partner.
- B1.3.3 A report of the visit, along with a description of staffing arrangements, student support and programme management arrangements should be submitted to the School. The combined report should clearly indicate whether approval of the new location is recommended or not.
- B1.3.4 The report and any other relevant evidence are considered by the ADoS(AQA) and the relevant Associate Director of AQA. The ADoS(AQA) must confirm in writing a recommendation for approval or non-approval of the new provision. Any conditions of approval must be clearly identified.
- B1.3.5 Where approval is recommended and the ADoS(AQA) has confirmed that any conditions of approval have been satisfied, form AQ3 (or form AQ4 for collaborative programmes) and a revised PS should be completed and signed-off. A recommendation for approval will not be ratified until both documents are passed, together, to Academic Services.
- B1.3.6 Approval will be noted at the SAC.
- B1.3.7 At the following periodic review of the programme (or revalidation in the case of collaborative programmes), all delivery locations should be reviewed and re-approved together.

**B2 Development and Approval Procedures for Modules (formerly AQPR 8.2.2)**

- B2.1 Modules are normally approved as part of the process of validation for the programme(s) to which they contribute.
- B2.2 All modules must comply with the definitions and requirements of the University's structure and assessment regulations (see UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes').
- B2.3 A new module may be initiated by a Programme Committee, by a group of staff or by an individual member of staff. Schools are responsible for the approval of modules and may exercise discretion in determining an appropriate approval process in each case. Schools should ensure that initial approval to develop a new module has been sought from the Dean or ADoS(AQA) and the relevant Programme Committee(s) for the programmes on which the module will be taught.
- B2.4 Where staff from several Schools contribute to the design of a module, quality assurance responsibility lies with the School responsible for the subject area predominant in the module. Modules relating to a particular subject area may not be approved without reference to the relevant ADoS(AQA)s.
- B2.5 DMDs are identified by a module code. All requests for new or revised module codes must be received by the Academic Registry no later than **31 October** of the preceding Academic Year. Notes for Guidance on the completion of a DMD are available from the Centre for Academic Quality StudyNet pages.

- B2.6 All modules at Level 5 and above are required to have a Module External Examiner associated with them. Where modules at Levels 0 or 4 contribute to a final award, Module External Examiners are also required. External Examiners must be consulted about any extension or change to their responsibilities and must receive a copy of the approved DMD for each of the modules for which they are responsible.
- B2.7 At completion of the module design process, the DMD must be formally signed-off. The full approval process must be completed by no later than 31 January (30 June for modules offered within collaborative programmes) for a module to be offered in the following Academic Year.
- B2.8 Any changes to existing approved modules must be made in accordance with DMD guidelines on the same timescale as above and are subject to approval by the appropriate Programme Committee and Associate Dean(s) of School (Academic Quality Assurance).
- B3 Withdrawal and Suspension of Programmes** (formerly AQPR 8.2.3)
- B3.1 Proposals for withdrawal and suspension of undergraduate and taught postgraduate programmes or award titles must be submitted to ADC. Withdrawal of programmes should be submitted no later than 31 December of the previous Academic Year to ensure that applicants for the following September entry are informed in good time.
- B3.2 Deans of School are responsible for initiating proposals to withdraw programmes from the University's portfolio.
- B3.3 In the case of joint programmes, the Dean of School with quality assurance responsibility must ensure that agreement to withdraw has been given from other relevant Schools. In the case of collaborative provision, see section D.11.
- B3.4 It is the responsibility of Schools to ensure that:
- i this is identified on form AQ3 (or form AQ4 for collaborative programmes);
  - ii where a programme is being withdrawn, the withdrawal form AQ5 should be fully completed and signed off by the Dean of School;
  - iii where a programme is being withdrawn, Schools must specify when the last cohort will complete.
- B3.5 Where Schools wish to suspend recruitment to a programme for one (1) year only, without withdrawing the programme, Form AQ7 must be completed and the procedure for the suspension of programmes followed.
- B3.6 Guidance on the withdrawal and suspension of programmes is available on the Centre for Academic Quality StudyNet pages.

**C ONGOING QUALITY ASSURANCE** (formerly AQPR 8.3)

**C1 External Examiners**

**C1.1 Appointment of External Examiners** (formerly AQPR 8.3.1)

**(Note for guidance:**

- A** The criteria for the appointment of External Examiners are set out in section C1.2.
- B** Terms of reference for External Examiner appointments at Module and/or Programme Board of Examiners level are set out in UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes'.)

- C1.1.1 Schools are responsible for identifying and approaching potential External Examiners for modules, short courses and programmes leading to University awards. It is the responsibility of the School Administration Managers (in consultation with their designated ASO(AQA)) to ensure that the search for replacements for External Examiners whose term of office is to expire is begun in good time. The period of office for an External Examiner is normally four (4) years but can be extended by up to one (1) year under exceptional circumstances.
- C1.1.2 Where more than one External Examiner is appointed to a programme, Schools should consider phasing External Examiner appointments to enable and encourage the mentoring of new External Examiners.
- C1.1.3 Proposals for the appointment of External Examiners must be submitted to AS not less than six (6) months prior to the required commencement of their duties. For most programmes and subjects AS will require nominations by 31 March for commencement on 1 October. This minimum period is necessary to allow sufficient time for proposals to be considered and for alternative appointees to be identified if first choices withdraw or are rejected by the University.
- C1.1.4 The ADoS(AQA) or senior member of staff responsible for the programme, module(s) and/or short course(s) is responsible for nominations of Programme External Examiners, Module External Examiners and Short Course External Examiners, in consultation with the relevant Dean(s) of School.
- C1.1.5 It is the responsibility of the ADoS(AQA) to ensure that the relevant nomination forms (AQ11, AQ12 or AQ13) are fully and properly completed, ensuring that the information provided by (or about) the proposed External Examiner is appropriate to the prescribed criteria.
- C1.1.6 All proposals must be carefully scrutinised by or on behalf of the relevant SAC. This scrutiny should address both the merits of the proposed appointee and the strength and balance of the team of externals which he or she will be joining. Factors to be considered will include:
- i the capacity of existing External Examiners to make competent judgements relating to all agreed external reference points (including the requirements of PSRBs);
  - ii the need for an appropriate match between the number of External Examiners and the quantity and complexity of the material being assessed;
  - iii how External Examiners will be deployed where provision includes work-based learning or work placements;
  - iv any additional requirements placed upon the University by PSRBs.
- The Chairman of the SAC will make the Committee's recommendation on the relevant nomination form.
- C1.1.7 Any proposed departure from normal requirements or procedures must be justified within an accompanying statement.
- C1.1.8 AS will screen all proposals before passing them to the DAQA (or nominee) for consideration and approval on behalf of the Academic Board.
- C1.1.9 AS will confirm the appointment, in writing, to the External Examiner. The External Examiner will receive:
- i the External Examiners' Handbook;
  - ii the current edition of the University Handbook 'Academic Regulations for Undergraduate and Taught Postgraduate Programmes';
  - iii the letter of appointment, which will include an invitation to the External Examiner to attend an induction workshop (and explain the expectation of attendance).

C1.1.10 The confirmation details of appointment of an External Examiner will be sent to the School Administration Manager for further circulation within the School and Partner Organisations.

C1.1.11 It is the responsibility of the School Administration Manager to ensure that programme documentation (including the Programme Specification(s)) and/or appropriate SCDs and DMDs and other documents are sent to the External Examiner on appointment.

**C1.2 Criteria for the Appointment of External Examiners** (formerly AQPR 8.3.2)

C1.2.1 The following criteria are to be applied during consideration of proposed External Examiner nominations:

- i a Programme, Module or Short Course External Examiner's academic/professional qualifications should be appropriate to the programme/modules to be examined;
- ii a Programme External Examiner should have, where appropriate, knowledge and experience of managing complex modular programmes;
- iii an External Examiner should have appropriate standing, expertise and experience of UK Higher Education so that they are able to assess and confirm comparability of standards. Standing, expertise and breadth of experience may be indicated by:
  - a the present and previous post(s) and place of work;
  - b the range and scope of experience across UK Higher Education and/or the professions;
  - c current or recent active involvement in research/scholarly/professional activities in the field of study concerned;
  - d the level of the External Examiner's qualifications and breadth of experience which should generally match that which is to be assessed;
- iv an External Examiner should have competence and experience relating to the enhancement of the student learning experience;
- v an External Examiner should have enough recent internal and/or external examining or comparable related experience to indicate competence in assessing students; attendance at the University's External Examiners Training Workshop is mandatory for those with limited experience in this role;
- vi Examiners should not be over-extended by their External Examining duties and should not normally hold more than the equivalent of two (2) substantial undergraduate External Examiner appointments;
- vii there should be an appropriate balance and expertise in the team of External Examiners;
- viii External Examiners should be impartial in judgement and should not have previous close involvement with the University (or Partner Organisation) which might compromise their objectivity, for example, the nomination will not be accepted if in the last five (5) years the proposed External Examiner has:
  - a been a member of staff, a Governor, a student, a colleague or a relative of a member of staff who has involvement with the programme/module;
  - b completed a previous appointment as an External Examiner on a cognate programme in the University or Partner Organisation. However, an External Examiner for a programme at the University may be appointed subsequently as the External Examiner for a franchise of that programme at a Partner Organisation;

- ix the proposed External Examiner should not:
  - a be personally associated with the sponsorship of students or the award of prizes;
  - b have a personal association with a student in their area of responsibility (for example, colleague, relation, partner etc);
  - c be in a position to influence significantly the future employment of students in their area of responsibility;
  - d be working in an organisation or company providing placements for students in their area of responsibility;
- x there should not be:
  - a more than one (1) External Examiner from the same institution in the team of External Examiners, except in a complex programme involving a large number of discrete subject areas;
  - b reciprocal External Examining between two (2) institutions;
  - c replacement of an External Examiner by one (1) from the same institution;
  - d an External Examiner from an institution which has been the source of External Examiners in the recent past (normally four (4) years), for the same programme or subject area;
- xi an External Examiner shall have fluency in English and, where programmes are delivered and assessed in languages other than English, fluency in the relevant language;
- xii where a PSRB requires, External Examiners must be registered on the relevant part of the professional register.

**C1.3 Termination of External Examiner Appointments** (formerly AQPR 8.3.3)

- C1.3.1 An External Examiner's appointment and period of tenure is dependent upon him or her carrying out his or her role and responsibilities as specified in sections C and E, UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes'.
- C1.3.2 If an External Examiner consistently fails to carry out his or her duties as specified in the regulations then his or her period of appointment should be terminated.
- C1.3.3 Guidance on the criteria for the termination of External Examiners' contracts is available on the Centre for Academic Quality StudyNet pages.

**C1.4 Receipt and Consideration of External Examiners' Reports** (formerly AQPR 8.3.4)

- C1.4.1 The University considers External Examiners to be a significant part of its quality assurance processes and places great importance on their annual reports as an essential part of the monitoring and evaluation of programmes, modules and short courses.
- C1.4.2 The letter of appointment sent to new External Examiners specifically requires them, as part of their contract, to report annually to the University on the programmes and/or modules and/or short courses for which they are responsible.
- C1.4.3 The annual report is requested each year by AS. Guidance on External Examiners' reports and the report templates are available on the Centre for Academic Quality StudyNet pages.
- C1.4.4 External Examiners are asked to submit their annual reports to AS where they will be logged as received in AS, before being sent to the Pro Vice-Chancellor (Education and Student Experience) (or nominee) for consideration and then to the School Administration Manager for circulation. External Examiners should be asked to address their reports to the Vice-Chancellor.

- C1.4.5 In parallel with consideration in the School, the reports will be screened in AS to identify common issues and areas of good practice.
- C1.4.6 The Pro Vice-Chancellor (Education and Student Experience) (or nominee) will identify on the cover sheet (AQ15) reports which are considered to be inadequate, critical or especially commendatory. He or she will identify the appropriate action to be taken. This may include some of the following:
- i asking the External Examiner for a more detailed report (in cases where successive reports are inadequate and the External Examiner does not respond to such requests, termination of appointment will be considered - see section C.1.3);
  - ii initiating a major review of a subject, module(s) or programme(s) and referring specific issues to the Dean of School or OVC;
  - iii referring specific issues to ASAC, SEEC or SAC, as appropriate
- (Where a SAC has established a working group to scrutinise Annual Monitoring and Evaluation Reports of which External Examiner Reports form part, it is implicit that this working group will report any issues of concern to the SAC at the earliest opportunity);
- iv entering into further discussion with the External Examiner.
- C1.4.7 All External Examiners' reports must be appended to the appropriate Annual Monitoring and Evaluation Reports (AMERs/SMERs/ASCMRs) and given full and detailed consideration when the reports are discussed by the Programme Committee and SAC or, where established, a working group of the SAC. AMERs should include the Programme Committee's reaction to comments made by the External Examiners and, where appropriate, details of the actions to be taken. Key issues arising from those Module External Examiners' reports of relevance to programme management should be identified and summarised in the AMER.
- C1.4.8 The receipt of all reports will be acknowledged by AS, indicating that the reports have been passed to the School for detailed consideration through the annual monitoring and evaluation process. It is the responsibility of a senior member of staff designated by the School (for example, Dean of School or ADoS(AQA)) to ensure that all External Examiners receive, in due course, a considered reply to their report indicating actions taken and planned in response to comments (guidance on responding to External Examiners' reports can be found on the Centre for Academic Quality website).
- C1.4.9 The University has the right to reject the view of an External Examiner but only following careful consideration of the issues raised. In the event of a significant issue being raised, a decision to reject the issue must be made in consultation with the DAQA (or nominee).
- C1.4.10 The University has adopted a policy that fees will not be paid to External Examiners until their annual reports have been received.
- C1.4.11 If, after several requests, an annual report is not received the External Examiner's appointment will be terminated (see section C.1.3).
- C2 Annual Monitoring and Evaluation (formerly AQPR 8.3.5)**
- C2.1 This section defines the formal quality assurance regulations required for the annual monitoring and evaluation of all programmes leading to University awards and credit-rated short course provision.
- C2.2 The regulations seek to maintain a self-critical academic community, in which individual members of staff are committed to the ongoing appraisal of their teaching, learning and assessment methods and to the dissemination of good practice.
- C2.3 The following are applicable to all award-bearing programmes and disciplines offered in the University, including those offered, wholly or partly, in collaboration with other institutions.

- C2.4 Each Programme Committee is required to agree and submit an Annual Monitoring and Evaluation Report (AMER) on the operation of the programme during the previous Academic Year.
- C2.5 Additionally, a School may prepare a Subject Monitoring and Evaluation Report (SMER) to provide a critical review of issues pertinent to the delivery of an academic discipline area.
- C2.6 For the purposes of annual monitoring of credit-rated short course activity, each School is required to prepare and submit an Annual Short Course Monitoring Report (ASCMR). If a School's short course activity is sufficiently large and complex then it may decide that more than one annual report is appropriate.
- C2.7 Guidance on the completion and templates for AMERs, SMERs and ASCMRs is available on the Centre for Academic Quality StudyNet pages. AMERs, SMERs and ASCMRs must comply with and use the University templates. In exceptional circumstances, and with the prior written approval of the DAQA, a programme may instead use a monitoring report format as required by a PSRB or funding body, where this has also been demonstrated to meet the University's requirements for annual programme monitoring and evaluation.
- C2.8 The preparation of the AMER is the responsibility of the Programme Leader (or equivalent), on behalf of the Programme Committee. The preparation of the SMER and ASCMR is the responsibility of the Dean of School (or nominee).
- C2.9 AMERs, SMERs and ASCMRs should be completed by a date agreed by the ADoS(AQA). The ADoS(AQA) may also agree AMER completion dates for programmes that do not conform to the normal academic calendar.
- C2.10 The SAC or, where established, a working group of the SAC, shall approve procedures for the consideration of AMERs, SMERs and ASCMRs.
- C2.11 Following discussion and agreement by the Programme Committee, the AMER will be presented for consideration in accordance with the University's procedures, as soon as possible after the end of the academic session to which it relates. SMERs and ASCMRs are discussed and agreed by the relevant academic School/Department, prior to consideration by the SAC or, where established, a working group of the SAC.
- C2.12 An action plan will be maintained for each programme AMER and ASCMR and for each discipline for which a SMER is prepared and will be reviewed and further developed during the School's and/or Programme Committee's monitoring of the full report.
- C2.13 All AMERs, SMERs and ASCMRs will be considered by the SAC or, where established, by a working group of the SAC, which may:
- i approve the AMER, SMER or ASCMR;
  - ii refer the AMER back to the Programme Committee;
  - iii refer the AMER, SMER or ASCMR back to the ADoS(AQA) or Dean of School;
  - iv require a review of a programme or discipline;
  - v report immediately to the DAQA if academic standards are considered to be at risk.
- C2.14 The ADoS(AQA) is required to submit an annual report on Academic Standards and Quality to ASAC, which includes a summary of the key issues arising from the School's AMERs, SMERs and ASCMRs. The Annual School Report to ASAC is described further in section C4.
- C2.15 The School Administration Manager is responsible for sending approved AMERs, SMERs, ASCMRs to Programme, Module and Short Course External Examiners (as appropriate).

## C2.16 Annual monitoring and evaluation of Collaborative Provision

- i For programmes offered in collaboration with Partner Organisations, the above procedures will apply unless otherwise specified in Memoranda of Agreement.
- ii The *Collaborative Partnership Leader* will be present and representatives of Partner Organisations are invited to be present during discussion of the AMERs and appropriate feedback on the discussion will be provided to the Programme Committee in the Partner Organisation.
- iii In cases where a programme taught in the University is also delivered in a Partner Organisation, there will be a separate AMER for the University programme and for the Partner programme. These will be considered separately through the School's annual monitoring and review procedures. The Partner Organisation's signed-off programme AMER, together with the minutes of the SAC discussion on the AMER or, where established, those of a working group of the SAC, will be routinely copied by the School Administration Manager to the Programme Leader in the Partner Organisation.
- iv In cases where a programme is taught in the HHEC reference should be made to the Consortium Quality Handbook.
- v For the purposes of annual monitoring of credit-rated short course activity in externally-accredited partners, each partner is required to prepare and submit an Annual Short Course Monitoring Report (ASCMR). If a partner's short course activity is sufficiently large and complex, then the School may decide that more than one annual report is appropriate.

## C3 Ongoing Developments of Regulations and Programmes (formerly AQPR 8.3.6)

### C3.1 Changes to programmes

- C3.1.1 It is expected that all programmes will evolve on a continuing basis in line with developments in the subject and the capabilities required by graduates and employers. As a result, modification to aims and objectives, admission requirements, teaching and learning methods, programme structure, curricula and assessment arrangements will be required and any changes made to PSs, as appropriate.
- C3.1.2 Such changes may be initiated as a result of academic or professional advances, evaluation and monitoring reports (including comments of External Examiners, professional advisors, student feedback, etc) or may result from requirements set by the University, the SAC, Consortium Quality Committee (CQC) or external bodies.
- C3.1.3 The ADoS(AQA), in consultation with the relevant ADAQA, shall establish the scale of the revision proposed by the programme team. The ADoS(AQA) is responsible for identifying the appropriate approval process based upon whether major, substantial or minor revisions are proposed.
- C3.1.4 All such proposals for change must be discussed and approved in the Programme Committee before submission to the ADoS (AQA) of the modified PS for approval, prior to its submission to Academic Services. Guidance on revision to programmes can be found on the Centre for Academic Quality StudyNet pages.

### C3.2 Major changes to programmes

Major changes to programmes include, but are not necessarily limited to major changes to programme learning outcomes and the addition of:

- i a distance learning delivery mode or
- ii a full-time delivery mode or

- iii an off-site delivery mode or
- iv a new site for an existing programme delivered in an off-site delivery mode

and should be treated in the same way as the development of a new programme. These additional delivery modes may require the approval of the ADC (see section B1.1.3). Schools should refer to the guidance available on the Centre for Academic Quality StudyNet pages.

**C3.3 Substantial changes to programmes**

Substantial changes to programmes include minor changes to programme learning outcomes, a change to an award title only or the addition of a part-time delivery mode. Schools should refer to the guidance available on the Centre for Academic Quality StudyNet pages for the approval process for such changes.

**C3.4 Minor changes to programmes**

Minor changes to programmes include minor changes to PSs, syllabus updating on DMDs and minor re-ordering of the curriculum. Schools should refer to the guidance available on the Centre for Academic Quality StudyNet pages for the approval process for such changes.

**C3.5 Changes in assessment regulations**

- C3.5.1 The Academic Board has approved generic programme regulations (UPR AS11 'Schedule of Awards' and UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes') that apply to all award-bearing programmes.
- C3.5.2 Changes to these regulations may only be made by the Academic Board and it is the responsibility of the Secretary and Registrar to ensure that any such changes are notified to staff and students of the University and to External Examiners and that appropriate amendments are made, as required, to Programme Specifications. Such regulatory changes may be initiated as a result of internal or external evaluation and monitoring reports (including comments of External Examiners) or may result from requirements set by the University, the SAC, CQC or external bodies.
- C3.5.3 Variations to UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes' in content or application are not normally permissible.

**C4 Annual School Reports (formerly AQPR 8.6)**

- C4.1 Each School is required to submit a School Annual Report on Academic Standards and Student Experience to SEEC and ASAC.
- C4.2 Deans of School, with the support of the ADoS(L&T) and ADoS(AQA), are responsible for ensuring that the Annual School report is submitted to SEEC and ASAC, respectively, by a date to be specified each year by the committees. This timescale is set so that the reports can contribute to the University's annual strategic planning process. Reports should be written against the current standard templates available from the Centre for Academic Quality StudyNet pages.
- C4.3 Part 1 of the School Annual Report on Academic Standards and Student Experience (for consideration by SEEC) is prepared by the ADoS(L&T), in consultation with the Dean of School and appropriate staff. It will typically cover the following matters:
  - i Learning and teaching and
  - ii Student communications and representation and
  - iii Student employability.

C4.4 Part 2 of the School Annual Report on Academic Standards and Student Experience (for consideration by ASAC) is prepared by the ADoS(AQA), in consultation with the Dean of School and appropriate staff. It will typically cover the following matters:

- i validation, revalidation and periodic review and
- ii annual monitoring and
- iii External audit and, where applicable, PSRB accreditation and
- iv academic misconduct.

C4.5 The Report should be circulated to all School staff and discussed at a School meeting, and then submitted to the Chairmen of SEEC and ASAC, respectively. The committees will consider and respond to the relevant part of each report and refer significant and recurring matters to Academic Board.

**D ACADEMIC QUALITY POLICIES AND PROCEDURES IN RELATION TO COLLABORATIVE PROVISION (formerly AQPR 8.5)**

**D1 Collaborative Provision overview (formerly AQPR 8.5.1)**

D1.1 This section relates to programmes that lead to University of Hertfordshire awards, offered in partnership with another organisation. There are a number of other kinds of collaboration or partnerships in which the University engages including, for example:

- i partnership with schools in teacher education;
- ii partnership with health and social care organisations;
- iii research collaboration with industry or with other organisations.

This section (D) does not cover these kinds of collaboration but is exclusively concerned with the quality assurance arrangements for the kinds of collaborative arrangements outlined in Section D.2.

D1.2 For guidance on a range of the processes to be followed in relation to the policies present in section D, refer to the Centre for Academic Quality StudyNet pages.

D1.3 The fundamental principles informing the quality assurance of collaborative provision are that the University of Hertfordshire:

- i is responsible for, and retains proper control of the academic standards of all awards granted in its name (QAA UK Quality Code, Chapter B10, indicators 9 and 11); and
- ii the processes for approval, monitoring and review of collaborative partners to deliver, assess and/or support University of Hertfordshire provision is at least as rigorous and secure as those processes for programmes provided by the University (QAA UK Quality Code, Chapter B10, indicators 13 and 17).

**D2 Types of Collaboration and Summary of Relevant Procedures for Approval In Principle (formerly AQPR 8.5.2)**

**D2.1 Types of collaboration<sup>2</sup>**

D2.1.1 The University engages in four (4) main types of collaboration with regard to taught provision that lead to its qualifications or credit:

i **Franchising**

The University defines a 'Franchise' as follows:

The process by which the University agrees to authorise the provision of the whole or part of one or more of its own approved programmes by a Partner Organisation. In doing so, the University retains overall responsibility for the standard of the award, including the programme's content, delivery, assessment and quality assurance arrangements.

A 'franchised' programme will be the same as a programme offered at the University, in terms of the modules of which it is composed, module structure and pattern of assessment. Some limited variation may be permitted to take account of differences in relevant cultural, legal and/or business and industry practices.

ii **External Validation**

The University defines 'External Validation' as follows:

The process by which the University judges whether the quality and standard of a programme delivered by another organisation (but developed by either the University of Hertfordshire or the other institution) is comparable to that of an award of the University of Hertfordshire.

The University will not, typically, externally validate a programme that is in a subject area outside its broad area of expertise.

iii **Hertfordshire Higher Education Consortium Provision**

The University defines the provision in the HHEC as follows:

The process by which the University engages with the Colleges which are members of the HHEC to develop programmes leading to University of Hertfordshire awards and authorises the Colleges to deliver those programmes. In doing so, the University retains overall responsibility for the standard of the award, including the programme's content, delivery, assessment and quality assurance arrangements. Normally, these programmes will not be delivered at the University but will articulate with other University programmes.

iv **Accreditation of Externally-Provided Short Courses**

The University defines the accreditation of externally-provided short courses as follows:

The process by which the University judges whether the quality and standard of a short course developed and delivered by another organisation is satisfactory, to enable University of Hertfordshire credit at the appropriate level to be awarded.

---

<sup>2</sup> The written agreements through which the University establishes academic collaborative relationships with other organisations are legal agreements of the Corporation and must be approved and signed in accordance with the requirements of UPR FR06 'Corporate Governance and Financial Regulation' – refer to 'Academic Agreements'.

- D2.1.2 Students studying under the terms of the types of collaboration referred to in section D2.1.1 are registered and enrolled as students of both the University and the Partner Organisation.

These students, and the programmes on which they are enrolled, are subject to the University's academic regulations and their learning resources are provided by the Partner Organisation under the terms of the agreement between the University and the Partner. However, the regulations of the Partner Organisation apply in relation to non-academic matters.

**D2.1.3 Articulation Agreements**

Articulation Agreements cover the articulation of programmes of study offered at organisations other than the University, with a University programme. The programmes of study will, typically, have been designed by the organisation itself, with or without the help of the University. Entry to a University programme may be to the first year or to a later stage with specific credit (advanced standing) given for earlier parts of the programme. Admission will be guaranteed provided students meet agreed levels of performance on the organisation's programme. Articulation Agreements are normally appropriate when significant numbers of students (**10** or more) are expected to annually transfer to the University. The maximum number of students to be admitted per intake must be specified. These regulations are not applicable to nationally or internationally recognised qualifications, where normal application and/or APL processes apply. The APL procedure also applies in the case of an individual student who has a local qualification from an institution where there is no articulation or recognition agreement.

Before an articulation agreement can be signed, the School must seek approval of any new partner (see section D3) and then undertake a formal articulation visit to the organisation. The School must inform AS of the intention to set up an articulation arrangement prior to holding the Articulation Visit. The purpose of the visit is for the University to be assured that the standard of the award of the organisation is appropriate for the intended articulation, that the curriculum and learning outcomes of the award of the organisation provide specific credit consistent with the intended articulation and that there is confidence in the organisation's ability to maintain the standard of its award. A report of the visit recommending approval or non-approval of any articulation must be produced and a copy of the confirmed report lodged with AS. Guidelines on articulation visits are available on the Centre for Academic Quality StudyNet pages.

The approval of the articulation will be for a period not exceeding six (**6**) years, after which time a formal review will be required. The School must monitor the progress of students admitted on this basis. For each institution, the Vice-Chancellor and the organisation concerned will sign a formal **Articulation Agreement**. The format of the agreement is available from AS. The original copy of the Articulation Agreement will be lodged with AS. Any changes required to the Articulation Agreement will be administered via AS and in consultation with Legal Services. The School will inform ADC if it proposes to terminate an Articulation Agreement (see section D11).

**D2.1.4 Recognition Agreements**

An arrangement whereby the University recognises, at its absolute discretion, that a particular award of another organisation (with which the University may or may not have a formal partnership) provides a good 'fit' with a specific University programme and is of a standard and quality such that the University would welcome applications for entry with advanced standing to the programme concerned from individuals holding the award so recognised. A Recognition Agreement carries with it no guarantee of entry to the University and applicants would be considered on their individual merits in accordance with the provisions of University regulations. Guidelines on recognition visits are available on the Centre for Academic Quality StudyNet pages. The original copy of the Recognition Agreement will be lodged with AS and the International Office. The School will inform AS and the International Office of any changes in the Recognition Agreement or if it is terminated.

#### D2.1.5 **Academic Support Agreements**

An agreement with another organisation with which the University may or may not have another formal partnership, whereby the organisation is permitted to offer academic support for students enrolled on University of Hertfordshire programmes delivered by distance learning. Such agreements specifically exclude the organisation from assessing students or in any way awarding credit towards the University awards for which the students concerned are enrolled. The original copy of the Academic Support Agreement will be lodged with AS. Any changes required to the Academic Support Agreement will be administered via AS and in consultation with Legal Services. The School will inform ADC if it proposes to terminate an Academic Support Agreement (see section D11).

#### D2.2 **Summary of approval in principle**

- D2.2.1 When sufficient information is known by a School and the University about the prospective partner and/or the type of collaborative programme proposed, formal University approval, in principle, to proceed towards validation must be obtained. The process for this is for a formal proposal to be made by the relevant Dean of School to ADC. For guidance on submission to ADC, please refer to the Centre for Academic Quality StudyNet pages.
- D2.2.2 It is important to recognise at the stage of submitting a proposal to ADC that there are potentially three (3) distinctive approval activities required in order to complete the process of approval of a new collaborative partnership:
- i approval of the Partner Organisation as a collaborative partner of the University (see section D3);
  - ii approval in principle by the University, as appropriate, of the programmes intended to be delivered in the collaboration (see sections B!.1.3 and D2.2.1);
  - iii approval (i.e. validation) of the ability of the Partner Organisation, in co-operation with the University, to deliver the proposed collaborative programmes at an appropriate standard and quality (see section D4 and D5).
- D2.2.3 Once a Partner Organisation has been approved (see section D2.2.2, i), subsequent submissions to ADC will be for section D2.2.2, ii, only.

#### D3 **Approval of a New Partner Organisation as a Collaborative Partner of the University** (formerly AQPR 8.5.3)

- D3.1 Formal approval of a Partner Organisation is required wherever it is proposed that the partner is to deliver a University programme or credit or that an Articulation Agreement or Academic Support Agreement be signed. There is a clear distinction between the approval of the partnership at organisational level and the approval of the partner to deliver specific programmes. The two processes are, therefore, described independently in sections D3, D4.and D5.

#### D3.2 **Preliminaries to approval**

- D3.2.1 Where a new partner is to be considered for collaboration, the School will seek information about the organisation and its current provision and drawn up and submit a proposal using form AQ2a.
- D3.2.2 Statement of Principles

- i Any collaboration between the University of Hertfordshire and a Partner Organisation that leads to the award of the University is a matter for the agreement of both parties, made by the 'central authorities' of each party. Consequently, the University will only enter a Legal Agreement with the Partner Organisation itself. Neither Schools, nor areas within them, such as Departments or Centres may, in their own right, enter a Legal Agreement with another party such as a Partner Organisation.

- ii Approval processes and the drafting, administration, archiving and maintenance of Memoranda of Agreement and other similar Legal Agreements are matters for management and co-ordination by Legal Services, AS and the Secretary and Registrar's Office.
  - iii Making a recommendation to Academic Board for University approval of new Partner Organisations will be the responsibility of the ADC.
- D3.2.3 The 'central authorities' of a potential Partner Organisation which is part of the public sector of education in the UK is likely to be its Academic Board or Board of Governors. For organisations which are not part of the public sector of education in the UK or those outside the UK, there is a much greater variety in what constitutes the 'central authority' (for example, the Board of Directors of a company or a subsidiary body with similar responsibility for the training arm of a company or health authority). A small private college might have a more informal structure with, perhaps, only one or two people constituting the senior academic and business management.
- D3.2.4 Academic Board's approval of the new partnership will be formally established through the signing, by the Vice-Chancellor (or Deputy) and the equivalent post-holder in the Partner Organisation, of a Memorandum of Agreement (MoA), an External Accreditation Agreement (EAA), an Academic Support Agreement (ASA) or an Articulation Agreement (AA), as appropriate.
- D3.2.5 Advice regarding preliminary explorations and guidance to the Partner Organisation can be obtained from AS.
- D3.3 The approval process for a new Partner Organisation**
- D3.3.1 The institutional approval process is as follows:
- i The Vice-Chancellor (or nominee) will be invited to approve the partnership, in principle, through submission of a form AQ2a (for guidance on submission please refer to the Academic Quality StudyNet pages). Approval by the Vice-Chancellor (or nominee) authorises the initiation of the relevant processes agreed by ADC for final partner approval.

(For the purposes of D3.3.1, i, the nominee of the Vice-Chancellor will be the relevant Pro Vice-Chancellor unless he or she is conflicted, in which case, approval will be given by the Vice-Chancellor.)
  - ii On the basis of the risk assessment which constitutes part of the form AQ2a, ADC determines the due diligence process that will apply. Depending on the nature of the proposed relationship and the level of associated risk, this may include:
    - a an Institutional Audit, conducted by AS for which a written report is produced;
    - b a Financial Audit initiated by AS, through which the most recent audited accounts of the prospective Partner Organisation are scrutinised by a senior University Finance officer who provides a written professional opinion;
    - c an Enhanced Partner Approval Visit Report, for prospective Partner Organisations offering dual or joint awards where enhanced partner status is proposed.
  - iii The form AQ2a (including the risk assessment) and, as required, the Institutional Audit report and/or financial opinion will be considered by ADC which may then approve the partnership. In approving a partnership, ADC may impose conditions and, in these circumstances, the validation of any programme to be offered under the terms of the partnership will be conditional on the requirements identified by ADC being met.
  - iv The completion and signing of a Memorandum of Agreement (or other Agreement, as described in section D3.2.4, above) by both parties.

- D3.3.2 The criteria for approval of a Partner Organisation as suitable for the delivery of programmes leading to awards of the University of Hertfordshire are that the proposed Partner Organisation must:
- i have a compatible and/or complementary mission to that of the University;
  - ii be strategically committed to the provision of Higher Education;
  - iii be financially stable and legally competent to enter into the necessary agreements and to this end, the University reserves the right to seek such information on these matters as it considers appropriate to satisfy itself;
  - iv be able to support sufficient student numbers which will provide financial viability;
  - v have an effective management system suited to assuring the quality of Higher Education programmes;
  - vi offer an ethos and environment for teaching and learning appropriate to UK Higher Education;
  - vii have available appropriate resources to support Higher Education programmes;
  - viii have processes of accountability for academic quality that are defined and implemented according to agreed quality assurance and quality control systems;
  - ix have appropriate academic and administrative policies and practices;
  - x have an appropriate regulatory framework (dual and joint award partners only);
  - xi be committed to ensuring that each cohort of registered students will be able to complete programmes;
  - xii be able to comply with the appropriate University Regulations including the Academic Regulations.

#### **D3.4 The approval process for a new Study Abroad Partner Organisation**

- D3.4.1 The Pro Vice-Chancellor (Business and International Development) will be invited to approve the partnership, in principle, through submission of a form AQ2a(SA) and associated risk assessment.
- D3.4.2 Approval of a new study abroad partnership will be formally established through the signing of the relevant Legal Agreement by the Secretary and Registrar of the University and the equivalent post-holder in the Partner Organisation.

#### **D3.5 Re-approval of a Partnership**

- D3.5.1 Approval of a Partner Organisation will be for a maximum period of six (6) years. After this period the partnership must be re-approved. Towards the end of this period AS (in consultation with the School, *the International Advisory Board (IAB)* or Academic Partnership Office, as appropriate, with Legal Services and the Director of Academic Quality Assurance) will initiate a formal review, including the option of a new Financial and Institutional Audit (see section D3.4.2, ii). The aim will be to re-confirm that the Partner Organisation continues to meet the criteria for partnership. The review and re-approval of a Partner Organisation may take place alongside validation or revalidation of one or more programmes.

D3.5.2 The process of re-approval is as follows.

- i The Vice-Chancellor (or nominee) will be invited to confirm, in principle that the partnership should continue, through submission of a form AQ2a (for guidance on the submission please refer to the Centre for Academic Quality StudyNet pages).
- ii The extent of the review could include:
  - a an Institutional Audit, undertaken with the validation;
  - b a Financial Audit (initiated by AS) through the scrutiny by a senior University Finance officer of the most recent set of audited accounts of the Partner Organisation who provides a written professional opinion;
  - c a review of the MoA (or other Agreement, as described in section D3.2.4, above), with a new document to be signed by both parties in the event of re-approval;
  - d for partners with large and cross-School provision, the most recent Quality Liaison Manager's Annual Report.
- iii The identified information will then be considered by ADC where re-approval will be formally granted, subject to any conditions that must be met. Any associated re-validation of the programme will be conditional upon the conditions for partner re-approval being met.

D3.5.3 The validation status of programmes offered in collaboration with an approved partner is dependent upon continuing approval of the partnership and not vice versa, see section D10.

#### **D4 Planning Meetings and the Approval of Programmes** (formerly AQPR 8.5.4)

##### **D4.1 Planning Meetings**

D4.1.1 At an early stage but usually following approval, in principle of the programme, by ADC, a Planning Meeting is convened to agree the development and validation process. It will be convened and chaired by the ADoS(AQA) and formally minuted by AS. A copy of the confirmed minutes will be circulated by AS. For guidance on Planning Meetings, please refer to the Centre for Academic Quality StudyNet pages.

D4.1.2 The purpose of the Planning Meeting is to agree on how to carry out, as appropriate, the different components of the formal process, as stated in sections D2, D3 and D5, required for approval of the collaboration and, most importantly, to agree a timescale for validation. Reference should be made to Flowchart 1.

D4.1.3 A Planning Meeting is required to agree the process for all aspects of collaborative provision, for example:

- i approval of a Partner Organisation;
- ii approval of new University programme(s) for franchise;
- iii approval of a Partner Organisation's programme(s) for external validation;
- iv approval of the Partner Organisation's ability to deliver an approved programme.

D4.1.4 Membership must include the relevant ADAQA and the AR(SA-CP) (or nominee). The DAQA (or Deputy) is also an ex officio member of such meetings. It is good practice to invite a member from the Partner Organisation to the Planning Meeting but it is recognised that this may not be feasible in the case of more distant collaborations.

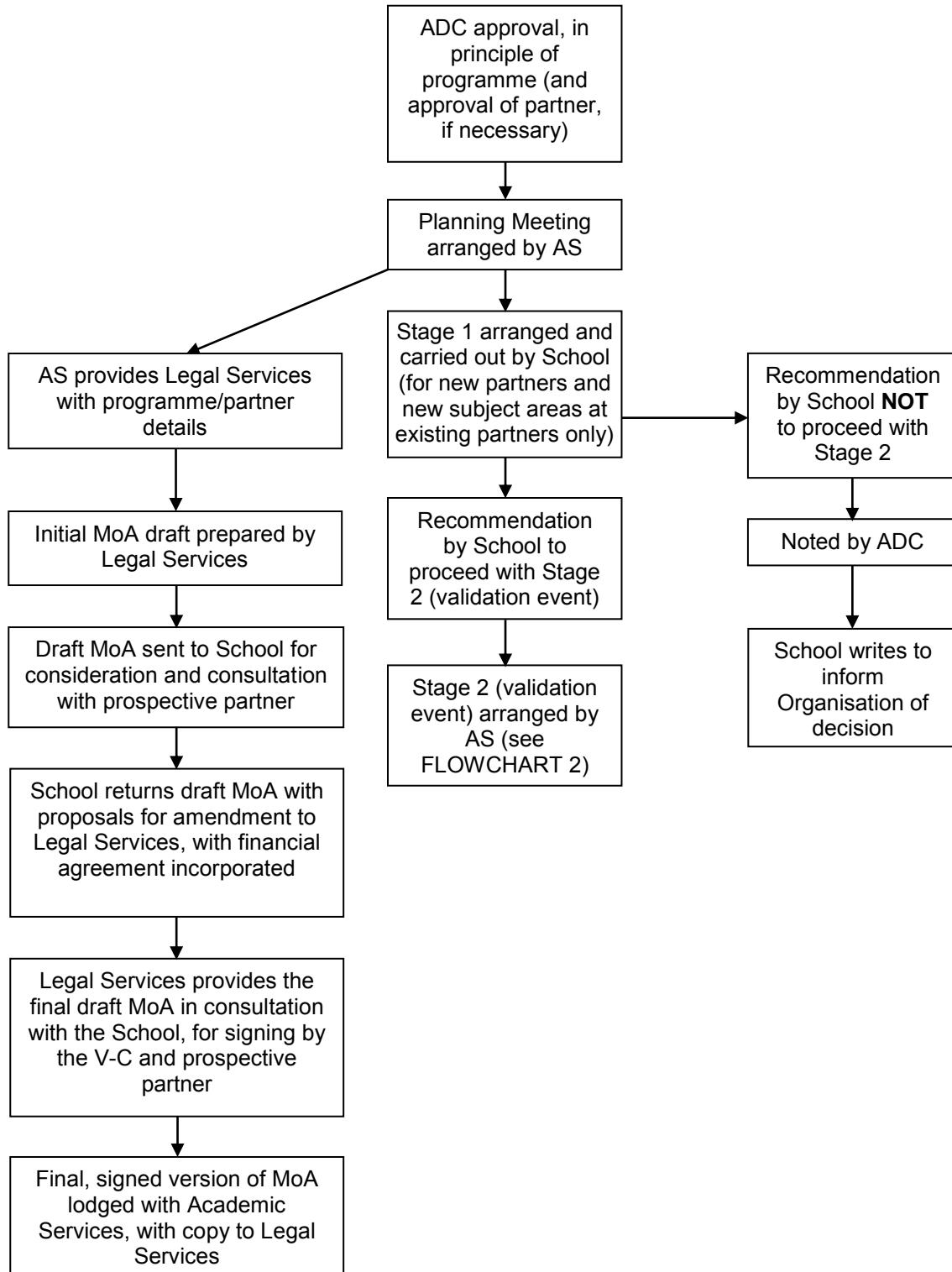
D4.1.5 There is a standard agenda checklist for collaborative Planning Meetings. Please refer to the Centre for Academic Quality StudyNet pages.

#### D4.2 Approval of Programmes

- D4.2.1 It is University policy to approve a unique Programme Specification for each collaborative programme. The School must prepare provisionally approved version(s) of the Programme Specification for the proposed programmes, for final approval at the Stage 2 visit to the Partner Organisation.
- D4.2.2 Approval of a programme in relation to an External Validation proposal requires that the collaborative partner, in consultation with the School, produces a Programme Specification that demonstrates that the student experience and the standard of the programme would be equivalent to that of a University of Hertfordshire award of the same type. Templates for the Programme Specification will be provided to Partner Organisations by the School, as agreed at the Planning Meeting.
- D4.2.3 In the case of Edexcel awards, the University's Edexcel Co-ordinator must also be consulted and Edexcel approval secured.

### FLOWCHART 1

#### Summary of the approval of the ability of a Partner Organisation to deliver Programmes of Study



**D5 Approval of the Standard of Collaborative Awards and the Ability of the Partner Organisation to Deliver Collaborative Programmes (formerly AQPR 8.5.5)**

**D5.1 Introduction**

D5.1.1 All programmes that lead to a University of Hertfordshire award that are to be delivered by an approved Partner Organisation will be subject to University level validation activity organised by AS. This has two (2) stages described below:

- i ADC approval has been confirmed;
- ii the School has completed and reported on their Stage 1 approval process, where appropriate, with a clear recommendation to proceed to Stage 2.

D5.1.2 Stage 1 will not be undertaken until ADC approval of the programme has been confirmed. Stage 1 is only required for new Partner Organisations and for programmes in new subject areas at existing partners. In these cases Stage 2 will not be undertaken until the School has completed and reported on Stage 1 of the validation process, with a clear recommendation to proceed to Stage 2.

D5.1.3 For proposed franchised provision, the purpose of the validation process is to approve the Partner Organisation's ability to deliver a programme which is also delivered at the University. However, for externally validated and HHEC provision, there is an additional requirement to approve the standard and coherency of the proposed award. Where a proposed externally validated programme is also a dual award, it is possible to approve this additional requirement in advance of a validation event.

**D5.2 Approval visits to Partner Organisations: Stage I and Stage 2**

D5.2.1 The following steps apply to Stage 1 approval visits, undertaken by the School:

- i the Partner Organisation is given initial advice concerning approval visits and preparation for them by the School (a number of visits by School staff may be required to assist in this);
- ii the School arranges, in consultation with AS, for Stage 1 of the approval process (a formal process, carried out by the School, comprising one or more visits by appropriate members of the School), to take place;
- iii the School will, as appropriate, consult the Chief Information Officer (or nominee) concerning library and IT support and the Assistant Registrar (Academic Services) concerning an Institutional Audit.

D5.2.2 A report from the Stage 1 process is used in a formal Stage 2 event arranged by AS. For guidance on the Stage 1 process please refer to the Centre for Academic Quality StudyNet pages.

**D5.2.3 Documents required for Stage 2**

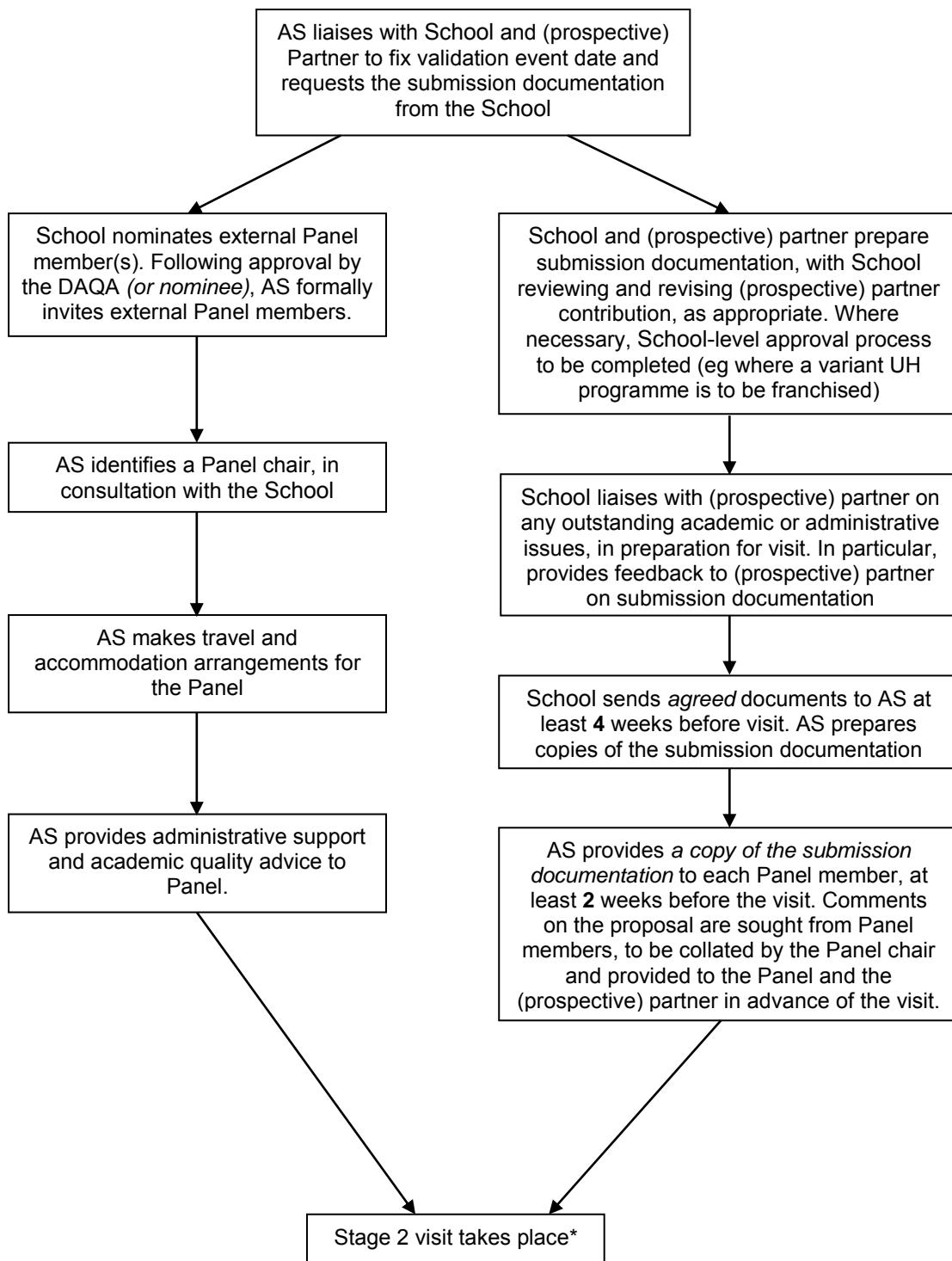
- i AS will request the following documents from the Partner Organisation or the School, as appropriate:
  - a a submission document, for the programmes being considered for validation (see section B1);
  - b a draft Programme Specification for the programmes under consideration. In the case of a franchise this must satisfy UPR AS11 'Schedule of Awards' and UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes', unless specific exemption is given by the University. In the case of an External Validation this must be consistent with UPR AS11 'Schedule of Awards' and UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes';

- c draft DMDs (for franchised provision) or equivalent documents (for externally validated provision);
  - d details of academic staff resources (list of lecturers involved with the collaboration, with full CVs);
  - e details of resources to support learning and teaching (classrooms, library and laboratory details, technical and administrative support, canteen/refreshment facilities, medical and counselling availability, recreational and other facilities such as careers advice and guidance);
  - f a report on Stage 1 of the approval process, carried out by the School.
  - g for externally-validated provision only, confirmation from the relevant School that, in its opinion, the proposed programme aims and learning outcomes for each award title meet UK Higher Education expectations and the curriculum meets the expectations of the relevant sector and its employers.
- ii Additional documentary requirements will be specified at the planning meeting and are specified in the Centre for Academic Quality StudyNet pages.

**D5.2.4 Composition of the Validation Panel**

- i Stage 2 of validation is a formal University event, organised by AS. For guidance on the composition of Validation Panels, refer to the Academic Quality StudyNet pages. AS will invite both University (including an independent chair, a representative of the DAQA and a representative of the LTI) and independent external Panel members, usually seeking nomination from, or in consultation with, the ADoS(AQA) or other School colleagues.
- ii AS is responsible for liaison with the Partner Organisation and all arrangements with the proposed collaborative Partner in respect of the organisation of the Stage 2 visit. The School's nominated academic contact will be responsible for continuing liaison with the Partner Organisation on all academic matters. Schools and Partner Organisations are required to provide timely information and documentation to AS. Flowchart 2 summarises the Stage 2 process.

**FLOWCHART 2**  
**Preparation for Stage 2 validation visit\***



\* The Stage 2 validation event takes place usually at least 8 weeks after initial ADC approval of the programme and usually at least 4 weeks after final ADC approval of the partner (through its consideration of the financial audit, institutional audit and the Stage 1 approval report)

### D5.3 **Follow-up to Stage 2**

- D5.3.1 Following the validation event, AS will produce a report. The report constitutes the Panel's formal recommendation to the Academic Board for:
- i the approval/non-approval of the collaboration;
  - ii the period of approval (maximum six (6) years);
  - iii any conditions that must be met before students may be admitted, see section B1.
- D5.3.2 In many cases, recommendations for approval are 'subject to conditions'. Once a validation event has been held, the responsibility for chasing the progress of any conditions lies with AS. Partner Organisations will be asked to forward their written response to conditions to AS by a specified date. A formal letter from the Vice-Chancellor will be sent to the Partner Organisation to inform them of Academic Board approval for the collaboration. AS will not process validation documents for ratification by the Vice-Chancellor until:
- i all University requirements are met (in terms of relevant AQ forms, documents, reports) and are with AS;
  - ii the Validation Panel has confirmed that conditions of approval have been met.
- D5.3.3 Students **may not be registered** with the University until the Academic Board has ratified the validation.
- D5.3.4 The Panel may also make recommendations concerning the collaboration. It is the responsibility of the SAC to ensure that any ongoing conditions are monitored and that both partners consider the Panel's observations or recommendations. Where established, such monitoring may be undertaken by the SAC working group with responsibility for scrutinising Annual Monitoring and Evaluation Reports. It is implicit that such working groups will report any issues of concern to the relevant SAC at the earliest opportunity. It is good practice to cross-refer in the AMER to issues raised in the validation report over the first two (2) or three (3) years of operation see section C2.

### D5.4 **Changes proposed subsequent to validation but before ratification**

- D5.4.1 If the School becomes aware of any significant changes between validation and ratification they must alert AS, for example:
- i knowledge that the partner does not intend to recruit to the programme or significant change in the anticipated student numbers (up or down);
  - ii a proposed change in the title of the programme or the mode of delivery;
  - iii significant changes in personnel at the Partner Organisation;
  - iv a change in ownership, name, or management structure at the Partner Organisation.
- D5.4.2 Any changes to the approved programme and its delivery and location which may occur during the period of validation must be approved. Such changes may require further validation and AS must be informed. Validation reports and the PS and DMDs will always specify which campuses are being considered and which are approved. Any proposal to change or add to the approved locations must follow the regulations for new campus approval (see section D8).

### D5.5 **Delayed Commencement of Collaborative Provision Programmes**

- D5.5.1 The following process has been developed in order to satisfy the University that Partner Organisations have retained the resources to launch a programme validated by the University in circumstances where there has been a delayed start date to delivery of that programme.

**D5.5.2** Partner Organisations will be informed at programme validation and revalidation that:

“If the proposed commencement of the validated or revalidated programme exceeds six (**6**) months from the approved start date then they will need to confirm to the School that resources remain in place for effective programme delivery. If the proposed commencement of the validated or re-validated programme exceeds **12** months from the approved start date then the University reserves the power to call for a fresh validation event to be undertaken at the expense of the partner”.

**D5.5.3** If the planned commencement of the validated or re-validated programme exceeds six (**6**) months from the approved start date then the relevant SAC should be provided with evidence that the physical and human resources remain satisfactory. This may require the relevant School to visit the Partner Organisation to review the resources in place. Following SAC consideration, the ADoS(AQA) will inform AS of the outcome. The Partner Organisation will not be able to commence the programme until SAC has been satisfied that resources continue to be in place for effective programme delivery.

**D5.5.4** If the planned commencement of the validated or re-validated programme exceeds **12** months from the approved start date, then AS should be provided with information to enable the DAQA to advise the University on the continuing suitability of the resources available to the programme. This may require the relevant School to visit the Partner Organisation to confirm that the resources are in place. The views of:

- i the School on the currency of the curriculum and
- ii *the International Advisory Board* (for non-UK-based programmes) or
- iii the Academic Partnerships Office (for UK-based programmes)

may also be sought.

**D5.5.5** Following consideration, the DAQA will then make a recommendation to SEEC. The Committee, acting through the Pro Vice-Chancellor (Education and Student Experience), reserves the power to call for a fresh validation event to be undertaken at the expense of the Partner Organisation. The Partner Organisation will not be able to commence the programme until SEEC has been satisfied that resources continue to be in place for effective programme delivery.

**D5.6 Marketing of programmes**

A proposed collaborative programme cannot be marketed until it has been approved, in principle, to proceed to validation by ADC. Following approval, in principle, by ADC, any promotional material for the programme must include the caveat ‘subject to validation’. Once validation of the programme has been ratified by the Academic Board ‘subject to validation’ should be removed from any promotional material.

**D5.7 Collaborative programmes where there is little or no University discipline expertise**

**D5.7.1 Development and approval of the programme**

- i Where ADC has approved the proposed programme, in principle, to proceed to validation, the DAQA, in consultation with the School, will determine the number of external subject experts (normally **1** or **2**) that the proposing School is required to recruit to be members of the programme development team, in preparation for the validation event. Because of the need for impartiality, the external subject expert(s) is/are not allowed to become members of the subsequent Validation Panel.

- ii The validation event will not go ahead if the required external subject experts have not been recruited **at the programme development stage**, as the discipline context of the delivery of these programmes needs to be established (i.e. achievement of QAA Subject Benchmark statements, potential professional requirements, discipline trends, etc.). External subject experts should also indicate that they are prepared to act as external subject experts on an on-going basis, should the programme be approved (as a sustainable source of external subject experts for the programme needs to be established. Without these, the standards of the programme cannot be assured).
- iii External subject experts work closely with the programme team at the collaborative partner as well as with the University's *Collaborative Partnership Leader* (in fact, some of their duties overlap with those of the *Collaborative Partnership Leader*) and responsibilities include:
  - a at the Development Stage, giving subject advice and support:
    - 1 on the preparation of a programme that meets the expectations of FHEQ and the appropriate Subject Benchmark Statements;
    - 2 on the preparation and subject content of the DMDs;
    - 3 on the preparation and content of the Programme Specifications;
    - 4 on curriculum-related matters at development team meetings;
    - 5 at the Validation Panel meeting, as a member of the development team;
  - b at the post-validation stage, giving subject advice and support:
    - 1 on the satisfaction of any conditions of programme approval;
    - 2 on the preparation and content of programme documentation, such as module guides and programme handbooks;
    - 3 on the preparation of assessments;
    - 4 to the partner staff, in the form of staff development.
- iv External subject experts cannot also act as External Examiners for the programme.

#### D5.7.2 Ongoing monitoring processes

External subject experts are employed on an ongoing basis, to internally monitor and assess the standards of programmes in a discipline where there is little or no expertise within the University and to support the Partner in assuring and enhancing the quality of the student learning experience (along with the University *Collaborative Partnership Leader*) by:

- i undertaking the job of the University's internal moderators by:
  - a internally reviewing module assignments and examination papers, on behalf of the University;
  - b internally moderating samples of all marked student work;
  - c completing paperwork as a University internal moderator would;
- ii supporting the University *Collaborative Partnership Leader* in undertaking his or her duties in those aspects where discipline expertise is required, including visiting the partner at least once a year;
- iii providing staff development as and when necessary;
- iv on behalf of the School, reviewing and/or approving the subject-related content of any publicity materials;
- v preparing and submitting annually, a written report to the School on the delivery of the programme, to be appended to the AMER;
- vi giving subject advice and support on the preparation of the AMER and presenting it to SAC for approval on behalf of the partner;

- vii giving advice on any proposed revisions to individual modules or the programme;
- viii supporting the partner in preparing for periodic review and revalidation.

#### D5.7.3 Main attributes of external subject experts

External subject experts need to satisfy the UK HE expectations of an External Examiner and will, therefore, have sufficient experience to enable the standard of the programme to be compared to equivalent UK degree programmes. This would, typically, mean that the person teaches and assesses on another UK degree in the discipline, or has done so very recently. They should, therefore, have an understanding of current practice and developments in teaching, learning and assessment in higher education.

### D5.8 Programmes delivered in a language other than English

#### D5.8.1 Upfront approval processes

- i The following principles should normally apply to all collaborative programmes of the University of Hertfordshire:
  - a delivery and/or assessment of **100%** of a programme in a language other than English is not permitted;
  - b entry to a programme should be subject to the attainment of a minimum English language capability equivalent to IELTS **5.5**, although stricter requirements may be imposed, as necessary;
  - c all elements of assessment in the final stage of study (for example, Level **6** for undergraduate programmes, the final **60** credits of study for full-time Master's programmes) should be conducted in English;
  - d delivery and/or assessment in a language other than English should be permitted in early stages of a programme, subject to the following guidelines:

Academic stage (Bachelor's programmes)	Minimum number of modules delivered/assessed in English
Level <b>4</b> (1 <sup>st</sup> Year)	<b>30</b> credits
Level <b>5</b> (2 <sup>nd</sup> Year)	<b>60</b> credits
Level <b>6</b> (Final Year)	<b>120</b> credits

Academic stage (full-time Master's programmes)	Minimum number of modules delivered/assessed in English
Level <b>7</b> (1 <sup>st</sup> Semester)	<b>15</b> credits
Level <b>7</b> (2 <sup>nd</sup> Semester)	<b>30</b> credits
Level <b>7</b> (Final Semester)	<b>60</b> credits

- ii Any programme where it is proposed that elements be delivered and assessed in a language other than English needs approval to do so from ADC. If approved by ADC, the programme will then need to be validated, or revalidated if it is already validated to be delivered in English.
- iii Where ADC has approved the proposed programme in principle to proceed to validation, the DAQA, in consultation with the School, will determine the number of external, bilingual subject experts (normally **1** or **2**) that the proposing School is required to recruit to the Validation Panel in preparation for the (re-)validation event (i.e. the validation event will not go ahead without their recruitment). These external Panel members should also indicate that they are prepared to act as External Examiners should the programme be approved.

- iv The programme development team should advise the Validation Panel on the level of English language competence that students should be expected to have achieved on entry to the programme. The development team includes University subject experts and partner subject experts but, if there are no bilingual University subject experts, then the School would normally also employ an external bilingual subject adviser in order to achieve this objective.

#### D5.8.2 Ongoing monitoring processes

The following are required to be in place to assess the standards of programmes delivered in languages other than English:

- i bilingual External Examiners are employed,
- ii either:
  - a bilingual members of University academic staff in the relevant discipline, who will:
    - 1 internally moderate module assignments and examination papers at all academic levels and
    - 2 internally review samples of all marked student work at all academic levels and
    - 3 review and/or approve any publicity materials, module guides and programme handbooks prepared in the language of delivery;
  - or
  - b external bilingual subject advisers (with relevant subject experience in UK HE on short-term contracts) who will undertake the job of University internal moderators. These bilingual subject advisers would:
    - 1 internally moderate module assignments and examination papers from a distance, on behalf of the University;
    - 2 internally review samples of all marked student work, through 1 or 2 visits;
    - 3 complete paperwork as a University internal moderator would;
    - 4 review and/or approve any publicity materials, module guides and programme handbooks prepared in the language of delivery.

External subject advisers would **not** need to complete an annual External Examiner's report (they are not an External Examiner) or attend Boards of Examiners, although a short annual report to the School would be required.

- iii Programme Specifications must be prepared in both English and the language of delivery.
- iv Programme Committee minutes and AMERs must be presented in English.
- v Validation events, revalidation events and Examination Boards will be conducted in English.

#### D5.8.3 Main attributes of external bilingual subject experts

As well as being bilingual, these subject experts need to satisfy the UK HE expectations of an External Examiner: sufficient experience to enable the standard of the programme to be compared to equivalent UK degree programmes. This would, typically, mean that the person teaches and assesses on another UK degree in the discipline or has done so very recently.

### D6 Written Agreements (formerly AQPR 8.5.6)

- D6.1 The University has four (**4**) MoA templates for UK partners and for overseas partners covering franchised or validated programmes.

- D6.2 All agreements will be produced in draft by AS and forwarded to Legal Services, usually following the Planning Meeting, see section D4. The Dean of School (in consultation with *the International Advisory Board* for international partnerships) is responsible for negotiating and completing the financial arrangements (which are part of Schedule 1).
- D6.3 University policy is to have one (1) over-arching MoA for each kind of partnership with a Partner Organisation. Thus, if a Partner Organisation has a mixture of both franchised and validated provision, there will be two (2) Memoranda of Agreement. The validation report for each new collaborative programme becomes part of a schedule to the relevant MoA.
- D6.4 The signing of an MoA is a standard condition of validation for the first programme with this Partner. It is practice to sign the MoA once there is a degree of confidence that the collaboration will go ahead. A standard clause in the MoA states that it applies only to arrangements that have been validated. Proposed amendments to, and administration of, the final version of Memoranda will be dealt with by Legal Services or AS. The Vice-Chancellor (or Deputy) will not sign Memoranda unless they are processed through Legal Services or, exceptionally, OVC. Legal Services or AS or, exceptionally, OVC will send all Memoranda to Partner Organisations for final signature.
- D6.5 The University also has templates for Articulation Agreements, Recognition Agreements, Academic Support Agreements and External Accreditation Partnership Agreements. Further guidance on the agreements and templates can be found on the Centre for Academic Quality StudyNet pages.

**D7 Collaborative Partnership Leader** (formerly AQPR 8.5.7)

**D7.1 General**

- D7.1.1 Unless otherwise agreed between Schools and AS, a *Collaborative Partnership Leader* will be appointed to oversee each separate collaboration with a Partner Organisation. It is the responsibility of the Dean of School to appoint a *Collaborative Partnership Leader*.
- D7.1.2 At the commencement of each Academic Year, the Dean of School (or nominee) will inform the Collaborative Partnerships Unit (CPU) of *Collaborative Partnership Leaders* for each collaboration in which the School is engaged.
- D7.1.3 The *Collaborative Partnership Leader* has the following core terms of reference. These may be added to by the School, if this is deemed appropriate, and the activities of the *Collaborative Partnership Leader* will be agreed by the Dean of School (or nominee). For Partner Organisations where a Quality Liaison Manager has been appointed, the *Collaborative Partnership Leader* will work closely with him or her. The terms of reference should be read in conjunction with the Collaborative Working Practices Handbook, where the activities associated with the role are elaborated.

**D7.2 Core Terms of Reference**

- i To monitor the 'health' of a collaborative programme (for example, through visits or other communications) and to report to the Dean of School (or nominee) any actions that need to be taken to support the collaboration or on any other matters relevant to the partnership.
- ii To be the main academic point of contact for communications between the School and the collaborative Partner.
- iii To report to SAC on the outcomes of visits to the Partner.
- iv To support the Partner in its preparation of the Annual Monitoring and Evaluation Report (including the preparation by the *Collaborative Partnership Leader* of one section of the report) and to present it to the SAC or, where established, by the SAC working group

with responsibility for scrutinising Annual Monitoring and Evaluation Reports, (or, in the case of Academic Support Partnerships, to prepare an annual report for each partner to be appended to the AMER).

- v To be an ex officio member of the relevant Programme Committee at the Partner Organisation.
- vi To co-ordinate the review and moderation of the assessment process. When this involves the review by the University of in-course assessments or examination papers, the role of *Collaborative Partnership Leader* gives authority to make requests of Deans of relevant Schools to provide subject staff to carry out this task.
- vii To act with the Dean of School (or nominee) and the University's Marketing and Communications Department to ensure that all necessary administrative procedures, including the approval of promotional material, are carried out at the required time.

The *Collaborative Partnership Leader* is not permitted to act as the Chairman of Boards of Examiners for the collaborative partnership for which they are *Collaborative Partnership Leader*.

**D8 Approval for a New Campus of an Existing, Approved Partner Organisation to Deliver a Collaborative Programme (formerly AQPR 8.5.8)**

**D8.1 General**

- D8.1.1 Wherever an approved partner of the University has proposed to either transfer the delivery of a University-validated programme to a new campus, or deliver at an additional new campus, then ADC approval of that campus is required. In addition to campus approval:
- i where there is a proposal from a partner to deliver an already-approved collaborative short course, module or programme at an additional campus and it is intended that the same staff should deliver at both the existing and proposed new locations, the process described in section B1.3 also applies;
  - ii where there is a proposal from a partner to deliver an already-approved collaborative short course, module or programme at an additional campus and it is intended to be delivered by different staff to those delivering the programme at the existing location, ADC initial approval and a University-level validation event is also required;
  - iii where there is a proposal from a partner to deliver an already-approved collaborative short course, module or programme at a new campus and it is intended that delivery is transferred from the existing to the new location, then only campus approval is required (using the process described in section D8.2).

**D8.2 Campus approval process**

- D8.2.1 The Partner initiates the process by providing the School with a proposal, identifying the location of the new campus. The University expects to receive adequate notice of a partner's proposal to deliver the programme at a new location, to facilitate a visit by the School and the approval of ADC before delivery commences.
- D8.2.2 Once informed of the proposal, AS will write to the Partner with a questionnaire, in order to determine the remit of the School approval visit. However, where the existing collaboration is in any way problematic, AS may insist upon a visit to the new location before approval can be considered.
- D8.2.3 The School should then conduct a subject-level academic resource visit of the new campus and report on the outcome, clearly indicating whether or not the School is recommending to ADC the approval of the new campus.

- D8.2.4 ADC approval of the proposal requires consideration of an AQ2a form plus the School's visit report.
- D8.2.5 Upon final ADC approval, the School is required to revise the PS, as appropriate. Approval of the new or additional campus is acknowledged as a schedule in the MoA.

**D8.3 External Examiners**

The School should ensure that External Examiners are notified and that any revised arrangements for Examination Boards are clear and appropriate.

**D9 Management of Academic Standards (formerly AQPR 8.5.9)**

- D9.1 Following approval of a collaborative programme, Schools are required to make arrangements to sustain the quality of the collaboration, in accordance with University regulations for ongoing quality assurance and requirements laid down in the MoA. Particular additional requirements for collaborations include the following:
  - D9.1.1 Schools are required to confirm nomination of a *Collaborative Partnership Leader* to oversee the operation of the collaboration prior to the admission of students on to any programme. The terms of reference of *Collaborative Partnership Leaders* are set out in section D7;
  - D9.1.2 the Dean of School is required to inform CPU of *Collaborative Partnership Leaders* and Chairmen of Boards of Examiners for each collaboration at the start of each Academic Year. A *Collaborative Partnership Leader* for a collaborative programme may not be appointed as a Chairman of a Module or Programme Board of Examiners related to the programme;
  - D9.1.3 Schools are required to negotiate an Annual Activity Agreement with each Partner Organisation for each programme offered in collaboration. This will constitute agreement of how the assessment processes are to be carried out and, in particular, the arrangements for moderation of assessment by the Partner, by the School and by the External Examiner(s), as required in Memoranda of Agreement. Notes for guidance on the Annual Activity Agreement are available on the Centre for Academic Quality StudyNet pages;
  - D9.1.4 Schools are required to nominate External Examiners using the University's normal procedures see section C1. Collaborative partners can nominate External Examiners for consideration by the School. In relation to overseas collaborations, it is a requirement that the programme and all necessary modules are allocated to External Examiners with direct knowledge and experience of comparable UK standards for the programme(s);
  - D9.1.5 the University offers all newly appointed External Examiners, including those based overseas, induction and briefing materials concerning the nature of the collaboration, their role, programme and benchmark specifications, the format and style of report required and the requirements of any professional, statutory or regulatory bodies;
  - D9.1.6 Schools are required to monitor the assessment process of the collaboration through the review and moderation of assessments, through the activities of the *Collaborative Partnership Leader* and others and by providing a Chairman for relevant Boards of Examiners;
  - D9.1.7 Schools, along with the University's CPU, are required to set up procedures for registration of students, documentation and information provided to students, arrangements for approving promotional material, monitoring the effectiveness of the administrative arrangements, administering the assessment process, including moderation of papers and scripts and Boards of Examiners; provision of transcripts and other documentation required by students; timely alerting of the University's Exams Office of the need to issue certification of awards;
  - D9.1.8 Schools are required to advise staff in the Partner Organisation on the production of all documentation required by the University's quality assurance procedures. In particular, it is the *Collaborative Partnership Leader's* responsibility to assist the Partner Organisation in the production of the AMER.

**D10      Review and Revalidation of Collaborative Arrangements (formerly AQPR 8.5.10)**

**D10.1    The aims and purpose of review and revalidation at programme level**

D10.1.1 All collaborative programmes are subject to periodic review and revalidation. The maximum period of approval is six (6) years. The distinction between review and revalidation is described in sections D10.1.2 and D10.1.3.

**D10.1.2   Review**

- i      Review is a quality management process and procedure, the aim of which is to re-affirm assurance to the Partner Organisation, the University, students, their parents or other sponsors and other interested stakeholders (for example, accrediting or professional bodies; UK external quality agencies; non UK governmental approval agencies) that, as appropriate, the programme continues to:
  - a      meet the requirements and standards for the relevant award(s), as established by the University and by the UK QAA;
  - b      be supported by satisfactory human and physical resources and an appropriate learning environment;
  - c      be supported by satisfactory quality of teaching and that appropriate mechanisms are in place to enhance quality;
  - d      be appropriate to the needs of students, employers, and the wider aims of the Partner Organisation.
- ii     The appropriateness and the extent to which these core areas are explored will, necessarily, be determined on an individual basis. For example, the nature of the focus on the programme itself may be different if the programme is a University programme (and, therefore, subject to routine University programme review, see section B1) delivered off campus than it will be for a non-University programme that is reviewed. For guidance on review and revalidation events, please refer to the Centre for Academic Quality StudyNet pages.
- iii    In addition, Review will consider:
  - a      the quality of the programme in operation, as demonstrated by the annual monitoring process and the reports of the External Examiners and *Collaborative Partnership Leaders*;
  - b      evidence that staff delivering the programme have updated themselves by, for example, engaging in relevant research, consultancy and professional activity and the extent to which this activity has, as appropriate, informed curriculum development;
  - c      the effectiveness of the Partner Organisation's own mechanisms for critical appraisal of the programme and its delivery;
  - d      the effectiveness of other internal quality assurance arrangements in the Partner Organisation and of those in operation between the School and the Partner;
  - e      the rationale for any changes in the programme, its management, delivery or the arrangements for quality assurance since initial validation and any plans for future changes;
  - f      the impact of any institutional changes (either at the Partner Organisation or at the University) on delivery of this programme;
  - g      the effectiveness of the administrative arrangements, such as those associated with registration, examinations, Boards of Examiners, maintenance of student records in relation to this programme.

#### D10.1.3 Revalidation

- i Revalidation can be defined as the formal outcome of a successful Review. It is, therefore, usual for a University Revalidation event to be the formal culmination of a review process that may have taken place over a longer period of preceding time. For example, the routine annual monitoring process is undoubtedly part of the on-going review process that follows initial validation. Part of the function of the Revalidation event is, therefore, to offer the opportunity for critical reflection on the effectiveness of the annual monitoring process. The event will include in its programme and in its documentation, explicitly, the opportunity for both partners to reflect on the effectiveness of quality assurance arrangements.
- ii As part of on-going monitoring and review of collaborative programmes, Schools must be alert to any significant changes subsequent to initial validation that may affect the approval status of a collaborative programme. Examples of significant changes might include failure to recruit, substantial changes in anticipated student numbers (up or down), proposals to change titles or modes of delivery, proposals to change the location of teaching to a new site, changes in ownership, name or management structure of the Partner Organisation. In such cases, the ADoS(AQA) should consult with the relevant ADAQA and AS in considering appropriate action.
- iii AS will make all arrangements for review and revalidation, in accordance with guidance on the Centre for Academic Quality StudyNet pages.
- iv Formal Revalidation of a collaborative programme must be achieved at least three (3) months before the existing period of validation expires. Ideally, the revalidation event should take place at least six (6) months before expiry. AS will remind Schools of the need for revalidation during the year preceding expiry (i.e. towards the end of one (1) Academic Year where revalidation is due before the end of the next Academic Year). However, it remains the responsibility of Schools to initiate Planning Meetings and to ensure that revalidation is initiated in good time.
- v The need for the re-approval of a partnership (see section D3.3) should be considered whenever a collaborative programme is due to be revalidated.

#### D10.2 Review or Revalidation outside the stated period of approval

- D10.2.1 In addition to the above, it is important to note that the validation status of all programmes leading to University awards is subject to satisfactory annual monitoring and evaluation and to the continuing approval of the Partner Organisation, see sections C2 and D3. Where necessary and appropriate, SACs or SEEC may require a Review and/or remedial action to be taken before the formal period of validation has expired. Memoranda of Agreement make provision for circumstances where there are deemed to be major or significant quality issues, such that the standard of the University's award is at risk. Partner Organisations may also request Review or they may have cause to terminate a programme (or its operation at one or more campuses or centres, for example).
- D10.2.2 Depending on the nature of the issues that suggest that an interim review or reconsideration of approval status would be prudent, the School should take one of two actions:
  - i send out an Audit Team to investigate the problems and report back with recommendations to the ADoS (AQA) or SEEC. The Audit Team must normally be chaired by someone independent of the School and must not include the *Collaborative Partnership Leader*. AS and the relevant ADAQA must be fully consulted if this action is taken and may intervene in the process. The Audit Team must provide a written report to the ADoS(AQA), who will ensure that the SAC is briefed, and to the DAQA;
  - ii in consultation with the DAQA, AS, OVC, the Partner Organisation, take steps to terminate the collaboration.(see section D11).

D11 **Terminating a Collaborative Agreement** (formerly AQPR 8.5.11)

- D11.1 A decision to propose termination might be the outcome of mutual agreement between the partners that might be based on, for example, awareness that the market for a programme has declined, changes in regulations within a country or changes in the ownership, management or strategy of a Partner Organisation or of the School/University. In addition, the University has, in the past, given notice of termination based on one or more of the following factors:
- i continuing evidence that a Partner Organisation is unaware of the limitations and requirements that collaboration places upon the programme and its delivery. This has included, for example, delivery in locations not approved by the University and delivery of modules not approved by the University as part of an approved programme;
  - ii concern for quality and standards raised by School representatives (for example, Chairmen of Boards of Examiners, *Collaborative Partnership Leaders*) and External Examiners.
- D11.2 It might also include:
- i non-viable numbers leading to inadequate income to support the collaboration;
  - ii students admitted in breach of admissions requirements;
  - iii the numbers for which the collaboration was approved being exceeded without prior agreement;
  - iv evidence that the programme is being delivered in ways that are contrary to the approved PS or the DMDs.
- D11.3 These, or failure to comply with the requirements of the MoA by either party, could be grounds for termination.
- D11.4 Termination of either an individual programme or of the approval for the Partner Organisation can be proposed, mainly on the grounds outlined above. Where the University or a School reaches a decision to terminate a collaborative arrangement, usually following consultation with the Partner Organisation and with the relevant Pro Vice-Chancellor (or nominee), a proposal for termination should be made to ADC (using form AQ2c). The paper should outline, in summary:
- i the reason(s) for proposing termination;
  - ii transitional arrangements for students already registered with the University;
  - iii the timescale by which the last students registered with the University will complete study for their awards.
- D11.5 If ADC agrees to termination, the matter will be progressed by the OVC in consultation with the Director of Legal Services and University Solicitor. Following the University's formal notification to the Partner of intent to terminate the collaboration, all communication related to termination with the Partner Organisation or with students must be channelled through the OVC. Where termination is of the approval for the Partner Organisation, any remaining programmes leading to University awards at the Partner Organisation will also have to be terminated.

**E      QUALITY ASSURANCE OF EDEXCEL QUALIFICATIONS (formerly AQPR 8.4)**

- E1**    The University has a Licence Agreement with Edexcel to validate, review and operate programmes leading to Edexcel Qualifications. Under the Licence Agreement, quality assurance for Edexcel qualifications follows the same procedures as all other University qualifications. Edexcel requires that certain administrative procedures are followed, as laid down in the Licence Agreement.
- E2**    For each Edexcel qualification, an Edexcel External Examiner is appointed under a 'Joint Appointment Protocol' agreed with Edexcel, alongside the Licence Agreement.
- E3**    Details of the Licence Agreement, the Joint Appointment Protocol and of the procedures particular to Edexcel programmes are held in AS. The University has appointed an Edexcel Co-ordinator to assist in keeping the University informed of Edexcel matters and to advise on policy.
- E4**    For all Edexcel qualifications not covered by the Licence Agreement, Edexcel quality assurance is met.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## **ASSESSMENTS AND EXAMINATIONS (UNDERGRADUATE AND TAUGHT POSTGRADUATE) AND CONFERMENTS (UNIVERSITY - DELIVERED PROVISION)**

### **SUMMARY OF PRINCIPAL CHANGES**

<b>General changes</b>	
None	
<b>Section</b>	
4.2, ii, 4.3, ii, b	see text
5.1.1	Clarification on the re-use of assessment tasks
5.6	Clarification on checking for errors in marking
7.1.4, vi	see text
7.3.2, iv	see text
9.5.1, i, b and g	see text
9.5.4, iii, b	see text (deletion)
9.5.4, v, e	see text
11.2.2	see text
12.1.4, 12.1.5, 12.1.6	see text

(Amendments to version **09.0**, UPR AS12 are shown in *italics*.)

### **Structure**

#### **1 INTRODUCTION**

#### **2 SCOPE**

#### **2.3 Research degrees**

#### **3 DEFINITIONS**

- i 'programme'
- ii 'module'
- iii 'examination script'
- iv 'coursework'
- v 'Assistant Registrar'
- vi 'School Administration Manager'
- vii 'Invigilator'
- viii 'Invigilator in Charge'
- ix 'Home Programme'
- x 'Off-campus'
- xi 'Academic Student Debt'

#### **4 INSTITUTIONAL ROLES AND RESPONSIBILITIES**

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

#### **5 REGULATIONS AND PROCEDURES RELATING TO THE SETTING, REVIEW, SUBMISSION, MARKING AND MODERATION OF EXAMINATIONS AND ASSESSMENTS**

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

##### **5.2 Publication and use of Grading Criteria**

##### **5.3 Submission of coursework**

##### **5.4 Marking of student work**

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

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

##### **5.7 External Examiners**

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

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

**6 REGULATIONS AND PROCEDURES RELATING TO THE INVIGILATION OF EXAMINATIONS AND ASSESSMENTS**

**6.1 General regulations**

**6.1.1 Scope**

**6.1.2 Ratio of Invigilators to candidates**

**6.1.3 Role and responsibilities of Invigilators (Appendix III, UPR AS12<sup>1</sup>, refers)**

**6.2 The University's Panel of Invigilators**

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

**6.4 Examinations involving the use of computers**

**7 REGULATIONS AND PROCEDURES RELATING TO EXAMINATIONS SUPERVISED BY THE ASSISTANT REGISTRAR**

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

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

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

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

**7.2.1 Deans of School**

**7.2.2 Module Leaders**

**7.2.3 Internal Moderator**

**7.2.4 Copy Editor**

**7.3 Preparation of examination papers**

**7.3.1 General regulations and procedures**

**7.3.3 Format of examination papers**

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

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

**7.4.3 Late submission of examination papers**

**7.4.5 Submission of examination papers**

**7.5 Reproduction of papers for the examination**

**7.6 The process of examination**

**7.6.1 Role and responsibilities of the Invigilator**

**7.6.2 Role and responsibilities of Module Leaders**

**7.6.3 Role and responsibilities of the Assistant Registrar**

**7.6.4 Procedure in the event of an emergency during the examination**

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

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

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

**7.7.1 Module Leaders (or nominees)**

**7.8 Marking of examination scripts**

**7.9 Archiving of examination papers**

**7.10 Storage and archiving of examination scripts**

---

<sup>1</sup> UPR AS12 Appendix III 'Invigilators – Role and Responsibilities (University-Delivered Provision)

## **8 REGULATIONS AND PROCEDURES RELATING TO SUSPECTED ASSESSMENT AND EXAMINATION OFFENCES**

- 8.1 General regulations**
- 8.2 Suspected offences which occur in the examination room**
- 8.2.1 Unauthorised material**
- 8.2.2 Other offences**
- 8.3 Suspected offences identified during the marking process**
- 8.4 Suspected coursework assessment offences**
- 9 CONSIDERATION OF RESULTS BY BOARDS OF EXAMINERS**
- 9.1 General**
- 9.2 Clerks to Boards of Examiners (Module and Programme)**
- 9.3 Absence of an External Examiner from a Board of Examiners meeting**
- 9.4 Module Boards of Examiners**
- 9.4.2 Role and responsibilities of Module External Examiners**
- 9.4.3 Generation and approval of the final version of the E9 form within the School**
- 9.5 Programme Boards of Examiners**

- 9.5.1 General regulations**
- 9.5.2 Preparations for a Programme Board of Examiners meeting**
- 9.5.3 During the Programme Board of Examiners meeting**
- 9.5.4 Following the Programme Board of Examiners meeting**

## **10 PUBLICATION OF RESULTS**

- 10.1 General regulations and procedures**
- 10.1.2 Issuing of results to candidates**
- 10.1.3 Award Pass Lists**
- 10.1.4 Issuing of Transcripts from the Student Record System**
- 10.1.5 Transcripts which cannot be produced from the Student Record System**
- 10.1.6 Data Protection and the disclosure of marks/results**
- 10.1.7 Withholding of results**

## **10.2 Prizes**

## **11 THE CONFERMENT AND CERTIFICATION OF AWARDS**

- 11.1 Conferment of Awards**
- 11.1.2 Date of conferment (date from which awards are effective)**
- 11.1.3 Withholding notification of the conferment of an award**

## **11.2 Certificates and duplicate award certificates**

- 11.2.1 Certificates**
- 11.2.2 Format of certificates**
- 11.2.3 Duplicate certificates**

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

### **11.3.1 Scope**

## **12 CEREMONIES FOR THE PRESENTATION OF DEGREES AND DIPLOMAS**

## 12.1 General regulations and procedures

- 12.1.4 Candidates who elect to be presented for an interim award
- 12.1.5 Eligibility to attend awards ceremonies

## 12.2 Role of the Secretary and Registrar

---

### 1 INTRODUCTION

- 1.1 The regulations, procedures and guidelines set out in this document have been approved by the Academic Board for the Academic Year 2017-2018<sup>2</sup>. They use the terminology set out in UPR GV08<sup>3</sup>.
- 1.2 With the exception of examinations and assessments deferred or referred from the Academic Year 2016-2017, the regulations, procedures and guidelines set out in this document (UPR AS12) will apply to all examinations and assessments conducted by the University on or after 1 September 2017.
- 1.3 This document should be read in conjunction with UPR AS11<sup>4</sup>; UPR AS14<sup>5</sup>; individual programme regulations; where applicable, the regulations of external validating bodies and UPR SA03<sup>6</sup>/UPR SA02<sup>7</sup>.

### 2 SCOPE

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

### 2.3 Research degrees

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

---

<sup>2</sup> Academic Board Minutes: 625.4, 17 June 98; 731.3, 15 March 2000; 789 and 795.2, 14 March 01; 861.3, 6 March 02; 943.4, 5 March 03; 62, 10 March 04; 139.5, 9 March 05 and 241.2.6, 1 March 06; 400, 13 June 07; 455.6, 12 March 08, 560.6, 11 March 09; 586.2.2, 10 June 09; 680.8, 9 June 10; 9, 16 March 11; 52.3, 15 June 11; 123.5, 14 March 12; 159.7, 20 June 12; 195, 19 July 2012; and 282.4, 19 June 2013; 359, 12 March 2014; 402, 25 June 2014; 480, 11 March 2015; 512, 24 June 2015, 621, 22 June 2016, refer.

<sup>3</sup> UPR GV08 'Glossary of Approved University Terminology'

<sup>4</sup> UPR AS11 'Schedule of Awards'

<sup>5</sup> UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes'

<sup>6</sup> UPR SA03 'Admissions - Undergraduate and Taught Postgraduate Students'

<sup>7</sup> UPR SA02 'Admissions - Research Students'

3

## DEFINITIONS

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

i    **'programme':**

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

ii    **'module':**

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

iii    **'examination script':**

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

iv    **'coursework':**

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

v    **'Assistant Registrar':**

the Assistant Registrar (Exams and Awards);

vi    **'School Administration Manager':**

the School Administration Manager (or equivalent) or an individual within a School who has been nominated by the School Administration Manager to be responsible for administrative tasks relating to the assessment of candidates.

vii    **'Invigilator':**

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

viii    **'Invigilator in Charge':**

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

ix **'Home Programme':**

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

x **'Off-campus':**

premises neither owned nor occupied by the University of Hertfordshire;

xi **'Academic Student Debt':**

Appendix I, UPR SA13<sup>8</sup> and Appendix I, UPR SA15<sup>9</sup>, refer.

## 4 INSTITUTIONAL ROLES AND RESPONSIBILITIES

4.1 Deans of School will ensure that:

- i Programme Handbooks are prepared for each programme and that they are updated annually;
- ii with the exception of coursework set in the first four (4) weeks of the Semester, the dates of coursework are published no later than four (4) weeks before they are due to be submitted;
- iii the appropriate Handbook is issued to all of the students registered for each programme;
- iv candidates are aware that they are also subject to institutional regulations and that they are required to conduct any coursework, studies, projects, investigations, questionnaires or other procedures involving the use of human participants in accordance with the requirements of the University's ethics regulations (UPR RE01)<sup>10</sup>.

4.2 The Assistant Registrar will ensure that:

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

4.3 School Administration Managers will:

- i at the start of each academic session, notify candidates of the make and model of the calculator approved by the University;
- ii ensure that:
  - a the titles of the Programme, Module and Short Course Boards of Examiners, the names of their respective Chairmen and the dates on which they are scheduled to meet, are published to all candidates (section C, UPR AS14<sup>5</sup>, refers);

<sup>8</sup> UPR SA13, Appendix I 'University Schedule of Sanctions and Penalties for Academic and Non-Academic Disciplinary Offences' sets out the University's definition of '**Student Debt**', '**Academic Student Debt**' and '**Non-Academic Student Debt**' and defines '**Academic Student Debt**' as unpaid tuition fees.

<sup>9</sup> UPR SA15, Appendix I "University Schedule of Sanctions and Penalties for Academic and Non-Academic Disciplinary Offences" sets out the University's definition of '**Student Debt**', '**Academic Student Debt**' and '**Non-Academic Student Debt**' and defines '**Academic Student Debt**' as unpaid tuition fees.'

<sup>10</sup> UPR RE01 'Studies Involving the Use of Human Participants'

- b all candidates are advised to read the '*Instructions for Exam Candidates*' which are published on StudyNet by the Assistant Registrar;
- c in a timely manner, all candidates are registered on the Student Record System as being enrolled on their modules;
- d all candidates are informed of the process and timescale for checking, via StudyNet, that they have been enrolled on the correct modules.

#### 4.4 Institutional role of the Assistant Registrar

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

### 5 REGULATIONS AND PROCEDURES RELATING TO THE SETTING, REVIEW, SUBMISSION, MARKING AND MODERATION OF EXAMINATIONS AND ASSESSMENTS

The University's regulations and procedures relating to the setting, review, submission, marking and moderation of examinations and coursework, reflect the good practice principles set down in the expectation and indicators contained in Chapter B6 of the UK Quality Code for Higher Education.

#### 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 cheating or plagiarism by students utilising work produced by other students in earlier years. However, an identically worded coursework task may be used where the assessment is based on an individual student's experience since this will produce a unique response. *Likewise, it may be appropriate to use an identically worded coursework task at a second (referred/deferred) sitting in order to assess progress in achievement of learning outcomes based upon feedback provided on the first attempt.*
- 5.1.2 All summative assessment (coursework as well as examinations) should be reviewed by an academic colleague prior to being handed out to students. This activity may be achieved within a module team or may be assigned to an appropriate individual, for example, an internal moderator. The review process should ensure that learning outcomes are addressed and the total assessment load is satisfactory.
- 5.1.3 Where a single element of coursework counts for **30%** or more of a module grade, approval of the appropriate External Examiner should also be sought for that element of coursework before being handed out to students. However, it is not expected that the External Examiner should be asked to approve each individual project or individually negotiated portfolio. For elements of coursework counting less than **30%** of a module grade, the coursework assessment tasks will be reviewed retrospectively by module External Examiners.
- 5.1.4 School, discipline or programme Grading Criteria are used to inform the grade awarded to a given piece of student work. Where these Grading Criteria provide insufficient granularity to be useful for student feedback and guidance, additional Marking Schemes which are directly correlated to the module learning outcomes should be published for each assessment task.

## 5.2 Publication and use of Grading Criteria

- 5.2.1 The following minimum requirements apply to the development, publication and use of grading criteria:
- i every Programme must publish Grading Criteria in the Programme handbook(s);
  - ii Grading Criteria must relate to the University's Grade Descriptors and associated numeric grades, described in section D1.1, UPR AS14<sup>5</sup>;
  - iii relevant Grading Criteria should be available for all assessments that students on the programme will encounter;

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

<http://www.studyNet2.herts.ac.uk/intranet/lti.nsf/Teaching+Documents?Openview&count=999&restricttocategory=Strategy+and+Policy/Grading+Criteria>

## 5.3 Submission of coursework

- 5.3.1 Applications for coursework extensions are approved by the School with academic responsibility for the module concerned (section 4, i, c and d, Appendix I, UPR AS12<sup>11</sup>, refers). 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. There are some situations where it is not feasible to mark work anonymously, or where there is no significant scope for bias to affect the outcome of the marking process. The following forms of assessment are examples of assessments that are exempt from the need to be submitted and marked anonymously:

- i assessments where candidates can be identified during the assessment process (for example, oral presentations, performances, observed practice assessments);
- ii assessments where an assessor's familiarity with individual submissions makes anonymity impossible (for example, dissertations, work involving ongoing student/staff interaction, work subject to formal formative feedback);
- iii assessments where there are particular circumstances relating to the submission that may identify it as the work of a particular student or group of students (for example, individually negotiated titles, alternative formats relating to a study needs agreement);
- iv objective tests, such as multiple choice questions, and other assessments, such as highly structured mathematical or technical problems, where there is little or no opportunity for evaluative interpretation of the answer.

- 5.4.2 Blind double marking is the process whereby two assessors work independently and neither marker is aware of the other's assessment decision in formulating their own mark.

- 5.4.3 Blind double marking culminates in a single agreed mark.

- 5.4.4 For modules at levels 6 and 7, a coursework assignment requires blind double marking if:

- i it counts for over **50%** of the module assessment; **and**
- ii is marked by more than one first marker; **and**
- iii the question or title has been developed and/or agreed on an individual basis.

---

<sup>11</sup> Appendix I, UPR AS12 'Assessments and Examinations – Regulations for Candidates (Including Requests for Review of Examination Decisions (Appeals Procedure)) (University-Delivered Provision)'

5.4.5 An example of an assessment task that must be blind double marked is the individual project/dissertation module. Assignments where students, for instance, respond to a common question but draw on practice in order to answer that question do not need to be blind double marked. Blind double marking replaces internal moderation.

5.4.6 Feedback on marked student work must be consistent with the University's Grade Descriptors.

### 5.5 Internal moderation of marked student work

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

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

5.5.1 Internal moderation is a process separate from that of marking and provides assurance of the quality of marking and feedback. The process of internal moderation involves checking that the marks have been awarded fairly and consistently and in accordance with the grading criteria/marking 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 Staff undertaking moderation should have a minimum of two (2) years' experience in UK Higher Education.

5.5.4 All summative assessments must be internally moderated, with the exception of those assessments that have been blind double marked (see section 5.4.2) and assessments that have undergone objective marking including by a computer. Student work from each assessment in a module should be sampled.

5.5.5 Where there is more than one (1) marker the moderator should identify and consider any differences in the distribution of marks between markers.

5.5.6 Moderators must select a minimum sample size that is equal to the square root of the total number of items, but not fewer than five (5), selecting work from across the range of grades awarded. If there are fewer than five (5) items of assessment, then all items will be reviewed. Where there is more than one marker, the sample must include at least three (3) items from each marker.

5.5.7 The outcome of the moderation process will be one or more of:

- i the marking is fair and consistent, requiring no change to either the marks or the feedback provided to students;
- ii the marking is consistent but too harsh or too generous, requiring all relevant marks to be adjusted up or down following consultation with the relevant marker(s);
- iii there are significant inconsistencies in marking, requiring a re-mark of all work following consultation with relevant marker(s);
- iv the quality of the feedback provided by one or more markers requires improvement;
- v the feedback provided by one or more markers requires greater consistency.

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

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

5.5.8 Clear documentation must be provided to evidence the process of moderation and this must be made available to the external examiner.

5.5.9 For assessment that involves judgements of transient events (for example, oral presentations, interviews) and other less traditional forms of assessment that do not lend themselves to the above procedure, the School must take appropriate steps to ensure the assessment process is safe.

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

5.6.1 All examination scripts and any other assessments that are not returned to students should be checked to ensure that no part has been overlooked by the examiner(s) and that the total mark is arithmetically correct. This includes coursework which comprises objective assessments where the total mark requires manual calculation.

5.6.2 Where, at any point in the *subsequent* moderation process, an error in the mark calculations is identified the whole set of assessments should be checked to ensure that the same error does not occur elsewhere.

**5.7 External Examiners**

5.7.1 Appropriate samples of marked student work should be reviewed by External Examiners, selected from across the range of grades awarded (however, see section 5.7.2). Where moderation is required, the sample provided for the External Examiner is the same as that used for the internal moderation process. However, the External Examiner has the right to review all relevant examination scripts and in-course assessments.

5.7.2 With the agreement of the External Examiner, samples of marked student work from the referred/deferred examination period do not need to be reviewed by External Examiners, providing that:

- i the External Examiner is satisfied with the standard of marking of student work during the first-sit examination period;
- ii the External Examiner has reviewed the referred/deferred assessments prior to their use;
- iii all marginally-failed referred/deferred student work is internally moderated or blind double marked, as appropriate (see section D1.1, UPR AS14<sup>5</sup>, for the definition of a marginal fail grade);
- 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 Associate Dean of School (Academic Quality Assurance) or the Associate Dean of School (Learning and Teaching) and notified to students in advance of the expiration of the four (4) week period. For work of an on-going nature, such as a major project or dissertation, supervising staff will ensure that students are provided with feedback at interim stages.

## 5.9 Provision of feedback on examinations

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

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

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

## 6 REGULATIONS AND PROCEDURES RELATING TO THE INVIGILATION OF EXAMINATIONS AND ASSESSMENTS

### 6.1 General regulations

#### 6.1.1 Scope

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

#### 6.1.2 Ratio of Invigilators to candidates

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

#### 6.1.3 Role and responsibilities of Invigilators (Appendix III, UPR AS12<sup>1</sup>, refers)

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

### 6.2 The University's Panel of Invigilators

The Assistant Registrar:

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

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

### General regulations

- i Examinations and assessments to be invigilated by the Schools

Practical examinations, including laboratory-based examinations and such other non-laboratory examinations as the relevant Board of Examiners decides, will be invigilated by the School responsible for the module.

- ii The Dean of School:

- a is responsible for ensuring that these examinations are conducted in a manner consistent with the requirements of the regulations set out in this document (UPR AS12);
- b will ensure that members of his or her staff are available and have full information concerning the examination(s) which they are to invigilate.

## 6.4 Examinations involving the use of computers

- a INVIGILATION

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

- b Regardless of whether invigilation is the responsibility of the Assistant Registrar or a School, the officers responsible will ensure that suitable technical support is available in the Examination Room throughout examinations involving the use of computers to ensure that appropriate support is available in the event of an electrical and/or a computer breakdown.

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

- d ELECTRICAL AND/OR COMPUTER BREAKDOWN

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

## 7 REGULATIONS AND PROCEDURES RELATING TO EXAMINATIONS SUPERVISED BY THE ASSISTANT REGISTRAR

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

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

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

7.1.3 School Administration Managers will ensure that:

- i candidates for examination are entered correctly on the Student Record System, by the deadline specified by the Exams and Awards Office (this will include information concerning all of the modules on which students are enrolled, regardless of whether or not these are assessed) and

- ii with the exception of referred/deferred examinations held during the period specified in the University Calendar, details of all of the examinations to be held are submitted to the Assistant Registrar on form E1 in accordance with the following deadlines.

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

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

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

- i Home programmes (i.e. non-collaborative programmes, delivered by University of Hertfordshire staff) where students are not required to attend the University campus on any occasion for any reason are collectively referred to as off-campus delivered programmes (for example, distance learning programmes, University-delivered elements of Joint and Dual Awards and Fly-In Faculty<sup>12</sup> arrangements).
- ii Where students registered on off-campus delivered programmes sit a formal examination away from the University campus, the Exams and Awards Office must be informed of, and approve, all arrangements for such examinations.
- iii If students registered on off-campus delivered programmes are not sitting a paper at the same time as campus-based students, a different examination paper must be set for these candidates (see section 7.1.1).
- iv If overseas-based students registered on off-campus delivered programmes are permitted by the Exams and Awards Office to sit a formal examination overseas, they must sit the examination:
  - a at an academic institution with which the University of Hertfordshire has agreed an arrangement for the examination sitting(s) after an approach has been made to that institution by the student or the student's School or
  - b at the British Council or
  - c in the case of a cohort of students only, on premises under the supervision of a member of University staff who will be responsible for receiving the examination paper, invigilating the examination and sending the completed examination scripts for marking or

<sup>12</sup>

Services and premises contracts (UPR FR06 'Corporate Governance and Financial Regulation', refers)

- d at an approved University academic support partner (see section D2, UPR AS17<sup>13</sup>).
- v If UK-based students on off-campus delivered programmes are permitted by the Exams and Awards Office to sit a formal examination other than on the University Campus, they must sit the examination:
  - a at an academic institution with which the University of Hertfordshire has agreed an arrangement for the examination sitting(s) after an approach has been made to that institution by the student or the student's School or
  - b (in the case of a cohort of students only) on premises under the supervision of a member of University staff who will be responsible for receiving the examination paper, invigilating the examination and sending the completed examination scripts for marking or
  - c at an approved University academic support partner (see section D2, UPR AS17<sup>12</sup>).
- vi Sections 7.1.4, iv and 7.1.4, v, will not apply where a professional or statutory-regulatory body requires an examination to be sat at a professional body-registered examination centre.
- vii All formal examination papers should be sent out by post or *the University's file exchange server* to the member of staff responsible for the administration of the examination taking place off the University Campus.

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

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

**(Note for guidance:**

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

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

**Other circumstances**

In specific circumstances the University may consider relaxing this rule (section 7.5.1, i, refers) in order to permit a candidate to sit an examination at another location but will do so at its absolute discretion and is not bound to agree.

Each case will be considered on an individual basis by the Assistant Registrar who acts as the nominee of the Secretary and Registrar. The decision of the Assistant Registrar is final and will be notified to the candidate, in writing. Any consent is conditional upon the candidate sitting the examination on the same day as campus-based students and under the supervision of a nominated individual approved by the Assistant Registrar who will be responsible for receiving the examination paper, invigilating the examination and sending the completed examination scripts to the University for marking.

---

<sup>13</sup> UPR AS17 'Academic Quality'

- ii Procedure for obtaining permission

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

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

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

### 7.2.1 Deans of School

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

### 7.2.2 Module Leaders

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

### 7.2.3 Internal Moderator

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

#### 7.2.4 Copy Editor

The Copy Editor is responsible for ensuring that:

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

#### 7.2.5 School Administration Managers will:

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

#### 7.2.6 External Examiners will:

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

### 7.3 Preparation of examination papers

#### 7.3.1 General regulations and procedures

- i Security and confidentiality
  - a The arrangements for the production of examination papers will be such that security and confidentiality are maintained at all stages of the process.
  - b The production of examination papers on computer workstations must be undertaken in accordance with the requirements of UPR IM01<sup>14</sup>.
  - c Examination papers must be prepared and stored in secure areas to which students do not have access.
  - d Examination papers must not be saved on hard disk drives or placed on 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.

<sup>14</sup>

UPR IM01 'Management of Computer Networks and Administrative Information Systems and the Protection of Administrative Information Systems from Computer Viruses'

- e All copies of preliminary drafts must be shredded.
  - f Under no circumstances shall examination papers be sent via the internal post or by electronic mail.
  - g Examination papers may be sent to External Examiners or third parties approved by the Assistant Registrar to administer the examination via the University's File Exchange Server.
- ii Scheduling and managing the preparation process

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

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

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

#### 7.3.2 School Administration Managers will 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 (section 7.2.2 ii, refers); one (1) copy of the previous year's examination paper and a 'standard comment sheet' are sent to the External Examiner(s) and that they are notified, in writing, of the deadline for the return of this material;

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

#### 7.3.3 Format of examination papers

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

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

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

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

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

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

## **7.4.3 Late submission of examination papers**

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

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

## **7.4.5 Submission of examination papers**

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

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

7.5.1 The Assistant Registrar is responsible for the reproduction of all examination papers that are to be copied in black and white.

7.5.2 Where an examination paper needs to be copied in colour, it is the responsibility of the School Administration Manager to liaise with the Assistant Registrar in good time before the examination to agree the arrangements for the reproduction of the paper.

## **7.6 The process of examination**

### **7.6.1 Role and responsibilities of the Invigilator**

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

### **7.6.2 Role and responsibilities of Module Leaders**

Module Leaders:

- i will be available on campus and on the telephone number which they will have provided in advance to the Exams and Awards Office, for not less than **15** minutes prior to, and for the first **30** minutes of, the examination, to attend the examination room(s), if requested to do so and to answer any queries;

- ii will, for the remainder of the examination period (whilst the paper is being taken by the candidates), be available for consultation within the University;
- iii must not attend any examination room unless requested to do so by the Exams and Awards Office.

#### **7.6.3 Role and responsibilities of the Assistant Registrar**

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

#### **7.6.4 Procedure in the event of an emergency during the examination**

##### i Candidates:

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

##### ii The Invigilator will:

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

##### iii The Assistant Registrar will:

where appropriate, advise the Invigilator in Charge of the amount of additional time that candidates are to be permitted.

##### iv The Invigilator in Charge will:

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

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

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

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

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

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

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

**7.7.1 Module Leaders (or nominees)**

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

**7.8 Marking of examination scripts**

**7.8.1** Unless it is unavoidable, for example, where a candidate has recorded an incorrect or incomplete Exam Number on his or her examination script, members of staff will ensure that candidates' 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 candidates' marks onto the appropriate mark sheet generated by the Student Record System;
- iv passing the completed mark sheet (section 7.8.2, iii, refers) and the marked examination scripts (section 7.8.2, ii, refers) to the administrator responsible for the module by the deadline specified in the schedule published by the School Administration Manager (section 7.2.5, refers).

**7.9 Archiving of examination papers**

With the exception of unused examination papers, within four (4) weeks of an examination, the Exams and Awards Office will publish the examination paper on the University's Library Search. Instructions to withhold publication of examination papers must be made by the relevant Dean of School.

**7.10 Storage and archiving of examination scripts**

Examination scripts will not be returned to candidates and will be retained by the University in accordance with the regulations and procedures set out UPR IM11<sup>15</sup>.

**8 REGULATIONS AND PROCEDURES RELATING TO SUSPECTED ASSESSMENT AND EXAMINATION OFFENCES**

**8.1 General regulations**

**8.1.1** Cheating, plagiarism and collusion are defined in Appendix I, UPR AS12<sup>10</sup>. This document also sets out a range of other offences which the University will normally regard as academic misconduct.

**8.1.2** Allegations of cheating, plagiarism, collusion and other academic offences will be investigated in accordance with the procedures set out in Appendix III, UPR AS14<sup>16</sup>. Should such allegations be proven, the University reserves the right, at its sole discretion, to impose any of the penalties set out in Appendix III, UPR AS14<sup>15</sup>.

---

<sup>15</sup> UPR IM11 'Records Management and the Archiving and Retention of Prime Documents and Business Records'  
<sup>16</sup> UPR AS14, Appendix III 'Assessment Offences'

## 8.2 Suspected offences which occur in the examination room

### 8.2.1 Unauthorised material

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

### 8.2.2 Other offences

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

## 8.3 Suspected offences identified during the marking process

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

## 8.4 Suspected coursework assessment offences

- 8.4.1 The Examiner shall 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 he or she suspects 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 appropriate Associate Dean of School (Academic Quality Assurance) (or nominee) within one (1) working day of the conclusion of the marking process for the assessment concerned.

## 9 CONSIDERATION OF RESULTS BY BOARDS OF EXAMINERS

### 9.1 General

This section (9) must be read in conjunction with UPR AS11<sup>4</sup> and UPR AS14<sup>5</sup>.

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

The role and responsibilities of Clerks to Boards of Examiners are fully described in Appendix II, UPR AS14<sup>17</sup>.

---

<sup>17</sup> UPR AS14, Appendix II 'Clerks to Boards of Examiners - Role and Responsibilities'

### 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, he or she must be asked to complete a form E9a following the meeting, to provide written confirmation of his or her concurrence with the recommendations of the Board prior to the publication of results to students (section E3.2, UPR AS14<sup>5</sup>, refers).
- 9.3.2 Where, in exceptional circumstances, a Programme External Examiner is unable to be present at a Programme Board of Examiners meeting, he or she must be asked to complete a form E10a following the meeting, to provide written confirmation of his or her concurrence with the recommendations of the Board prior to the publication of Award Pass Lists (section E2.3, UPR AS14<sup>5</sup>, refers).

### 9.4 Module Boards of Examiners

- 9.4.1 The Clerk will:
- i have received the relevant marked examination scripts and mark sheets from the Internal Examiner(s) (section 7.8.2, iv, refers);
  - ii enter these marks onto the Student Record System which will generate the prescribed 'Module Board Report' for consideration by the Module Board of Examiners;
  - iii ensure that the mark sheets received from the Internal Examiner(s) are brought to the meeting of the Board;
  - iv ensure that the marked examination scripts can be made available to the Board if required.

### 9.4.2 Role and responsibilities of Module External Examiners

Attendance at, or the written confirmation of External Examiners' concurrence with the decisions of, Boards of Examiners for modules which contribute to a University award is mandatory (section E, UPR AS14<sup>5</sup>, refers).

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

- i School Administration Managers 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 Chairman 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 Chairman will sign the final version of the E9 form, thereby confirming the grades awarded by the Board.

- v School Administration Managers will ensure that the original E9 form (or E9a form), bearing the signatures of the Chairman of the Module Board of Examiners and the External Examiner(s) is held securely, together with the minutes of the meeting and the Module Board of Examiners Report.
- vi a copy of the E9 form should be sent to the School's designated Academic Services Officer (AQA).

## 9.5 Programme Boards of Examiners

### 9.5.1 General regulations

- i Regulations concerning candidates' names
  - a The names of the candidates on the Award Pass List (section 9.5.4, i, refers) must be identical to those by which candidates are registered with the University and which appear on the Student Record System.
  - b Students must be registered in their full legal name as *defined in a document provided by a Government Agency (for example, passport, full UK photo driving licence, etc)*. Initials and abbreviations should not be used other than in cases where these have been adopted legally by the candidate.
  - c Any changes of name, for example, as a result of a change in marital status, must be notified by the candidate to Student Records and Enrolment, prior to the date of the Programme Board of Examiners meeting and must be accompanied by confirmatory legal evidence. Candidates cannot alter their names unless this is as a result of a process that is recognised in law, such as a marriage or deed poll. It should be noted that, although a marriage certificate is legal proof of a change to an individual's family name, it is not legal proof of any change to his or her forename(s).
  - d It is the responsibility of Student Records and Enrolment to ensure that this information is input on the Student Record System.
  - e No change of name that has taken place later than the date of the Programme Board of Examiners meeting can be taken into account unless the request for such a change is made by a trans graduate in which case the graduate concerned must address his or her request in the first instance to the Head of Admissions and Student Records.
  - f In the event that a candidate does not have in his or her possession, by the date of the Programme Board of Examiners meeting, the necessary legal evidence to support a name change that they wish to be recorded on their award documentation, the candidate may make a Statutory Declaration before a Commissioner for Oaths to enable the name change to be made. The candidate must present written evidence of the Statutory Declaration to the Assistant Registrar as soon as it is available.
  - g Names will appear in the format as *defined in a document provided by a Government Agency (for example passport, full UK photo driving licence, etc)*.
- ii Identification of candidates

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

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

iv Annotated Programme Board of Examiners Reports

A Programme Board of Examiners Report which has been annotated by the Clerk to the Board (section 9.5.3, refers) is a prime document as defined in UPR FR06<sup>18</sup> and must be filed with the minutes of the Board and the original version of the Award Conferment Recommendation Form (Form E10) which has been signed by the External Examiner(s) (section 9.5.4, v, d, refers).

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

**9.5.2 Preparations for a Programme Board of Examiners meeting**

i Draft E10 form

The School Administration Manager (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 (section 9.5.1, iii, refers).

**9.5.3 During the Programme Board of Examiners meeting**

The Clerk:

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

**9.5.4 Following the Programme Board of Examiners meeting**

i Award Pass Lists

All Award Pass Lists will be produced from the Student Record System in the format prescribed by the Secretary and Registrar (or nominee) from time-to-time and it should be noted that this is the official University Pass List.

The Award Pass List, together with the Programme Board minutes, is the formal record of the University awards which have been approved by a Programme Board of Examiners.

ii Exit awards

a The exit award shown on the Award Pass List will normally be the final award for the candidate's programme of study (for example, Master's Degree, Bachelor's Degree with Honours, Foundation Degree, BTEC Higher National Diploma/Certificate) unless: the candidate decides to finish studying at an intermediate stage of his or her programme or the candidate has reached his or her ultimate level of attainment at an interim award stage, in which case, the final (exit) award recommended by the Board could be any of the undergraduate or taught postgraduate awards listed in UPR AS11<sup>14</sup>.

---

<sup>18</sup>

UPR FR06 'Corporate Governance and Financial Regulation'

- b The exception to section 9.5.4, ii, a, is where a BTEC HND/HNC is an embedded award on a Bachelor's Degree with Honours programme. Although candidates may be expected to continue to study for the Bachelor's Degree with Honours after qualifying for the BTEC HND/HNC, an award must be recommended by the Programme Board of Examiners at the HND/HNC stage to enable certificates to be produced in accordance with the University's Edexcel Licensing Agreement.
- iii Format and content of Award Pass Lists

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

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

Each Award Pass List must be signed by:

  - a the Chairman 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 School Administration Manager, who, in doing so, confirms that the document has been checked and the information contained in it is full and correct.
- (Note for guidance:

It is normally the case that the Vice-Chancellor signs letters to research degree candidates personally, notifying them of the award being made to them by the University. In these circumstances, the Vice-Chancellor is noting formally the decision of the Research Degrees Board which is the Board of Examiners for all research degrees.)
- v Generation and approval of the final version of the E10 form within the School
  - 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 Chairman 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 Chairman:

will sign the final version of the E10 form, thereby confirming the certification of the awards approved by the Board.

- d School Administration Managers:  
will ensure that the original E10 form (or E10a form), bearing the signatures of the Chairman of the Programme Board of Examiners and the External Examiner(s) is held securely, together with the master Award Pass List, the minutes of the meeting and the Programme Board of Examiners Report.
- e *a copy of the E10 form (or E10a form) should be sent to the School's designated Academic Services Officer (AQA).*

## 10 PUBLICATION OF RESULTS

(Section C3.6, UPR AS14<sup>5</sup>, refers.)

### 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 (section 9.5.1, iii, refers).

### 10.1.2 Issuing of results to candidates

School Administration Managers will ensure that:

following the conclusion of the process described in section 9.5.4, i – iv, (inclusive) each candidate in his or her School, 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 Chairman of the Programme Board of Examiners (or nominee).

(Section C3.6, UPR AS14<sup>5</sup>, gives additional information concerning the publication of results.)

### 10.1.3 Award Pass Lists

School Administration Managers 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 Chairman of the Programme Board of Examiners and by the School Administration Manager;

#### **(Note for guidance:**

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

- ii students are notified of their award;

- iii a copy of a fully completed form E10 (or E10a) is received by the Assistant Registrar (Academic Services).

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

School Administration Managers will ensure that:

- i following the conclusion of the process described in section 9.5.4, i – iv, (inclusive) each candidate in his or her School who is exiting the University with an award is issued with a Transcript, generated by the Student Record System, on University Transcript paper;

- ii the Transcript has been signed by the Chairman of the Programme Board of Examiners (or nominee);
- 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).

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

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

In these circumstances, School Administration Managers are responsible for ensuring compliance with the following requirements.

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

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

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

- i The Data Protection Acts 1998 gives individuals right of access to any personal information that is held about them both on computer and within structured manual filing systems (UPR IM08<sup>19</sup>, refers).
- ii Candidates are informed of their grades routinely, by means of the University's procedures for the publication of results (section C3.6, UPR AS14<sup>5</sup>, refers).
- iii Where a candidate makes a formal request to the Data Protection Officer for access to his or her personal data and pays the appropriate charge, he or she is entitled to receive a copy of all of the information held about him or her, including any marks held on any University computer or in structured manual filing systems.
- iv It is recommended good practice that, where practicable, all marks stored on computer while awaiting moderation should be accompanied by provisional grades and that the candidate should be given a clear explanation of the status of the marks and/or grades, including the right of Boards of Examiners to vary grades.

---

<sup>19</sup> UPR IM08 'Data Protection'

- v A Programme Board of Examiners may authorise the disclosure to a candidate by the Chairman of the Programme Board of Examiners/Associate Dean of School of further information about his or her examination/assessment performance whenever a Board considers that it is in the candidate's interest to have that information (sections 5.5 and 5.6 refer).
- vi A Board of Examiners may not authorise the disclosure to a candidate of any list of examination results containing the grades or assessments of other candidates.

#### 10.1.7 **Withholding of results**

- i The University reserves the right to withhold the formal notification of the examination or assessment results from any student who owes money to the University in the form of Academic Student Debt, as defined in Appendix I, UPR SA13<sup>8</sup>/Appendix I, UPR SA15<sup>9</sup>, and such sum has not been paid.
- ii Candidates in these circumstances will, nevertheless, be notified of any examination or coursework referrals/deferrals and will be permitted to submit for such examinations or assessments. However, the University reserves the right to withhold the formal notification of the results of any referred examinations or assessments until such time as the moneys owed have been paid.

(This does not affect any rights of 'subject access' which the student may have under Data Protection legislation and candidates should refer to UPR IM08<sup>18</sup>).

#### 10.2 **Prizes**

(Appendix IV, UPR AS12<sup>20</sup>, refers.)

### 11 THE CONFERMENT AND CERTIFICATION OF AWARDS

#### 11.1 **Conferment of Awards**

##### 11.1.1 The Assistant Registrar (Academic Services) will:

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

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

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

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

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

---

<sup>20</sup>

Appendix IV, UPR AS12 'Prizes (University-Delivered Provision)'

### 11.1.3 **Withholding notification of the conferment of an award**

The University reserves the right to withhold notification of the conferment of an award from any student who owes money to the University in the form of Academic Student Debt, as defined in Appendix I, UPR SA13<sup>8</sup>/Appendix I, UPR SA15,<sup>9</sup> and such sum has not been paid.

#### **(Note for guidance:**

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

## 11.2 **Certificates and duplicate award certificates**

### 11.2.1 **Certificates**

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

### 11.2.2 **Format of certificates**

- i Certificates for all awards listed in UPR AS11, 'Schedule of Awards', with the exception of those identified in 11.2.2, ii, below:
  - a Will bear the University crest reproduced in full colour and will be signed by the Vice-Chancellor.
  - b The wording for first degree awards will be set out in accordance with the following example:

'X (name) has been awarded the degree of Bachelor of Arts with First Class Honours/Upper Second Class Honours/Lower Second Class Honours /Third Class Honours/ having followed an approved sandwich programme in (subject)'.
  - c Where the award is not in the sandwich mode the word 'sandwich' will be omitted (section 11.2.2, i, b, refers).
  - d Where the award is achieved after a candidate has followed a degree only programme, there is no classification for the award.
  - e Programmes for which there is no approved title, for example, those approved under the University's Credit Accumulation and Transfer Scheme (CATS), will be described only as an 'approved programme'.
- ii BTEC HNC/HND/Foundation certificates:
  - a BTEC HND/HNC certificates will bear the University crest reproduced in full colour and the Logo of the Edexcel Foundation (the holding company for BTEC awards) and will be signed by the Vice-Chancellor.
  - b The wording will be as follows:

'X (name) has been awarded a BTEC Higher National Diploma/Certificate/Foundation Certificate having followed an approved programme of study in (subject)'.

### 11.2.3 Duplicate 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 11.2.3, 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 be a facsimile 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 Assistant Registrar. The applicant must, in addition, provide the Assistant Registrar with:
  - a the damaged or defaced certificate  
or  
a written declaration, signed by the applicant, setting out the circumstances in which the certificate was lost or destroyed, which includes a written undertaking by the graduate/diplomate that he or she will return the duplicate to the University in the event that the original is found and
  - b payment of the prescribed fee.

## 11.3 Certificates of Attendance/Credit

### 11.3.1 Scope

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

### 11.3.2 The School Administration Manager:

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

#### (Notes for guidance:

- Official University of Hertfordshire 'Certificate of Attendance' and 'Certificate of Credit' paper, bearing the signature of the Vice-Chancellor, may be obtained from the Academic Registrar (or nominee).
- Where a Certificate of Attendance or a Certificate of Completion is generated manually:
  - i credit points must not be shown on such certificates unless the recipient has successfully completed an approved credit rated module;

- ii where certificates bearing credit points are issued, full records of the credit achieved must be made and retained by the School Administration Manager.)

## 12 AWARDS CEREMONIES FOR THE PRESENTATION OF GRADUATES WHO HAVE RECEIVED DEGREES AND DIPLOMAS

### 12.1 General regulations and procedures

- 12.1.1 The University will hold ceremonies each academic year for the presentation of students who have achieved one of the awards listed in section 12.1.7 and who meet the criteria published from time-to-time by the Assistant Registrar.
- 12.1.2 The dates of the University's Awards Ceremonies will be determined by the Academic Board which will be advised by the Assistant Registrar.
- 12.1.3 Candidates will normally be eligible to attend a ceremony only after they have completed the programme on which they are enrolled. Although they may have reached the standard to qualify for an interim award, it will be expected that they will continue to follow the programme until they have achieved the highest award for that programme.

### 12.1.4 Candidates who elect to receive an interim award

(Section 9.5.4, ii, refers)

- i Candidates who finish their studies before achieving the highest award on their programme must notify their School Administration Manager, in writing, by the deadline specified by the School Administration Manager, that they have completed their studies and (where they are eligible) wish to be invited to a ceremony. The University's normal practice is to invite such candidates to the relevant ceremony immediately following their having achieved their awards.
- ii A candidate *who has been offered an interim award but has not returned to study nor notified their School in writing of their acceptance of this offer by a deadline date published by the University will receive their interim award automatically shortly thereafter.* The candidate may be invited to a ceremony provided that he or she has achieved one of the awards listed in section 12.1.7 and also meets the criteria published from time-to-time by the Assistant Registrar. However, where the candidate decides subsequently to undertake further study on the same programme, and goes on to achieve a higher award on that programme, he or she will not be eligible to attend a further ceremony.

### 12.1.5 Eligibility to attend awards ceremonies

- i Only those graduates and diplomates confirmed on the Student Record System *by the dates specified in Section 12.1.6 who have achieved one of the awards specified in section 12.1.7, iii, and who meet the criteria published on the Awards Ceremonies website* will be eligible to attend awards ceremonies.
- ii The University reserves the right, at its absolute discretion and without prior notice, to refuse an individual entry to any awards ceremonies.
- iii A graduate or diplomate will not be eligible to attend any other ceremony if he or she is unable, for any reason, to attend the ceremony to which he or she had been invited by the University. Attendance for presentation at an awards ceremony is not compulsory as a candidate is deemed to have graduated from the date of the Programme Board of Examiners meeting at which the award was approved or from the date on which he or she fulfilled any conditions imposed by the Programme Board of Examiners.

- iv It should be noted that attendance at ceremonies for the presentation of degrees and diplomas is solely by invitation of the University. An individual who has owed money to the University and such sum has not been paid one (1) month prior to the ceremony (Appendix I, UPR SA13<sup>8</sup>/Appendix I, UPR SA15<sup>9</sup>, refer), is not eligible to be invited to any such ceremony.
- v When invited to attend a ceremony, graduates and diplomates must register their intention to attend by the published deadline in the manner prescribed by the University. Failure to comply with these requirements will render them ineligible to attend the ceremony.
- 12.1.6 The following schedule sets out deadlines for awards to be confirmed on the Student Record System. *It specifies the ceremonies that the graduates and diplomates referred to with confirmed awards (as specified in section 12.1.7) are eligible to attend:*
- | Period during which Programme Board met: | Awards to be confirmed on the Student Record System by: | Ceremony that graduates are eligible to attend:   |
|--|---|---|
| 1 August 2017 - 8 November 2017          | 8 November 2017   | December 2017<br>(de Havilland Campus – Hatfield) |
| 9 November 2017 - 31 July 2018           | 31 July 2018  | September 2018<br>(St Albans Abbey)               |
- 12.1.7 In accordance with the provisions of sections 12.1.5 and 12.1.7, the University will invite graduates and diplomates who:
- i have been taught by a member of the University's academic staff, based on the Hatfield Campus and
  - ii meet the criteria published from time-to-time by the Assistant Registrar and
  - iii have achieved the following exit awards,
- to the next scheduled ceremony organised by the Assistant Registrar following the completion of their studies:
- Bachelor's Degree  
Diplomas (other than University Diploma)  
Higher and Initial Doctorate  
Foundation Degree (Science) Paramedic Science  
Master's Degree (taught and by research)  
Postgraduate Certificate in Education  
Professional Graduate Certificate in Education.
- It should be noted that students graduating with an award undertaken at a Partner Organisation will attend ceremonies held at those Organisations.
- 12.1.8 The University's regulations relating to academic dress are set out in UPR AS01<sup>21</sup>.

## 12.2 Role of the Secretary and Registrar

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

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

---

21 UPR AS01 'Academic Dress'

**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	
<b>Section</b>	
1.1, ii	see text
2.1.1, d	see text
3.4	see text
3.6, i, c	see text

(Amendments to version 09.0 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**
- 

## 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 AS11<sup>1</sup> 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 AS14<sup>2</sup>, refers);
    - e Appendix II, UPR AS12<sup>3</sup>.
  - 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;

---

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

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

<sup>3</sup> 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 AS14<sup>2</sup>, 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 AS12<sup>4</sup>, 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 RE01<sup>5</sup>).

### **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 2017-2018, the deadline is **20 October 2017**.
- 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 2017-2018, the deadline is **20 October 2017**.
- 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.

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

<sup>5</sup> 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 AS14<sup>2</sup>, 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 AS14<sup>6</sup>. 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 AS14<sup>6</sup> or, where the allegation is treated as a disciplinary matter, the University may, in addition, impose penalties under the provisions of Appendix I, UPR SA13<sup>7</sup>/Appendix I, UPR SA15<sup>8</sup>.

**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 have been switched off or have been set to 'silent', with the alarm de-activated 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

<sup>6</sup> UPR AS14, Appendix III 'Academic Offences'

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

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

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.

- 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 AS14<sup>2</sup>, 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 AS12<sup>4</sup>, 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 regulations<sup>9</sup>**

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 AS14<sup>6</sup>, 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.

<sup>9</sup> 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 AS14<sup>2</sup> (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 AS14<sup>2</sup>, 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' web site, at:  
<http://www.studynet1.herts.ac.uk/ptl/common/studentcentre.nsf/Teaching+Documents?OpenView&count=9999&restricttocategory=Personal+Life/Appeals,+Complaints,+Discipline> )

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 of 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 is final and 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 AS14<sup>2</sup>.

## 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 temporarily<sup>10</sup>.
- 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 2017**

---

<sup>10</sup> Academic Board minute 725.3, 15 March 2000, refers.

## **ASSESSMENTS AND EXAMINATIONS - CANDIDATES WITH DISABILITIES OR OTHER ADDITIONAL NEEDS (UNIVERSITY-DELIVERED PROVISION)**

### **SUMMARY OF PRINCIPAL CHANGES**

#### **General changes**

Disability Services now known as Student Wellbeing

#### **Section**

None

*(Amendments to version 09.0, Appendix II, UPR AS12, are shown in italics.)*

### **1 INTRODUCTION.**

- 1.1 The University has a legal responsibility under the Equality Act 2010 to anticipate the needs of disabled students and to ensure it does not discriminate against disabled students. This includes making reasonable adjustments to ensure that examinations and assessments offer equality of opportunity and are accessible to disabled candidates.

- 1.2 The purpose of the regulations and procedures set out in this document is to enable the University to meet its responsibilities to disabled candidates as well as to those candidates with other additional needs not covered by the Act.

### **2 PRINCIPLES, POLICIES AND GENERAL REGULATIONS**

- 2.1 The University of Hertfordshire is committed to ensuring that all students have equality of opportunity in assessment.

- 2.2 The University will make reasonable adjustments to prevent a disabled person from being placed at a substantial disadvantage for a reason related to their disability and will use its best endeavours to make appropriate provision for candidates with other additional needs. These adjustments shall not be such that they impair either the validity of the assessment or examination or the standards of competence being assessed.

- 2.3 The University will anticipate the requirements of disabled candidates, ensuring its practice is inclusive of the needs of disabled people and that there is flexibility in its policy and procedures to enable reasonable adjustments to be made for individuals where these could not have been anticipated.

- 2.4 The Study Needs Agreement (SNA) for individual disabled students will be made available on StudyNet so that staff contributing to modules are aware of their needs. All staff have a responsibility to check StudyNet class lists for SNAs. Where reasonable adjustments have been identified through an SNA, staff must make these. Where staff consider adjustments to be 'unreasonable' they must discuss this with Student Wellbeing so that the SNA can be amended. Failure to make a reasonable adjustment is discrimination under the Equality Act 2010.

- 2.5 Where reasonable adjustments have been made, a Short Course/Module Board of Examiners will not normally consider a candidate's disability or other additional needs in extenuation of poor performance.

- 2.6 The reasonable adjustments which might be made for disabled candidates or those with additional needs might include, but are not necessarily limited to, additional time for an examination or assessment; standard examination time with additional rest periods; a location, elsewhere in the University, for the sitting of an examination other than the examination room; the completion of work other than in handwriting (including the use of a computer); the provision of the question paper in an alternative format; the employment of an amanuensis or reader and/or opportunities for students to complete assignments in alternative forms.

- 2.7 Where reasonable, the University will ask for medical or other appropriate evidence when considering reasonable adjustments for individual students. Any such evidence must be presented in English or be accompanied by a verified translation.

**(Note for guidance:**

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

- 2.8 The University will respond to requests for reasonable adjustments at any stage during a student's period of study and will actively promote procedures for agreeing support and adjustments.

**3 IDENTIFYING AND MAKING REASONABLE ADJUSTMENTS TO EXAMINATION ARRANGEMENTS**

- 3.1 Students must contact their Disability Adviser at the earliest opportunity and must do so no later than five (5) weeks prior to the period for Semester A and Semester B examinations identified in the University Calendar and three (3) weeks prior to the period so identified for referred/deferred examinations to agree reasonable adjustments.

- 3.2 Where an examination has been scheduled 'out of time' (that is, other than during the times referred to in section 3.1) students must contact their Disability Adviser at the earliest opportunity and must do so no later than five (5) weeks prior to the 'out of time' examination.

**3.3 Requests from disabled candidates**

The Disability Adviser will determine the adjustments to be made for disabled candidates. He or she will discuss requests with the candidate concerned and, by using the Study Needs Agreement on StudyNet, will agree with the candidate the arrangements which are to be put in place. The agreed Study Needs Agreement operates for the entire period during which the candidate is enrolled on the programme but, where appropriate, the Disability Adviser may agree to revise the Study Needs Agreement.

- 3.4 Where the Disability Adviser needs to request medical or other appropriate evidence, this will be used for the purpose of agreeing adjustments and will not be shared with others. Evidence will normally take the form of a doctor's or consultant's note or, for students who disclose a Specific Learning Difficulty, a report following an assessment with an Educational Psychologist or other suitably qualified person with a recognised practicing certificate. The assessment of a specific learning difficulty must have taken place on or after 1 January 1988 and the candidate will have been over sixteen (16) years of age at the time.

- 3.5 Where a student requests adjustments on grounds of a Specific Learning Difficulty but does not have a suitable assessment report they will be supported in obtaining this through an assessment with an Educational Psychologist.

**3.6 Requests from candidates who are not disabled**

Requests for special arrangements for reasons other than disability, such as pregnancy, will be made to the appropriate Disability Adviser. Where special arrangements are agreed by the Disability Adviser, the adjustments agreed will apply only to the examination session for which the adjustments were requested. Further, separate, requests must be made in respect of any future examination session.

**3.7 Late requests for adjustments**

- 3.7.1 Any requests for adjustments to examination arrangements made after the deadline referred to in section 3.1 must be referred to the Disability Adviser for consideration. It should be noted that it may not be possible to accommodate such requests.
- 3.7.2 Where a student believes his or her performance during an examination would be impaired because his or her request for adjustments could not be met, the student should not submit or sit the relevant assessment. In these circumstances it is the student's personal responsibility to seek validation of Serious Adverse Circumstances from his or her Disability Adviser and then to notify the Chairman of the Short Course/Module Board of Examiners, in writing, in accordance with the requirements of section C3.8, UPR AS14<sup>1</sup>, 'Serious Adverse Circumstances'.

**3.8 Rooms, invigilation and equipment**

- 3.8.1 Where they are the responsibility of the Assistant Registrar, Semester A, Semester B and referred/deferred examinations for candidates requiring examination adjustments will normally be held in a separate room and will be invigilated by members of the University's Panel of Invigilators.
- 3.8.2 Disability Services is responsible for booking certain items of equipment needed for examinations requiring one-to-one invigilation.
- 3.8.3 Candidates will start the examination at the same time as all other candidates but will remain in the examination room for the additional period of time which has been permitted.

**3.9 Amanuenses, readers and School-based Invigilators**

- 3.9.1 The Disability Adviser is responsible for obtaining the services of amanuenses, readers or School-based Invigilators and, in doing so, will comply with University regulations. Guidance and information on procedures is available from the Assistant Registrar.
- 3.9.2 An amanuensis, reader or School-based Invigilator should have no professional or personal relationship with the candidate. If such a person cannot be found, an independent (additional) Invigilator must also be appointed to oversee the examination.
- 3.9.3 When the use of an amanuensis, reader or School-based Invigilator is agreed, both the candidate and the person taking on the role must be given a copy of any relevant guidelines. These may be obtained from the Assistant Registrar and must be read in conjunction with these regulations.
- 3.9.4 Other than in the circumstances where an independent (additional) Invigilator will have been appointed (section 3.9.2 refers), the amanuensis, reader or School-based Invigilator is responsible for invigilating the examination and will do so strictly in accordance with University regulations.
- 3.9.5 Amanuenses and readers will ensure that their conversation with candidates during the examination is not inappropriate and must not allow candidates to consult with them in any way about their answers nor advise the candidate in any way.

---

<sup>1</sup> UPR AS14 'Structure and Assessment Regulations – Undergraduate and Taught Postgraduate Programmes'

### 3.10 **Marking**

There will be no additional allowance for disability in the marking of examination scripts and Short Course/Module Boards of Examiners will assess the performance of all candidates on an equal basis.

### 3.11 **Requests for the review of assessment decisions – undergraduate and taught postgraduate candidates (Appeals Procedure)**

Where a student submits a request for a formal review of a decision of a Board of Examiners under the provisions of section 5.6, Appendix I, UPR AS12<sup>2</sup> ('Formal procedure for the review of a decision by a Board of Examiners'), the University will make reasonable adjustments for disabled students. Disabled students should seek advice from Student Wellbeing.

## 4 ADMINISTRATION OF ASSESSMENT/EXAMINATION ARRANGEMENTS FOR CANDIDATES WITH DISABILITIES OR OTHER ADDITIONAL NEEDS

### 4.1 **Deans of School:**

will ensure that, within their respective Schools, candidates with disabilities or other additional needs have access to the Disability Adviser where the examination is held on University premises.

### 4.2 **Disability Advisers:**

are responsible for:

- i (using the Study Needs Agreement on StudyNet) agreeing with disabled candidates the reasonable adjustments which are to be made available to them;
- ii in the case of Semester A and Semester B examinations referred to in the University Calendar, notifying the Assistant Registrar not less than four (4) weeks prior to the first examination in the series of the special arrangements agreed for disabled candidates in their respective Schools;
- iii in the case of 'out of time' examinations (section 3.2, refers), notifying the Assistant Registrar not less than four (4) weeks prior to the examination of the special arrangements agreed for disabled candidates in their Schools;
- iv for referred/deferred examinations, notifying the Assistant Registrar not less than two (2) weeks prior to the first examination in the series of the special arrangements agreed for disabled candidates in their respective Schools;
- v determining the non-disability related additional needs of candidates in their respective Schools;
- vi ensuring that the additional facilities and/or other special arrangements which have been agreed, but which are not arranged by the Assistant Registrar, are provided/made and that the candidate is informed;
- vii ensuring that information about agreed adjustments for disabled students is available to staff who need to know in order to carry out assessments and/or examinations outside of the examination periods specified in the University Calendar.

---

<sup>2</sup> Appendix I, UPR AS12 'Assessments and Examinations - Regulations for Candidates (Including Requests for the Review of Assessment Decisions (Appeals Procedure)) (University-Delivered Provision)'

#### 4.3 Costs

Any additional costs incurred either by the candidate or by a centre other than the candidate's School should be met from the budget of the candidate's School or other appropriate funding sources, for example, a student's Disabled Students' Allowance.

#### 4.4 Special arrangements involving external agencies

Where the approved special arrangements involve obtaining the services of outside agencies, it is the Disability Adviser's responsibility to give as much notice as reasonably possible to enable the Assistant Registrar to comply with any lead times imposed by suppliers or external organisations.

### 5 TIME CONSTRAINED IN-COURSE/MODULE ASSESSMENTS

- 5.1 Schools will make reasonable adjustments for individual disabled students in relation to time constrained in-course/module assessments including, but not restricted to, in-class written assessments, presentations, Electronic Voting Systems, practical assessments, Objective Structured Clinical Examinations (OSCEs) and viva voce examinations.
- 5.2 Reasonable adjustments will be agreed for disabled students by their Disability Advisers and written into their Study Needs Agreements. Schools will be informed of these adjustments via the class lists published on StudyNet.
- 5.3 Where required, Student Wellbeing will support Schools in making adjustments, for example, by identifying specialist support. However, the School remains responsible for making the adjustments, including the provision of resources, identifying rooms and allocating staff to manage and invigilate assessments.
- 5.4 It is the student's responsibility to contact the Disability Adviser to arrange to have a Study Needs Agreement drawn up. This can happen at any time during the academic year. If a student's Study Needs Agreement is completed less than two (2) weeks prior to an in-course assessment, it will not be deemed reasonable for the School to make the required adjustments.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## INVIGILATORS - ROLE AND RESPONSIBILITIES (UNIVERSITY- DELIVERED PROVISION)

### SUMMARY OF PRINCIPAL CHANGES

General changes	
None	
<b>Section</b>	
1.1	see text
1.2, iv, vi, vii, xii, xvi, xix, and xxi	see text
2, iv and v	see text

---

(Amendments to version 09.0 Appendix III, UPR SA12 are shown in *italics*.)

### 1 GENERAL RESPONSIBILITIES

- 1.1 All Invigilators, whether members of the Panel of Invigilators or members of the University's staff, are responsible for ensuring that the examination for which they are appointed runs smoothly and is conducted in accordance with University regulations (UPR AS12<sup>1</sup>, refers).

From the time that the Invigilator arrives in the examination room until the Invigilator has fulfilled all of his or her duties (section 1.2, refers), the Invigilator shall not leave the examination room *or leave question papers unattended* unless a second Invigilator or temporary substitute is present.

Invigilators will ensure that that the University's regulations for the invigilation of examinations and assessments are observed at all times (section 5, UPR AS12<sup>1</sup>, refers).

- 1.2 Invigilators will:
- i admit candidates registered for the module that is to be examined to the examination room at least **15** minutes before the start of the examination (in larger examination rooms, **30** minutes before the start of the examination);
  - ii ensure that candidates:
    - a leave all bags, books and other personal property in a specified place and
    - b sit in the seat which has been allocated to them and
    - c place their University Identity Cards on their desks;
  - iii follow the procedure determined by the Assistant Registrar in cases where candidates are unable to present their University Identity Cards;
  - iv ensure that each candidate signs the attendance register (*in the event of a candidate's absence an invigilator must write 'ABS' next to the student's name*);
  - v endeavour to ensure that any restrictions specified in the rubric relating to examination aids, for example, module notes and calculators, are observed and refer any queries to the Assistant Registrar;
  - vi prior to the commencement of the examination, make all announcements *in accordance with the Invigilator Guidelines* and remind candidates to read the regulations issued by the Exams and Awards Office which will have been placed on candidates' desks;

---

<sup>1</sup> UPR AS12 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (University-Delivered Programmes)'

- vii ensure that the door to the examination room is closed at the time scheduled for the start of the examination *in accordance with the digital clock in the examination room* and that the examination commences as soon as possible thereafter;
- viii refuse entry to any candidate who arrives after the time scheduled for the start of the examination, irrespective of whether the examination has started;
- ix announce to the candidates and note in the Invigilator's Log the commencement time and the finishing time of the examination;
- x during the examination, give their undivided attention to the surveillance of candidates and position themselves at various locations within the room during the course of the examination so that they can observe the whole room;
- xi ensure that candidates do not take into the examination room any work, reading matter, food or drink (other than small, clear, unlabelled bottles of still water);
- xii not permit *but record in the Invigilator's Log if it happens, details concerning* any candidate who leaves the examination room during the first **40** minutes or during the last **20** minutes of the examination unless they have medical or other appropriate evidence to justify this absence;

**(Note for guidance:**

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

- xiii immediately refer any queries concerning the examination to the Assistant Registrar;
- xiv take such measures as they deem appropriate for the immediate comfort of any candidate who becomes unwell during the examination, contacting the Assistant Registrar if necessary: under no account leaving other candidates in the examination room unsupervised;
- xv ensure that candidates who need to visit the lavatory during an examination of more than two (**2**) hours' duration are escorted (only candidates with medical or other appropriate evidence may leave the examination room during the first **40** minutes or during the last **20** minutes of the examination, they must be escorted at all times);
- xvi immediately confiscate material and report the matter to the Assistant Registrar *immediately* in cases where they have reason to believe that a candidate may be in breach of University regulations, in particular, if the Invigilator discovers a candidate with unauthorised material (the Assistant Registrar will advise the Invigilator concerning the immediate action which he or she (the Invigilator) is to take);

(The candidate will normally be allowed to continue with the examination but if the *suspected* candidate is expelled from the examination room he or she may not be re-admitted during that examination. The Invigilator will make a written report of the incident, by means of the Invigilator's Log and Exam Offence Log, to the Assistant Registrar giving details of the alleged offence and any supporting evidence.)

- xvii note in the Invigilator's Log any incident which occurs during the examination which may have disturbed the candidates (such incidents would include, but are not limited to, excessive external noise);

- xviii following consultation with the Assistant Registrar, require a candidate to leave the examination room where the candidate, either intentionally or unintentionally, causes disturbance to other candidates in the examination and make a written report of the incident in the Invigilator's Log;
- xix where a candidate suddenly becomes unwell during an examination and elects to leave without completing the examination, *contact the Assistant Registrar immediately and* make a written report of the incident in the Invigilator's Log, noting the candidate's decision to leave on grounds of sudden ill-health;
- xx ensure that the examination finishes at the correct time;
- xxi at the end of the examination, collect all examination scripts, check that candidates have written their correct Examination Number on them, have completed the front of their examination script and ensure that there is an examination script for each candidate in attendance *and that they are in examination number order.*

## 2 EXAMINATIONS INVOLVING THE USE OF COMPUTERS

For Semester A, B and C examinations and the main referred/deferred examination periods, the Assistant Registrar will be responsible for arranging the invigilation of examinations involving the use of computers. Examinations at other times involving the use of computers may, with the approval of the Assistant Registrar, be invigilated by staff of the appropriate School.

(Section 5.4, UPR AS12<sup>1</sup>, refers.)

The Invigilator will:

- i ensure that all computer-based communications systems to which candidates would normally have access and which would allow candidates to communicate with non-prescribed parties (including, but not limited to, e-mail, shared disk stores and file transfer protocols) but which are not explicitly stated as being required for the examination, are not used at any time during the examination (such facilities must either be disabled for the term of the examination or, alternatively, the Invigilator will monitor candidates' activities closely during the examination);
- ii where, at any time during the examination, a candidate is found to be in communication with a non-prescribed party, terminate that communication immediately, ensure that it does not occur again and inform the Assistant Registrar immediately (the Assistant Registrar will advise the Invigilator concerning the action which he or she must take);
- iii advise candidates that they are personally responsible for saving all their work regularly and in the manner prescribed for the examination (2, v, refers);
- iv in the event of an electrical and/or computer breakdown:
  - a FOR EXAMINATIONS WHICH ARE THE RESPONSIBILITY OF THE ASSISTANT REGISTRAR:  
immediately notify the Assistant Registrar, *who will seek the appropriate assistance;*
  - b FOR EXAMINATIONS TAKING PLACE IN THE SCHOOL:  
notify the School's computer support technician (or equivalent);

and follow the instructions which are received;

- v at the end of the examination, ensure that one (1) complete copy of the submitted work of all the candidates is printed on to white, A4 paper and that the Exam Number is written at the top of each page. *If there is no printer in the examination room, bring the candidate to the Exams Office where their work will be printed.*

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## PRIZES (UNIVERSITY- DELIVERED PROVISION)

### SUMMARY OF PRINCIPAL CHANGES

General changes	
None	
Section	
various	typographical amendments

(Amendments to version 09.0 Appendix IV, UPR SA12 are shown in *italics*.)

### 1 STATEMENT OF POLICY

The University supports the principle of giving prizes to students or, in some cases, to groups of students, in recognition of exceptional achievement.

### 2 UNIVERSITY PRIZES

- 2.1 University Prizes may be awarded at the discretion of a Programme Board of Examiners using criteria established by the Dean of School in consultation with the Chairman of the Programme Board.
- 2.2 The University does not specify or limit the criteria for the awarding of prizes. However, each School must publish to students the criteria that are to apply.
- 2.3 Deans of School:
  - i will ensure that, within their respective Schools, the University's policy on the awarding of prizes is operated fairly and consistently;
  - ii should note that the processes whereby University prizes are awarded may be subject to audit and that the Auditors may require satisfactory evidence that prizes have been awarded in accordance with the agreed criteria.

### 2.4 Possible categories for University prizes

University prizes are most commonly awarded for the following reasons:

- i outstanding results overall;
- ii outstanding achievement in part of a programme, for example, best project or within a particular classification band;
- iii achievement in exceptional circumstances;
- iv service to the community.

### 2.5 Administrative procedures relating to University prizes

- i University prizes will be awarded in the form of e-vouchers worth £100. These will be funded from the School's prize budget.
- ii The citation for prizes must be brief but sufficiently precise to make clear the reason(s) for which the prize is being awarded. Where a prize is being awarded in recognition of a candidate's achievement in relation to a particular aspect of a certain programme, the citation will include the name of the programme (for example, 'for outstanding achievement in the final year of the Joint Honours Degree').

Other examples of reasons for which prizes might be awarded include:

- 'for personal achievement (with name of programme as appropriate)' or
  - 'for the best project (with name of programme or award as appropriate)' or
  - 'for outstanding progress on (with name of programme)'.
- iii Prizes for candidates' achievements in 'exceptional circumstances' should be given only exceptionally. Tutors will make recommendations to the appropriate Programme Board of Examiners concerning the awarding of such prizes and will provide appropriate supporting evidence for the Board's consideration.
  - iv The names of final year prize winners who are eligible to attend an awards ceremony arranged by the Assistant Registrar should be given on Form NOP which is signed by the Chairman of the Programme Board of Examiners.
  - v The names of all final year winners of University prizes and, where applicable, the names of organisations which have sponsored or endowed prizes, are published annually in the UK programme for the University's Awards Ceremonies. The final date for notifying the Assistant Registrar of the names of prize winners for inclusion in the programme is 31 July for September ceremonies and 8 November for December ceremonies.
  - vi School Administration Managers will ensure that, as soon as possible after the meeting of the Programme Board of Examiners, full information concerning the prizes which are to be awarded is submitted to the Assistant Registrar on Form NOP which has been completed in full.
  - vii Prize winners will be notified of the value and type of prize that they have been awarded, together with information concerning the basis on which it is being awarded and how it can be claimed.

### 3 SPONSORED AND ENDOWED PRIZES

#### 3.1 Role of the Secretary and Registrar

Only the Secretary and Registrar (or nominee) may accept an offer made to the University by an external body or individual who wishes either to sponsor or to endow a prize.

#### 3.2 General

3.2.1 Sponsored and endowed prizes differ from University prizes in that the value, the nature of the gift and the criteria to be used to judge whether or not the prize is to be awarded are determined by the donor.

3.2.2 The University reserves the right to invite a sponsor to withdraw a prize.

3.3 Programme Boards of Examiners will:

in awarding these prizes, take into account any special conditions of eligibility and procedural requirements associated with the terms and conditions that apply to the prize or endowment.

**3.4 Administrative procedures relating to sponsored and endowed prizes**

- i Sponsored and endowed prizes will be administered in accordance with the procedures set out in section 2.5, iii - vii, with the following exceptions;

**(Note for guidance – scholarships funded by donations to and/or administered by UH Trust**

Where, during their studies, a graduating student has been awarded a scholarship funded by donations to and/or administered by UH Trust, the scholarship will be announced when the student is presented at his or her Awards Ceremony. The information will also be published in the Awards Ceremony Brochure.)

- ii Sponsored prizes

School Administration Managers:

are responsible for communicating directly with the awarding body or sponsor, giving them the name of the award recipient and requesting the prize, unless the sponsored prize is funded through donations to and/or administered by UH Trust, in which case the Development Team will be responsible for notifying the donor that the prize has been awarded;

will ensure that the Development Team is provided with all necessary information in a timely manner.

- iii Endowed prizes

School Administration Managers:

are responsible for the administration of named prize funds (Endowed Prizes) which have already been established by the Group Director of Finance and for requesting the prize.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## **ASSESSMENTS AND EXAMINATIONS (UNDERGRADUATE AND TAUGHT POSTGRADUATE) AND CONFERMENTS (PARTNER ORGANISATION-DELIVERED PROVISION)**

### **SUMMARY OF PRINCIPAL CHANGES**

<b>General changes</b>	
None	
<b>Section</b>	
4.2, i	see text
5.1	Clarification on the re-use of assessment tasks
5.6	Clarification on checking for errors in marking
9.5.1, i, b and g	see text
9.5.4, vi, e	see text
12.2.2	see text

(Amendments to version **09.0**, UPR AS13 are shown in *italics*.)

### **Structure**

#### **1 INTRODUCTION**

#### **2 SCOPE**

#### **3 DEFINITIONS**

- i 'programme'
- ii 'module'
- iii '*examination script*'
- iv 'coursework'
- v 'Partner Organisation/Organisation'
- vi 'Principal'
- vii 'Examinations Officer'
- viii 'Invigilator'
- ix 'Invigilator in Charge'
- x 'Academic Conduct Officer'
- xi 'Assistant Registrar'
- xii 'School'
- xiii 'Assistant Registrar (Student Administration – Collaborative Partnerships)'  
(AR(SA-CP))
- xiv 'School Administration Manager'

#### **4 GENERAL RESPONSIBILITIES OF THE UNIVERSITY DELEGATED TO THE ORGANISATION**

##### **4.3 Organisational role of the 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**
- 5.2 **Publication and use of Grading Criteria**
- 5.3 **Submission of coursework**
- 5.4 **Marking of student work**
- 5.5 **Internal moderation and University moderation of marked student work**
- 5.6 ***Checking for errors in examination and coursework marking***
- 5.7 **External Examiners**
- 5.8 **Return of marked student work**
- 5.9 **Provision of feedback on examinations**

**6 REGULATIONS AND PROCEDURES RELATING TO THE INVIGILATION OF EXAMINATIONS AND ASSESSMENTS**

- 6.1 General regulations
- 6.1.1 Scope
- 6.1.2 Ratio of Invigilators to candidates
- 6.1.3 Role and responsibilities of Invigilators
- 6.2 The Organisation's Invigilators
- 6.3 Invigilation of other kinds of examinations and assessments
  - 6.3.1 General regulations

**7 REGULATIONS AND PROCEDURES RELATING TO EXAMINATIONS SUPERVISED BY THE EXAMINATIONS OFFICER**

- 7.1 Scheduling of examinations (including referred/deferred examinations)
- 7.2 Setting and moderation of examination papers - roles and responsibilities within Organisations
  - 7.2.1 Principals
  - 7.2.2 Module Leaders
  - 7.2.3 Internal Moderator
  - 7.2.4 Copy Editor
- 7.3 Preparation of examination papers
- 7.3.1 General regulations and procedures
- 7.3.3 Format of examination papers
- 7.4 Submission of completed examination papers to the Examinations Officer
- 7.4.2 Deadline for the submission of completed examination papers
- 7.4.3 Late submission of examination papers
- 7.5 Reproduction of papers for the examination and provision of examination stationery
- 7.6 The process of examination
  - 7.6.1 Role and responsibilities of the Invigilator
  - 7.6.2 Role and responsibilities of Module Leaders
  - 7.6.3 Role and responsibilities of the Examinations Officer
  - 7.6.4 Procedure in the event of an emergency during the examination
  - 7.6.5 Regulations and procedures relating to unsafe examinations
  - 7.6.6 Procedure in the event of a major disturbance
- 7.7 Collection of examination scripts from the Examinations Officer following the examination
- 7.8 Marking of examination scripts
- 7.9 Storage and archiving of examination scripts

**8 REGULATIONS AND PROCEDURES RELATING TO SUSPECTED ASSESSMENT AND EXAMINATION OFFENCES**

- 8.1 General regulations
- 8.2 Suspected offences which occur in the examination room
  - 8.2.1 Unauthorised material
  - 8.2.2 Other offences
- 8.3 Suspected offences identified during marking
- 8.4 Suspected coursework assessment offences

**9 CONSIDERATION OF RESULTS BY BOARDS OF EXAMINERS**

- 9.1 General
- 9.2 Clerks to Boards of Examiners (Module and Programme)
- 9.3 Absence of an External Examiner from a Board of Examiners meeting
- 9.4 Module Boards of Examiners
  - 9.4.2 Role and responsibilities of Module External Examiners
  - 9.4.3 Generation and approval of the final version of the E9 form within the School

- 9.5      **Programme Boards of Examiners**
  - 9.5.1    **General regulations**
  - 9.5.2    **Preparations for a Programme Board of Examiners meeting**
  - 9.5.3    **During the Programme Board of Examiners meeting**
  - 9.5.4    **Following the Programme Board of Examiners meeting**
- 10       **PUBLICATION OF RESULTS**
  - 10.1     **General regulations and procedures**
  - 10.1.2   **Lists of referrals/deferrals and failures**
  - 10.1.3   **Notification of results to candidates**
  - 10.1.4   **Publication of Award Pass Lists**
  - 10.1.5   **Issuing of Transcripts from the University's Student Record System**
  - 10.1.6   **Transcripts which cannot be produced from the University's Student Record System**
  - 10.1.7   **Data Protection and the disclosure of marks/results**
  - 10.2     **Prizes**
- 11       **QUERIES ABOUT RECOMMENDATIONS OR DECISIONS ON ASSESSMENT, PROGRESSION AND AWARDS (INCLUDING APPEALS)**
- 12       **THE CONFERMENT AND CERTIFICATION OF AWARDS**
  - 12.1     **Conferment of Awards**
  - 12.1.2   **Date of conferment (date from which awards are effective)**
  - 12.2     **Certificates and duplicate award certificates**
    - 12.2.1   **Certificates**
    - 12.2.2   **Format of certificates**
    - 12.2.3   **Duplicate certificates**
- 13       **CEREMONIES FOR THE PRESENTATION OF DEGREES AND DIPLOMAS**
- 13.1     **General regulations**

---

## 1      INTRODUCTION

- 1.1      The regulations, procedures and guidelines set out in this document have been approved by the Academic Board for the Academic Year 2017-2018<sup>1</sup>. They use the terminology set out in UPR GV08<sup>2</sup>.
- 1.2      With the exception of examinations and assessments deferred or referred from the Academic Year 2016-2017, 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 2017 at Partner Organisations.
- 1.3      This document should be read in conjunction with UPR AS11<sup>3</sup>; UPR AS14<sup>4</sup>; individual programme regulations; where applicable, the regulations of external validating bodies and UPR SA03<sup>5</sup>/UPR SA02<sup>6</sup>.

---

<sup>1</sup>      **Academic Board Minutes:** 625.4, 17 June 98; 731.3, 15 March 2000; 789 and 795.2, 14 March 2001; 861.3, 6 March 2002; 943.4, 5 March 2003; 62, 10 March 2004; 139.5, 9 March 2005; 241.2.7, 1 March 2006; 400, 13 June 2007; 455, 12 March 2008; 560.7, 11 March 2009; 586.2.3, 10 June 2009; 9, 16 March 2011; 52.3, 15 June 2011, 123.5, 14 March 12; 159.7, 20 June 12; 195, 19 July 2012; 282.4, 19 June 2013; 359, 12 March 2014; 402, 25 June 2014; 480, 11 March 2015; 512, 24 June 2015; 621, 22 June 2016; 724 21 June 2017, refer.

<sup>2</sup>      UPR GV08 'Glossary of Approved University Terminology'

<sup>3</sup>      UPR AS11 'Schedule of Awards'

<sup>4</sup>      UPR AS14 'Structure and Assessment Regulations – Undergraduate and Taught Postgraduate Programmes'

<sup>5</sup>      UPR SA03 'Admissions - Undergraduate and Taught Postgraduate Students'

## 2 SCOPE

- 2.1 All members of staff, candidates 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 expects that the principles embodied in these regulations will be 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. 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) (UPR GV08<sup>2</sup>, refers);

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 shall include, but is not limited to, all essays, assignments, tests, projects, dissertations, practical work, performance, placement or field trip reports, designs, theses, artefacts, presentations, candidate-led seminars and exhibitions;

v **'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;

---

6

UPR SA02 'Admissions - Research Students'

- 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;
- x   **'Academic Conduct Officer':**  
the individual identified by the Principal to investigate suspected cases of cheating, plagiarism and other Academic Misconduct/Assessment Offences, as set out in UPR AS14<sup>4</sup> and those of the Academic Conduct Officer set out in these regulations;
- xi   **'Assistant Registrar':**  
the University's Assistant Registrar (Exams and Awards);
- 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 candidates registered on collaborative programmes;
- xiv   **'School Administration Manager':**  
the appropriate School Administration Manager (or equivalent) at the University or an individual within a University School who has been nominated by the School Administration Manager to be responsible for administrative tasks relating to the assessment of candidates in Organisations.

## 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 candidates are advised to read the '*Instructions for Exam Candidates*' which are published on StudyNet by the Assistant Registrar (Exams and Awards);
- ii in a timely manner, all candidates 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 candidates 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 (UPR RE01<sup>7</sup>, refers);
- iii at the start of each academic session,
  - a candidates are notified of the make and model of the calculator approved by the Organisation;
  - b each candidate is given a printout ('List of Assessed Modules'), produced by the University or a similar document produced by the Organisation listing his or her current programme and module registration details in full.

### 4.3 Organisational role of the Examinations Officer

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

---

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

## 5 REGULATIONS AND PROCEDURES RELATING TO THE SETTING, REVIEW, SUBMISSION, MARKING AND MODERATION OF EXAMINATIONS AND ASSESSMENTS

The University's regulations and procedures relating to the setting, review, submission, marking and moderation of examinations and coursework reflect the good practice principles set down in the expectation and indicators contained in Chapter B6 of the UK Quality Code for Higher Education.

### 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 cheating or plagiarism 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.
- 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 AS14<sup>4</sup>;
  - iii relevant Grading Criteria should be available for all assessments that students on the programme will encounter;

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

<http://www.studyNet2.herts.ac.uk/intranet/lti.nsf/Teaching+Documents?Openview&count=9999&restricttocategory=Strategy+and+Policy/Grading+Criteria>

### 5.3 Submission of coursework

- 5.3.1 Applications for coursework extensions are approved by the School with academic responsibility for the module concerned (see, section 4, i, c and d, Appendix I, UPR AS13<sup>8</sup>). If an extension is granted, the revised hand-in date is taken as the deadline for the coursework.

### 5.4 Marking of student work

- 5.4.1 All examination scripts should be marked 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.
- 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/marking 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.

<sup>8</sup> Appendix I, UPR AS13 'Assessments and Examinations – Regulations for Candidates (Including Requests for the Review of Examination Decisions (Appeals Procedure)) (Partner Organisation-Delivered Provision)'

- 5.5.3 Staff undertaking moderation 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 StudyNet site.

## 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;
- ii the External Examiner has reviewed the referred/deferred assessments prior to their use;
- iii all marginally-failed referred/deferred student work is internally moderated or blind double marked, as appropriate (see section D1.1, UPR AS14<sup>4</sup>, for the definition of a marginal fail grade);
- 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 expiration of the four (4) week period. For work of an ongoing 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**

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 candidates

- i One (1) Invigilator is required for each room in which up to **35** candidates are to sit an examination.
- ii Where more than **35** candidates are to be examined in a room, an additional Invigilator must be present for each additional **35** candidates (or part thereof).
- iii 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 candidates 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 (Appendix III, UPR AS13<sup>9</sup>, refers)

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;
- 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.

<sup>9</sup> Appendix III, UPR AS13 'Invigilators – Role and Responsibilities (Partner Organisation-Delivered Provision)'

- 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 candidate 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, candidates 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 him or her.

### 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 (section 7.2.2 and 7.2.3, refer).
- 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 candidate; (where required, the second examination paper will be used as the examination paper for the referred/deferred examination. Should the second paper not be required, it may be used, where appropriate, when the module is next examined.)
- c where this is normal practice, preparing outline or model solutions;
- d preparing marking schedules;
- e checking the questions and the solutions for those examination papers for which they are responsible prior to their being sent to the External Examiner(s);
- f making any changes that have been agreed with the External Examiner(s);
- g correcting all proofs and signing the front of the examination envelope, thereby confirming the completeness and accuracy of the examination paper which it contains (section 7.4.4, refers).

**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 (Section E2, UPR AS14<sup>4</sup>, refers).

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 shall 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 (section 7.2.5, i, refers).

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 (section 7.2.2, ii, refers)); 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 (section 7.2.1, refers) 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 (section 7.4.2, refers), a written report must be made to the Assistant Registrar (Student Administration – Collaborative Partnerships) stating the reason for the delay and notifying him or her 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 candidates.

## **7.6 The process of examination**

### **7.6.1 Role and responsibilities of the Invigilator**

In general terms, it is the responsibility of the Invigilator to ensure, as far as is reasonably practicable, that at all times during examination candidates comply with the regulations set out in this document (UPR 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 candidates) 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 candidate is being examined separately) notify the Examinations Officer in advance of those examinations, of the arrangements that he or she (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 candidates are present in the examination room.

### **7.6.4 Procedure in the event of an emergency during the examination**

- i Candidates:

will be required to comply with the regulations and procedures set out in section 3.4, Appendix I, UPR AS13<sup>8</sup>.

- ii The Invigilator will:

- a ask all candidates to leave the examination room unless he or she is 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 candidates and keep them all together in a group;
- e remind candidates that they must not talk;
- f unless given instructions to the contrary by the Examinations Officer (section 7.6.5, refers), 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 candidates are to be permitted (section 7.6.5, refers).

- iv The Invigilator in Charge will:

inform the candidates 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 (section 7.6.4, refers), 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 candidates 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 candidate has recorded an incorrect or incomplete Exam Number on his or her examination script, members of staff will ensure that candidates' 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 candidates' marks onto a mark sheet, as approved by the Organisation;
- iv passing the completed mark sheet (7.8.2, iii, refers) and the marked examination scripts (section 7.8.2, ii, refers) to the administrator responsible for the module by the deadline specified in the schedule published by the Examinations Officer (section 7.2.5, refers).

**7.9 Storage and archiving of examination scripts**

Examination scripts will not be returned to candidates and will be retained by the Organisation in accordance with the regulations and procedures set out in UPR IM11<sup>10</sup>.

---

<sup>10</sup> UPR IM11 'Records Management and the Archiving and Retention of Prime Documents and Business Records'

## 8 REGULATIONS AND PROCEDURES RELATING TO SUSPECTED ASSESSMENT AND EXAMINATION OFFENCES

### 8.1 General regulations

- 8.1.1 Cheating, plagiarism and collusion are defined in Appendix I, UPR AS13<sup>8</sup>. This document also sets out a range of other offences which the University will normally regard as Academic Misconduct/Assessment Offences.
- 8.1.2 Allegations of cheating, plagiarism, collusion and other Assessment Offences will be investigated in accordance with the procedures set out in section Appendix III, UPR AS14<sup>11</sup>. 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 AS14<sup>11</sup>.

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

#### 8.2.1 Unauthorised material

- i Where an Invigilator has reasonable grounds to suspect that a candidate is in possession of unauthorised material during an examination, he or she has the right to confiscate the material immediately.
- ii The Invigilator will contact the Examinations Officer (or his or her representative) immediately to report the alleged offence.
- iii The candidate will normally be allowed to continue with the examination without prejudice to any subsequent decision of the Module Board of Examiners.
- iv The candidate will be informed at the end of the examination, normally by the Examinations Officer (or nominee), that a report of the incident will be submitted to the Academic Conduct Officer (Appendix III, UPR AS14<sup>11</sup>, refers).
- 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 Chairman 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 shall endorse the piece of work on the front cover with a note identifying the nature of the suspected examination offence and, where relevant, the location of any passages which he or she suspects are plagiarised or the result of collusion.

---

<sup>11</sup> UPR AS14, Appendix III ‘Assessment Offences’

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 AS11<sup>3</sup> and UPR AS14<sup>4</sup>.

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

The role and responsibilities of Clerks to Boards of Examiners are fully described in Appendix II, UPR AS14<sup>12</sup>.

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

9.3.1 Where, in exceptional circumstances, a Module External Examiner is unable to be present at a Module Board of Examiners meeting, he or she must be asked to complete a form E9a following the meeting, to provide written confirmation of his or her concurrence with the recommendations of the Board prior to the publication of results to students (see section E3.2, UPR AS14<sup>4</sup>).

9.3.2 Where, in exceptional circumstances, a Programme External Examiner is unable to be present at a Programme Board of Examiners meeting, he or she must be asked to complete a form E10a following the meeting, to provide written confirmation of his or her concurrence with the recommendations of the Board prior to the publication of Award Pass Lists (see section E2.3, UPR AS14<sup>4</sup>).

### 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) (section 7.8.2, iv, refers);
- 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 (section E, AS14<sup>5</sup>, refers).

---

<sup>12</sup> UPR AS14 · Appendix II 'Clerks to Boards of Examiners'

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

- 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 Chairman 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 Chairman 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 Chairman 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 candidates' names
  - a The names of the candidates on the Award Pass List (section 9.5.4, i, refers) must be identical to those by which candidates 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 candidate.
  - c Any changes of name, for example, as a result of a change in marital status, must be notified by the candidate 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 him or her with the confirmatory legal evidence. Candidates cannot alter their names unless this is as a result of a process that is recognised in law, such as a marriage or deed poll. It should be noted that, although a marriage certificate is legal proof of a change to an individual's family name, it is not legal proof of any change to his or her 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 his or her request in the first instance to the Head of Admissions and Student Records.
  - f A candidate must have in his or her 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 Candidates who will be considered by the Board
- Only the 'Programme Board of Examiners Report' will be used to identify candidates who are eligible for an award.
- iii 'Programme Boards of Examiners Reports'
- 'Programme Boards of Examiners Reports' will be generated 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 (section 9.5.3, refers) is a prime document as defined in FR06<sup>13</sup> and must be filed with the minutes of the Board and the original version of the Award Conferment Recommendation Form (Form E10) which has been signed by the External Examiner(s) (section 9.5.4, vi, d, refers).
- v Absence of an External Examiner from a Board meeting  
(section 9.3, refers)

#### **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 (sections 9.5.1, iii and 9.5.2, iii refer).

---

<sup>13</sup> UPR FR06 'Corporate Governance and Financial Regulations'

iii Format of a Programme Board of Examiners Report

Each report will:

list the candidates, 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 candidates who are listed there (section 9.5.1, iii and iv, refers). 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 candidates 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 candidate's programme of study (for example, Master's Degree, Bachelor's Degree with Honours, Foundation Degree) unless: the candidate decides to finish studying at an intermediate stage of his or her programme or the candidate has reached his or her 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 AS11<sup>3</sup>.

iv Format and content of Award Pass Lists

Award Pass Lists will conform to the following requirements:

- a candidates must be listed either in alphabetical, course instance or award order;
- b the candidate's full name, as recorded on the 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.

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

## 10 PUBLICATION OF RESULTS

(Section C3.6, UPR AS14<sup>4</sup>, refers.)

### 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 (section 9.5.1, iii, refers).

### 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 candidates**

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 candidate who is not exiting the University with an award is issued results electronically via the student portal, generated by the Student Record System. On request, a hard copy notification of results will be issued, which has been signed by the Chairman of the Programme Board of Examiners (or nominee).

(Section C3.6, UPR AS14<sup>14</sup>, 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 Chairman 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 (section 3.2, Appendix II, UPR AS14<sup>14</sup>, refers). Section 9.5.3 formally designates the annotated Programme Board of Examiners Report as an appendix to the minutes of the meeting to which it relates. The original Award Pass List is also an important record of the business of the Board. Although it does not form part of the minutes of the meeting, it too should be placed in the Minute Book to ensure that it is readily available for scrutiny.)

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

#### 10.1.5 **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 candidate 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 has been signed by the Chairman of the Programme Board of Examiners (or nominee), which must be provided in compliance with European Commission regulations relating to the Diploma Supplement;

---

<sup>14</sup>

Appendix II, UPR AS14 'Clerks to Boards of Examiners – Role and Responsibilities'

- iii 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 his or her registration;
  - c all elements of study undertaken, their level, the date of their completion and the grades achieved (including fail grades);
  - d the number of credit points awarded for each element of study that the candidate has completed successfully;
  - e any awards for which the candidate has satisfied the criteria;
  - f for each element, the language in which study and assessment was undertaken;
  - g the location of study.
- iii the Transcript is accompanied by required supplementary information, available from the Academic Registrar (or nominee), which must be provided in compliance with European Commission regulations relating to the Diploma Supplement.

University Transcript paper, bearing the signature of the Vice-Chancellor, may be obtained from 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 1998 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**

(Appendix IV, UPR AS13<sup>15</sup>, refers.)

<sup>15</sup>

Appendix IV UPR AS13 'Prizes'

**11 QUERIES ABOUT RECOMMENDATIONS OR DECISIONS ON ASSESSMENT,  
PROGRESSION AND AWARDS (INCLUDING APPEALS)**

The Principal will ensure that the Organisation formulates appropriate procedures whereby candidates may raise queries concerning recommendations or decisions on assessment, progression and awards (including appeals procedures) and that these are published to students (see section 5, Appendix I, UPR AS13<sup>8</sup>,).

**12 THE CONFERMENT AND CERTIFICATION OF AWARDS**

**12.1 Conferment of Awards**

12.1.1 The Assistant Registrar (Academic Services) will:

- i check all conferred awards and the associated E10 (or E10a) form to ensure that the External Examiner(s) was/were present at the Programme Board of Examiners meeting where the recommendation for the award was made or that the External Examiner(s) has/have concurred with the recommendations of the Board (section 9.3 refers);
- 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 candidate fulfilled any conditions for the award that were imposed by the Programme Board of Examiners.

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

**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 Assistant Registrar (Exams and Awards).
- ii Certificates for Supervised Work Experience for sandwich degrees will be prepared by the Assistant Registrar (Student Administration – Collaborative Partnerships) and signed by the Chairman of the appropriate Board of Examiners. The Assistant Registrar (Student Administration – Collaborative Partnerships) will ensure that the certificates are provided to the Assistant Registrar (Exams and Awards) 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 (section 12.2.2, ii, refers).
- iv Where the award is achieved after a candidate 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 Duplicate 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 be a facsimile 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 Assistant Registrar (Exams and Awards). The applicant must, in addition, provide the Assistant Registrar (Exams and Awards) 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 he or she 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,
- iv or
- v a Banker's Draft in sterling for the prescribed fee, to be drawn against an account with a bank in the United Kingdom.

### **13 AWARDS 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 awards 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 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.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

**ASSESSMENTS AND EXAMINATIONS - REGULATIONS FOR CANDIDATES (INCLUDING REQUESTS FOR THE REVIEW OF EXAMINATION DECISIONS (APPEALS PROCEDURE)) (PARTNER ORGANISATION-DELIVERED PROVISION)**

**SUMMARY OF PRINCIPAL CHANGES**

<b>General changes</b>	
None	
<b>Section</b>	
2.1.1, d	see text
3.4	see text
3.6, 1, c	see text

(Amendments to version **09.0** Appendix I, UPR AS13 are shown in *italics*.)

**Structure**

**1 PREPARATIONS FOR EXAMINATIONS AND ASSESSMENTS**

- 1.3 Candidates who are debtors of the Organisation
- 1.4 Failure to attend an examination and/or to submit coursework
- 1.5 List of Assessed Modules
- 1.6 Exam Numbers

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

- 2.1 Definitions
- 2.2 Offences

**3 EXAMINATIONS**

**3.1 Attendance**

- ii Late arrival at an examination
- iii Verification of identity
- iv Personal property
- v Candidates' attire

**3.2 Permitted or required aids and special equipment in examinations**

- i Calculators
- ii Dictionaries

**3.3 Conduct of candidates during the examination**

- ii Leaving the examination room during the course of 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 General principles
  - 5.3 Permitted grounds for a request for the review of an assessment decision
  - 5.3.2 Serious Adverse Circumstances
  - 5.4 Representations to the Vice-Chancellor
  - 5.4.2 Guidance
  - 5.4.9 Examinations Appeal Panel
    - iii Student's Adviser
  - 5.5 The Academic Board
  - 5.6 Vice-Chancellor
  - 5.7 Further representations
- 

## 1 PREPARATIONS FOR EXAMINATIONS AND ASSESSMENTS

- 1.1 Candidates are personally responsible for familiarising themselves and complying with all of the following:
  - i the regulations and procedures set out in this document (Appendix I, UPR AS13);
  - ii UPR AS11<sup>1</sup> and the assessment regulations which relate to the programmes on which they are enrolled;
  - iii the University's regulations relating to cheating, plagiarism, collusion and other Academic Misconduct/Assessment Offences (section 2, refers);
  - iv the regulations and procedures that apply in cases of Serious Adverse Circumstances (UPR AS14<sup>2</sup>, refers);
  - v Appendix II, UPR AS13<sup>3</sup>.
- 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 the Organisation's official student identity card;
  - iv by the deadline published by the Examinations Officer, to inform him or her (the Examinations Officer), in writing, of religious observance/belief dates during examination periods which proscribe the taking of examinations;
  - v through the Examinations Officer, to notify the Chairman of the Module Board(s) prior to the meeting, in writing, of any 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 AS14<sup>2</sup>, refers);

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

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

<sup>3</sup> UPR AS13, Appendix II 'Assessments and Examinations – Candidates with Additional Needs (Partner Organisation-Delivered Provision)'

- 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 Assistant Registrar (Student Administration – Collaborative Partnerships), via the Examinations Officer, of any changes of name, for example, as a result of a change in marital status (UPR AS13<sup>4</sup>, 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 RE01<sup>5</sup>).

### **1.3 Candidates who are debtors of the Organisation**

Candidates who are debtors of the Organisation 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 should fail 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 retain copies of the assignments making a contribution to overall assessments of the module.

### **1.5 List of Assessed Modules**

- i Each candidate will be provided with a list of modules for assessment, generated either by the University or by the Partner Organisation, listing his or her current programme registration details in full.

(Lists produced by the University will incorporate Exam Numbers. However, Organisations which are responsible for generating their own lists may have different arrangements for providing candidates with their Exam Numbers.)

- ii Candidates must:

- a check this list and
- b sign it to signify that the list of modules is correct and complete and
- c return it by the deadline published by the Assistant Registrar (Student Administration – Collaborative Partnerships).

(These deadlines will be strictly enforced and failure to submit a signed form may result in a candidate being barred from sitting examinations.)

Receipt of the signed form by the Examinations Officer registers a candidate for written examinations/other forms of assessment associated with those elements of his or her programme listed on the printout.

- iii Where the list of modules is incorrect, it is the candidate's responsibility to notify the Examinations Officer by the published deadline so that appropriate amendments can be made. The Examinations Officer will notify the Assistant Registrar (Student Administration – Collaborative Partnerships) of these amendments.

---

<sup>4</sup> UPR AS13 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (Partner Organisation-Delivered Provision)'

<sup>5</sup> 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 by the Organisation.
- 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 AS14<sup>2</sup>, 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 AS14<sup>6</sup>. 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 AS14<sup>6</sup> or where the allegation is treated as a disciplinary matter, the University may, in addition, impose penalties under the provisions of Appendix I, UPR SA13<sup>7</sup>/Appendix I, UPR SA15<sup>8</sup>.

### **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 official student 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.

---

<sup>6</sup> UPR AS14, Appendix III 'Academic Offences'  
<sup>7</sup> Appendix I, UPR SA13 *University Schedule of Sanctions and Penalties for Academic and Non-Academic Disciplinary Offences'*

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

- b Candidates will ensure that mobile telephones have been switched off or have been set to 'silent', with the alarm de-activated 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 Examinations 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 Examinations Officer.
  - 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 calculator approved by the Organisation.

- a Candidates may use their own Organisation approved calculators for any examination which allows their use. Other than in the circumstances set out in 3.2, i, b, no other calculator 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 unless this has been agreed otherwise in the Memorandum of Agreement.)

- 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 (dictionaries other than English dictionaries) is not permitted.

### 3.3 Conduct of candidates during the examination

- i Candidates must not:
- a smoke in the examination room;
  - b bring food or drinks (other than small, clear, unlabelled bottles of still water) into the examination room;
  - c bring into the examination room any item which may cause a disturbance to others, for example, an audible alarm watch;
  - d read or otherwise apprise themselves of the work of other candidates whilst in the examination room;
  - e communicate with any person during the examination other than the Invigilator or the Internal Examiner if the Internal Examiner is in attendance;
  - f 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;
  - g 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.

**(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 or other appropriate evidence 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 of the Serious Adverse Circumstances which have necessitated his or her leaving the examination who will, in turn, ensure that the Examinations Officer (or nominee) 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.)

- 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 Examinations Officer to decide whether or not action can or should be taken.)

### **3.4 Conduct of candidates in the event of an emergency**

(Sections 7.6.4 and 7.6.5, UPR AS13<sup>4</sup>, 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 candidates are to be permitted.)

### **3.5 Writing the examination**

Each candidate must:

- a unless otherwise instructed, 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 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 the 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 answer book 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**

Candidates are required to comply with the regulations and procedures for the conduct of examinations involving the use of computers which have been published by the Principal.

## **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 or the Organisation'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 regulations<sup>9</sup>**

5.1.1 These procedures will be followed in cases where:

- i** a candidate or a member of 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 AS14<sup>6</sup>, 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 Such queries (section 5.1.1, refers) will be dealt with under the procedures that operate within the Partner Organisation.

---

<sup>9</sup> 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.

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

## 5.2 General principles

- 5.2.1 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.
- 5.2.2 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 5.3, refers).
- 5.2.3 At all stages of these procedures the powers of the Principal and the Vice-Chancellor are limited to the referral of a case back to a Module or Programme Board of Examiners for reconsideration, where they are satisfied that this is a justifiable course of action.
- 5.2.4 A Short Course/Module or Programme Board of Examiners 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 AS14<sup>2</sup> (section 5.5 of this document also refers).
- 5.2.5 With limited exceptions, all written materials considered by the Principal (or nominee) or the Vice-Chancellor in their respective deliberations under this policy will be provided to the candidate.

## 5.3 Permitted grounds for a request for the review of an assessment decision

- 5.3.1 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 5.3.2, 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 AS14<sup>2</sup>, 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 5.3.2, 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.

### **5.3.2 Serious Adverse Circumstances**

- i Where it is believed that there are Serious Adverse Circumstances which should be drawn to the attention of the Short Course/Module Boards of Examiners, it is the responsibility of the candidate to notify the Chairman of the appropriate Short Course/Module Boards of Examiners, in writing, through the Examinations Officer 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.
- ii The Examinations Officer will provide this information and the supporting evidence submitted by the candidate by FAX or e-mail, where practicable, to the Clerk to the Short Course/Module Board of Examiners not later than five (**5**) working days before the meeting of the Module Board (Section 1.2, v, refers).

### **5.4 Representations to the Vice-Chancellor**

**5.4.1** Once the procedures of the Partner Organisation have been exhausted and in the event that either:

- i the decision of a Module or Programme Board of Examiners remains unchanged after the request has been referred to it by the Principal or
- ii a candidate has had his or her request dismissed by the Principal,

then a candidate may, in limited circumstances, make representations to the Vice-Chancellor of the University, 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 Principal 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 Principal.

### **5.4.2 Guidance**

Before making such a submission to the Vice-Chancellor the candidate is strongly advised to seek guidance from the member of staff nominated for this purpose by the Principal, who may further consult appropriate colleagues within the Organisation.

**5.4.3** If, having obtained appropriate guidance, the candidate wishes to pursue the matter, he or she must notify the Vice-Chancellor, in writing, within ten (**10**) working days of the date of written notification from the Principal that his or her request has been dismissed, that he or she wishes the decision of the Module or Programme Board of Examiners to be reviewed.

The written request must be supported by a statement detailing the grounds upon which a review is being sought, together with any relevant documentary evidence.

#### **(Note for guidance:**

It should be noted that the date referred to in section 5.4.3 relates to the date of the written notification from the Principal and not to the date of its receipt.)

- 5.4.4 The correct address for lodging of the written notification and supporting statement required under the terms of section 5.4.3 is:

Vice-Chancellor, University of Hertfordshire, College Lane, Hatfield, Herts AL10 9AB.

The written notification may, in the first instance, be sent by FAX, addressed to the Vice-Chancellor for which the number is: 01707 284115; in which case the candidate must also send the original of the notification and the supporting statement to the Vice-Chancellor, by post, to the above address.

- 5.4.5 The Vice-Chancellor will advise the Principal, the Chairman of the Module or Programme Board of Examiners, the Dean of Students and the Secretary and Registrar that he or she has received the request for a review and will provide each of them with a copy of the outline statement, as submitted to him or her, of the case for requesting a review.
- 5.4.6 The Vice-Chancellor may direct that an investigation is made by an Investigating Officer into the request for review and may seek further information.
- 5.4.7 The Investigating Officer (normally the Dean of Students) will inform the Assistant Registrar (Student Administration – Collaborative Partnerships) that an appeal is pending and of the outcome when the final decision is reached.
- 5.4.8 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 5.4.1 apply and not on a consideration which questions the academic judgement of the Module or Programme Board of Examiners (section 5.4.1 refers). 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 5.4.11 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 5.4.11 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.

5.4.9 **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 appellant, 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 5.4.9, 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 5.4.9, 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.
- 5.4.10 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 or require the Short Course/Module or Programme Board of Examiners to review the case in view of any exceptional circumstances.
- 5.4.11 The Vice-Chancellor's decision is final and will be communicated to the appellant 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 candidate 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.

- 5.4.12 At all times it has to be appreciated that the powers of the Principal and the Vice-Chancellor are limited to the referral of a case back to a Board of Examiners for reconsideration, if they are 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 B4, UPR AS14<sup>2</sup>.

## **5.5 The Academic Board**

- 5.5.1 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 temporarily<sup>10</sup>.
- 5.5.2 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.

## **5.6 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.

## **5.7 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 2017**

---

<sup>10</sup> Academic Board Minute: 725.3, 15 March 2000, refers.

## **ASSESSMENTS AND EXAMINATIONS - CANDIDATES WITH DISABILITIES OR OTHER ADDITIONAL NEEDS (PARTNER ORGANISATION-DELIVERED PROVISION)**

### **SUMMARY OF PRINCIPAL CHANGES**

<b>General changes</b>	
None	
<b>Section</b>	
None	

(Amendments to version **09.0**, Appendix II, UPR AS13 are shown in *italics*.)

### **1 PRINCIPLES, POLICIES AND GENERAL REGULATIONS**

- 1.1 The University of Hertfordshire is committed to ensuring that all students have equality of opportunity in assessment.
- 1.2 Reasonable adjustments will, therefore, be made to prevent a disabled person from being placed at a substantial disadvantage for a reason related to their disability and the Partner Organisation will use its best endeavours to make appropriate provision for candidates with other additional needs. These adjustments shall not be such that they impair either the validity of the assessment or examination or the standards of competence being assessed.
- 1.3 The Partner Organisation will anticipate the requirements of disabled candidates ensuring its practice is inclusive of the needs of disabled people and that there is flexibility in its policy and procedures to enable reasonable adjustments to be made for individuals where these could not have been anticipated.
- 1.4 Where reasonable adjustments have been made, a Short Course/Module Board of Examiners will not normally consider a candidate's disability or other additional needs in extenuation of poor performance.
- 1.5 The reasonable adjustments which might be made for disabled candidates or those with additional needs might include, but are not necessarily limited to, additional time for an examination or assessment; standard examination time with additional rest periods; a location, elsewhere in the Organisation, for the sitting of an examination other than the examination room; the completion of work other than in handwriting (including the use of a computer); the provision of the question paper in an alternative format; the employment of an amanuensis or reader and/or opportunities for students to complete assignments in alternative forms.
- 1.6 Where reasonable, the Partner Organisation will ask for medical or other appropriate evidence when considering reasonable adjustments for individual students. Any such evidence must be presented in English or be accompanied by a verified translation.

#### **(Note for guidance:**

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

- 1.7 The Partner Organisation will respond to requests for reasonable adjustments at any stage during a student's period of study and will actively promote procedures for agreeing support and adjustments.

## 2 IDENTIFYING AND MAKING REASONABLE ADJUSTMENTS TO EXAMINATION ARRANGEMENTS

### 2.1 Requests for special arrangements

2.1.1 Students must contact their Programme Leader at the earliest opportunity to agree special arrangements.

2.1.2 The Examinations Officer will publish information setting out relevant deadlines.

### 2.2 Requests from disabled candidates

2.2.1 The Programme Leader will determine the adjustments to be made for disabled candidates. He or she will discuss requests with the candidate concerned and will agree with the candidate the arrangements which are to be put in place. The agreed Study Needs Agreement operates for the entire period during which the candidate is enrolled on the programme but, where appropriate, the Programme Leader may agree to revise the Study Needs Agreement.

2.2.2 The Programme Leader is responsible for:

- i notifying the Examinations Officer not less than four (4) weeks prior to the first examination in the series, of the special arrangements agreed for each disabled student;
- ii informing the Assistant Registrar (Student Administration – Collaborative Partnerships) of the special arrangements which have been agreed;
- iii ensuring that information about agreed adjustments for disabled students is available to staff who need to know in order to carry out assessments and/or examinations outside of scheduled examination periods.

2.2.3 The Assistant Registrar (Student Administration – Collaborative Partnerships) will inform the Clerk to the Short Course/Module Board of Examiners who will ensure that the arrangements are notified to the Board.

(Section C3.8, UPR AS14<sup>1</sup>, 'Serious Adverse Circumstances', refers.)

### 2.3 Requests from candidates who are not disabled

Requests for special arrangements for reasons other than disability, such as pregnancy, will be made to the Programme Leader. Where special arrangements are agreed by the Programme Leader, the adjustments agreed will apply only to the examination session for which the adjustments were requested. Further, separate, requests must be made in respect of any future examination session.

### 2.4 Late requests for adjustments

2.4.1 Any requests for adjustments to examination arrangements made after the published deadlines must be referred via the Programme Leader to the Examinations Officer for consideration. It should be noted that it may not be possible to accommodate such requests.

---

<sup>1</sup> UPR AS14 'Structure and Assessment Regulations – Undergraduate and Taught Postgraduate Programmes'

2.4.2 Where a student believes his or her performance during an examination would be impaired because his or her request for adjustments could not be met, the student should not submit or sit the relevant assessment. In these circumstances it is the student's personal responsibility to seek validation of Serious Adverse Circumstances from his or her Programme Leader and then to notify the Chairman of the Module Board of Examiners, in writing, in accordance with the requirements of section C2.8, UPR AS14<sup>1</sup>, 'Serious Adverse Circumstances'.

**2.5 Rooms and invigilation**

Candidates will start the examination at the same time as all other candidates but will remain in the examination room for the additional period of time which has been permitted.

**2.6 Amanuenses, readers and special Invigilators**

- 2.6.1 The Examinations Officer will ensure that appropriate procedures are in place for obtaining the services of amanuenses, readers and special Invigilators and, in doing so, will comply with University regulations. Guidance and information on procedures is available from the Assistant Registrar (Student Administration – Collaborative Partnerships).
- 2.6.2 An amanuensis or reader or special Invigilator should have no professional or personal relationship with the candidate. If such a person cannot be found, an independent (additional) Invigilator must also be appointed to oversee the examination.
- 2.6.3 When the use of an amanuensis, reader or special Invigilator is agreed, both the candidate and the person taking on the role must be given a copy of any relevant guidelines. These may be obtained from the Assistant Registrar (Student Administration – Collaborative Partnerships) and must be read in conjunction with these regulations.
- 2.6.4 Other than in the circumstances where an independent (additional) Invigilator will have been appointed (section 2.6.2 refers), the amanuensis, reader or special Invigilator is responsible for invigilating the examination and will do so strictly in accordance with University regulations.
- 2.6.5 Amanuenses and readers will ensure that their conversation with candidates during the examination is not inappropriate and must not allow candidates to consult with them in any way about their answers nor advise the candidate in any way.

**2.7 Marking**

There will be no additional allowance for disability in the marking of examination scripts and Short Course/Module Boards of Examiners will assess the performance of all candidates on an equal basis.

**3 TIME CONSTRAINED IN-COURSE/MODULE ASSESSMENTS**

- 3.1 Partner Organisations will make reasonable adjustments for individual disabled students in relation to time constrained in-course/module assessments, including, but not restricted to, in-class written assessments, presentations, Electronic Voting Systems, practical assessments, Objective Structured Clinical Examinations (OSCEs) and viva voce examinations.
- 3.2 Reasonable adjustments will be agreed for disabled students by their Programme Leaders. The Partner Organisation remains responsible for making the adjustments, including the provision of resources, identifying rooms and allocating staff to manage and invigilate assessments.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## **INVIGILATORS - ROLE AND RESPONSIBILITIES (PARTNER ORGANISATION-DELIVERED PROVISION)**

### **SUMMARY OF PRINCIPAL CHANGES**

<b>General changes</b>	
None	
<b>General</b>	
1.1	see text
1.2, iv, vi, vii, xii, xvi, xix and xxi	see text

(Amendments to version **09.0** Appendix III, UPR SA13 are shown in *italics*.)

### **1 GENERAL RESPONSIBILITIES**

- 1.1 All Invigilators, whether members of the Panel of Invigilators or members of the Organisation's staff, are responsible for ensuring that the examination for which they are appointed runs smoothly and is conducted in accordance with University regulations (UPR AS13<sup>1</sup>, refers).

From the time that the Invigilator arrives in the examination room until the Invigilator has fulfilled all of his or her duties (section 1.2, refers), the Invigilator shall not leave the examination room *nor leave question papers unattended* unless a second Invigilator or temporary substitute is present.

Invigilators will ensure that the University's regulations for the invigilation of examinations and assessments are observed at all times (section 6, UPR AS13<sup>1</sup>, refers).

- 1.2 Invigilators will:

- i admit candidates registered for the module that is to be examined to the examination room at least **15** minutes before the start of the examination (in larger examination rooms, **30** minutes before the start of the examination);
- ii ensure that candidates:
  - a leave all bags, books and other personal property in a specified place and
  - b sit in the seat which has been allocated to them and
  - c place the required proof of identity on their desks;
- iii immediately refer candidates who are unable to present the required proof of identity to the Examinations Officer (or nominee) and, where the examination has already commenced and the candidate needs to leave the examination room to resolve this matter, ensure that he or she is escorted by an Invigilator or member of staff;
- iv ensure that each candidate signs the attendance register (*in the event of a candidate's absence an invigilator must write 'ABS' next to the student's name*);
- v endeavour to ensure that any restrictions specified in the rubric relating to examination aids, for example, module notes and calculators, are observed and refer any queries to the Internal Examiner (or nominee) and/or the Examinations Officer;

<sup>1</sup> UPR AS13 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (Non-UK Partner Organisations)'

- vi prior to the commencement of the examination, make all announcements *in accordance with the Invigilator Guidelines* and remind candidates to read the regulations relating to remaining silent, to raising a hand to call the Invigilator if they need any assistance and to stopping writing when instructed to do so by the Invigilator;
- vii ensure that the door to the examination room is closed at the time scheduled for the start of the examination *in accordance with the digital clock in the examination room* and that the examination commences as soon as possible thereafter;
- viii refuse entry to any candidate who arrives after the time scheduled for the start of the examination, irrespective of whether the examination has started;
- ix announce to the candidates and note in the Invigilator's Log the commencement time and the finishing time of the examination;
- x during the examination, give their undivided attention to the surveillance of candidates and position themselves at various locations within the room during the course of the examination so that they can observe the whole room;
- xi ensure that candidates do not take into the examination room any work, reading matter, food or drink (other than small, clear, unlabelled bottles of still water);
- xii not permit *but record in the Invigilator's Log if it happens, details concerning* any candidate who leaves the examination room during the first **40** minutes or during the last **20** minutes of the examination unless they have medical or other appropriate evidence to justify this absence;

**(Note for guidance:**

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

- xiii immediately refer any queries concerning the examination to the Examinations Officer;
- xiv take such measures as they deem appropriate for the immediate comfort of any candidate who becomes unwell during the examination, contacting the Examinations Officer if necessary; under no account leaving other candidates in the examination room unsupervised;
- xv ensure that candidates who need to visit the lavatory during an examination of more than two (**2**) hours' duration are escorted (only candidates with medical or other appropriate evidence may leave the examination room during the first **40** minutes or during the last **20** minutes of the examination, they must be escorted at all times);
- xvi immediately confiscate material and report the matter to the Examinations Officer *immediately* in cases where they have reason to believe that a candidate may be in breach of University regulations, in particular, if the Invigilator discovers a candidate with unauthorised material (the Examinations Officer will advise the Invigilator concerning immediate action which he or she (the Invigilator) is to take);

(The candidate will normally be allowed to continue with the examination but if the *suspected* candidate is expelled from the examination room he or she may not be re-admitted during that examination. The Invigilator will make a written report of the incident, by means of the Invigilator's Log and Exam Offence Log, to the Examinations Officer giving details of the alleged offence and any supporting evidence.)

- xvii note in the Invigilator's Log any incident which occurs during the examination which may have disturbed the candidates (such incidents would include, but are not limited to, excessive external noise);

- xviii following consultation with the Examinations Officer, require a candidate to leave the examination room where the candidate, either intentionally or unintentionally, causes disturbance to other candidates in the examination and make a written report of the incident in the Invigilator's Log;
- xix where a candidate suddenly becomes unwell during an examination and elects to leave without completing the examination *contact the Assistant Registrar immediately and make a written report of the incident in the Invigilator's Log, noting that the candidate's decision to leave on grounds of sudden ill-health;*
- xx ensure that the examination finishes at the correct time;
- xxi at the end of the examination, collect all examination scripts, check that candidates have written their correct Examination Number on them, have completed the front of their examination script and ensure that there is an examination script for each candidate in attendance *and that they are in exam number order.*

## 2 EXAMINATIONS INVOLVING THE USE OF COMPUTERS

Examinations involving the use of computers will be invigilated by appropriate members of the Partner Organisation's staff and will be conducted in accordance with the regulations and procedures published by the Principal (section 6.3.1, UPR AS13<sup>1</sup>, refers).

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**

## PRIZES (PARTNER ORGANISATION-DELIVERED PROVISION)

### SUMMARY OF PRINCIPAL CHANGES

General changes	
None	
General	
None	

(Amendments to version **09.0** Appendix IV, UPR SA13 are shown in *italics*.)

### 1 STATEMENT OF POLICY

The University supports the principle of giving prizes to students or, in some cases, to groups of students, in recognition of exceptional achievement.

### 2 UNIVERSITY PRIZES

- 2.1 University Prizes may be awarded at the discretion of a Programme Board of Examiners using criteria established by the appropriate Dean of School in consultation with the Chairman of the Programme Board and the Partner Organisation.
- 2.2 The University does not specify or limit the criteria for the awarding of prizes. However, each School or Partner Organisation must publish to students the criteria that are to apply.
- 2.3 Deans of School:
- i will ensure that within their respective Schools and with Partner Organisations, the University's policy on the awarding of prizes is operated fairly and consistently;.
  - ii should note that the processes whereby University prizes are awarded may be subject to audit and that the Auditors may require satisfactory evidence that prizes have been awarded in accordance with the agreed criteria.

### 2.4 Possible categories for University prizes

University prizes are most commonly awarded for the following reasons:

- i outstanding results overall;
- ii outstanding achievement in part of a programme, for example, best project, or within a particular classification band;
- iii achievement in exceptional circumstances;
- iv service to the community.

### 2.5 Administrative procedures relating to University prizes

- i The formula for calculating Schools' annual allocations of funds for prizes, and the form in which they will be awarded, will be determined by the School in consultation with the Partner Organisation.
- ii The citation for prizes must be brief but sufficiently precise to make clear the reason(s) for which the prize is being awarded. Where a prize is being awarded in recognition of a candidate's achievement in relation to a particular aspect of a certain programme, the citation will include the name of the programme (for example, 'for outstanding achievement in the final year of the Joint Honours Degree').

Other examples of reasons for which prizes might be awarded include:

- 'for personal achievement (with name of programme as appropriate)' or
- 'for the best project (with name of programme as appropriate)' or
- 'for outstanding progress on (with name of programme)'.

- iii Prizes for candidates' achievements in 'exceptional circumstances' should be given only exceptionally. The Principal (or nominee) will make recommendations to the appropriate Programme Board of Examiners concerning the awarding of such prizes and will provide appropriate supporting evidence for the Board's consideration.

### 3 SPONSORED AND ENDOWED PRIZES

#### 3.1 Role of the Secretary and Registrar

Only the Secretary and Registrar (or nominee) may accept an offer made to the University by an external body or individual who wishes either to sponsor or to endow a prize.

#### 3.2 General

- 3.2.1 Sponsored and endowed prizes differ from University prizes in that the value, the nature of the gift and the criteria to be used to judge whether or not the prize is to be awarded are determined by the donor.

- 3.2.2 The University reserves the right to invite a sponsor to withdraw a prize.

- 3.3 Programme Boards of Examiners will:

in awarding these prizes, take into account any special conditions of eligibility and procedural requirements associated with the terms and conditions that apply to the prize or endowment.

#### 3.4 Administrative procedures relating to sponsored and endowed prizes

- i Sponsored and endowed prizes will be administered in accordance with the procedures set out in section 2.5 with the following exceptions (section 3.4, ii, and iii, refer).

##### **(Note for guidance – scholarships funded by donations to and/or administered by UH Trust**

Where, during their studies, a graduating student has been awarded a scholarship funded by donations to and/or administered by UH Trust, the scholarship will be announced when the student is presented at his or her Awards ceremony. The information will also be published in the Awards Ceremony Brochure.

- ii Sponsored prizes

School Administration Managers:

are responsible for communicating directly with the awarding body or sponsor, giving them the name of the award recipient and requesting the prize unless the sponsored prize is funded through donations to and/or administered by UH Trust, in which case the Development Team will be responsible for notifying the donor that the prize has been awarded;

will ensure that the Development Team is provided with all necessary information in a timely manner.

iii Endowed prizes

School Administration Managers:

are responsible for the administration of named prize funds (Endowed Prizes) which have already been established by the Group Director of Finance and for requesting the prize.

Mrs S C Grant  
Secretary and Registrar  
Signed: **1 August 2017**