



UNIVERSITY OF HERTFORDSHIRE

POLICY ON THE PREVENTION AND DETECTION OF FRAUDULENT ACCESS TO NHS SPONSORED COURSES LEADING TO PROFESSIONAL REGISTRATION

2013-2014

Date of Issue
February 2014

Contents

Section	Page
Document History	2
1 Introduction	3
2 Verification of identity documentation and academic certificates	3-4
3 Management of the general principles and review of policy	4-5

Appendices

A List of acceptable photographic personal identification, confirmation of address documents and non-photographic proof of personal identification documents	6-8
B Admissions – Undergraduate and Taught Postgraduate Students Version 04.0 UPR SA03 Effective 1 st September 2012 (re-issued 1 September 2013)	9-22
C Secretary and Registrar’s Notice – Immigration Advice and Guidance Re-issued 1 January 2013	23
D Data Management Policy Version 01.0 UPR IM16 (previously UPR IM12) Effective 2 March 2011. Re-issued: 1 st September 2013	24-32
E Student Attendance Regulations Version 03.0 UPR SA06 Published 1 st September 2012	33-36

1. Document History

Version	Date	Update Description	By
1	November 2012	Version 1.0	Lisa Uttley
2	January 2014	Version 2.0 – Revisions due to amendments to business process, updates to NHS Employment Check Standards and UH UPRs	Lisa Uttley

Policy on Prevention and Detection of Fraudulent Access to NHS Sponsored Courses

1. Introduction

This Policy has been specifically developed to assist with specific operational processes and requirements to address the University's contractual obligations as an education provider with the various commissioners from NHS England. It should be noted however there are a range of robust policies and procedures in place with the intention of preventing and eliminating fraudulent activity across all of the University's provision.

The University is committed to closely working with the NHS to ensure that the necessary protocols and procedures are put in place in relation to the prevention and detection of fraudulent access to NHS sponsored courses leading to professional registration.

The purpose of this document is to outline the policy to enable the University to;-

- a) identify falsified identity documents which aim to support an individual's right to remain in the UK
- b) identify the use of counterfeit academic qualification certificates which have been produced as evidence to fulfil an individual's eligibility to commence a programme of study.

The University has in place a set of policies and regulations approved through the appropriate governance protocols which should be considered alongside this policy, attached as Appendices.

This policy has also been produced with reference to the NHS Employment Check Standards (updated July 2013), particularly the following documents to ensure that we are in compliance with relevant existing standards.

- **Professional registration and qualification checks – NHS Employers July 2013**
- **Identity Checks – NHS Employers July 2013**

2. Verification of Identity Documentation and Academic Certificates

For each new applicant to an NHS sponsored course leading to professional registration, a checklist is required to be completed by the time the student is fully formally registered with the University. The check list commences from the point of application, however documentation may be provided and verified at any point throughout the process but will need to be complete at the point of formal registration with the University. The check list identifies points a) to e) below;

- a. Those original documents which the University consider to be legitimate to confirm an individual's identity and those documents which have been supplied and verified in support of identity;

The identity documents to be verified must be provided in either of the following two combinations;

Two forms of photographic personal identification and one document confirming their address; OR

One form of photographic personal identification and two documents confirming their address.

Production of any one of these is not regarded as sufficient as proof of identity. These documents must be valid, current (not expired) and original. Where documents are provided in a foreign language, an independently verified translation must be obtained and provided to the University by the student.

The list of acceptable documents in each category is included as Appendix A

- b. Which copy identity documents have been supplied in support of identity;
- c. Which original academic certificates, that are relevant to the application, have been presented and verified ;
- d. Which copy academic certificates, that are relevant to the application have been presented in support of their eligibility to study the Course;
- e. In each case the identity of the member of staff reviewing the documentation.

For students that are made an offer of a place on an NHS Sponsored course, all relevant documents provided are either scanned and stored on the students electronic student record (EDRM) or photocopied and retained as 'hard copy' on their student file. (Note: laminated documents are not acceptable as originals.) The person taking the 'hard copy' must sign and date the copy to show it has been verified.

The aim of the checklist is to enable a clear evidence trail of the documents produced pre-interview, at interview and during the formal registration and enrolment process. Where copies are provided, originals will need to be seen before registration can be formally completed.

A fee status check is undertaken for every applicant based on the information they provide on either their UCAS or their UH application form. Where an applicant is determined to be sponsored by the NHS on a Course leading to professional registration they are required to bring all relevant identity documentation (as referred to in section 2a) to a 'face to face' registration session. The documentation is scanned and a copy is saved to the student's electronic record. This documentation is considered by an appropriate member of staff to establish that to the best of their knowledge, is a legitimate document for the purpose of verifying the identity of the individual and their right to remain in the UK. Due to UKBA regulations, International (Tier 4) students are required to attend a face to face session to complete registration at the start of each academic year so their documentation can be re-checked, scanned and stored.

The University will ensure that the checklist is compliant with current legislation regarding the prevention of illegal working and racial discrimination.

If it is established, subsequent to their formal registration with the University, that any student has knowingly withheld information or has provided false or misleading information, this will be considered under the Fitness to Practise Policy adopted by the School.

3. Management of the General Principles and Review of Policy

- a) The University is committed to the promotion of good data protection practice and to the sharing of information that may be an outcome of the implementation of this policy. Where required the University will liaise with other organisations (e.g. other HEIs, UCAS and providers of NHS services) to share intelligence as appropriate in line with the Data Protection Act and the UH Data Management Policy (Appendix D).
- b) The University will in accordance with the Data Protection Act comply with requests for access to information in relation to reviewing the files of commissioned students, either on an individual basis, or for the purposes of auditing compliance with the policy.
- c) The University will provide staff with updated guidance and training in relation to the provision of appropriate documentation and their verification for students applying to NHS Sponsored courses in full consultation with the NHS.

- d) On request the University will provide the NHS with the contact details of key personnel as required to facilitate the implementation of this policy.
- e) The University will ensure that students are informed of the verification processes that will take place as part of the recruitment process and their formal registration and enrolment onto an NHS Sponsored course.
- f) The University has Student Attendance Regulations (Appendix D) and as part of their implementation will fulfil its obligation by informing the NHS Business Services Authority as an external body of any change of registration status (e.g. dormant or withdrawn) of a student from their Programme of study in a timely manner.
- g) The University will undertake a regular review of this policy in liaison with the relevant agencies, and will continue to engage with the NHS as a key stakeholder to support the needs of the health service and to ensure compliance in relation to the Schedule contained within the formal Contract with the appropriate Strategic Health Authority.

Appendix A: List of acceptable photographic personal identification, confirmation of address documents and non-photographic proof of personal identification documents

A.1: List of acceptable photographic personal identification

Acceptable documents of photographic personal identification include:

- UK (Channel Islands, Isle of Man or Irish) passport or EU/other nationalities passport
- passports of non-EU nationals and other valid evidence relating to their immigration status and permission to work*
- UK full or provisional photo-card driving licence (must include counterpart, except Jersey)
- EU/other nationalities photo-card driving licence (valid up to 12 months up to the date of when the individual entered the UK and providing that the person checking is confident that non-UK photo-card driving licences are bona fide)
- Biometric Residence Permit (formerly known as identity cards for foreign nationals) (UK)*
- HM Armed Forces Identity card
- ID cards carrying the PASS accreditation logo (UK and Channel Islands), for example a UK Citizen ID card. This card can be applied for by residents of the UK and is verifiable with similar security marks to UK passports and driving licences.

Any other document that is not listed above, for example organisational ID cards, must not be accepted.

What to do if no acceptable photographic identification documents are available

If an individual genuinely cannot provide any form of acceptable photographic personal identification as outlined within List 1 above, then the following combination of documentary evidence should be requested:

- two documents confirming their current address from List 2
- two forms of non-photographic personal identity from List 3; and
- a passport sized photograph of themselves.

Each of the documents provided should be from a different source and photographs must be endorsed on the back with the signature of a person of some standing in their community. A person of some standing in their community may be a magistrate, medical practitioner, officer of the armed forces, teacher, lawyer, bank manager or civil servant who has known them for at least three years. The photograph should be accompanied with a signed statement from that person, stating the period of time they have known the applicant. Always check that signature provided in the statement matches the one on the back of the photograph, and that it contains a legible name, address and telephone number so that information can be verified.

A.2 List of acceptable confirmation of address documents

Acceptable documents for confirmation of address include:

- utility bill (gas, water, electricity or land-line telephone), or a certificate from a utility supplier confirming the arrangement to pay for the services on pre-payment terms at a fixed address. More than one utility bill may be accepted if these are from two different suppliers. Utility bills in joint names are also permissible (UK)*
- local authority tax statement – for example, a council tax statement (UK and Channel Islands)**
- UK full or provisional driving licence (must include paper counterpart) – if not already presented as a personal photographic identity
- UK full driving licence (old-style paper version), old-style provisional driving licences are not acceptable

- most recent HM Revenue & Customs tax notification (i.e. tax assessment, statement of account, notice of coding but not a P45 or P60)**
- financial statement such as bank, building society, or credit card statement* (UK and EEA. Non EEA statements must not be accepted)
- credit union statement (UK)*
- mortgage statement from a recognised lender** (UK and EEA – non EEA statements must not be accepted)
- local council rent card or tenancy agreement*
- benefit statement, book or card; or original notification letter from the Department of Work and Pensions (DWP) confirming the rights to benefit – for example, child allowance, pension (UK)**
- confirmation from an electoral register search that a person of that name lives at
- the claimed address.**

A.3 List of acceptable non-photographic proof of personal identification documents

Acceptable non-photographic documents include:

- full birth certificate (UK and Channel Islands) issued after the date of birth by the General Register Office or other relevant authority, for example registrars
- full birth certificate issued by UK authorities overseas, such as embassies, high commissions and HM Forces
- UK full old-style paper driving licence – old-style provisional driving licences are not acceptable
- work permit/residency permit (UK) valid up to the expiry date
- adoption certificate (UK and Channel Islands)
- marriage or civil partnership certificate (UK and Channel Islands)
- divorce, dissolution or annulment papers (UK and Channel Islands)
- gender recognition certificate
- deed poll certificate
- firearms certificate/licence (UK, Channel Islands and Isle of Man)
- police registration document
- certificate of employment in the HM Forces (UK)
- benefit statement, book or card or original notification letter from the Department of Work and Pensions (DWP) confirming the legal right to benefit for example, child allowance, pension**
- a document from a local/central government authority or local authority giving entitlement such as Employment Services, Job Centre, Social Security Services (UK and Channel Islands)*
- most recent tax notification from HM Revenue and Customs (i.e. tax assessment, statement of account, notice of coding, P45 or P60 (UK and Channel Islands)).**

*All documents must be dated within the last three months, unless there is good reason for it not to be, for example where there is clear evidence that the individual was not living in the UK for three months or more. These documents must contain the name and address of the applicant.

** All documents must be dated within the last 12 months.

Not denoted means that the document can be more than 12 months old.

When selecting appointing someone who has recently left full-time education in addition to photographic personal identification, we request a combination of two of the documents listed below. If there is not personal photographic evidence available, a passport sized photograph which is endorsed by a person of some standing in their community as indicated in the section above will be required with a combination of two of the documents listed below:

- a grant or student loan agreement from a local education authority (UK)
- full birth certificate (UK and Channel Islands) issued after the date of birth by the General Register Office or other relevant authority, for example registrars
- full birth certificate issued after the date of birth by UK authorities overseas, such as embassies, high commissions and HM Forces
- National Insurance (NI) number or proof of issue of an NI number – the majority of individuals will be automatically issued with a NI number at the age of 16 and this will be a HR requirement for employment
- a letter from their headteacher or college principal can be requested, verifying their name and other relevant information for example, address or date of birth (UK)
- a document from a local/central government authority or local authority giving entitlement such as Employment Services, Job Centre, Social Security Services (UK and Channel Islands)*
- a qualification certificate.

Appendix B

Admissions – Undergraduate and Taught Postgraduate Students Version 04.0 UPR SA03 Effective 1st September 2012 Re-issued 1 September 2013

ADMISSIONS - UNDERGRADUATE AND TAUGHT POSTGRADUATE STUDENTS

SUMMARY OF PRINCIPAL CHANGES

General changes	
Establishment of Recruitment and Admissions Policy Review Committee	
Section	
4.2, 4.3	Refer to text

(Amendments to version **03.0**, 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 THE ADMISSION OF CERTAIN GROUPS OF APPLICANTS
 - 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
- 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
8.3	Academic Registrar
8.2	Head of the Student Centre
9	RELATIONSHIPS WITH THE CLEARING HOUSES
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 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 BORDER AGENCY (UKBA)
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 2013¹. It incorporates, as appropriate, the agreed institutional terminology set out in UPR GV08².
- 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 A – admission of research students

The University's principles, policies, regulations and procedures for the admission of research students are published in UPR SA02³.)

2.3 Admissions guidelines and operating procedures⁴

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

3 DEFINITIONS⁵

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 GV08², 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;

3.4 'overseas student':

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

¹ **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, refer.

² UPR GV08 'Glossary of Approved University Terminology'

³ UPR SA02 'Admissions - Research Students'

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

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

⁵ Partner Organisations may have their own definitions for the purposes of admitting students.

⁶ Partner Organisations may have their own committee and management structures.

3.5 'international student':

a person from a country outside the United Kingdom.

4 COMMITTEES AND COMMITTEE CHAIRMEN⁶

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 Board receives reports on the outcomes of the University's student recruitment activities and the activities 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 body and
- b approved by the relevant Deans of School and such approvals noted by the School Academic Committee.

5 GENERAL PRINCIPLES OF ADMISSIONS⁷

5.1 The admission of individual applicants is at the discretion of the University.

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;
- 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 age, disability, family or care responsibilities, gender re-assignment, race, colour, nationality, ethnic or national origin, pregnancy and maternity, sex, marital or civil partnership status, religion or belief, sexual orientation, social class, trade union activity or being an ex-offender or other unreasonable grounds. The University is committed to monitor applications and admissions through the use of statistical data and other sources of feedback in order to promote equality of opportunity;
- 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.

Note 7 for Partner Organisations (UK and overseas):

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

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

6 **ADDITIONAL PRINCIPLES GOVERNING THE ADMISSION OF CERTAIN GROUPS OF APPLICANTS**

6.1 **Applicants with disabilities⁸**

(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 University⁹**

(UPR HS07¹⁰ 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 B:

For the purposes of this policy, the 'time of admission' will be deemed to operate from the commencement of any pre-session 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 sooner.)

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 C:

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

6.3 **International applicants¹¹**

(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 UKBA 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 section 10 of the QAA Code of Practice 'Recruitment and Admissions'.

6.4 **Applications from people who are at risk or who may be a risk¹²**

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.

⁸ The principle enshrined in section 6.1 (above) should be applied.

Note 9 for Partner Organisations (UK and overseas):

⁹ 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).

¹⁰ UPR HS07 'Children, Young People and Vulnerable Adults'

Notes 11, 12 and 13 for Partner Organisations (UK and overseas):

¹¹ Partner Organisations outside the UK will have their own definitions of 'abroad' and their own codes of practice.

¹² 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.

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 Committee who will, where necessary, refer individual cases to the Vice-Chancellor.

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.

7 **ADMISSIONS TUTORS AND THE AUTHORISATION OF OTHER MEMBERS OF STAFF TO MAKE OFFERS TO APPLICANTS**¹³

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.

7.3 **Request for the review of an admission decision**

¹³ 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 Committee may take decisions.

- i Regardless of whether an applicant is rejected with or without interview, Admissions Tutors will, in response to a request by the applicant (or his or her representative), review the decision with the Dean of School (or nominee) and notify the applicant (or his or her representative) in writing of the outcome of the review.
- ii 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.
- iii An applicant (or his or her representative) 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

- 7.4.1 Complaints by applicants (or their representatives) relating to the administration of this document (UPR SA03) will be progressed by means of UPR SA05¹⁴.
- 7.4.2 A copy of UPR SA05¹⁴ must be provided to anyone wishing to make such a complaint.

8 UNIVERSITY ADMISSIONS SERVICE¹⁵

8.3 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.

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 - normally the Head of Admissions) 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.

9 RELATIONSHIPS WITH THE CLEARING HOUSES¹⁶

- 9.1 With the exception of the Professional Certificate in Education and the Postgraduate Certificate in Education, which recruit through the Graduate Teacher Training Registry (GTTR), all applications for places on full-time and sandwich first degree, Foundation Degree, Dip HE and HND 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 GTTR and UCAS in their respective publications.
- 9.3 Applicants are also required to comply with clearing house requirements which are notified to them by GTTR and UCAS.

¹⁴ UPR SA05 'Student Complaints'

Notes 15 and 16 for Partner Organisations (UK and overseas)

¹⁵ 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.

¹⁶ 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.

10 **GENERAL REGULATIONS GOVERNING THE ADMISSION OF STUDENTS TO UNDERGRADUATE AND TAUGHT POSTGRADUATE PROGRAMMES**¹⁷

- 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.
- 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 AS12¹⁸/UPR AS13¹⁹, refers).
- ## 11 **GENERAL ENTRY REQUIREMENTS**²⁰
- ### 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).
- 11.1.2 Unconditional offers will not normally be made on the basis of AS level results alone.
- 11.1.3 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 qualifications and allows these to be counted as contributing towards applicants' overall entry qualifications. Relevant Key Skills qualifications at

Note 17 for Partner Organisations (UK and overseas)

¹⁷ 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.

¹⁸ UPR AS12 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (University and UK Partner Organisations)'

¹⁹ UPR AS/13 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (non-UK Partner Organisations)'

Note 20 for Partner Organisations (UK and overseas)

²⁰ 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.

Level 2 will be accepted in place of GCSEs at Grade C in Mathematics and English unless this is specifically excluded in the entry requirements for a programme. Whilst the University does not have any general requirement concerning whether or not applicants should have Key Skills qualifications, individual programmes may impose requirements where it is felt appropriate.

11.1.5 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 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.

11.1.6 A lower level of attainment may be required for entry to a sub-degree programme such as an HND²¹ 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 CNAAs 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 CNAAs 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 QUALIFICATIONS²²

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

²¹ The subjects required, for example, at GCSE, AS and A level (or equivalent) may be specified by individual programmes.

Notes 22 and 23 for Partner Organisations (UK and overseas)

²² 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.

far as possible, that such applicants have the necessary motivation, potential and knowledge to follow their proposed programme successfully.

- 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**²³

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 Tutors are 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 AS11²⁴ 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.

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 Services web site at:

<http://www.studynet2.herts.ac.uk/ptl/common/aqo.nsf/page/F9CB2818BF9F476E802574F9003340D2>

13.5 **Applications for admission to extended degree programmes**

²³ 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.

²⁴ UPR AS11 'Schedule of Awards'

The initial year of extended degree programmes 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 make reasonable efforts to 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.

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 session. However, provided that the programme does not change in nature and the entry qualifications are not substantially modified, an offer can be made for a later session.

16 **ADMISSION OF APPLICANTS WITH DISABILITIES²⁵**

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.

Note 25 for Partner Organisations (UK and overseas)

²⁵ 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.

16.1.4 **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://perseus.herts.ac.uk/prospectus/student_support/equality_unit/equality_unit_home.cfm

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.

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://perseus.herts.ac.uk/prospectus/student_support/equality_unit/disability/disability_student_info.cfm

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 HS07¹⁰, 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 letter²⁶, 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.

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

Note 26 and 27 Partner Organisations (UK and overseas)

²⁶ *Current template for the letter referred to in section 17.2.1 – refer to UPR SA03 at <http://sitem.herts.ac.uk/secreg/upr/SA03.htm>*

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**²⁷

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.

19 **COMPETENCE IN THE USE OF THE ENGLISH LANGUAGE**²⁸

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 UKBA 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**²⁹

20.1 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) Regulations 1997.

21 **UK BORDER AGENCY (UKBA)**

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

22 **INTAKE TARGETS**³⁰

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 session.

23 **FAILURE TO RUN PROGRAMMES OR MODULES BECAUSE OF LOW RECRUITMENT**³¹

²⁷ This regulation is not relevant to programmes delivered outside the UK.

Notes 28, 29, 30 and 31 for Partner Organisations (UK and overseas)

²⁸ 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.

²⁹ These regulations are not generally applicable to franchised and validated programmes. Specific reference to such issues may appear in the relevant Memorandum of Agreement.

³⁰ These regulations are not generally applicable to franchised and validated programmes. Specific reference to such issues may appear in the relevant Memorandum of Agreement.

³¹ These regulations are not generally applicable to franchised and validated programmes. Specific reference to such issues may appear in the relevant Memorandum of Agreement.

- 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.

P E Waters
Secretary and Registrar
Signed: **1 August 2013**

Appendix C

SECRETARY AND REGISTRAR'S NOTICE – REGULATIONS AND PROCEDURES FOR THE PROVISION OF IMMIGRATION ADVICE AND GUIDANCE

Re-issued 1 January 2013

Immigration Advice and Guidance in the UK is regulated by the Office of the Immigration Services Commissioner (OISC). The Immigration and Asylum Act 1999 makes it unlawful for anyone to provide unregulated immigration advice or immigration services. This Notice sets out University regulations and procedures to ensure compliance with the legislation and the Immigration Rules determined by the OISC and should be read in conjunction with more detailed instructions published from time-to-time by the Academic Registrar.

(Amendments to the version published previously are shown in italics.)

- 1 The University has a legal responsibility to ensure that the Immigration Advice and Guidance it provides to students, prospective students, graduates, diplomates and members of staff is adequate, accurate and consistent with the Immigration Rules and OISC regulations.
- 2 Immigration Advice and Guidance includes, but is not limited to, ensuring that correct immigration application forms are completed; advising individuals on immigration, for example, about taking time out from their courses, the implications of withdrawing from their studies and working time regulations and advocacy, for example, contacting the UK Border Agency on behalf of a student.
- 3 On the authority of the Secretary and Registrar, the University has designated certain members of staff, solely and specifically, to provide Immigration Advice and Guidance to students, prospective students, graduates, diplomates and members of staff.
- 4 These members of staff receive specialist training and their duties include the regular updating of immigration information on StudyNET.
- 5 The Rules relating to immigration and visas are complex and subject to change. It is essential that the advice given is correct. **Within the University, Immigration Advice and Guidance may only be given by the members of staff so designated, based in the Student Centre, who are:**

Ms Christina Peters, Head of International Student Support: extension **4777**
Mrs Sandra Ardouin, Senior Student Adviser: extension **4778**
Ms Rachel Hacking, International Student Adviser: extension **3582**
Mrs Alison Richardson, *International Student Adviser:* extension **3396**
- 6 These staff will also advise members of staff, for example, on the circumstances in which they may provide overseas students, graduates and diplomates with letters of attendance.
- 7 **For the avoidance of doubt, all requests for Immigration Advice and Guidance received by members of staff within Schools and elsewhere in the University will be referred to the designated staff whose details are given in section 5.**
- 8 ***Tier 4 compliance duties***

Matters relating to issues surrounding Tier 4 compliance duties should be referred to the University's Tier 4 Compliance Officer, who is:

Ms Nicola Morton, Tier 4 Compliance Officer: extension **4937**
- 9 Complaints concerning compliance with the regulations in this Notice and/or the accuracy of Immigration Advice and Guidance must be directed to the Head of the Student Centre in the first instance. The Head of the Student Centre will conduct an investigation. It should be noted that, in addition to the University's internal complaints processes, issues of compliance and accuracy are also subject to the national complaints scheme operated by the OISC.

P E Waters
Secretary and Registrar,
Signed: **1 January 2013**

Appendix D

Data Management Policy
Version 01.0 UPR IM16 (previously UPR IM12)
Effective March 2011 Re-issued 1 September 2013

DATA MANAGEMENT POLICY

SUMMARY OF PRINCIPAL CHANGES

General changes	
This document, previously UPR IM12, has been re-numbered in the series to take account of amendments to its structure. In addition to the amendment referred to below, Appendix I and Appendix II of this document have been substantially revised.	
Section	
3.1	Note to section 3.1 – refer to text

(Amendments to version 04.0, UPR IM12 are shown in italics.)

Structure

1	INTRODUCTION
2	DEFINITIONS
2.1.1	'data'
2.1.2	'Data Dictionary'
2.1.3	'Data Management Framework'
2.1.4	'data quality'
2.1.5	'Dataset'
2.1.6	'Data Steward'
2.1.7	'Data Expert'
2.1.8	'Data User'
2.1.9	'Information'
2.1.10	'Information system'
3	SCOPE
4	POLICY
5	DATA MANAGEMENT STANDARDS
5.1.1	'University Internal'
5.1.2	'Limited Access'
5.1.3	'Public Access'
5.2	Data Stewards
5.3	Data Experts
5.4	Data Users
5.5	Data
6	DATA MANAGEMENT FRAMEWORK
6.2	Data Management Framework
6.3	Data Owner
6.4	Chief Information Officer
6.5	Data Stewards
6.6	Data Experts
6.7	Data Users
7	RESEARCH DATA
7.4	Data Steward - research data
8	REVIEW ARRANGEMENTS

1 INTRODUCTION

1.1 The University operates in an increasingly complex, data-oriented, environment which requires the effective collection, management, analysis and dissemination of data. The data generated and held by the University are key assets that must be managed correctly to underpin University strategic development, essential functions and academic integrity.

1.2 This document:

- i provides a corporate framework with defined roles and responsibilities for the collection, quality, storage, security, maintenance and dissemination of institutional data;
- ii has as its basis the Key Principles set out in UPR IM02³²;
- iii has been approved by the Chief Executive's Group³³;
- iv should be read in conjunction with UPR IM02¹ and UPR IM11³⁴ and the following related regulatory documents: UPR IM01³⁵; UPR IM03³⁶; UPR IM04³⁷; UPR IM08³⁸; UPR IM09³⁹; UPR IM10⁴⁰; UPR IM11⁴¹; UPR CA04⁴² and UPR RE02⁴³.

(Note for guidance:

Other related documents include 'University Guidance for Managing Personal and Confidential Information', 'Staff Computing Guide', and 'University instructions for downloading and using TrueCrypt encryption'.)

2 DEFINITIONS

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

2.1.1 **'data'**:

distinct units of information such as facts, numbers, letters, symbols, usually formatted in a specific way, stored in a database and suitable for processing by a computer;

2.1.2 **'Data Dictionary'**:

a file that defines the basic organisation of a database, containing a list of all files in the database, the number of records in each file and the names and types of each field;

2.1.3 **'Data Management Framework'**:

the organisational structure in place to manage the University's data assets (section 6, refers);

2.1.4 **'data quality'**:

the accuracy, completeness, validity and currency of the data;

³² UPR IM02 'Information Management Policy'

³³ Chief Executives Group, 26 April 2010

³⁴ UPR IM11 'Records Management and the Archiving and Retention of Prime Documents and Business Records'

³⁵ UPR IM01 'Computer Networks, Security of Information Systems and the Protection of Information Systems from Computer Viruses'

³⁶ UPR IM03 'Information Security Policy'

³⁷ UPR IM04 'Internet/Intranet Based Information Systems'

³⁸ UPR IM08 'Data Protection'

³⁹ UPR IM09 'Freedom of Information'

⁴⁰ UPR IM10 'Privacy Policy'

⁴¹ UPR IM11 'Records Management and the Archiving and Retention of Prime Documents and Business Records'

⁴² UPR CA04 'Commercial Activities'

⁴³ UPR RE02 'Research Misconduct'

2.1.5 **'Dataset':**

a defined collection of data with common elements related to a specific function;

2.1.6 **'Data Steward':**

the Head of the Strategic Business Unit or other Officer responsible on behalf of the University for the collection, management and use of data;

2.1.7 **'Data Expert':**

the person responsible for the operational management and processing of the data in an information system who has detailed knowledge and experience in the operational management and use of specific Datasets and their structures, capture, administration, processing and reporting;

2.1.8 **'Data User':**

an individual authorised to access and use data;

2.1.9 **'Information':**

data combined and processed into a meaningful form;

2.1.10 **'Information system':**

a computer system used to gather, store, structure, secure, process, combine and filter data into information and that makes that information available on time and in a useful form for users and institutional requirements.

3 **SCOPE**

3.1 The University's Data Management Policy applies to:

- i data, in all its forms, required for the management and administration of the University and the conduct of its work, whether the data are captured and accessed from on-campus or off-campus locations;
- ii all University of Hertfordshire activities;
- iii individual Members of the University (UPR GV06⁴⁴, refers);
- iv the University's wholly-owned subsidiary companies and their wholly-owned subsidiaries subject to the approval of their respective Boards of Directors;
- v collaborative activities undertaken with Partner Organisations;
- vi the management of research data.

(Note for guidance:

The principles of the Data Management Policy (UPR IM16) also apply to document management and use. Refer to (UPR IM11¹⁰ for further information about University Records Management.)

4 **POLICY**

4.1 All data created or owned by the University, its wholly-owned subsidiary companies and their wholly-owned subsidiaries, are the property of the University of Hertfordshire Higher Education Corporation and are regarded as corporate assets.

⁴⁴ UPR GV06 'Membership of the University'

(Notes for guidance:

- These data include, but are not limited to, data relating to management and administration and to the conduct of the University's business.
- Although responsibility for research data may be vested elsewhere, it should be noted that this policy and the principles and standards that it defines also apply to the **management and use** of research data (section 7, refers).

4.2 The University recognises the value of data as an institutional resource and considers that value to be increased through the widespread and appropriate use of data and by virtue of data quality.

4.3 The University considers the value of data to be diminished through misuse, misinterpretation or unnecessary access restrictions.

4.4 Access to data will be granted to Data Users for all legitimate University purposes, subject to any limited access restrictions that may be determined from time-to-time at the absolute discretion of the University.

(Note for guidance:

Data access is determined on behalf of the University by the Chief Information Officer.)

4.5 The University is committed to the Data Management Standards set out in section 5 of this document.

5 **DATA MANAGEMENT STANDARDS**

5.1 The University categorises and determines data access as follows:

5.1.1 **'University Internal'**

Data categorised as 'University Internal' may be accessed by all Data Users, without restriction.

(Note for guidance:

'University Internal' is the default category for all data.)

5.1.2 **'Limited Access'**

- i At the absolute discretion of the University, specific data may be categorised as 'Limited Access'.
- ii Date will be categorised as 'Limited Access' by the Chief Information Officer in light of recommendations from Data Stewards and, where appropriate, legal and other advice.

(Note for guidance:

The grounds for categorising data as 'Limited Access' include, but are not limited to, personal privacy, legal requirements, commercial confidentiality, security, externally imposed constraint or other recognised good reason.)

5.1.3 **'Public Access'**

- i Data which, at the absolute discretion of the University, are determined to be a matter of public record and can, therefore, be made freely available, without restriction, are categorised as 'Public Access'.
- ii Date will be categorised as 'Public Access' by the Chief Information Officer in the light of recommendations from Data Stewards, Freedom of Information requirements and, where appropriate, legal and other advice.

5.2 Data Stewards

(Section 6.5, also refers.)

5.2.1 Every data source and Dataset must have a designated Data Steward.

5.2.2 Data Stewardship of a Dataset will be delegated to the Head of Strategic Business Unit or other Officer with primary responsibility for the University operations to which the Dataset relates.

5.2.3 A Data Steward is responsible for the data quality, security and availability of the data for which he or she is Data Steward.

5.3 Data Experts

(Section 6.6, refers.)

Data Experts are responsible for and accountable to the relevant Data Steward for:

- a the operational management of the assigned institutional data and its integrity;
- b applying University data management standards and procedures;
- c effective liaison with the technical experts responsible for the repositories where the data are stored and for the applications and reporting systems for use of the data;
- d data analysis;
- e providing management information to support University decision-making;
- f external reporting requirements;
- g resolving queries;
- h implementing agreed data retention criteria and archiving policies;
- i making the Data Dictionary understandable to users.

5.4 Data Users

(Section 6.7, also refers.)

5.4.1 Subject to any data access restrictions determined on behalf of the University by the Chief Information Officer, permission to access data will be granted to:

- a all staff for legitimate University purposes and
- b other individuals, where agreed, following the conduct of a University Data Access Authorisation process.

5.4.2 Data Users are required to:

- a access and use data only in their conduct of University business;
- b access only the data needed to carry out their University work;
- c respect the confidentiality and privacy of individuals whose records they may access;
- d observe any ethical, commercial, security or other restrictions determined by the University that apply to the data to which they have access;
- e comply with all relevant legal requirements;
- f comply with the Data Management Standards (section 5, refers);
- g work within the limits of the data access that they have been granted.

5.5 Data

5.5.1 Data:

- a must be readily available to all Data Users with a legitimate University business need through easily accessible web-based interfaces;
- b must be stored in an official University data repository agreed with the Chief Information Officer (or nominee);
- c should be defined consistently across the University;
- d element names, formats and codes must be consistent across all repositories and information systems that use the data and consistent with any agreed University standards;
- e should, wherever possible, be captured or entered once only;
- f structures must be under strict change control so that business and system implications of any change can be properly managed;
- g for data capture, validation and processing should, wherever possible, be automated;

- h updating processes should be standard across the University and its systems;
- i should be recorded in an auditable and traceable manner and in accordance with any agreed change control processes;
- j should not be duplicated unless duplication is absolutely essential and has the approval of the relevant Data Steward; in such cases, one source must be clearly identified as the master and there must be a robust process to ensure copies are not modified and are kept in step with the master source;
- k exchange protocols between data repositories must be under strict change control so that business and system implications of any change can be properly managed.

5.5.2 Arrangements for the storage and use of limited access data and any third party use of the data must conform with Appendix II, UPR IM16⁴⁵.

5.5.3 Whenever possible, international, national or industry standards for common data models must be adopted. When this is not possible, institutional standards will be determined.

6 DATA MANAGEMENT FRAMEWORK

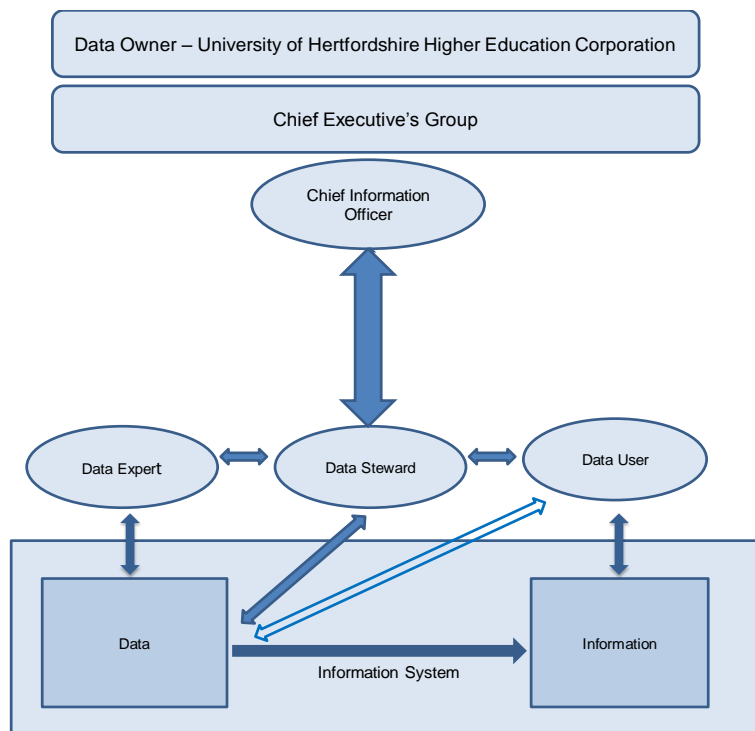
(Appendix I, UPR IM16⁴⁶, refers.)

6.1 The following structure forms an institutional Data Management Framework, the purpose of which is to ensure data are consistent, of good quality and available for use by Data Users.

⁴⁵ Appendix II, UPR IM16 '*Managing Personal and Confidential Information*';

⁴⁶ Appendix I, UPR IM16 '*Master Sources with Assigned Data and Document Steward Responsibilities*'

6.2 Data Management Framework



6.3 Data Owner

The University of Hertfordshire Higher Education Corporation.

6.4 Chief Information Officer

6.4.1 The Chief Information Officer is responsible:

- a to the Vice-Chancellor, through the Chief Executive's Group, for data owned and managed by the University of Hertfordshire Higher Education Corporation;
- b for data management policy, standards and procedures;
- c for the University's data model, its promotion and its implementation;
- d for monitoring and reviewing the effectiveness of data management policy, standards and procedures;
- e formulating data management policy and standards for the approval of the Chief Executive's Group;
- f advising the Chief Executive's Group on their implementation;
- g establishing procedures for the management of and access to data;
- h overseeing the implementation of and compliance with data management policy, standards and procedures;
- i adjudicating on any disputes that may arise from time-to-time;
- j in conjunction with Data Stewards, reviewing annually, the Data Management Policy (UPR IM16).

6.5 Data Stewards

6.5.1 Data Stewards are responsible for and accountable to the Chief Information Officer for:

- a the management of the assigned institutional data;
- b co-ordination of the associated Data Experts;
- c the collection and updating of the assigned institutional data;
- d recommending changes to institutional data management policy and procedures;
- e data quality;
- f the implementation of Data Management Standards and procedures;
- g the promotion of the management of University data as a vital corporate resource;
- h understanding and promotion of the value of data for University-wide purposes and facilitation of data sharing and integration;

- i authorisation and management of any third party use of the data in accordance with University policies and processes;
- j liaison with other Data Stewards as required;
- k advising and reporting on data management issues to the Chief Information Officer.

6.6 Data Experts

6.6.1 Data Experts are responsible for and accountable to the relevant Data Steward for:

- a the operational management of the data assigned to them and its integrity;
- b applying University data management standards and procedures;
- c effective liaison with the technical experts responsible for the repositories where the data are stored and for the applications and reporting systems for use of the data;
- d data analysis;
- e providing management information to support University decision-making;
- f external reporting requirements;
- g resolving queries;
- h implementation of agreed data retention criteria and archiving policies;
- i making the Data Dictionary understandable to users.

6.7 Data Users

6.7.1 Data Users are responsible for and accountable to their managers for:

- a ensuring their use of the data complies with this policy (UPR IM16) and all related standards and procedures;
- b for all data access made through their user account and the subsequent use and distribution of the data;
- c identifying any potential personal conflicts of interest resulting from the authorised data access granted to them through their user account (including potential conflicts of interest where the data user is both a member of staff and student of the University) and for seeking advice from the relevant Data Steward;
- d for obtaining permission from the Data Steward for use of the data for marketing campaigns or other contact list purposes;
- e for contributing to the accuracy and integrity of the data through the timely correction and updating of data where authorised to do so and for other data, through timely notification to the relevant Data Steward.

6.7.2 Data users must:

- a not disclose their user login account password to anyone;
- b not use data for their own personal gain or for the gain or profit of others;
- c not access data for personal business purposes or personal interest;
- d not disclose data to unauthorised persons or to any third party without the consent of the relevant Data Steward;
- e not disclose data about an individual to another person, regardless of that person's relationship with the individual concerned, without the consent of the individual concerned and/or without the consent of the relevant Data Steward;
- f present the data accurately and objectively in any use that is made of it.

7 RESEARCH DATA

(Appendix III, *UPR IM16*⁴⁷, refers.)

7.1 Data management is an essential and integral part of the responsible conduct of research.

7.2 The University is responsible for:

- i ensuring effective data management to meet internal and external requirements, including enabling the re-use of research data and freely available public access to research data outputs in accordance with national and funding body policies;
- ii retention of research data in sufficient detail for a defined period to enable appropriate responses to any questions about accuracy, authenticity, primacy and compliance with legal and regulatory requirements governing the conduct of research;
- iii for supporting investigation into any allegations of misconduct or regulatory breach (*UPR RE02*⁴⁸, refers).

7.3 This policy and the principles and standards that it defines also apply to the management and use of research data.

7.4 Data Steward - research data

For the purposes of research data, the Principal Investigator or agreed equivalent role (such as the Principal Supervisor of Research Students) shall fulfil the role and responsibilities of the Data Steward for the purposes of the collection, management and retention of research data.

(Note for guidance:

For further information refer to 'University Guide to Research Data Management' (*Appendix III, UPR IM16*¹⁶, refers.)

8 REVIEW ARRANGEMENTS

This Data Management Policy (*UPR IM16*) and the arrangements for its implementation will be reviewed annually by the Chief Information Officer in conjunction with the Data Stewards.

Mrs S C Grant
Secretary and Registrar
Signed: **1 September 2013**

⁴⁷ Appendix III, *UPR IM16* 'University Guide to Research Data Management'
⁴⁸ *UPR RE02* 'Research Misconduct'

Appendix E

Student Attendance Regulations
Version 03.0 UPR SA06
Published 1st September 2012

STUDENT ATTENDANCE REGULATIONS⁴⁹

SUMMARY OF PRINCIPAL CHANGES

General changes	
Section	

(Amendments version 03.0, UPR SA06 are shown in italics.)

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 responsibilities⁵⁰.
- 1.2 This document incorporates, as appropriate, the agreed institutional terminology set out in UPR GV08⁵¹.

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 more than one (1) week 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.

Note 1 for partner organisations (UK and overseas)

⁴⁹ Partner organisations will establish appropriate regulations relating to student attendance and will ensure that these are published to students.

⁵⁰ **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, *refer*

⁵¹ UPR GV08 'Glossary of Approved University Terminology'

- 3.3 As a minimum requirement, they must ensure that students record attendance once a week, or per session if part-time, using the appropriate mechanism provided by the University.
- 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 appropriate mechanism provided by the University (UPR SA14⁵², 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 AS12⁵³, 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

⁵² UPR SA14 'Student Withdrawal Regulations'

⁵³ UPR AS12, Appendix I 'Assessments and Examinations - Regulations for Candidates (Including Requests for the Review of Assessment Decisions (Appeals Procedure)) (University and UK Partner Organisations): "1.2, iv, Candidates are required by the deadline published by the Assistant Registrar, to inform him or her, in writing, of religious observance/belief dates during examination periods which proscribe the taking of examinations."

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.

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 what the Programme Leader's response to this request.

4.9 **Students whose fees are paid by their employer (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 whose fees are paid by their Local Authority or the Student Loan Company or other Government Agencies, for example, the National Health Service**

If students are absent for more than 28 days (if due to illness) or 'for shorter periods' (if for any other reason) the University will inform their Local Authority (for both categories of students); grants and student loans will be re-assessed on the basis of this information. For practical purposes, 'for shorter periods' is taken to mean for periods of more than one (1) week.

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

4.11.1 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.

4.12 **International Students**

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