



University of Hertfordshire

Academic Regulations for Undergraduate and
Taught Postgraduate Programmes

2022–2023 Edition

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 2022-2023. 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

The 2022-2023 Handbook is published on-line at the following location:

<https://www.herts.ac.uk/about-us/governance/university-policies-and-regulations-uprs>

Printed copies for use within the University, by External Examiners and by Partner Organisations can be arranged on request from Governance Services (Telephone: 01707 284000; E-mail: governanceservices@herts.ac.uk).

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

<https://www.herts.ac.uk/about-us/governance/university-policies-and-regulations-uprs/uprs>

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).

Sharon Harrison-Barker
Secretary and Registrar
1 September 2022

Important notice

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The most current version of this document is available on the University website at:

<https://www.herts.ac.uk/about-us/governance/university-policies-and-regulations-uprs>

CONTENTS	<i>Page:</i>		<i>Page:</i>
Student Code of Conduct <i>UPR SA01</i>	1	Apprenticeship Provision – End Point Assessment Policy <i>UPR AS14, Appendix IV</i>	227
Statement of Responsibilities and Commitments <i>UPR SA01, Appendix I</i>	5	Apprenticeship Provision – Fair Access Policy for End Point Assessment <i>UPR AS14, Appendix V</i>	235
Drug and Alcohol Misuse by Students <i>UPR SA11</i>	15	Academic Quality <i>UPR AS17</i>	239
Learning and Teaching Policy and Graduate Attributes <i>UPR TL03</i>	17	Apprenticeship Policy <i>UPR AS17, Appendix I</i>	291
The Recording of Teaching and Learning Sessions <i>UPR TL04</i>	23	<i>ASSESSMENTS, EXAMINATIONS AND CONFERMENTS</i>	
Studies Involving the Use of Human Participants <i>UPR RE01</i>	29	Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments <i>(University-Delivered Provision)</i> <i>UPR AS12</i>	303
Protocol for Reflective Practitioner Work by Academic Staff <i>UPR RE01, Appendix I</i>	47	Assessments and Examinations - Regulations for Candidates (Including Requests for the Review of Examination Decisions (Appeals Procedure)) <i>(University-Delivered Provision)</i> <i>UPR AS12, Appendix I</i>	343
Ethics Committees with Delegated Authority <i>UPR RE01, Appendix II</i>	55	Assessments and Examinations - Candidates with Disabilities or other Additional Needs <i>(University-Delivered Provision)</i> <i>UPR AS12, Appendix II</i>	365
Student Attendance Regulations <i>UPR SA06</i>	67	Invigilators - Role and Responsibilities <i>(University-Delivered Provision)</i> <i>UPR AS12, Appendix III</i>	373
Engagement with Learning Policy <i>UPR SA06, Appendix I</i>	73	Prizes <i>(University-Delivered Provision)</i> <i>UPR AS12, Appendix IV</i>	379
Engagement with Learning Policy for student on a Student Route Visa <i>UPR SA06, Appendix I</i>	77	Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments <i>(Partner Organisation-Delivered Provision)</i> <i>UPR AS13</i>	383
Student Withdrawal Regulations <i>UPR SA14</i>	81	Assessments and Examinations - Regulations for Candidates (Including Requests for the Review of Examination Decisions (Appeals Procedure)) <i>(Partner Organisation-Delivered Provision)</i> <i>UPR AS13, Appendix I</i>	415
Student Suspension of Studies Regulation <i>UPR SA17</i>	89	Assessments and Examinations - Candidates with Disabilities or other Additional Needs <i>(Partner Organisation-Delivered Provision)</i> <i>UPR AS13, Appendix II</i>	437
Admissions - Undergraduate and Taught Postgraduate Students <i>UPR SA03</i>	93	Invigilators – Role and Responsibilities <i>(Partner Organisation-Delivered Provision)</i> <i>UPR AS13, Appendix III</i>	441
Student Mental Wellbeing <i>UPR EQ07</i>	113	Prizes <i>(Partner Organisation-Delivered Provision)</i> <i>UPR AS13, Appendix IV</i>	445
Schedule of Awards <i>UPR AS11</i>	117		
Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes <i>UPR AS14</i>	145		
Chair of Boards of Examiners - Role and Terms of Reference <i>UPR AS14, Appendix I</i>	193		
Clerks to Boards of Examiners - Role and Responsibilities <i>UPR AS14, Appendix II</i>	197		
Academic Integrity and Misconduct <i>UPR AS14, Appendix III</i>	203		

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Student Code of Conduct

UPR SA01 version 09.0

Policies superseded by this document

This document replaces version 08.0 of UPR SA01, with effect from 1 September 2020.

Summary of significant changes to the previous version

Minor amendments to provide further clarity have been made.

Glossary

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

- 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. Detailed information is given in the Statement of Responsibilities and Commitments (see Appendix I, UPR SA01¹).
- 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);

¹ Appendix I, UPR SA01 'Statement of Responsibilities and Commitments'

- 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);
- iv any other form of behaviour which could reasonably be regarded as disruptive or offensive is also not acceptable);
- v 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);
- vi 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);
- vii to be respectful and polite to fellow students, staff and others visiting or working on campus;
- viii 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;
- ix to exercise respect and tolerance in the wider community and not to behave on or off-campus in ways that may damage the good name and reputation of the University;
- 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. This document should be read in conjunction with the following Health and Safety policies and regulations: UPR HS04², UPR HS07³, Appendix I UPR HS07⁴, UPR HS08⁵, UPR HS09⁶, UPR HS06⁷ and UPR HS05⁸;

² UPR HS04 'CCTV-Code of Practice'

³ UPR HS07 'Children, Young People and Vulnerable Adults'

⁴ Appendix I, UPR HS07 'Code of Practice - Children, Young People and Vulnerable Adults'

⁵ UPR HS08 'Corporate Health and Safety Policy'

⁶ UPR HS09 'Environment and Sustainability Policy'

⁷ UPR HS06 'No smoking policy'

⁸ UPR HS05 'Security and Public Access'

- 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 Commitments¹.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2020**

Alternative format

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Statement of Responsibilities and Commitments ¹

Policies superseded by this document

This document replaces version 08.0 of UPR SA01, with effect from 1 September 2020.

Summary of significant changes to the previous version

Minor changes have been made to add further clarity.

Glossary

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Table of contents

1	Introduction
2	Scope
3	Commitments and Responsibilities
3.1	The student and staff community
3.2	The local and wider community
3.3	Equality and Diversity and Access to the University of Hertfordshire
3.4	Pre-entry information
3.5	A fair admissions policy
3.6	Learning, teaching and research – taught programmes
3.7	Programmes of research training
3.8	Services and facilities
3.9	Student Engagement
3.10	Queries and complaints
3.11	Conduct
3.12	Monitoring

Note 1 for Partner Organisations (UK and overseas)

¹ The Statement of Responsibilities and Commitments does not apply to Partner Organisations.

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. It should be read in conjunction with the Student Code of Conduct².

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 postgraduate 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 will 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.

² UPR SA01 'Student Code of Conduct'

3.3.2 The University's commitment to equal opportunities is set out in its Equality and Diversity Policy³. The University aims to ensure that no-one receives less favourable treatment because of characteristics protected by UK legislation⁴ 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 UPR EQ03 'Equality and Diversity Policy'

⁴ **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.

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;
- 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 deadline⁵ 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 the dates of examinations and assessments are published four (4) weeks before they are due to take place. The exceptions to this are 'out-of-time' examinations which are timetabled on an individual basis as well as re-sit examinations and assessments set in the first four (4) weeks of the Semester.

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;
- ii as required by the Student Code of Conduct³, 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. This document should be read in conjunction with the following Health and Safety policies and regulations; UPR HS04⁶, UPR HS07⁷, Appendix I, UPR HS07⁸, UPR HS08⁹, UPR HS09¹⁰, UPR HS06¹¹ and UPR HS05¹²;
- 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;

⁵ 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.

⁶ UPR HS04 'CCTV-Code of Practice'

⁷ UPR HS07 'Children, Young People and Vulnerable Adults'

⁸ UPR HS07, Apx 1 'Code of Practice - Children, Young People and Vulnerable Adults'

⁹ UPR HS08 'Corporate Health and Safety Policy'

¹⁰ UPR HS09 'Environment and Sustainability Policy'

¹¹ UPR HS06 'No smoking policy'

¹² UPR HS05 'Security and Public Access'

- 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. This document should be read in conjunction with the following Health and Safety policies and regulations; UPR HS04⁶, UPR HS07⁷, Appendix I UPR HS07⁸, UPR HS08⁹, UPR HS09¹⁰, UPR HS06¹¹ and UPR HS05¹²;
- 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 Conduct³. 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:

<https://www.herts.ac.uk/about-us/governance/university-policies-and-regulations-uprs/uprs>

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.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2020**

Alternative format

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Drug and Alcohol Misuse by Students

UPR SA11 version 02.0

Policies superseded by this document

This document replaces version 01.0 of UPR SA11, with effect from 1 September 2017.

Summary of significant changes to the previous version

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

Glossary

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

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.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2020**

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Learning and Teaching Policy and graduate attributes¹

UPR TL03 version 07.0

Policies superseded by this document

This document replaces version 06.0 of UPR TL03 with effect from 1 September 2022.

Summary of significant changes to the previous version

This UPR has been significantly updated throughout and should be read in its entirety.

Glossary

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

Table of contents

1	Introduction
2	Scope
3	University of Hertfordshire Graduate Attributes
4	Learning and Teaching Policy
4.2.	Herts Learning Principles
5	Implementation, Monitoring and Evaluation
5.1	Role of the Director of Learning and Teaching
5.2	Committee structure of the Academic Board
5.2.2	Education and Student Experience Committee
5.2.3	School Academic Committees
5.3	Responsibilities in relation to individual programmes
5.4	Individuals engaged in the support of learning

1 Introduction

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 2022².

¹ **Note 1 for collaborative institutions (UK and overseas)**

Partner Organisations to which the University franchises programmes should consider how the University's Graduate Attributes are developed and the Learning and Teaching Policy (set out in section 4 of UPR TL03) is implemented.

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 informs 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 AS17³, refers).
- 2.2 The policy reflects national priorities for Higher Education, including access and participation, graduate outcomes 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 We will develop graduates who are capable and professional, building on the engagement of employers and professional bodies who contribute to the development of our curriculum. We will encourage students to be creative and enterprising, and to build their social and global awareness. We will be compassionate and inclusive, supporting students in their learning and their living.
- 3.2 In addition to their subject expertise and proficiency, as a University of Hertfordshire graduate, they are
- Professionally focused
 - Globally minded
 - Sustainability driven
 - Digitally capable and confident
 - Inclusive and collaborative
 - Evidence based and ethical

4 Learning and Teaching Policy

- 4.1 Through the Education and Student Experience commitments within the University's 2020-2025 Strategic Plan, we will deliver high-quality and distinctive education that transforms lives by:
- Providing opportunities to develop students' skills for life
 - Working in partnership with our student community
 - Delivering flexible education with clear career pathways

² **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; 52, 16 March 2022, refer.

³ UPR AS17 'Academic Quality'

4.2. Herts Learning Principles

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 designing curricula which share the following principles, known as the Herts Learning Principles:

4.2.1 Prioritises student learning

Teaching, learning and assessment is inclusive and accessible, motivating all students to engage fully in their learning. Scaffolded support is provided at all stages to enable students to shape their individual learning experience. Programmes will centre authenticity and provide a research-rich and professionally focused education. Programmes will ensure development of our Graduate Attributes to enable student success in determining and reaching their personal and professional aspirations.

4.2.2 Ensures coherent design

Deliberative curriculum design provides structure which enables student engagement through a considered blend of modes (e.g., campus-based; work-based; online learning modes), creating a rich learning experience. The Guided Learner Journey and Assessment Landscape communicate clear expectations for students about directed, independent and collaborative teaching, learning and assessment activities. The vision, and continuous enhancement, of the programme is shared by students and staff.

4.2.3 Offers opportunities for personalisation

Programmes create and communicate opportunities for student choice. These may include when and where students learn; or what and how they learn (e.g., online or on campus, through the provision of some optional and/or additional modules, choice of technology, collaboration with peers). Personalisation in assessment is made available where appropriate. This may include choice of topic; assessment format; feedback mode. Students are supported to make timely, informed, and purposeful choices about their learning to ensure they can meet module and programme learning outcomes.

4.2.4 Harnesses technology

Pedagogy, inclusivity, and accessibility determine the use of technology to support engagement in learning, teaching and assessment. Students are supported to develop their digital capabilities (including discipline-specific digital capabilities) for learning, personal and professional development. Staff are supported in their digital capabilities and are confident in their choice and use of technology for teaching and assessment.

4.2.5 Builds communities

Collaborative endeavours support the development of learning communities, within and beyond the curriculum. Learning, teaching, and assessment are designed to build confidence in collaborative working. Learning and enhancement activities develop partnership working within, and between, student and staff communities.

Programmes foster connectivity with communities inside and outside of the University; professionally, locally and globally.

4.3 To enable staff to address local and national priorities for learning, teaching and assessment, and meet the educational aims of the 2020-2025 Strategic Plan, the University is committed to promoting and supporting:

- academic and professional staff who are valued, rewarded and supported as scholarly and reflective practitioners in Higher Education;
- 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 Education and Student Experience Committee of the Academic Board, is responsible to the Academic Board and the Pro-Vice Chancellor Education and Student Experience for the implementation, further development, monitoring and evaluation of the University's Learning and Teaching Policy and Graduate Attributes.

5.2 Committee structure of the Academic Board

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

5.2.2 Education and Student Experience Committee

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

5.2.3 School Academic Committees

- a School Academic Committees are responsible for the development of School Action Plans to give effect to the University's Learning and Teaching Policy and Graduate Attributes. These plans and any amendments to them will be received by the Education and Student Experience Committee of the Academic Board which will also note, annually, Schools' progress in relation to their published Action Plans.
- b 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.
- c 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.

5.3 Responsibilities in relation to individual programmes

- 5.3.1 As a critical part of the Continuous Enhancement Process, all programmes will evaluate learning, teaching and assessment methods.
- 5.3.2 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.

5.4 Individuals engaged in the support of learning

- 5.4.1 All individuals engaged in the support of learning are expected to take account of the Learning and Teaching Policy and Graduate Attributes.
- 5.4.2 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.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

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The Recording of Teaching and Learning Sessions

UPR TL04 version 02.0

Policies superseded by this document

This document replaces version 01.1 of UPR TL04, with effect from 8 October 2020.

Summary of significant changes to the previous version

Amendments have been made to take account of online synchronous learning and teaching sessions.

Glossary

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

Table of contents

1	Introduction
1.2	Definitions
2	University recordings of teaching and learning sessions
2.2	Recording and opt-out
2.3	Recording notice
2.4	Opt-out by students
2.5	Student consent
2.6	Pre-recorded teaching and learning materials and recordings not made in front of a live audience
2.7	Availability of recordings
2.8	Editing and take down of recordings
2.9	University recordings and intellectual property rights
3	Student recordings of teaching and learning sessions
3.2	Recording and opt-out
3.3	Use made of student recordings
3.4	Student recordings and intellectual property rights
3.5	Student recordings and data protection
4	Content from external parties
5	University and student recordings of teaching and learning sessions
5.1	Inappropriate recording and /or use of recordings
5.2	Rights of disabled students under the Equality Act

1 Introduction

- 1.1 The following regulations on the recording of teaching and learning sessions applies to all students and staff involved in teaching and learning. The regulations set out the conditions under which recordings may be made and sets out staff and student responsibilities to ensure that the University meets its obligations under equality, copyright and data protection legislation.

The regulations are divided into university recordings and pre-recorded teaching and learning materials and recordings (paragraph 2), student recordings (paragraph 3).

1.2 Definitions

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

i **'teaching and learning session':**

refers to pre-recorded resources and timetabled online synchronous and campus based sessions, including lectures, tutorials, seminars, student-led presentations, laboratory demonstrations and practicals;

ii **'staff':**

refers to any University staff member (including fractional appointments and visiting lecturers) involved in teaching and learning and research staff who undertake teaching;

iii **'recording':**

refers to the digital capture of teaching sessions through University recordings of teaching and learning sessions (including audio, still photography, video and other digital inputs e.g. from a projector screen) and the audio recording of teaching and learning sessions or still photography of material resources by students.

2 University recordings of teaching and learning sessions

- 2.1 University recordings occur where either (i) a member of staff records their teaching session or (ii) where University supported recording facilities are available in a teaching room and automated recording technology records all teaching and learning sessions taking place in the room. Subject to paragraph 2.2 below, in either of these circumstances, these recordings will normally be made available on the relevant module website.

2.2 Recording and opt-out

- i The Dean of School (or nominee) may decide that specific teaching and learning sessions are not suitable for recording. Reasons may include (but are not limited to), that the session:

- a contains confidential or personal information;
 - b is commercially or politically sensitive;
 - c includes such a degree of interaction with students that recording is not viable;
 - d other than for assessment purposes, requires a student to make a significant contribution and the student has asked for recordings not to be made; or
 - e is delivered by a visitor to the University who has not expressly given their consent to be recorded.
- ii If a member of staff considers that some or all their teaching sessions are not suitable for recording, they should discuss the matter with the Dean of School (or nominee) who will decide whether the proposed reasons for not recording the teaching and learning session are valid. However, if only part of an individual teaching and learning session is not suitable for recording, a member of staff should, where appropriate, pause the recording or edit out the relevant sections before the teaching and learning session is made available to students.

2.3 Recording notice

For campus-based sessions, notices in rooms in which automated recording technology is available will remind students that a recording is taking place. A verbal reminder indicating when the recording will commence will be made by the member of staff providing the teaching and learning session.

For online synchronous sessions, the member of staff providing the teaching and learning session will give a verbal reminder when recording will commence and / or they will display a PowerPoint slide with the relevant information.

2.4 Opt-out by students

For campus-based sessions, except for the purposes of student assessment, any student not wishing to be recorded should notify the member of staff at the start of the session and should sit in the recording-free zone indicated by the member of staff.

For online synchronous sessions, except for the purposes of student assessment, any student not wishing to be recorded should notify the member of staff at the start of the session and should switch off their camera, put their microphone on mute and not participate in the chat function.

2.5 Student consent

Subject to the right to opt out set out in paragraph 2.4 above, by attending the recorded teaching and learning session students consent to:

- i the University recording and making the recordings available on the module website;
- ii the processing of personal data in accordance with the University's Data Protection Policy, UPR IM08, 'Data Protection Policy and Privacy Statement'; and

- iii students grant the University an irrevocable, royalty free licence to all rights in or arising from any performance in a recording for the use of the recording set out in this UPR.

2.6 Pre-recorded teaching and learning materials and recordings not made in front of a live audience

Pre-recorded teaching and learning materials and recordings not made in front of a live audience will be available via the relevant module website on StudyNet. Availability of recordings and the intellectual property rights in such recordings are governed by the same principles as any University recording set out in paragraph 2.7 and 2.8 below.

2.7 Availability of recordings

- i Recordings will be available via the relevant module website on StudyNet. Recordings will normally be made available to students for the duration of their studies at the University.
- ii Recordings made by University staff for learning and teaching purposes should be stored, delivered and reviewed in line with the General Data Protection Regulations (**GDPR**) (Regulation (EU) 2016/679). UPR IM08, 'Data Protection Policy and Privacy Statement'.

2.8 Editing and take down of recordings

- i **Editing**
Members of staff are not normally expected to review and edit a recording but, should they wish to do so, the recording should be posted within three working days. Unless the recording has been done by the member of staff themselves the recording will be automatically uploaded after a period of three working days. However, the Dean of School (or nominee) has the discretion to extend the period of review and editing.
- ii **Take down of recordings**
If a member of staff later becomes aware that any defamatory, inaccurate or infringing material is included within a recording or there is any other reason why it would be expedient for the University to recall a recording, they must contact LCS Helpdesk immediately and the material will be taken down for review and editing and then re-posted.

2.9 University recordings and intellectual property rights

Where the University makes a recording of teaching and learning session available to students:

- i the University will own the copyright and all other related intellectual property rights in the recording; and
- ii the recording must only be used by students for educational purposes in accordance with the Copyright, Designs and Patents Act 1988. The student may not alter, amend, share, publish or otherwise make the recording available in whole or in part to any other person. Failure to adhere to the Copyright act may be treated as misconduct (see paragraph 5.1 below).

3 Student recordings of teaching and learning sessions

3.1 This paragraph only applies where University recordings are not available.

All students are permitted to make audio (but not video) recordings or take still photographs of material resources during campus-based teaching and learning sessions without obtaining the prior permission of the member of staff leading the session, but only and subject to the following conditions:

- i if asked students should declare that they are recording the session;
- ii no still photographs of staff or students in the session are permitted;
- iii students must use their own equipment and recording devices must be kept with the student at all times and must not be placed on the staff presenter's table unless required for any disability related reasons; and
- iv the member of staff may indicate that the session or part of it should not be recorded for good reason including but not limited to because the session or part of it:
 - a contains confidential or personal information;
 - b is commercially or politically sensitive;
 - c includes such a degree of interaction with students that recording is not viable;
 - d requires a student to make a significant contribution and the student has asked for recordings not to be made; or
 - e is delivered by a visitor to the University who has not expressly given their consent to be recorded.

3.2 Recording and opt-out

It is the responsibility of the member of staff to inform students that a session or part thereof should not be recorded. A student who does not wish their contribution to be recorded should inform the member of staff at the start of the session.

3.3 Use made of student recordings

Any recording made by a student must only be used for educational purposes in accordance with the Copyright, Designs and Patents Act 1988. Students may not alter or amend, share, publish, or otherwise make the recording available in whole or in part to any other person, other than for transcription purposes. Students must delete the recording as soon as they cease to be a student of the University. Failure to adhere to the Copyright act may be treated as misconduct (see paragraph 5.1 below).

3.4 Student recordings and intellectual property rights

The University will retain the copyright and all other intellectual property rights in the recordings.

3.5 Student recordings and data protection

Recordings made by students will include the personal information of the member(s) of staff delivering the teaching and learning session and the personal information of students if they are captured in the recording. To protect the personal information of those captured the student must only use the recording as set out in 3.3 above.

4 Content from external parties

Express (opt-in) consent is required for the recording of external visitors speaking at a teaching and learning session organised by University staff. This applies to both University and student recordings. The external speaker must complete the standard University consent form in advance of the session.

5 University and student recordings of teaching and learning sessions

5.1 Inappropriate recording and /or use of recordings

Inappropriate recording and /or use of recordings in breach of this UPR will be subject to the University's disciplinary UPR and may also be subject to legal action for infringement of copyright or other intellectual property rights or of data protection law in relation to the processing of personal data under relevant data protection legislation.

5.2 Rights of disabled students under the Equality Act

Nothing in this UPR is intended to affect the rights for reasonable adjustments to be made with respect to teaching and learning sessions under the Equality Act 2010.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **8 October 2020**

Alternative format

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Studies Involving the use of Human Participants¹

UPR RE01 version 12.0

Policies superseded by this document

This document replaces version 11.0 of UPR RE01, with effect from 1 September 2021.

Summary of significant changes to the previous version

Indicative penalties following academic misconduct Stage 2 and Stage 3 proceedings (see Appendix III, UPR AS14) have been added at sections 9.5 and 9.6.

Glossary

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

Table of contents

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

¹ **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 (see section 6). 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 Chair 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.

- 8.3 Conducting the studies
- 8.4 Types of study suitable for class protocol approval
- 9 Studies Involving Human Participants undertaken without an approved protocol
- 9.7 Other studies involving the use of Human Participants
- 10 Bodies approved by the Ethics Committee to grant external approvals of protocol applications
 - 10.1 National Health Service
 - 10.2 Requirements of other external bodies
- 11 Studies or activities 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
 - 14.3 Notices requesting human volunteers to participate in studies approved by the Ethics Committee
 - 14.4 Electronic publication of notices
 - 14.4.1 Requests to members of staff
 - 14.4.2 Requests to students
 - 14.4.3 Requests for volunteers who are external to the University
 - 14.5 Publication of general notices other than by electronic means
 - 14.5.1 Use of the University' internal post
 - 14.5.2 Other methods of publication
 - 14.6 Use of the University's official stationery and logo
 - 14.6.1 Students
 - 14.6.2 Members of staff

1 Scope

- 1.1 These regulations apply to any study or activity 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 or activities falling within the scope of section 1.1 including:
- a studies or activities conducted at every level;
 - b all studies or activities which include the use of questionnaires and/or interviews conducted either as part of a group or class programme or as individual project work;
 - c all studies or activities which use University employees and/or students as Human Participants in a programme of study and those which use members of the public;
 - d all studies or activities 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 or activities involving the use of Human Participants (UPR RE01). Academic staff supervising students who conduct a study or activity in a group must therefore ensure that their students are aware that, although one student will complete an application on behalf of colleagues in the group, all those named have responsibility for complying with the terms of the approval. Students conducting a study or activity in a group should also be aware that complicity may be a ground for establishing individual responsibility if they are party to activities that constitute a breach of an approved protocol, including failure to obtain ethical approval.

1.8 Definitions

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

- a 'Ethics Committee':

the Ethics Committee for Studies Involving the Use of Human Participants of the Academic Board;

- b 'ECDA':

Ethics Committee with Delegated Authority.

2 Purpose

- 2.1 The purpose of these regulations is to ensure, as far as possible, that any study or activity 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 or activity involving the use of Human Participants takes reasonable steps to ensure that:
 - a the study or activity is well designed (section 4.2, refers);
 - b 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);
 - c the work is conducted in accordance with UPR HS08², 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:
 - a participants are safeguarded against procedures which may be harmful to them, including physical harm, mental or emotional harm, intrusion of their privacy or exploitation;
 - b 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;
 - c confidentiality is maintained in respect of the identity of those participating in a study or activity and also in respect of any personal information which participants may disclose in the course of the study;
 - d participants understand the nature of the study or activity 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;

³ UPR HS08 'Corporate Health and Safety Policy'

- e participants are informed that they may withdraw from the study or activity at any time without disadvantage and without having to give a reason;
- f the purpose of any payment or other reward offered to a participant is to compensate them for inconvenience or expense and that it does not constitute an inducement to submit to risk which the participant would otherwise decline;
- g 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.

(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 or activity, 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 or activity 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 or activities carried out within these regulations, investigators and supervisors are required to observe:
 - a relevant statutory provisions;
 - b standards laid down by the University itself;
 - c any codes of conduct appropriate to the discipline or profession within which any study or activity is being carried out;
 - d any other specified standard identified within an application for approval and agreed by those granting approval for the study or activity 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 or activities involving the use of Human Participants (see section 5).
- 4.4 In order to ensure compliance:
- a each study or activity 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;
 - b the protocol must include the methodology to be applied and the means by which informed consent, where required, will be obtained;
 - c 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 or activity;
 - d studies or activities with approved protocols must be monitored appropriately;
 - e the number of the protocol and the name of the ECDA which approved it must be quoted on all correspondence relating to studies or activities 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 reserves the right to determine that a study or activity already approved by a body authorised by the Ethics Committee to do so (see section 10) 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 ECDAs is determined by the Ethics Committee.
- 5.3 ECDAs should apply in writing for renewal of delegated authority (see section 3.1, Appendix II, UPR RE01³). There is no standard application form but applicants are expected to provide information as to:
- a their knowledge and experience of the ethical standards applicable to their discipline and/or profession;
 - b how those standards would be or have been applied and monitored within the context of the academic work of the University;
 - c the proposed or renewed membership of the Committee;
 - d the matters (if any) which applicants might wish to have reserved for decision by the Ethics Committee, for example, physically invasive procedures, studies or activities involving deception, studies involving Human Participants unable to give informed consent;
 - e any other matters required by the Ethics Committee as set out in Appendix II, UPR RE01⁴.
- 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:
- a 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 Chairs of ECDAs (see section 6, Appendix II, UPR RE01⁴);
 - b the necessity to report as soon as possible to the Chair of the Ethics Committee any major irregularity including:
 - i compromises to the safety of participants or breaches of confidentiality;
 - ii other serious breaches of approved protocols or
 - iii studies or activities undertaken without an approved protocol;

³ UPR RE01, Appendix II 'Ethics Committees with Delegated Authority'

- c 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:
- a the establishment, history and terms of reference of the ethics committee within the Partner Organisation;
 - b the membership of such an ethics committee and the knowledge and experience of ethical standards applicable to each member's discipline and/or profession;
 - c 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;
 - d how ethical standards will be applied and monitored within the academic work of the Partner Organisation;
 - e 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.
- a Where the Ethics Committee has granted delegated authority to an ECDA (see section 5) 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.
 - b The methods for approving applications which may be adopted by ECDAs are set out in Appendix II, UPR RE01⁴.
 - c 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.
 - d 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.
 - e 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 (see regulation 7.3, i). 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:
- a 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;
 - b 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 Chair 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 or activity, 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 or activity, 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 or activities 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 or activity 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 or activities 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.

(See section 5.12, Appendix II, also.)

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 or activities undertaken without an approved protocol include both:
- a failure to obtain ethics approval prior to undertaking work involving Human Participants;
 - b 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 academic misconduct process (see Appendix III, UPR AS14⁴), may have their programme of study declared invalid, may not be permitted to graduate or where a student has already graduated, may have their 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 RE02⁵ 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 AS14⁵. Otherwise, the procedures set down in section 8, UPR RE02⁶ will be followed.
- 9.5 For the purposes of Appendix III, UPR AS14⁵, indicative penalties following Stage 2 or Stage 3 proceedings for studies or activities undertaken without an approved protocol (see section 9.1) are as follows:

Academic Misconduct	Indicative academic decision
No case to answer	No change to the grade awarded
Failure to obtain ethics approval prior to undertaking work involving Human Participants	No marks awarded for text related to work undertaken involving Human Participants OR a grade of 0 awarded for the assessment, depending on the seriousness of the case; AND/OR a disciplinary warning placed on the student's record; AND

⁴ UPR AS14, Appendix III 'Academic Integrity and Academic Misconduct'

⁵ UPR RE02 'Research Misconduct'

	a requirement for the student to access support and guidance as directed by the Chair/Vice-Chair of the relevant ECDA in consultation with the student's personal tutor or equivalent.
Failure to comply with the terms and conditions of an ethics approval granted for work involving Human Participants	A reduction of the mark awarded for the assessment OR a grade of 0 awarded for the assessment, depending on the seriousness of the case; AND/OR a disciplinary warning placed on the student's record; AND a requirement for the student to access support and guidance as directed by the Chair/Vice-Chair of the relevant ECDA in consultation with the student's personal tutor or equivalent.

9.6 For the purposes of Appendix III, UPR AS14⁵, indicative penalties following Stage 3 proceedings for studies or activities undertaken without an approved protocol (see section 9.1) are as follows:

Academic Misconduct	Indicative academic decision
No case to answer	No change to the grade awarded
Failure to obtain ethics approval prior to undertaking work involving Human Participants	A grade of 0 awarded for the assessment; AND a final University disciplinary warning placed on the student's record or suspension of the student from studies or permanent exclusion from the University. Where the penalty is suspension, you will be asked to undertake a prescribed task or a series of sessions to support you in your future studies. A second or subsequent Stage 3 offence will automatically result in a suspension or permanent exclusion from the University.

<p>Failure to comply with the terms and conditions of an ethics approval granted for work involving Human Participants</p>	<p>A grade of 0 awarded for the assessment; AND a final University disciplinary warning placed on the student’s record or suspension of the student from studies or permanent exclusion from the University.</p> <p>Where the penalty is suspension, you will be asked to undertake a prescribed task or a series of sessions to support you in your future studies.</p> <p>A second or subsequent Stage 3 offence will automatically result in a suspension or permanent exclusion from the University.</p>
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9.7 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.)

- 9.7.1 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 Chair of the Ethics Committee.
- 9.7.2 For the avoidance of doubt, the proposed study or activity will not proceed unless the prior written consent of the Chair 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’ (GAfREC).

- 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 a REC will not also require approval by the relevant ECDA, unless the ECDA concerned has determined otherwise (see section 4.6).

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 or activities 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 or activities 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 or activities involving the use of human participants conducted as part of the collaboration/within the consortium.
- 11.3 Where such an arrangement is proposed (see section 11.2), 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, which includes a review of the applications for quality and ethical soundness, is overseen by the Advisory Group on Research Governance for Clinical Studies.
- 12.3 A University of Hertfordshire protocol number will only be issued following receipt and endorsement by the relevant ECDA Chair of a copy of the application approved by the HRA and their letter indicating a favourable opinion, together with any earlier opinion letters received prior to the favourable opinion.

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 other means, of any printed notice to participate in studies involving human participants.
- 14.2 This Statement relates to studies or activities 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 or activity is required to ensure that appropriate information, including the name of the body which has given approval for the study or activity 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

- a The member of staff or student conducting the study or activity may publish general requests to staff for human volunteers via the University's intranets or email addresses available via HertsHub. 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.
- b 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

- a The member of staff or student conducting the study or activity 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.
- b 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 or activity may publish general requests for human volunteers via the University's internal post provided that they have 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 or activity 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 permitted to use the University's Ethics Committee logo, where the study to be undertaken has been approved in accordance with this Regulation (UPR RE01).

The University's stationery or logo on its own may not be used. 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 on its own may be used by students.

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 or activity has been approved in accordance with this Regulation (UPR RE01) and on condition that the notice complies with the requirements set out in this section.

Sharon Harrison-Barker
Secretary and Registrar
Date: **1 August 2021**

Alternative format

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Protocol for Reflective Practitioner Work by Academic Staff

UPR RE01, Appendix I - version 12.0

Policies superseded by this document

This document replaces version 11.0 of UPR RE01, Appendix I, with effect from 1 September 2021.

Summary of significant changes to the previous version

Amendments have been made to the main UPR document only. No changes have been made to this document.

Glossary

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

Table of contents

- Section A
- Section B - A checklist for practitioners
- Section C - Scenarios
 - Scenario 1
 - Scenario 2
 - Scenario 3
 - Scenario 4
 - Scenario 5

This Protocol should be read in conjunction with UPR RE01¹ and elaborates upon and clarifies the regulations which relate to reflective practitioner work (see section 10, UPR RE01¹).

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.

¹ UPR RE01 'Studies Involving the Use of Human Participants'

- 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 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, online 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.
- 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, they are in a similar position, though arriving there by a different route, to an investigator who reports findings about subjects or informants on whom they 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 of data collected accidentally and without consideration of the protocol simply because 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.

They 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. They 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 (i.e. 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 has 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.

Sharon Harrison-Barker
Secretary and Registrar
Date: **1 August 2021**

Alternative format

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Ethics Committees with Delegated Authority

UPR RE01, Appendix II - version 12.0

Policies superseded by this document

This document replaces version 11.0 of UPR RE01, with effect from 1 September 2021.

Summary of significant changes to the previous version

Amendments have been made to the main UPR document only. No changes have been made to this document.

Glossary

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

Table of contents

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 or off campus
5.7	Problems encountered during conduct of study
5.8	Completion of studies
5.8.1	Students
5.8.2	Staff

- 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
-

1 Introduction

- 1.1 This document has been approved by the Academic Board¹ 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'

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 or activities 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 RE01² and to any other conditions that may be imposed from time-to-time by the Ethics Committee.

¹ **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.

² UPR RE01 'Studies Involving the Use of Human Participants'

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 directly with the Ethics Committee;
 - 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 given on the final page of this document and is also published at the following location:

<https://www.herts.ac.uk/about-us/governance/university-policies-and-regulations-uprs/uprs/research>)

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, ECDAs 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's 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 specialist from a panel of subject specialists (which might include the Chair or Vice-Chair of the ECDA) examine an application independently and recommend it for approval by the Chair 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 Chair 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's 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 Chair 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 Chair 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 by members of the ECDA, 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 Chair of the ECDA, for example, in cases where the reviewing subject specialists have been

unable to reach a unanimous decision. Full Review will be carried out by members of the ECDA by email correspondence, unless a scheduled meeting of the ECDA is imminent. Subject specialists may be asked to contribute to the review process. The Review should normally be completed within twenty (20) working days. As with Expedited and Substantive Review, the reviewing ECDA members may request further information to inform their consideration of the application which may delay the approval process.

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 Chair or Vice-Chair 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 Chair to approve the application by Chair's Action following circulation to them of the additional information requested by the ECDA and their consent to approval being given by Chair'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 Chair 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 or off campus

Permission to conduct studies or activities within the Schools should be obtained from the Module Leader or Programme Leader. If a study or activity is proposed to take place elsewhere on University premises, the permission of the manager of the relevant area should be sought. In respect of studies or activities conducted off campus, permission should be sought from the proprietor, manager or other person with relevant authority over the premises/location concerned. The ECDA should be provided with a copy of the written permission as part of the application process.

5.7 Problems encountered during conduct of study

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

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 or activities undertaken by staff.

5.9 Breach of Protocol

(Section 9.3, UPR RE01², refers).

5.10 Notifying a Board of Examiners of a breach of Protocol

In accordance with the provisions of Appendix III, UPR AS14³, the relevant Associate Dean of School (Academic Quality Assurance) (or nominee), is responsible for notifying the Chair 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.

(NOTE:

- 1 In response to the Covid-19 pandemic and to facilitate the transition to online methods of data collection for protocols approved before the lockdown, any ethics protocol holders whose protocols are able to transition to online methods of data collection will not be required to submit a request for modification via Form EC2.

Any students who are granted an extension of their submission deadline as a result of the current COVID-19 outbreak will automatically be eligible for an extension of their ethics protocol for an equal period of time, and will not need to submit a request for an extension via Form EC2.)

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 (Section 8.3, main document, refers).

5.13 Schedule of Protocols

In accordance with section 4, UPR RE01² ('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 Chair 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.**

ECDA's will provide summaries of all Protocols under their management; they 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;

ix **collaborative programmes**

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

x **Class Protocols**

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

xi **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;

xii **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 Chairs 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. Chairs 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

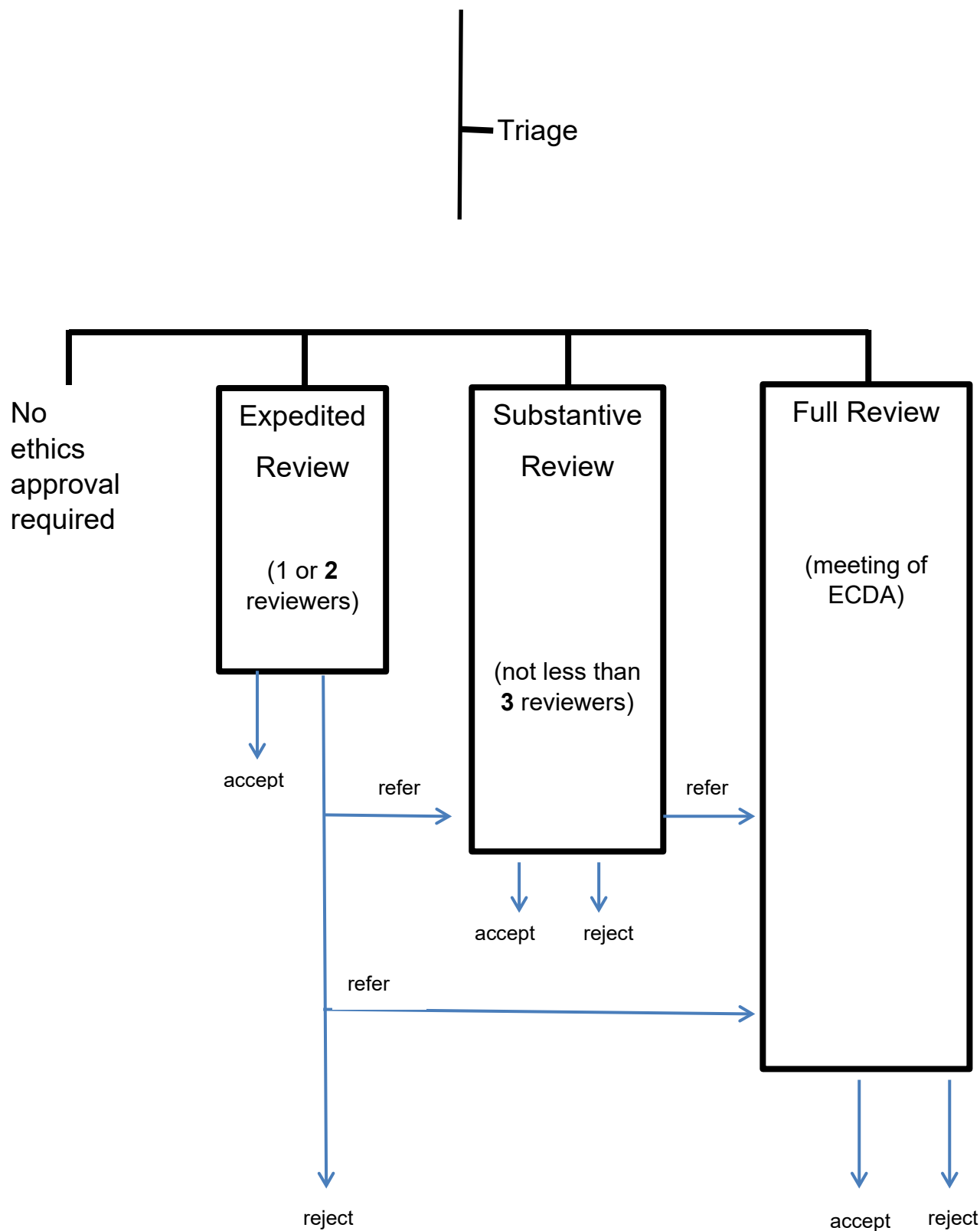
Chairs of ECDAs are expected to attend to present their Annual Reports. Where attendance is not possible, arrangements for another member of the ECDA to present the report must be agreed with the Chair of the Ethics Committee in advance of the meeting.

Sharon Harrison-Barker
Secretary and Registrar
Date: **1 August 2021**

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Studies Involving Human Participants



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Student Attendance Regulations¹

UPR SA06 version 11.0

Policies superseded by this document

This document replaces version 10.1 of UPR SA06, with effect from 1 September 2022.

Summary of significant changes to the previous version

Reference to the new Appendix II 'Engagement with Learning Policy for Students on a Student Route Visa' has been added.

Glossary

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

Table of contents

1	Introduction
2	Definitions
2.1	'attendance':
2.2	'short-term absence':
2.3	'prolonged absence':
3	Regulations for staff
4	Regulations for students
4.5	Absence for religious observance
4.6	Disability-related absence
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 These regulations relate to taught programmes only. Any attendance requirements relating to research-based provision will be set out in UPR AS10².

Note 1 for partner organisations (UK and overseas)

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

² UPR AS10 'Research Degrees - Generic Institutional Regulations'

- 1.2 Irrespective of whether a programme has formal academic attendance requirements, the University has responsibilities for the pastoral care of students. It 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.

2 Definitions

For the purpose of these regulations:

2.1 'attendance':

is defined as regular engagement in learning activities including attendance at timetabled on-campus and timetabled online teaching sessions; engagement with learning materials and activities on modules in the Virtual Learning Environment (VLE); and submission of assessments. Details are set out in the Engagement with Learning Policy (see Appendix I & Appendix II, UPR SA06³).

2.2 '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. The definition of a session will differ according to the student's programme of study and advice should be sought from the Programme Leader.

2.3 '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. The definition of a session will differ according to the student's programme of study and advice should be sought from the Programme Leader.

3 Regulations for staff

- 3.1 Students are expected to engage in their learning and attend all timetabled teaching sessions unless advised otherwise by their Programme.
- 3.2 Where a programme specification has a compulsory attendance requirement, the programme regulations will give details of the attendance requirements to be met by students. Programme regulations and module regulations, where relevant, will define what constitutes 'attendance' on that programme/module.
- 3.3 Deans of School (or nominee), are responsible for instructing students to record their attendance at all campus-based teaching sessions, where appropriate, using the mechanism provided by the University, currently the 'Check-In' system.

³ Appendix I, UPR SA06 'Engagement with Learning Policy'
Appendix II, UPR SA06 'Engagement with Learning Policy for Students on a Student Route Visa'

- 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 or suspension of studies 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 engagement with learning.

4 Regulations for students

- 4.1 Other than in cases of absence for religious observance (see section 4.5) or disability-related absence (see section 4.6), 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 relevant Administrator.
- 4.2 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 (see section 4.5). 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 their disability as defined in relevant legislation (see section 4.6). 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 completing any outstanding activities missed through their absence as agreed with the Programme Leader.
- 4.4 Irrespective of whether their programme has formal academic attendance requirements, all students must record their attendance as instructed by their School, using the mechanism provided by the University, currently the 'Check-In' system. 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 (see UPR SA14⁴).

⁴ UPR SA14 'Student Withdrawal Regulations'

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. They are 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.

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 Student Wellbeing Advisor and their Programme Leader. Where it is not possible to agree this in advance, students must contact their Student Wellbeing Advisor 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 their Module Leader that they (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 Student Wellbeing Advisor.

4.8 Reporting of prolonged absences

4.8.1 Irrespective of the reason for the absence (including absences listed in UPR SA17 'Student Suspension of Studies Regulations') students must report prolonged absences, in writing, to an Ask Herts Hub stating the reason for the absence. Students must request permission for prolonged absence in advance from the Programme Leader where possible. In the case of maternity-related absence, the student should notify the Programme Leader and liaise to make necessary arrangements relating to their study and assessment (see UPR SA17 'Student Suspension of Studies Regulations' section 4.2). The prolonged absence for students on maternity leave should include two weeks following the birth.

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.

4.9 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 their 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 of the following changes to their circumstances by either updating their SLC online account if a full-time student or returning a 'Change of Circumstances' form (CO2):

- a leave at any time before the end of their programme or
- b suspend attendance on their programme for any reason or
- c repeat a year or
- d transfer to another programme or
- e marry, enter a civil partnership, divorce or
- f change address or
- g change bank details.

4.11 International Students

Subject to the provisions laid out in section 4, students on a Student Route Visa will have additional attendance monitoring requirements, as laid out in the Engagement with Learning Policy for Students on a Student Route Visa (see Appendix II, UPR SA06³). This will include, but is not limited to, monitoring to ensure passport and visa information is valid.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

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Engagement with Learning Code of Practice

UPR SA06 Appendix I version 11.0

Policies superseded by this document

This document replaces version 10.1 of UPR SA06 Appendix I, with effect from 1 September 2022.

Summary of significant changes to the previous version

This document has been amended to limit its scope to students other than those on a Student Route Visa.

Glossary

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

Table of contents

- 1 Introduction
- 2 Monitoring engagement with Learning
- 3 Engagement with Learning
- 4 Document check

1 Introduction

The purpose of this document is to provide a summary of the engagement with learning principles and processes for students other than students on a Student Route Visa. Attendance requirements for international students studying at the University on a Student Route Visa can be found in Appendix II, UPR SA06¹.

2 Monitoring engagement with Learning

- 2.1 The University has responsibilities for the pastoral care for all our students and obligations to monitor their progress, informing certain external bodies of failure to engage with their programme of study, temporarily or permanently.
- 2.2 For these pastoral and legal monitoring reasons, the University monitors student engagement with their learning and, where appropriate, attendance on campus.
- 2.3 In addition, Schools have the flexibility to monitor student engagement with their programmes and activities as per their individual requirements.

¹ Appendix II, UPR SA06 'Engagement with Learning Policy for Students on a Student Route Visa'

2.4 Student engagement with learning at the University level is monitored in several ways:

- i days elapsed since last activity on the Virtual Learning Environment (VLE) (not logged on for 2 weeks);
- ii submission of online summative assignments;
- iii attendance at campus-based classes through the Check-In system (not checked in for 2 weeks).

2.5 All of the measures above are elements of the Data for Learning Dashboard that is used by Schools as part of their pastoral/academic support and personal tutoring system. This subset of measures is used in combination for the purposes of monitoring engagement with learning at the University.

3 Engagement with Learning

3.1 If students fail to meet the requirements for engagement in learning during each semester, the following procedure will take place.

3.1.1 If students have not:

- i logged on to the VLE for 2 consecutive weeks during teaching time; or
- ii submitted an online assignment; or
- iii recorded attendance on Campus, if directed to do so, through the Check-in system for more than 2 weeks;

they will receive an initial email from the central timetabling team to prompt them to log onto their modules and/or use the Check-in system, if appropriate. If anything is preventing them from doing so or they need support, they will be advised to make contact with their school. Schools will be notified that the initial email has been sent.

3.1.2 After a further 2 weeks, if a student has still not engaged, a further email will be sent advising them to commence urgent engagement with their studies to avoid withdrawal from the University. Schools will be notified that the second email has been sent.

3.1.3 Following steps at 3.1.1 and 3.1.2, if a student continues to fail to engage with their studies, they will be considered by a Panel meeting. Continued non-engagement will result in the student being sent a withdrawal letter from the Student Administration Service.

3.1.4 Students will be withdrawn from their studies if they fail to respond to the withdrawal letter from the Student Administration Service (see section 3.1.3).

- 3.2 Irrespective of whether a programme has formal academic attendance requirements, students must engage in their learning and check-in at all their campus-based teaching sessions to record their attendance, if they have been instructed to do so. Students are expected to attend all timetabled teaching sessions (online or on campus) unless advised otherwise by their Programme and the University reserves the right to monitor attendance and take action to ensure students active engagement with their studies (see UPR SA06²). This is stated within the ‘Student Attendance Regulations’ (UPR SA06). Failure to comply with the ‘Student Attendance Regulations’ (UPR SA06) may result in a student being withdrawn from their programme of study and curtailment of sponsorship by the University.

4 Document check

- 4.1 In addition to the engagement and check-in swipe system, those students on a time limited immigration permission will have their documents checked each academic year. This may take the form of a face-to-face check or a file audit. The requirements for students on a Student Route visa are outlined in Appendix II¹ of this UPR (SA06).
- 4.2 During the document check process, the Student Immigration Team will check the student’s contact details, visa, passport and any other necessary documents (e.g. police registration).
- 5.3 Those who fail to attend a face-to-face document check and/or fail to provide documents or contact details as requested will be withdrawn from their studies.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

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² UPR SA06 ‘Student Attendance Regulations’

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Engagement with Learning Policy for Students on a Student Route Visa

UPR SA06 Appendix II version 11.0

Policies superseded by this document

N/A. This document is a new appendix to UPR SA06, with effect from 1 September 2022.

Summary of significant changes to the previous version

N/A. This document is a new appendix to UPR SA06 and it should be read in full.

Glossary

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

Table of contents

1	Introduction
2	Monitoring engagement with Learning
3	Engagement with Learning – Student Route students
4	Authorised Absence
5	Document check
6	Attendance procedure for Hertfordshire International College (HIC) students
7	Attendance procedure for pre-sessional students

1 Introduction

The purpose of this document is to provide a summary of the engagement with learning principles, processes and additional attendance requirements for international students studying at the University on a Student Route Visa. These additional requirements are included to ensure compliance with the University's Student Route sponsorship duties, which may change in line with Government policy.

2 Monitoring engagement with Learning

- 2.1 The University has responsibilities for the pastoral care for all our students and obligations to monitor their progress, informing certain external bodies of failure to engage with their programme of study, temporarily or permanently.

- 2.2 For these pastoral and legal monitoring reasons, the University monitors student engagement with their learning and, where appropriate, attendance on campus.
- 2.3 In addition, Schools have the flexibility to monitor student engagement with their programmes and activities as per their individual requirements.
- 2.4 Student engagement with learning at the University level is monitored in several ways:
- i days elapsed since last activity on the Virtual Learning Environment (VLE) (not logged on for 2 weeks);
 - ii submission of online summative assignments;
 - iii attendance at campus-based classes through the Check-In system (not checked in for 2 weeks).
- 2.5 All of the measures above are elements of the Data for Learning Dashboard that is used by Schools as part of their pastoral/academic support and personal tutoring system. This subset of measures is used in combination for the purposes of monitoring engagement with learning at the University.

3 Engagement with Learning – Student Route students

- 3.1 If students fail to meet the requirements for engagement in learning during each semester, the following procedure will take place.
- 3.1.1 Where students have not:
- i logged on to the VLE for 2 consecutive weeks during teaching time; or
 - ii submitted an online assignment; or
 - iii recorded attendance on Campus, if directed to do so, through the Check-in system for more than 2 weeks;
- they will receive an initial email from the central timetabling team to prompt them to log onto their modules and/or use the Check-in system, if appropriate. If anything is preventing them from doing so or they need support, they will be advised to make contact with their school or the Student Immigration Team if they have concerns about their Student Route Visa. Schools will be notified that the initial email has been sent.
- 3.1.2 After a further 2 weeks, if a student has still not engaged, a further email will be sent advising them to commence urgent engagement with their studies to avoid withdrawal from the University. Schools will be notified that the second email has been sent.

- 3.1.3 Following steps at 3.1.1 and 3.1.2, if a student continues to fail to engage with their studies, they will be considered by a Panel meeting. Continued non-engagement will result in the student being sent a withdrawal letter from the Student Administration Service.
- 3.1.4 Students will be withdrawn from their studies if they fail to respond to the withdrawal letter from the Student Administration Service (see section 3.1.3). Those on a Student Visa will be reported to the Home Office as having their sponsorship withdrawn.
- 3.2 Irrespective of whether a programme has formal academic attendance requirements, students must engage in their learning and check-in at all their campus-based teaching sessions to record their attendance, if they have been instructed to do so. Students are expected to attend all timetabled teaching sessions (online or on campus) unless advised otherwise by their Programme and the University reserves the right to monitor attendance and take action to ensure students active engagement with their studies (see UPR SA06¹). This is stated within the 'Student Attendance Regulations' (UPR SA06). Failure to comply with the 'Student Attendance Regulations' (UPR SA06) may result in a student being withdrawn from their programme of study and curtailment of sponsorship by the University.

4 Authorised Absence

- 4.1 Those on a Student Route Visa are required to complete an **Absence Request Form** if they intend to be absent from their studies for longer than a week during their teaching time. This form can be found via AskHerts:

<https://ask.herts.ac.uk/absence-your-tier-4-visa>

- 4.2 The absence must be approved by the University and will only be granted if the following conditions are met:
- i the reason for absence is appropriate; and
 - ii the absence does not exceed the appropriate time for that reason;
 - iii the absence does not exceed the time permitted by the Home Office; and
 - iv the absence will not affect the course completion date.

5 Document check

- 5.1 In addition to the engagement and check-in swipe system, those on a Student Route Visa will have their documents checked at one point in the academic year. This may take the form of a face-to-face check or a file audit.

¹ UPR SA06 'Student Attendance Regulations'

- 5.2 During the document check process, the Student Immigration Team will check the student's contact details, visa, passport and any other necessary documents (e.g. police registration).
- 5.3 Those who fail to attend a face-to-face document check and/or fail to provide documents or contact details as requested will be withdrawn from their studies. Student Route students will also be reported to the Home Office as having their sponsorship withdrawn.

6 Attendance procedure for Hertfordshire International College (HIC) students

- 6.1 The process outlined in this document (Appendix I, UPR SA06) applies to HIC students who are studying alongside University of Hertfordshire (UH) students on the integrated provision. All HIC students sponsored by the University are required to attend a yearly face-to-face visa check or have a file audit on their records.
- 6.2 HIC students are, in addition, subject to HIC's attendance and monitoring policy.

7 Attendance procedure for pre-sessional students

- 7.1 Attendance and engagement for pre-sessional students will be monitored in the same way as other students.
- 7.2 Where the student has failed to reach 85% attendance of their classroom-based study in any given month the student will be contacted to discuss their attendance.
- 7.3 Where a student's attendance falls below 70% for three (3) consecutive months, those students on a Student Route Visa will have their sponsorship withdrawn.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

Alternative format

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Student Withdrawal Regulations¹

UPR SA14 version 10.0

Policies superseded by this document

This document replaces version 09.2 of UPR SA14, with effect from 1 September 2022.

Summary of significant changes to the previous version

This document has been amended to reflect changes in UKVI requirements for students on a Student Route Visa (previously Tier 4 Student Visa). In particular, section 3.3.5 has undergone substantial amendments and should be read in full.

Other minor changes have been made to reflect changes in other UPRs.

Glossary

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

Table of contents

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:
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
3.4	Confirmation of Student Award after withdrawal
4	Status of 'Withdrawn' Students
5	Student complaints

Note 1 for partner organisations (UK and overseas)

¹ Partner organisations will establish appropriate regulations relating to student withdrawal and will ensure that these are published to students.

1 Introduction

These regulations relate to taught programmes only. Any requirement relating to the withdrawal of students from research-based provision will be set out in UPR AS10².

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 or the Student Administration Service to discuss their intention to withdraw. Students considering withdrawal should engage with both their School for academic and pastoral advice and guidance, and the Student Administration Service for financial, accommodation and visa advice (as appropriate). The student can also choose not to seek additional advice and guidance.
- 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 International students should also seek advice from the International Student Support team regarding their visa/immigration status.
- e Students are advised that the last date to withdraw from their studies is the end of teaching week 4 of the Semester in which their module begins. After this date non-completion of their module will be recorded as failure. The exception to this is for any students who withdraw from their studies on courses/modules that last less than 4 weeks when non-completion of modules will be automatically recorded as failure.
- f Once the student has discussed their options, if withdrawal is still deemed appropriate the student must notify the University, in writing, by completing a withdrawal form which can be accessed via 'Ask Herts' on the following link: <https://ask.herts.ac.uk/withdrawing-from-university>.
- g The withdrawal form requires the signature of the relevant Programme Leader and once signed, the student is responsible for passing the completed form to an Ask Herts Hub. If the student has not been able to complete a form, other forms of notification about the withdrawal (e.g. e-mail/letter) are acceptable as an alternative form of documentation to support the withdrawal.
- h The student's official leaving date for refund purposes and for informing external agencies will be the student's confirmed decision to withdraw as recorded on the withdrawal form. In exceptional circumstances, where no form has been completed, the date on the alternative form of documentation may be used.

² UPR SA10 'Research Degrees – Generic Institutional Regulations'

- i Students may wish to transfer to another course within the University and in this case will be required to complete a Transfer Request form. For those students who wish to transfer to a course at another Higher Education Provider they are required to complete a withdrawal form. In both cases students should refer to the guidance that is available via <https://ask.herts.ac.uk>.

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. In these circumstances, the student's official leaving date for refund purposes and for informing external agencies will be the date the decision to withdraw is made. 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 (see section C4.3.1 viii UPR AS14³).
- b 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 (Fail, no further attempts) status codes which are part of their validated programme of study (see section D3.7, UPR AS14³).
- c 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 (see section D3.8, UPR AS14³).
- d A Programme Board has discretion to withdraw a student from a programme with the maximum possible interim award if the student 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 (see section D3.9, UPR AS14³).
- e The progression criteria in Sections D3.6 to D3.9, UPR AS14³ describe minimum expected levels of achievement. Further constraints may be applied by Programme Boards for instance to reflect Professional or Statutory Regulatory Body requirements.

³ UPR AS14 'Structure and Assessment Regulations – Undergraduate and Taught Postgraduate Programmes'

- f As a result of failing to participate in their learning activities, students can be withdrawn under the provisions of Appendix I, UPR SA01⁴. 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 study 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 awards, at any level, makes the student concerned eligible to apply for Registration (see UPR SA15⁵) and/or would entitle them to practise and/or would indicate the student's potential suitability to practise.

(Note:

Successful completion of a Professional Programme, as defined in UPR SA15⁵, would make the student concerned eligible to apply for Registration and/or would entitle them to practise and/or would indicate the student's potential suitability to practise. UPR SA15⁵ 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 SA15⁵ and means a body authorised by the Privy Council to permit practise but also, where appropriate, 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 SA15⁵.
- c UPR SA15⁵ 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) and also the circumstances in which a student might be excluded from the University by the Vice-Chancellor.

3.2.3 Academic Misconduct:

- a Academic Misconduct is defined in Appendix III, UPR AS14⁶. Allegations may be referred for consideration under the provisions of UPR SA13⁷ or UPR SA15⁵.

⁴ Appendix I, UPR SA01 'Statement of Responsibilities and Commitments'

⁵ UPR SA15, ' Student Fitness to Practise'

⁶ Appendix III, UPR AS14 'Academic Integrity and Academic Misconduct'

⁷ UPR SA13 'Student Discipline'

- b The University reserves the right, at its sole discretion, to impose academic penalties where Academic Misconduct is proven. Where an allegation has been referred for consideration under the provisions of UPR SA13⁷ or UPR SA15⁵ and an Academic Misconduct offence is proven, the University also reserves the right to impose sanctions and penalties as set out in Appendix I, UPR SA13⁸ or Appendix I UPR SA15⁹; a possible outcome is Exclusion from the University and therefore, withdrawal of the student concerned from their 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 accessed via 'Ask Herts' <https://ask.herts.ac.uk/>. The Student Administration Service provides guidance to those students finding it difficult to meet their financial obligations. Students who are in debt to the University may be withdrawn from their programmes.

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. This could be determined, for example, by the Dean of School or the Chief Information Officer or the manager of another academic or non-academic area, for example, swiping another student's ID card on a check-in reader, or signing a paper register on behalf of another student.
- b Such cases will be dealt with in accordance with UPR SA13⁷ or UPR SA15⁵ and the University reserves the right to impose any of the penalties as set out in Appendix I, UPR SA13⁸ or Appendix I, UPR SA15⁹. A possible outcome is Exclusion from the University and, therefore, withdrawal of the student concerned from their programme.

3.3.3 Non-attendance

- a Students are expected to engage in their learning and attend all timetabled teaching sessions unless advised otherwise.
- b Irrespective of whether a programme has formal academic attendance requirements, all students must record attendance as instructed by their School, using the mechanism provided by the University, currently the 'Check-In' system. Failure to do so may affect their immigration status, academic progression and, where relevant, any entitlement for financial support.
- c Deans of School (or nominee), are responsible for instructing students to record their attendance at all campus-based teaching sessions, where appropriate, using the mechanism provided by the University, currently the 'Check-In' system.

⁸ Appendix I, UPR SA13 ['Student Discipline'] 'University Schedule of Sanctions and Penalties for Academic and Non-Academic Disciplinary Offences'

⁹ Appendix I, UPR SA15 ['Student Fitness to Practise'] 'University Schedule of Sanctions and Penalties for Academic and Non-Academic Disciplinary Offences'

- d Students are expected to actively engage in their studies. Where a student is not actively engaging in their studies, the University reserves the right to withdraw from their programme of study. This is applicable even where there is evidence that the student has been using the 'check-in' system.
- e International students will have additional attendance monitoring requirements, as laid out in the Engagement with Learning Code of Practice (see Appendix I, UPR SA06). This will include, but is not limited to, monitoring to ensure passport and visa information is valid.

3.3.4 Failure to complete the full registration process

Students who fail to complete the full registration process and fail to provide to the University on registration any original certificates and requested documentation will be withdrawn.

- #### 3.3.5 Failure to comply with UK Visa and Immigration (UKVI) sponsorship requirements
- The University's Student Route sponsor licence must be renewed every four years and is assessed annually by UKVI. To be compliant with its responsibilities as a Student Route Sponsor, and to protect its sponsor licence, the University has the right to withdraw Student Route sponsorship. Withdrawn sponsorship will be reported to UK Visas and Immigration (UKVI) and as a result existing Tier 4 leave/ Student Route leave may be curtailed by the UKVI. International students should seek advice from the Student Immigration Team regarding consequences of withdrawn sponsorship and their visa/immigration status. Withdrawal of Student Route/Tier 4 sponsorship may also result in withdrawal of studies.

Sponsorship may be withdrawn when the student:

- a does not have a valid visa for study at the University of Hertfordshire (either extant leave or Section 3C or Section 3D leave of the Immigration Act 1971); or
- b has given false or misleading information in order to obtain a Confirmation of Study (CAS) or offer of study; or
- c fails to co-operate with the University in the maintenance of accurate records including (but not limited to) failing to provide accurate address and contact details or failing to provide copies of immigration documents; or
- d is not required to be in attendance or to engage with their studies for a period of 60 days or more (excluding approved University vacation periods); or
- e is not required to be in attendance or to engage with their studies for any period of time which will impact on their ability to complete their studies within the period of their current Student Route Visa excluding approved University vacation periods); or
- f undertakes a period of study or work outside the University (save where the study, or work forms an assessed part of the programme of study); or
- g does not fully register (or re- register) on their programme within the required timescales. This includes circumstances in which registration is prevented due to non-payment of tuition fees; or

- h fails to attend and/or participate/engage in their studies as required for their programme of study; or
- i transfers to a part-time mode of study; or
- j studies are suspended for any period of time including (but not limited to): suspension in accordance with University policies and regulations; or
- k completes their studies earlier than expected (for example where a student fails to undertake a work/study placement); or
- l no longer meets the definition of a Student Route student; or
- m leaves the UK in order to complete their studies as an overseas distance learner; or
- n undertakes a period of study or a work placement overseas; or
- o makes another leave to remain application; or
- p it is known, or the University has reason to believe that an applicant/student is unable to make a successful Student Route application; or
- q the applicant/student has breached their immigration conditions, including (but not limited to) working more than their permitted hours; or
- r the student fails to make themselves available to any UKVI inspection visit; or
- s it is known, or the University has reason to believe that the applicant/student is engaging in criminal/terrorist activity; or
- t any other issues emerge that suggest that sponsorship is contrary to the University's duties to the Home Office; or
- u has an outstanding debt to the University; or
- v fails to comply with a University registration or 'Visa Check' within the permitted time period; or
- w has been withdrawn from their studies at their own request or at the request of the University as detailed in these regulations (UPR SA14).

3.4 Confirmation of Student Award after withdrawal

With reference to UPR AS14³ (see sections D3.2 and D3.3) 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.

4 Status of 'Withdrawn' Students

In all circumstances, students are encouraged to seek advice from either their Programme Leader, the Ask Herts Hubs or the Office of the Dean of Students as appropriate prior to withdrawal from a programme.

- a Once a student has been formally withdrawn from their Programme of study, they no longer have access to University services. This includes, but is not limited to, the ability to submit assignments, the marking of assessments, access to learning resources and access to University accommodation.
- b Unless withdrawn in error, if the student is withdrawn and reinstated after the assessment deadline, and has not yet submitted assessment, he/she will have failed that element of assessment.
- c For students who have been withdrawn by the University, they will not be permitted an extension or submission of 'Exceptional Circumstances' using either the reason for withdrawal nor a 'Studynet' block as grounds.
- d As appropriate the University will notify the Student Loans Company of any changes to student circumstances including withdrawal, which may result in monies being reclaimed. Students are encouraged to contact an Ask Herts Hub before withdrawal to discuss the impact on any funding they have received.
- e In the case of students who are withdrawn who have Student Route/Tier 4 sponsorship, the University will withdraw that sponsorship and notify the UKVI of any changes to student circumstances. Students are encouraged to seek advice from International Student Support Team due to the impact of their formal withdrawal on their immigration status. If a student with any immigration status is withdrawn, they cannot be reinstated until their status has first been confirmed by the Student Immigration Team.

5 Student complaints

Student may raise concerns about the way in which the University has administered the regulations in this document (UPR SA14) via UPR SA16¹⁰.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

Alternative format

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¹⁰ UPR SA16 'Student and Applicant Complaints'

Student Suspension of Studies Regulations

UPR SA17 version 03.0

Policies superseded by this document

This document replaces version 02.0 of UPR SA17, with effect from 1 September 2022.

Summary of significant changes to the previous version

Sections 2.3 and 2.8 have been amended to reflect that visa issues could result in suspension of studies. Section 6 has been added to reflect ESFA requirements for students who are apprentice learners.

Glossary

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

Table of contents

1	Introduction
2	Voluntary suspension
3	Compulsory suspension
4	Academic issues regarding voluntary suspension
5	Status of suspended students
6	Apprentices - Break in Learning

1 Introduction

These regulations relate to taught programmes only. Any attendance requirements relating to research-based provision will be set out in UPR AS10¹.

2 Voluntary suspension

- 2.1 Suspension is taking a break from studies. Students may request a period of suspension at any time during their studies. Approval will only be given for suspension of a student's studies for up to one academic year. In exceptional circumstances, this may be extended at the sole discretion of the Dean of School.
- 2.2 Suspension is expected to be applied for in advance or at the start of any issues affecting a student's studies.

¹ UPR AS10 'Research Degrees - Generic Institutional Regulations'

- 2.3 Students may request a period of suspension for a number of reasons including but not limited to:
- Maternity-related leave
 - Illness
 - Disability
 - Family issues
 - Financial issues
 - Standing as a Sabbatical Officer for the Hertfordshire Student Union
 - Visa issues
- 2.4 The rationale as to why the suspension is required should be clearly detailed, as this is used by the University to inform statistical returns.
- 2.5 Students should discuss their wish to suspend with their Programme Leader, as soon as possible, in advance of making a formal request.
- 2.6 Students must apply in writing, using the 'Request for Voluntary Suspension of Studies' form which can be accessed via 'Ask Herts' <https://ask.herts.ac.uk/request-for-voluntary-suspension-from-your-studies>. Approval for the request will be given by the Programme Leader (or nominee).
- 2.7 Documentary evidence of the reason for the request should be supplied and the form must be signed by the Programme Leader (or nominee). Once signed, the student is responsible for passing the form to an Ask Herts Hub.
- 2.8 There are specific issues in relation to international students and suspension, which may cause visa and immigration problems for the student. For this reason, all international students must contact the Student Immigration Team before submitting their suspension form to their Programme Leader. Suspension may result in the withdrawal of Student Route/Tier 4 sponsorship which will result in withdrawal as a student.
- 2.9 There may be specific implications in relation to student fees & funding and suspension, and all students are advised to seek advice from Student Finance in an Ask Herts Hub before submitting their suspension form to their Programme Leader.
- 2.10 The official start date of the student's dormancy period for funding purposes and for informing external agencies will be the student's confirmed decision to take a period of voluntary suspension as recorded on the 'Request for Voluntary Suspension of Studies' form.
- 2.11 All students who have suspended their studies are contacted by the Student Administration Service prior to their return to study, to clarify their intention to return.
- 2.12 The University reserves the right to withdraw any students who do not return to their studies within one academic year.

3 Compulsory suspension

There are also circumstances in which the University may suspend students from their programmes of study (see Appendix III, UPR SA13²).

² Appendix III, UPR SA13 'Student Academic Misconduct Panel and Review of a Student Academic Misconduct Panel Decision'

4 Academic issues regarding voluntary suspension

- 4.1 Students who suspend their studies are defined as taking a break from studies, as such they are not entitled to receive any tuition, supervision or financial support.
- 4.2 Students who go dormant with outstanding assessments will normally be granted a deferral by the Module Board. A School may, exceptionally, allow the student to undertake an assessment(s) during a period of voluntary suspension. The final decision as to whether the student is permitted to take outstanding assessments rests with School and Schools must be particularly aware of students suspending their studies due to health problems and consider that such students may not be fit to take assessments during that time.
- 4.3 Students who normally have alternative arrangements for their assessments, may have those arrangements affected by the suspension of their studies, particularly, if those arrangements rely on the availability of DSA funding. Students in this position must discuss this with Student Wellbeing: Disability Services and their Programme Leader before suspending their studies.

5 Status of suspended students

- 5.1 In all circumstances, students are encouraged to seek advice from either their Programme Leader, the Ask Herts Hubs or the Office of the Dean of Students as appropriate, prior to suspending their studies.
- 5.2 Once a student has suspended their studies formally, access to University services may be restricted. This includes but is not limited to completing or submitting assessments, accommodation, learning resources, the Student's Union and Student Wellbeing Services.
- 5.3 Whilst on a period of suspension, students retain access to the virtual learning environment and their student ID cards. In certain circumstances such as, but not limited to, academic and non-academic misconduct, this access may be removed.

6 Apprentices - Break in Learning

- 6.1 Any student that is also completing an apprenticeship will be subject to the additional requirements in this section (6).
- 6.2 An apprentice must be in active learning every four weeks. If the apprentice is not engaging in active learning for a four-week period then they must have a 'Break in Learning' recorded. A Break in Learning is an authorised break from the apprenticeship, agreed with the employer, with the intention to resume the apprenticeship in the future.
- 6.3 A 'Break in Learning' may be for a variety of reasons including illness, maternity leave or parental leave or the apprentice may still be working but has agreed with their employer and provider to take a 'Break in Learning'.

- 6.4 The apprentice’s employer must agree that a ‘Break in Learning’ is appropriate. The University will work with employers to pause the apprenticeship account. The ESFA must be notified of a ‘Break in Learning’ through the Individual Learner Record (ILR).
- 6.5 The University must (i) replan the training and/or assessment, (ii) complete a return to learning interview, and (iii) reissue the apprentice’s training plan following return from a break in learning.

Signed:

Date: **1 August 2022**

Sharon Harrison-Barker
Secretary and Registrar

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Admissions - Undergraduate and Taught Postgraduate Students

UPR SA03 version 13.0

Policies superseded by this document

This document replaces version 12.0 of UPR SA03, with effect from 1 September 2022.

Summary of significant changes to the previous version

This document has been amended to include mention of DfE Apply and ECCTIS as appropriate.

Glossary

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

Table of contents

1	Introduction
2	Scope
2.2	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 Chairs
4.1	Academic Board
4.2	Recruitment and Admissions Policy Review Committee
4.3	Chair of the Recruitment and Admissions Policy Review Committee
4.4	Deans of School (Chairs of School Academic Committees)
5	General principles of admission
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
6.5	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 admissions decision
 - 7.4 Complaints
- 8 University admissions governance
 - 8.1 Academic Registrar
 - 8.2 Director of Student Administration Service
 - 8.3 Director of International
- 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 (Year 0) 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 recruitment²⁷
-

1 Introduction

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 Scope

- 2.1 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 SA02¹.)

2.2 Admissions guidelines and operating procedures²

Associated guidance is available on request from the Director of the Student Administration Service.

3 Definitions³

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

¹ UPR SA02 'Admissions - Research Students'
² Partner Organisations will have their own standard operating procedures although they may refer to the Director of Student Administration Service.
³ Partner Organisations may have their own definitions for the purposes of admitting students.

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) (see UPR GV08²);

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;

3.5 'international student':

a person from a country outside the United Kingdom.

4 Committees and Committee Chairs⁴

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 and admission activities.

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 Chair of the Recruitment and Admissions Policy Review Committee

It is the responsibility of the Chair 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 (Chairs of School Academic Committees)

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

⁴ Partner Organisations may have their own committee and management structures.

- 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 ⁵

- 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 judgement.
- 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 their 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 legislation⁶ 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.
 - v in considering each individual applicant for admission to a programme, evidence will be sought of the applicant's identity and nationality. The University will register the applicant in their full legal name as it appears in their passport or alternative government-approved document.

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

⁵ The principles of admissions also apply to all University programmes which are the subject of franchise or validation agreements.

⁶ 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.

6 Additional principles governing admission

6.1 Applicants with disabilities⁷

(See section 16.)

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 University⁸

(See UPR HS07⁹ and section 17 of this document.)

- 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, or for international students at the time of their arrival into the UK. 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-session programme which the applicant is to attend at the University or the time at which they propose to take up residence in University accommodation or the time at which they register 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 their University Identity Card.

(Note for guidance:

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

⁸ 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).

⁹ UPR HS07 ‘Children, Young People and Vulnerable Adults’

6.3 International applicants¹⁰

(See section 18.)

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 risk¹¹

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 their ability to meet the demands of the chosen programme, reasonable efforts should be made to provide them 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/Director of Student Administration Service/Director of International to the Chair 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

Once an offer has been made applicants may be expected to declare any criminal convictions. During the period between an applicant's acceptance of an offer from the University and their registration as a student of the University, they are required to advise the Dean of Students immediately if they have been charged with or convicted of a criminal offence.

¹⁰ Partner Organisations outside the UK will have their own definitions of 'abroad' and their own codes of practice.

¹¹ 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 applicants¹²

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 Ask Herts (Hutton) Hub or the International Office to admit students under the guidelines and within the agreed frameworks.
- iii The Vice-Chancellor, the Dean of School (or nominee), the Dean of Students, the Director of International or the Director of Student Administration Service 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 Director of Student Administration Service or Director of International of all appointments made under the provisions of 7.1.2, i and ii, and 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 Ask Herts (Hutton) Hub and the International Office 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.

¹² 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 Chair of the University's Recruitment and Admissions Policy Review Committee may take decisions.

7.2.2 The Director of Student Administration Service and Director of International 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 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 their 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 they are notified of the outcome of the review (see section 7.3, i).

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 their 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 SA16¹³.
- 7.4.3 A copy of UPR SA16¹³ must be provided to anyone wishing to make such a complaint.

¹³ UPR SA16 'Student and Applicant Complaints'

8 University admissions governance¹⁴

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 for all applicants and across all programmes of study. All changes to admissions policy will be considered at the Academic Registrars Recruitment and Admissions Advisory Group before approval is sought through the Chief Executives Group and the Recruitment and Admissions Policy Review Committee.

8.2 Director of Student Administration Service

The Director of Student Administration Service is responsible to the Academic Registrar for the efficient administration of admissions processed within the Ask Herts (Hutton) Hub. The Director of Student Administration Service (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.

(Note for guidance:

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

8.3 Director of International

The Director of International is responsible to the Academic Registrar for the efficient administration of admissions processed within the International Office.

9 Relationships with the Clearing Houses¹⁵

9.1 With the exception of the Postgraduate Certificate in Education, which recruits through DfE Apply, 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 DfE Apply in their respective publications.

9.3 Applicants are also required to comply with clearing house rules which are notified to them by UCAS and DfE Apply.

¹⁴ 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.

¹⁵ 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 programmes¹⁶

- 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 will receive an award certificate and transcript of results. If, within the current or following academic year, they subsequently decide to undertake further study on the same programme towards a higher award, the interim award certificate and transcript must be returned to the Assistant Registrar (Exams and Awards). If they return to study after one full academic year has passed, they will not be obliged to return this certificate or transcript (see UPR AS14¹⁷).

¹⁶ 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.

¹⁷ UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes'.

11 General entry requirements¹⁸

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 at Level 4 or above). Certain programmes also require GCSE Science or Double Science at Level 4 or above.
- 11.1.2 Unconditional offers are made to applicants without level 3 qualifications under very restricted circumstances, i.e. where ability can be evidenced in a practical way. This includes, but is not limited to, submission of evidence of abilities through videos, drawings, paintings, photographic pictures and audio recordings. The policy governing unconditional offers is reviewed annually.
- 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 Level 4 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:
- <https://www.herts.ac.uk/study/how-to-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 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.

¹⁸ 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.

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.

11.1.8 For international qualifications, guidance from ECCTIS (formerly NARIC) will be accepted as sufficient evidence for an equivalence. Evidence of the equivalency will be kept on the student record.

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 Level 4 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 qualifications¹⁹

- 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.
- 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 credit²⁰

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 AS11²¹ and

¹⁹ 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.

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.

²¹ UPR AS11 'Schedule of Awards'

- 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 Quality web site under the relevant section, 'Accreditation of Prior Experiential/Certificated Learning (APEL/APCL)'.

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)²².

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

²² See Consumer Contracts (Information, Cancellation and Additional Charges) Regulations 2013

- 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 and/or
- vi the applicant requires a visa to enter the country, but has been unable to meet the University's sponsorship criteria.

(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.

16 Admission of applicants with disabilities²³

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 (see section 5);
 - 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).

²³ 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.

16.1.5 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:

<https://www.herts.ac.uk/life/student-support/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 their 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:

<https://www.herts.ac.uk/life/student-support/disability-services/disability-advisers>

17 Applicants who will be minors when they register as students of the university

17.1 Statement of principle

See section 6.2 of this document and UPR HS07¹¹.

17.2 General regulations and procedures

- 17.2.1 Where it is likely that they register 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 Ask Herts (Hutton) Hub.)

- 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, they must nominate a person based in the UK to act as guardian and who is to be contacted in case of emergency.

18 International applicants²⁴

- 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 (see section 19).
- 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 language²⁵

19.1 Statement of policy

- 19.1.1 It is the University's policy that no student will be admitted to a programme unless they have the competence necessary in the English language to enable them to follow their 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.

²⁴ This regulation is not relevant to programmes delivered outside the UK.

²⁵ 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.

20 Determination of applicants' tuition fee status²⁶

The determination of tuition fee status (i.e. whether an applicant is 'home' or 'overseas' for tuition fee purposes) must be overseen by the Director of Student Administration Service (or nominee) to ensure that the regulations are interpreted fairly and consistently across the University, in accordance with current guidelines.

21 UK Visas and Immigration Service (UKVI)

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

22 Intake targets ²⁷

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 recruitment²⁷

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.

Signed:

Date: **1 August 2022**

Sharon Harrison-Barker
Secretary and Registrar

Alternative format

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

²⁶ These regulations are not generally applicable to franchised and validated programmes. Specific reference to such issues may appear in the relevant Memorandum of Agreement.

²⁷ These regulations are not generally applicable to franchised and validated programmes. Specific reference to such issues may appear in the relevant Memorandum of Agreement.

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Student Mental Wellbeing

UPR EQ07 version 07.0

Policies superseded by this document

This document replaces version 07.0 of UPR EQ07, with effect from 1 September 2020.

Summary of significant changes to the previous version

Section 4 has been amended to refer to the new Support to Study policy for students presenting with a complex mental illness (UPR EQ11 'Support to Study').

Glossary

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

Table of contents

1	Introduction
2	Scope
3	Policy
4	Students presenting with complex mental illness
5	Implementation

1 Introduction

This document incorporates, as appropriate, the agreed institutional terminology set out in UPR GV08¹ and should be read in conjunction with UPR EQ03².

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

¹ UPR GV08 'Glossary of Approved University Terminology'

² UPR EQ03 'Equality and Diversity Policy'

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.

(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 *their* 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 EQ03⁵), the Data Protection Policy (UPR IM08³) 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.

4 Students presenting with complex mental illness

- 4.1 When a student presents as having a complex mental illness, *they* 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 *their* student life, the Office of the Dean of Students and its Student Wellbeing teams will take pro-

³ UPR IM08 'Data Protection and Privacy Statement'

active steps to identify the most appropriate course of action in line with the Support to Study policy (see UPR EQ11).

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;
- 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 bi-annually by the Dean of Students.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2020**

Alternative format

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

Schedule of Awards

UPR AS11 version 15.0

Policies superseded by this document

This document replaces version 14.0 of UPR AS11, with effect from 1 September 2022.

Summary of significant changes to the previous version

Temporary amendments to section 2.4.1, introduced as a response to Covid-19 have now been removed. Section 4.3 has been amended to bring the credit requirements for all two-year awards into alignment, to 240 credits.

The Professional Doctorate in Psychotherapy has been removed.

The term 'candidate' has been substituted with 'student' in line with changes to other UPRs.

Glossary

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

Table of contents

1	Introduction and scope
2	Regulations for awards of the University of Hertfordshire
2.1	Academic Standards of University awards
2.2	Accredited Prior Learning (APL)
2.3	Joint Honours and Combined Honours awards
2.3.1	Joint/Joint combinations
2.3.2	Major/Minor combinations
2.3.3	Joint/Minor/Minor combinations
2.3.4	Use of 'and', 'with' and the ampersand ('&')
2.4	Award titles acknowledging employment experience
2.4.1	Sandwich awards
2.4.2	Awards for employment experience
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
 - 3 Higher degrees
 - 3.1 Higher Doctorates (Honorary)
 - 3.2 Higher Doctorates (by research)
 - 3.3 Initial Doctorate (Doctor of Philosophy)
 - 3.4 Initial Doctorate (professional doctorate)
 - 4 Master's Degrees
 - 4.1 Master's degrees (Honorary)
 - 4.2 Master's degrees (by research)
 - 5 Other Postgraduate Awards
 - 6 Post-experience and graduate awards
 - 7 Integrated Master's degrees
 - 8 Bachelor's degrees
 - 9 Foundation degrees
 - 10 Other Undergraduate Awards
 - 11 BTEC/EDEXCEL Awards
 - 12 Special awards
 - 13 Generic learning outcomes for unnamed University of Hertfordshire INTERIM awards
 - 14 Aegrotat and Posthumous awards
-

1 Introduction and scope

- 1.1 This document lists the awards approved by the Academic Board of the University.
- 1.2 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 Academic Standards of University awards

- 2.1.1 The standards of University awards are defined in terms of the usual pattern of full-time study, 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 (see also UPR AS14¹, 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 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 points required to achieve that award by following an approved programme of study. Any proposal to deviate from this must be approved by the University's Academic Development Committee.
- 2.1.5 For any award, credit achieved at a higher level can replace the need for credit at a lower level.
- 2.1.6 Where stated in the programme specification, a degree programme may count up to **30** credit points of Level **5** modules to meet the Level **6** credit requirement.
- 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 AS14¹, section A2.6.

¹ UPR AS14 'Structure and Assessment Regulations – Undergraduate and Taught Postgraduate Programmes'

2.2 Accredited Prior Learning (APL)

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 (ie 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, with a minimum of **30** credits required 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 D6.2.6 and D7.2.6, UPR AS14¹.

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 Award titles acknowledging employment experience

2.4.1 Sandwich awards

A sandwich award requires the successful completion of at least **30** weeks full-time equivalent placement activity from a maximum of two separate approved placements, neither of which will 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)>

2.4.2 Awards for employment experience

Successful completion of at least **12** weeks full-time equivalent placement activity (whether that be interrupted sandwich placement learning or alternative shorter periods of approved placement learning) from a maximum of two separate approved placements, neither of which will be normally less than 4 weeks in duration, will enable students to request the following award title:

<Award title with Employment Experience>

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 will 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 can be accessed via the staff section of the website.

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 (see section 2.10).

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 student 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 student and the student is not otherwise in debt to the University or, where applicable, another institution with which the student was registered.
- iii Where the programme has included a project or investigation involving one or more human subjects, the student 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 student 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 AS12²/UPR AS13³ (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 (see UPR AS10⁴).

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 AS21⁵.

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 AS21⁷.

² UPR AS12 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (University-delivered provision)'

³ UPR AS13 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (Partner Organisation-delivered provision)'

⁴ UPR AS10 'Research Degrees – Generic Institutional Regulations'

⁵ 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 AS23⁶.

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)

(See UPR AS02⁷.)

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 student 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
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3.3, A Doctor of Philosophy (PhD)

(See UPR AS10⁸.)

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.

⁶ UPR AS23 'Honorary Degrees'

⁷ UPR AS02 'Higher Doctorate Degrees'

⁸ UPR AS10 'Research Degrees – Generic Institutional Regulations'

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.

3.4 Initial Doctorate (professional doctorate)

DBA	Doctor of Business Administration
DClinPsy	Doctor of Clinical Psychology
CSecD	Doctor of Cyber Security
DDes	Doctor of Design
EdD	Doctor of Education
EngD	Doctor of Engineering
DFA	Doctor of Fine Art
ClinicalMD	Doctor of General Internal Medicine
DHRes	Doctor of Health Research
DHaSC	Doctorate in Health and Social Care
DHeritage	Doctor of Heritage
DMan	Doctor of Management
MD	Doctorate in Medicine
DrPH	Doctor of Public Health

3.4, A Professional doctorate

(See UPR AS10⁸.)

Doctor of Business Administration (DBA); Doctor of Clinical Psychology (DClinPsy); Doctor of Cyber Security (CSecD); Doctor of Design (DDes); Doctor of Education (EdD); Doctor of Engineering (EngD); Doctor of Fine Art (DFA); Doctor of Health Research (DHRes); Doctorate in Health and Social Care (DHaSC); Doctor of Heritage (DHeritage); Doctor of Management (DMan); Doctorate in Medicine (MD), Doctor of Public Health (DrPH), and Doctor of General Internal Medicine (ClinicalMD).

A Professional Doctoral Degree will be awarded to a student 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 AS23⁶.

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

4.2, A Master of Philosophy (MPhil)

(See UPR AS10⁸.)

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)

(See UPR AS10⁸.)

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 will be awarded to a student 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 student'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 will be awarded to a student 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
MArch	Master of Architecture
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
Taught Master's Degree (other than awards specified below): 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
Extended taught Master's Degree: 240 credits, to include at least 210 credits @ Level 7 (with no more than 15 credits below Level 6)	4 or 5 Semesters	60 @ 7	180		15		15	150
Master of Architecture: 240 credits @ Levels 6/7, to include at least 180 credits @ Level 7	4 Semesters	60 @ 7	180				60	120

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 Architecture (MArch)

The title Master of Architecture is reserved for specialist design-based programmes focused on Architecture

4.3, C 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 should normally have at least three (3) years relevant experience in a management role.

4.3, D 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.

4.3, E Master of Education (MEd)

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

4.3, F Master of Laws (LLM)

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

4.3, G 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, H Master of Midwifery (MMid)

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

4.3, I 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, J 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, K 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
Postgraduate Diploma: 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
Postgraduate Certificate in Education: 120 credits @ Level 6/7, to include at least 60 credits @ Level 7	2 Semesters	30 @ 7	90*				60	30
Diploma in Management Studies: 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
Postgraduate Certificate: 60 credits, to include at least 45 credits @ Level 7	1 Semester	30 @ 7	30		15			15
Postgraduate Certificate in Management Studies: 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 students 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 students 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 APCL/ APEL, and Level					
			Total	0	4	5	6	7
Professional Graduate Certificate in Education: 120 credits @ Level 6	2 Semesters	30 @ 6	90*				90	
Graduate Diploma: 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	
Graduate Certificate: 60 credits, of which at least 45 must be @ Level 6	1 Semester	30 @ 6	30		15		15	
Practice Certificate in Supplementary Prescribing: 30 credits @ Level 6/7	2 Semesters	30 @ 6	0					
Practice Certificate in Independent Prescribing: 30 credits @ Level 6/7	2 Semesters	30 @ 6/7	0					
Certificate in Professional Development: 30 credits @ Level 7/6/5/4	1 Semester	30 @ 7/6/5/4	0					
Diploma in Professional Development: 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
MPhys	Master of Physics
MPharm	Master of Pharmacy
MOptom	Master of Optometry
MRegSci	Master of Regulatory 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
Integrated Master's Degree: 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 (MPharm)

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.

7, E Master of Regulatory Science (MRegSci)

The title 'Master of Regulatory Science' is reserved for an undergraduate programme in the regulatory aspects of pharmaceutical studies which extends beyond the level and duration of a programme leading to the Bachelor of Science Degree with Honours. It also incorporates a practice component within the pharmaceutical industry.

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
Extended Bachelor's Degree with Honours: 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	
Bachelor's Degree with Honours (classified): 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	
Bachelor's Degree with Honours (without classification): 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	
Bachelor's Degree (without Honours): 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). All Bachelor's Degrees identified in 8,E to 8,I, below are available with Honours.

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 is also available for students with overseas entry qualifications equivalent to one (1) year's higher education study.

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 study specialising 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) will be distinguished from those who do not (awarded LL B (with or without Honours) Non-Qualifying). Where study of law is combined with the study of other subjects not related to law, LLB will not be awarded.

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 programmes and Joint Honours programmes involving the study of two or more subjects, 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
Foundation Degree: 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:

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
Diploma of Higher Education: 240 credits, including at least 120 @ Level 5	4 Semesters	60 @ 5	180		120	60		
University Diploma: 180 credits, including at least 60 @ Level 5	3 Semesters	45 @ 5	135		120	15		
Certificate in Education: 120 credits @ Level 4	2 Semesters	30 @ 4	90		90			
Certificate of Higher Education: 120 credits @ Level 4	2 Semesters	30 @ 4	90		90			

Enhanced University Certificate: 75 credits @ Level 4	2 Semesters	30 @ 4	45		45			
University Certificate: 45 credits @ Level 4	1 Semester	30 @ 4	15		15			
Foundation Certificate: 120 credits @ Level 0	2 Semesters	30 @ 0	90	90				

10, A Diploma of Higher Education (DipHE)

Refer to table (above).

10, B University Diploma (Dip)

Refer to table (above). This award is available as a final intended award only.

10, C 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, D Certificate of Higher Education (CertHE)

Refer to table (above).

10, E Enhanced University Certificate (EnhCert)

The Enhanced University Certificate is reserved for Learning Support programmes in the School of Social Sciences, Humanities and Education.

10, F University Certificate (Cert)

Refer to table (above). This award is available as an unnamed interim award or a named final intended award only.

10, G Foundation Certificate (FCert)

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
Higher National Diploma: 240 credits, including at least 120 @ Level 5	4 Semesters	60 @ 5	180		120	60		
Higher National Certificate: 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).

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
Diploma in Work Experience: 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 When a final intended award is validated, it is possible for an unnamed interim award to be validated at the same time. These unnamed awards are made when a student has achieved the requisite number of credits at the appropriate level but 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 descriptors⁹:

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.

⁹ <https://www.qaa.ac.uk/docs/qaa/quality-code/qualifications-frameworks.pdf>

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;
 - 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 D9, UPR AS14¹.

- 14.2 Any award of the University, other than honorary awards, may be conferred posthumously and accepted on behalf of the student 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 D9, UPR AS14¹.

Signed:

Date: **1 August 2022**

Sharon Harrison-Barker
Secretary and Registrar

Alternative format

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

Structure and Assessment Regulations – Undergraduate and Taught Postgraduate Programmes^A

UPR AS14 - version 16.0

Policies superseded by this document

This document replaces version 15.0 of UPR AS14, with effect from 1 September 2022.

Summary of significant changes to the previous version

Serious Adverse Circumstances has been renamed 'Exceptional Circumstances' to address issues of confusion and understanding by students.

Changes to responsibilities of Module and Short Course Boards have been made to provide greater certainty to students about the outcome of their Exceptional Circumstances requests.

Amendments have been made to ensure the exceptions to the 'fit to sit' operate fairly.

Amendments have been made to specify a minimum requirement for full time study, below which a student is classed as part-time.

Other minor amendments have been made to reflect changes in organisational structures.

Glossary

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

Table of contents

Introduction

A	Definitions and regulations relating to teaching
A1	Semesters
A2	Modules and credit-bearing short courses
A2.1	Definition of a module
A2.2	Definition of a credit-bearing short course
A2.3	Module and short courses are further defined:

^A

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 Director of 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.

- 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
- A3 Awards, programmes and courses
- A4 Study Rates within an academic year
 - A4.1 Minimum, normal and maximum study rates
 - A4.2 Study rates for individual students
- 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
 - B4.2 Approval of variations to the assessment and conferment regulations
 - B5 Authority of the Academic Board
 - B6 Vice-Chancellor
- C Boards of Examiners
 - C1 General regulations for Boards of Examiners
 - C2 Chair'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 Exceptional Circumstances team
 - C3.8 Exceptional Circumstances
 - C3.9 Academic Misconduct
 - 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
 - D5.3 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 Degrees)
 - 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 Final awards – Determination of a Grade Point Average (GPA)
- D9 Posthumous and Aegrotat Awards
- D10 Reassessment for award
 - D10.2 Reassessment for award - undergraduate programmes
 - D10.3 Reassessment for award - postgraduate programmes
- D11 Viva Voce examinations
- D12 Students' fitness to practise
 - D12.1 Where a student is permitted, exceptionally, to continue on the programme
 - D12.2 Where a student is permitted, exceptionally, to transfer to another programme
- D13 Arrangements for collaborative programmes
- E External Examiners
 - E1 General information
 - E1.1 Programme External Examiners
 - E1.2 Module External Examiners
 - E1.3 Short Course External Examiners
 - E2 Role, responsibilities, rights and duties of Programme External Examiners
 - E2.4 Responsibilities of Programme External Examiners
 - E3 Role, responsibilities, rights and duties of Module External Examiners and Short Course External Examiners
 - E4 Matters of concern to External Examiners
 - E5 Disagreements between or with External Examiners

Introduction

These regulations have been approved by the Academic Board. With the exception of examinations and assessments deferred or referred from the Academic Year 2021-2022, the regulations, procedures and guidelines set out in this document will apply to all examinations and assessments conducted on or after 1 September 2022.

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 (see UPR AS17^B).

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 Academic Standards and Audit Committee of the Academic Board will ensure that these regulations are maintained, referring any issues of principle to the Academic Board for decision.

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.

^B UPR AS17 'Academic Quality'

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^c, 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 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 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.)

^c UPR GV08 'Terminology – Glossary of Approved University Terminology'

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
		5	Not specified
		10	Not specified
15	1 semester	15	Not specified
		20	Not specified
		25	Not specified
		30	Not specified
30	1 or 2 semesters		
45	1, 2 or 3 semesters		
60	1, 2 or 3 semesters		
90	2 or 3 semesters		
120	2 or 3 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 will be delivered continuously within permitted teaching weeks without any breaks.
- iv Assessment for a module will 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
30	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:

Academic Level (also QAA Framework for Higher Education Qualifications Level, and Regulated Qualifications Framework level):	Description:
1	The University recognises modules and awards at Level 1 . These are reserved for Further Education level awards regulated by OfQual.
2	The University recognises modules and awards at Level 2 . These are reserved for Further Education level awards regulated by OfQual.
3	The University recognises modules and awards at Level 3 . These are reserved for Further Education level awards regulated by OfQual.
0	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.
4 (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.
5 (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 .
6 (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 (see UPR AS11 ^D).
7 (previously Level M)	Level 7 modules and short courses represent exit level standard for a Master's degree in that subject.

(Note:

^D UPR AS11 'Schedule of Awards'

- 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.)

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^D. 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 Study Rates within an academic year

(NOTE

- 5** One credit represents 10 notional hours of learning. This includes not only formal contact hours, but also preparation for these, private reading and study, and the completion of formative assessment tasks and revision.)

A4.1 Minimum, normal and maximum study rates

The normal rate of full-time study is **120** credit points per two (**2**) semester academic year and **180** credit points per three (**3**) semester academic year.

The table below shows the minimum and maximum study rate for full-time and part-time students:

	Part-time study rates (credits)	Minimum full-time study rates (credits)	Normal full-time study rate (credits)	Maximum full-time study rate (credits)
1 Semester	15 - 30	45	60	75
2 Semesters	30 - 75	90	120	150
3 Semesters	30 - 105	120	180	210

Compulsory zero (**0**) credit-rated placement activity contributes to these credit requirements through the hours of placement required (i.e. each 150 hours of placement contributes the equivalent of 15 credits).

Any programme exemptions will require the prior written consent of the Director of Academic Quality Assurance (or Deputy).

A4.2 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.

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 (see UPR AS11^D). 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^E and section 5, UPR AS13^F 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.

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.

^E UPR AS12 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (University-delivered provision)'^E

^F UPR AS13 Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (Partner Organisation-delivered provision)'

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 Chairs;
- 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

6 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^D.

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 (see section B.4.1, ii). 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 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 'Authority of the Academic Board' apply.
- C1.7 The title and Chair 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 Chair and the dates on which it is scheduled to meet (and any subsequent amendments to this information) will be published by the Head of Student Administration (or nominee) to the students concerned, and reported to the Academic Board.
- C1.8 The title and Chair 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 Chair and the dates on which it is scheduled to meet (and any subsequent amendments to this information) will be published by the Head of Student Administration (or nominee) to the students concerned, and reported to the Academic Board.
- C1.9 The title and Chair 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 Chair and the dates on which it is scheduled to meet (and any subsequent amendments to this information) will be published by the Head of Student Administration (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 Chair of a Board of Examiners. The proposed alternative Chair 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 will 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 student beyond the usual academic one is obliged to declare such an interest in confidence to their Dean of School and/or the Chair 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 Chair 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 student's work with the appropriate degree of impartiality and objectivity. They 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 Chair 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 Chair'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 Chair'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 Chair will have delegated authority to take action, with or without consultation with Board members.
- C2.2 Chair'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 Exceptional Circumstances);
 - ii where matters referred are considered by the Chair 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 (see as appropriate Appendix I, UPR AS12^J or Appendix I, UPR AS13^K);
 - 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 Chair'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 Chair 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 (see as appropriate Appendix I, UPR AS12^J or Appendix I, UPR AS13^K).
- C2.5 Following appropriate consultation and external examiner's approval (see sections C2.3 and C2.4, above), the Chair 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 Chair's Action should normally be taken by the Chair of the Board of Examiners. However, in circumstances where the Chair is unable to carry out Chair'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 Chair'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 (see section C3.1) 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 will be composed as follows:

- i a Chair, nominated by the Dean of School and appointed by the Vice-Chancellor;

(Chairs 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, Chairs are required to declare to the Board any modules or short courses under consideration on which they have taught or assessed)

(NOTE:

- 7** The procedures for the appointment and the responsibilities of Chairs of Board of Examiners are set out in Appendix I of this document (Appendix I, UPR AS14^G.)
- 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 Head of Student Administration

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 their 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 Chair on procedural issues.

In attendance

The Chairs (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:

- 8** The procedures for appointment and the responsibilities of Clerks to the Boards are set out in Appendix II, UPR AS14^H.)

^G Appendix I, UPR AS14 'Chairs of Boards of Examiners – Roles and Terms of Reference'
^H Appendix II, UPR AS14 'Clerks to Boards of Examiners – Role and Responsibilities'

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 students, in accordance with section D1 'Assessment and Award Regulations' of this document (UPR AS14);
- iii to receive decisions on Exceptional Circumstances (see section 3.8) that have been recommended to the Module Board via the Exceptional Circumstances team and to determine the appropriate status code. Only Exceptional Circumstances submitted on the Student Portal will be considered. However, where an Exceptional Circumstances request has been accepted by the Exceptional Circumstances team (see section 3.7), the Module Board may apply the decision to other assessments that fall within the relevant timescale but that have not been included by the student in their request.
- iv Module Boards and Short Course Boards may only overturn decisions of the Exceptional Circumstances team:
 - a if acceptance of an Exceptional Circumstances request is contrary to programme specific assessment regulations; or
 - b where the student has provided incorrect information e.g. they have not indicated that they sat /submitted the relevant assessment, or the assessment hand-in dates given are incorrect and so do not align with the dates on evidence provided; or
 - c if an administrative error on the part of the Exceptional Circumstances team comes to light (e.g. dates misread).
- v where a student has successfully appealed to the Dean of School (or nominee) against a rejection of their request for Exceptional Circumstances, within the permitted grounds of appeal set out in UPR AS12 Appendix 1^J section 5.4, the Module Board must follow the decision and determine and apply the appropriate status code.
- vi to consider other written communications from staff and/or students relevant to its work which they wish the Board to take into account e.g. issues concerning learning and teaching, errors on an examination paper, disruption caused by fire alarms.

- vii to apply the academic penalties imposed in proven cases of Academic Misconduct (see Appendix III, UPR AS14^I).
- viii 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;
- ix 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 (see as appropriate, Appendix I, UPR AS12^J or Appendix I, UPR AS13^K);
- x to issue results to students after each Module Board or Short Course Board.

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 students 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 students 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.

^I UPR AS14, Appendix III 'Academic Integrity and Academic Misconduct'

^J UPR AS12, Appendix I 'Assessments and Examinations - Regulations for Students (Including Requests for the Review of Examination Decisions (Appeals Procedure) (University-delivered provision)'

^K UPR AS13, Appendix I 'Assessments and Examinations - Regulations for Students (Including Requests for the Review of Examination Decisions (Appeals Procedure)) (Partner Organisation-delivered provision)'

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 Chair/Chairs 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 (see section 9.3.1, UPR AS12^E/section 9.3.1, UPR AS13^F).

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 Chair of the Programme Board has authority to rule on study programmes for individual students, acting in consultation with Chairs of Module Boards and programme officers as appropriate.

C3.7 Exceptional Circumstances team

C3.7.1 The Exceptional Circumstances team is established under powers delegated by the Academic Board.

C3.7.2 The Exceptional Circumstances team is designed to provide an 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 Exceptional Circumstances.

C3.7.3 The decisions of the Exceptional Circumstances team must be recorded. If necessary, an 'in confidence' record, accessible only to the Team Leader will be kept to provide justification for the decision of the team.

C3.8 Exceptional Circumstances

C3.8.1 Exceptional Circumstances are significant unforeseen circumstances beyond a student's control that would have affected their ability to perform to their full potential if they 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 their programme of study, they should consult the online advice and guidance on Ask Herts and discuss their concerns with either their personal tutor or an academic support officer or their programme leader.

C3.8.3 Exceptional Circumstances significantly affecting student performance will only be considered by a Module Board or Short Course Board if submitted by the student via their Student Portal. The request(s) must be submitted by the student at the earliest possible time after the applicable assessment deadline and within fifteen (15) working days of the assessment deadline, and at least five (5) working days before the applicable Board of Examiners' meeting. Information and guidance are available to students via the 'Ask Herts' service to explain how to submit a request for Exceptional Circumstances. Students may find out the dates of the relevant Module or Short Course Board via the Ask Herts service.

C3.8.4 Students who sit or submit an assessment deem themselves to be sufficiently able to take the assessment and cannot later claim to have suffered Exceptional Circumstances.

C3.8.5 However, the following two circumstances are considered to be exceptions to C3.8.4, above:

- i where, at the time of sitting or submitting the assessment concerned, the student was not capable of understanding that their performance was likely to be affected seriously by ill health and/or its treatment and this view has the written support from a psychiatrist or mental health practitioner who has been treating the student over a period of time. A GP may also give support if they are aware of (a) treatment or referrals to such specialists (b) an incident close to the assessment date that may have temporarily affected the student's capacity to take decisions.

Requests based on exception i must be made by a student via their Student Portal using the submit request function within fifteen (15) working days of the assessment date.

or

- ii where a student suddenly becomes unwell during an examination or in-class test and elects to leave without completing the assessment. Where the assessment is invigilated, before leaving the examination room, the student must notify the Invigilator or Proctor of the Exceptional Circumstances which have necessitated their leaving the examination or test.

Requests based on exception ii must be made by a student via their Student Portal by midnight on the calendar day after the on-line assessment. By submitting a request based on exception ii, a student renders their original attempt null and void.

C3.8.6 A student's Exceptional Circumstances request must include full details and written evidence from independent third parties. If the student is concerned about the personal nature of the information or finds it difficult to obtain evidence they 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 Exceptional Circumstances will be treated as confidential. Where circumstances are particularly sensitive, students may request that they are disclosed only to the Exceptional Circumstances team, unless further permission has been sought and granted by the student.

C3.8.8 The acceptance of Exceptional Circumstances will not necessarily cause the Module Board or Short Course Board to come to a different decision.

C3.9 Academic Misconduct

C3.9.1 Academic Misconduct is:

- i defined in Appendix III UPR AS14[!]. Student Programme Handbooks should also include a section on Academic Misconduct;
- ii breaches of the University's academic regulations;
- iii dealt with in accordance with the procedures set out in Appendix III, UPR AS14[!].

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 their 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 will be composed as follows:

- i a Chair, nominated by the Dean of School and appointed by the Vice-Chancellor

(NOTE:

- 10** The arrangements for the appointment and the responsibilities of Chairs of Boards are set out in Appendix I of this document (see Appendix I, UPR AS14⁶.)

- 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 Head of Student Administration

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 Chair on procedural issues.

(NOTE:

- 11** The arrangements for the appointment and the responsibilities of Clerks to the Boards are set out in Appendix II of this document (see Appendix II, UPR AS14^H.)

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:

- 12** 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 rectify errors (see section C4.3.1, xii and xiii.)

- 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:

13 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:

14 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 D9.4);
- 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 (see as appropriate Appendix I, UPR AS12^J or Appendix I, UPR AS13^K);
- 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 students, the Chair of the Programme Board of Examiners will consult with the Chair/Chairs of relevant Module Boards of Examiners, the relevant Head of Student Administration 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 students, the case must (in addition to the consultation process defined in section C4.3.1, xii) be considered by the full Programme Board of Examiners, including the External Examiner(s). At the discretion of the Chair 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 will be invited to attend a meeting of the sub-group and, if unable to be present, will 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 (see section 9.3.2, UPR AS12^E/section 9.3.2, UPR AS13^F).

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

Grade awarded				Interpretation of Grade	
100-point Numeric Grade	Grade Point ¹	19-point Numeric Grade	10-point Numeric Grade	Grade Descriptor ³	Indicative Classification Descriptor
90-100 ²	4.50	95 ²	95 ²	Outstanding	1 st Class Honours/ Distinction
80-89		85	85	Excellent	
75-79		77	75	Very good	
70-74		72			
67-69	3.75	68	65	Good	Upper 2 nd Class Honours/ Commendation
64-66	3.50	65			
60-63	3.25	62			
57-59	3.00	58	55	Clear pass	Lower 2 nd Class Honours/ Pass
54-56	2.75	55			
50-53	2.50	52			

				Levels 0, 4, 5, 6	Level 7	Levels 0, 4, 5, 6	Level 7
47-49	2.25	48	45	Marginal pass	Marginal fail	3 rd Class Honours/ Pass	Not applicable
44-46	2.00	45					
40-43	1.75	42					
37-39	1.00	38	35	Marginal fail	Clear fail	Not applicable	
34-36	0.75	35					
30-33	0.50	32					
20-29	0.25	25		25			
0-19	0.00	10 0	10 0	Little or nothing of merit			

- 1 Module Boards award grade points alongside numeric grades for all modules from 2017/18.
- 2 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'.
- 3 The University's Grade Descriptors are contextualised at School, subject or programme level. In doing so, Schools must take account of the QAA outcome classification descriptions, at:
https://www.qaa.ac.uk/docs/qaa/quality-code/annex-d-outcomeclassification-descriptions-for-fheq-level-6-and-fqheis-level-10-degrees.pdf?sfvrsn=824c981_10.

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(REF)	A module or short course passed at referral. The numeric grade for the module is limited through elements failed and re-attempted being capped to the minimum pass grade.
P(REN)	A module or short course passed at re-enrolment, or where an alternative module to a failed module has been passed.
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 referred (that is, reassessed without re-enrolment) in the examination 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 referred (that is, reassessed without re-enrolment) in the coursework 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 referred (that is, reassessed without re-enrolment) in both 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 re-enrolment , with reassessment in the examination element only. 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 re-enrolment , with reassessment in coursework 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
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 re-enrolment , with reassessment in all elements. Re-enrolment is not available at any stage on repeating a module or short course which has been passed.
FNFA	Fail, no further attempts. The student has failed to meet the minimum pass criteria and may not seek further re-enrolment or reassessment 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. 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 'Academic Misconduct').
DEFE	Deferred in examination. The Module Board or Short Course Board will allow the student to undertake a deferred examination because of proven Exceptional Circumstances.
DEFC	Deferred in coursework. The Module Board or Short Course Board will allow the student to undertake deferred coursework because of proven Exceptional 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 Exceptional 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:

15 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 Exceptional 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 their programme;
- iii or where their 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, they 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.

If the student seeks admission to further study on this programme within the current or following academic year, this will only be granted on return of the interim award certificate and transcript. 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:

- 16** The progression criteria in sections D3.6 to D3.9 describe minimum expected levels of achievement. Further constraints may be imposed by Programme Boards, for instance to reflect Professional or Statutory Regulatory Body requirements or to preserve the academic coherence of the programme across levels of study.)

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 will 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 D7.2.4.
- 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 D7.2.4.
- 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 D7.2.4.

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 D7.2.4.

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:

17 Grades DEFC, DEFE and DEFB will be used by Module Boards and Short Course Boards to indicate the recommended type of deferral. See section D1.2.)

D5.1.1 The Exceptional Circumstances team may recommend that a student who has attempted one or more assessments, because of proven Exceptional Circumstances, may be permitted to undertake deferred assessments in the following circumstances:

- i the student was not capable of understanding that their 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 Exceptional Circumstances to support such request (see section C3.8.4).

The Module Board or Short Course Board will normally follow the recommendation of the Exceptional Circumstances team.

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 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 Exceptional Circumstances, their 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 student 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 student including those results where the student has claimed Exceptional Circumstances (see section D5.4).

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 they have 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:

- 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 student 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 student with proven Exceptional 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(REF) status code for the module. The numeric grade for the module will be limited by any assessment elements which have been failed and then passed at referral being capped to the minimum pass grade.

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 they have 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:

- 19** 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 student 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 student with proven Exceptional 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(REF) status code for the module. The numeric grade for the module will be limited by any assessment elements which have been failed and then passed at referral being capped to the minimum pass grade.
- 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 they have 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 their 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.
- 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. Further re-enrolment on the replacement module is not allowed.

D5.4 Availability of Reassessment Opportunities (by Referral, Deferral or Re-enrolment)

A student for reassessment may not demand assessment in elements which are no longer current in the programme. It is the student'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:

- 20** Throughout sections D6 and D7 the word 'average' will 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 student:

- 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), above; and
 - iv the student'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 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.
- D6.1.4 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.
- D6.1.5 For direct entrants to Level **6**, direct entrants with 45 credits or more of APL at level 5, 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.
- D6.1.6 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 student:
- 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), above; and
 - v the student'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 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.
- D6.2.4 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.
- D6.2.5 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 student's Honours classification will be considered on the basis of this combined average numeric grade.
- D6.2.6 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 student must achieve a combined average numeric grade of **69.50** or more;
- ii For an upper second class Honours award** a student must achieve a combined average numeric grade of **59.50** or more;
- iii For a lower second class Honours award** a student must achieve a combined average numeric grade of **49.50** or more;
- iv For a third class Honours award** a student must achieve a combined average numeric grade of **39.50** or more.

D6.3.2 Students 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.

(NOTE:

21 University regulations allow for up to 30 credits of failed modules (at any academic level) to be compensated by the programme board, with the classification grade being reduced by 2.5 for each 15 credits compensated. During the Covid-19 pandemic, programme boards are instructed to compensate within existing limits and not apply the penalty to the classification grade. However, where there is a proven case of academic misconduct at stage 2 or stage 3, as defined in UPR AS14 Appendix III¹, in the failed module, the compensation penalty should be applied.

D6.3.3 Students 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 student 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 (see section D7.1) 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 student 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 student 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 Students 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.

(NOTE:

22 University regulations allow for up to 30 credits of failed modules (at any academic level) to be compensated by the programme board, with the classification grade being reduced by 2.5 for each 15 credits compensated. During the Covid-19 pandemic, programme boards are instructed to compensate within existing limits and not apply the penalty to the classification grade. However, where there is a proven case of academic misconduct at stage 2 or stage 3, as defined in UPR AS14 Appendix III¹, in the failed module, the compensation penalty should be applied.)

D7.2.5 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 student has already qualified for an interim award without Distinction or Commendation, these may not be added subsequently.

D7.2.6 For entrants to taught Master's Degrees where up to 30 credits of non-University of Hertfordshire 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 non-University of Hertfordshire 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.

- D7.2.7 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.
- D7.2.8 Any graded University of Hertfordshire credit 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.
- D7.2.9 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:

23 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 student 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 student'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 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.

D8.4 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 student 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 Posthumous and Aegrotat Awards

D9.1 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 they are a student (with or without Honours classification, Distinction or Commendation, as appropriate). In order to reach a decision, a Programme Board of Examiners may assess the student by whatever means it considers appropriate: it may also recommend a posthumous award, up to the student's final intended award where at least one third of the student's programme of studies had been completed;
- 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 student 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 (in recognition of an incomplete programme of study, and without classification). The student may, however, decline the award and seek reassessment without penalty.

D9.2 In the case of an aegrotat award, before a recommendation under (i) or (ii) above is implemented the student must, within reason, have signified, in writing, that they are willing to accept the award and that accepting implies waiving the right to be reassessed under D5 above as a deferred, referred or re-enrolled student.

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' will 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/FRENC/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 (see sections D5.3 and C4.3.1, iii).

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 Students 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 (i) part of the approved module assessment process for students, (ii) written into programme-specific regulations, or (iii) authorised by the Associate Dean of School (Academic Quality Assurance) (or nominee) where suspected plagiarism or another assessment offence is being investigated, viva voce (that is, oral) 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.

D12 Students' fitness to practise

Successful completion of a Professional Programme (at any level), as defined in UPR SA15^L, would make the student concerned eligible to apply for Registration and/or would entitle them to practise and/or would indicate the student's potential suitability to practise. UPR SA15^L 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^L 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^L. UPR SA15^L 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 their exclusion from the University, a student may be permitted to continue on their programme. In these circumstances, a Student Fitness to Practise Panel may impose a lesser penalty.

(NOTE:

24 UPR SA15^L 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 their exclusion from the University had they 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 them from achieving any Registration (as defined in UPR SA15^L) associated with the new award or render them 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 they have chosen;
 - c the student meets the entry requirements for the programme;
 - d the student is judged to be a suitable student 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 they enrol on their new programme.

^L UPR SA15 'Student Fitness to Practise'

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 Chair/Chairs 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) will either be accepted as final by the Board of Examiners or will 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 (see section 9.3.2, UPR AS12^E/section 9.3.2, UPR AS13^F). 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 Chair 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 Chair 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 their written agreement to the decisions of the Board must be obtained (see section 9.3.1, UPR AS12^E/section 9.3.1, UPR AS13^F). 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 students: 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 Chair 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 Chair 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, they may invoke QAA's concerns scheme:

<http://www.qaa.ac.uk/reviewing-higher-education/how-to-make-a-complaint>

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:

- 25** 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 will be as follows:
- i a senior member of the academic staff, nominated by the Vice-Chancellor and appointed by the Academic Board, who will be Chair
 - 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 (see section E4.2).

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

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Chairs of Boards of Examiners - Role and Terms of Reference

UPR AS14, Appendix I - version 16.0

Policies superseded by this document

This document replaces version 15.0 of UPR AS14, Appendix I, with effect from 1 September 2022.

Summary of significant changes to the previous version

Minor amendments have been made to bring the document in line with changes to other UPRs (section 2.2 regarding academic misconduct has been deleted).

Glossary

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

Table of contents

- 1 General
- 2 Module Boards and Short Course Boards
- 3 Programme Boards

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 Chair 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 (see UPR AS14¹) make a clear distinction between the responsibilities of Module, Short Course and Programme Boards of Examiners and the responsibilities of Chairs to these Boards vary accordingly.

¹ UPR AS14 'Structure and Assessment Regulations – Undergraduate and Taught Postgraduate Programmes'

2 Module Boards and Short Course Boards

The key responsibilities of a Chair 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 they think 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);
- viii to ensure that the Chairs 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 students;
- x following the Board, to check, approve and sign the minutes as a true and accurate record of the proceedings.

3 Programme Boards

3.1 The key responsibilities of a Chair 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 C4.2, UPR AS14¹;
- 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 C4.3, UPR AS14¹);
- 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 they think 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.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

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Clerks to Boards of Examiners – Role and Responsibilities

UPR AS14, Appendix II - version 16.0

Policies superseded by this document

This document replaces version 15.0 of UPR AS14, Appendix II, with effect from 1 September 2022.

Summary of significant changes to the previous version

Minor amendments have been made in line with amendments to other UPRs and to reflect changes in organisational structures.

Glossary

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

Table of contents

- 1 General
- 2 Module Boards and Short Course Boards
- 2.2 Minutes
- 3 Programme Boards

1 General

- 1.1 The Secretary and Registrar has delegated the appointment of Clerks to the Heads of Student Administration 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 (see UPR AS14¹) 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:

¹ UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes'

A Clerk to a Module Board may be dealing with students from a number of programmes across the University registered on modules for which they have responsibility. The Clerk of a Programme Board will be dealing only with the students registered on the programme for which they have 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 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 Chair 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 Chair (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;
- 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 Exceptional 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 administrators;
- ix the co-ordination of arrangements for referred and deferred assessments;
- x in collaboration with the Chair 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 Chair of the Module Board or Short Course Board and authorisation by the Head of Student Administration (or nominee) or, for collaborative programmes, to the AR(SA-CP), the issuing of confirmed results to students;

- xii ensuring that the Board is notified of any special examination arrangements agreed for disabled or other students (see Appendix II, UPR AS12²/ Appendix II, UPR AS13³).
- 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 Head of Student Administration (or nominee) or, for collaborative programmes, AR(SA-CP).)

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 2.2.4 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 Chair for approval within **30** working days of the date of the meeting.
- 2.2.4 The draft minutes should normally be approved by the Chair, 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 Chair, 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 Head of Student Administration or, as appropriate, for collaborative programmes, to the AR(SA-CP), and, on request, to the Secretary and Registrar.

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;

² Appendix II, UPR AS12 'Assessments and Examinations - Students with Disabilities or other Additional Needs (University-delivered provision)'

³ Appendix II, UPR AS13 'Assessments and Examinations - Students with Disabilities or other Additional Needs (Partner Organisation-delivered provision)'

- ii making all administrative arrangements related to the Programme Boards for which they are responsible, including establishing dates of meetings with the Chair 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 Chair (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;
- 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:

See UPR AS12⁴/UPR AS13⁵, as appropriate.)

- 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.
- 3.2.2 The minutes are confidential to members of the Board and the officers listed in section 3.2.4 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 Chair for approval within **30** working days of the date of the meeting.

⁴ UPR AS12 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (University-delivered provision)'

⁵ UPR AS13 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (Partner Organisation-delivered provision)'

- 3.2.4 The draft minutes should normally be approved by the Chair, 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 Chair, 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 Head of Student Administration or, as appropriate, for collaborative programmes, to the AR(SA-CP), and, on request, to the Secretary and Registrar.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

Alternative format

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Academic Integrity and Academic Misconduct

UPR AS14 Appendix III - version 16.0

Policies superseded by this document

This document replaces version 15.0 of Appendix III, UPR AS14, with effect from 1 September 2022.

Summary of significant changes to the previous version

Minor amendments have been made in line with amendments to other UPRs.

Glossary

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

For the purpose of this document, 'you/my' means 'the student/the student's'.

Table of contents

1	What is Academic Integrity?
2	What is Academic Misconduct?
2.2	Plagiarism
2.3	Self-Plagiarism/ duplicate submission
2.4	Collusion
2.5	Contract Cheating
2.6	Misappropriation of material submitted for assessment
2.7	Fabrication or Falsification of Data
2.8	Fake referencing
2.9	Making your work available for others to copy
2.10	Examination Misconduct
2.10.3	Use of unauthorised materials
2.10.4	Unauthorised use of examination materials
2.10.5	Use of technology in an examination
2.10.6	Copying
2.10.7	Communicating
2.10.8	Failure to comply with the instructions of an invigilator
2.10.9	Misuse of temporary absence
2.10.10	Disruptive behaviour
2.11	Ethics Misconduct
2.12	Breach of Professional Confidentiality
2.13	False Declarations
2.14	Impersonation

- 2.15 Bribery and / or intimidation in relation to assessment
- 2.16 Other conduct which constitutes cheating
- 3 Is it academic misconduct to ask another person to proof-read or check my work?
- 4 How is academic misconduct proved?
- 5 What is the role of academic judgement in deciding whether academic misconduct has occurred?
- 6 The investigation of alleged academic misconduct
- 6.1 Who is responsible for investigating academic misconduct in your School?
- 6.2 What should a member of the University's staff do if they suspect that a student has committed an academic misconduct offence?
- 6.3 How will alleged academic misconduct be investigated?
- 6.4 What factors will be considered in deciding whether the academic misconduct should be dealt with at Stage 1, Stage 2 or Stage 3
- 6.5 Support for students with a health or disability related issue in relation to academic misconduct proceedings
- 7 Stage 1 investigation
- 7.9 Outcomes following an academic misconduct investigation concluded under Stage 1
- 7.10 Appeals following a Stage 1 investigation
- 8 Stage 2 proceedings
- 8.12 Indicative penalties following Stage 2 proceedings
- 9 Stage 3 proceedings
- 9.5 Indicative penalties following a Stage 3 proceedings

1 What is Academic Integrity?

- 1.1 The University has a duty to maintain the standards of its awards and, in discharging this duty, it requires students to demonstrate academic integrity in all aspects of the assessment process. Academic Integrity involves:
 - i properly acknowledging the work of others, where it has contributed to your own studies, research or publications;
 - ii ensuring that each student's contribution to group work is represented honestly;
 - iii encouraging others to behave with academic integrity;
 - iv complying with your assessment instructions;
 - v following any relevant ethical requirements;
 - vi avoiding actions which would give you an unfair advantage over others; or
 - vii ensuring that you represent honestly the results of research or experimental data.

1.2 If your work lacks academic integrity, you may be guilty of academic misconduct.

2 What is Academic Misconduct?

2.1 Whilst the University has attempted to present as comprehensive a list as possible, the list of academic misconduct offences set down below is not exhaustive.

2.2 Plagiarism

2.2.1 Plagiarism is presenting another person's work as your own work (whether deliberately or unintentionally) without acknowledging the source fully. To avoid plagiarism, you must always include referencing and citations for all the material you used in producing your assessment.

2.2.2 Plagiarism includes copying or paraphrasing work or ideas from any published or unpublished source (whether, for example, a textbook, journal, newspaper, the internet or other electronic media, lecture slides, hand-outs, or a fellow student's work) and presenting this for assessment without full acknowledgement of the source. Full acknowledgement means indicating clearly exactly which words and ideas have been copied or used, and where these words and ideas have come from.

2.2.3 Plagiarism applies not only to text, but to other media such as graphics, tables, formulae and computer code. For example, plagiarism will occur if you:

- copy word for word from sources (i.e. copy & paste);
- use quotes without the use of quotation marks;
- copy a sentence or paragraph into your assignment and change a few words or phrases to ones of similar meaning;
- use software to change words or phrases in an attempt to avoid plagiarism;
- use ideas (including structure and presentation) contained in another person's text without acknowledgement;
- use images produced by another person or based substantially on the work of another person without acknowledgement; or
- translate a source from another language and present it as your own original work.

2.3 Self-Plagiarism/ duplicate submission

Self-plagiarism (or duplicate or double submission) occurs when you submit the same piece of work, or a substantial part of it, for assessment on more than one occasion. This includes any submissions that you may have made at a previous institution. Self-plagiarism may include the re-use of text, research data, etc. This will be treated in the same way as other forms of plagiarism unless the original piece of work is referenced appropriately. Self-plagiarism will not normally include work submitted for reassessment/re-take within the same module or linked assignments where work submitted later forms part of a final project /dissertation.

2.4 Collusion

Collusion occurs if you submit a piece of work done in collaboration with another student undertaking the same assessment as if the work was entirely your own. It is important to understand that if you willingly or carelessly make your work available to another student(s) in circumstances where they could submit your work as their own, both (or all) parties are guilty of collusion regardless of intention.

2.5 Contract Cheating

Contract cheating occurs when you arrange for help with an assessment such that there is reasonable doubt as to whose work the assessment represents, or you arrange for the assessment to be completed entirely by someone else and, in either case, then pass the work off as your own. Whilst contract cheating might involve buying either the whole or part of an assessment from, for example, a 'cheat site' such as an essay mill or auction site (e.g. the assignment is uploaded to a specialist website and people are asked to bid to write the assignment for you), it extends to input from a fellow student, friend, relative, or any other person, with or without payment of any kind.

2.6 Misappropriation of material submitted for assessment

If you access a fellow student's work to help you in writing up your assessment and, without their knowledge or permission then copy it or otherwise use it, you have misappropriated their material and have committed academic misconduct. This is also plagiarism.

2.7 Fabrication or Falsification of Data

Fabrication or falsification of data occurs if you make up (or manipulate) data or results and record or report on them in an assessment. It also includes claiming to have carried out experiments, observations, interviews or any form of research and/or data collection which you have not done or altering the results obtained.

2.8 Fake referencing

Fake referencing includes making up quotations and/or supplying fake citations. The fake citation can be either completely fabricated or reference a real source (book, journal, or website) which contains no such article or words.

2.9 Making your work available for others to copy

It is a form of academic misconduct for you to make your work available by posting it on the internet or making it available by other similar means, regardless of whether you receive a financial reward for making your work available. Making your work available includes leaving the work on your laptop or other device unattended in the Learning Resources Centre enabling another to copy the work.

2.10 Examination Misconduct

- 2.10.1 Examination includes in-class tests, written, oral and practical examinations, whether conducted face-to-face or online.

2.10.2 The following list of academic misconduct offences relating to examinations is not exhaustive.

2.10.3 Use of unauthorised materials

Use of unauthorised materials occurs if you bring into the examination room (or any other room in which a formal assessment is taking place) unauthorised aids including books, papers, notes, stationery or unauthorised material stored in the memory of, or accessible via, an electronic device regardless of whether you attempt to use these materials. Unauthorised material also includes writing on your hands, body, clothing, or on equipment such as calculators, water bottles and pens.

2.10.4 Unauthorised use of examination materials

Unauthorised use of examination materials occurs if you obtain or see, or attempt to obtain or see, a copy of an examination question paper or other form of assessment before the date and time of its authorised release (this covers both 'seen' and 'unseen' papers).

Unauthorised use of examination materials also occurs if you remove 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) unless specifically authorised by an invigilator or examiner.

2.10.5 Use of technology in an examination

You must not be in possession of technological or electronic devices such as mobile phones, smart watches and hidden earpieces/micro earbuds/mini cameras, regardless of whether there is evidence that such devices are switched on or used.

You must not be in possession of any calculator other than a UH approved calculator.

2.10.6 Copying

You must not copy from, or try to copy from, another examining student whether by looking over what the student has written or is writing or by asking the student for information in any form.

2.10.7 Communicating

You must not communicate with, or attempt to communicate with, any person other than an invigilator during an examination, regardless of whether such communication is verbal or non-verbal.

2.10.8 Failure to comply with the instructions of an invigilator

You must stop writing when instructed.

You must not continue to perform whatever task is being examined beyond the time allocated by the invigilator.

2.10.9 Misuse of temporary absence

Misuse of temporary absence occurs if you request temporary absence from an examination room (or other room in which a formal assessment is taking place) and thereby gain or attempt to gain access to information that may be relevant to the formal assessment.

2.10.10 Disruptive behaviour

Disruptive behaviour is behaviour that is considered to interfere with the running of an assessment to the detriment of another or other students or the invigilator.

2.11 Ethics Misconduct

Ethics misconduct occurs if you:

- i fail to comply with the University's ethics procedures;
- ii fail to obtain ethics approval prior to undertaking work involving human and animal participants (see UPR RE01¹);
- iii fail to comply with the terms and conditions of ethical approval that has been given for work involving human participants (see UPR RE01¹);
- iv fail to take appropriate risk assessments that lead to research being conducted in a way that threatens personal safety or the safety of others involved in the research or threatens national or international security;
- v provide false documentation including false participant consent forms;
- vi use data for research other than that for which consent has been given;
- vii misrepresent participants' views; or
- viii fail to seek advice from, or fail to comply with advice given by, the University's Animal Welfare and Ethical Review Body (AWERB) for work involving animals.

2.12 Breach of Professional Confidentiality

Breach of confidentiality includes actions such as:

- i releasing a business client's commercial secrets or intellectual property;
- ii disclosing a patient's / service user's name in an assessment submission or disclosing details that would enable a patient or other service user to be identified; or
- ii disclosing participant names for a survey or focus group, when participants have been told that their responses will be anonymised. This is also ethics misconduct (see section 2.11).

2.13 False Declarations

False declarations involve making up evidence in support of a coursework extension, a Exceptional Circumstances claim or an Appeal. This includes for example, forging a signature on a medical certificate or a death certificate or altering the content of the certificate.

¹ UPR RE01 'Studies involving human participants'

2.14 Impersonation

2.14.1 Impersonation involves:

- i getting, or attempting to get, someone else to take your assessment for you; or
- ii taking, or attempting to take, an assessment for another student.

2.14.2 The University may report this type of academic misconduct to the Police: impersonation is a type of fraud.

2.15 Bribery and / or intimidation in relation to assessment

Bribery or intimidation occur if you:

- i ask another student to complete your assessment in return for payment;
- ii force another student against their will to hand over their work for you to use in preparing your own assessment; or
- iii bribe or attempt to bribe an invigilator or examiner.

2.16 Other conduct which constitutes cheating

Cheating includes any other conduct not included in sections 2.2 to 2.15 where a student gains or attempts to gain an unfair, improper or dishonest advantage in the assessment process.

3 Is it academic misconduct to ask another person to proof-read or check my work?

3.1 The University expects that any piece of work submitted for assessment is the student's own work. Any use of a proof-reader (e.g. parent, friend etc) or proof-reading, translation or editing service must not affect how much of the work is your own.

3.2 Where you choose to ask another person to proof-read or check your work you must do so within the following rules:

- i you should declare that a proof-reader has been used on submission of your work;
- ii where a proof-reader or proof-reading service is used, they may:
 - identify spelling and typographical errors;
 - identify poor grammar;
 - highlight formatting errors or inconsistencies;
 - identify errors in labelling of diagrams, charts or figures;
 - identify areas for possible improvement;
 - highlight a sentence or paragraph where the meaning is not clear; or
 - draw attention to repeated phrases or omitted words.

- iii where a proof-reader or proof-reading service is used the proof-reader must not:
- rewrite passages of text to clarify the meaning;
 - directly adjust or manipulate your work;
 - change any words or figures, except to correct spelling;
 - rewrite calculations, formulae, equations or computer code;
 - re-arrange or re-format content;
 - contribute any additional material to the original;
 - re-label diagrams, charts or figures;
 - implement or alter a referencing system or add to references;
 - re-arrange or re-order sentences to improve the structure or argument;
- or
- translate your work into English from another language.
- iv proof-readers should not make any changes but merely identify, highlight or draw attention to changes to improve the quality of the work;
- 3.3 In some disciplines, for some assessments, it may not be acceptable for any proof-reading to take place e.g. where correct grammar is part of the assessment criteria. Where this is the case, you will be informed in advance of undertaking the assessment.

4 How is academic misconduct proved?

- 4.1 If disciplinary action is to be taken for academic misconduct (Stage 2 (see section 8) and Stage 3 (see section 9)), the burden of proving academic misconduct lies with the University. However, the standard of proof required is that of a balance of probabilities. A balance of probabilities means that it is more likely than not that academic misconduct has occurred.
- 4.2 Whilst exceptional circumstances may be relevant to the penalty applied for academic misconduct, exceptional circumstances cannot be a factor in deciding whether or not academic misconduct has occurred.

5 What is the role of academic judgement in deciding whether academic misconduct has occurred?

- 5.1 Academic judgment is the decision made by academic staff on the quality of the work itself or the criteria being applied. It is based on the scholarly and/or professional knowledge and expertise which academic staff and external examiners draw upon in reaching academic decisions about assessment.
- 5.2 Identifying suspected academic misconduct will often, but not always, involve academic judgment. Examples of academic judgment include:
- interpreting text matching software reports, such as Turnitin;
 - deciding whether the student's words or ideas represent common usage in the subject area;
 - deciding the extent of the plagiarism or other academic misconduct;

- deciding whether the standard of work is so out of line with the student's other assessments that this suggests academic misconduct on the part of the student; or
 - deciding whether the student's notes and drafts support a case that the submitted work was produced by them.
- 5.3 Academic judgement will not apply to the process of working out what has actually taken place (i.e. question of fact). Examples of questions of fact include:
- whether a student's parent wrote the work for them;
 - whether student X has the identical text in their assessment because they colluded with student Y;
 - whether a student paid a student from the year above to do the work for them; or
 - whether there was intention to commit an academic misconduct offence.

6 The investigation of alleged academic misconduct

6.1 Who is responsible for investigating academic misconduct in your School?

6.1.1 Except where the alleged academic misconduct is a breach of ethics protocols (see sections 2.11, ii and iii, and UPR RE01¹), the Associate Dean of School (Academic Quality Assurance) is responsible for investigating academic misconduct within the School. The Associate Dean of School (Academic Quality Assurance) may delegate any investigation into academic misconduct to a School Academic Integrity Officer (SAIO).

6.1.2 Where the alleged academic misconduct is a breach of ethics protocols (see sections 2.11, ii and iii, and UPR RE01¹), the investigation into the academic misconduct is the responsibility of the Chair of the relevant Ethics Committee with Delegated Authority (ECDA) who may delegate the investigation to the Deputy Chair.

6.2 What should a member of the University's staff do if they suspect that a student has committed an academic misconduct offence?

6.2.1 The member of staff must report the matter to the Associate Dean of School (Academic Quality Assurance) or to the SAIO who has been appointed to investigate instances of academic misconduct on their module / programme.

6.2.1 All allegations of academic misconduct as defined in section 2 must be detailed in writing to the Associate Dean of School (Academic Quality Assurance) or SAIO and must, where required by the Associate Dean of School (Academic Quality Assurance) or SAIO, be accompanied by appropriate documentary evidence to support the allegation. In the case of a suspected breach of ethics protocol (see sections 2.11, ii and iii, and UPR RE01¹), the Associate Dean of School (Academic Quality Assurance) or SAIO must refer the matter to the Chair or Deputy Chair of the relevant ECDA for investigation.

6.3 How will alleged academic misconduct be investigated?

- 6.3.1 The Associate Dean of School (Academic Quality Assurance) or SAIO will carry out a preliminary investigation and decide whether no further action should be taken or whether the alleged academic misconduct will be dealt with at Stage 1 (see section 7), Stage 2 (see section 8) or Stage 3 (see section 9).
- 6.3.2 Where the alleged academic misconduct is a breach of ethics protocols (see sections 2.11, ii and iii, and UPR RE01¹), the Chair or Deputy Chair of the relevant ECDA decide whether no further action should be taken or whether the alleged misconduct will be dealt with under Stage 1 (see section 7), Stage 2 (see section 8) or Stage 3 (see section 9).
- 6.3.3 Where self-plagiarism, plagiarism or collusion occur in a formative assessment no disciplinary action will normally be taken against you but you are advised to seek support from your module tutor or personal tutor or equivalent.

6.4 What factors will be considered in deciding whether the academic misconduct should be dealt with at Stage 1, Stage 2 or Stage 3

The following factors will be considered by the Associate Dean of School (Academic Quality Assurance) or SAIO or, where the alleged academic misconduct is a breach of ethics protocols (see sections 2.11, ii and iii, and UPR RE01¹), by the Chair or Deputy Chair of the relevant ECDA:

- whether the student has committed an academic misconduct offence before;
- whether attempts at paraphrasing have been made;
- the extent to which you have engaged or not engaged with support for academic integrity;
- whether attempts at referencing technique have been made (e.g. incorrect citation);
- how far the student is into their academic journey at the University;
- the level at which the student is studying;
- whether the assessment brief/assessment guidance was clear;
- the extent of the misconduct demonstrated by the student;
- conventions of the discipline or subject area;
- whether there is evidence that the student intended to commit an academic misconduct offence;
- whether the academic misconduct is identified across more than one module;
- whether the student had personal circumstances which affected their decision-making at the time;
- in the case of a student enrolled on a programme which leads to eligibility for professional registration and/or licence to practise, or where the programme requires the student to be registered with a professional body, whether the alleged academic misconduct raises questions of honesty and integrity which may call into question the student's fitness to practise.

6.5 Support for students with a health or disability related issue in relation to academic misconduct proceedings

- 6.5.1 If you have a declared health or disability-related issue, the University will make reasonable adjustments in respect of all academic misconduct proceedings, for example in preparation for attendance at meetings associated with the proceedings and with respect to the management of any action plan or penalty following proceedings.

- 6.5.2 Guidance should be sought by staff and students from the relevant Disability Advisor or Mental Wellbeing Advisor or from the Equality Office, and as appropriate, about further support during student academic misconduct proceedings.

7 Stage 1 investigation

- 7.1 Stage 1 is not in itself a disciplinary process, although, following a Stage 1 investigation, the matter may be referred to disciplinary proceedings at Stage 2 (see section 8) or Stage 3 (see section 9) or to proceedings under UPR SA15 'Student Fitness to Practise'.
- 7.2 A Stage 1 investigation may only be commenced:
- i after discussion with, and agreement from, the Associate Dean of School (Academic Quality Assurance) or SAIO (or the Chair or Deputy Chair of the relevant ECDA where the ethics misconduct (see sections 2.11, ii and iii, and UPR RE01¹) appears to be a technical breach); and
 - ii where the academic misconduct offence appears to be:
 - a a technical breach of ethics protocols (see sections 2.11, ii and iii, and UPR RE01¹); or
 - b self-plagiarism (see section 2.3); or
 - c plagiarism (see section 2.2); and/or
 - d collusion (see section 2.4); and
 - iii where the student has not previously been found to have committed an academic misconduct offence following a Stage 2 (see section 8) or Stage 3 (see section 9) disciplinary investigation.
- 7.3 The Associate Dean of School (Academic Quality Assurance) or SAIO will decide using the criteria in section 6.4 above whether the academic misconduct can be dealt with under Stage 1.
- 7.4 Alleged contract-cheating or other academic misconduct offences not included in 7.2 above, cannot be investigated under Stage 1.
- 7.5 You will be provided with the evidence of the alleged academic misconduct together with the intended academic decision. You will then be given the opportunity to discuss and explain the evidence of academic misconduct and /or the academic decision with the marker and/or the SAIO.
- 7.6 As part of a Stage 1 investigation, you may be questioned about the work you have submitted and asked to explain how it was prepared, including how you went about writing it, but only for the purpose of deciding whether the academic misconduct should be dealt with under Stage 2 (see section 8) or Stage 3 (see section 9).
- 7.7 If you are found to have committed academic misconduct at Stage 1 you will be informed in writing:
- i that the relevant Module/Short Course Board will be notified of the academic decision regarding the assessment; and

- ii that the incident of academic misconduct will not be entered onto your student record but that the SAIO will note the incident on the School’s record of Stage 1 academic misconduct offences for monitoring purposes; and
 - iii where you can go for guidance on how to avoid academic misconduct in future; and
 - iv to contact your personal tutor or equivalent about how to access additional assessment support.
- 7.8 A Stage 1 investigation must be completed within ten (**10**) working days or as soon as possible thereafter of the matter being referred to the Associate Dean of School (Academic Quality Assurance) or SAIO.

7.9 Outcomes following an academic misconduct investigation concluded under Stage 1

As Stage 1 is not a disciplinary process, the outcomes are purely academic decisions about the grades awarded and these are set down in the table below:

Academic Misconduct	Indicative academic decision
No case to answer	No change to the grade awarded
Plagiarism – where there is clear evidence (e.g. from relevant software, such as Turnitin) that plagiarism may have taken place and it is reasonable, in the circumstances, for the University to make this assumption.	Reduction in the grade reflecting no marks being awarded for plagiarised parts.
Self-plagiarism	Reduction in the grade reflecting no marks being awarded for self-plagiarised parts.
There is an unjustified similarity in the submission provided by the student with that of another /other students submitting the same assessment. Text matching software or other evidence shows that a student assessment has identical or similar text to one or more other students who have submitted work for the same assessment. This may be as a result of the students conferring or students may have taken the content from a common source.	No marks awarded for similar or identical text.
Technical Breach of Ethics Protocols (see sections 2.11, ii and iii, and UPR RE01 ¹)	Mark reduction but based on the marking criteria and academic judgement. Ethics Committee to input.

7.10 Appeals following a Stage 1 investigation

You may appeal to the Dean of School against a finding of fact in relation to the academic misconduct, but you cannot appeal against the academic judgement upon which the decision is based (see section 5 above). The appeal must be received by the Dean of School within **ten (10) working days** of the date on which you were sent the written notification of the outcome of a Stage 1 investigation.

8 Stage 2 proceedings

8.1 At Stage 2, the academic misconduct is regarded as a disciplinary matter to be dealt with by the School.

8.2 At the discretion of the Associate Dean of School (Academic Quality Assurance) or SAIO, any academic misconduct offence may be dealt with under Stage 2 where you are prepared to accept both the disciplinary warning AND the academic penalty, **except**:

- misappropriation of material submitted for assessment;
- bribery and / or intimidation relating to assessment;
- false declarations which amount to forgery of a signature;
- impersonation;
- if you are a student enrolled on a programme which leads to eligibility for professional registration and/or licence to practise or where the programme requires the student to be registered with a professional body and the alleged of academic misconduct raises questions of honesty and integrity which may call into question the student's fitness to practise. In this event the case will be referred to be dealt with under UPR SA15 'Student Fitness to Practise'.

8.3 The Associate Dean of School (Academic Quality Assurance) or SAIO (or the Chair or Deputy Chair of the relevant ECDA) will decide using the criteria in section 6.4 above, and the findings of any preliminary investigation conducted by them, whether the academic misconduct can be dealt with under Stage 2. As part of the investigation you may receive a **Request to attend an Investigation Meeting** and /or a **Request to attend a Viva**.

8.4 Where the Associate Dean of School (Academic Quality Assurance) or SAIO (or the Chair or Deputy Chair of the relevant ECDA) considers it appropriate to deal with the academic misconduct under Stage 2, they will within ten (**10**) working days of the date on which the allegation was referred to them, or as soon as possible thereafter, inform you, in writing, by means of a **Letter of Notification** of the alleged academic misconduct and the underlying facts that have been provided to support the allegation.

8.5 The letter will provide you with three options and a requirement to respond within five (**5**) working days of the date of the **Letter of Notification** (not the date of its receipt by you):

- 1 you wish to admit the academic misconduct offence and for the matter to be resolved under Stage 2 by accepting a disciplinary warning and the academic penalty detailed in the letter; or

- 2 you refute the allegation(s) with the consequence that the matter is to be resolved under Stage 3 (see section 9) by referral to a Student Academic Misconduct Panel.
 - 3 you wish to discuss the allegation(s) before you select option 1 or 2 and you are available for a meeting with the Associate Dean (Academic Quality Assurance) or SAIO (or the Chair or Deputy Chair of the relevant ECDA in the case of an alleged breach of ethics protocols (see sections 2.11, ii and iii, and UPR RE01¹)).
- 8.6 Where you wish to discuss the allegation in a meeting, a member of the Academic Misconduct team will make a written record of any meeting between you and the Associate Dean of School (Academic Quality Assurance) or SAIO (or the Chair or Deputy Chair of the relevant ECDA in the case of an alleged breach of ethics protocols (see sections 2.11, ii and iii, and UPR RE01¹)).
 - 8.7 If you fail to respond to the **Letter of Notification** within five (5) working days of the date of the **Letter of Notification** or you request a meeting and then fail to attend after being given a reasonable opportunity to do so, the allegation will be referred to be considered under Stage 3 (see section 9) at a Student Academic Misconduct Panel.
 - 8.8 If you wish to accept the allegation and the penalty following the meeting, you will have five (5) working days to send written acceptance of the allegation and the recommended penalty to the Associate Dean of School (Academic Quality Assurance) or SAIO (or the Chair or Deputy Chair of the relevant ECDA in the case of an alleged breach of ethics protocols (see sections 2.11, ii and iii, and UPR RE01¹) via the Academic Misconduct team.
 - 8.9 If the acceptance is not received by the Academic Misconduct team within five (5) working days of the date of the meeting, the allegation will be referred to be considered under Stage 3 (see section 9) at a Student Academic Misconduct Panel.
 - 8.10 Where you accept the allegation and the penalty either initially or following a meeting with the Associate Dean of School (Academic Quality Assurance) or SAIO (or the Chair or Deputy Chair of the relevant ECDA in the case of an alleged breach of ethics protocols (see sections 2.11, ii and iii, and UPR RE01¹), the Academic Misconduct team will inform the Associate Dean of School (Academic Quality Assurance) or SAIO (or the Chair or Deputy Chair of the relevant ECDA in the case of an alleged breach of ethics protocols (see sections 2.11, ii and iii, and UPR RE01¹), the module leader and the Chair/Clerk of the relevant Short Course/Module Board by means of a **Stage 2 Letter of Decision**.
 - 8.11 Where you refute the allegation(s) either initially or following a meeting with the Associate Dean of School (Academic Quality Assurance) or SAIO (or the Chair or Deputy Chair of the relevant ECDA in the case of an alleged breach of ethics protocols (see sections 2.11, ii and iii, and UPR RE01¹), the Academic Misconduct team will inform you by means of a **Letter of Referral to Stage 3** that the allegation will be dealt with under Stage 3 (see section 9). They will also inform the Associate Dean of School (Academic Quality Assurance) / SAIO (or the Chair or Deputy Chair of the relevant ECDA in the case of an alleged breach of ethics protocols (see sections 2.11, ii and iii, and UPR RE01¹), the Module Leader and the Chair/Clerk of the relevant Module /Short Course Board that consideration of your grade for the module(s) is to be deferred to await the outcome of the hearing by the Student Academic Misconduct Panel (SAMP).

8.12 Indicative penalties following Stage 2 proceedings

Academic Misconduct	Range of penalties
Plagiarism	No marks awarded for plagiarised text or a grade of 0 awarded for the assessment, depending on the extent of the plagiarism; AND a disciplinary warning placed your record; AND a requirement to access support and guidance as directed by the Associate Dean of School (Academic Quality Assurance) or SAIO in consultation with your personal tutor or equivalent.
Self-plagiarism	No marks awarded for self-plagiarised text or a grade of 0 awarded for the assessment depending on the extent of the self- plagiarism; AND a disciplinary warning placed your record; AND a requirement to access support and guidance complete as directed by the Associate Dean of School (Academic Quality Assurance) or SAIO in consultation with your personal tutor or equivalent.
Collusion	No marks awarded for similar or identical text or a grade of 0 awarded for the assessment depending on the extent of the identical text; AND a disciplinary warning placed your record; AND a requirement to access support and guidance complete as directed by the Associate Dean of School (Academic Quality Assurance) or SAIO in consultation with your personal tutor or equivalent.
Making your work available for another to copy (where no collusion applies because you are not currently studying on the module)	A disciplinary warning placed on your record;

Academic Misconduct	Range of penalties
Contract cheating	A grade of 0 for the module; AND a disciplinary warning placed your record; AND a requirement to access support and guidance as directed by the Associate Dean of School (Academic Quality Assurance) or SAIO in consultation with your personal tutor or equivalent.
Examination misconduct including in-class tests, written, oral and practical examinations, whether conducted face-to-face or online.	A grade of 0 for the assessment; AND a disciplinary warning placed on your record; AND a requirement to access support and guidance as directed by the Associate Dean of School (Academic Quality Assurance) or SAIO in consultation with your personal tutor or equivalent.
Fabrication or falsification of data	A grade of 0 for the assessment; AND a disciplinary warning placed your record; AND a requirement to access support and guidance as directed by the Associate Dean of School (Academic Quality Assurance) or SAIO in consultation with your personal tutor or equivalent.
Fake referencing	A grade of 0 for the assessment; AND a disciplinary warning placed on your record; AND a requirement to access support and guidance as directed by the Associate Dean of School (Academic Quality Assurance) or SAIO in consultation with your personal tutor or equivalent.
Breach of professional confidentiality	A grade of 0 for the assessment; AND a disciplinary warning placed on your record; AND a requirement to access support and guidance as directed by the Associate Dean of School (Academic Quality Assurance) or SAIO in consultation with your personal tutor or equivalent.

Academic Misconduct	Range of penalties
Breach of Ethics protocols (see sections 2.11, ii and iii, and UPR RE01 ¹)	See UPR RE01
False Declarations (except false declarations in the form of forgery of a signature which are Stage 3 offences)	A disciplinary warning placed on your record; AND a requirement to access support and guidance as directed by the Associate Dean of School (Academic Quality Assurance) or SAIO in consultation with your personal tutor or equivalent.
Other academic misconduct where a student gains or attempts to gain an unfair, improper or dishonest advantage in the assessment process.	A grade of 0 for the assessment; AND a disciplinary warning placed on your record; AND a requirement to access support and guidance as directed by the Associate Dean of School (Academic Quality Assurance) or SAIO in consultation with your personal tutor or equivalent.

9 Stage 3 proceedings

- 9.1 At Stage 3, the alleged academic misconduct is regarded as a serious disciplinary matter to be considered in a formal hearing by a Student Academic Misconduct Panel (SAMP) (see section 10, UPR SA13 ‘Student Discipline).
- 9.2 An alleged academic misconduct offence will be dealt with under Stage 3 for one or more of the following reasons:
- i the academic misconduct is:
 - a contract cheating;
 - b misappropriation of material submitted for assessment;
 - c impersonation;
 - d forgery of a signature;
 - e bribery and / or intimidation in relation to an assessment; or
 - ii the case of academic misconduct, not included in section i above, is considered by the Associate Dean of School (Academic Quality Assurance) or SAIO to be, on its particular facts, a serious disciplinary matter that is not appropriately considered under Stage 1 (see section 7) or Stage 2 (see section 8); and/or

- iii you have already been given a disciplinary warning by the School for a previous offence of academic misconduct and there are no exceptional circumstances to justify dealing with a subsequent case of academic misconduct under Stage 2 (see section 8); or
- iv you are unwilling to accept or fail to give notification of acceptance of a disciplinary warning together with the academic penalty from Stage 2 (see section 8).

9.3 Where the academic misconduct is to be dealt with under Stage 3, the Academic Misconduct team will, within ten (**10**) working days, or as soon as possible thereafter, of the decision to pursue the allegation of academic misconduct under Stage 3, send you a **Letter of Referral**. This will provide you with details of the allegation and a summary of the investigation outcome. Within a further five (**5**) working days from the **Letter of Referral** or as soon as possible thereafter, you will receive from Student Procedures a **Letter of Notification** specifying the date, time and location of the Student Academic Misconduct Panel Hearing.

9.4 After the conclusion of the Student Academic Misconduct Panel Hearing, the Chair of the Student Academic Misconduct Panel will inform you of the outcome of the Hearing by way of a **Stage 3 Letter of Decision**. This will be copied to the Associate Dean of School (Academic Quality Assurance) or SAIO, the Programme leader, the Module Leader and the Chair/Clerk of the Module Board.

9.5 Indicative penalties following a Stage 3 proceedings

Academic Misconduct	Range of penalties
No case to answer	The grade awarded for the assessment stands
Plagiarism	<p>A grade of 0 awarded for the assessment; AND a final University disciplinary warning placed on your record or suspension from studies or permanent exclusion from the University.</p> <p>Where the penalty is suspension, you will be asked to undertake a prescribed task or a series of sessions to support you in your future studies.</p> <p>A second or subsequent Stage 3 offence will automatically result in a suspension or permanent exclusion from the University.</p>

Academic Misconduct	Range of penalties
Self-plagiarism	<p>A grade of 0 awarded for the assessment; AND a final University disciplinary warning placed on your record or suspension from studies or permanent exclusion from the University.</p> <p>Where the penalty is suspension the student will be asked to undertake a prescribed task or series of sessions to support you in your future studies.</p> <p>A second or subsequent Stage 3 offence will automatically result in a suspension or permanent exclusion from the University.</p>
Collusion	<p>A grade of 0 awarded for the assessment; AND a final University disciplinary warning placed on your record or suspension from studies or permanent exclusion from the University.</p> <p>Where the penalty is suspension the student will be asked to undertake a prescribed task or series of sessions to support you in your future studies.</p> <p>A second or subsequent Stage 3 offence will automatically result in a suspension or permanent exclusion from the University.</p>
Examination misconduct including in-class tests, written, oral and practical examinations, whether conducted face-to-face or online.	<p>A grade of 0 awarded for the assessment; AND a final University disciplinary warning placed on your record OR suspension from studies OR permanent exclusion from the University.</p> <p>Where the penalty is suspension the student will be asked to undertake a prescribed task or series of sessions to support you in your future studies.</p> <p>A second or subsequent Stage 3 offence will automatically result in a suspension or permanent exclusion from the University.</p>

Academic Misconduct	Range of penalties
<p>Misappropriation of material submitted for assessment</p>	<p>A grade of 0 for the module; AND a final University disciplinary warning placed on your record or suspension from studies or permanent exclusion from the University.</p> <p>Where the penalty is suspension the student will be asked to undertake a prescribed task or series of sessions to support you in your future studies.</p> <p>A second or subsequent Stage 3 offence will automatically result in a suspension or permanent exclusion from the University.</p>
<p>Contract Cheating</p>	<p>A grade of 0 for the module; AND a final University disciplinary warning placed on your record or suspension from studies or permanent exclusion from the University.</p> <p>Where the penalty is suspension you will be asked to undertake a prescribed task or series of sessions to support you in your future studies.</p> <p>A second contract cheating offence will automatically result in permanent exclusion from the University.</p> <p>A second or subsequent Stage 3 offence (other than contract cheating) will automatically result in a suspension or permanent exclusion from the University.</p>
<p>Bribery and / or intimidation in relation to assessments.</p>	<p>A grade of 0 for the module where relevant to the offence; AND a final University disciplinary warning placed on your record or suspension from studies or permanent exclusion from the University.</p> <p>Where the penalty is suspension the student will be asked to undertake a prescribed task or series of sessions to support you in your future studies.</p> <p>A second or subsequent Stage 3 offence will automatically result in suspension or permanent exclusion from the University.</p>

Academic Misconduct	Range of penalties
Fabrication or falsification of data	<p>A grade of 0 awarded for the assessment or, depending on the extent of fabrication or falsification, a grade of 0 for the module; AND a final University disciplinary warning placed on your record or suspension from studies or permanent exclusion from the University.</p> <p>Where the penalty is suspension you will be asked to undertake a prescribed task or series of sessions to support you in your future studies.</p> <p>A second or subsequent Stage 3 offence will automatically result in a suspension or permanent exclusion from the University.</p>
Fake referencing	<p>A grade of 0 awarded for the assessment, AND a final University disciplinary warning placed on your or suspension from studies or permanent exclusion from the University.</p> <p>Where the penalty is suspension you will be asked to undertake a prescribed task or series of sessions to support you in your future studies.</p> <p>A second or subsequent Stage 3 offence will automatically result in a suspension or permanent exclusion from the University.</p>
Making your work available for another to copy (where no collusion applies because you are not currently studying on the module)	<p>A final University warning placed on your record or suspension from studies or permanent exclusion from the University.</p> <p>Where the penalty is suspension you will be asked to undertake a prescribed task or series of sessions to support you in your future studies.</p> <p>A second or subsequent Stage 3 offence will automatically result in a suspension or permanent exclusion from the University.</p>

Academic Misconduct	Range of penalties
Breach of professional confidentiality	<p>A grade of 0 for the assessment; AND a final University disciplinary warning placed on your record or suspension from studies or permanent exclusion from the University.</p> <p>Where the penalty is suspension you will be asked to undertake a prescribed task or series of sessions to support you in your future studies.</p> <p>A second or subsequent Stage 3 offence will automatically result in a suspension or permanent exclusion from the University.</p>
False Declarations (including forged signatures)	<p>A grade of 0 for the assessment(s) for the purpose of which the false declaration was obtained; AND a final University warning placed on your record or suspension from studies or permanent exclusion from the University.</p> <p>A second or subsequent Stage 3 offence will automatically result in a suspension or permanent exclusion from the University.</p>
Impersonation	<p>Permanent exclusion from the University AND a grade of 0 in the relevant module for the student whose identity has been impersonated.</p>
Breach of Ethics protocols (see sections 2.11, ii and iii, and UPR RE01')	See UPR RE01

Academic Misconduct	Range of penalties
Other academic misconduct where a student gains or attempts to gain an unfair, improper or dishonest advantage in the assessment process.	<p>A grade of 0 for the assessment or for the module depending on the seriousness of the offence (where relevant to the misconduct offence);</p> <p>AND</p> <p>a final University disciplinary warning placed on your record OR suspension from studies OR exclusion permanently from the University.</p> <p>Where the penalty is you will be asked to undertake a prescribed task or series of sessions to support you in your future studies.</p> <p>A second or subsequent Stage 3 offence will automatically result in a suspension or permanent exclusion from the University.</p>

9.6 The Student Academic Misconduct Panel will take into account the following factors in deciding penalties:

- whether you have committed academic misconduct before;
- whether you admitted the academic misconduct at the earliest opportunity;
- whether you show remorse for the academic misconduct;
- whether you had compelling personal circumstances which affected their decision making at the time;
- the extent to which you have engaged or not engaged with support for academic integrity;
- how far you are into their academic journey at the University;
- any visa implications for international students; and
- any career implications.

Sharon Harrison-Barker
 Secretary and Registrar
 Signed: **1 August 2022**

Alternative format

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Apprenticeship Provision - End Point Assessment policy

UPR AS14, Appendix IV - version 16.0

Policies superseded by this document

This document replaces version 15.0 of UPR AS14, Appendix IV, with effect from 1 September 2022.

Summary of significant changes to the previous version

Minor amendments have been made to reflect changes in organisational and governance structures and processes.

Glossary

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

Table of contents

1	Introduction
2	Background
3	Education and Skills Funding Agency requirements
4	End Point Assessment
4.1	Integrated EPA
4.2	Non-integrated EPA
5	Resits and retakes of EPA
6	Feedback and monitoring of EPA and EPAOs
7	Applying for Completion Certificates
8	Consistency and comparability
9	Appeals and complaints

1 Introduction

- 1.1 As a provider of Apprenticeships, the University of Hertfordshire is committed to delivering a high-quality training experience and as required to manage the delivery the End Point Assessment (EPA).
- 1.2 The aim of this policy is to ensure the University of Hertfordshire has an identified approach for managing and assuring the quality of the EPA for its Higher and Degree Apprenticeships (HAD).

- 1.3 This policy encompasses all apprenticeship programmes that are delivered through a partner organisation via subcontract arrangement.
- 1.4 The University is committed to ensuring the learner has a positive experience of their end point assessment and that a consistent approach is taken toward EPA.

2 Background

- 2.1 This policy provides detail on End Point Assessment (EPA) and should be read in conjunction with the University's UPRs AS12¹, AS14² and AS17³ and other guidance and policies linked to the Higher and Degree Apprenticeship. This policy will set out the roles and responsibilities for both integrated and non-integrated EPAs. Existing University policies and regulations still govern any academic award within an apprenticeship, but programmes should be cognizant of the requirements of EPA at the time of approval, including any requirements to adjust how the University would typically deliver its academic awards.
- 2.2 This policy is congruent with the policy principles of the Education and Skills Funding Agency Apprenticeship (ESFA) funding rules for main providers and is informed by the Institute for Apprenticeships and Technical Education (IfATE) External Quality Assurance framework.
- 2.3 All apprenticeship standards will have an accompanying EPA. This determines if the apprentice has met the requirement of the apprenticeship standard: that is, they are able to demonstrate the Knowledge, Skills and Behaviours (KSB) and are occupationally competent.
- 2.4 Prior to being eligible for the EPA the apprentice will need to meet the 'Gateway' requirements as determined by the standard. The Employer's permission is required to proceed to EPA.
- 2.5 The detail of the EPA is described in the Assessment Plan associated with the standard. The EPA may be integrated or non-integrated and this is pre-determined:
- i Integrated: this is a component of the final academic award. The University will provide all the scheduled on programme learning and the EPA. The University will be acting as the End Point Assessment Organisation (EPAO) for integrated EPAs.
 - ii Non-integrated: the final academic award is achieved, and the EPA is then conducted independently of the University by an EPAO.

¹ UPR AS12 'Assessments, Examinations and Conferments (University-Delivered provision)'
² UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes'
³ UPR AS17 'Academic quality'

3 Education and Skills Funding Agency requirements

- 3.1 The University is required to maintain their status on the Register of Approved Training Providers (RoATP).
- 3.2 The University must be registered on the Register of End Point Assessment Organisations (RoEPAO) for each Apprenticeship Standard that is being delivered where the EPA is integrated.
- 3.3 The central degree apprenticeship teams will work with the Schools to coordinate the applications to the RoEPAO.
- 3.4 Applications will be initially scrutinised by the relevant Head of Department/ Group/ Subject and approved, supported by the relevant University Department, prior to being submitted to the ESFA.
- 3.5 Early engagement with this process is advised as the application must be approved as per section 3.4 at least twelve months before the first EPA is scheduled to take place.
- 3.6 The University will supply all required information to the ESFA to ensure compliance with the EPA process and outcomes.

4 End Point Assessment

4.1 Integrated EPA

- 4.1.1 The Assessment Plan will indicate that the EPA is integrated: the University will provide both the on programme learning/training and the EPA. The EPA is part of the academic award and is normally the final project/module. All EPAs consist of at least two forms of assessment. The integrated EPA will have been approved at the time of validation of the programme. When the University is the EPAO, the existing internal quality assurance arrangements will be adhered to.
- 4.1.2 The University must comply with all aspects and requirements of the EPA as identified in the Assessment Plan. This includes:
 - i clarification of the Gateway requirements for both learner and employers and identify how this will be assessed, evidenced and verified;
 - ii in exceptional circumstances where apprentices do not have level 2 qualification in maths and English, this must be remediated before they can progress through the Gateway. Schools must be able to provide evidence that ESFA maths and English requirements have been met;
 - iii protocols demonstrating how the EPA will be delivered should be developed by the programme team for comparability and consistency of practice including specific determination of the employer involvement where applicable and to determine the state of readiness;
 - iv determining who the assessment teams will be and how they will engage with employers, PSRB's and University academic staff independent of any aspects of 'on programme' learning as identified in the Assessment Plan;

- v the independent nature of the EPA must be assured, and the assessor must be independent of the apprentice and employer. Each School will take the necessary steps to demonstrate this independence and will have sourced staff who are independent of the on programme delivery. The Independent Assessor will have the necessary skills, experience, occupational competence and qualifications required to facilitate the assessment;
- vi if PSRB recognition is conferred on successful completion of the EPA, the associate Assessment Plan may require that the assessment is conducted by Independent Assessor who holds a specified professional status and the School will need to comply with this;
- vii academic subject expertise may not be sufficient to demonstrate that the assessors are equipped to assess the professional competency of the learner. Workplace experience and occupational competence may also be required;
- viii where appropriate and required, each School will be responsible for training of Independent Assessors, including holding bi-annual standardisation meetings for independent assessors to maintain consistent, valid and fair approaches to assessment;
- ix the assessment must comply with the normal requirements of University's Policy and Regulations AS12 and 14;
- x monitoring and reviewing outcomes from the different assessments in the EPA;
- xi where a work-based project forms part of the EPA, it may be necessary for the employer to be involved in agreeing the scope of the project as it is important that the project meets the needs of their organisation;
- xii the University, as the EPAO, will need to agree the scope of the work-based project, ensure it is comparable to other projects and that it will fulfil the requirements of the EPA for the Apprenticeship Standard and Assessment Plan;
- xiii the University may produce project specifications to guide employers in determining the requirements of the work-based project;
- xiv there should be evidence of 'sign off' by all parties, University, employer and learner on any agreed work-based project;
- xv all interviews, presentations, professional discussions should be recorded in an appropriate manner and stored for quality assurance purposes on University systems only for the duration specified by the ESFA and stored in accordance with the requirements of UPR IM16⁴;
- xvi individual staff members must not retain any copies of assessed work either electronic or hard copies;

⁴ UPR IM16 'Data Management Policy'

- xvii referrals will be undertaken in line with existing UPR AS14² except where the Assessment Plan sets out specific procedures in which case the assessment plan takes precedence. Programme specific assessment requirements will identify this;
- xviii where the assessment plan references the role of the external examiner (industry relevant experience) consideration of these requirements should occur at the time of appointment;
- xix conflicts of interest on the part of independent assessors will be managed in line with relevant University policy;
- xx Schools will confirm all completed EPAs to Degree Apprenticeship Compliance team who will manage the data returns to ESFA;
- xxi meet other requirements detailed in the Apprenticeship Assessment Plan, which may include:
 - a the production of an annual evaluation report; or
 - b the requirement to collaborate with other EPAOs;
- xxii comply with reporting requests from the External Quality Assurance Provider.

4.2 Non-integrated EPA

- 4.2.1 When the EPA is non-integrated, successful completion and ratification of the final academic award is required before the EPA can be attempted. Significant alignment of the Apprenticeship Standard with the programme and module learning outcomes will exist. The EPA is carried out by a designated End Point Assessment Organisation (EPAO). The Employer will determine the EPAO to be used and therefore, the University may be working with more than one EPAO for any one cohort of learners.
- 4.2.2 The University must comply with all aspects and requirements of the EPA as identified in the Assessment Plan. This includes:
 - i clarification of the Gateway requirements for both learner and employers and identification of how this will be assessed, evidenced and verified;
 - ii ensuring that the apprentice will have the appropriate learner status within the University during their Gateway and EPA period;
 - iii communicating with employers to inform them of the attempts and outcomes from each EPA.
- 4.2.3 The University will work with employers to ensure they are informed of available EPAOs but cannot be involved in the final selection of the EPAO. The University will:
 - i provide the employer with the Gateway declaration and EPAO choice forms and ensure they are returned and stored;
 - ii in exceptional circumstances where apprentices do not have level 2 qualification in maths and English, this must be remediated before they can enter the Gateway. The EPAO will require verification of these qualifications;

- iii engage with the EPAO(s) of choice and establish the necessary contracts setting out the terms and conditions of the contract;
- iv ensure contracts for EPA delivery will be signed in a timely manner and in accordance with the University's standard financial practice;
- v maintain responsibility for paying the EPAO from the fees it receives from delivering the apprenticeship training. The maximum percentage cost that can be spent on the EPA is established by the IfATE;
- vi the Schools and central degree apprentice teams will work with the EPAO to develop support, guidance and arrangements for EPA;
- vii where it is identified that the learner is not ready to proceed with EPA, work with the employer and identify appropriate action to support the learner so as the EPA can be taken within the specified timeframe as identified in the Assessment Plan.

5 Resits and retakes of EPA

- 5.1 The Assessment Plan details the requirements for resits and retakes. Where there are no specific requirements identified in the assessment plan, UPR AS12¹ will determine the process.
- 5.2 Resits and retakes are defined by the IfATE as:
- i a retake requires a period of further learning before the learner can attempt the EPA again;
 - ii a resit does not require further learning before attempting reassessment of the EPA or the failed component of the EPA.
- 5.3 The cost of retakes will be detailed in the contract with the EPAO (for non-integrated EPA).

6 Feedback and monitoring of EPA and EPAOs

To develop an understanding of the EPA experience from a range of perspectives, the University's will coordinate an EPA Board. The function of this EPA board is to provide oversight of the EPA outcomes, monitor the quality of the EPA process and identify areas for improvement and enhancements. Feedback from EPAOs as identified in the contractual arrangements will be requested for non-integrated EPAs. An annual report will be presented to the Higher and Degree Apprenticeship Committee.

7 Applying for Completion Certificates

- 7.1 Where the EPA is integrated, the University will retain responsibility for claiming the Apprenticeship Completion Certificate from the Apprenticeship Assessment Service on notification from the relevant School that the EPA has been successfully passed.
- 7.2 The classification of an apprenticeship will be as stated in the Assessment plan.

- 7.3 The awarding of the degree element will be in accordance with the University regulation UPR AS11⁵ and the certificate issued via the standard University process.
- 7.4 Where the EPA is non-integrated, it is the responsibility of the EPAO to apply for the Apprenticeship Completion Certificate on behalf of the learner.
- 7.5 If the learner fails to successfully complete the EPA they may still receive the relevant University award. They will not receive the Apprenticeship Completion Certificate.

8 Consistency and comparability

- 8.1 The University will ensure consistency in EPA in the following ways and as shown above:
- i providing guidance on the EPA to learners and employers in relation to the delivery of the EPA (practical and technical activities, marking guidance for EPA activity);
 - ii consulting with industry/technical experts and External Examiner when developing relevant work-based projects to ensure there is comparability and consistency in terms of breadth and depth of assessment across the provision where the standard is being delivered to ensure the assessment is reliable, valid and fair to all learners;
 - iii through recruitment, preparation and on-going training of appropriate Independent Assessors;
 - iv developing protocols to determine how the assessment process will be carried out;
 - v holding regular standardisation meeting to ensure consistency of assessment and marking practice;
 - vi through recording and retention of any practical components of assessment for moderation and quality assurance processes;
 - vii monitoring outcomes from Board of Examiners;
 - viii using the annual monitoring and evaluation process to review outcomes and enhance practice.

⁵ UPR AS11 'Schedule of Awards'

9 Appeals and complaints

- 9.1 When the EPA has been carried out by the University it is subject to the normal appeals and complaints procedures (UPRs SA16⁶ and GV15⁷). If the issues cannot be resolved it may be escalated to the External Quality Assurance provider and IfATE.
- 9.2 For non-integrated EPAs the apprentice must follow the complaints process of the EPAO⁸.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

Alternative format

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⁶ UPR SA16 'Student and Applicant Complaints'
⁷ UPR GV15 'Complaints Policy (non-staff, non-student)'
⁸ IfATE External Quality Assurance Framework. V1.0 July 2019

Apprenticeship Provision - Fair Access Policy for End Point Assessment

UPR AS14, Appendix V - version 16.0

Policies superseded by this document

This document replaces version 15.0 of UPR AS14, Appendix V, with effect from 1 September 2022.

Summary of significant changes to the previous version

This document has been reviewed and no amendments have been made.

Glossary

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

Table of contents

- 1 Introduction
- 2 Policy Scope
- 3 Policy principles
- 4 Complaints and Appeals

1 Introduction

- 1.1 The aim of this policy is to identify principles that the University of Hertfordshire and anyone acting on behalf of the University deliver an End Point Assessment (EPA) that treats all learners equally. The University has developed this Fair Access policy for EPA with respect to its apprenticeship delivery both as a main provider and those delivered via supported provider arrangements. The intention of this policy is to deliver an EPA that is accessible, fair and without any barriers to entry for every learner.
- 1.2 It is the aim of the University that all learners should be able to successfully participate in the apprenticeship programme and the end point assessment as part of realising their ambition to complete their apprenticeship.
- 1.3 This policy should be read in conjunction with the University's relevant Academic Regulations for Undergraduate and Taught Post Graduate programmes, other guidance and policy documents linked to the development of apprenticeships and the provisions outlined within the Apprenticeship Standards.

2 Policy Scope

- 2.1 This policy will cover all University staff, employers and contractors involved in or contributing to the delivery of the end point assessment. This will include support given to learners prior to their end point assessment. Contractors include Independent End Point Assessment Organisations who will be delivering the end point assessment activities.
- 2.2 It is recognised that an End Point Assessment Organisation may have its own Fair Access policy. Where a review by the University of an End Point Assessment Organisation's Fair Access policy concludes that such a policy meets, as a minimum, the requirements of this policy, the University may decide (at its discretion) that the relevant End Point Assessment Organisation does not need to be contractually bound to comply with the requirement of this policy. The contents of this policy should, however, be brought to the End Point Assessment Organisation's attention.
- 2.3 All staff must act to implement this policy and intervene when they believe it has been contravened. Further, where there is a belief that the End Point Assessment Organisation has contravened its own Fair Access policy (if applicable), the staff member concerned must raise this with the relevant End Point Assessment Organisation. Where there is a belief that a Fair Access policy has been contravened the staff member must be able to evidence this.
- 2.4 The University, employers and contractors when providing their premises as an end-point assessment venue must ensure they understand the requirements and principles of this policy.

3 Policy principles

- 3.1 The University is committed to the development and support of learners including information provision and access arrangements for EPA.
- 3.2 Fair Access is a principle which ensures that all learners will have an equal chance of success and requires the University to put in place appropriate reasonable adjustments. Learners with protected characteristics or learning support needs will be neither advantaged nor disadvantaged. The adjustments must not advantage the learner undertaking the end-point assessment nor affect the reliability or integrity of any aspect of the EPA. This includes any action required to maintain the independent nature of the assessment plan.
- 3.3 The University will ensure that any approved EPA location including those operated by partner organisations has and will implement fair access guidance for the delivery and facilitation of EPA.
- 3.4 The University will consider all access requests relating to EPA and all adjustments requested are considered in line with UPR EQ03¹.
- 3.5 The University will ensure all staff, including staff at partner organisations:
 - i if involved in EPA, are required to keep up to date with training in Equality and Diversity and GDPR;

¹ UPR EQ03 'Equality and Diversity Policy'

- ii attend any training and continuous professional development (CPD) required to deliver the EPA;
 - iii effectively manage all processes and procedures for EPA to enable fair access;
 - iv provide information on the EPA to learners in an accessible format;
 - v design inclusive Assessment Plans and execute these with consideration of fair access for all so as not to disadvantage nor advantage any learner;
 - vi justify the inclusion of any features or barriers regarding the requirement of that particular EPA;
- 3.6 The University will ensure that every EPA location fulfils the fair access responsibilities by adhering to equality legislation and this fair access policy.
- 3.7 The University will ensure adequate monitoring and review of equality and diversity data throughout the process of delivering EPA. The University will monitor performance data related to apprenticeship achievement. Achievement in EPA should be comparable and reported. The continuous monitoring process will identify the appropriate actions if required to mitigate against future biases.

4 Complaints and Appeals

- 4.1 Where a complaint is made regarding Fair Access and cannot be resolved informally the learner must be advised of their right to complain and /or appeal under the relevant University's policies (UPRs AS12², SA16³ and GV15⁴).
- 4.2 If the EPA is non-integrated the learner must be advised of the policies and process of the End Point Assessment Organisation in order to seek resolution. The University will provide this information to the learner and assist where required.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

Alternative format

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

² UPR AS12 'Assessments, Examinations and Conferments (University-Delivered provision)'
³ UPR SA16 'Student and Applicant Complaints'
⁴ UPR GV15 'Complaints Policy (non-staff, non-student)'

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Academic Quality

UPR AS17 version 15.0

Policies superseded by this document

This document replaces version 14.1 of UPR AS17, with effect from 1 September 2022.

Summary of significant changes to the previous version

Section C2 has been amended to incorporate the Continuous Enhancement Planning (CEP) process.

Collaborative partner re-approval and legal agreement renewal have been aligned (see section D3.5). The core activities of the role of Collaborative Partnership Leader have been added to section D7.

Other minor amendments have been made to reflect changes in organisational structures.

Glossary

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

Table of contents

A	Academic Quality Policies and Regulations – Overview
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
B1	Validation and Periodic Review
B1.1	Validation of new programmes
B1.2	Periodic review of programmes
B1.3	Approval of additional delivery locations for validated programmes (or elements thereof)
B2	Development and Approval Procedures for Modules
B3	Withdrawal and Suspension of Programmes
C	Ongoing Quality Assurance
C1	External Examiners
C1.1	Appointment of External Examiners
C1.2	Criteria for the Appointment of External Examiners
C1.3	Termination of External Examiner Appointments

- C1.4 Receipt and Consideration of External Examiners' Reports
- C2 Ongoing Monitoring and Evaluation
 - C2.2 The Continuous Enhancement Planning (CEP) Process
 - C2.3 The Annual Monitoring and Evaluation Report (AMER) process
 - C2.4 Annual monitoring and evaluation of Collaborative Provision
- C3 Ongoing Developments of Regulations and Programmes
 - 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
- D Academic Quality Policies and Procedures in relation to collaborative provision
 - D1 Collaborative Provision overview
 - D2 Types of Collaboration and Summary of Relevant Procedures for Approval In Principle
 - D2.1 Types of collaboration
 - D2.1.3 Articulation Agreements
 - D2.1.4 Progression 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
 - D3.2 Preliminaries to approval
 - D3.2.2 Statement of Principles
 - 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
 - D4.1 Planning Meetings
 - D4.2 Approval of Programmes
- 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
 - 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 - Preparation for Stage 2 validation visit*

- 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
 - D7 Collaborative Partnership Leader (CPL)
 - D7.1 General
 - D7.2 Core Activities of the Collaborative Partnership Leader
 - D8 Approval for a New Campus of an Existing, Approved Partner Organisation to Deliver a Collaborative Programme
 - D8.1 General
 - D8.2 Campus approval process
 - D8.3 External Examiners
 - D9 Management of Academic Standards
 - D10 Review and Revalidation of Collaborative Arrangements
 - 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
-

A Academic Quality Policies and Regulations – Overview

A1 Overview

A1.1 This document 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 Student Voice Questionnaire (SVQ);
- 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 Leaders 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 Education and Student Experience Committee (ESEC), 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 Community Officers (SCOs) 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 (RDB).
- 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 the Student Administration Service.

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, among other things, 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 collaborative partner 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 ESEC 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 SVQ;
- 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 ESEC 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 Assurance (CAQA) website.

- 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 the quality of all modules in the SVQ, 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.
- 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. Alternatively, University programmes may be ‘University validated’ for delivery by a Partner Organisation to University-registered students. 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. 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

B1 Validation and Periodic Review

B1.1 Validation of new programmes

Guidance on the application of these regulations can be found on the Centre for Academic Quality website. 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 website.
- 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 Chair of the Programme Development Committee, senior representatives of the School(s) concerned, the Student Administration Service Manager and the relevant Associate Director of Academic Quality Assurance (ADAQA). For guidance on Planning Meetings, please refer to the Centre for Academic Quality website.
- 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 Chair 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 website.
- 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 will 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 B1.1.9, 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 website. A Programme Specification must be produced in compliance with the standard University template available on the Centre for Academic Quality website.

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 Chair. 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 Chair of the validation event, the relevant ADAQA, the Chair of ESEC and, finally, the Vice-Chancellor on behalf of Academic Board. Recommendations for approval of new programmes must be made no later than:

- i 24 December for all awards advertised and applied for through UCAS;
- ii 31 March for University-delivered and UK collaborative partner-delivered awards which are advertised and marketed through alternative means, including Master's awards;

- iii 30 June for awards delivered by overseas collaborative partners, closed courses, Higher Apprenticeships and Degree Apprenticeships.
- 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 website.
- 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 website.
- 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, SVQ outcomes, etc.
- B1.2.5 Where a franchised programme is being revalidated, the Panel will focus on aspects iii to vi in section B1.2.4, 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 website.

- 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 website.
- 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 will 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 Chair 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 overseas 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 elements thereof) at an additional location should be noted and endorsed at ADC, and in the case of collaborative programmes also requires the prior approval of (i) the International Advisory Board (IAB) for any additional overseas locations or (ii) the UK Collaborative Provision Advisory Group (UKCPAG) for any additional UK 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

- 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 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 website.

- 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 for any DMDs linked to periodic review and validation activity by 20 December, and for any other DMDs 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

- 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 website.

C Ongoing Quality Assurance

C1 External Examiners

C1.1 Appointment of External Examiners

(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, in conjunction with the Student Administration Service, 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 Student Administration Service Manager (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 they 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 Chair 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 Student Administration Service Manager for further circulation within the relevant School and Partner Organisations.

C1.1.11 It is the responsibility of the Student Administration Service 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

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 of 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 connected 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 will 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

C1.3.1 An External Examiner's appointment and period of tenure is dependent upon them carrying out their 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 their duties as specified in the regulations then their 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 website.

C1.4 Receipt and Consideration of External Examiners' Reports

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 website.

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 Student Administration Service 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 and 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, ESEC 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 For programmes offered by collaborative partners only, 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.
- 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 Ongoing Monitoring and Evaluation

- 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. With the exception of credit-rated short course provision and agreed programmes offered in collaboration with other institutions, the Continuous Enhancement Planning process is followed. For agreed collaborative provision and credit-rated short course provision, the Annual Monitoring and Evaluation Report process is followed.
- C2.2 The Continuous Enhancement Planning (CEP) Process
- C2.2.1 The Continuous Enhancement Planning process outputs are:
- i a 'live' action plan (the CEP action plan) owned by the Programme Team, and located within the University's CEP database;
 - ii Programme Leader and Programme Team engagement with specified School or Department enhancement activities;
 - iii for degree and higher apprenticeship programmes, a relevant section of the action plan will form the basis for the School level Self-Assessment Report and Quality Improvement Plan that are required for Ofsted.
- C2.2.3 The regulations seek to reflect a risk-based approach and to maintain a self-critical academic community supporting programme teams in their continual efforts to maintain academic standards, to improve the quality of learning opportunities and to enhance the student experience by an ongoing, evidence informed monitoring process, with effective oversight at School and University level.
- C2.2.4 Each Programme Committee is required to agree a CEP action plan on an ongoing basis. The CEP action plan will be a standing item on the Programme Committee agenda. The ownership of the action plan is with the Programme Team and with the agreement of the Programme Committee, the Programme Leader may add actions as issues arise.
- C2.2.5 The maintenance of the CEP action plan is the responsibility of the Programme Leader, on behalf of the Programme Committee. The Programme Leader (or nominee) must attend and engage in specified enhancement activities organised by the School and add any agreed actions to the programme's CEP action plan.
- C2.2.6 The Programme Leader must consult the University-generated metric summary data after each specified data release point and where a particular data set is rated red for the programme against the relevant benchmark, an action must be initiated within six weeks of the data release point.
- C2.2.7 The Programme Leader must develop an action point in the CEP action plan for all recommendations made by an External Examiner in their Annual Report (not just those in section 8 and 9 of the report).

C2.2.8 Associate Deans of School (Academic Quality Assurance) are responsible for:

- i ensuring that School enhancement activities take place that meet the requirements of the CEP process by giving consideration to how programme CEP action plans might adopt (i) good practice and (ii) reflect School- and Department-wide enhancement actions and the University's strategic direction. They will invite the appropriate Associate Director of Academic Quality Assurance and the LTIC Learning and Teaching Specialist and monitor the engagement of Programme Leaders and programme teams; and
- ii maintaining oversight of all the School's CEP action plans and signing off completed actions in the CEP database. Associate Deans (AQA) will (a) check that data sets rated red from Tableau, External Examiner Reports, SVQs and qualitative student feedback that requires an action have been included in the CEP action plan and that an action has been initiated within an appropriate timescale, (b) check actions agreed as part of enhancement activities have been included, (c) work with Associate Deans (L&T), Subject /Associate Heads and other academic managers as prescribed by the School, to advise programme teams on the appropriateness of the actions and the response times, and to evaluate the impact of actions; and
- iii ensuring that External Examiners receive a snapshot of the CEP action plan along with the response to the External Examiner report; and
- iv working with their Associate Director of Academic Quality Assurance and LTIC Learning and Teaching Specialist to develop and deliver workshops, training, and resources to support programme teams as required; and
- v submitting an annual report on Academic Standards and Quality to ASAC and ESEC, which includes a summary of the key issues arising from the School's CEP action plans (see further UPR AS 17 C4.3).

C2.2.9 The Associate Dean of School (AQA), the Associate Dean of School (L&T) and the Associate Director from CAQA will all have access to comment on the CEP action plan database, but the Associate Dean of School (AQA) will be responsible for signing off when the actions are satisfactorily completed.

C2.2.10 The appropriate Associate Director of Academic Quality Assurance will take a risk-based approach to sampling CEP action plans and review School-wide student performance data. They will report to the final School Academic Committee on (a) areas of good practice (b) areas for improvement of particular note or that are common across programmes and on (c) any support that is recommended for Programme Teams and on (d) how the delivery of the support has been shared between the Associate Director of Academic Quality Assurance, the LTIC Learning and Teaching Specialist, and the Associate Deans of School (AQA) and (L&T).

C2.2.11 The School Academic Committee may:

- i require a review of a programme or subject area; or
- ii report immediately to the DAQA if academic standards are considered to be at risk.

C2.2.12 Academic Registry is responsible for updating the programme and programme leader information in the CEP database and for arranging access for relevant staff.

C2.2.13 Schools will comply with any additional or alternative programme annual monitoring requirements of any PSRB, accreditation or funding body.

C2.2.14 Schools will have in place a risk-based process for module evaluation which addresses:

- (i) student performance data; and
- (ii) student feedback; and
- (iii) External Examiner feedback; and ensures that
- (iv) any agreed programme level actions are incorporated into the delivery of the module.

C2.2.15 Each School has responsibility to set up at least one School- or Department-wide enhancement activity per academic year requiring Programme Leaders and programme teams to attend to:

- i share good practice, including actions that have led to improved data outcomes; and
- ii develop further their CEP action plan to reflect (i) School- and Department-wide enhancement actions; and (ii) the University's strategic direction.

C2.2.16 Schools will determine the timing and number of enhancement activities to be held in the School each year, whether such activities are held at School or Department level and effective ways to integrate the action plan enhancement activities into existing activities (e.g. Away Days, Learning and Teaching events).

C2.3 The Annual Monitoring and Evaluation Report (AMER) process

C2.3.1 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.

C2.3.2 The following sections are applicable to credit-bearing short courses and to agreed programmes offered in collaboration with other institutions.

C2.3.3 Each Programme Committee is required to agree and submit an Annual Monitoring and Evaluation Report on the operation of the programme during the previous Academic Year.

C2.3.4 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.

C2.3.5 Guidance on the completion and templates for AMERs and ASCMRs is available on the Centre for Academic Quality website. AMERs and ASCMRs must comply with and use the University templates.

C2.3.6 The preparation of the AMER is the responsibility of the Programme Leader (or equivalent), on behalf of the Programme Committee. The preparation of the ASCMR is the responsibility of the Dean of School (or nominee).

- C2.3.7 AMERs 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.
- C2.3.8 The SAC or, where established, a working group of the SAC, will approve procedures for the consideration of AMERs and ASCMRs.
- C2.3.9 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. 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.
- C2.3.10 An action plan will be maintained for each programme AMER and ASCMR and will be reviewed and further developed during the School's and/or Programme Committee's monitoring of the full report.
- C2.3.11 All AMERs and ASCMRs will be considered by the SAC or, where established, by a working group of the SAC, which may:
- i approve the AMER or ASCMR;
 - ii refer the AMER back to the Programme Committee;
 - iii refer the AMER 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.
- C2.3.12 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 and ASCMRs. The Annual School Report to ASAC is described further in section C4.
- C2.3.13 The Student Administration Service Manager or Assistant Registrar (Collaborative Partnerships), where relevant is responsible for sending approved AMERs ASCMRs to Programme, Module and Short Course External Examiners (as appropriate).
- C2.4 Annual monitoring and evaluation of Collaborative Provision
- C2.4.1 The above procedures (see section C2.3) will apply unless otherwise specified in Memoranda of Agreement or it is agreed that the CEP process will be followed. The Collaborative Partnership Leader (CPL) will be present, and representatives of Partner Organisations are invited to be present during discussion of the AMERs and ASCMRs and appropriate feedback on the discussion will be provided to the Programme Committee in the Partner Organisation.
- C2.4.2 In cases where a programme is taught in the HHEC reference should be made to the Consortium Quality Handbook.

C2.4.3 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. 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

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, will 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 website.

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 website.

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 website 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 website 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

C4.1 Each School is required to submit a School Annual Report on Academic Standards and Student Experience to ESEC 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 ESEC 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 website.

C4.3 Part 1 of the School Annual Report on Academic Standards and Student Experience will typically cover the following matters:

- i The School Academic Standards and Student Experience Action Plan;
- ii Student View of School Student Representation;

- iii Adoption and Dissemination of Good Practice;
 - iv Matters for ESEC and ASAC.
- C4.4 Part 2 of the School Annual Report on Academic Standards and Student Experience is extracted from the Academic School Planning Report. It will typically cover the following matters:
- i Learning, teaching and assessment;
 - ii Qualitative and quantitative student outcomes;
 - iii The School's collaborative activity;
 - iv Progress against the School action plan.
- C4.5 The Report should be circulated to all School staff and discussed at a School meeting, and then submitted to the Chairs of ESEC 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

D1 Collaborative Provision overview

- 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 website.
- 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; 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.

D2 Types of Collaboration and Summary of Relevant Procedures for Approval In Principle

D2.1 Types of collaboration¹

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. The University registers the students and retains full contractual responsibility for them. The Office for Students define these arrangements as sub-contractual 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 University Validation

The University defines 'University 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 the University of Hertfordshire and/or the other institution) is comparable to that of an award of the University of Hertfordshire. 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. The University registers the students and retains full contractual responsibility for them. The Office for Students define these arrangements as sub-contractual arrangements.

iii 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 the University of Hertfordshire and/or the other institution) is comparable to that of an award of the University of Hertfordshire. Students on the course register with and have a direct contractual relationship with that provider and not the University. The Office for Students define these arrangements as validation arrangements.

¹ 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'.

The University will not, typically, externally validate a programme that is in a subject area outside its broad area of expertise.

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.

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 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, and involve Legal and Compliance Services in the drafting and negotiation of the relevant articulation agreement. 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 retained by the School. Guidelines on articulation visits are available on the Centre for Academic Quality website.

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. The format of the agreement is available from the University's Legal and Compliance Services. The original copy of the Articulation Agreement will be lodged with AS. Any changes required to the Articulation Agreement will be in consultation with Legal and Compliance Services. The School will inform the University's Legal and Compliance if it proposes to terminate an Articulation Agreement. The agreement or termination of articulation arrangements will be reported to Academic Development Committee.

D2.1.4 Progression Agreements

An arrangement whereby the University recognises, at its absolute discretion, students of another organisation, on achievement of specified qualifications, may be able to progress onto a specified University programme, and the University welcomes applications from such students. A Progression 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 and at the University's discretion. Progression agreements are prepared by the University's Legal and Compliance Services. The original copy of the Progression Agreement will be lodged with the International Office. The International Office will inform Legal and Compliance Services of any changes in the Progression Agreement or if it is to be 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 website.

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 B1.1.3 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

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 draw up and submit a proposal using form ADC2a.

D3.2.2 Statement of Principles

- i Any collaboration between the University of Hertfordshire and a Partner Organisation that leads to an 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 ADC2a (for guidance on submission please refer to the Academic Quality website). 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 they are 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 ADC2a, 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 ADC2a (including the risk assessment) and, as required, the Institutional Audit report and/or financial opinion will be considered initially by (i) the International Advisory Board (IAB) for non-UK partnerships or (ii) the UK Collaborative Provision Advisory Group (UKCPAG) for UK partnerships, and then 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 ADC2a(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 typically be for a maximum period of six (6) years, and in parallel with renewal of the legal agreement. Towards the end of this period, AS (in consultation with the School, the International Advisory Board Operational Group (IAB Ops) or UK Collaborative Provision Advisory Group (UKCPAG), as appropriate, with Legal Services and the Director of Academic Quality Assurance) will initiate a formal review, including appropriate due diligence (see section D3.5.2, 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. The refreshing of due diligence checks may also take place midway through a contract with a Partner Organisation which exceeds six (6) years. The Collaborative Partner Assurance Group may also consider and advise ADC in relation to any issues identified as a result of due diligence exercises.

D3.5.2 The process of re-approval is as follows.

- i The International Advisory Board Operational Group (IAB Ops) or UK Collaborative Provision Advisory Group (UKCPAG), as appropriate, will be invited to confirm, in principle that the partnership should continue, through submission of form ADC2d.
- ii The extent of associated due diligence could include:
 - a an Institutional Audit, undertaken by AS with the re-validation;
 - b Financial due diligence (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 Legal due diligence, through the scrutiny by a senior University Solicitor of the Partner Organisation's legal, governance and regulatory documentation, who (if requested) provides a written professional opinion;
 - d a review of the legal agreement, with a new document to be signed by both parties in the event of re-approval;
 - e 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 which shall decide whether re-approval will be formally granted or not, and 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

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 website.

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 or University validation;
- 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.

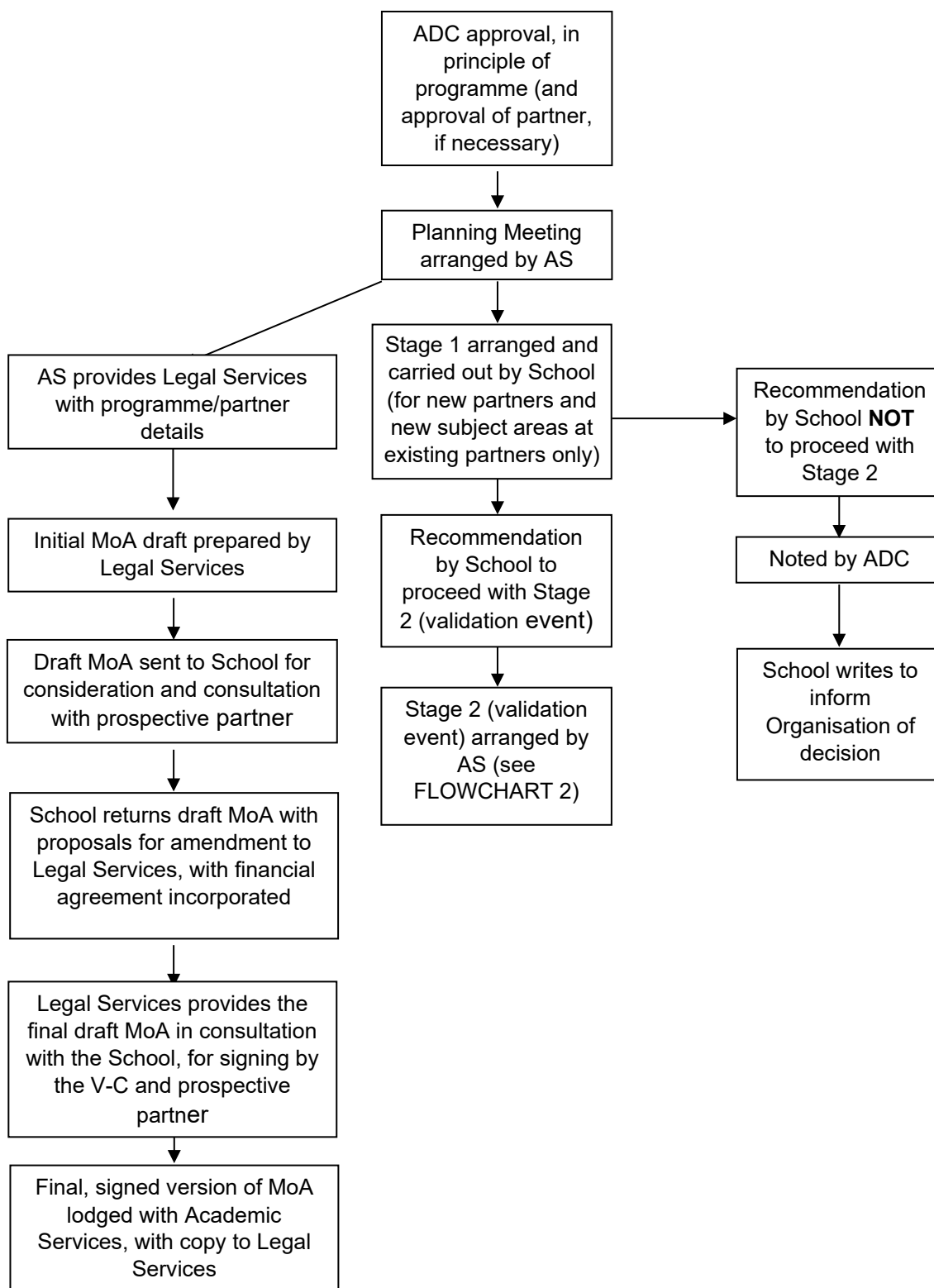
D4.1.5 There is a standard agenda checklist for collaborative Planning Meetings. Please refer to the Centre for Academic Quality website.

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.

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

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 University-validated and externally validated, there is an additional requirement to approve the standard and coherency of the proposed award. Where a proposed University-validated or 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 1 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 Director of 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 website.

D5.2.3 Documents required for Stage 2

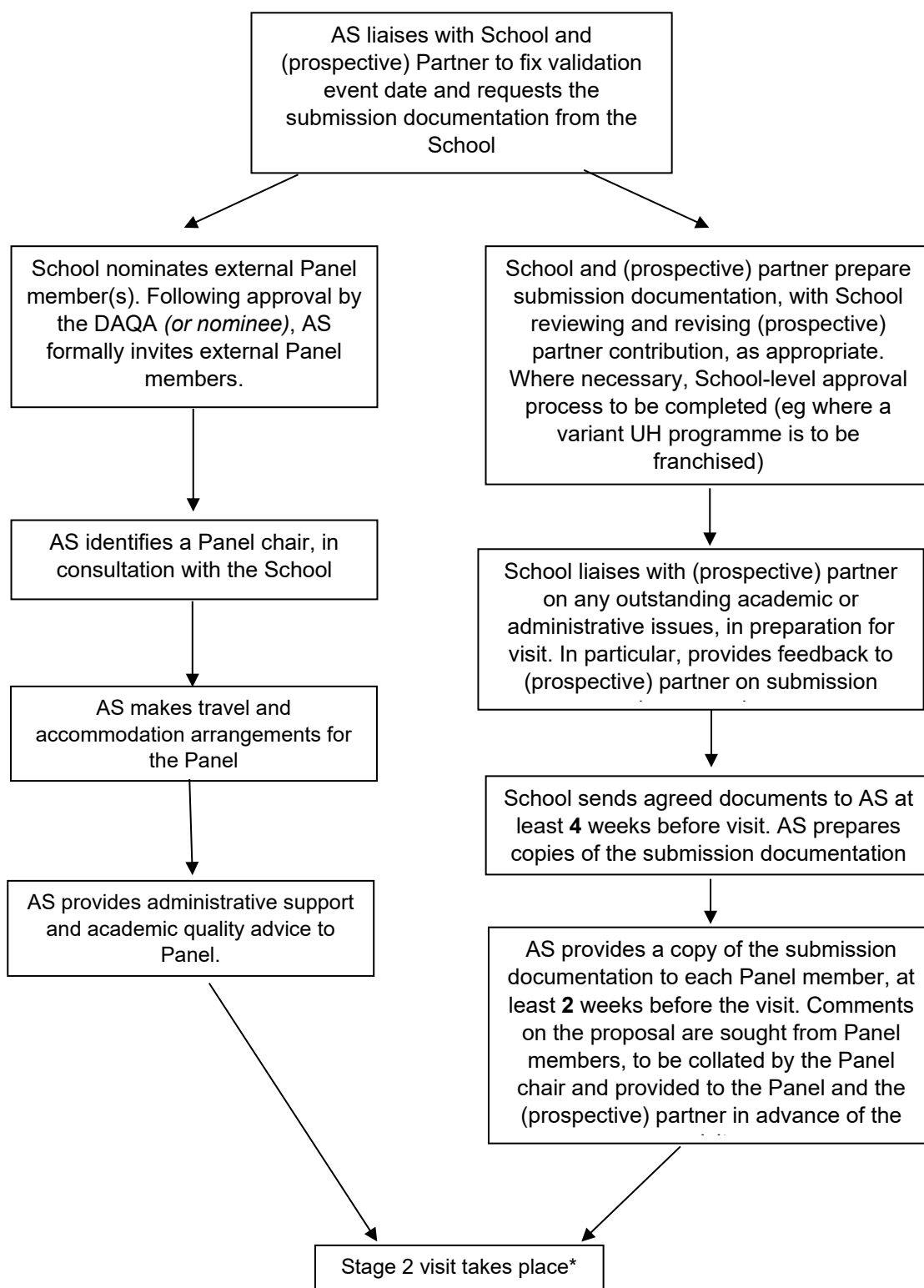
- i AS will request the following documents from the Partner Organisation or the School, as appropriate:

- 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 or University validation 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 and University-validated 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 website.

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 website. 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 ESEC. 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 ESEC 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 one **(1)** or two **(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 their 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 module credits delivered/assessed in English
Level 4 (1 st Year)	30 credits
Level 5 (2 nd Year)	60 credits
Level 6 (Final Year)	120 credits

Academic stage (full-time Master’s programmes)	Minimum number of module credits delivered/assessed in English
Level 7 (1 st Semester)	15 credits
Level 7 (2 nd Semester)	30 credits
Level 7 (Final Semester)	60 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 one **(1)** or two **(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 one **(1)** or two **(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

- 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 website.

D7 Collaborative Partnership Leader (CPL)

- 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, the Dean of School (or nominee) will inform the Collaborative Partnerships Unit (CPU), CAQA and Academic Services (as-systems@herts.ac.uk) of Collaborative Partnership Leaders for each collaboration in which the School is engaged.

D7.2 Core Activities of the Collaborative Partnership Leader

D7.2.1 The core activities of the Collaborative Partnership Leader are as follows:

- 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. The CPL should prepare reports on each visit (App E) and a summary report for the AMER/CEP.
- ii To be the main academic point of contact for communications between the School and the Collaborative Partner.
- iii To present the Annual Monitoring and Evaluation Report to the SAC or appropriate Sub-Group (or, in the case of Academic Support Partnerships, to prepare an annual report for each partner to be appended to the AMER).
- iv To act as an ex officio member of the relevant Programme Committee at the Partner Organisation.
- v 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 CPL gives authority to make requests of Deans of relevant Schools to provide subject staff to carry out this task.
- vi 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 necessary time.
- vii To work with Academic Services on audits of public information to ensure that all published Collaborative partner information is accurate and updated regularly.

D7.2.2 The Collaborative Partnerships Leader is **not** permitted to act as Chair of Boards of Examiners for the collaborative partnership for which they are Collaborative Partnerships Leader.

D7.2.3 The core activities identified in D7.2.1 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 (or equivalent) has been appointed, the Collaborative Partnership Leader will work closely with them. The core activities identified in D7.2.1 should be read in conjunction with the Collaborative Partnerships Handbook, where the activities associated with the role are explored.

D8 Approval for a New Campus of an Existing, Approved Partner Organisation to Deliver a Collaborative Programme

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 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.

D8.2.3 ADC approval of the proposal requires consideration of an ADC2a form plus the School's visit report.

D8.2.4 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

- 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 on-going 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 Chairs 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 Chair of a Module or Programme Board of Examiners related to the programme;
 - D9.1.3 Schools are required to negotiate a Collaborative Operational Delivery Plan 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 Collaborative Operational Delivery Plan are available on the Centre for Academic Quality website;
 - 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 Chair 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

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 website.
- 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 website.
- 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 ESEC 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 ESEC. 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

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, Chairs 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 ADC2c). 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 Partner Organisation, any remaining programmes leading to University awards at the Partner Organisation will also have to be terminated.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

Alternative format

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Apprenticeship policy: quality assurance and guidance for apprenticeship programmes

UPR AS17, Appendix I version 15.0

Policies superseded by this document

This document replaces version 14.2 of UPR AS17 Appendix I, with effect from 1 September 2022.

Summary of significant changes to the previous version

This document has been amended to reflect the implementation of observations of practices and lessons for higher and degree apprenticeships.

Glossary

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

Table of contents

1	Purpose
2	Underlying Quality Assurance Framework
3	Scope and implementation of the Apprenticeship Policy
3.2	Programme Design and Approval
3.3	Continuous Monitoring of Apprenticeships
3.4	Admissions
3.5	Change of Circumstances
3.6	Professional development of employees delivering apprenticeship training
4	Communication with Employers
5	Complaints
6	Assessment and End Point Assessments
6.1	Assessment
6.2	End Point Assessment
6.3	External Examining
7	Ofsted
8	Review

1 Purpose

- 1.1 The purpose of this document is to provide a statement regarding the internal quality assurance and compliance arrangements for all apprenticeships delivered by the University of Hertfordshire as a Main Provider or through a partner organisation via a subcontract arrangement.
- 1.2 This document should be read as a supplement to the established University's Regulations and Policies¹ and sets out the additional requirements for the quality assurance and compliance for those programmes that offer both an academic award and an apprenticeship.
- 1.3 The University has embedded its apprenticeship provision within existing functions of the institution. This institution-wide approach involving collaboration between academic² and professional Strategic Business Units (SBUs) ensures academic quality is maintained, compliance requirements adhered to and professional and streamlined services for employers and learners alike are provided.
- 1.4 Where existing policy and guidance refers to 'student' it must be considered that these are equally applicable to apprentices and learners.

2 Underlying Quality Assurance Framework

- 2.1 The University is committed to ensuring that the combined programmes of study and apprenticeship will meet the requirements of the Academic Regulations and thereby satisfy the expectations and core practices of the QAA UK Quality Code³ and the QAA Characteristic Statement on Higher Education in Apprenticeships⁴.
- 2.2 The University undertakes to deliver its apprenticeship provision in accordance with its obligations to Education and Skills Funding Agency⁵ (ESFA), the Office for Standards in Education, Children's Services and Skills⁶ (Ofsted). By committing to apprenticeships, the University will take every reasonable effort to ensure that the provision is compliant with the ESFA Funding Rules⁷ and, where required, the Further Education and Skills Inspection handbook⁸ (March 2021). To achieve this, the University will aim to:

1 <https://www.herts.ac.uk/about-us/governance/university-policies-and-regulations-uprs/uprs>
2 Academic Strategic Business Units are referred to as Schools from this point onwards
3 <https://www.qaa.ac.uk/quality-code>
4 <https://www.qaa.ac.uk/docs/qaa/quality-code/characteristics-statement-apprenticeships.pdf>
5 <https://www.gov.uk/topic/further-education-skills/apprenticeships>
6 <https://www.gov.uk/government/publications/education-inspection-framework>
7 <https://www.gov.uk/guidance/apprenticeship-funding-rules>
8 <https://www.gov.uk/government/publications/further-education-and-skills-inspection-handbook-eif>

- 2.2.1 meet the requirements of the ESFA including notification to them of programme approval and subsequent listing on the Learning Aims Reference Service Database (LARS);
- 2.2.2 meet the requirement of the quality standards as published by Ofsted for all provision that is within its scope;
- 2.2.3 identify and provide relevant training for staff to meet the requirements of external regulatory processes (Section 3);
- 2.2.4 meet the health and safety needs of apprentices (including Safeguarding, Prevent, British Values);
- 2.2.5 ensure any subcontracted delivery complies with the requirements of this policy;
- 2.2.6 provide an annual report on its apprenticeship provision to the established governance committees (Academic Standards and Audit Committee and Education and Student Experience Committee);
- 2.2.7 continue to enhance the provision and to raise standards for apprentices and employers through the agreed annual monitoring and continuous enhancement process.

3 Scope and implementation of the Apprenticeship Policy

- 3.1 All staff involved in the delivery of apprenticeship programmes are required to engage positively with this policy.

3.2 Programme Design and Approval

- 3.2.1 Apprenticeship programmes are approved and developed in accordance with the requirements set out in UPR AS17⁹ and the guidance provided on the Centre for Academic Quality Assurance website.
- 3.2.2 If Schools are considering subcontracted provision the ESFA rules should be consulted prior to making any proposal to the Academic Development Committee.
- 3.2.3 The periodic review of all apprenticeship programmes will be considered as part of the normal periodic review process (UPR AS17⁹). Apprenticeship Standards normally have a three-year life cycle, the expectation is that any amendments to the Standard necessitating changes to the programme will be managed through established processes.

⁹ UPR AS17 'Academic Quality'

3.3 Continuous Monitoring of Apprenticeships

- 3.3.1 All apprenticeship programme will be subject to a continuous monitoring process within the normal academic quality assurance cycle as established in UPR AS17⁹.
- 3.3.2 Programme Leaders for each apprenticeship programme are required to complete a self-assessment exercise and complete programme Continuous Enhancement Planning (CEP) annually. These will form the basis for the University Self-Assessment Report (SAR), which is submitted to Ofsted annually, and Quality Improvement Plan (QIP).
- 3.3.3 The University will engage in the Education and Skills Funding Agency Employer Satisfaction Survey and the Learner Satisfaction Survey. The results from both of these surveys will be considered when developing the SAR and QIP.
- 3.3.4 The End Point Assessment process will be taken account of in the SAR and QIP. This should include employer feedback, the external examiner report with specific detail of EPA noted (integrated EPA only) and any other relevant information.
- 3.3.5 The Department for Education National Achievement rates table for apprenticeships and education and training provide details of Qualification Achievement Rates (QAR). This measure should be used to monitor the success of apprenticeship programmes and for benchmarking purposes in the SAR.

3.4 Admissions

The process of recruitment for Apprentices differs from that of other University students. It is a collaborative process which is determined by both parties: the University and the Employer. It is the responsibility of the University and the Employer to ensure that requirements of UPR SA03¹⁰ and ESFA eligibility requirements are adhered to. The requirements for the admission process are such that:

- i the University sets out the minimum entry criteria for the apprenticeship and takes account of those specified in the relevant apprenticeship standard;
- ii the programme specific entry criteria is detailed in the programme specification;
- iii eligibility criteria as mandated by the ESFA Funding rules must be met in order that the University can access funding;

¹⁰ UPR SA03 'Admissions - Undergraduate and Taught Postgraduate Students'

- iv the starting point for all Apprentices must be assessed prior to entry on their eligibility to undertake the apprenticeship using the Initial Needs Assessment (INA) process. This should be a decision made following discussion between the Employer, the applicant and the University. The requirement is that the INA process will be completed prior to the apprentice enrolling on the apprenticeship to enable timely and accurate completion of the Training Plan. Responsibility for this lies with the Programme Lead/Admissions Tutor. Monitoring arrangements and oversight for compliance with this process will be managed by the Enterprise & Business Development Compliance and Support Team.
- v it is a requirement of the ESFA that all Apprentices have a minimum of level 2 maths and English in order to complete a levy funded programme. The University requires that applicants must be able to provide evidence of maths and English at a minimum of Functional skills level 2 on entry. If this cannot be evidenced or has not been achieved prior to entry to the programme, this will result in a delay in entry to the apprenticeship;
- vi where selection interviews are required as part of the approved admission process, representatives from both University and Employer should be involved;
- vii all offers of a place on an apprenticeship are conditional subject to full completion of Training Plan and Written Agreement;
- viii all offers of a place on an apprenticeship are conditional, subject to full completion of all documentation required by the ESFA (including the Training Plan, Written Agreement, Call-off Contract, Apprenticeship Agreement and (where applicable) Sub-Contracting Schedule) prior to the programme start date. The University reserves the right to defer the start date if the above documents are not completed prior to the start date. Any deferral to proposed start date will be discussed on an individual basis with the Employer and Apprentice.

3.5 Change of Circumstances

3.5.1 Circumstances may change for the Apprentice during their course.

3.5.2 If any circumstances change that affect any agreements made between the Employer, Apprentice and the University, existing agreements must be altered. This includes but is not limited to:

- i changes to price;
- ii changes to their eligibility;
- iii changes to the apprentice's contract or working pattern;
- iv changes to the apprenticeship duration;
- v changes to the subcontractor;

- vi breaks in Learning:
 - a the learner may request a Break in Learning (BiL) at any point during their course;
 - b employers must agree to their apprentice taking a BiL;
 - c breaks in Learning do not apply when the apprentice has been made redundant;
 - d Academic Services must be notified of all BiLs as soon as the Programme Leader becomes aware of this as the University is obliged to record this accurately on the ILR;
 - e as a main provider, the University must re-plan the delivery, with the employer, agree any changes to price, revise written agreements/commitment statements and update the ILR.
- 3.5.3 It is the responsibility of the School to notify Academic Services if the apprentice has changed Employers as soon as they become aware of this information.
- 3.5.4 It is the responsibility of the School to notify the Academic Services in cases where an Apprentice withdraws from their programme for any reason. This notification is in addition to the normal University's withdrawal procedure.
- 3.5.5 Where the Apprentice is withdrawn from their programme following a Programme Board, the University has a responsibility to inform the Employer (see section 4).
- 3.5.6 In the event of redundancy, the University should make reasonable efforts to support the Apprentice to find new employment, support the Apprentice to continue with their training where appropriate or provide the Apprentice with a Record of Apprenticeship Part Completion if the Apprentice cannot find new employment or continue with their training.
- 3.5.7 In the event of relocation of an employer's facilities, the University should make every effort to support the Apprentice to either continue their programme with the University or support them to transfer to another Training Provider who offers the same apprenticeship.
- 3.5.8 If the Apprentice chooses to leave their Employer, the Employer should notify the University. Every effort should be made to enable the Apprentice to continue their programme (including the possibility of transferring to a non-degree apprenticeship pathway with liability for fees becoming that of the Apprentice).
- 3.6 Professional development of employees delivering apprenticeship training**

Aligned with our Strategic Plan 2020-2025, the University has a clear vision for the professional development of its employees. This includes:

- 3.6.1 Mandatory training for all staff, both as part of induction and probation, and as an annual requirement. This includes central induction, health and safety, equality and diversity, GDPR and unconscious bias training. Additional mandatory training, which is specific to all those working on, or with responsibility for, apprenticeship delivery includes safeguarding, Prevent, and compliance, with other training determined on the role of the employee.
- 3.6.2 Supporting staff to develop their practice including:
- i those academic staff without a teaching qualification or Fellowship of the Higher Education Academy to join the Postgraduate Certificate in Learning and Teaching in Higher Education. The completion of this programme requires a successful teaching observation. This is monitored through the academic probation process for the first year, with reviews at 4, 8 and 10 months;
 - ii the academic probation 4-month review must also include an observation of teaching by the Dean/Head of Department. Once probation is successfully completed, development is discussed regularly at appraisal;
 - iii development of practice through peer observation, with specific expectations for those delivering apprenticeship training to ensure practice is aligned with the Education Inspection Framework;
 - iv regular observation of practice by leaders and managers to ensure that learners benefit from effective teaching and support.
- 3.6.3 Individual Appraisal to support and monitor employees' professional development. The appraisal policy (UPR HR18) requires an annual appraisal and six-month review.

The purpose of the appraisal process is to ensure that the individual's contribution is recognised, that individuals are clear about what is expected of them, to provide a constructive environment to discuss work priorities and targets, to provide an opportunity to discuss development needs for both the current role and for future career opportunities, to allow for identification of and discussion about difficulties or obstacles which hamper effectiveness and to help focus staff development.

Line managers of staff involved in apprenticeship training will work with the individuals to ensure that action plans resulting from appraisal include:

- i how sector expertise, skills and performance is maintained and improved;
- ii how teaching and training knowledge, skills and performance is developed, maintained, and improved, including through the use of planned lesson visits and observation of practice;
- iii how actions are aligned to the delivery of apprenticeship training ensuring individual, customer and University needs are met.

- 3.6.4 Providing academic staff with a contractual allowance for research and scholarly activity, which may take place throughout the year, to be integrated into the overall pattern of activities. Outputs from research and scholarly activity time are discussed at annual appraisal and mid-year review.
- 3.6.5 Providing Professional staff with a contractual allowance for professional development.
- 3.6.6 Managing performance. The University is committed to enabling staff to reach their full potential and to deliver at least a satisfactory level of performance. In the event that a member of staff is judged to be performing at a less than acceptable level, the University will offer reasonable counselling, support and training in order to resolve the problem. In the majority of cases this approach will result in an improvement in performance, bringing it up to the level required. Only after these approaches have been tried and there has been no improvement, or there has been a deterioration in performance, will the Managing Poor Performance policy (UPR HR19) apply.
- 3.6.7 Performance concerns which affect Fitness to Practise for members of staff who must be registered with one of the UK's regulators in order to practise and therefore teach/tutor/assess learners will be reported appropriately.

4 Communication with Employers

- 4.1 Communication with the Employer is central to the success of the apprenticeship. There are many avenues and levels where the University is required to engage with the Employer and the Apprentices; e.g. recruitment, on-boarding, progress review.
- 4.2 All Employers will be provided with a University Employer's Handbook, contact details of the Programme Leader and Employer Liaison Tutor, and a general contact point within Enterprise & Business Development.
- 4.3 Information to the Employer in relation to the academic withdrawal of their Apprentice should be managed in a timely and transparent manner.

5 Complaints

In addition to the standard complaints procedure the University has a procedure for managing employer complaints UPR GV15¹¹. Details of the complaints process will be outlined in the Written Agreement, Employer handbook and Programme handbook.

¹¹ UPR GV15 'Complaints Policy (non-staff, non-student)' can be found at the following link: https://www.herts.ac.uk/_data/assets/pdf_file/0014/253121/UPR-GV15-Complaints-Policy-Non-Staff,-Non-Student.pdf

6 Assessment and End Point Assessments

6.1 Assessment

University regulations and processes apply to all assessments as per the Academic Assessment regulations for undergraduate and taught post graduate programmes:

- Assessment, Examinations and Conferment (University-Delivered Provisions) (UPR AS12);
- Assessment, Examinations and Conferment (Partner Organisation-Delivered Provision) (UPR AS13); and
- Structure and Assessment Regulations-Undergraduate and Taught Post Graduate Programmes (UPR AS14).

6.2 End Point Assessment

- 6.2.1 All Apprentices are required to undertake an End Point Assessment (EPA) (integrated or non-integrated).
- 6.2.2 The University will undertake the steps necessary to register as an End Point Assessment Organisation (EPAO) for each apprenticeship standard (integrated EPA) and ensure the EPA is managed in accordance with UPR AS14 Appendix IV¹² and Appendix V¹³.
- 6.2.3 It is the responsibility of each School to engage with the EPAO of the Employer's choice (non-integrated EPA) and to ensure timely preparation for the End Point Assessment.
- 6.2.4 Apprentices will remain enrolled at the University until they have completed their End Point Assessment (non-integrated EPA).

6.3 External Examining

- 6.3.1 The University's normal external examining arrangements apply for the academic award associate with the level 5, 6 or 7 apprenticeships. Where Professional Statutory and Regulatory Bodies (PSRB) requirements indicate, this will include level 4.
- 6.3.2 When seeking to appoint an external examiner for an apprenticeship that has an integrated EPA, academic, relevant practice-based experience and CPD should be considered.

¹² UPR AS14, Appendix IV 'Apprenticeship Provision - End Point Assessment policy'

¹³ UPR AS14, Appendix V 'Apprenticeship Provision - Fair Access Policy for End Point Assessment'

- 6.3.3 When the End Point Assessment (EPA) is integrated, the External Examiner will be expected to have oversight of the EPA. To assure their independence they will only have responsibility for the EPA and will not have any other on-programme external examining responsibilities. The EPA plan for integrated assessments provides detailed requirements for external examining. This must be adhered to and the External Examiner must ensure their availability for Board of Examiners for those programmes with an integrated EPA.
- 6.3.4 For non-integrated EPA, the External Examiner will not be directly involved in the EPA process but will be involved in awarding the academic award associated with the programme. They will undertake their role as either Module and/or Programme External Examiner as defined in UPR AS14¹⁴ section E.

7 Ofsted

- 7.1 Apprenticeship programmes (Levels 4-7) are within scope for an Ofsted quality assurance inspection with some exceptions.
- 7.2 Schools must be prepared for inspection and will be supported by members of the Apprenticeship Advisory Group. The Higher and Degree Apprenticeship Committee will oversee the University level preparation for Ofsted inspections.
- 7.3 The University will appoint a Nominee who will be the main point of contact between the University and Ofsted for inspection visits.
- 7.4 Preparation for Ofsted inspection at programme level is the responsibility of the School in scope for inspection, including any subcontracted provision managed by the School. This includes compliance and alignment with the Education Inspection Framework¹⁵ (2019). This preparation includes but is not limited to:
- 7.4.1 Production and on-going review of the Self-Assessment Report (SAR) and Quality Improvement Plan (QIP) including data on:
- i learner body data by cohort and employer;
 - ii individual learner data-starting point, progress made, targets specified, feedback;
 - iii cohort data detailing progression, continuation and completion (QAR data);
 - iv equality and diversity data;
 - v demographic data;
 - vi evidence of understanding of Prevent, Safeguarding, British Values, Health and Safety agendas, contextualised for the apprenticeship by the learner, employer and programme team;

¹⁴ UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes'

¹⁵ <https://www.gov.uk/government/publications/education-inspection-framework>

- vii consideration of the Quality of Education that underpins the apprenticeship;
 - viii National Student Survey (NSS)/ Postgraduate Taught Experience Survey (PTES) data;
 - ix external quality assurance monitoring reports, e.g. PSRBs.
- 7.4.2 Specific staff training and development (Prevent, Safeguarding).
- 7.4.3 Undertaking and recording regular learning observations with staff and learners.
- 7.4.4 Working with employers and apprentices to ensure they are aware, understand and are prepared for inspection.

8 Review

This policy (Appendix I UPR AS17) will be reviewed annually.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

Alternative format

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

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

UPR AS12 version 15.0

Policies superseded by this document

This document replaces version 14.1 of UPR AS12, with effect from 1 September 2022.

Summary of significant changes to the previous version

The term 'candidate' has been substituted for 'student' to provide clarity. Other minor amendments have been made to reflect changes in organisational structures.

Glossary

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

Table of contents

1	Introduction
2	Scope
2.3	Research degrees
3	Definitions
4	Institutional Roles and Responsibilities
4.4	Institutional role of the Associate Director
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 students
- 6.1.3 Role and responsibilities of Invigilators (see Appendix III, UPR AS12¹)
- 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 for students with a Study Needs Agreement in place
- 7 Regulations and Procedures relating to examinations supervised by the Associate Director
 - 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
 - 7.2.5 The Head of Student Administration will:
 - 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 Associate Director
 - 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 Associate Director
 - 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 Associate Director 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
- 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
 - 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 students
 - 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 Replacement certificates
 - 11.3 Certificates of Attendance/Credit
 - 11.3.1 Scope
 - 12 Graduation Ceremonies for the presentation of graduates who have received degrees and diplomas
 - 12.1 General regulations and procedures
 - 12.1.4 Students who elect to receive an interim award
 - 12.1.5 Eligibility to attend graduation ceremonies
 - 12.2 Role of the Secretary and Registrar
-

1 Introduction

- 1.1 With the exception of examinations and assessments deferred or referred from the Academic Year 2021-2022, the regulations, procedures and guidelines set out in this document (UPR AS12) will apply to all examinations and assessments conducted by the University on or after 1 September 2022.
- 1.2 This document should be read in conjunction with UPR AS11¹; UPR AS14²; individual programme regulations; where applicable, the regulations of external validating bodies and UPR SA03³/UPR SA02⁴.

2 Scope

- 2.1 All members of staff, students and relevant University 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 requires that the principles embodied in these regulations are applied universally in the examination and/or assessment of all credit bearing modules leading to awards of the University of Hertfordshire.

¹ UPR AS11 'Schedule of Awards'

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

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

⁴ UPR SA02 'Admissions - Research Students'

2.3 Research degrees

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

3 Definitions

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

i **'programme':**

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

ii **'module':**

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

iii **'examination script':**

completed examination answers on official examination stationery (including, but not limited to, answer books, continuation sheets and graph paper) as supplied by the Associate Director (Academic Services) or equivalent electronic versions;

iv **'coursework':**

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

v **'Associate Director':**

the Associate Director (Academic Services);

vi **'Head of Student Administration':**

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

vii **'Invigilator':**

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

viii **'Invigilator in Charge':**

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

ix **'Home Programme':**

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

x **'Off-campus':**

premises neither owned nor occupied by the University of Hertfordshire;

xi **'Academic Student Debt':**

See Appendix I, UPR SA13⁵ and Appendix I, UPR SA15⁶;

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;

⁵ 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.

⁶ 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.'

- 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 students 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)⁷.

4.2 The Associate Director 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 AskHerts.

4.3 The Head of Student Administration will:

- i at the start of each academic session, notify students of the make and model of the calculator approved by the University;
- ii ensure that:
 - a the titles of the Programme, Module and Short Course Boards of Examiners, the names of their respective Chairs and the dates on which they are scheduled to meet, are published to all students (see section C, UPR AS14²);
 - b all students are advised to read the 'Instructions for Exam Candidates' which are published on AskHertsby the Associate Director;
- c in a timely manner, all students are registered on the Student Record System as being enrolled on their modules;
- d all students are informed of the process and timescale for checking, via the Virtual Learning Environment (VLE), that they have been enrolled on the correct modules.

4.4 Institutional role of the Associate Director

4.4.1 Although the Associate Director may delegate certain responsibilities to members of staff under their management, ultimate responsibility for the administration of examinations and conferments lies with the Associate Director.

4.4.2 For the purposes of these regulations, the Associate Director is the nominee of the Secretary and Registrar.

⁷ 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

5.1 Setting and review of assessments

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

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

5.2 Publication and use of Grading Criteria

- 5.2.1 The following minimum requirements apply to the development, publication and use of grading criteria:
- i every Programme must publish Grading Criteria in the Programme handbook(s);
 - ii Grading Criteria must relate to the University's Grade Descriptors and associated numeric grades, described in section D1.1, UPR AS14²;

- iii relevant Grading Criteria should be available for all assessments that students on the programme will encounter;

Further guidance is available on the Learning and Teaching Innovation Centre website.

5.3 Submission of coursework

- 5.3.1 Applications for coursework extensions are approved by the School with academic responsibility for the module concerned (see section 4, i, c and d, Appendix I, UPR AS12⁸). 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 pseudonymously⁹. Wherever possible summative student work must be submitted and marked pseudonymously. There are some situations where it is not feasible to mark work pseudonymously, or where there is no significant scope for bias to affect the outcome of the marking process. The following forms of assessment are examples of assessments that are exempt from the need to be submitted and marked pseudonymously:

- i assessments where students 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:

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

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

- i it counts for over **50%** of the module assessment; **and**
- ii is marked by more than one first marker; **and**
- iii the question or title has been developed and/or agreed on an individual basis.

5.4.5 An example of an assessment task that must be blind double marked is the individual project/dissertation module. Assignments where students, for instance, respond to a common question but draw on practice in order to answer that question do not need to be blind double marked. Blind double marking replaces internal moderation.

5.4.6 Feedback on marked student work must be consistent with the University's Grade Descriptors.

5.5 Internal moderation of marked student work

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

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

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

5.5.2 The module leader is responsible for ensuring that internal moderation has taken place.

5.5.3 Except in exceptional circumstances approved by the Dean of School or nominee, staff undertaking moderation should not have been involved in the marking process and should have a minimum of two (**2**) years' experience in UK Higher Education.

5.5.4 All summative assessments must be internally moderated, with the exception of those assessments that have been blind double marked (see section 5.4.2) and assessments that have undergone objective marking including by a computer. Student work from each assessment in a module should be sampled.

5.5.5 Where there is more than one (**1**) marker the moderator should identify and consider any differences in the distribution of marks between markers.

5.5.6 Moderators must select a minimum sample size that is equal to the square root of the total number of items, but not fewer than five (**5**), selecting work from across the range of grades awarded. If there are fewer than five (**5**) items of assessment, then all items will be reviewed. Where there is more than one marker, the sample must include at least three (**3**) items from each marker.

- 5.5.7 The outcome of the moderation process will be one or more of:
- i the marking is fair and consistent, requiring no change to either the marks or the feedback provided to students;
 - ii the marking is consistent but too harsh or too generous, requiring all relevant marks to be adjusted up or down following consultation with the relevant marker(s);
 - iii there are significant inconsistencies in marking, requiring a re-mark of all work following consultation with relevant marker(s);
 - iv the quality of the feedback provided by one or more markers requires improvement;
 - v the feedback provided by one or more markers requires greater consistency.

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

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

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

5.6 Checking for errors in examination and coursework marking

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

5.7 External Examiners

- 5.7.1 Appropriate samples of marked student work should be reviewed by External Examiners, selected from across the range of grades awarded (however, see section 5.7.2). Where moderation is required, the sample provided for the External Examiner is the same as that used for the internal moderation process. However, the External Examiner has the right to review all relevant examination scripts and in-course assessments.
- 5.7.2 With the agreement of the External Examiner, samples of marked student work from the referred/deferred examination period do not need to be reviewed by External Examiners, providing that:

- i the External Examiner is satisfied with the standard of marking of student work during the first-sit examination period; and
- ii the External Examiner has reviewed the referred/deferred assessments prior to their use; and
- iii all marginally-failed referred/deferred student work is internally moderated or blind double marked, as appropriate (see section D1.1, UPR AS14², for the definition of a marginal fail grade); and
- iv all other marking and internal moderating requirements, as defined in sections 5.4.1 to 5.7.1 above, are adhered to.

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

5.8 Return of marked student work

- i Where blind double marking has taken place, the provisional mark agreed by the markers is the only mark provided to the student. Feedback to the student should be consistent with the grading criteria/marketing scheme. Any inconsistencies in individual marker comments should be resolved before the feedback is given to the student.
- ii Students' coursework will be returned to them together with feedback no later than four (4) calendar weeks after the submission deadline. Any exceptions to this must be agreed by the Associate Dean of School (Academic Quality Assurance) or the Associate Dean of School (Learning and Teaching) and notified to students in advance of the expiry of the four (4) week period. For work of an on-going nature, such as a major project or dissertation, supervising staff will ensure that students are provided with feedback at interim stages.

5.9 Provision of feedback on examinations

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

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

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

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

6.1 General regulations

6.1.1 Scope

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

6.1.2 Ratio of Invigilators to students

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

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

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

6.2 The University's Panel of Invigilators

The Associate Director:

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

6.3 Invigilation of examinations and assessments supervised by the Schools

General regulations

- i Examinations and assessments to be invigilated by the Schools
Practical examinations, including laboratory-based examinations and such other non-laboratory examinations as the relevant Board of Examiners decides, will be invigilated by the School responsible for the module.

- ii The Dean of School:
 - a is responsible for ensuring that these examinations are conducted in a manner consistent with the requirements of the regulations set out in this document (UPR AS12);
 - b will ensure that members of their staff are available and have full information concerning the examination(s) which they are to invigilate.

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

a INVIGILATION

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

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

- c Invigilators will ensure that students are aware that they must print and save their work in accordance with the provisions of section 2, Appendix III, UPR AS12¹.

d ELECTRICAL AND/OR COMPUTER BREAKDOWN

In the event of an electrical or computer breakdown, the Invigilator will consult the Associate Director, where the Associate Director 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 students accordingly.

7 Regulations and Procedures relating to examinations supervised by the Associate Director

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

7.1.3 The Head of Student Administration will ensure that:

- i students 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 Associate Director 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:

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

7.1.4 Off-campus formal examinations for home programmes

- i Home programmes (i.e. non-collaborative programmes, delivered by University of Hertfordshire staff) where students are not required to attend the University campus on any occasion for any reason are collectively referred to as off-campus delivered programmes (for example, distance learning programmes, University-delivered elements of Joint and Dual Awards and Fly-In Faculty¹⁰ arrangements).
- ii Where students registered on programmes delivered off-campus sit a formal examination away from the University campus, all University policies and regulations must be adhered to.
- 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 students (see section 7.1.1).
- iv If overseas-based students registered on off-campus delivered programmes are permitted by the Exams and Awards Office to sit a formal examination overseas, they must sit the examination:
 - a at an academic institution with which the University of Hertfordshire has agreed an arrangement for the examination sitting(s) after an approach has been made to that institution by the student or the student's School or
 - b at the British Council or
 - c in the case of a cohort of students only, on premises under the supervision of a member of University staff who will be responsible for receiving the examination paper, invigilating the examination and sending the completed examination scripts for marking or
 - d at an approved University academic support partner (see section D2, UPR AS17¹¹).
- 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

¹⁰ Services and premises contracts (see UPR FR06 'Corporate Governance and Financial Regulation')

¹¹ UPR AS17 'Academic Quality'

- 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 AS17¹¹).

Sections 7.1.4, iv and 7.1.4, v, will not apply where a professional or statutory-regulatory body requires an examination to be sat at a professional body-registered examination centre.

- vi All formal examination papers should be sent out by post or the University's file exchange server to the member of staff responsible for the administration of the examination taking place off the University Campus.
- vii For the purpose of the above sub-sections, a formal examination means one which is administered through the Exams and Awards Office and is defined as such in the Definitive Module Document (DMD).

7.1.5 Exceptional and unforeseen circumstances for off-campus formal examinations

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

(Note for guidance:

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

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

Other circumstances

In specific circumstances the University may consider relaxing this rule (see section 7.5.1, i) in order to permit a student 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 Associate Director who acts as the nominee of the Secretary and Registrar. The decision of the Associate Director is final and will be notified to the student, in writing. Any consent is conditional upon the student sitting the examination on the same day as campus-based students and under the supervision of a nominated individual approved by the Associate Director who will be responsible for receiving the examination paper, invigilating the examination and sending the completed examination scripts to the University for marking.

ii Procedure for obtaining permission

Students must direct their requests to the Associate Director via their Associate Dean of School or Disability Adviser.

Where permission is granted by the Associate Director, 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 student;

(where required, the second examination paper will be used as the examination paper for the referred/deferred examination. Should the second paper not be required, it may be used, where appropriate, when the module is next examined.)
 - c where this is normal practice, preparing outline or model solutions;
 - d preparing marking schedules;

- e checking the questions and the solutions for those examination papers for which they are responsible prior to their being sent to the External Examiner(s);
- f making any changes that have been agreed with the External Examiner(s);
- g correcting all proofs and typing their name into the electronic E2 form which is ultimately appended to the front of the examination envelope, thereby confirming the completeness and accuracy of the examination paper which it contains (see section 7.4.4, iv).

7.2.3 Internal Moderator

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

7.2.4 Copy Editor

The Copy Editor is responsible for ensuring that:

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

7.2.5 The Head of Student Administration will:

- i publish annually to the Dean of School, members of the School academic staff and the Associate Director a schedule setting out:
 - a the deadlines for the various key stages for the production of examination papers and the deadline(s) for their completion;
 - b the deadlines for the submission of marks and grades to Boards of Examiners;
 - c the dates of all of the meetings of the Boards of Examiners for which they are responsible;
- ii for each module, maintain a record of the names of:
 - a Module Leaders;
 - b External Examiners;
 - c Internal Examiners;
 - d Internal Moderators;
 - e Copy Editors;
- iii ensure that examination papers for those modules are submitted to the appropriate External Examiner(s) and that comments received from External Examiner(s) are conveyed to the appropriate Module Leader;

- iv ensure that examination papers are not submitted to the Associate Director until they have been approved by the relevant External Examiner(s) and Module Leader.

7.2.6 External Examiners will:

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

7.3 Preparation of examination papers

7.3.1 General regulations and procedures

- i Security and confidentiality
 - a The arrangements for the production of examination papers will be such that security and confidentiality are maintained at all stages of the process.
 - b The production of examination papers on computer workstations must be undertaken in accordance with the requirements of UPR IM20¹².
 - c Examination papers must be prepared and stored in secure areas to which students do not have access.
 - d Examination papers must not be saved on hard disk drives or placed on non-secure servers. Electronic storage onto which examination papers have been saved must be held securely in locked areas. Networked printers to which students may have access must not be used.
 - e All copies of preliminary drafts must be shredded.
 - f Under no circumstances will examination papers be sent via the internal post or by electronic mail.
 - g Examination papers may be sent to External Examiners or third parties approved by the Associate Director to administer the examination via the University's File Exchange Server.

- ii Scheduling and managing the preparation process

The process must be scheduled and managed to ensure that the deadlines stipulated in these regulations and those published by the Head of Student Administration (see section 7.2.6, i, a) and by the Associate Director 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;

¹² UPR IM20 'IT and Computing Regulations'

- b where practicable, all papers for which an External Examiner has responsibility are sent to them in one **(1)** batch.

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

7.3.2 The Head of Student Administration 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 (see section 7.2.2 ii); one **(1)** copy of the previous year's examination paper and a 'standard comment sheet' are sent to the External Examiner(s) and that they are notified, in writing, of the deadline for the return of this material;

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

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

7.3.3 Format of examination papers

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

7.4 Submission of completed examination papers to the Associate Director

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

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

7.4.2 Deadline for the submission of completed examination papers

The University's deadline for the submission of completed examination papers to the Associate Director 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 Associate Director until after the University deadline has passed (see section 7.4.2), a written report must be made to the Associate Director, stating the reason for the delay and notifying them of the date on which the examination paper will be available.

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

7.5 **Reproduction of papers for the examination**

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

7.6 **The process of examination**

7.6.1 Role and responsibilities of the Invigilator

In general terms, it is the responsibility of the Invigilator to ensure, as far as is reasonably practicable, that at all times during examination students 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 students), 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 Associate Director

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

7.6.4 Procedure in the event of an emergency during the examination

- i Students:
will be required to comply with the regulations and procedures set out in section 3.4, Appendix I, UPR AS12⁸.
- ii The Invigilator will:
 - a ask all students to leave the examination room unless they are specifically advised to the contrary by the Director of Occupational Health and Safety (or nominee) or by the Associate Director, 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 students and keep them all together in a group;
 - e remind students that they must not talk;
 - f unless given instructions to the contrary by the Associate Director (see section 7.6.5), continue the examination as soon as possible after the 'all clear' sounds.
- iii The Associate Director will:

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

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

7.6.5 Regulations and procedures relating to unsafe examinations

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

- i that the examination be restarted with an appropriate time allowance where possible
or,

- ii where there is reason to believe that the integrity of the examination is at risk, that the examination be terminated at that point and rescheduled at a later date, with a new examination paper.

7.6.6 Procedure in the event of a major disturbance

The Associate Director will advise the Invigilator in Charge of the amount of additional time that students are to be permitted. This will be recorded in the Invigilator's Log.

7.7 Collection of examination scripts from the Associate Director 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 Associate Director.

7.8 Marking of examination scripts

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

7.8.2 Module Leaders (or nominees) are responsible for:

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

7.9 Archiving of examination papers

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

7.10 Storage and archiving of examination scripts

Examination scripts will not be returned to students and will be retained by the University in accordance with the regulations and procedures set out UPR IM11¹³.

8 Regulations and Procedures relating to suspected assessment and examination offences

8.1 General regulations

8.1.1 Academic misconduct is defined in Appendix III, UPR AS14¹⁴. This document also sets out a range of other offences which the University will normally regard as academic misconduct.

8.1.2 Allegations of academic misconduct will be investigated in accordance with the procedures set out in Appendix III, UPR AS14¹⁴. 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 AS14¹⁴.

8.2 Suspected offences which occur in the examination room

8.2.1 Unauthorised material

- i Where an Invigilator has reasonable grounds to suspect that a student is in possession of unauthorised material during an examination, they have the right to confiscate the material immediately.
- ii The Invigilator will contact the Associate Director (or their representative) immediately to report the alleged offence.
- iii The student will normally be allowed to continue with the examination without prejudice to any subsequent decision of the Module Board of Examiners.
- iv The student will be informed at the end of the examination, normally by the Associate Director (or nominee), that a report of the incident will be submitted to the appropriate Associate Dean of School (Academic Quality Assurance) (or nominee) (see Appendix III, UPR AS14¹⁴).
- v The Invigilator and the Associate Director 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 Associate Director to the appropriate Associate Dean of School (Academic Quality Assurance) (or nominee) within one (1) working day of the incident.

8.2.2 Other offences

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

¹³ UPR IM11 'Records Management and the Archiving and Retention of Prime Documents and Business Records'

¹⁴ UPR AS14, Appendix III 'Academic Integrity and Academic Misconduct'

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

9 Consideration of results by Boards of Examiners

9.1 General

This section (9) must be read in conjunction with UPR AS11¹ and UPR AS14².

9.2 Clerks to Boards of Examiners (Module and Programme)

The role and responsibilities of Clerks to Boards of Examiners are fully described in Appendix II, UPR AS14¹⁵.

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

- 9.3.1 Where, in exceptional circumstances, a Module External Examiner is unable to be present at a Module Board of Examiners meeting, they must be asked to complete a form E9a following the meeting, to provide written confirmation of their concurrence with the recommendations of the Board prior to the publication of results to students (see section E3.2, UPR AS14²).
- 9.3.2 Where, in exceptional circumstances, a Programme External Examiner is unable to be present at a Programme Board of Examiners meeting, they must be asked to complete a form E10a following the meeting, to provide written confirmation of their concurrence with the recommendations of the Board prior to the publication of Award Pass Lists (see section E2.3, UPR AS14²).

9.4 Module Boards of Examiners

- 9.4.1 The Clerk will:
- i have received the relevant marked examination scripts and mark sheets from the Internal Examiner(s) (see section 7.8.2, iv);

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

- 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 (see section E, UPR AS14²).

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

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

9.5 Programme Boards of Examiners

9.5.1 General regulations

- i Regulations concerning students' names

- a The names of the students on the Award Pass List (see section 9.5.4, i) must be identical to those by which students are registered with the University and which appear on the 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 student.
- c Any changes of name, for example, as a result of a change in marital status, must be notified by the student to Student Records and Enrolment, prior to the date of the Programme Board of Examiners meeting and must be accompanied by confirmatory legal evidence. Students cannot alter their names unless this is as a result of a process that is recognised in law, such as a marriage or deed poll. It should be noted that, although a marriage certificate is legal proof of a change to an individual's family name, it is not legal proof of any change to their forename(s).
- d It is the responsibility of Student Records and Enrolment to ensure that this information is input on the Student Record System.
- e No change of name that has taken place later than the date of the Programme Board of Examiners meeting can be taken into account unless the request for such a change is made by a trans graduate in which case the graduate concerned must address their request in the first instance to the Head of Admissions and Student Records.
- f In the event that a student does not have in their possession, by the date of the Programme Board of Examiners meeting, the necessary legal evidence to support a name change that they wish to be recorded on their award documentation, the student may make a Statutory Declaration before a Commissioner for Oaths to enable the name change to be made. The student must present written evidence of the Statutory Declaration to the Associate Director 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 students

Only the 'Programme Board of Examiners Report' will be used to identify students who are eligible for an award.

iii 'Programme Boards of Examiners Reports'

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

iv Annotated Programme Board of Examiners Reports

A Programme Board of Examiners Report which has been annotated by the Clerk to the Board (see section 9.5.3) is a prime document as defined in UPR FR06¹⁶ and must be filed with the minutes of the Board and the original version of the Award Conferment Recommendation Form (Form E10) which has been signed by the External Examiner(s) (see section 9.5.4, v, d).

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

9.5.2 Preparations for a Programme Board of Examiners meeting

i Draft E10 form

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

ii The Clerk to the Board:

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

9.5.3 During the Programme Board of Examiners meeting

The Clerk:

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

9.5.4 Following the Programme Board of Examiners meeting

i Award Pass Lists

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.

¹⁶ UPR FR06 'Corporate Governance and Financial Regulation'

- ii Exit awards
 - a The exit award shown on the Award Pass List will normally be the final award for the student's programme of study (for example, Master's Degree, Bachelor's Degree with Honours, Foundation Degree, BTEC Higher National Diploma/Certificate) unless: the student decides to finish studying at an intermediate stage of their programme or the student has reached their ultimate level of attainment at an interim award stage, in which case, the final (exit) award recommended by the Board could be any of the undergraduate or taught postgraduate awards listed in UPR AS11¹.
 - 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 students 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 students must be listed either in alphabetical, course instance or award order;
 - b the student's full name, as recorded on the Student Record System, will be used, and Student Registration Number;
 - c the Award Pass List must state the date of the meeting of the Programme Board of Examiners at which the awards were recommended.
- iv Approval of Award Pass Lists

Each Award Pass List must be signed by:

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

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

(Note for guidance:

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

- v Generation and approval of the final version of the E10 form
 - a The Clerk:
will ensure that following the meeting the final version of the E10 Form is signed by:
 - 1 all of the External Examiners listed on the form and
 - 2 the Chair of the Programme Board of Examiners and dated with the date of the relevant meeting of the Programme Board of Examiners.
 - b External Examiners:
will sign the final version of the E10 form, thereby signifying that they agree with the recommendations made by the Board at the meeting or, where they were absent from the meeting, complete a form E10a in accordance with the requirements of section 9.3.
 - c The Chair:

will sign the final version of the E10 form, thereby confirming the certification of the awards approved by the Board.
 - d the Head of Student Administration:

will ensure that the original E10 form (or E10a form), bearing the signatures of the Chair of the Programme Board of Examiners and the External Examiner(s) is held securely, together with the master Award Pass List, the minutes of the meeting and the Programme Board of Examiners Report.
 - e a copy of the E10 form (or E10a form) should be sent to the School's designated Academic Services Officer (AQA).

10 Publication of Results

(See section C3.6, UPR AS14².)

10.1 General regulations and procedures

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

10.1.2 Issuing of results to students

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

(Section C3.6, UPR AS14², gives additional information concerning the publication of results.)

10.1.3 Award Pass Lists

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

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

(Note for guidance:

The original Award Pass List is subsequently placed in the Minute Book (see section 3.2, Appendix II, UPR AS14¹⁵). Section 9.5.3 formally designates the annotated Programme Board of Examiners Report as an appendix to the minutes of the meeting to which it relates. The original Award Pass List is also an important record of the business of the Board. Although it does not form part of the minutes of the meeting, it too should be placed in the Minute Book to ensure that it is readily available for scrutiny.)

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

10.1.4 Issuing of Transcripts from the Student Record System

The Head of Student Administration will ensure that:

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

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

10.1.5 Transcripts which cannot be produced from the Student Record System

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

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

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

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

10.1.6 Data Protection and the disclosure of marks/results

- i The Data Protection Act 2018 and General Data Protection Regulations 2018 give individuals right of access to any personal information that is held about them both on computer and within structured manual filing systems (see UPR IM08¹⁷).
- ii Students are informed of their grades routinely, by means of the University's procedures for the publication of results (see section C3.6, UPR AS14²).
- iii Where a student makes a formal request to the Data Protection Officer for access to their personal data and pays the appropriate charge, they are entitled to receive a copy of all of the information held about them, including any marks held on any University computer or in structured manual filing systems.

¹⁷ UPR IM08 'Data Protection Policy and Privacy Statement'

- 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 student should be given a clear explanation of the status of the marks and/or grades, including the right of Boards of Examiners to vary grades.
- v A Programme Board of Examiners may authorise the disclosure to a student by the Chair of the Programme Board of Examiners/Associate Dean of School of further information about their examination/assessment performance whenever a Board considers that it is in the student's interest to have that information (see sections 5.5 and 5.6).
- vi A Board of Examiners may not authorise the disclosure to a student of any list of examination results containing the grades or assessments of other students.

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 SA13⁵/Appendix I, UPR SA15⁶, and such sum has not been paid.
- ii Students 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 students should refer to UPR IM08¹⁷).

10.2 Prizes

(See Appendix IV, UPR AS12¹⁸.)

11 The Conferment and Certification of awards

11.1 Conferment of Awards

11.1.1 The Director of Academic Services will:

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

¹⁸ Appendix IV, UPR AS12 'Prizes (University-Delivered Provision)'

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 student fulfilled any conditions for the award that were imposed by the Programme Board of Examiners.

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

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 SA13⁵/Appendix I, UPR SA15⁶, 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 Associate Director.
- ii Certificates for Supervised Work Experience for sandwich degrees will be prepared by the Head of Student Administration and signed by the Chair of the appropriate Board of Examiners. The Head of Student Administration will ensure that the certificates are provided to the Associate Director who will then issue them on the University's behalf.

11.2.2 Format of certificates

- i Certificates for all awards listed in UPR AS11, 'Schedule of Awards', with the exception of those identified in 11.2.2, ii, below:
 - a Will bear the University crest reproduced in full colour and will be signed by the Vice-Chancellor.
 - b The wording for first degree awards will be set out in accordance with the following example:
'X (name) has been awarded the degree of Bachelor of Arts with First Class Honours/Upper Second Class Honours/Lower Second Class Honours /Third Class Honours/ having followed an approved sandwich programme in (subject)'.

- c Where the award is not in the sandwich mode the word 'sandwich' will be omitted (see section 11.2.2, i, b).
- d Where the award is achieved after a student has followed a degree only programme, there is no classification for the award.
- e Programmes for which there is no approved title, for example, those approved under the University's Credit Accumulation and Transfer Scheme (CATS), will be described only as an 'approved programme'.

11.2.3 Replacement certificates

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

11.3 Certificates of Attendance/Credit

11.3.1 Scope

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

11.3.2 The Head of Student Administration:

- 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 Head of Student Administration.)

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

12.1 General regulations and procedures

- 12.1.1 The University will hold ceremonies each academic year for the presentation of students who have met the criteria listed in section 12.1.7.
- 12.1.2 The dates of the University's Graduation Ceremonies will be determined by the Academic Board which will be advised by the Associate Director.
- 12.1.3 Students 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 Students who elect to receive an interim award

(See Section 9.5.4, ii)

- i Students who finish their studies before achieving the highest award on their programme must notify the Head of Student Administration, in writing, by the deadline specified by the Head of Student Administration, 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 students to the relevant ceremony immediately following their having achieved their awards.

- ii A student who has been offered an interim award but has not returned to study nor notified the Head of Student Administration 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 student may be invited to a ceremony provided that they have met the criteria listed in section 12.1.7.

12.1.5 Eligibility to attend graduation ceremonies

- i Only those graduates and diplomates confirmed on the Student Record System by the dates specified in Section 12.1.6 and who meet the criteria specified in section 12.1.7, iii-will be eligible to attend graduation ceremonies.
- ii When invited to attend a ceremony, graduates and diplomates must register their intention to attend by the published deadline in the manner prescribed by the University. Failure to comply with these requirements will render them ineligible to attend the ceremony.
- iii A graduate or diplomate will not be automatically eligible to attend any other ceremony if they are unable to attend the ceremony to which they had been invited by the University. Attendance for presentation at a graduation ceremony is not compulsory as a student is deemed to have graduated from the date of the Programme Board of Examiners meeting at which the award was approved or from the date on which they fulfilled any conditions imposed by the Programme Board of Examiners.
- iv If a graduate or diplomate is unable to attend the ceremony to which they had been invited, they may defer this invitation once, to the next ceremony period. In order to defer their invite, the graduate or diplomate must complete the online deferral form available on the Graduation Ceremonies website by the deadline specified. Successful submission of this form will generate a confirmation email sent to the email address provided by the student on the deferral form. The graduate or diplomate will not be eligible to attend any ceremony if they have not, for any reason, completed the deferral form and received the confirmation as above. Deferral requests are considered at the discretion of the Associate Director, subject to availability and in meeting the eligibility criteria listed in 12.1.7.
- v It should be noted that attendance at ceremonies for the presentation of degrees and diplomas is solely by invitation of the University. An individual who is in debt to the University and where such sum has not been paid one (1) week or five (5) working days prior to the registration deadline (see Appendix I, UPR SA13⁵/Appendix I, UPR SA15⁶), is not eligible to be invited to any such ceremony.
- vi The University reserves the right, at its absolute discretion and without prior notice, to refuse an individual entry to any graduation ceremonies.

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

Period during which Programme Board met:	Awards to be confirmed on the Student Record System by:	Ceremony that graduates are eligible to attend:
1 August 2022- 2 November 2022	2 November 2022	December 2022 (de Havilland Campus – Hatfield)
3 November 2022- 31 July 2023	31 July 2023	September 2023 (St Albans Abbey)

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

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

to the next scheduled ceremony organised by the Associate Director following the completion of their studies:

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

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

12.1.8 The University's regulations relating to academic dress are set out in UPR AS01¹⁹.

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 Associate Director (Academic Services).

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

Alternative format

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

¹⁹ UPR AS01 'Academic Dress'

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Assessments and Examinations - Regulations for Students (including requests for the review of assessment decisions (Appeals Procedure)) (University - delivered provision)

UPR AS12, Appendix I - version 15.0

Policies superseded by this document

This document replaces version 14.1 of UPR AS12, Appendix I, with effect from 1 September 2022.

Summary of significant changes to the previous version

This document has been amended to set out details of the operation of coursework extensions, make the grounds of appeal easier for students to understand and to provide clarification for students by substituting the term 'candidate' with 'student'.

Glossary

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

Table of contents

1	Preparations for Examinations and Assessments
1.3	Students 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
2	Academic misconduct
3	Examinations
3.1	Attendance
3.2	Permitted or required aids and special equipment in examinations
3.3	Conduct of students during the examination
3.4	Conduct of students 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 students (appeals procedure)

- 5.1 Scope of regulations
- 5.2 Confidentiality and Data Protection
- 5.3 General principles for a request for the review of an assessment decision
- 5.4 Permitted grounds for a request for the review of an assessment decision
- 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 student'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 student:
 - i is personally responsible for familiarising themselves and complying with all of the following:
 - a the regulations and procedures set out in this document (Appendix I, UPR AS12);
 - b UPR AS11¹ and the assessment regulations which relate to the programmes on which they are enrolled;
 - c the University's regulations relating to Academic Misconduct (see section 2);
 - d the regulations and procedures that apply in cases of Exceptional Circumstances (see UPR AS14²;
 - e Appendix II, UPR AS12³.

¹ UPR AS11 'Schedule of Awards'

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

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

- ii is responsible for accessing, via their StudyNet portal, their examination timetable for Semester A, Semester B, 'out of time' and main referred/deferred examinations.

1.2 Students are required:

- i to ensure that they are registered correctly on the modules for which they are to be assessed (see section 1.5);
- 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 Associate Director on AskHerts, to inform them (the Associate Director), in writing, of religious observance/belief dates during examination periods which proscribe the taking of examinations;
- v to advise the University of any Exceptional Circumstances which, in their opinion, prevented them from attending and/or submitting the assessment which they wish the Module Board(s) of Examiners to take into account (see section C3.8, UPR AS14²);
- 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 Head of Student Administration of any changes of name, for example, as a result of a change in marital status (see section 9.5.1, i, c, UPR AS12⁴).
- vii with regard to all coursework, studies, projects, investigations, questionnaires or other procedures involving the use of human participants, to comply with the University's ethics regulations (UPR RE01⁵).

1.3 Students who are debtors of the University

Students 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 student has failed an examination or assessment in cases where the student 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 Students are advised to keep a record of coursework assignments and the date on which they are submitted and to retain copies of assignments contributing to overall assessments of the module.

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

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

1.5 Confirmation of modules for assessment

- i Students are required to check and confirm via their student record 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.
- ii Where the list of modules which can be viewed via their student record is incorrect, it is the student 's responsibility to notify the Student Administration Service 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. The student may notify the Student Administration Service by emailing ask@herts.ac.uk.
- iii Confirmation by the student, via their student record, that they have been enrolled on the correct modules (see section 1.5, i) registers the student for written examinations/other forms of assessment associated with those elements of their 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 student being barred from sitting examinations supervised by the Associate Director.

2 Academic misconduct

For the purposes of these and all other University regulations, the definitions set out at UPR AS14 Appendix III 'Academic Integrity and Academic Misconduct' will apply.

3 Examinations

3.1 Attendance

- i Students:
 - 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

Students 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 students present in the examination room will be checked (see section 1.2, iii).

 - b Students 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. Students may take only those items specified in the rubric to their examination desks.

 - b Students will ensure that mobile telephones, all watches and any other electronic device have been switched off and that they are left in the area specified by the Invigilator. Any mobile telephone making an audible noise during an examination will be removed immediately and taken to the Exams and Awards Office, together with any item of the student's property, such as the coat, bag or other item, in which the telephone is stored. It may be collected by the student 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 student's person.

 - d The University does not accept liability for any loss or damage to students' personal property howsoever caused.

- v Students' attire

During the examination, students 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

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

- a Students 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. Students may not lend, borrow or share a calculator once the examination has commenced.
- b Students 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 students have been notified of this exception in advance of the examination.
- c Where it is proven that a student has taken unauthorised information contained in the memory or case of a pocket calculator or other device into an examination room, they will be deemed to have committed a serious examination offence.

ii Dictionaries

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

- a Students are not allowed to take their own dictionaries into the examination room.
- b An English dictionary will be provided in each examination room and students 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 students during the examination

i Students 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 students 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 students in the examination. Where the Invigilator considers that a student is causing an unacceptable level of disturbance, the student may be required to leave the examination room. Where a student is required to leave the examination room in such circumstances, they will not be eligible for a deferral.

(Note for guidance:

Where a student is required to leave the examination room because of a disturbance arising from their 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, students are not permitted to leave the examination room and then return unless they can provide medical or other appropriate evidence to justify this. Students 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 Students 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 Students must not leave the examination room during the examination without being accompanied by an Invigilator/informing the Invigilator.
- d Students who leave while the examination is in progress should do so as quietly as possible to minimise disturbance to others.
- e Any student 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 student before they are allowed to leave the examination.

(Note for guidance:

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

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

- iii Students 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 student liable to expulsion from the examination room for the remainder of the examination period.
- v At the time of the examination, students 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 Associate Director to decide whether or not action can or should be taken.)

3.4 Conduct of students in the event of an emergency

(See sections 6.6.4 and 6.6.5, UPR AS12⁴)

Students 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 Associate Director will advise the Invigilator in Charge of the amount of additional time that students are to be permitted.)

3.5 Writing the examination

Each student must:

- a unless instructed otherwise, write answers in black or blue ink;

- b write their correct Student Record Number and any other particulars that are required, clearly and accurately on the front of each examination-script;
- c write their correct Student Record Number on each item of examination stationery used (for example, continuation sheets and graph paper);
- d not, for any purpose, bring their 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 their 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.)

- i Students must:
 - a stop writing immediately when 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 students' 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, students 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 Students are responsible for:
- a saving all their work regularly and in the manner prescribed for the examination;
 - b ensuring that their correct Student Record 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, students are required to follow the instructions given by the Invigilator.

4 Assessment of coursework

4.1 Students 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 via the process identified in their programme information (see 4.2 below);
- d responsible for familiarising themselves with the penalties that may be imposed as a result of their having submitted their coursework after the published deadline;

4.2 Coursework Extensions

- a A coursework extension is permission to hand in an assessment after the published hand-in date without either incurring a penalty or waiting to re-take an alternative assessment as a referred or deferred student;

- b Coursework extensions are not automatic, permission must be granted. Students must request a coursework extension from the person(s) or via the process identified in their programme information. They must provide an explanation in writing for requesting an extension specifying the number of days required, which may be for a maximum of seven (7) calendar days;
- c For some assessments, applications for extensions may not be possible, or not possible for the maximum of 7 calendar days, because of the nature of the assessment or its position in the assessment calendar. In such cases this will be made clear to students in the assessment brief / module information;
- d Whilst an extension can be requested any time up until the coursework deadline, it is reasonable to expect that it may take up to two (2) working days after receipt of the request to confirm whether or not the request has been accepted;
- e For students who have been granted an extension, coursework will be returned to them together with feedback no later than four (4) calendar weeks after the expiry of the maximum extension period available for the particular module, regardless of the period of extension granted or when the work is actually submitted.

4.3 Late submission of coursework

With exception of all online time limited assessments, unless there are accepted Exceptional Circumstances or an extension has been given:

- 1 For each day or part thereof (or for hard copy submission only, working day or part thereof) for up to five days after the published deadline, coursework relating to modules at Levels 0, 4, 5, 6 submitted late (including deferred coursework, but with the exception of referred coursework), will have the numeric grade reduced by 10 grade points until or unless the numeric grade reaches or is 40. Where the numeric grade awarded for the assessment is less than 40, no lateness penalty will be applied;
- 2 For each day or part thereof (or for hard copy submission only, working day or part thereof) for up to five days after the published deadline, coursework relating to modules at Level 7 submitted late (including deferred coursework, but with the exception of referred coursework), will have the numeric grade reduced by 10 grade points until or unless the numeric grade reaches or is 50. Where the numeric grade awarded for the assessment is less than 50, no lateness penalty will be applied;
- 3 Referred coursework submitted after the published deadline will be awarded a grade of zero (0).
- 4 Coursework (including deferred coursework) submitted later than five days (five working days in the case of hard copy submission) after the published deadline will be awarded a grade of zero (0).

(Note for guidance:

For assessments requiring hard copy submission, working day refers to a weekday when the University is open for business, including vacation times)

4.4 Students:

- a must not behave in a manner likely to prejudice the academic performance of another student;
- b must not offer bribes or inducements to any member of the University's staff, External Examiners or other students 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 students (appeals procedure)

5.1 Scope of regulations⁶

5.1.1 These procedures will be followed in cases where a student 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;

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 for a request for the review of an assessment decision

5.3.1 Whilst students may raise queries about the results of an assessment, the University will not consider queries which consist solely of a challenge to the academic judgement of Examiners in assessing the merits of a student's work.

⁶ Regulations and procedures for raising queries about assessment, progression and award regulations associated with a particular programme lie outside the scope of this document. Students who wish to raise such queries should do so via the appropriate Programme Committee through student representatives or by seeking an interview with the module tutor, programme leader or other programme officer.

5.3.2 A Short Course/Module or Programme Board of Examiners (see sections 5.6.1 and 5.6.2) 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 B5, UPR AS14² (see section 5.8 of this document also).

5.3.3 With limited exceptions, all investigation materials considered by the Dean of School (or nominee) or the Vice-Chancellor under this policy will be provided to the student.

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

5.4.1 Subject to the general principles set out in section 5.3 above, the grounds on which students are permitted to lodge a request for the review of an assessment decision are where evidence exists that:

- a the assessment procedures were not followed properly;
- b there has been an administrative error that would affect the outcome of the assessment decision;
- c the examinations or other assessments were not conducted in accordance with the approved programme regulations;
- d University and/or programme-specific regulations on progression and awards were not complied with;
- e relevant information, including information that has already been provided by the student, was overlooked;
- f there is new evidence that would affect the outcome of the decision that the student was unable, for good reason, to provide earlier in the process;
- g there is a reasonable perception of bias during the process.

5.4.2 Students should note that:

- i the University will respond only to those matters that fall within the permitted grounds for the request of a review set out above; and
- ii with the exception of appeals from Exceptional Circumstances claims, 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.

5.4.3 Students considering an appeal are advised to consult the information and guidance available on Ask Herts.

5.5 Informal procedures

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

5.5.2 Mark or grade of an individual item of coursework

- i The student or member of staff should raise the query with the tutor(s) concerned immediately after receiving notification of the mark or grade. The tutor 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 tutor(s), the student still believes there is an error which has not been rectified and wishes to pursue the matter further, they must raise the issue, in writing, with the Programme Leader within five (5) working days of the date of the response.
- iii The Programme Leader will investigate the query and notify the student of the findings of that investigation. Where an error is found, any necessary corrections will be made following instruction from the Programme Leader to the appropriate member of academic or administrative staff.

5.5.3 Overall result of an individual module

The student 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 student is unsure which member of staff to contact, they should seek advice from the Student Administration Service. The student 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 student should raise the matter at the earliest possible time with their Year or Programme Leader.

5.5.5 A student's personal position

The student should raise the matter at the earliest possible time with their Personal Tutor, Academic Support Tutor, Year or Programme Leader.

5.5.6 Suspected administrative error or procedural irregularity

The student or member of staff should raise the matter at the earliest opportunity with the Chair of the Short Course/Module or Programme Board of Examiners (see sections 5.6.1 and 5.6.2).

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 found in the following link:

<https://ask.herts.ac.uk/academic-appeals-requests-for-the-review-of-assessment-decisions>

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, students 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.)

5.6.3 Any student wishing to request a formal review should seek immediate guidance from the Dean of School (or nominee if the Dean of School is the Chair or member of the Module or Programme Board of Examiners) (see sections 5.6.1 and 5.6.2) 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 Students 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 student '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 their 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 student of their decision by means of a **Letter of Decision** in the following format:

Letter of Decision

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

- a inform the student 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.

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 Head of Student Administration, and to the Chair 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 Chair of the Board of Examiners concerned will notify the student, 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 student has had their request dismissed by the Dean of School (or nominee) then a student may, in limited circumstances, make representations to the Vice-Chancellor, in their capacity as Chair 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 student 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 student is strongly advised to seek guidance from the Dean of School (or nominee) concerned, who may further consult appropriate colleagues within the School. The student may also wish to seek advice from the Students' Union.

5.7.3 If, having obtained appropriate guidance, the student wishes to pursue the matter, they 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 their 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 they wish the decision of the Short Course/Module or Programme Board of Examiners to be reviewed.

(Note for guidance:

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.

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 students. Disabled students 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 Head of Student Administration that an appeal is pending and of the outcome when the final decision is reached.
- 5.7.7 Upon receipt of the student'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. The Vice-Chancellor's decision will be based on the evidence available. The Vice-Chancellor will assess whether any of the exceptional circumstances referred to in section 5.7.1 apply and not 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, the Vice-Chancellor will:
- i dismiss the request and advise the student 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 student 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 student accordingly in writing.

(Note for guidance:

The student 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 their 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 student, 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 (see section 5.7.8, iii) or,
 - c where they wish to exercise the right to representation, to be accompanied by a member or nominee of the Students' Union Executive (see section 5.7.8, iii, b).
 - iii Student's Adviser
 - a An appellant may invite another person to accompany them to, and to act as their 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 their 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, they 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. The Vice-Chancellor may confirm the view of the Short Course/Module or Programme Board of Examiners (see sections 5.6.1 and 5.6.2) or require the Short Course/Module or Programme Board of Examiners to review the case in view of any exceptional circumstances.

- 5.7.10 The Vice-Chancellor's decision will be communicated to the student 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 student 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 the Vice-Chancellor is satisfied that this is a justifiable course of action. The Short Course/Module or Programme Board of Examiners acts under authority delegated to it by the Academic Board and the decision of the Short Course/Module or Programme Board of Examiners on a referred appeal is final, other than in exceptional circumstances where the Academic Board may decide to exercise its powers in accordance with the provisions of section B5, UPR AS14².

5.8 The Academic Board

- 5.8.1 In very exceptional circumstances, for example, where it believes that a Programme or Short Course/Module Board of Examiners has misused or otherwise contravened its authority or there are procedural irregularities, the Academic Board has the power to consider and, if appropriate, change the decision of the Programme or Short Course/Module Board. In such exceptional circumstances, the delegation of authority made to the Programme or Short Course/Module Board by the Academic Board would be revoked temporarily⁷.

⁷ See Academic Board minute 725.3, 15 March 2000.

5.8.2 Students 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 their case.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

Alternative format

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

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Assessments and Examinations - students with disabilities or other additional needs (University-delivered provision)

UPR AS12, Appendix II - version 15.0

Policies superseded by this document

This document replaces version 14.1 of UPR AS12, Appendix II, with effect from 1 September 2022.

Summary of significant changes to the previous version

The term 'candidate' has been substituted with 'student'.

Glossary

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

Table of contents

1	Introduction
2	Principles, Policies and general regulations
3	Identifying and making reasonable adjustments to examination arrangements
3.3	Requests from disabled students
3.6	Requests from students who are not disabled
3.7	Late requests for adjustments
3.8	Rooms, invigilation and equipment
3.9	Amanuenses, readers and School-based Invigilators
3.10	Marking
3.11	Requests for the review of assessment decisions – undergraduate and taught postgraduate students (Appeals Procedure)
4	Administration of assessment/examination arrangements for students with disabilities or other additional needs
4.1	Deans of School:
4.2	Disability Advisers:
4.3	Costs
4.4	Special arrangements involving external agencies
5	Time constrained in-course/module assessments

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 students.
- 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 students as well as to those students 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 students with other additional needs. These adjustments will 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 students, 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 student's disability or other additional needs in extenuation of poor performance.
- 2.6 The reasonable adjustments which might be made for disabled students 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 (scribe) 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 four (4) 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 four (4) weeks prior to the ‘out of time’ examination.

3.3 Requests from disabled students

The Disability Adviser will determine the adjustments to be made for disabled students. The Disability Adviser will discuss requests with the student concerned and, by using the Study Needs Agreement on StudyNet, will agree with the student the arrangements which are to be put in place. The agreed Study Needs Agreement operates for the entire period during which the student 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 student 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 students 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 their performance during an examination would be impaired because their 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 Exceptional Circumstances from their Disability Adviser and then to notify the Chair of the Short Course/Module Board of Examiners, in writing, in accordance with the requirements of section C3.8, UPR AS14¹, 'Exceptional Circumstances'.

3.8 Rooms, invigilation and equipment

3.8.1 Where they are the responsibility of the Associate Director, Semester A, Semester B and referred/deferred examinations for students 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 Student Wellbeing: Disability Services is responsible for booking certain items of equipment needed for examinations requiring one-to-one invigilation.

3.8.3 Students will start the examination at the same time as all other students 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 Associate Director.

3.9.2 An amanuensis, reader or School-based Invigilator should have no professional or personal relationship with the student. If such a person cannot be found, an independent (additional) Invigilator must also be appointed to oversee the examination.

¹ UPR AS14 'Structure and Assessment Regulations – Undergraduate and Taught Postgraduate Programmes'

- 3.9.3 When the use of an amanuensis, reader or School-based Invigilator is agreed, both the student and the person taking on the role must be given a copy of any relevant guidelines. These may be obtained from the Associate Director 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 (see section 3.9.2), 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 students during the examination is not inappropriate and must not allow students to consult with them in any way about their answers nor advise the student in any way.

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 students on an equal basis.

3.11 Requests for the review of assessment decisions – undergraduate and taught postgraduate students (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 AS12² ('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 students with disabilities or other additional needs

4.1 Deans of School:

will ensure that, within their respective Schools, students 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 students the reasonable adjustments which are to be made available to them;

² Appendix I, UPR AS12 'Assessments and Examinations - Regulations for Students (Including Requests for the Review of Assessment Decisions (Appeals Procedure)) (University-Delivered Provision)'

- ii in the case of Semester A and Semester B examinations referred to in the University Calendar, notifying the Associate Director not less than three (3) weeks prior to the first examination in the series of the special arrangements agreed for disabled students in their respective Schools;
- iii in the case of 'out of time' examinations (see section 3.2), notifying the Associate Director not less than three (3) weeks prior to the examination of the special arrangements agreed for disabled students in their Schools;
- iv for referred/deferred examinations, notifying the Associate Director not less than one (1) weeks prior to the first examination in the series of the special arrangements agreed for disabled students in their respective Schools;
- v determining the non-disability related additional needs of students 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 Associate Director, are provided/made and that the student 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.

4.3 Costs

Any additional costs incurred either by the student or by a centre other than the student's School should be met from the budget of the student'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 Associate Director 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.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

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Invigilators - Role and Responsibilities (University-delivered provision)

UPR AS12, Appendix III version 15.0

Policies superseded by this document

This document replaces version 14.1 of UPR AS12. Appendix III, with effect from 1 September 2022.

Summary of significant changes to the previous version

The term 'candidate' has been substituted with 'student'. Other minor amendments have been made to reflect changes in organisational structures.

Glossary

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

Table of contents

- 1 General Responsibilities
- 2 Examinations involving the use of computers

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 (see UPR AS12¹).

From the time that the Invigilator collects the examination papers or arrives in the examination room, whichever is earliest, until the Invigilator has fulfilled all of their duties (see section 1.2), the Invigilator will 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 (see section 6, UPR AS12¹).

¹ UPR AS12 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (University-Delivered Programmes)'

1.2 Invigilators will:

- i admit students 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 students:
 - 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 Associate Director in cases where students are unable to present their University Identity Cards;
- iv ensure that each student signs the attendance register (in the event of a student'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 Associate Director;
- vi prior to the commencement of the examination, make all announcements in accordance with the Invigilator Guidelines and remind students to read the regulations issued by the Exams and Awards Office which will have been placed on students' desks;
- 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 student who arrives after the time scheduled for the start of the examination, irrespective of whether the examination has started;
- ix announce to the students 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 students 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 students 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 student 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 Associate Director;
- xiv take such measures as they deem appropriate for the immediate comfort of any student who becomes unwell during the examination, contacting the Associate Director if necessary: under no account leaving other students in the examination room unsupervised;
- xv ensure that students who need to visit the lavatory during an examination of more than two (2) hours' duration are escorted (only students 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 Associate Director immediately in cases where they have reason to believe that a student may be in breach of University regulations, in particular, if the Invigilator discovers a student with unauthorised material (the Associate Director will advise the Invigilator concerning the immediate action which they (the Invigilator) is to take);

(The student will normally be allowed to continue with the examination but if the suspected student is expelled from the examination room they 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 Associate Director 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 students (such incidents would include, but are not limited to, excessive external noise);
- xviii following consultation with the Associate Director, require a student to leave the examination room where the student, either intentionally or unintentionally, causes disturbance to other students in the examination and make a written report of the incident in the Invigilator's Log;
- xix where a student suddenly becomes unwell during an examination and elects to leave without completing the examination, contact the Associate Director immediately and make a written report of the incident in the Invigilator's Log, noting the student'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 students have written their correct Student Record Number on them, have completed the front of their examination script and ensure that there is an examination script for each student in attendance and that they are in Student Record Number order.

2 Examinations involving the use of computers

For Semester A, B and C examinations and the main referred/deferred examination periods, the Associate Director 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 Associate Director, be invigilated by staff of the appropriate School.

(See Section 6.4, UPR AS12¹.)

The Invigilator will:

- i ensure that all computer-based communications systems to which students would normally have access and which would allow students 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 students' activities closely during the examination);
- ii where, at any time during the examination, a student 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 Associate Director immediately (the Associate Director will advise the Invigilator concerning the action which they must take);
- iii advise students that they are personally responsible for saving all their work regularly and in the manner prescribed for the examination (see 2, v);
- iv in the event of an electrical and/or computer breakdown:
 - a **FOR EXAMINATIONS WHICH ARE THE RESPONSIBILITY OF THE ASSOCIATE DIRECTOR:**

immediately notify the Associate Director, 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 students is printed on to white, A4 paper and that the Student Record Number is written at the top of each page. If there is no printer in the examination room, bring the student to the Exams Office where their work will be printed.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

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Prizes (University- delivered provision)

UPR AS12, Appendix IV - version 15.0

Policies superseded by this document

This document replaces version 14.1 of UPR AS12, Appendix IV, with effect from 1 September 2022.

Summary of significant changes to the previous version

The term ‘candidate’ has been substituted with ‘student’. Other minor amendments have been made to reflect changes in organisational structures.

Glossary

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

Table of contents

1	Statement of policy
2	University Prizes
2.4	Possible categories for University prizes
2.5	Administrative procedures relating to University prizes
3	Sponsored and endowed prizes
3.1	Role of the Secretary and Registrar
3.2	General
3.3	Role of the Secretary and Registrar
3.4	Programme Boards of Examiners
3.5	Administrative procedures relating to sponsored and endowed prizes

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 Chair 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 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 student'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 students' 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 a graduation ceremony arranged by the Associate Director should be submitted on-line via a prize form published by the Exams & Awards Office.

- 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 Graduation Ceremonies. The final date for notifying the Associate Director of the names of prize winners for inclusion in the programme is 31 July for September ceremonies and 3 November for December ceremonies.
- vi The Head of Student Administration 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 on-line by the deadline given.
- vii Prize winners will be notified of the value and type of prize that they have been awarded via their School/Ask Herts Hub, 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 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.

3.4 Programme Boards of Examiners

In awarding these prizes, Programme Boards of Examiners will take into account any special conditions of eligibility and procedural requirements associated with the terms and conditions that apply to the prize or endowment.

3.5 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 their Graduation Ceremony. The information will also be published in the Graduation Ceremony Brochure.)

ii Sponsored prizes

The Head of Student Administration:
is 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

The Head of Student Administration:

is 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.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

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

UPR AS13 version 15.0

Policies superseded by this document

This document replaces version 14.0 of UPR AS13, with effect from 1 September 2022.

Summary of significant changes to the previous version

The term 'candidate' has been substituted with 'student' to add clarity. Other minor amendments have been made to reflect changes in organisational structures.

Glossary

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

Table of contents

1	Introduction
2	Scope
3	Definitions
4	General responsibilities of the University delegated to the organisation
4.4	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 students
- 6.1.3 Role and responsibilities of Invigilators (see Appendix III, UPR AS13)
- 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
 - 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 students
 - 10.1.4 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 Replacement certificates
 - 13 Graduation Ceremonies for the presentation of graduates who have received degrees and diplomas
 - 13.1 General regulations
-

1 Introduction

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

2 Scope

- 2.1 All members of staff, students and relevant University or Organisation Committees and Boards are required to comply with the regulations, procedures and guidelines set out in this document, which apply to the examination and assessment of all taught programmes delivered and assessed by Partner Organisations (as defined in section 3, v) that lead to approved awards of the University of Hertfordshire.
- 2.2 The University requires that the principles embodied in these regulations are applied universally in the examination and/or assessment of all credit bearing modules leading to awards of the University of Hertfordshire.

3 Definitions

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

i **'programme'**:

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

ii **'module'**:

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

¹ UPR AS11 'Schedule of Awards'

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

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

⁴ UPR SA02 'Admissions - Research Students'

A module is also defined by its module identifier, its aims and intended learning outcomes, its level, its size (expressed in credit points) and other details captured in the Definitive Module Document (DMD) (see UPR GV08⁵);

iii **'examination script':**

completed examination answers on official examination stationery (including answer books, continuation sheets and graph paper) as supplied by the Examinations Officer or equivalent electronic versions;

iv **'coursework':**

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

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

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

vi **'Principal':**

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

vii **'Examinations Officer':**

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

viii **'Invigilator':**

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

ix **'Invigilator in Charge':**

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

⁵ UPR GV08 'Glossary of Terminology'

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

4 General responsibilities of the University delegated to the organisation

- 4.1 The Organisation will ensure that:
 - i Programme Handbooks are prepared for each programme and that they are updated annually;
 - ii the appropriate Handbook is issued to all of the students registered for each programme. Notes for Guidance are available from the Academic Services section of the University's Academic Registry;
 - iii with the exception of coursework set in the first four (**4**) weeks of the Semester, the dates of coursework are published no later than four (**4**) weeks before they are due to be submitted.
- 4.2 The Assistant Registrar (Student Administration – Collaborative Partnerships) will ensure that at the start of each academic session:
 - i all students are advised to read the 'Instructions for Exam Students' which are published on AskHerts by the Assistant Registrar (Exams and Awards);
 - ii in a timely manner, all students are registered on the Student Record System as being enrolled on their modules.
- 4.3 The Examinations Officer will ensure that:
 - i with the exception of 'out of time' and re-sit examinations, the dates of examinations are published four (**4**) weeks before they are due to take place;

- ii students are aware that they are also subject to the regulations of the Organisation and that they are required to conduct any coursework, studies, projects, investigations, questionnaires or other procedures involving the use of human participants in accordance with the requirements of the University's ethics regulations (see UPR RE01⁶);
- iii at the start of each academic session,
 - a students are notified of the make and model of the calculator approved by the Organisation;
 - b each student is given a printout ('List of Assessed Modules'), produced by the University or a similar document produced by the Organisation listing their current programme and module registration details in full.

4.4 Organisational role of the Examinations Officer

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

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

5.1 Setting and review of assessments

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

- 5.1.1 All assignment tasks (including examination papers) should not normally be identical in detail on successive occasions that a module runs, nor at first and second (referred/deferred) sitting of a module. While the nature of an assignment task and the learning outcomes assessed can be the same, this requirement will reduce the possibility of academic misconduct by students utilising work produced by other students in earlier years. However, an identically worded coursework task may be used where the assessment is based on an individual student's experience since this will produce a unique response. Likewise, it may be appropriate to use an identically worded coursework task at a second (referred/deferred) sitting in order to assess progress in achievement of learning outcomes based upon feedback provided on the first attempt.
- 5.1.2 All summative assessment (coursework as well as examinations) should be reviewed by an academic colleague prior to being handed out to students. This activity may be achieved within a module team or may be assigned to an appropriate individual, for example, an internal moderator. The review process should ensure that learning outcomes are addressed and the total assessment load is satisfactory. All summative assessment should in addition be reviewed by an appropriate member of University staff.

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

- 5.1.3 Where a single element of coursework counts for **30%** or more of a module grade, approval of the appropriate External Examiner should also be sought for that element of coursework before being handed out to students. However, it is not expected that the External Examiner should be asked to approve each individual project or individually negotiated portfolio. For elements of coursework counting less than **30%** of a module grade, the coursework assessment tasks will be reviewed retrospectively by module External Examiners. Communication with the External Examiner will be from the University.
- 5.1.4 School, discipline or programme Grading Criteria are used to inform the grade awarded to a given piece of student work. Where these Grading Criteria provide insufficient granularity to be useful for student feedback and guidance, additional Marking Schemes which are directly correlated to the module learning outcomes should be published for each assessment task.

5.2 Publication and use of Grading Criteria

- 5.2.1 The following minimum requirements apply to the development, publication and use of grading criteria:
- i every Programme must publish Grading Criteria in the Programme handbook(s);
 - ii Grading Criteria must relate to the University's Grade Descriptors and associated numeric grades, described in section D1.1, UPR AS14²;
 - iii relevant Grading Criteria should be available for all assessments that students on the programme will encounter;

Further guidance is available on the Learning and Teaching Innovation Centre website.

5.3 Submission of coursework

- 5.3.1 Applications for coursework extensions are approved by the School with academic responsibility for the module concerned (see, section 4, i, c and d, Appendix I, UPR AS13⁷). If an extension is granted, the revised hand-in date is taken as the deadline for the coursework.

5.4 Marking of student work

- 5.4.1 All examination scripts should be marked anonymously. Wherever possible summative student work must be submitted and marked anonymously.
- 5.4.2 Blind double marking is the process whereby two assessors work independently and neither marker is aware of the other's assessment decision in formulating their own mark.
- 5.4.3 Blind double marking culminates in a single agreed mark.

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

5.4.4 For modules at levels **6** and **7**, a coursework assignment requires blind double marking if:

- i it counts for over **50%** of the module assessment; **and**
- ii is marked by more than one first marker; **and**
- iii the question or title has been developed and/or agreed on an individual basis.

5.4.5 An example of an assessment task that must be blind double marked is the individual project/dissertation module. Assignments where students, for instance, respond to a common question but draw on practice in order to answer that question do not need to be blind double marked. Blind double marking replaces internal moderation.

5.4.6 Feedback on marked student work must be consistent with the University's Grade Descriptors.

5.5 Internal moderation and University moderation of marked student work

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

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

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

5.5.2 The module leader is responsible for ensuring that internal moderation has taken place.

5.5.3 Except in exceptional circumstances approved by the Dean of School or nominee, staff undertaking moderation should not have been involved in the marking process and should have a minimum of two (**2**) years' experience in UK Higher Education.

5.5.4 All summative assessments must be internally moderated, with the exception of those assessments that have been blind double marked (see section 5.4.2) and assessments that have undergone objective marking including by a computer. Student work from each assessment in a module should be sampled.

5.5.5 Where there is more than one (**1**) marker the moderator should identify and consider any differences in the distribution of marks between markers.

5.5.6 Moderators must select a minimum sample size that is equal to the square root of the total number of items, but not fewer than five (5), selecting work from across the range of grades awarded. If there are fewer than five (5) items of assessment, then all items will be reviewed. Where there is more than one marker, the sample must include at least three (3) items from each marker.

5.5.7 The outcome of the moderation process will be one or more of:

- i the marking is fair and consistent, requiring no change to either the marks or the feedback provided to students;
- ii the marking is consistent but too harsh or too generous, requiring all relevant marks to be adjusted up or down following consultation with the relevant marker(s);
- iii there are significant inconsistencies in marking, requiring a re-mark of all work following consultation with relevant marker(s);
- iv the quality of the feedback provided by one or more markers requires improvement;
- v the feedback provided by one or more markers requires greater consistency.

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

If agreement cannot be reached between the internal moderator and the marker(s) about any aspect of the marking process, the appropriate manager at the Partner Organisation will appoint a second moderator.

5.5.8 Clear documentation must be provided to evidence the process of moderation and this must be made available to the external examiner.

5.5.9 For assessment that involves judgements of transient events (for example, oral presentations, interviews) and other less traditional forms of assessment that do not lend themselves to the above procedure, the School must take appropriate steps to ensure the assessment process is safe.

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

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

5.6 Checking for errors in examination and coursework marking

5.6.1 All examination scripts and any other assessments that are not returned to students should be checked to ensure that no part has been overlooked by the examiner(s) and that the total mark is arithmetically correct. This includes coursework which comprises objective assessments where the total mark requires manual calculation.

- 5.6.2 Where, at any point in the subsequent moderation process, an error in the mark calculations is identified the whole set of assessments should be checked to ensure that the same error does not occur elsewhere.

5.7 External Examiners

- 5.7.1 Appropriate samples of marked student work should be reviewed by External Examiners, selected from across the range of grades awarded (however, see section 5.7.2). Where moderation is required, the sample provided for the External Examiner is the same as that used for the internal moderation process. However, the External Examiner has the right to review all relevant examination scripts and in-course assessments.

- 5.7.2 With the agreement of the External Examiner, samples of marked student work from the referred/deferred examination period do not need to be reviewed by External Examiners, providing that:

- i the External Examiner is satisfied with the standard of marking of student work during the first-sit examination period; and
- ii the External Examiner has reviewed the referred/deferred assessments prior to their use; and
- iii all marginally-failed referred/deferred student work is internally moderated or blind double marked, as appropriate (see section D1.1, UPR AS14², for the definition of a marginal fail grade); and
- iv all other marking and internal moderating requirements, as defined in sections 5.4.1 to 5.7.1 above, are adhered to.

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

5.8 Return of marked student work

- i Where blind double marking has taken place, the provisional mark agreed by the markers is the only mark provided to the student. Feedback to the student should be consistent with the grading criteria / marking scheme. Any inconsistencies in individual marker comments should be resolved before the feedback is given to the student.
- ii Students' coursework will be returned to them together with feedback no later than four (4) calendar weeks after the submission deadline. Any exceptions to this must be agreed by the appropriate manager at the Partner Organisation and notified to students in advance of the expiry of the four (4) week period. For work of an on-going nature, such as a major project or dissertation, supervising staff will ensure that students are provided with feedback at interim stages.

5.9 Provision of feedback on examinations

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

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

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

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

6.1 General regulations

6.1.1 Scope

These general regulations apply to all examinations and assessments that contribute to University of Hertfordshire awards.

6.1.2 Ratio of Invigilators to students

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

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

6.2 The Organisation's Invigilators

6.2.1 The Examinations Officer:

- i will appoint Invigilators for all examinations;

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

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

6.3 Invigilation of other kinds of examinations and assessments

6.3.1 General regulations

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

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

7.1 Scheduling of examinations (including referred/deferred examinations)

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

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

7.2.1 Principals

- i Principals will identify managers who will be responsible for the accuracy of examination papers and for ensuring compliance with the regulations and procedures set out in this section (7.2).
- ii These managers will normally be Programme Leaders who may, in turn, delegate responsibility for the completeness and accuracy of individual examination papers to the appropriate Internal Examiner or Module Leader (see section 7.2.2 and 7.2.3).
- iii Where several Internal Examiners share responsibility for an examination paper, the Principal will nominate one of the Internal Examiners to act as 'Module Leader'.

7.2.2 Module Leaders

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

7.2.3 Internal Moderator

- i Both the University and Organisation must appoint Internal Moderators.
- ii The Internal Moderator is responsible for ensuring and confirming that the questions set out in the examination paper are comprehensible and of the appropriate academic standard, including ensuring that any drafting errors are corrected.

7.2.4 Copy Editor

The Copy Editor is responsible for ensuring that:

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

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

- i publish annually to the relevant University and Organisation academic and administrative staff a schedule setting out:
 - a the deadlines for the various key stages for the production of examination papers and the deadline(s) for their completion;
 - b the deadlines for the submission of marks and grades to Boards of Examiners;
 - c the dates of all of the meetings of the Boards of Examiners for which they are responsible;
- ii for each of the modules, maintain a record of the names of External Examiners.

7.2.6 The Examinations Officer will:

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

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

7.2.7 External Examiners will:

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

7.3 Preparation of examination papers

7.3.1 General regulations and procedures

i Security and confidentiality

- a The arrangements for the production of examination papers will be such that security and confidentiality are maintained at all stages of the process.
- b Examination papers must be prepared and stored in secure areas to which students do not have access.
- c Examination papers must not be saved on hard disk drives or placed on servers. Electronic storage onto which examination papers have been saved must be held securely in locked areas. Networked printers to which students may have access must not be used.
- d All copies of preliminary drafts must be shredded.
- e Under no circumstances will examination papers be sent via any internal mail system or by electronic mail.
- f Examination papers may be sent to External Examiners, the Partner Organisation or third parties approved by the Assistant Registrar to administer the examination via the University secure File Exchange Server.

ii Scheduling and managing the preparation process

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

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

- i compliance with the regulations and procedures set out in section 7.4.1, i and ii;
- ii that two **(2)** copies of each draft examination paper, two **(2)** copies of the solutions (where these have been prepared (see section 7.2.2, ii)); one **(1)** copy of the previous year's examination paper and a 'standard comment sheet' are sent to the External Examiner(s) and that they are notified, in writing, of the deadline for the return of this material;

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

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

7.3.3 Format of examination papers

All examination papers must conform to the standard format stipulated by the University which is supplied separately to the Organisation.

7.4 Submission of completed examination papers to the Examinations Officer

7.4.1 Those managers to whom Programme Leaders have delegated responsibility for the production of examination papers (see section 7.2.1) will ensure:

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

7.4.2 Deadline for the submission of completed examination papers

Completed examination papers must be submitted not less than **20** working days prior to the date of the sitting of the first examination. Semester A and B question papers must be accompanied by a re-sit paper.

7.4.3 Late submission of examination papers

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

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

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

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

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

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

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

7.6 The process of examination

7.6.1 Role and responsibilities of the Invigilator

In general terms, it is the responsibility of the Invigilator to ensure, as far as is reasonably practicable, that at all times during examination students comply with the regulations set out in this document (UPR AS13 and its relevant Appendices).

7.6.2 Role and responsibilities of Module Leaders

The Module Leader (or nominee):

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

7.6.3 Role and responsibilities of the Examinations Officer

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

7.6.4 Procedure in the event of an emergency during the examination

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

7.6.5 Regulations and procedures relating to unsafe examinations

Where, as a result of an incident (see section 7.6.4), there is reason to believe that an examination may be unsafe, the Examinations Officer will consult with the Principal (or nominated deputy) to agree one of the following courses of action:

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

7.6.6 Procedure in the event of a major disturbance

The Examinations Officer will advise the Invigilator in Charge of the amount of additional time that students are to be permitted. This will be recorded in the Invigilator's Log.

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

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

7.8 Marking of examination scripts

7.8.1 Unless it is unavoidable, for example where a student has recorded an incorrect or incomplete Exam Number on their examination script, members of staff will ensure that students' anonymity is preserved throughout the marking process.

7.8.2 Module Leaders (or nominees) are responsible for:

- i ensuring compliance with the requirements of section 7.8.1;
- ii marking the examination scripts;
- iii entering students' marks onto a mark sheet, as approved by the Organisation;
- iv passing the completed mark sheet (see 7.8.2, iii) and the marked examination scripts (see section 7.8.2, ii) to the administrator responsible for the module by the deadline specified in the schedule published by the Examinations Officer (see section 7.2.5).

7.9 Storage and archiving of examination scripts

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

8 Regulations and Procedures relating to suspected assessment and examination offences

8.1 General regulations

8.1.1 Academic misconduct is defined in Appendix III, UPR AS14¹⁰. This document also sets out a range of other offences which the University will normally regard as Academic Misconduct.

8.1.2 Allegations of academic misconduct will be investigated in accordance with the procedures set out in section Appendix III, UPR AS14¹⁰. Should such allegations be proven, the University reserves the right, at its sole discretion, to impose any of the penalties set out in section Appendix III, UPR AS14¹⁰.

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

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

8.2 Suspected offences which occur in the examination room

8.2.1 Unauthorised material

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

8.2.2 Other offences

- i The procedures set out in section 8.2.1, ii – v, will be followed.
- ii The Invigilators Log, which contains details of the alleged offence, will be provided to the Chair of the Short Course/Module Board of Examiners.

8.3 Suspected offences identified during marking

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

8.4 Suspected coursework assessment offences

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

9 Consideration of results by Boards of Examiners

9.1 General

This section (9) must be read in conjunction with UPR AS11¹ and UPR AS14².

9.2 Clerks to Boards of Examiners (Module and Programme)

The role and responsibilities of Clerks to Boards of Examiners are fully described in Appendix II, UPR AS14¹¹.

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

9.3.1 Where, in exceptional circumstances, a Module External Examiner is unable to be present at a Module Board of Examiners meeting, they must be asked to complete a form E9a following the meeting, to provide written confirmation of their concurrence with the recommendations of the Board prior to the publication of results to students (see section E3.2, UPR AS14²).

9.3.2 Where, in exceptional circumstances, a Programme External Examiner is unable to be present at a Programme Board of Examiners meeting, they must be asked to complete a form E10a following the meeting, to provide written confirmation of their concurrence with the recommendations of the Board prior to the publication of Award Pass Lists (see section E2.3, UPR AS14²).

9.4 Module Boards of Examiners

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

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

9.4.2 Role and responsibilities of Module External Examiners

Attendance at, or the written confirmation of, External Examiners' concurrence with the decisions of Boards of Examiners for modules which contribute to a University award is mandatory (see section E, AS14⁵).

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

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

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

9.5 Programme Boards of Examiners

9.5.1 General regulations

- i Regulations concerning students' names
 - a The names of the students on the Award Pass List (see section 9.5.4, i) must be identical to those by which students are registered with the University and which appear on the University's Student Record System.
 - b Students must be registered in their full legal name as defined in a document provided by a Government Agency (eg passport). Initials and abbreviations should not be used other than in cases where these have been adopted legally by the student.
 - c Any changes of name, for example, as a result of a change in marital status, must be notified by the student to the Examinations Officer, prior to the date of the Programme Board of Examiners meeting and must be accompanied by confirmatory legal evidence. The Examinations Officer will notify the Clerk to the Programme Board of Examiners prior to the meeting of the Board and will provide them with the confirmatory legal evidence. Students cannot alter their names unless this is as a result of a process that is recognised in law, such as a marriage or deed poll.

It should be noted that, although a marriage certificate is legal proof of a change to an individual's family name, it is not legal proof of any change to their forename(s).

- d It is the responsibility of the Examinations Officer to pass this information to the Assistant Registrar (Student Administration – Collaborative Partnerships) so that students' records on the University's Student Record System can be amended.
 - e No change of name that has taken place later than the date of the Programme Board of Examiners meeting can be taken into account unless the request for such a change is made by a trans graduate in which case the graduate concerned must address their request in the first instance to the Head of Admissions and Student Records.
 - f A student must have in their possession, by the date of the Programme Board of Examiners meeting, the necessary legal evidence to support a name change that they wish to be recorded on their award documentation.
 - g Names will appear in the format as defined in a document provided by a Government Agency (eg passport).
- ii Students who will be considered by the Board
Only the 'Programme Board of Examiners Report' will be used to identify students who are eligible for an award.
 - iii 'Programme Boards of Examiners Reports'

'Programme Boards of Examiners Reports' will be generated and prepared for Programme Boards of Examiners meetings in the format stipulated in section 9.5.2, iii. The responsibility for this will be agreed between the Examinations Officer and the Assistant Registrar (Student Administration – Collaborative Partnerships).
 - iv Annotated Programme Board of Examiners Reports

A Programme Board of Examiners Report which has been annotated by the Clerk to the Board (see section 9.5.3) is a prime document as defined in FR06¹² and must be filed with the minutes of the Board and the original version of the Award Conferment Recommendation Form (Form E10) which has been signed by the External Examiner(s) (see section 9.5.4, vi, d).
 - v Absence of an External Examiner from a Board meeting

(See section 9.3.)

¹² UPR FR06 'Corporate Governance and Financial Regulations'

9.5.2 Preparations for a Programme Board of Examiners meeting

i Draft E10 form

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

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

ii The Clerk to the Board:

is responsible for ensuring that the relevant Programme Board of Examiners Reports are provided to the Board in the required format (see sections 9.5.1, iii and 9.5.2, iii).

iii Format of a Programme Board of Examiners Report

Each report will:

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

9.5.3 During the Programme Board of Examiners meeting

The Clerk:

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

9.5.4 Following the Programme Board of Examiners meeting

i Award Pass Lists

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

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

ii The Award Pass List:

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

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

iii Exit awards

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

iv Format and content of Award Pass Lists

Award Pass Lists will conform to the following requirements:

- a students must be listed either in alphabetical, course instance or award order;
- b the student's full name, as recorded on the University's Student Record System, must be used, family name first followed by all forenames (initials or abbreviations must not be used) and Student Registration Number;
- c the Award Pass List must state the date of the meeting of the Programme Board of Examiners at which the awards were recommended.

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

v Approval of Award Pass Lists

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

Each University Pass List must be signed by:

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

vi Generation and approval of the final version of the E10 form

a The Clerk:

will ensure that following the meeting the final version of the E10 Form is signed by:

- 1 all of the External Examiners listed on the form and

- 2** the Chair of the Programme Board of Examiners and dated with the date of the relevant meeting of the Programme Board of Examiners.
- b External Examiners:

will sign the final version of the E10 form, thereby signifying that they agree with the recommendations made by the Board at the meeting or, where they were absent from the meeting, complete a form E10a in accordance with the requirements of section 9.3.
- c The Chair:

will sign the final version of the E10 form, thereby confirming the certification of the awards approved by the Board.
- d The Assistant Registrar (Student Administration – Collaborative Partnerships):

will ensure that the original E10 form (or E10a form), bearing the signatures of the Chair of the Programme Board of Examiners and the External Examiner(s) is held securely, together with the master Award Pass List, the minutes of the meeting and the Programme Board of Examiners Report (see section 9.5.1, iii).
- e a copy of the E10a form should be sent to the School's designated Academic Services Officer (AQA).

10 Publication of Results

(See section C3.6, UPR AS14².)

10.1 General regulations and procedures

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

10.1.2 Lists of referrals/deferrals and failures

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

10.1.3 Notification of results to students

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

(Section C3.6, UPR AS14², gives additional information concerning the publication of results.)

10.1.4 Award Pass Lists

The Examinations Officer and/or Assistant Registrar (Student Administration – Collaborative Partnerships) will ensure that not more than **20** working days following the relevant Board meeting:

- i an appropriate Award Pass List is produced and signed by the Chair of the Programme Board of Examiners and by the Assistant Registrar (Student Administration – Collaborative Partnerships);

(Note for guidance:

The original Award Pass List is subsequently placed in the Minute Book (see section 3.2, Appendix II, UPR AS14¹¹). Section 9.5.3 formally designates the annotated Programme Board of Examiners Report as an appendix to the minutes of the meeting to which it relates. The original Award Pass List is also an important record of the business of the Board. Although it does not form part of the minutes of the meeting, it too should be placed in the Minute Book to ensure that it is readily available for scrutiny.)

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

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

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

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

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

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

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

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

- i A Transcript will be made available, on request, to any student.

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

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

10.1.7 Data Protection and the disclosure of marks/results

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

10.2 Prizes

(See Appendix IV, UPR AS13¹³.)

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

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

¹³ Appendix IV UPR AS13 'Prizes'

12 The conferment and certification of awards

12.1 Conferment of Awards

12.1.1 The Director of Academic Services will:

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

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

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

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

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

12.2 Certificates and duplicate award certificates

12.2.1 Certificates

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

12.2.2 Format of certificates

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

- i Will bear the University crest reproduced in full colour and will be signed by the Vice-Chancellor.
- ii The wording for first degree awards will be set out in accordance with the following example:

'X (name) has been awarded the degree of Bachelor of Arts with First Class Honours/Upper Second Class Honours/Lower Second Class Honours /Third Class Honours/ having followed an approved sandwich programme in (subject)'.

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

12.2.3 Replacement certificates

- i The certificate which the University issues as proof of the conferment of an award is a unique and valuable document which should be carefully preserved by its recipient. The University will not issue additional copies or duplicates to any person to whom an original certificate has already been issued other than in the circumstances described in section 12.2.3, ii - iv.
- ii If a certificate is lost or destroyed, a duplicate can be issued which will have precisely the same standing as the original certificate which it replaces. It will be produced in the format currently in use by the University and may not therefore be an exact replica of the original.
- iii An application for the issue of a duplicate certificate must be made on the appropriate form which can be obtained from the Associate Director. The applicant must, in addition, provide the Associate Director with:
 - a the damaged or defaced certificate
or
a written declaration, signed by the applicant, setting out the circumstances in which the certificate was lost or destroyed, which includes a written undertaking by the graduate/diplomate that they will return the duplicate to the University in the event that the original is found and either:
 - b a cheque for the prescribed fee made payable to 'University of Hertfordshire' drawn against an account with a bank in the United Kingdom,
or
a Banker's Draft in sterling for the prescribed fee, to be drawn against an account with a bank in the United Kingdom.

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

13.1 General regulations

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

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

Alternative format

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

Assessments and Examinations - Regulations for students (including requests for the review of examination decisions (appeals procedure)) (partner organisation-delivered provision)

UPR AS13, Appendix I - version 15.0

Policies superseded by this document

This document replaces version 14.0 of UPR AS13, Appendix I, with effect from 1 September 2022.

Summary of significant changes to the previous version

This document has been amended to set out details of the operation of coursework extensions, make the grounds of appeal easier for students to understand and provide clarification for students by substituting the term 'candidate' with 'student'.

Glossary

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

Table of contents

1	Preparations for Examinations and Assessments
1.3	Students 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	Academic misconduct
3	Examinations
3.1	Attendance
3.2	Permitted or required aids and special equipment in examinations
3.3	Conduct of students during the examination
3.4	Conduct of students 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 Appeals Procedure – undergraduate and taught postgraduate students (requests for the review of assessment decisions)
 - 5.1 Scope of regulations
 - 5.2 General principles for a request for the review of an assessment decision
 - 5.3 Permitted grounds for a request for the review of an assessment decision
 - 5.4 Informal procedures
 - 5.4.2 Mark or grade of an individual item of coursework
 - 5.4.3 Overall result of an individual module
 - 5.4.4 Stage progression, entitlement to an award or the class or grade of an award
 - 5.4.5 A student’s personal position
 - 5.4.6 Suspected administrative error or procedural irregularity
 - 5.5 Formal procedure for the review of a decision by a Board of Examiners
 - 5.6 Representations to the Vice-Chancellor
 - 5.6.2 Guidance
 - 5.6.8 Examinations Appeal Panel
 - 5.7 The Academic Board
 - 5.8 Vice-Chancellor
 - 5.9 Further representations
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1 Preparations for Examinations and Assessments

- 1.1 Students 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 AS11¹ and the assessment regulations which relate to the programmes on which they are enrolled;
 - iii the University’s regulations relating to Academic Misconduct (see section 2);
 - iv the regulations and procedures that apply in cases of Exceptional Circumstances (see UPR AS14²);
 - v Appendix II, UPR AS13³.

¹ UPR AS11 ‘Schedule of Awards’

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

³ UPR AS13, Appendix II ‘Assessments and Examinations – Students with Additional Needs (Partner Organisation-Delivered Provision)’

1.2 Students are required:

- i to ensure that they are registered correctly on the modules for which they are to be assessed (see section 1.5);
- 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 them (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 Chair 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 (see section C3.8, UPR AS14²);
- 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 (see UPR AS13⁴);
- vii with regard to all coursework, studies, projects, investigations, questionnaires or other procedures involving the use of human participants, to comply with the University's ethics regulations (UPR RE01⁵).

1.3 Students who are debtors of the Organisation

Students 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 student should fail an examination or assessment in cases where the student 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 Students are advised to keep a record of coursework assignments and the date on which they are submitted and retain copies of the assignments contributing to overall assessments of the module.

⁴ UPR AS13 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (Partner Organisation-Delivered Provision)'

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

1.5 List of Assessed Modules

- i Each student will be provided with a list of modules for assessment, generated either by the University or by the Partner Organisation, listing their 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 students with their Exam Numbers.)
- ii Students 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), via the Examinations Officer.

(These deadlines will be strictly enforced and failure to submit a signed form may result in a student being barred from sitting examinations.)

Receipt of the signed form by the Examinations Officer registers a student for written examinations/other forms of assessment associated with those elements of their programme listed on the printout.

- iii Where the list of modules is incorrect, it is the student'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.

1.6 Exam Numbers

- 1.6.1 In each academic year, every student will be issued with a personal Exam Number by the Organisation.
- 1.6.2 Students 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 Academic misconduct

For the purposes of these and all other University regulations, the definitions set out at UPR AS14 Appendix III 'Academic Integrity and Academic Misconduct' will apply.

3 Examinations

3.1 Attendance

- i Students:
 - 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

Students 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 students present in the examination room will be checked (see section 1.2, iii).
 - b Students 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. Students may take only those items specified in the rubric to their examination desks.

- b Students will ensure that mobile telephones, 'smart' watches and any other electronic device have been switched off and that they are left in the area specified by the Invigilator. Any mobile telephone making an audible noise during an examination will be removed immediately and taken to the Examinations Office, together with any item of the student's property, such as the coat, bag or other item, in which the telephone is stored. It may be collected by the student 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 student's person.
 - d The University does not accept liability for any loss or damage to students' personal property howsoever caused.
- v Students' attire

During the examination, students 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

Students will have been notified, at the start of the academic session, of the make and model of the calculator approved by the Organisation.

- a Students 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. Students may not lend, borrow or share a calculator once the examination has commenced.
- b Students 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 students have been notified of this exception in advance of the examination.

- c Where it is proven that a student has taken unauthorised information contained in the memory or case of a pocket calculator or other device into an examination room, they 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 Students are not allowed to take their own dictionaries into the examination room.
 - b An English dictionary will be provided in each examination room and students 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 students during the examination

- i Students 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 students 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 students in the examination. Where the Invigilator considers that a student is causing an unacceptable level of disturbance, the student may be required to leave the examination room.

(Note for guidance:

Where a student is required to leave the examination room because of a disturbance arising from their 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, students are not permitted to leave the examination room and then return unless they can provide medical or other appropriate evidence to justify this. Students 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 Students 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 Students must not leave the examination room during the examination without being accompanied by an Invigilator/informing the Invigilator.
- d Students who leave while the examination is in progress should do so as quietly as possible to minimise disturbance to others.
- e Any student who suddenly becomes unwell during an examination and elects to leave without completing the examination, must notify the Invigilator of the Exceptional Circumstances which have necessitated their leaving the examination who will, in turn, ensure that the Examinations Officer (or nominee) speaks with the student before they is allowed to leave the examination.

(Note for guidance:

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

Where a student has claimed Exceptional Circumstances, the original examination mark will be null and void.)

- iii Students 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 student liable to expulsion from the examination room for the remainder of the examination period.

- v At the time of the examination, students 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 students in the event of an emergency

(See sections 7.6.4 and 7.6.5, UPR AS13⁴.)

Students 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 students are to be permitted.)

3.5 Writing the examination

Each student must:

- a unless otherwise instructed, write answers in black or blue ink;
- b write their correct Exam Number and any other particulars that are required, clearly and accurately on the front of each examination script;
- c write their correct Exam Number on each item of examination stationery used (for example, continuation sheets and graph paper);
- d not, for any purpose, bring their 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 their 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.)

- i Students 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 students' 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, students 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

Students 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

4.1 Students 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 via the process identified in their programme information (see 4.2 below);
- d responsible for familiarising themselves with the penalties that may be imposed as a result of their having submitted their coursework after the published deadline;

4.2 Coursework Extensions

- a A coursework extension is permission to hand in an assessment after the published hand-in date without either incurring a penalty or waiting to re-take an alternative assessment as a referred or deferred student;
- b Coursework extensions are not automatic, permission must be granted. Students must request a coursework extension from the person(s) or via the process identified in their programme information. They must provide an explanation in writing for requesting an extension specifying the number of days required, which may be for a maximum of seven (7) calendar days;
- c For some assessments, applications for extensions may not be possible, or not possible for the maximum of 7 calendar days, because of the nature of the assessment or its position in the assessment calendar. In such cases this will be made clear to students in the assessment brief / module information;
- d Whilst an extension can be requested any time up until the coursework deadline, it is reasonable to expect that it may take up to two (2) working days after receipt of the request to confirm whether or not the request has been accepted;
- e For students who have been granted an extension, coursework will be returned to them together with feedback no later than four (4) calendar weeks after the expiry of the maximum extension period available for the particular module, regardless of the period of extension granted or when the work is actually submitted.

4.3 Late submission of coursework

Unless there are accepted Exceptional Circumstances or an extension has been given:

- 1** For each day or part thereof (or for hard copy submission only, working day or part thereof) for up to five days after the published deadline, coursework relating to modules at Levels **0, 4, 5, 6** submitted late (including deferred coursework, but with the exception of referred coursework), will have the numeric grade reduced by 10 grade points until or unless the numeric grade reaches or is 40. Where the numeric grade awarded for the assessment is less than 40, no lateness penalty will be applied;
- 2** For each day or part thereof (or for hard copy submission only, working day or part thereof) for up to five days after the published deadline, coursework relating to modules at Level **7** submitted late (including deferred coursework, but with the exception of referred coursework), will have the numeric grade reduced by 10 grade points until or unless the numeric grade reaches or is 50. Where the numeric grade awarded for the assessment is less than 50, no lateness penalty will be applied;
- 3** Referred coursework submitted after the published deadline will be awarded a grade of zero (**0**).
- 4** Coursework (including deferred coursework) submitted later than five days (five working days in the case of hard copy submission) after the published deadline will be awarded a grade of zero (**0**).

(Note for guidance:

For assessments requiring hard copy submission, working day refers to a weekday when the Institution is open for business, including vacation times)

- 4.4 Students:
- a must not behave in a manner likely to prejudice the academic performance of another student;
 - b must not offer bribes or inducements to any member of the University's or the Organisation's staff, External Examiners or other students 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 Appeals Procedure – undergraduate and taught postgraduate students (requests for the review of assessment decisions)

5.1 Scope of regulations⁶

5.1.1 These procedures will be followed in cases where a student 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;

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

5.2 General principles for a request for the review of an assessment decision

5.2.1 Whilst students may raise queries about the results of an assessment, the University will not consider queries which consist solely of a challenge to the academic judgement of Examiners in assessing the merits of a student's work.

5.2.2 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 B5, UPR AS14² (see section 5.5 of this document also).

5.2.3 With limited exceptions, all investigation materials considered by the Dean of School (or nominee) or the Vice-Chancellor under this policy will be provided to the student.

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

5.3.1 Subject to the general principles set out in section 5.2 above, the grounds on which students are permitted to lodge a request for the review of an assessment decision are where evidence exists that:

- a the assessment procedures were not followed properly;

⁶ Regulations and procedures for raising queries about assessment, progression and award regulations associated with a particular programme lie outside the scope of this document. Students who wish to raise such queries should do so via the appropriate Programme Committee through student representatives or by seeking an interview with the Module Tutor, Programme Leader or other Programme Officer.

- b there has been an administrative error that would affect the outcome of the assessment decision;
- c the examinations or other assessments were not conducted in accordance with the approved programme regulations;
- d University and/or programme-specific regulations on progression and awards were not complied with;
- e relevant information, including information that has already been provided by the student, was overlooked;
- f there is new evidence that would affect the outcome of the decision that the student was unable, for good reason, to provide earlier in the process; there is a reasonable perception of bias during the process.

5.4.2 Students should note that:

- i the University will respond only to those matters that fall within the permitted grounds for the request of a review set out above; and
- ii with the exception of appeals from Exceptional Circumstances claims, 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.

5.4.3 Students considering an appeal are advised to consult the information and guidance available on Ask Herts.

5.4 Informal procedures

5.4.1 Within the limits of the permitted grounds set out in section 5.3, a student may initially wish to raise queries concerning the following matters (see sections 5.4.2 – 5.4.6) using the informal procedures set out in the relevant section.

5.4.2 Mark or grade of an individual item of coursework

- i The student 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 student still believes there is an error which has not been rectified and wishes to pursue the matter further, they must raise the issue, in writing, with the Organisation's Principal within five (5) working days of the date of the response.
- iii The Principal (or nominee) will investigate the query and notify the student of the findings of that investigation. Where an error is found, any necessary corrections will be made following instruction from the Principal (or nominee) to the appropriate member of academic or administrative staff.

5.4.3 Overall result of an individual module

The student should raise the query with the designated module leader within five (5) working days of publication of the result. If the student is unsure which member of staff to contact, they should seek advice from their Programme Leader (or equivalent). The student will receive an answer as quickly as possible. Some queries may take longer than others to address depending on their nature.

5.4.4 Stage progression, entitlement to an award or the class or grade of an award
The student should raise the matter at the earliest possible time with their Programme Leader or the Organisation's Principal.

5.4.5 A student's personal position
The student should raise the matter at the earliest possible time with their Programme Leader or the Organisation's Principal.

5.4.6 Suspected administrative error or procedural irregularity
The student should raise the matter at the earliest opportunity with their Programme Leader or the Organisation's Principal.

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

5.5.1 All requests for a formal review of a decision of a Board of Examiners under the provisions of the regulations in this section (5.5) must be made in writing to the University of Hertfordshire.

5.5.2 Irrespective of whether they have raised a query informally using the procedures set out in section 5.4 and regardless of whether they have received a response, students wishing to request a formal review must do so using the procedures set out in this section (5.5). 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.

5.5.3 Any student wishing to request a formal review should seek immediate guidance from their Programme Leader or the Organisation's Principal.

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

5.5.5 The correct name and address for lodging of the written notification and supporting statement will be provided in students' programme handbooks, or on request from the Organisation's Principal.

- 5.5.6 Students 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 5.6.8.)

- 5.5.7 The student'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.

- 5.5.8 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 their 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 student of their decision by means of a **Letter of Decision** in the following format:

Letter of Decision

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

- a inform the student 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.

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

- 5.5.9 The Dean of School will provide a copy of the **Letter of Decision** to the Assistant Registrar (Student Administration – Collaborative Partnerships) and to the Chair of the Short Course/Module or Programme Board of Examiners.
- 5.5.10 Where the Dean of School has referred the matter to the Short Course/Module or Programme Board of Examiners, the Chair of the Board of Examiners concerned will notify the student, in writing, of the decision of the Board.
- 5.5.11 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.

5.6 Representations to the Vice-Chancellor

5.6.1 In the event that either:

- i the decision of a 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 student has had their request dismissed by the Dean of School (or nominee),

then a student may, in limited circumstances, make representations to the Vice-Chancellor of the University, in their capacity as Chair 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 student 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 (or nominee).

5.6.2 Guidance

Before making such a submission to the Vice-Chancellor the student is strongly advised to seek guidance from a member of staff nominated for this purpose by the Organisation's Principal, who may further consult appropriate colleagues within the Organisation.

- 5.6.3 If, having obtained appropriate guidance, the student wishes to pursue the matter, they must notify the Vice-Chancellor, in writing, within ten (**10**) working days of the date of written notification from the Dean of School (or nominee) that their request has been dismissed, that they wish 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:

The date referred to in section 5.4.3 relates to the date of the written notification from the Dean of School (or nominee) and not to the date of its receipt.)

- 5.6.4 The correct address for lodging of the written notification and supporting statement required under the terms of section 5.6.3 is:
Student Procedures Co-ordinator, University of Hertfordshire, Dean of Students, College Lane, Hatfield. Hertfordshire. AL10 9AB. United Kingdom
Or through email, to: studentprocedures@herts.ac.uk

The written notification may, in the first instance, be sent by email, in which case the student may also be required to send the original of the notification and the supporting statement to the Vice-Chancellor, by post, to the above address.

- 5.6.5 The Vice-Chancellor may direct that an investigation is made by an Investigating Officer into the request for review and may seek further information.
- 5.6.6 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.
- 5.6.7 Upon receipt of the student'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. Their decision will be based on the evidence available and they will assess whether any of the exceptional circumstances referred to in section 5.4.1 apply and not the academic judgement of the Module or Programme Board of Examiners (see section 5.4.1). Within **20** working days of the receipt of the appeal or as soon as possible thereafter, the Vice-Chancellor will:
- i dismiss the request and advise the student 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 student 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 student accordingly in writing.

5.6.8 Examinations Appeal Panel

The Vice-Chancellor, at their 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 (see section 5.4.9, iii) or,
 - c where they wish to exercise the right to representation, to be accompanied by a member or nominee of the Students' Union Executive (see section 5.4.9, iii, b).
 - iii Student's Adviser
 - a An appellant may invite another person to accompany them to, and to act as their 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 their 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, they 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.
- 5.6.9 It should be noted that the Vice-Chancellor does not possess the power to alter decisions. They 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.

5.6.10 The Vice-Chancellor's decision 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 student in writing. Such letters (**Vice-Chancellor's Letter of Decision**) will:
 - a inform the student 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.

5.6.11 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 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 B5, UPR AS14².

5.7 The Academic Board

5.7.1 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 temporarily⁷.

⁷ See **Academic Board Minute**: 725.3, 15 March 2000.

5.7.2 Students 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.

5.8 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.

5.9 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 their case.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

Alternative format

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Assessments and Examinations - students with disabilities or other additional needs (partner organisation-delivered provision)

UPR AS13, Appendix II version 15.0

Policies superseded by this document

This document replaces version 14.0 of UPR AS13, Appendix II, with effect from 1 September 2022.

Summary of significant changes to the previous version

For clarity, the term 'candidate' has been substituted with 'student'.

Glossary

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

Table of contents

1	Principles, Policies and general regulations
2	Identifying and making reasonable adjustments to examination arrangements
2.1	Requests for special arrangements
2.2	Requests from disabled students
2.3	Requests from students who are not disabled
2.4	Late requests for adjustments
2.5	Rooms and invigilation
2.6	Amanuenses, readers and special Invigilators
2.7	Marking
3	Time constrained in-course/module assessments

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 students with other additional needs. These adjustments will 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 students 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 student's disability or other additional needs in extenuation of poor performance.
- 1.5 The reasonable adjustments which might be made for disabled students 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 (scribe) 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 students

- 2.2.1 The Programme Leader will determine the adjustments to be made for disabled students. They will discuss requests with the student concerned and will agree with the student the arrangements which are to be put in place. The agreed Study Needs Agreement operates for the entire period during which the student 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 three (3) 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.

(See section C3.8, UPR AS14¹, 'Exceptional Circumstances'.)

2.3 Requests from students 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.

2.4.2 Where a student believes their performance during an examination would be impaired because their 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 Exceptional Circumstances from their Programme Leader and then to notify the Chair of the Module Board of Examiners, in writing, in accordance with the requirements of section C3.8, UPR AS14¹, 'Exceptional Circumstances'.

2.5 Rooms and invigilation

Students will start the examination at the same time as all other students but will remain in the examination room for the additional period of time which has been permitted.

¹ UPR AS14 'Structure and Assessment Regulations – Undergraduate and Taught Postgraduate Programmes'

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 student. 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 student 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 (see section 2.6.2), 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 students during the examination is not inappropriate and must not allow students to consult with them in any way about their answers nor advise the student 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 students 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.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

Alternative format

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Invigilators - role and responsibilities (partner organisation-delivered provision)

UPR AS13, Appendix III - version 15.0

Policies superseded by this document

This document replaces version 14.0 of UPR AS13, Appendix III, with effect from 1 September 2022.

Summary of significant changes to the previous version

For clarity, the term 'candidate' has been substituted with 'student'.

Glossary

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

Table of contents

- 1 General Responsibilities
- 2 Examinations involving the use of computers

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 (see UPR AS13¹).

From the time that the Invigilator arrives in the examination room until the Invigilator has fulfilled all of their duties (see section 1.2), the Invigilator will 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 (see section 6, UPR AS13¹).

¹ UPR AS13 'Assessments and Examinations (Undergraduate and Taught Postgraduate) and Conferments (Non-UK Partner Organisations)'

1.2 Invigilators will:

- i admit students 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 students:
 - 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 students 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 student needs to leave the examination room to resolve this matter, ensure that they are escorted by an Invigilator or member of staff;
- iv ensure that each student signs the attendance register (in the event of a student'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;
- vi prior to the commencement of the examination, make all announcements in accordance with the Invigilator Guidelines and remind students 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 student who arrives after the time scheduled for the start of the examination, irrespective of whether the examination has started;
- ix announce to the students 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 students 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 students 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 student 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 student who becomes unwell during the examination, contacting the Examinations Officer if necessary: under no account leaving other students in the examination room unsupervised;
- xv ensure that students who need to visit the lavatory during an examination of more than two (**2**) hours' duration are escorted (only students 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 student may be in breach of University regulations, in particular, if the Invigilator discovers a student with unauthorised material (the Examinations Officer will advise the Invigilator concerning immediate action which they (the Invigilator) are to take);

(The student will normally be allowed to continue with the examination but if the suspected student is expelled from the examination room they 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 students (such incidents would include, but are not limited to, excessive external noise);
- xviii following consultation with the Examinations Officer, require a student to leave the examination room where the student, either intentionally or unintentionally, causes disturbance to other students in the examination and make a written report of the incident in the Invigilator's Log;
- xix where a student 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 student'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 students 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 student in attendance and that they are in examination 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. They will be conducted in accordance with the regulations and procedures published by the Principal (see section 6.3.1, UPR AS13¹).

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

Alternative format

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Prizes (partner organisation-delivered provision)

UPR AS13, Appendix IV - version 15.0

Policies superseded by this document

This document replaces version 14.0 of UPR AS13, Appendix IV, with effect from 1 September 2022.

Summary of significant changes to the previous version

The term 'candidate' has been substituted with 'student'.

Glossary

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

Table of contents

1	Statement of Policy
2	University Prizes
2.4	Possible categories for University prizes
2.5	Administrative procedures relating to University prizes
3	Sponsored and Endowed Prizes
3.1	Overview
3.2	Role of the Secretary and Registrar
3.3	Programme Boards of Examiners
3.4	Administrative procedures relating to sponsored and endowed prizes

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 Chair 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 student'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 students' 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 Overview

- 3.1.1 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.

3.1.2 The University reserves the right to invite a sponsor to withdraw a prize.

3.2 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.

3.3 Programme Boards of Examiners

In awarding these prizes, Programme Boards of Examiners will 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 (see section 3.4, ii, and iii).

(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 their Graduation ceremony. The information will also be published in the Graduation Ceremony Brochure.

- ii Sponsored prizes

the Assistant Registrar (Student Administration – Collaborative Partnerships): is 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

the Assistant Registrar (Student Administration – Collaborative Partnerships): is 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.

Sharon Harrison-Barker
Secretary and Registrar
Signed: **1 August 2022**

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