



University of the
West of England

ACADEMIC PROCEDURES 2005

ACADEMIC PROCEDURES OF THE UNIVERSITY 2005

The Academic Procedures provide an authoritative and comprehensive account of the arrangements and procedures through which the Ordinances and Academic Regulations of the University are implemented and supported.

Identification of Procedures

The identification number of each Academic Procedure enables it to be identified with the relevant Academic Regulation. The first letter and number of the identification are those of the relevant Academic Regulation. Thus Procedure E4a is one of a set of Procedures which derive their authority from Academic Regulation E4

Changes of Note for 2005:

- **H1d Research Diploma (passim removal of references to “*Postgraduate Research Diploma*”)**
- **H1f40 Assessment and examining of programmes of supervised research – viva off campus**
- **H2a2 Eligibility for registration on Doctor of Philosophy (DPhil) – with effect from May 2005**

The Procedures may be copied without alteration for use in the University.

Published by the Academic Secretary
University of the West of England, Bristol
September 2005

ACADEMIC PROCEDURES OF THE UNIVERSITY

Contents

	Page
GLOSSARY	5
B CREDIT, CREDIT TRANSFER AND EXPERIENTIAL LEARNING	
B1a Credit	9
B6a Accredited learning(AL) and accredited experiential learning (AEL)	12
B12a Credit rating of award routes offered by external organisations leading to awards of the University	14
B12b Credit rating of external non-award bearing provision	15
C APPROVAL, VALIDATION AND MODIFICATIONS	
C1a Approval and validation of schemes and awards	17
C1b Definitive programme and module specifications	20
C1c Approval of new modules and units of study	22
C1d Fields of study	23
C3a Modification of approved schemes, awards, modules or units of study	23
C QUALITY MANAGEMENT, MONITORING AND EVALUATION	
C2a Executive responsibilities for quality management	25
C2b Management of schemes and awards	25
C2c Monitoring and evaluation	28
C2d Internal academic audit	33
C2e Internal academic review	35
C2f Liaison with professional, statutory and regulatory bodies	40
C2g External advisors	42
D STUDENT MATTERS	
D1a Admission of students	44
D8a Student academic guidance, tutorial and learning support	45
D8b Student consultation and feedback	46
D9a Complaints by students about academic provision	48
D10a Suspension and expulsion of students for academic reasons	50

E	ASSESSMENT AND EXAMINING	
E4a	Instructions to examination candidates	52
E4b	Invigilation of examinations	55
E4c	Consideration of late work submitted for assessment	61
E4d	Taking assessments under controlled conditions off campus	62
E5a	Examining boards	64
E6a	External examiners	67
E7a	Requests from professional, statutory and regulatory bodies for variations to assessment regulations	74
E9a	Dealing with extenuating circumstances by examining boards	75
E12a	Dealing with allegations of assessment offences	77
E13a	Applications for review of decisions of examining boards	81
E13b	Applications for review of decisions of examining boards from students on programmes of study leading to awards of the university conducted outside the University	84
F	RESULTS AND GRANTING OF AWARDS	
F2a	Releasing marks and grades and confirmation of credit	87
F4a	Withholding awards, registration or credit from students	88
G	EXTERNAL PARTNERSHIPS AND COLLABORATION	
G1a	Designating affiliated institutions	91
G2a	Establishing a relationship with external institutions for delivery of programmes of supervised postgraduate research study	93
H	SUPERVISED RESEARCH AND RESEARCH AWARDS	
H1a	Selection, admission and registration of supervised research students	95
H1b	Supervision and conduct of supervised research programmes	99
H1c	Monitoring of supervised research programmes	100
H1d	Research diploma	102
H1e	The thesis for programmes of supervised research	109
H1f	Assessment and examining of programmes of supervised research	115
H1g	Applications for review of decisions of examiners for programmes of supervised research	122
H2a	Doctor of Philosophy (DPhil)	126
H3a	Higher Doctorates	130
J	PROFESSORIAL TITLES	
J2a	The designation of professors	133

GLOSSARY

The following terms in the Academic Regulations and Academic Procedures have the meanings as defined:

Academic Board: the Academic Board of the University established by the Articles of Government of the University

Academic Secretary: the Academic Secretary of the University. The term shall include the Academic Secretary's authorised nominee(s)

Accredited experiential learning (AEL): learning achieved through experience and/or informal learning opportunities assessed by the University as matching prescribed learning outcomes of approved module(s) or similar approved units of study and for which credit is awarded by the University. Credit is awarded for assessed learning not for experience alone

Accredited learning (AL): learning accredited or certificated by another institution of higher education or comparable awarding body which is recognised by the University as contributing to the total amount of credit required to obtain an award of the University

Admission: acceptance of an applicant as a student of the University

Affiliated institution: an institution having a formal agreement with the University for the purpose of providing part or the whole of a route to a University award

Application for review: application from a student for a review of an examining board decision which must be made and considered in accordance with formal procedures prescribed by the Regulations

Assessment regulations: rules of assessment approved for an individual module, unit of study, award, group of awards or modular scheme

Associated institution: an institution, normally a college of further education, having a formal written agreement with the University promoting collaboration which may include offering part or the whole of an award leading to an award of the University

Award board: the body of approved examiners constituted in accordance with the assessment regulations for an award and solely responsible for making recommendations for the granting of awards to students

Award route: the prescribed curriculum and credit requirements leading to a named award

Award: a University qualification granted to a student for successful completion of prescribed and assessed learning at a specified level conforming with the relevant provisions of the Regulations

Credit level: the standard of learning achievement represented by the award of credit

Credit rating: the process by which the University approves the level and amount of credit for a specified unit of assessed learning

Credit record: the individual record of credit accumulated by a student and recorded in a certificate of credit obtainable by a student on the termination of registration or enrolment with the University

Credit tariff: the basis for calculating the amount of credit awarded for assessed learning achieved at a given level.

Credit: a means of quantifying and recording assessed learning achieved at a given level

Differential level of award: a means of differentiating student performance within an award by denoting an honours classification or by awarding merit or distinction or by such other terms as specified in the regulations for the award

Enrolment: acceptance of a student on to a module offered by the University or by an institution having an approved relationship with the University

Examining board: a general term for a body of approved examiners constituted in accordance with the assessment regulations and solely responsible for making decisions on students' performance for the award of credit or for recommendations for awards of the University. This term is also used specifically for single tier boards responsible for non-modular awards

Extenuating circumstances: evidence submitted by a student to an examining board in explanation for absence from study, attendance, assessment or examination, or for poor performance in assessment, which the board may, at its discretion and as the regulations for the award shall allow, accept and take into account in recommending an award for a student

External organisation or external partner: institutions and organisations external to the University having a relationship with the University for the purpose of the award of University credit or involvement in teaching and learning which contributes to an award of the University

Field board: the body of approved examiners constituted in accordance with the assessment regulations and solely responsible for the award of credit

Field: a group of cognate modules within the University Modular Scheme. A field may represent a subject or disciplinary area, or group of disciplinary or professionally-related modules, within which learning, teaching and assessment are organised. All modules are assigned to named fields

In good standing/ without outstanding obligations: having no undischarged obligations to the University of a financial, disciplinary or any other kind

Intermediate award: an award for which a student may qualify at defined points on an award having obtained a credit total which is less than is required for the highest award available on the award

Joint Honours: an award which combines two half awards drawn from different modular programmes within the University's Modular Scheme

Modular Assessment Regulations (MAR): university wide assessment regulations applying to all awards, undergraduate and postgraduate, offered within the University's Modular Framework

Modular Framework: the University wide modular framework which determines the structure and assessment arrangements for faculty managed modular schemes

Modular Scheme: the faculty or inter-faculty, undergraduate or postgraduate modular suite of awards linked by common modules and drawing on two or more subject fields designed to facilitate student choice and ease of progression and transfer between awards. Faculty modular schemes normally cover several award titles and incorporate several award routes

Module specification: the definitive record of the curriculum, learning and assessment requirements for a module

Module: the smallest sub-division of teaching and assessment within the University's Modular Scheme for which credit is awarded. Modules may be of different sizes and have correspondingly different credit values

Named award: an award where the title and a descriptor are specified (e.g. BA (Hons) English or BSc (Hons) Computing and Mathematics) and for which entry conditions, content and other requirements are set out in the definitive document for the award

Non award-bearing: provision for teaching and learning which does not lead directly to an award of the University or to an award of an awarding body recognised by the University

Ordinances: the Ordinances of the University, as approved by the Board of Governors, which determine the overall academic framework for the University consistent with its mission and strategy

Placement: a period of approved work experience or study in a host organisation or institution approved by the University for this purpose. Placement credit does not have a level. An unassessed placement does not attract credit

Programme: the prescribed curriculum and credit requirements leading to a named award. Used interchangeably with award route

Programme specification: the definitive statement of the regulatory and learning

requirements for a programme or award

Referral: an opportunity for a student who fails the first assessment to be reassessed within one or both components of assessment for a module. Referral may or may not require class attendance before reassessment

Registration: acceptance of a student on to an award of the University offered by the University or by an institution having an approved relationship with the University

Regulations: the Academic Regulations of the University

Results: the final outcome of assessed learning leading to the award for which a student is registered or to an award for which a student is eligible where the student has not met the requirements of the award for which he/she was initially registered

Specific award: an award for which entry conditions, content and other particular requirements are set out in the definitive programme specification

Sandwich mode: an award incorporating a work placement with an external organisation as an integral part of the award where the duration of the placement matches the requirement for sandwich placements as specified by national policy

Standard: the level of attainment expressed as the academic requirements and learning outcomes which must be met by a student or by a group of students in order to qualify for the award of credit or an award of the University

Supervised research: research involving approved supervision arrangements for which a student is registered for a research award of the University

Unit of study: the smallest sub-division of an award outside the University's Modular Scheme for which credit may be calibrated

Unnamed award: an award without a descriptor (e.g. Certificate of Higher Education, Bachelor of Arts or Bachelor of Science) which is attained by the accumulation of credit without restriction on modules other than as defined in modular pre-requisites, co-requisites and the requirements of professional practice modules

B CREDIT, CREDIT TRANSFER AND EXPERIENTIAL LEARNING

B1a CREDIT

Awards of the University

- 1 All awards of the University are credit rated. All programmes and awards leading to awards offered within the University are credit rated as an integral part of the validation process.
- 2 All awards offered by institutions external to the University are credit rated. Credit rating is normally undertaken as part of the validation process. Awards which are validated by an accredited institution as leading to an award of the University, or by the University to be offered by an external institution leading to an award of the University, shall normally adopt the same credit structure as that used by the University.
- 3 Faculties shall ensure that the University's credit structure and requirements are met in the development and review of programmes and awards.
- 4 The Academic Secretariat is responsible for advising faculties and external institutions on the maintenance and observation of the University's credit requirements and for ensuring that proposed new programmes and awards meet the University's credit requirements. This is done through the scrutiny of documentation and provision of advice to the Vice-Chancellor or nominee, to validation panels and to such groups and committees within faculties as have responsibility for approval of new modules or units of study.
- 5 The Credit Sub-Committee of the Academic Quality and Audit Committee has responsibility for advising on credit policy, its development, maintenance and implementation across the University.

Non award-bearing learning

- 6 Non award-bearing learning, whether offered within the University or by an institution or body external to the University, may be credit rated. The procedures for credit rating of non award-bearing provision are managed by the Academic Secretariat.

Credit transfer between awards

- 7 Credit gained in the context of a named award may be transferred to another named award. Credit transfer across named awards is not automatic. Transfer of credit from one award to another is dependent upon the learning outcomes being deemed by the award team as valid for the new award. This applies both to applications for transfer internally and to applications received from students for transfer of credit obtained

from outside the University. A faculty and award team retains the right to determine entry for both logistical and educational reasons.

Credit requirements for programmes and awards

- 8 The distribution of credit within a programme and/or award must be in keeping with the University's credit requirements for:
- i level of study;
 - ii credit tariff (amount of learning achieved at a specified level with reference to notional student study time);
- and with the assessment regulations for:
- iii the named award.
- 9 The distribution of credit must normally be broadly consistent with the distribution of notional student study hours. It must also be consistent with the relative importance of the various elements of assessment required of students.
- 10 Minimum and maximum levels for sub division of awards for credit purposes are given in Academic Regulations B2.4 - 2.6.

Credit rating of programmes, awards, modules and units of study

- 11 Credit rating is undertaken simultaneously with the validation of programmes, awards, modules and units of study. Applications for credit rating of existing awards which were not credit rated when the award was validated must be submitted to the Academic Secretariat. The Academic Secretariat will scrutinise applications and advise the Vice-Chancellor or nominee on the appropriate credit rating. The advice of other appropriate persons from inside or outside the University may be sought as necessary.
- 12 Changes to the level or amount of credit for an approved module or unit of study constitute a new module or unit of study. Such proposals must be submitted for consideration and approval by whatever group or committee within the relevant faculty has responsibility for approval of new modules or units of study.

Credit rating of awards, modules and units of study offered outside the University

- 13 The procedure for the credit rating of awards, modules and units of study leading to awards of the University offered outside the University will normally be similar to that for awards, modules and units of study offered within the University.

Credit for professional practice

- 14 Professional practice which is an integral part of an award and is assessed in accordance with the regulations for the award and attracts standard University credit.

Placement credit (P credit)

- 15 Placements other than professional practice which, as part of the requirements for the award, have to be completed and passed and which are appropriately assessed for this purpose, but are not otherwise assessed under the assessment regulations for the award, may attract placement credit. The amount of placement credit is related to the length of the placement. Thus a 40-week sandwich placement shall attract 120 P credits. Placement credit is not specified by level and may not contribute to, or be substituted for, standard credit for the purpose of obtaining the required minimum credit total for an award.

Study outside award-bearing provision

- 16 Periods of study such as short courses, overseas study, exchanges, and other periods of formal learning undertaken as study leading to an award may also be credit rated. To be eligible they must generate at least 10 credits at undergraduate or postgraduate level, and evidence must be available of appropriate procedures for assessing the learning outcome of the study for which credit is sought.
- 17 Applications for consideration of such provision for credit shall be made to the Academic Secretariat. Application for exceptional approval for the sub-division of assessed learning undertaken outside the University Modular Framework into units of less than 10 credits must be submitted to the Academic Secretariat for approval.
- 18 The Vice-Chancellor or nominee, taking any further advice as necessary from the Credit Sub-Committee of the Academic Quality and Audit Committee shall determine the process to be adopted for the approval of such applications.

Credit records

- 19 The definitive record of credit rating for awards of the University, and of other awards and learning credit rated under the University's procedures shall be held by the Academic Secretariat.
- 20 Credit awarded by the University may be credit rated in accordance with the European Credit Transfer Scheme (ECTS) and recorded using the ECTS conversion method on a student's Certificate of Credit.
- 21 Arrangements for the maintenance of the record of credit gained by individual students are set out in Academic Regulations, section B13.

B6a ACCREDITED LEARNING (AL) AND ACCREDITED EXPERIENTIAL LEARNING (AEL)

- 1 The University may recognise learning accredited by other institutions of higher education and bodies recognised by the University for this purpose. It may also award credit for successfully assessed experiential learning.

Accredited learning (AL)

- 2 Accredited learning is defined as formal learning which includes learning assessed and credit-rated and/or certificated by the University or an external institution of higher education or similar awarding body, and formal learning which has not been assessed but which is capable of assessment for the purpose of the award of University credit. Accredited and/or certificated learning may be recognised by the University as contributing to the credit requirements of its awards. Accredited learning may be prior to, or concurrent with, learning undertaken under the Regulations.
- 3 To be recognised as contributing credit to an award of the University, the evidence of the accredited learning must be capable of demonstrating:
- i authenticity, by evidence that the applicant completed what was claimed;
 - ii direct comparison, by evidence of a matching of the learning outcomes with those expected of comparable specified modules or units of study approved by the University for the award sought;
 - iii currency, by evidence that the learning achieved is in keeping with expectations of knowledge current in the area of expertise required.

Application for University recognition of accredited learning (AL)

- 4 Applicants who wish to apply for recognition of AL as contributing credit towards their credit total for an award shall apply to the relevant faculty or to the affiliated institution or organisation conducting the programme.
- 5 University recognition of AL shall be subject to the University's Academic Regulations. These limit the maximum amount of credit obtainable from AL and AEL to two thirds of the credit total for the award sought other than where the credit has been achieved wholly by study and assessment in the University and under the Regulations.
- 6 An applicant may receive credit through University recognition of the following:
- i credit awarded by other institutions of higher education, on presentation of verifiable evidence;
 - ii qualifications or credit awarded by recognised agencies eg. professional bodies, or other awarding bodies, on presentation of verifiable evidence.

- 7 The scrutiny of AL for the purpose of University recognition of credit towards a named award shall be undertaken by designated staff within each faculty in accordance with stated faculty procedures. Such staff shall have appropriate subject, discipline, and/or professional expertise and shall have regard for relevant University information and guidance on recognised qualifications and certificated learning.
- 8 All decisions to recognise credit awarded by, or as a consequence of, learning certificated by an external institution or body shall be reported as accredited learning to the relevant examining board and identified against the relevant module(s) or unit(s) of study. Accredited learning shall be similarly identified on a student's Certificate of Credit.

Experiential learning

- 9 Experiential learning is defined as learning achieved through experience gained by an individual outside formalised learning arrangements where the learning outcomes are open to assessment by the University. Such learning must be capable of being matched with stated learning outcomes of modules/units of study or groups of modules/units of study approved by the University for the award for which AEL credit is sought. Successfully assessed experiential learning shall be awarded University credit.

University accreditation of experiential learning (AEL)

- 10 Applicants who wish to apply for the award of University credit shall apply to the relevant faculty or to the affiliated institution or organisation conducting the programme.
- 11 All applicants shall be subject to the University's Academic Regulations which limit the maximum amount of credit obtainable from AL and AEL to two thirds of the credit total for the award sought.
- 12 Assessment of AEL may take a variety of forms, including the following:
 - i a structured interview plus corroborating evidence;
 - ii work based observation plus a portfolio or other record;
 - iii a form of assessment, including assessments and examinations set for relevant approved modules or units of study, devised to meet the specific requirements of a programme or award.
- 13 The assessment of applications for AEL for the award of University credit shall be undertaken by designated staff within each faculty in accordance with documented procedures which shall be open to scrutiny. The staff designated by the faculty must have appropriate subject, discipline, and/or professional expertise and must have relevant experience of, or training in, the appropriate procedures.

- 14 The Credit Sub-Committee of the Academic Quality and Audit Committee will provide advice and guidance, including through a panel of AEL tutors drawn from the faculties of the University who are willing to advise on the application of AEL procedures beyond their designated fields.
- 15 The outcomes of the assessment of applications for AEL shall be reported as recommendations for the award of credit to the relevant field board for decision. All such recommendations shall refer to the module(s)/unit(s) of study or group of modules/units of study against which the assessed learning outcomes are being matched. University credit awarded for successfully assessed experiential learning shall be identified on a student's Certificate of Credit.

Monitoring of AL and AEL

- 16 Monitoring the application of AL and AEL processes is the responsibility of programme management committees and reference to it shall be included in the faculty's annual monitoring processes and the faculty's report on the programme or award.
- 17 Monitoring of policy and practice on AL and AEL generally and of the rigour and consistency in the application of AL/AEL processes across the University is the responsibility of the Credit Sub-Committee of the Academic Quality and Audit Committee. The Sub-Committee shall report annually to the Committee on the operation of AL/AEL processes.

B12a CREDIT RATING OF AWARD ROUTES OFFERED BY EXTERNAL INSTITUTIONS LEADING TO AWARDS OF THE UNIVERSITY

- 1 The credit rating of awards leading to awards of the University offered by institutions external to the University is undertaken as an integral part of the validation of awards under the responsibility of the Academic Quality and Audit Committee.

Affiliated institutions

- 2 An affiliated institution with authority to conduct its own validation and review of award routes leading to awards of the University may:
 - i seek approval to apply the University's credit structure and requirements to its proposed award(s);
 - ii exceptionally, seek approval for the University to credit rate award routes leading to awards of the University in accordance with its own credit rating arrangements.
- 3 Where, exceptionally, an affiliated institution opts to credit rate routes leading to awards of the University according to its own credit scheme and procedures, the

credit rating and transfer scheme must have been approved as part of the designation of the institution. The institution shall prepare and issue its own certificates of credit.

- 4 Affiliated institutions which are required to involve the University in their approval and validation procedures, or be subject to the University's validation and approval procedures shall seek approval for credit rating of awards in accordance with the University's credit structure and requirements.
- 5 Where credit rating is undertaken for affiliated institutions by the University as part of the University's validation process, Certificates of Credit for students studying in affiliated institutions shall be prepared and issued by the University.

Institutions outside the United Kingdom

- 6 Where award routes leading to awards of the University are offered by an institution outside the United Kingdom the regulations, procedures and arrangements for credit transfer and credit rating shall be considered as part of the procedure for the approval of the relationship and shall have due regard to any credit accumulation and transfer scheme and credit rating arrangements in the country and institution in question.

B12b CREDIT RATING OF EXTERNAL NON AWARD-BEARING PROVISION

- 1 The credit rating of learning undertaken through external organisations is the responsibility of the Academic Quality and Audit Committee. The Academic Quality and Audit Committee acts with the advice of its Chair as the nominee of the Vice-Chancellor and the Academic Secretary. Panels established for the purpose of considering applications for credit-rating from external organisations operate with the authority of and report to the Academic Quality and Audit Committee through its Credit Sub-Committee.
- 2 Learning provided by external organisations will be credit rated in accordance with the University's credit structure and requirements.
- 3 In order to be eligible for the award of University credit learning offered by external organisations must demonstrate that:
 - i the programme is concerned not only with the achievement of company objectives but also with the development of the individual;
 - ii there is an appropriate learning environment with support for the learning experience;
 - iii the learning outcomes are properly assessed and involve adequate external and independent examiners;
 - iv the learning outcomes of the programme are adequately expressed in terms of knowledge, skills and competence;

- v the learning provision is subject to regular monitoring, review and critical appraisal.

Procedures for credit rating

- 4 Applications from organisations wishing to apply for the credit rating of learning provision should be addressed to or (if received through a faculty link) be referred to the Vice-Chancellor or nominee as soon as possible. Where the preliminary contact is with any other member of University staff the Vice-Chancellor or nominee must be notified of the approach as early as possible.
- 5 The Vice-Chancellor or nominee will arrange for preliminary informal consultation with the Academic Secretary and appropriate officers of the Academic Secretariat to determine the scope and nature of the organisation's likely proposals.
- 6 After preliminary consultation and advice to the organisation, the Vice-Chancellor or nominee may, in appropriate cases, identify a member of University staff to act as a consultant to the organisation in the preparation of a formal application.
- 7 Where an application relates to the work of a University faculty it will normally be expected to come forward with the support of the faculty concerned.
- 8 The formal application from the external organisation should be submitted to the Academic Secretariat. On receipt of the application the Vice-Chancellor or nominee will decide the most appropriate process for the consideration of the application. This will always involve a meeting of a panel representing the University and representatives of the external organisation.
- 9 The panel will consider the application and decide on an appropriate credit rating. The panel will make a recommendation to the Credit Sub-Committee of the Academic Quality and Audit Committee. The decision shall be reported to the Academic Quality and Audit Committee.

Disputes about credit rating

- 10 If those applying for credit rating from within or from outside the University cannot reach agreement about the rating with a University panel or representatives, the matter will be referred for resolution to the Academic Quality and Audit Committee.

C APPROVAL, VALIDATION AND MODIFICATIONS

C1a APPROVAL AND VALIDATION OF PROGRAMMES AND AWARDS

Process

- 1 The following are subject to approval through the University's central procedures:
 - i approval of new programmes and awards;
 - ii changes to existing award titles;
 - iii any variation to the mode(s) of delivery to that/those approved at the original validation.
- 2 The process has three elements:
 - i executive approval of proposals for new programmes, awards and additional mode(s) of delivery, which permits a validation process to proceed;
 - ii executive approval of proposals to change existing award titles;
 - iii central validation of a new programme or award, or the addition of a new mode of delivery to an approved programme.
- 3 Validation is managed and serviced by the Academic Secretariat under the executive direction of the Vice-Chancellor or his/her nominee.
- 4 University validation arrangements come within the overall responsibility of Academic Quality and Audit Committee. Executive authority is exercised by the chair of the Academic Quality and Audit Committee as the Vice-Chancellor's nominee.
- 5 Approval of new programmes and awards and changes to existing award titles are subject to decision by the Vice-Chancellor or nominee in accordance with the requirements of the University's annual academic planning process.
- 6 Faculties are responsible for developing new proposals for programmes and awards in accordance with procedures approved by the Academic Quality and Audit Committee. All proposals shall have the signature of the dean, or authorised nominee, signifying that the faculty's declared procedures have been invoked before the proposal is forwarded to the Vice-Chancellor or nominee for Directorate approval. A new programme will not be allocated a place in the University's validation schedule until initial approval has been given by the Vice-Chancellor or his/her nominee.

- 7 Faculties may choose to involve persons external to the faculty and/or the University, including, where appropriate, external examiners, in the development of new proposals prior to validation.
- 8 The Vice-Chancellor or his/her nominee is responsible for determining the most appropriate method for validation of a new proposal, advised by the Academic Secretariat. Where an award or programme is subject to approval by an external professional or validating body, the Academic Secretary shall be responsible for contacting the external body about its procedures and requirements. Wherever possible, the University will conduct a joint validation event with the external body. Where this is not possible the timetable of the external approval will be taken into account when deciding the University's schedule.
- 9 Validation shall normally take one of the following forms:
 - i a validation panel, including external members in the number judged to be necessary for the task, and preceded by a preliminary scrutiny by the panel of which the programme/award team will be informed of the outcome; or
 - ii validation, including external persons, conducted by correspondence, including a preliminary scrutiny; or
 - iii officer scrutiny.
- 10 The form of the validation process will take account of the nature of the programme or award. The Vice-Chancellor or his/her nominee shall have discretion to vary this procedure to take account of unusual circumstances or emergency needs.

Documentation

- 11 Documentation for validation will be submitted in three separate parts:
 - i the programme specification in the format specified below at C1b;
 - ii specifications for all modules or units of study, existing and new, proposed for inclusion;
 - iii contextual documentation, which will be specific to the proposal under consideration, and will help the validation panel to satisfy itself:
 - a that the programme or award appropriately addresses internal and external reference points (such as the Framework for Higher Education Qualifications and Subject Benchmark Statements);
 - b as to the demand for the programme or award and how it is met by the proposal;
 - c that proposed staffing is appropriate;

- d that the programme or award will be underpinned by appropriate staff development and research;
 - e that the programme or award can be offered at a satisfactory standard and achieve quality within its defined resource base;
 - f that the proposed assessment regulations are clearly specified;
 - g that the quality assurance and management of the proposed programme or award can be accommodated within the Faculty's processes.
- 12 Where the preliminary scrutiny suggests that the proposal is seriously deficient the Academic Secretariat shall, after consultation with the Vice-Chancellor or nominee, notify the programme or award team that the validation may not proceed in accordance with the original timetable and that a new document must be submitted to a new timetable. At this stage the team may be offered an advisory meeting with core members of the panel.
- 13 The Academic Secretariat will normally send the programme or award leader and panel members full documentation, including details of the award event, two weeks before the validation date.

Validating panel

- 14 The members and chair of the validating panel are appointed by the Vice-Chancellor or nominee acting on advice from the Academic Secretariat and where appropriate from external organisations and individuals.
- 15 The composition of a validating panel will provide a sufficient range of experience and expertise to ensure the quality of the approval process. The membership of the panel will normally include members of the Academic Quality and Audit Committee, other University staff from faculties and/or central services, and persons from outside the University. The size of the panel will reflect the scale and nature of the programme or award and will normally include at least one external member.
- 16 Validating panels will be serviced by an officer from the Academic Secretariat.

Arrangements and agenda for validation events

- 17 The arrangements and agenda for a validation event will be determined according to the scale and nature of the proposal. The event may be organised in any manner appropriate to the fulfilment of the panel's responsibilities but it is likely to include the opportunity for a presentation by the programme or award team, discussion with senior staff and the team covering: the context of the programme or award; its place in the faculty's academic strategy; academic executive responsibility for quality and standards; demand for the programme or award; issues of aims,

rationale, structure, delivery and assessment; programme or award content and related research; resources for teaching and learning; student support; and management issues. Where appropriate there may also be discussion with students and consultation with external contacts.

Outcome of validation

- 18 Whatever form of validation is used, the outcome of validation, may be one of the following:
 - i approval of the proposal;
 - ii approval of the proposal, subject to conditions which must be met before the date proposed for the commencement of the programme;
 - iii approval of the proposal, subject to conditions that include a deferred date for the commencement of the programme;
 - iv refusal to approve the proposal. Such a decision will be accompanied by a full explanation.
- 19 The outcome of the validation may also include recommendations to the programme or award team.
- 20 The officer for the validation will produce a written report of the findings of the validation which will be provided to the programme or award leader, the relevant dean or associate dean, all members of any validating panel, and the faculty administrator.
- 21 In the event of the programme or award team failing to meet the conditions of approval, awards to any students who may already have been recruited cannot be confirmed until the conditions have been met, and approval for further intakes may be withdrawn. The dean of the faculty and the chair of the faculty board will be notified if the programme or award team fails to meet conditions of approval.

C1b DEFINITIVE PROGRAMME AND MODULE (OR UNIT OF STUDY) SPECIFICATIONS

Programme specification

- 1 The programme or award team is required to submit a definitive programme or award specification to the Academic Secretariat within 3 months of approval of the programme or award in a manner and form which accords with the University's Academic Regulations and Procedures. The definitive version of the programme or award specification will be a revised version of the documentation submitted for validation (see 9i and ii above), amended in the light of validation.

- 2 The programme or award specification will be checked by the Academic Secretariat and confirmed as ‘approved for delivery’ following validation.
- 3 The programme or award specification should be concise and clearly presented and must conform to University requirements. It must include the following information set out in clearly headed separate sections:
 - i target award title; other (default) final award title(s); intermediate award titles; relevant QAA subject benchmarking groups;
 - ii a succinct statement of the educational aims of the programme or award;
 - iii learning outcomes in terms of: knowledge and understanding; intellectual skills; subject, professional and/or practical skills; transferable and/or key skills;
 - iv teaching, learning and assessment methods used to enable learners to achieve and demonstrate these outcomes clearly cross-referenced to the learning outcomes specified;
 - v summary of programme or award structure, referring to levels, modules/units of study and credits (including details of contributing fields, the modules in each field, inter-relationship between various awards, requirements of various awards and any requirement for professional body accreditation); together with diagram(s) clearly setting out the award structure and modules contributing to it;
 - vi entry requirements for the proposed programme or award;
 - vii details of the assessment regulations which apply to the programme or award;
 - viii distinctive features of the student learning experience and support for it;
 - ix an indication of the extent to which relevant internal and external reference points have been addressed by the programme.

Module specification

- 4 Following approval of new modules at validation or by internal faculty processes, the faculty must ensure that a definitive module or unit of study specification is created and appropriately disseminated.
- 5 All module specifications must conform to University requirements.

Maintenance of definitive programme, module and unit of study specifications

- 6 Faculties have responsibility for creating and maintaining the definitive version of all programme, module and unit of study specifications in the form approved by the University.
- 7 Faculty procedures must ensure that:
 - i all definitive programme, module and unit of study specifications are created promptly following approval and updated promptly in the light of approved modifications;
 - ii all programme, module and unit of study specifications are always available in electronic form;
 - iii the historic record (i.e. previous versions) of all specifications is appropriately maintained;
 - iv access to all definitive electronic versions is available to Academic Secretariat.

C1c APPROVAL OF NEW MODULES OR UNITS OF STUDY

- 1 Proposals for new modules to contribute towards existing modular programmes or for new units of study to contribute to non modular programmes may be approved by the faculty processes which have been approved for this purpose by the Academic Quality and Audit Committee.
- 2 Proposals for new modules or units of study as part of new award for which a validation process has been arranged will be considered by the validation panel as part of that validation process. However, they must have been considered and approved by faculty processes before being submitted for the validation exercise.
- 3 Faculty processes must include confirmation that the Library and IT Services have been consulted and have indicated that resourcing for the proposed new module or unit of study is adequate.
- 4 Faculties must ensure that a full record of consideration of a new module or unit of study at faculty level is kept, in case this evidence is called for in connection with validation.
- 5 Where a professional, statutory or regulatory body (PRSB) is required to approve a module or unit of study, it is the faculty's responsibility to ensure that this approval is obtained at the time the faculty is arranging internal consideration of the module or unit of study concerned. The evidence of internal consideration must indicate consultation with, and approval by, the PSRB for the module or unit of study concerned.
- 6 A validation exercise may result in a requirement to modify a module or unit of

study.

C1d FIELDS OF STUDY

Definition

- 1 Within the University Modular Framework a Field is defined as a grouping of cognate modules, either subject based or professionally related. Fields of Study play a key role within the Framework, both conceptually and operationally. They are also central to the management of the relationship between faculty modular schemes and to the servicing of a faculty modular scheme by a field based in another faculty. Each Field is located within a faculty.

Approval of a Field

- 2 The approval of a new Field and its faculty location, the change of title of an existing Field, or the reconfiguration of Fields within a faculty modular scheme require the approval of the Directorate. Applications for approval should be submitted to the Academic Secretary on the form designed for this purpose. The Academic Secretary will notify the Dean of the outcome of the proposal.

Leaders of Fields

- 3 The Dean of the faculty is responsible for appointing a leader for each field within the faculty. The responsibilities of the leader of the field are for the Dean to determine, but they should include oversight of the academic coherence of the modules within the field, maintaining the formal record of modules within the field, contributing to the smooth running of the field boards, liaison with the leaders of the modules within the field and ensuring that the field operates within the University Modular framework and Modular Assessment Regulations.

C3a MODIFICATION OF APPROVED PROGRAMMES, AWARDS, MODULES AND UNITS OF STUDY

- 1 Faculties have authority to modify approved modular and non-modular programmes, awards, modules and units of study subject to the requirements in this procedure.
- 2 Faculties shall consider and approve modifications in accordance with procedures approved by the Academic Quality and Audit Committee. At a minimum this consideration shall provide for:
 - i fully documented consideration of the programme modifications by the faculty bodies approved for this purpose;

- ii external scrutiny (as provided for in the faculty's approved quality assurance processes);
 - iii consultation with other faculties whose programmes may be affected by the proposed modifications;
 - iv consultation with students currently on the programme, including evidence of communication with and feedback from students where the proposed changes involve changes to assessment requirements affecting current student cohorts;
 - v evidence of consultation with and approval of the faculty executive to any resource implications and, as necessary, consultation with learning support services;
 - vi evidence of consultation with professional bodies, where relevant, including liaison with the Academic Secretary;
 - vii evidence of appropriate communication of approved modifications to all interested parties;
 - viii consultation with the Academic Secretariat in any case where the proposal represents a fundamental change to the programme, affecting its duration, the continuing validity of its approved title or other comparable matters.
- 3 No modifications approved through faculty processes may be introduced before the commencement of the academic year following that in which the modification was approved.
- 4 The following processes will contribute to ensuring that correct procedures are being implemented and kept under review:
- i internal faculty monitoring of its own processes;
 - ii annual academic planning meetings;
 - iii University academic review process;
 - iv applications for change of title of programme or award (which may be expected to reflect the cumulative effect of modifications on a named programme or award).

Change of award title

- 5 Central approval is required for a proposed change to the title of an existing award.
- 6 Faculties must submit such proposals to the Academic Secretariat on the approved form for consideration by the Directorate.

- 7 If approved, a change of title is not normally made available to students already registered on the award concerned.

C QUALITY MANAGEMENT, MONITORING AND EVALUATION

C2a EXECUTIVE RESPONSIBILITIES FOR QUALITY MANAGEMENT

- 1 Faculties and other approved units are responsible for the management of the quality and delivery of teaching and learning on all approved taught provision leading to credit and awards of the University. Direct quality management is an executive process. It combines the identification of explicit responsibilities for aspects of scheme and award management with an emphasis on the responsibility held by each member of staff for the quality of his/her teaching and support for student learning.
- 2 Deans are responsible for assigning executive responsibilities for scheme and award management. These shall always include:
 - i designation of an individual responsible for the overall direction of the faculty's undergraduate and postgraduate modular scheme(s);
 - ii designation of an individual with overall responsibility for each award, field, module or unit of study;
 - iii designation, where appropriate, of admission, year, placement and professional practice tutors;
 - iv designation of individuals with particular responsibilities for student tutorial support and student counselling.
- 3 Information on individual staff responsibilities related to scheme and award management and student academic and pastoral support shall be conveyed to each student in the faculty's Student Handbook or equivalent document.

C2b MANAGEMENT OF SCHEMES AND AWARDS

- 1 Each faculty shall establish an appropriate committee responsible for the oversight of the management of each approved scheme or award located in and managed by the faculty. Such a committee (hereinafter referred to as 'the management committee' shall have particular responsibility for quality management and quality improvement.
- 2 The terms of reference and composition of the management committee shall be approved as part of the validation of the scheme or award conducted in accordance with University procedures.
- 3 Faculties may establish such other additional group or groups as they deem necessary, providing that any such groups report to the management committee. These might include, for example, an executive committee, a management group, year committee, staff/student committee, advisory committee, award committee.

- 4 The management committee shall formally consider annually the outcome of its monitoring and evaluation of the scheme.

Terms of reference

- 5 The terms of reference of the management committee shall include, at minimum, responsibility:

through the scheme director(s) to the dean of the faculty for the management and quality of the scheme, including for:

- i the recruitment and admission of students;
- ii the oversight of the operation of the scheme (eg staffing, timetabling, accommodation);
- iii provision of an annual calendar for the scheme;
- iv arrangements for securing and acting upon student consultation;
- v the management of assessment;
- vi identification of scheme-related staff development needs;
- vii identification of scheme-related resource needs;
- viii for the production and maintenance of a definitive scheme document in accordance with University procedures; and

to the faculty board for:

- i the monitoring and evaluation of the academic standards and quality of the scheme;
 - ii assessment requirements and regulations;
 - iii the approval of the annual report of the monitoring and evaluation of the scheme;
 - iv considering and recommending new scheme or award content, modules, units of study and any necessary changes to regulations, prior to their submission for validation where necessary, and for the approval of modifications following their consideration by the management committee;
 - v making proposals for the appointment of external examiners.
- 6 The management committee will be expected to have consulted the dean of the faculty before modifications are considered and approved so as to ensure that the

changes are consistent with the faculty's planning agreement and are feasible within the faculty's resources.

- 7 The management committee shall consult with and receive advice from the relevant examining board(s) before recommending any changes to the regulations of the scheme.
- 8 The task of monitoring and evaluation of the scheme or award as a whole may not be delegated to a sub group.

Composition

- 9 The composition of the management committee shall include:
 - i the scheme or award director appointed by the dean of the faculty in which the scheme or award is located who shall serve as chair;
 - ii the dean of the faculty in which the scheme or award is located or her or his nominee;
 - iii staff with responsibility for key aspects of the scheme or award;
 - iv representatives of the group of staff teaching each major element or field in the scheme or award, regardless of the faculty providing that element or field;
 - v students registered on the scheme to a total of 25% of the total membership of the management committee.
- 10 The composition of the management committee may include:
 - i members of the other categories of staff providing support for the scheme (eg representatives of the Library service, the information technology service, technicians, administrative staff);
 - ii co-opted members, not exceeding 25% of the total membership or three, whichever is the smaller.

Size

- 11 When proposing the actual composition for a management committee account should be taken of the need to limit its size so as to ensure that it can fulfil its terms of reference effectively.

Quorum

- 12 The quorum for meetings of the management committee shall be one third of the members eligible to attend.

Observers

- 13 The management committee shall be free to invite appropriate persons, from inside and outside the University, to attend its meetings as observers (ie non members).

C2c MONITORING AND EVALUATION

- 1 Responsibility for monitoring and evaluation of schemes, awards, fields, modules and units of study belongs with faculties and other approved units where schemes and awards are located. Faculties and units are held accountable to the University for the effective discharge of their responsibilities:
- i continuously, through executive action taken by postholders with designated responsibilities reporting through a faculty's executive and management arrangements;
 - ii annually, by a written statement made jointly by the dean of the faculty and the chair of the faculty board to the Academic Quality and Audit Committee (AQAC) confirming that quality assurance procedures have been followed and that action has been taken to remedy any difficulties or to take matters forward to achieve an outcome;
 - iii periodically, through the centrally managed and peer-based internal academic audit of faculties' quality assurance arrangements.
- 2 Faculties are required by Academic Board to establish and monitor procedures and arrangements for the management, monitoring and evaluation of all taught schemes, awards and other taught non award-bearing provision for which the faculty has overall responsibility. They may determine their own arrangements and structures for monitoring and evaluation, subject to informing AQAC of these and of any significant modifications and providing that account is taken of the following requirements:
- i the responsibility of the dean for the continuing quality and standards of the faculty's taught provision overall and for the quality of subject and/or field groups. The dean shall report annually to the faculty board on the quality and standards of the faculty's schemes and awards taking account of the evidence from the outcome of monitoring and evaluation undertaken at the award level;
 - ii the specific responsibility of a faculty board for oversight of monitoring and evaluation across the full range of a faculty's taught provision;
 - iii the direct responsibility of management committees, and of any sub-groups or similar groups with award or field responsibilities, for monitoring and evaluation at scheme, award and field levels.

- 3 The dean, the faculty board and the management committees shall have access to and regard for appropriate information, including statistical data and performance indicators, in order to fulfil their respective responsibilities for academic quality and monitoring and evaluation.

Faculty-wide monitoring and evaluation

- 4 In exercising its oversight of monitoring and evaluation the faculty board shall:
- i give due consideration at appropriate points in the annual cycle to faculty-wide monitoring data such as admissions statistics, progression rates, and first destination statistics;
 - ii ensure that all schemes, awards and non-award bearing provision for which the faculty is responsible including awards, or part awards delivered through affiliated institutions, are subject to annual monitoring and evaluation involving the preparation of a written report;
 - iii have an effective process for the scrutiny of all annual scheme and award reports including reports from affiliated institutions and of actions taken or routed through the faculty executive or appropriate bodies for further consideration and/or decision;
 - iv show evidence of peer involvement in monitoring and evaluation from within and outside scheme and award teams, which may include persons external to the University, including external examiners where appropriate;
 - v provide suitable opportunity for student consultation and feedback at the scheme level and receive evidence that such processes have worked effectively;
 - vi give due consideration to the reports of external examiners, to their consideration and response by scheme and award teams, and to ensuring that feedback on responses and action taken is given to external examiners;
 - vii where appropriate, have evidence that the requirements of professional bodies have been observed or responded to at scheme/award level;
 - viii have evidence that the process and outcomes of monitoring and evaluation have been scrutinised by the dean and faculty board chair prior to preparation of the annual statement on quality assurance responsibilities for AQAC.
- 5 In its scrutiny of scheme and award level monitoring reports, a faculty board should find evidence of the collection and analysis of a range of information on which its own faculty-wide report might draw. This should include:
- i statistical data showing cohort entry profiles, progression and other performance indicators;

- ii approaches to teaching and learning, including examples of evaluated innovation;
 - iii assessment practice and outcomes;
 - iv issues raised by external examiners, students, and employers;
 - v highlights of good practice;
 - vi involvement of central and faculty-based support services;
 - vii reviews of issues arising from the previous year's reports.
- 6 AQAC will receive and consider the annual joint statement from deans and faculty board chairs at its first meeting in the summer term cycle and pay particular attention to issues raised which are beyond a faculty's remit or capacity to resolve, or where examples of good practice or innovation merit wider dissemination.
- 7 The annual joint statement from the Dean and Faculty Board Chair shall be accompanied by a summary report which includes:
- i major issues arising from and consequential actions taken or which it is intended to take in response to:
 - a annual monitoring and evaluation;
 - b internal academic review;
 - c internal academic audit;
 - ii key substantive and procedural issues arising from consideration of and responses/consequential actions taken or which it is intended to take in response to:
 - a the reports of external examiners;
 - b student input and feedback and student questionnaires;
 - c the approval process for new and modified modules or units of study;
 - d statistical data;
 - e QAA Developmental Engagements;
 - f professional and statutory body visits;

- iii comments on the effectiveness in terms of quality assurance and enhancement of:
 - a internal academic audit;
 - b internal academic review;
 - c QAA Developmental Engagements;
 - d professional and statutory body visits;
 - iv issues which would more appropriately be considered at University level or which the faculty wishes to draw to the attention of AQAC;
 - v any specific issues which had been referred to the Faculty by the University for further consideration and consequential actions taken or which it is intended to take in response;
 - vi identification and dissemination of areas of good practice;
 - vii comment on actions identified as a priority in the previous year with an action plan indicating likely timescales for action to be taken and the appropriate officer, body, committee or forum for action in each case;
 - viii consultations undertaken with external advisors and actions taken as a result of those consultations.
- 8 The annual summary report should deal concisely with key issues only and should not require the Faculty to provide any additional material over and above that currently generated within the Faculty for annual monitoring and evaluation purposes.
- 9 AQAC reserves the right to request access to a faculty's monitoring data and/or the most recent annual monitoring and evaluation report should it have grounds for concern as to the standard and quality of the University's awards.

Monitoring and evaluation at award level

- 10 Management committees have first line responsibility for the preparation of the annual monitoring report for the modular scheme within their remit. The management committee itself shall formally consider annually the outcome of the monitoring and evaluation of the scheme and approve the annual report, prepared by the scheme director, for submission to the faculty board. This responsibility may not be delegated to a sub-group.
- 11 Such consideration shall include:
 - i scrutiny of external examiners' reports;

- ii analysis of statistical data and performance indicators (e.g. withdrawals, pass and completion rates, classification, first destination statistics): this task may be delegated to a sub-group.

12 The management committee shall ensure:

- i evaluation of the student experience of each award route within the scheme;
- ii involvement of staff and students in the preparation and consultation on the evaluation.

Evaluation of fields of study

13 Responsibility for the evaluation of a field rests with the field leader.

14 Arrangements for integrating field evaluation with the monitoring and evaluation of the scheme shall be agreed between the scheme director and the field leader, in consultation with the faculty executive.

Evaluation of award routes

15 The management committee shall establish mechanisms (e.g. through a sub-group) for ensuring the evaluation of each award route.

16 Where appropriate, such evaluation shall include:

- i recognition of the requirement of professional bodies;
- ii scrutiny of external examiners' reports.

Monitoring and evaluation of modules and units of study

17 The module or unit leader is responsible for ensuring the monitoring and evaluation of the module or unit of study.

18 Evaluation of the module or unit of study requires the participation of students and staff.

19 All students shall be given the opportunity to evaluate each module or unit of study taken each year.

20 Normally no student shall be expected to evaluate any module or unit of study more than once.

C2d INTERNAL ACADEMIC AUDIT

Purpose and scope

- 1 The purpose and scope of internal academic audit are:
 - i initially, to focus on faculties and their quality management and assurance arrangements;
 - ii to focus on the evidence and outcomes of quality assurance arrangements in operation, not on quality (or standards) per se;
 - iii to enable the University to be assured that agreed faculty responsibilities for quality assurance are being discharged effectively through direct scrutiny of quality management procedures and their outcomes;
 - iv to enable faculties to measure/appraise their arrangements against University expectations and policies;
 - v to encourage identification and dissemination of good and innovative practice;
 - vi to provide an efficient means of generating and maintaining information and data which is accessible (without major additional effort) to external scrutiny.
- 2 The aim is to devise a procedure geared as far as possible to documentation and data routinely generated by faculty processes, to take the faculty's own view of its strengths and weaknesses as the starting point for discussion, and to focus on where and how improvements are sought. It is not intended that internal audit should be viewed as a major 'event'.

Procedures

- 3 Responsibility for developing, overseeing and reviewing the operation of internal quality assurance audit will lie with the Academic Quality and Audit Committee (AQAC) on behalf of Academic Board.
- 4 AQAC shall from time to time determine the theme for internal audits.
- 5 The duration of the audit cycle shall be determined from time to time by the AQAC. Each faculty will be audited in any academic session on the theme set for that session.
- 6 The timing of individual faculty audits within the overall cycle will take account of planned external internal and events such as Quality Assurance Agency (QAA) Institutional Audit and other QAA activity, visits by professional bodies, periodical scheme reviews, scheme and award validations.

- 7 Each audit will aim to encompass:
- i the faculty's statement of its quality assurance responsibilities and procedures (using existing documentation), and how these are discharged, through whom and by what means;
 - ii evidence of issues considered, action taken and outcomes to exemplify the operation of the faculty's responsibilities in relation to the theme of the audit;
 - iii where issues remain unresolved and why;
 - iv targets for improvement and future action.

Auditors

- 8 Auditors shall be selected by the Vice-Chancellor or his nominee normally from the members of Academic Board and its committees who have relevant experience of and a demonstrable commitment to academic quality assurance.
- 9 Auditors operate on behalf of Academic Board with the authority of the Vice-Chancellor as Chief Executive and Chairman of Academic Board. The audit process is managed by a member of the Directorate nominated by the Vice-Chancellor and the Academic Secretary.
- 10 Each audit team will consist of three or four auditors supported by an officer from the Academic Secretariat. At least one of the auditors will normally be a member of AQAC and will serve as chair of the team.

Preparation for audit

- 11 A faculty will be requested to make evidence of how it discharges its quality assurance responsibilities in relation to the theme of the audit available to the audit team no later than four weeks before the audit commences.
- 12 The audit team will hold a preliminary planning meeting to determine the scope, nature and extent of its enquiries and will provide the faculty with its request for meetings with identified staff, or invite the faculty to identify appropriate post holders, and its request for any further documentation no later than two weeks before the audit commences. This shall not impose any unnecessary burden on faculties.
- 13 The audit enquiries shall involve the audit team in the scrutiny of information and documentation, in meetings with individuals or groups of staff and may include observation of faculty procedures, where appropriate.

After audit

- 14 The Academic Secretariat will prepare a short report following the audit for the faculty. The report will also be submitted to AQAC. It will identify actions, any issues which require further consideration and any matters which merit wider communication as evidence of good practice.
- 15 The faculty will be expected to comment to AQAC on how the audit report has influenced faculty quality management and assurance activity, and on specific actions taken.
- 16 The reported outcome of the faculty audit and the faculty's response should also be considered as part of next faculty planning meeting(s).
- 17 AQAC will make an annual report to Academic Board on the process and issues arising for University consideration from the annual audit programme.

C2e INTERNAL ACADEMIC REVIEW

Definition

- 1 Internal academic review is concerned with academic standards and the quality of the subjects and/or programmes of study leading to University awards. It is a forward-looking peer based internal process involving internal and external peers in the periodic review of subjects and/or schemes within a defined area, normally bounded by a faculty's academic responsibilities. The emphasis of the process should be on the evaluation of student achievement of the appropriate academic standards, and of the learning opportunities offered to students to support their achievements.

Purpose and Scope

- 2 The purpose of internal academic review is to review subject and/or scheme evolution and change over the last review period and to prepare a forward agenda for development taking account of:
 - i evidence that academic standards continue to be met;
 - ii commentary on the quality of teaching and students' learning;
 - iii reaffirmation or revision of subject and/or scheme aims and objectives;
 - iv commentary on good practice and innovation;
 - v analysis and summary of needs and requirements to support a forward agenda, including staff development.

- 3 Academic review is a periodic activity operating to a six-year cycle, normally organised by and within a faculty to cover all taught provision in defined subject and/or scheme area. A faculty's academic review programme might also include other related academic activity (e.g. professional and vocational developments affecting taught provision).
- 4 Each review within a faculty's overall programme of academic review will use internal and external peer analysis and participation to prepare an evaluative report of a defined subject and/or scheme area.

Responsibility

- 5 The Academic Quality and Audit Committee (AQAC) shall be responsible for oversight of Internal Academic Review. The schedule for internal academic reviews shall be determined by the AQAC in consultation with the faculties.
- 6 Each faculty shall be responsible for managing, organising and reporting on its own academic reviews, taking account of University requirements. The faculty shall appoint a member of its staff to act as Secretary to the Review Group. Faculties shall be accountable through the Dean for the completion of each review.

Role of the Academic Secretariat

- 7 The Academic Secretariat will lend such support and assistance for the successful implementation of the process as is appropriate. A member of Academic Secretariat may attend review activities as an observer.

The Review Group

- 8 The composition of the group of reviewers shall be such as to provide a sufficient range of experience and expertise sufficient to ensure the quality of the review process. The Review Group shall be appointed by the faculty and shall normally include:
 - i a senior member of academic staff of the faculty, not directly associated with the area under review, who shall be Chair;
 - ii a member of academic staff of the faculty;
 - iii at least one member of academic staff of the University external to the Faculty, who shall normally have experience of internal quality assurance processes in his/her faculty and/or the University;
 - iv at least one person external to the University with relevant and appropriate academic expertise. This person may be from any relevant organisation such as another academic institution, a professional, statutory or regulatory body (PSRB), a graduate employer. Former, but not current, external examiners may also be appropriate.

- 9 The Review Group may also include members of the Directorate; members of central services; senior faculty administrative staff and former students.
- 10 The Academic Secretariat shall provide advice on both internal and external reviewers drawn from those who have participated in scheme or award validation events, internal academic audit and other related quality assurance processes.
- 11 External reviewers have an important role to play in ensuring the academic soundness and objectivity of the review process. Of particular value will be the external reviewers' comments and conclusions on:
 - i academic standards and quality of learning opportunities;
 - ii potential areas of strength and/or good practice in the subject and or scheme;
 - iii areas for further attention and/or development;
 - iv the distinctive nature of the provision;
 - v how far the provision addresses the requirements of national external norms and codes of practice, such as those of the Quality Assurance Agency (QAA) and PSRBs.

Documentation for the Review

- 12 In advance of the review, the faculty shall provide the Review Group with a self evaluation document (SED) and shall make available in an agreed location supporting documentation for the subject and/or scheme under review. The SED shall be provided to the reviewers at least four weeks before the start of the review process.
- 13 The SED shall normally be not more than 7000 words in length and shall normally be the only new document produced for the review. The document should summarise the perceived areas of potential good practice and strengths as well as areas which may require further attention and action as evidenced by the supporting documentation. Any description of the schemes and/or awards(s) should be the minimum necessary to enable an understanding of the background of the self-evaluation.
- 14 The SED shall cover:
 - i the educational aims of the provision - a commentary on the overall aims of the schemes and/or awards covered by the review; the currency and validity of the schemes and/or awards under review in the light of developing knowledge in the subject area, professional practice and developments in teaching and learning;
 - ii learning outcomes – an evaluation of the appropriateness to the educational aims, of the intended learning outcomes of the awards, in relation to internal and external reference points such as subject benchmark statements and the

Further and Higher Education Qualifications Framework as well as guidance from the relevant PSRBs where relevant and appropriate;

- iii curricula and assessment – an evaluation of the ways in which content and methods of assessment support the achievement of the intended learning outcomes of the scheme(s) and award(s); how curricula and assessment together determine the academic level of the award(s) to which the scheme(s) lead; the extent to which students achieve the award aims and intended learning outcomes;
 - iv outcomes of scheme and award changes and development over the period since the last (comparable) review;
 - v the quality of learning opportunities:
 - a teaching and learning – an evaluation of the effectiveness of the teaching and learning strategies employed by the scheme(s) for providing students with good learning opportunities to support the achievement of the intended learning outcomes and academic standards and a confirmation that the scheme(s) specification is being delivered;
 - b student admission and progression – an evaluation of the ways in which students' progression through the scheme(s) is supported and monitored, from intake to completion;
 - c learning resources – an evaluation of effectiveness of the deployment of the resources, human and material, that support the learning of students, and of the effectiveness of their linkage to the intended learning outcomes of the scheme(s);
 - vi maintenance and enhancement of standards and quality – an evaluation of the effectiveness of procedures for maintaining and enhancing the quality of provision and the security of academic standards in respect of the schemes;
 - vii examples of innovation and good practice;
 - viii the appropriateness of any forward looking proposed actions to address areas identified as requiring further attention and exploration and areas for further enhancement of quality and standards.
- 15 The supporting documentation shall normally include:
- i outcomes from annual monitoring and evaluation;
 - ii data on student performance and feedback;
 - iii external examiner reports for the previous three years and an indication of how the faculty has responded to issues raised in them;
 - iv outcomes of recent PSRB reports/visits;
 - v assessment criteria and guidance given to markers;

- vi faculty student handbooks;
- vii summaries of feedback to students resulting from annual monitoring, notes or minutes of staff student liaison committees and other relevant engagements with students within the scope of the subject area;
- viii programme specifications for each award covered by the review.

The Review

- 16 Prior to the review the Review Group shall determine whether the SED provides an adequate basis for the review and, in consultation with the faculty, provide the faculty with an outline for the conduct of the review and details of any additional information required. The Review shall normally include an opportunity for a presentation by the faculty, discussions with the subject or scheme or award team, as appropriate, discussion with students, a meeting with employers, if appropriate, and for feedback to the faculty.

Reports

- 17 Normally within six weeks of the conclusion of the review, the Secretary to the Review Group shall provide a draft full report to the Review Group and the Academic Secretariat, using whatever format as shall from time to time be determined by the AQAC. The full report shall not normally exceed 5000 words. After approval by the Chair of the Review Group, and no later than eight weeks after the review, this report shall be provided to the faculty team responsible for the review. The team shall have two weeks to comment on the factual accuracy of the report after which it shall be amended as appropriate and confirmed.
- 18 The Dean shall present the full report to the AQAC together with an action plan for implementing any recommendations from the review. The AQAC may require further action or scrutiny before it determines that the academic review is complete. Once the AQAC is satisfied that the review has been completed the outcome of the review shall be reported to the Academic Board as part of the AQAC's annual report.
- 19 Using the full report the Academic Secretariat observer shall, in consultation with the faculty, produce a summary report using whatever format as shall from time to time be determined by the AQAC. The summary report shall not normally exceed 1200 words. Once the AQAC has determined that the Review has been concluded, this report shall be published for external reference.

C2f LIAISON WITH PROFESSIONAL, STATUTORY AND REGULATORY BODIES

- 1 Many of the University's awards are accredited or otherwise recognised by professional, statutory and regulatory bodies for the purpose of professional registration for the right to practice and contributing towards requirements for membership of professional, statutory and regulatory bodies. Accreditation processes are formal and they involve judgements about standards and quality. Where these are questioned or threatened by a failure to observe agreed arrangements and procedures, or where accreditation is withheld or suspended, the consequences will be significant both for the employment of graduates and for the reputation and standing of the University.
- 2 Although there are differences amongst professional, statutory and regulatory bodies in their statutory responsibilities and approach to involvement with higher education provision, most require formal involvement with the University's approval, validation and regulatory processes in order to satisfy themselves about the standard of an award and the content, coverage and application of the curriculum in their subject areas. Engagement with University processes will include some or all of the following:
 - i formal accreditation/recognition of named awards (a University responsibility);
 - ii validation (jointly or separately if professional and statutory bodies insist upon their own procedures) and approval of some or all of the curriculum, of approaches to teaching and learning, provision of learning resources involving preparing students to meet professional standards, and of student entry requirements;
 - iii approval of assessment regulations and of individual external examiners.
- 3 In addition, some professional, statutory and regulatory bodies have a major role in the development of the curriculum in their area and provide a continuing source of advice and information, including on future trends in employment, and for award development in the University.
- 4 The procedures for maintaining contact and formal involvement with professional, statutory and regulatory bodies' processes reflect the range of activities described above.
- 5 The Academic Secretary is the designated official correspondent with all professional, statutory and regulatory bodies in respect of the formal accreditation of awards and the formal notification of decisions and responses arising in the context of accreditation.
- 6 Practices will vary across professional, statutory and regulatory bodies and in many cases representatives and officers of such bodies will expect to maintain direct links

with faculties, and faculties will wish to maintain their channels of communication with professional, statutory and regulatory bodies. However, it is important that oversight of communication is maintained. The Academic Secretary must therefore be kept informed of communications which may have an impact on academic policy and the development of awards and schemes. It is a faculty's responsibility to ensure that the Academic Secretary is so informed, and to contact the Academic Secretary for advice where there is any uncertainty about the procedures to be followed.

- 7 Where a professional, statutory or regulatory body is proposing to accredit an award for the first time, or to carry out a review of any aspect of provision which it already accredits, the initial approach from the professional, statutory or regulatory body should be to the University through the Academic Secretary. The Academic Secretary will liaise through the appropriate Academic Secretariat officer with the faculty concerned on the arrangements which shall apply. Where a professional, statutory or regulatory body's initial approach on such matters is direct to the faculty, the faculty will copy the correspondence to the Academic Secretary before any commitments are made on the University's behalf.
- 8 The Academic Secretary will decide the extent to which participation by an officer or member of the Directorate may be required in the accreditation visit, or similar event. In particular, the involvement of the Academic Secretariat representation is likely to be necessary and desirable in any discussions which may involve possible validation issues and the application of the Academic Regulations, including the relevant assessment regulations of the University.
- 9 Thereafter, detailed planning and arrangements for any visit or similar event will be made directly by the faculty in conjunction with the professional, statutory or regulatory body. The faculty should ensure that the Academic Secretariat is kept informed of arrangements for the visit and related matters and that reports on visits and their outcomes are made to the appropriate University committee.
- 10 Where the involvement of a professional, statutory or regulatory body is required for the formal validation of a proposed new award for which a faculty is seeking accreditation, all formal exchanges with the body concerned on these matters will be carried out by the Academic Secretariat.
- 11 Where a professional, statutory or regulatory body requests any amendment to the University's Academic Regulations, including the Modular Assessment Regulations, such requests must be made in writing to the Academic Secretary. It is the Academic Secretary's responsibility to establish a procedure allowing consultation of appropriate staff, including the Directorate, and consideration of any requested variations to the Modular Assessment Regulations. The Academic Secretary will inform the professional, statutory or regulatory body of whether the requested variation is permitted and will keep the faculty informed of the process and outcome. The Academic Secretary will also arrange for consideration of requests from professional, statutory and regulatory bodies for the addition of a differential level to an accredited award where such a level is justified by reference to practice and usage within the profession.

- 12 Where a professional, statutory or regulatory body requires that it approves external examiners, the arrangements for securing approval of the external examiners from the professional, statutory or regulatory body will be made by the Academic Secretary, once these examiner nominations have been approved through the University's procedures.

C2g EXTERNAL ADVISORS

Role and responsibilities

- 1 External advisors may be appointed by faculties for a variety of purposes, such as monitoring and evaluation of schemes and awards, internal academic review and audit, approval committees for modules or units of study, management committees. In some instances, specified in the relevant Academic Regulations and Procedures, the University has determined the status and remit of an external advisors. Faculties may choose to involve external advisors in other circumstances either as full members of appropriate faculty committee(s) or by inviting their contribution from time to time, either in person or by correspondence.
- 2 External advisors involved in an approval committee for modules or units of study will be expected to contribute through advice and commentary to curriculum developments within the faculty with particular reference to the approval of new modules or units of study and proposed significant changes affecting approved modules, units of study, awards and schemes. Having regard, where appropriate, for professional body requirements for curriculum content and development, external advisors will be expected to comment on:
 - i the content of individual awards and modules or units of study;
 - ii their academic currency;
 - iii the proposed credit level and value of modules or units of study;
 - iv the use made of appropriate QAA benchmarking statements in subject areas;
 - v the impact of proposed new modules or units of study and changes in wider field, award and scheme developments.

Criteria for appointment

- 3 An external advisor shall normally be:
 - i a current or former, approved External Examiner of the University (except in the case of academic review where current external examiners cannot be used); or

- ii an individual with relevant academic or practitioner standing and experience evidenced by experience of participation in validation of awards, scheme or award design and curriculum development at the University or other UK institutions of higher education.

4 An external advisor shall have:

- i academic and/or professional qualifications and expertise appropriate to the module, unit of study, field, award or scheme under consideration; and
- ii current knowledge and expertise relevant to the maintenance of academic standards. Appropriate indicators for this would be:
 - a an appropriate current or recent post in a relevant institution or organisation;
 - b the range and scope of the individual's experience across higher education or the professions;
 - c current or recent active involvement in teaching and assessment, research, scholarly and/or professional activities relevant to the area.

Appointment process

- 5 Faculties shall be responsible for appointing and replacing external advisors taking account of the requirements of this procedure.
- 6 External advisors shall normally be appointed for three years from 1 October to 30 September. The maximum period of appointment shall be five years.

Fees

- 7 The faculty making the appointment shall be responsible for paying such fees and expenses as are from time to time determined by the University. Reimbursement of expenses shall be in accordance with University guidelines relating to expenses payable to external examiners.

Annual report

- 8 As part of its monitoring and evaluation report, the faculty will be required to report annually to the Academic Quality and Audit Committee on consultations undertaken with external advisors in relation to the approval of modules and units of study.

D STUDENT MATTERS

D1a ADMISSION OF STUDENTS

- 1 The admission of students to taught programmes and awards is managed by the University's Enquiry and Admissions Service which is an integrated operation involving both centrally-based and faculty staff. The broad policy framework is determined by Academic Board and policy implementation is overseen by an Admission Advisory Committee reporting to the Academic Quality and Audit Committee. The University's general entrance requirements are set out in the Academic Regulations. These may be supplemented by particular requirements determined by faculties for specific awards. Entry and admission requirements are communicated to candidates through the Enquiry and Admissions Service.
- 2 Decisions to admit students to the University are made by staff in the Enquiry and Admissions Service where agreed criteria and requirements are applied directly to applications. The Enquiries and Admission Service, consulting as necessary through designated faculty admission officers with modular programme directors and award leaders, apply agreed criteria for exercising discretion in admitting students with non-standard qualifications and other forms of learning and experience gained outside formal educational processes.
- 3 Applicants for admission to a programme or award may also seek to transfer credit obtained elsewhere, or to seek University recognition of certificated learning as contributing credit to the award for which registration is sought. Applicants may also request University credit for experiential learning undertaken prior to or concurrent with registration for a University award. Faculties are responsible for establishing clear procedures for considering such applications from students on admission. Where the transfer of credit obtained elsewhere, or University recognition of learning certificated by another institution, are concerned, a faculty must have procedures in place for verifying such credit and certificated learning before credit is formally recognised and recorded as contributing to the requirements of a UWE award. Students apply for the award of University credit for experiential learning to the relevant faculty. Faculty procedures must permit evidence of a student's experiential learning to be matched with the learning outcomes of specified modules or units of study valid for the award against which a student wishes to seek credit. The assessment of evidence of experiential learning must be undertaken systematically and lead to a recommendation on the award of credit for consideration by the relevant field board.
- 4 Where the admission of students involves liaison with faculties to determine admission on the basis of non-standard entry requirements, faculties shall observe the provisions of relevant University policies including the Equal Opportunity Policy Statement, and have regard for guidelines prepared from time to time by the Centre for Student Affairs relating to the admission of students with disabilities and other groups requiring specialist support.

- 5 Faculties' admission arrangements and the entry profile of cohorts are included within the scope of the monitoring and evaluation remit of programme management committees and are open to consideration by faculty boards in their faculty-wide monitoring and evaluation.

D8a STUDENT ACADEMIC GUIDANCE, TUTORIAL AND LEARNING SUPPORT

- 1 Faculties are required by Academic Board to make arrangements for, and to monitor the provision of, academic guidance, tutorial and learning support and related services for students. The effectiveness of such provision is a key area for scrutiny through the University's internal academic audit of a faculty's quality assurance arrangements.
- 2 Faculty procedures and arrangements may vary, reflecting local arrangements and requirements. These may be designed to take account of the size of a faculty, its organisation, the characteristics of the student community and the requirements and features of the faculty's academic provision. The provision of general tutorial and personal contact and support for individual students on a continuing basis may include the designation of personal tutors, or of student advisers or their equivalent. Such provision is supported in many faculties by year/award or similar group-organised points of contact and communication. More specialist provision of academic guidance, relating for example to information needed for choices of modules or units of study, placement or professional practice matters and certain forms of careers' guidance may be located with designated staff, including administrative staff, carrying a particular responsibility for the function or area. In addition, faculties are responsible for ensuring effective communication and liaison with the Centre for Student Affairs in support of students' learning and related matters. The Centre for Student Affairs is responsible for providing students with a range of specialist services, including student advisory and counselling support, career advice and information, information relating to fees and loans, and provision for students with particular educational needs.
- 3 Responsibility for ensuring that guidance, tutorial and learning support are provided to students lies ultimately with the dean, working with the faculty executive. The operation and effectiveness of these arrangements and their oversight by the faculty executive are covered by a faculty's annual monitoring and evaluation procedures. These shall include scrutiny by the programme management committee and award/field committees as appropriate. The effectiveness of such monitoring and evaluation is also a matter for the faculty board.
- 4 In developing and maintaining its procedures for student guidance and support, a faculty is required to ensure that students have:
- i access to tutoring provision through personal tutors or other forms of support aimed at ensuring that there are adequate referral points for students in the context of the size, location and organisation of the faculty;

- ii provision for personal welfare in conjunction with specialist services outside the faculty such as the Centre for Student Affairs and assistance from the Students' Union where appropriate;
- iii access to informed, impartial academic advice and appropriate guidance to allow students to make informed choices;
- iv access to appropriate assistance and support to enable students to maximise their learning potential through acquisition and refinement of learning skills;
- v liaison with the Centre for Student Affairs to ensure readily accessible information and advice on career planning;

and that there is:

- vi provision for informing staff and students on the purpose and scope of a faculty's and the University's provision for personal and tutorial support for students;
- vii provision for staff induction/preparation and support for their tutorial roles;
- viii provision for keeping and maintaining records of tutorial contact and follow-up action, where necessary, including where students fail to attend;
- ix observation and implementation of equal opportunities policies;
- x a means of monitoring the adequacy of student support arrangements and periodically reviewing these to meet changing needs and circumstances.

D8b STUDENT CONSULTATION AND FEEDBACK

- 1 Faculties are required to make provision for involving students through consultative, representative and other means in the academic and decision-making processes of the faculty and for securing and acting on feedback from students as active participants in the learning process. The effectiveness of such provision is a key area for scrutiny through the University's internal academic audit of a faculty's quality assurance arrangements.
- 2 Student involvement in the development, quality management and monitoring of programmes is secured through the requirement that student representatives must form 25% of the membership of such committees set up by each faculty for the management of programmes, and that there be elected student members of faculty boards. In addition, faculties may choose to establish other forms of staff/student consultative arrangements to meet particular local needs.

- 3 Faculties may determine their own procedures for securing feedback from students on their educational experience. Such procedures shall ensure that there is provision for requesting, analysing, acting upon and communicating the outcome of student feedback on individual modules or units of study and on the student's experience at the level of the award. The procedures should enable students to provide information and offer opinion on their experience of teaching and learning, assessment methods and arrangements, access to and appropriateness of learning resources, and provision for student guidance and other forms of pastoral and learning support.
- 4 Responsibility for ensuring that student consultation and feedback procedures are in operation lies ultimately with the dean, working in conjunction with the faculty executive and with the chairs of the faculty board and the programme management committee and of any other groups established for this purpose. The operation and effectiveness of these arrangements and their oversight by the faculty executive are required to be covered by a faculty's annual monitoring and evaluation procedures. These, in turn, are subject to scrutiny by the faculty board.
- 5 In developing and maintaining its procedures for student consultation and feedback, a faculty is required to ensure that:
 - i informal and formal mechanisms for securing student consultation and feedback are employed;
 - ii there is provision for student participation in quality assurance and quality improvement;
 - iii information and guidance is available to students on faculty structures and committee arrangements, on provision for student representation and that steps are taken to encourage student representation and to record the names of elected student representatives in the faculty and to make them known to students, staff and the Students' Union;
 - iv lines of responsibility for and channels of communication with students are clear and documented;
 - v there is a range of mechanisms for securing feedback, including but not confined to questionnaires;and in order to ensure that consultation and feedback arrangements are fully used, that:
 - vi consultative and feedback mechanisms are timely and sufficiently frequent to allow students to make a worthwhile contribution to developing and enhancing their learning experience;
 - vii the focus and purpose of consultative and feedback mechanisms are made clear and communicated effectively to all students;

- viii arrangements for preparing agendas and briefing students in relation to formal committee business are timely and accessible;
- ix arrangements for requesting feedback from students on modules, units of study and across a programme/award are appropriately co-ordinated;
- x that the feedback loop is properly closed through provision for keeping students informed of action or the reasons for taking no action.

D9a COMPLAINTS BY STUDENTS ABOUT ACADEMIC PROVISION

Consultation and scope

- 1 Normally, all complaints about academic provision will be considered and resolved through the informal and formal consultation mechanisms in each faculty. It is at this level that matters can best be resolved in a manner and a timescale which will produce an outcome acceptable to the student and to the University. Where faculty processes are inappropriate, or where a mutually satisfactory solution cannot be obtained through this route, the following University procedure should be followed.
- 2 This procedure shall apply where the student making the complaint is registered for an award or enrolled on a module or unit of study and before all the assessments for that award, module or unit of study are completed. It may be initiated at any time during the academic year when the issue about which the complaint is made arises. Only in exceptional circumstances will complaints under this procedure be considered if the faculty-based informal and formal processes have not been exhausted and/or after all the assessments for the award, module, unit of study or the thesis has already been submitted.
- 3 The Vice-Chancellor shall from time to time nominate a member of the Directorate of the University to act on his or her behalf in determining the outcome of complaints about academic provision.

Procedure for making a complaint

- 4 Complaints will be accepted only from one or more students or their representative from the programme concerned.
- 5 Complaints from third parties (including representatives of students) will not be accepted unless they are accompanied by the written support of the student(s) concerned.
- 6 A complaint must be made in writing to the Academic Secretary (marking the envelope 'Academic Complaint') within a reasonable time of the matters about which the complaint is made. The student making the complaint must state his or her full name, date of birth, student number, address, the name of the award for which he or

she is registered (or the module or unit of study on which he or she is enrolled), and the nature of the complaint.

Preliminary investigation

- 7 The Academic Secretary shall acknowledge receipt of the complaint, remind the complainant of the assistance which can be rendered by the Students' Union and undertake such preliminary investigation of the complaint as he or she considers appropriate. This may include a meeting with the complainant(s). The Academic Secretary shall also report the complaint to the programme or award leader or research supervisor and dean and seek their comments on it.
- 8 On conclusion of the preliminary investigation, the Academic Secretary shall provide the designated member of the Directorate with a copy of the complaint, any comments from the programme leader, award leader, dean or research supervisor, and a report of the outcome of the preliminary investigation.
- 9 Having regard to these comments and, if necessary, further communication with the complainant(s) and/or the programme or award leader or supervisor and/or dean, the member of the Directorate shall decide either:
 - i that the complaint has not been substantiated and that no further action is necessary; or
 - ii that the complaint has been substantiated but that appropriate steps to deal with it have already been taken and no further action is necessary; or
 - iii that the complaint should be referred to the dean or programme management committee for investigation and action; and/or
 - iv for a complaint relating to a programme of supervised research, that advice be sought from a person independent of the research programme, with appropriate subject expertise; or
 - v that further investigation is necessary.
- 10 The Academic Secretary shall inform the complainant(s), the programme or award leader or supervisor and the dean of the outcome of this stage of the procedure.

Further investigation

- 11 If further investigation is necessary the member of the Directorate will invite at least one member of the senior staff of the University who has no close involvement with the programme to join him or her in forming a panel to conduct an investigation. The Academic Secretary or nominee shall act as secretary to the panel.
- 12 The panel will determine its own procedure and may interview relevant staff and students including the complainant(s).

Conclusion

- 13 Taking account of the outcome of the investigation, the member of the Directorate shall make a decision appropriate to the case. This may include referring the complaint to the dean of the relevant faculty or to another officer of the University for action, taking action him or herself self and/or reporting the issues raised to a committee, board or officer of the University. He or she may also decide that no further action is necessary.
- 14 The Academic Secretary shall inform the complainant(s), the dean and other appropriate persons or committees of the outcome of the investigation.

Report

- 15 The Academic Secretary shall report annually to the appropriate committee or board of the University on the operation of these procedures and on the complaints made in a form which maintains confidentiality.

D10a SUSPENSION AND EXPULSION OF STUDENTS FOR ACADEMIC REASONS

Definitions

- 1 A student may be suspended from or required to leave a programme, award, module or unit of study for academic reasons other than failure in assessment. These other academic reasons may include, inter alia, non-compliance with the programme requirements, failure to meet or comply with the professional requirements related to the programme, unsuitability to undertake professional practice or placement, failure to attend satisfactorily, evidence of professional unsuitability, admission on the basis of an application which is subsequently found to be incorrect in a material particular, and/or that the student has acquired a status which renders continuation on the programme or award inappropriate.
- 2 Non-compliance with programme, award, module or unit of study requirements may be identifiable by the examining board if the programme requirements include items which are listed in the assessment requirements (such as attendance requirements or participation in specific programme, award, module or unit of study activities). In such a case the examining board's decision is implemented in the normal way.

Delegation

- 3 For the purposes of this procedure the Vice-Chancellor may delegate his responsibility to a member of the Directorate and the dean may delegate his or her responsibility to an associate dean or another senior member of the staff of the faculty.

Action to be taken at faculty level

- 4 Where an examining board has determined that a student has failed to meet the stated requirements for assessment for a programme, award, module or unit of study after undertaking all permitted reassessments and the student is not eligible to enrol for other modules, units of study or awards within the programme, the dean or his or her nominee may require the student to leave the programme.
- 5 If a dean considers that a student's participation in a programme, award, module or unit of study is of such a nature as to render it unlikely that the student could fulfil its academic, assessment, professional or practice requirements the dean may propose that the student shall be expelled from the programme, award, module or unit of study. Such a proposal shall only be made after the dean or his or her nominee has given the student the opportunity to be heard and to be represented by the Students' Union. The dean shall notify the student in writing of the proposal to expel, of the date and time set aside for the opportunity to be heard and shall remind him or her of the assistance which can be provided by the Students' Union.
- 6 If the dean still wishes to expel the student after he or she has been given the opportunity to be heard, the dean shall submit a request to the Academic Secretary that the student be expelled from the programme, award, module or unit of study. The request shall include the reasons for the request, whether or not suspension pending the outcome of the request is sought and any written or verbal representations made by the student.

Action to be taken at University level

- 7 On receipt of a proposal for expulsion which includes a proposal for suspension while expulsion is being considered, the Academic Secretary shall seek the permission of the Vice-Chancellor for the suspension and shall inform the student and the dean of the Vice-Chancellor's decision.
- 8 The student shall be given an opportunity to be heard by the Vice-Chancellor and to be represented by the Students' Union before the decision is made on the proposal to expel. The Vice-Chancellor may make any decision appropriate to the case including a period of temporary suspension and expulsion from the University.
- 9 The Academic Secretary shall notify the student and the dean of the Vice-Chancellor's decision.

E ASSESSMENT AND EXAMINING

E4a INSTRUCTIONS TO EXAMINATION CANDIDATES

Attendance

- 1 Candidates must present themselves at the examination room at least fifteen minutes before the examination is due to begin.
- 2 Candidates without their student identity card may be refused entry to the examination. Candidates must show their student identity card on request.
- 3 Candidates must not enter the examination room until instructed to do so by the senior invigilator.
- 4 Candidates may be admitted to the examination room by an invigilator:
 - i up to thirty minutes after the official start of the examination; or
 - ii in extenuating circumstances at any time provided no candidate has already left.
- 5 Additional time for any candidate arriving after the start of the examination will not be given.
- 6 Candidates shall sign the attendance register when requested to do so by an invigilator.
- 7 No candidate may leave the examination room during the first or last thirty minutes of the examination.
- 8 At the end of the examination candidates must remain seated and silent until all scripts have been collected and until dismissed by an invigilator.

Items not permitted in the examination room

- 9 Candidates must not have in their possession at their place in the examination room nor make use of any book, manuscript, calculator, personal computer, electronic organiser, mobile phone or other aid which is not specifically allowed in the rubric of the examination paper or the assessment regulations for the module or unit of study. Exceptionally, a candidate with temporary or permanent disabilities, special educational needs or difficulties may have been authorised in advance by the faculty concerned to have available and use additional aids not specified in the rubric of the paper or by the assessment regulations.
- 10 A candidate who brings any unauthorised item to his or her place by mistake shall inform an invigilator immediately he or she discovers its presence.

- 11 Coats, briefcases and similar items shall be deposited outside the examination room or as directed by an invigilator.

Behaviour in the examination room

- 12 Upon entering the examination room candidates must comply with the invigilators' instructions.
- 13 Once in the examination room candidates shall not communicate in any way with any person other than an invigilator.
- 14 An invigilator's attention may be attracted by a candidate raising his or her hand.
- 15 Candidates must not leave their places without the permission of an invigilator.
- 16 A candidate wishing to leave the examination room temporarily must seek the permission of an invigilator before doing so, and will be accompanied by an invigilator throughout his or her absence. Any candidate who leaves the examination room without the permission of an invigilator normally will be deemed to have withdrawn from the examination and will not be re-admitted to the examination room.
- 17 A candidate who wishes to leave the examination room early must first attract the attention of an invigilator and have his or her script collected. He or she should take care not to disturb other candidates when leaving and must observe examination procedures until out of the room.
- 18 A candidate whose script has been collected will not be re-admitted to the examination room.
- 19 Smoking is not permitted in the examination room.
- 20 Mobile phones must be switched off.

Examination Stationery

- 21 Candidates shall use only the official stationery provided. Any rough work shall be done on the stationery provided and handed in with the completed answer script. No candidate shall remove any answer script, rough work, official stationery or equipment from the room. The examination question paper may be retained by the candidates only where this has been permitted by the examining board.
- 22 Candidates must not start writing, other than to sign the attendance register or complete the identification details on the answer paper, until given permission to do so by the senior invigilator.
- 23 Candidates must stop writing immediately they are instructed to do so at the end of the examination. The senior invigilator will state when the examination ends.

Breaches of examination regulations and procedures

- 24 A candidate whom an invigilator believes to be using unfair means (including unauthorised aids, copying or communicating with others) will be so informed and his or her answer paper marked at the appropriate place. Unless the candidate is required to leave the examination room under any other section of this procedure, he or she will be permitted to continue the examination.
- 25 A candidate who, in the opinion of the senior invigilator, causes an unreasonable disturbance, and continues or repeats it after warning, shall be required to leave the examination room and will not be re-admitted. Unreasonable disturbance may include the ringing of the candidate's mobile phone.
- 26 A candidate breaching any of these procedures will be reported to the relevant examining board, and the matter will be considered in accordance with University Regulations.

Communication from examination candidates to examining boards

- 27 Any candidate who wishes to draw to the attention of the examining board (normally the Award Board) any matter or circumstance which he or she believes has materially affected his or her performance in an examination must do so, in writing, in accordance with the University's Academic Procedures. Any candidate failing to do so will normally lose any opportunity to apply on these grounds for a review of the decision of the examining board.

Emergency evacuation of examination room

- 28 In the event of an emergency evacuation of the examination room (eg when a fire alarm sounds) candidates must obey the instructions of the senior invigilator which shall give priority to the safety of the candidates.
- 29 Candidates remain subject to examination procedures during the evacuation and should not discuss the examination.
- 30 Candidates shall follow the invigilators to the designated assembly area and follow the invigilators' instructions regarding resumption of the examination.
- 31 If it is possible to resume the examination candidates shall, when instructed by the senior invigilator, endorse their scripts with the words 'examination interrupted' and the reason for the interruption at the appropriate place. Where it is logistically possible compensatory time shall be allowed to candidates equivalent to the period from the time the alarm sounded to the resumption. The senior invigilator shall decide whether it is possible to give compensatory time.
- 32 Candidates shall be informed of any revision to the finishing time for the examination and that a report of the interruption will be made to the chair of the examining board.

Variations to the procedures

- 33 These procedures may be varied by the Academic Secretary where necessary to comply with the written requirements of relevant professional or accrediting bodies.
- 34 Where the nature of the examination makes necessary any variation to the above procedures, candidates will be informed of such variation by the senior invigilator before the start of the examination.
- 35 Where a candidate has had special examination arrangements approved by the faculty in advance, the senior invigilator will remind him or her of those arrangements before the start of the examination.

E4b INVIGILATION OF EXAMINATIONS

Appointment

- 1 Normally one senior invigilator and one invigilator shall be appointed for each examination room by the Central Timetabling Manager. If more than forty candidates are to be examined in any room an additional invigilator shall be appointed for each additional forty candidates (or part thereof).
- 2 The senior invigilator and shall be in overall charge of the examination.
- 3 Where possible, the invigilating team shall include a female and a male.
- 4 A senior invigilator or an invigilator shall not delegate his or her appointment.

Examiners

- 5 At least one internal examiner or his or her suitably qualified nominated representative shall be available for consultation at a named location or telephone number during the examination to answer any queries in relation to the examination paper.

Responsibilities and conduct of senior invigilators and invigilators

- 6 Invigilators must ensure that the examination for which they are appointed runs smoothly and is conducted in accordance with the University's Ordinances, Academic Regulations, and these Procedures.
- 7 To ensure that the examination is conducted fairly and efficiently, the invigilators must devote the whole of their attention to the proceedings. Since candidates are instructed to attract the attention of the invigilator only by raising a hand, the invigilators must be positioned so that the whole area can be observed. They should refrain from conversation as far as possible.

Duties of the senior invigilator

- 8 To collect the examination box for the examination for which he or she is responsible from the designated examination base room. The examination box will contain a list of candidates eligible to attend the examination, the examination question paper(s), the examination answer booklets, a list of materials which any or all candidates are permitted to bring into the examination room, any other materials required to conduct the examination and a clock.
- 9 To ensure that the following are available in the examination room:
 - i an adequate supply of the appropriate examination stationery;
 - ii an adequate supply of any books or equipment which are to be supplied to the candidates;
 - iii a list of those eligible to attend.
- 10 To take charge of the examination, including the announcement of its start and finish.
- 11 To ensure that all scripts are collected at the end of the examination and returned with the signed attendance list to the designated examination base room.
- 12 To make a report, including any unusual circumstances and action taken, in writing to the relevant dean for transmission to the chair of the examining board (normally the field board for modular programmes) immediately after the examination.
- 13 To announce before the start of the examination, any variations in the procedure as required by the instructions to examination candidates (Academic Procedure E4a).
- 14 The senior invigilator shall have discretion to take whatever action he or she deems appropriate to meet unforeseen circumstances not covered by the University Ordinances, Regulations, Procedures and these instructions.

Instructions to invigilators

Before the examination

- 15 The senior invigilator shall collect the examination box from the designated examination base room.
- 16 Invigilators shall arrive in the examination room in sufficient time (normally at least forty five minutes) before the examination to prepare the room and the candidates' places so that the examination may start at the scheduled time.
- 17 Invigilators shall ensure that the examination room is suitably prepared:
 - i that a clock is visible to all candidates;

- ii that the room is adequately lit and ventilated;
 - iii that there are sufficient places for the number of candidates listed;
 - iv that each place is provided with the materials, aids and equipment indicated on the rubric of the examination question paper, and with an examination answer booklet.
- 18 The correct examination question paper shall be distributed to candidates' places before the examination starts.
- 19 Candidates shall not be admitted to the examination room until all preparation has been completed. The senior invigilator shall instruct candidates when they may enter the examination room.
- 20 Candidates shall be seated as directed by the senior invigilator.
- 21 The signature of each candidate shall be obtained alongside his or her name on the list of candidates eligible to attend.
- 22 If a candidate's name does not appear on the list of those eligible to attend, the senior invigilator or his or her nominee shall add his or her name to the list and shall permit him or her to start the examination whilst inquiries are made by an invigilator to establish his or her eligibility.
- 23 Before the examination starts the senior invigilator shall remind candidates that:
- i they should be sitting at the place assigned to them (if appropriate);
 - ii they should check that they have the correct examination question paper, stationery, materials, aids and equipment and that the question paper is complete;
 - iii they must read the instructions on the question paper and the answer paper;
 - iv they should remain in their seats throughout the examination except when an invigilator gives them permission to leave;
 - v they should be silent until all scripts have been collected and until dismissed by an invigilator;
 - vi if they wish to attract the invigilator's attention they should do so by raising a hand;
 - vii they may not smoke;
 - viii they must switch off all mobile telephones and devices which give an audible signal;

- ix they may not leave the examination during the first thirty nor the last thirty minutes.
- 24 The senior invigilator should announce the start of the examination and its duration and display this information in a place visible to all candidates.
- 25 Examinations should start at the time specified. If there is an unreasonable delay the reasons for it and the actual start time should be included in the senior invigilator's report to the relevant dean.

During the examination

- 26 Invigilators shall ensure that candidates observe examination procedures.
- 27 A note shall be made on the attendance list of each candidate arriving late, and a report of the time of arrival made to the chair of the relevant examining board.
- 28 If a candidate wishes to leave the examination early, his or her script shall be collected before he or she leaves.
- 29 If a candidate wishes to leave the examination room temporarily he or she shall be accompanied by an invigilator or authorised person throughout his or her absence.
- 30 In the event of a query on the examination question paper, the senior invigilator shall consult the internal examiner or his or her nominated representative. Any error or omission should then be corrected by brief oral announcement as authorised by the internal examiner, and noted on a board for candidates' reference during the examination. In no circumstances should the invigilators otherwise attempt to elucidate or interpret an examination question or paper, and where a candidate believes there to be some other error or ambiguity he or she should be advised to note his or her interpretation of the question in his or her answer. The senior invigilator shall record all queries made about the examination question paper, and the time of any announced corrections, and report them in writing to the chair of the examining board (the field board for modular programmes).
- 31 In the event of a candidate causing a disturbance in the opinion of the senior invigilator, he or she shall be warned, and required to withdraw if he or she persists. He or she shall not be re-admitted. The time of his or her departure, and its circumstances, shall be reported to the chair of the relevant examining board (normally the field board for modular programmes).
- 32 If an invigilator observes a candidate apparently contravening the regulations regarding the use of unfair means he or she should immediately require another invigilator to act as witness. A detailed note shall be made of the circumstances and a report made to the chair of the examining board. The candidate shall not be required to leave the examination room (except under paragraph 31 above), nor shall his or her answer paper be taken from him or her. Every completed or part completed sheet of the candidate's script shall be marked with the time and the initials of the invigilator. The candidate shall be permitted to continue with the examination and his or her

script shall be forwarded separately to the chair of the relevant examining board(s) with the note of the circumstances.

- 33 If a candidate reports that he or she has inadvertently brought an unauthorised item to his or her desk, the invigilator should remove the item, mark every page of the candidate's answer script completed or part-completed up to that time with the time and his or her initials and report the full circumstances to the chair of the relevant examining board(s). This is normally the field board for modular programmes. The candidate shall be permitted to continue the examination.
- 34 If a candidate becomes ill (or similar emergency), the senior invigilator should take whatever action is necessary and submit a full report to the chair of the relevant examining board. This is the award board for modular programmes.
- 35 Normally, not more than one invigilator shall leave the examination room for any purpose at any one time.
- 36 The senior invigilator shall remind candidates when there are thirty and fifteen minutes remaining for the examination.

Ending the examination

- 37 The senior invigilator shall announce the end of the examination and instruct candidates to stop writing.
- 38 Candidates shall be reminded to complete the identification details on the answer paper (including continuation sheets) if they have not already done so, and to attach all sheets together with whatever means are provided.
- 39 Candidates shall be reminded that they must remain seated and silent until all scripts have been collected and until dismissed by the senior invigilator.
- 40 Invigilators shall remind candidates that all work including rough work must be handed in and no answer book, rough work, official stationery or equipment removed from the examination room.

After the candidates have left

- 41 Invigilators shall check that the number of scripts collected corresponds to the number of candidates who attended, taking particular care when several answer books are expected from each candidate.
- 42 The examination box and all its contents (see paragraph 8 above), including completed examination answer booklets, unused stationery, and the completed list of candidates shall be returned to designated examination base room by the senior invigilator.
- 43 All reports from invigilators on occurrences during the examination shall be submitted under separate cover to the chair of the relevant examining board(s).

- 44 If the designated examination base room is not accessible for any reason, the senior invigilator shall ensure that completed examination scripts and invigilators' reports are kept secure until they can be returned to the dean or his or her nominee.

Emergency evacuation of examination room

- 45 In the event of an emergency evacuation of the examination room (eg when a fire alarm sounds) candidates must obey the instructions of the invigilator which shall give priority to the safety of the candidates.
- 46 Candidates shall be instructed that they remain subject to examination procedures during the evacuation.
- 47 The senior invigilator shall instruct candidates to evacuate the room quietly leaving all examination materials in the room.
- 48 The invigilators shall lead candidates to the designated assembly area and remain with them until instructed by the appropriate authorities that it is safe to return to the building, or until a decision is taken by the Central Timetabling Manager after appropriate consultation to abandon the examination.
- 49 The senior invigilator or his or her nominee shall inform the Central Timetabling Manager of the emergency evacuation as soon as possible.
- 50 If it is possible to resume the examination, invigilators shall instruct candidates to endorse their scripts with the words 'examination interrupted' and the reason for the interruption at the appropriate place. Where it is logistically possible, compensatory time shall be allowed to candidates equivalent to the period from the time the alarm sounded to the resumption. The Central Timetabling Manager in consultation with the senior invigilator shall decide whether it is possible to give compensatory time.
- 51 Candidates shall be informed of any revision to the finishing time for the examination and that a report of the interruption will be made to the chair of the examining board. The revised finishing time shall be displayed in a place visible to all candidates.
- 52 A full report of the circumstances, including the time of interruption, its duration and any compensatory time allowed, shall be included in the senior invigilator's report to the relevant dean.

Variations to the procedure

- 53 These procedures may be varied by the Academic Secretary where necessary to comply with the written requirements of relevant professional or accrediting bodies.
- 54 Any variations to these procedures required by the nature of specialist examinations (eg practicals, oral, aural, interpreting, word processing), as set out in the relevant module/unit of study specification will be determined by the relevant examining board and notified to candidates before the examination.

- 55 These procedures may be varied for individual candidates with special educational needs subject to approval by the appropriate faculty.

E4c CONSIDERATION OF LATE WORK SUBMITTED FOR ASSESSMENT

- 1 A deadline shall be set for the submission of every element of assessment. A student may submit the element up to 24 hours after the designated deadline without penalty. A student may submit the element up to 10 working days after the designated deadline, but such penalty as prescribed from time to time by the Academic Board shall be applied to the mark awarded.
- 2 The 24 hour and 10 day periods of grace in paragraph 1 above shall not apply to those assessments (eg presentations) which must take place at a specified time. Such time sensitive assessments shall be specified in advance by each faculty.
- 3 A student who does not submit an element of assessment within 10 working days of the designated deadline shall normally be deemed to have failed that element of assessment and receive a mark of zero for that element. A student who does not attend a time sensitive assessment shall normally be deemed to have failed that element of assessment and receive a mark of zero. Extensions to deadlines for individual students may not be granted under any circumstances.
- 4 Work submitted more than 10 days after the deadline will not be counted for assessment under any circumstances although it will be marked and returned for learning purposes.
- 5 Where a student is of the opinion that his or her failure to meet the deadline for that element of assessment has been caused by illness, disability or personal problems, the student may request that the work be marked and counted for assessment purposes. No circumstances occurring after the deadline will be taken into account.
- 6 The student shall explain the circumstances fully, in writing, and state why his or her circumstances resulted in the failure to meet the deadline. The statement shall be accompanied by relevant documentary evidence.
- 7 The student shall submit the statement and the work no later than ten working days after the deadline for that element of assessment in a sealed envelope addressed to the faculty administrator or designated faculty officer of the faculty responsible for the module or unit of study on which the student is registered. The envelope shall be marked with the title and code of the module or unit of study and the words 'late work submission'.
- 8 Submissions shall be considered by a panel (a 'Late Work Panel') consisting of at least three members of staff set up by the faculty responsible for the module or unit of study for that purpose. The panel shall decide whether or not to accept the late work. The panel's decisions shall be reported to the relevant field or examining

boards. The panel has discretion to consider late work submissions received up to ten working days after the deadline. Late work shall not normally be accepted or counted for assessment after marked work for that element of assessment has been returned to other students.

- 9 There shall be no appeal against a decision of a late work panel. The student's right to submit extenuating circumstances to an award board relating to the assessment is unaffected by any decision of a late work panel.

E4d TAKING ASSESSMENTS UNDER CONTROLLED CONDITIONS OFF CAMPUS

- 1 Assessments under controlled conditions, including examinations, will normally take place on a University campus or at a venue determined by the University for the whole cohort of students taking that assessment. It is the student's responsibility to attend examinations and assessments under controlled conditions (Academic Regulation E4.2). No student has a right to take any assessment off campus and permission to do so is at the discretion of the University. Assessments under controlled conditions taken off campus have security implications and the associated administrative costs are considerable.
- 2 The dean of the faculty concerned may grant an international fee paying student permission to take an assessment under controlled conditions off campus. Such permission may be granted only where the assessment is:
 - i the second assessment opportunity within an attempt, or for non modular programmes, it is a referral or deferral; and
 - ii due to take place in late summer (normally August, September or early October); and
 - iii it can be arranged at a British Council Office.
- 3 The dean of the faculty concerned may grant exchange students participating in an academic exchange arrangement permission to take an assessment under controlled conditions off campus. Such permission may only be granted where the assessment:
 - i is the second assessment opportunity within an attempt, or for non modular programmes, is a referral or deferral; and
 - ii is due to take place in late summer (normally August, September or early October); and
 - iii can be arranged at one of the other institutions participating in the exchange.

- 4 A student other than those covered by paragraphs 2 and 3 above will not normally be permitted to take an assessment under controlled conditions off campus. Permission will only be granted in very exceptional circumstances and can be given only by the Academic Secretary. Individual convenience, the avoidance of travel back to the University, and the fact that the student has already left the country or the area will not of themselves normally constitute exceptional circumstances. The Academic Secretary may give permission for an assessment under controlled conditions to take place other than at a British Council Office or an institution participating in an exchange.

Process

- 5 The following process must be followed in all cases where a student requests permission to take an assessment under controlled conditions off campus.
- 6 A student enquiring about taking an assessment under controlled conditions off campus under the above provisions should be informed that the location off campus is subject to University approval, that a fee and expenses will be charged and that, for any student not paying an international rate fee or on an academic exchange, individual convenience, the avoidance of travel back to the University, or the fact that the student has already left the country or the area will not of themselves normally constitute exceptional circumstances.
- 7 A student seeking permission to take an assessment under controlled conditions off campus under the above provisions must apply in writing to the faculty administrator of the faculty responsible for the award on which he or she is registered as early as possible and normally not less than 6 weeks before the scheduled date of the assessment. The application must be in writing supported by relevant documentary evidence.
- 8 The faculty administrator should assess whether secure arrangements can be made in time and whether fees and expenses can be recouped from the student before the date of the assessment. Taking account of time zone differences, the assessment shall normally be timed to coincide with the scheduled time of the assessment on the University campus and so as to prevent any possibility of communication between candidates at different centres. In order to ensure security, a student taking an assessment under controlled conditions off campus will not be permitted to retain the question paper at the end of the assessment. The paper will be supplied at a later date. Under no circumstances should the student be permitted or asked to make the arrangements him or herself although he/she can be consulted on the location where there is more than one British Council Office or partner exchange institution participating in the exchange in the country concerned. Arrangements for the assessment shall not be commenced until the fee has been received.
- 9 The faculty administrator shall forward the request and supporting documentation to the dean or Academic Secretary as appropriate. This shall be accompanied by an estimation of whether secure arrangements can be made, what those arrangements would be and a statement of the arrangements for the recovery of the fee and expenses.

- 10 The dean or Academic Secretary shall make a decision and notify the faculty administrator who will be responsible for making the arrangements, notifying the faculty responsible for the module or unit of study (if different) and for invoicing the student. The student must pay the fee before the scheduled date of the examination and pay any additional costs associated with the invigilation or organisation of the examination or assessment. A student who does not pay the fee will not be permitted to take the examination off campus and a student who does not pay the fee and/or any additional expenses will be treated as a debtor.

Fees and expenses

- 11 A student granted permission to take an assessment under controlled conditions off campus will be charged a fee. The fee covers courier postage of examination papers and stationery, liaison with the examination centre off campus, and the University's administrative costs including preparing examination packs. It does not cover any other costs such as the organisation of the venue, fees charged by the venue or invigilators. Where any additional costs are incurred by the University these will also be charged to the student.

Report

- 12 Each faculty shall report annually to the Academic Secretary on any arrangements made for assessments under controlled conditions to be taken off campus.

E5a EXAMINING BOARDS

Constitution

- 1 The Academic Board may from time to time prescribe the terms of reference and composition for particular examining boards.
- 2 An examining board shall normally be chaired by the dean of the relevant faculty (or equivalent) or by a senior member of staff nominated by the dean.
- 3 No student shall be a member of an examining board for his or her programme or attend an examiners' meeting for such programme other than as a candidate for assessment. No member of staff who is enrolled on a module/unit of study or registered for an award under consideration by the board shall be a member of the board.
- 4 The quorum of an examining board shall be two thirds of the members eligible to attend. For modular programmes the quorum shall include the chief external examiner for the award board and at least one external examiner at the field board. For non modular programmes the quorum shall include the chief external examiner and at least one other external examiner where awards are to be recommended. An examining board which does not include an external examiner is not authorised to

assess students for an award or for credit or to recommend the grant of an award to a student.

Composition and terms of reference (modular programmes)

- 5 For modular programmes the Academic Board has determined that there shall be field boards and award boards. Their terms of reference and composition are defined in the Modular Assessment Regulations.

Composition and terms of reference (non-modular/linear awards)

Terms of Reference:

- 6 An examining board shall be responsible for determining:
- i that assignments contributing to assessment are properly scrutinised and marked;
 - ii that all assessments are properly conducted;
 - iii the effect, if any, of circumstances related to the delivery or assessment of a module or unit of study adversely affecting the performance of a whole cohort or a particular sub-group of students in an assessment or the module or unit of study or as a whole;
 - iv the mark or other outcome achieved by a student in respect of an assessment or re-assessment of his or her performance in each module or unit of study and on the award as a whole;
 - v whether a student has complied with the requirements to progress to further study on an award or to receive an award;
 - vi the recommendation for a particular award and, if appropriate, the differential level of award to be made to the student, having regard to the student's overall profile of assessment under the regulations for the programme, and subject to such limitations as are set out in the University's Ordinances, Academic Regulations and these Procedures;
 - vii the award of credit to a student in respect of his or her performance in a module or unit of study in accordance with the Academic Regulations;
 - viii the satisfaction of any requirements of a professional body for recognition of the award in so far as may be delegated by the professional body;
 - ix the effect of any extenuating circumstances affecting the performance of a student in relation to an award or progression within an award;
 - x the action to be taken in relation to the determination of the outcome of the assessment of modules or units of study and of the award, in accordance with

the Academic Regulations and these Procedures, in respect of a student who has committed an assessment offence;

- xi any relevant matters arising from the work of the board which the board wishes to draw to the attention of the appropriate award management committee.

7 An examining board shall have no other terms of reference.

Composition

8 The composition of an examining board shall be:

- i the dean of the faculty, or his or her nominee;
- ii the award leader;
- iii the module or unit of study leaders (or equivalent);
- iv the chief external examiner and all other external examiners appointed to the award;
- v in attendance, such other persons associated with the award as may be designated by the dean of faculty.

Delegation

9 An examining board may delegate its responsibility to review its decision in only two circumstances: when required to so under Academic Regulation E13 or Academic Procedure E13a by the Academic Secretary or by an Academic Board Review Panel or where an error or other procedural irregularity which may materially affect the integrity of the board's decisions is brought to the attention of the Chair of the board after a meeting of the full board.

10 The examining board must at each meeting confirm authority for a sub-committee to act on its behalf if required. All sub-committees shall consist of at least five members, normally including at least three members present at the original meeting, one of whom shall be the Chair or his or her nominee. Where possible the membership of the group shall include an external examiner but where this is not possible an external examiner shall be consulted. The consent of an external examiner is required for any changes to the original decision of the examining board. Where the decision under review relates to an award the chief external examiner shall either be a member of the sub group or shall be consulted. The written consent of the chief external examiner shall be required for any changes to the award originally decided by the examining board.

11 The quorum for a meeting of a sub-committee of an examining board shall be five. In all other respects the sub-committee's procedures shall accord with normal requirements and practices for examining boards.

External examiners' decisions

- 12 Where there is a disagreement between the external examiner(s) and the internal examiners which cannot be resolved through discussion, the decision of the external examiner(s) shall normally be accepted as final by the examining board. Any unresolved disagreement between external examiners shall be referred to the Chair of the Academic Board for determination.

Recommendations for awards

- 13 No recommendation for the grant of an award may be made without the written consent of the approved external examiner(s).

Secretariat

- 13 The dean shall ensure that all examining boards and examining board sub-committees within the responsibility of the faculty are provided with adequate secretariat and support services and that detailed and accurate records of the board's proceedings are maintained. The dean shall ensure that such arrangements and records comply with any requirements of the University which may be issued by the Academic Secretary from time to time.

E6a EXTERNAL EXAMINERS

Requirements

- 1 The Academic Regulations of the University require external examiners to judge students impartially for assessment, to ensure that approved assessment regulations are applied and that assessment and awards are at a standard comparable with other awards in the United Kingdom.
- 2 No recommendation to the University for the grant of an award will be valid without the written consent of the external examiner(s) whose appointment(s) cover that award.
- 3 External examiners are required to inform the Chair of the examining board if they know any candidate personally and to withdraw from that part of any meeting of the Board where that candidate is being considered.
- 4 External examiners' roles and responsibilities differ depending on whether they are appointed to modular programmes and awards (ie offered under the University Modular Framework) or to non-modular provision.

University Modular Framework

- 5 External examiners are appointed either to a faculty modular **scheme** or to a field.

- 6 External examiners appointed to a scheme are chief external examiners. Separate chief external examiners are normally appointed for each faculty modular scheme and the Joint Honours Scheme. Chief external examiners attend award boards where recommendations on Honours students' eligibility for awards of the University are made.
- 7 External examiners appointed to a field are field examiners. They have responsibility for a defined subject area and specified modules within a named field. Field external examiners attend field boards where decisions on module assessment and the award of credit are made.
- 8 No external examiner may hold appointment simultaneously as a chief external examiner and as a field external examiner.

Chief external examiners

- 9 The chief external examiner will be a person with sufficient external examining experience to take an overview of the whole scheme.
- 10 Chief external examiners shall:
 - i ensure that all assessments are conducted in accordance with the assessment regulations for the scheme;
 - ii ensure that the responsibilities of the award board relating to a student's eligibility for an award are fully and properly discharged in accordance with the assessment regulations;
 - iii may exceptionally, as permitted by the assessment regulations and the Academic Regulations conduct a viva voce examination of a candidate;
 - iv attend the meetings of the award board to which they are appointed at which decisions on recommendations for award(s) are made and ensure that those recommendations have been reached by means consistent with the University's requirements and with normal practice in higher education;
 - v participate as required in any reviews of decisions about individual students' awards taken during the examiner's period of office;
 - vi have access to relevant assessed work where necessary for the discharge of these responsibilities;
 - vii report to the University on the effectiveness of the assessment and the conduct of the examining board and any matters arising in accordance with the University's requirements for such reports;
 - viii report to the Vice-Chancellor on any matters of serious concern arising from the assessment which put at risk the standard of the award(s).

Field external examiners

- 11 Field external examiners shall:
- i ensure that the assessments are conducted in accordance with the approved regulations for the module;
 - ii scrutinise a sample of the work, other than professional competencies assessed by an appropriately qualified practitioner, from each module for which they are responsible within the field to which they are appointed in order to ensure that marking is at an appropriate level and that candidates are fairly placed in relation to the cohort;
 - iii have the right if necessary for the discharge of their responsibilities to have access to all assessed work for each module for which they are responsible within the field to which they are appointed;
 - iv have the right to moderate the marks awarded by internal examiners consistent with fairness to all candidates and subject to report to the field board;
 - v attend the meetings of the field board to which they are appointed at which decisions on the award of credit are made and ensure that those decisions have been reached by means according with the University's requirements and with normal practice in higher education;
 - vi participate as required in any reviews of decisions about individual students' performance on modules within the field taken during the examiner's period of office;
 - vii report to the University on the effectiveness of the assessments and the conduct of the examining board and any matters arising in accordance with the University's requirements for such reports;
 - viii report to the Vice-Chancellor or his or her nominee on any matters of serious concern arising from the assessments which put at risk the standard of module.

The external examining team (field examiners)

- 12 There should be an appropriate balance and expertise in the team of external examiners appointed to a field, both in terms of subject expertise and examining experience and between academic and professional practitioners. The range of academic perspectives necessary to the scheme should be represented in the external examining team.
- 13 There should be a balance between individuals from institutions with different academic traditions.

- 14 Where the scheme is associated with or may lead to a professional award at least one practitioner with appropriate experience and approved as necessary by the relevant professional body should be included in the team.
- 15 The external examining experience in the team as a whole must be sufficient and wide ranging.
- 16 The phasing of appointments to the team should be structured to ensure continuity.

Non-modular awards

- 17 For non-modular (or linear) awards, external examiners are appointed to an award and are responsible for ensuring that assessment arrangements are properly undertaken at subject and award level. All external examiners attend the award examining board. One of the external examiners will be appointed as the chief external examiner for the award.
- 18 The chief external examiner for a non-modular (linear) award shall:
 - i ensure that all assessments are conducted in accordance with the assessment regulations for the programme;
 - ii ensure that the responsibilities of the examining board relating to a student's eligibility for an award are fully and properly discharged in accordance with the assessment regulations;
 - iii may exceptionally, as permitted by the assessment regulations and the Academic Regulations conduct a viva voce examination of a candidate;
 - iv attend the meetings of the examining board to which he or she is appointed at which decisions on recommendations for award(s) are made and ensure that those recommendations have been reached by means consistent with the University's requirements and with normal practice in higher education;
 - v participate as required in any reviews of decisions about individual students' awards taken during the examiner's period of office;
 - vi have access to relevant assessed work where necessary for the discharge of these responsibilities;
 - vii report to the University on the effectiveness of the assessment and the conduct of the examining board and any matters arising in accordance with the University's requirements for such reports;
 - viii report to the Vice-Chancellor on any matters of serious concern arising from the assessment which put at risk the standard of the award(s).

- 19 External examiners for non-modular (linear) awards shall, for subject area for which they have been appointed:
- i ensure that the assessments are conducted in accordance with the approved regulations for the module or unit of study;
 - ii scrutinise a sample of the work, other than professional competencies assessed by an appropriately qualified practitioner, from each module or unit of study for which they are responsible in order to ensure that marking is at an appropriate level and that candidates are fairly placed in relation to the cohort;
 - iii have the right if necessary for the discharge of their responsibilities to have access to all assessed work for each module or unit of study for which they are responsible;
 - iv have the right to moderate the marks awarded by internal examiners consistent with fairness to all candidates and subject to report to the examining board;
 - v attend the meetings of the examining board to which they are appointed at which decisions on the award of credit and or recommendations for awards are made and ensure that those decisions have been reached by means according with the University's requirements and with normal practice in higher education;
 - vi participate as required in any reviews of decisions about individual students' performance on modules or units of study within programme taken during the examiner's period of office;
 - vii report to the University on the effectiveness of the assessments and the conduct of the examining board and any matters arising in accordance with the University's requirements for such reports;
 - viii report to the Vice-Chancellor or his or her nominee on any matters of serious concern arising from the assessments which put at risk the standard of module or unit of study.

The external examining team (non modular/linear programmes)

- 20 There should be an appropriate balance and expertise in the team of external examiners appointed to an award, both in terms of subject expertise and examining experience and between academic and professional practitioners. The range of academic perspectives necessary to the programme should be represented in the external examining team.
- 21 There should be a balance between individuals from institutions with different academic traditions.

- 22 Where the programme is associated with or may lead to a professional award at least one practitioner with appropriate experience and approved as necessary by the relevant professional body should be included in the team.
- 23 The external examining experience in the team as a whole must be sufficient and wide ranging.
- 24 The phasing of appointments to the team should be structured to ensure continuity.

Criteria for appointment

(this section applies to all external examiners)

- 25 External examiners should not normally hold more than the equivalent of two substantial appointments at the same time. Where a faculty wishes to propose an appointment which breaches this norm, for example in a subject area in which there are few eligible qualified people from whom to select, it must make a case for an exception to be approved. The total examining workload of the nominee should be compatible with the role and duties required.
- 26 In order to protect their independence, external examiners should not, immediately prior to or during their term of office, undertake any duties in relation to the scheme, field or award incompatible with the objectivity of external examining.
- 27 An external examiner's academic and/or professional qualifications and expertise should be appropriate to the scheme, field or award to be examined.
- 28 An external examiner should have the ability to command the respect of colleagues and have appropriate standing, expertise and experience to maintain comparability of standards. Appropriate indicators are:
- i the present (or, if retired, last) post and place of work;
 - ii the range and scope of experience across higher education or the professions;
 - iii current and recent active involvement in teaching and assessment, research, scholarly, and/or professional activities relevant to the area concerned.
- 29 An external examiner should have enough recent external examining or comparable related experience to indicate competence in assessing students at the required level.
- 30 External examiners shall be drawn from a wide variety of institutional/professional contexts and traditions in order that the assessment process benefits from wide-ranging external scrutiny. Normally, it shall not be permitted to:
- i appoint more than one examiner from the same institution in the team of external examiners, except in a complex scheme or field, involving a very large number of discrete subject areas or awards;

- ii appoint reciprocal external examining between schemes, fields, awards or faculties in two institutions;
 - iii replace an external examiner by an individual from the same institution;
 - iv appoint an external examiner from an institution which has been the source of examiners in that programme, subject or award area in the recent past (normally five years);
 - v appoint as an external examiner an ex member of staff of the University until at least 5 years after the end of his or her employment by the University.
- 31 External examiners should be able to exercise impartial judgement. They should not therefore have recent close involvement with the institution or with a candidate which might compromise objectivity.

The appointment process

- 32 All appointments of external examiners shall be approved by the Academic Board in accordance with arrangements which the Board shall make from time to time.
- 33 External examiner appointments will normally run from 1 October to 30 September. Where a faculty wishes to propose and an appointment which breaches this norm, it must make a case for an exception to be approved. Arrangements for the scrutiny of nominations for the appointment of new examiners should be in place in order to allow the new examiners to take up their appointments on or before the retirement of their predecessors. The term of office of external examiners should be such as to ensure that they remain available after the last assessments with which they are to be associated in order to deal with any subsequent reviews of decisions. The examiner's term of office will normally be four years, but may be longer where, for example, continuous assessment is involved from an early stage or, in the case of new programmes, where the first cohort will not complete within the term of the appointment. Appointments shall not exceed five years in total except in exceptional circumstances. Where a faculty wishes to propose and an appointment which breaches this norm, it must make a case for an exception to be approved.
- 34 In approving the appointment of external examiners the Academic Board will seek to ensure that they will be competent and impartial, and that the relevant external examining team as a whole maintains an appropriate balance and diversity in order to ensure that students are fairly assessed.

Reports

- 35 External examiners are required to report in writing annually to the University on the conduct of the assessments just concluded and on issues related to assessment. Reports shall be addressed to the Academic Secretariat after the relevant examining board and normally no later than 16 August in the relevant year. The Academic Secretariat will send copies of the reports to the designated member of the University's Directorate and to the relevant faculty for consideration.

Fees

- 36 The fee payable to an external examiner is determined in accordance with criteria approved by the University from time to time.
- 37 The fee is paid only on receipt of the annual report.

Termination of appointment

- 38 The appointment of an external examiner may be terminated by the University on the recommendation of the Chair of the Academic Board if, in the opinion of the Chair of Academic Board, and taking advice from the relevant dean as necessary, the external examiner has not fulfilled his or her duties in a manner consistent with the standards required by the University.

E7a REQUESTS FROM PROFESSIONAL, STATUTORY AND REGULATORY BODIES FOR VARIATIONS TO ASSESSMENT REGULATIONS

- 1 Professional, statutory and regulatory bodies may request variations to assessment regulations in respect of awards recognised or accredited by them only if the body's requirements cannot be met within the assessment regulations approved by the University.
- 2 The faculty with responsibility for the award shall attempt to ensure that the professional, statutory or regulatory body's requirements are met within the existing and approved assessment regulations for the award.
- 3 Requests shall be submitted in writing by the professional, statutory or regulatory body to the Academic Secretary and shall include the specific regulation or requirement of the body which cannot be met by the assessment regulations for the programme.
- 4 The Academic Secretary shall consult the relevant faculty, through the programme director (or award leader for non-modular programmes), about the request. These consultations shall take account of any discussions which have already taken place and steps taken by the faculty to meet the requirements of the professional, statutory or regulatory body without variation to the assessment regulations for the award.
- 5 The Academic Secretary shall be responsible for convening a group to consider and decide whether, and, where appropriate, how to vary the assessment regulations for the programme. The University reserves the right to refuse requests for variations to assessment regulations.
- 6 The Academic Secretary shall notify the professional, statutory or regulatory body and the faculty of any variations approved by the group and shall ensure that the variations are recorded in the assessment regulations for the programme and

notified to appropriate staff who shall be responsible for communicating these to students.

E9a DEALING WITH EXTENUATING CIRCUMSTANCES BY EXAMINING BOARDS

Modular programmes

- 1 When an award board makes a decision on a student's assessment it shall take account of any circumstances referred to it by the student concerned in accordance with the Academic Regulations. An award board shall only consider matters of illness, hardship, personal problems or other disability if requested to do so by personal application from the student in accordance with this procedure. Field boards are not permitted to consider extenuating circumstances relating to individual candidates.
- 2 When a field board makes a decision on the assessment of students in modules it shall take account of any circumstances relating to the delivery or assessment of a module adversely affecting the performance of a whole cohort or a particular sub-group of students on a component of assessment or the module as a whole. A field board may consider such matters when requested to do so by members of staff, students enrolled on the module in question or as a consequence of a report received from examination invigilators.

Non-modular (linear) programmes

- 3 When an examining board takes a decision on a student's assessment it shall take account of any circumstances referred to it by the student concerned in accordance with the Academic Regulations. An examining board shall only consider matters of illness, hardship, personal problems or other disability if requested to do so by personal application from the student in accordance with this procedure. The examining board shall also take account of any circumstances relating to the delivery or assessment of a module or unit of study adversely affecting the performance of a whole cohort or a particular sub-group of students on a component of assessment or the module or unit of study as a whole. An examining board may consider such matters when requested to do so by members of staff, students enrolled on the module or unit of study in question or as a consequence of a report received from examination invigilators.

All examining boards: submissions by personal application by a student

- 4 A student who is of the opinion that his or her performance in an examination or in other assessed work, or his or her ability to attend an examination, or to comply with a regulation governing the award or the assessment, has been adversely affected by illness, personal problems, disability or other circumstances may refer those circumstances to the examining board and request the examining board to exercise its discretion, as permitted by the assessment regulations in his or her favour.

- 5 The student shall explain the circumstances fully, in writing, and state in what way, and between what dates, they affected him or her. The statement shall be accompanied by any relevant documentary evidence.
- 6 Where illness or disability is the basis of the request, a medical certificate or certificate from a qualified practitioner, covering the period of the examination(s) or submission of the assessable work, must normally be produced. A certificate must also normally be produced if the illness or disability has lasted for more than seven days. If the illness or disability is of a long term nature there must also be evidence to show that the symptoms were exceptionally acute and were a material factor affecting performance at the relevant time.
- 7 The request to the examining board shall be submitted as soon as practicable and not later than five working days after the particular assessment concerned. Where more than one component of assessment is affected it shall be submitted not later than five working days after the last assessment affected. The request shall be submitted in a sealed envelope addressed to the faculty administrator of the faculty responsible for the award on which the student is registered, marked with the name of the award and the words 'extenuating circumstances'. The examining board shall have discretion to consider requests submitted later so long as they are received by the faculty administrator before the start of the relevant meeting of the examining board.
- 8 Requests for consideration of extenuating circumstances will not be carried forward between assessment opportunities unless the student specifically requests this. Requests for consideration of extenuating circumstances will not normally be considered retrospectively.
- 9 Requests shall be considered by a small panel (the 'Extenuating Circumstances Panel'), consisting of at least three members of staff, set up for that purpose by the faculty responsible for the award. The panel may, if appropriate, request and receive reports from tutors and interview students in order to allow it to clarify the extenuating circumstances. The panel shall make recommendations to the examining board on the action to be taken on the extenuating circumstances submitted. The examining board shall normally be presented with a written summary of the details of students' extenuating circumstances.
- 10 The examining board shall judge what effect, if any, the circumstances submitted have had on the student's performance. It may exercise such discretion as is allowed within University regulations and the assessment regulations for the award having taken account of any significant adverse effect on the student's performance. The discretion available to an examining board may be limited for certain awards where a professional, accrediting or statutory body has particular requirements.

All examining boards: submissions affecting a whole cohort

- 11 All submissions concerning the whole cohort or a particular sub group of students shall be considered by the field or examining board. Normally details should be submitted in writing to the faculty administrator of the faculty responsible for the

module or unit of study not less than five working days before the meeting of the field or examining board, but the board shall have discretion to consider submissions received verbally and/or within five working days.

E12a DEALING WITH ALLEGATIONS OF ASSESSMENT OFFENCES

Principle

- 1 In all matters relating to this procedure the University and its staff shall have regard to the principles of natural justice, the policies of the University and shall ensure that the interests of the student are reasonably and fairly taken into account.

Definitions

- 2 In this procedure 'assessment offence' means:
 - i cheating, collusion, plagiarism and other breaches of assessment or other examination regulations or procedures. Cheating, collusion and plagiarism are the use of unfair means of presenting work for assessment or of aiding another student to do so;
 - ii preventing or attempting to prevent another student from being able to be assessed properly.

Submission of allegation

- 3 A person who considers that a student has committed an assessment offence shall, as soon as possible, report the allegation in detail in writing to the dean of the faculty responsible for the award on which the student is registered, or responsible for the module or unit of study where the student is not registered for an award.
- 4 The dean shall seek to establish the nature and seriousness of the offence and in doing so he or she shall have regard to contribution of the assessment element or component to the assessment of the whole module or unit of study and whether the student has previously been found to have committed an assessment offence.
- 5 Using the form prescribed by the Academic Secretary, the dean shall notify the student of the nature and details of the allegation, the seriousness of the offence, and the procedure to be followed.
- 6 The student shall have five working days from the date of the notification to indicate to the dean whether he or she admits the offence, and in the case of admission, whether he or she wishes to exercise the right to appear in person before the dean.

Admission by student

- 7 The dean shall give any student who so wishes the opportunity to be heard before he or she decides what penalty, if any, to impose.
- 8 Where the dean finds that the offence is a first and lesser offence, and taking into account any written or oral statement by the student, he or she shall decide to:
 - i take no further action; or
 - ii reduce the mark awarded for the relevant element or component of assessment; or
 - iii reduce the mark awarded for the relevant element or component of assessment to zero.
- 9 The dean shall, within three working days, report the decision in writing to the student and issue an appropriate warning.
- 10 Within three working days of the date of the notification of the decision by the dean the student shall indicate in writing to the dean whether or not he or she accepts the decision. If he or she does not accept it, the dean shall report the offence and the penalty to the field board (or examining board for a non-modular programme), which shall confirm or amend the penalty in accordance with paragraph 21 below. No response from the student shall be deemed to be acceptance of the decision.
- 11 The dean shall report any penalties imposed to the appropriate field board (or examining board for a non-modular programme).
- 12 Where the dean finds that the offence is serious or is a second or subsequent offence committed by the student, he or she shall report the findings to the field board (or examining board for a non-modular programme), which shall decide on any penalty in accordance with paragraph 21 below.

Denial by student

- 13 Where the student does not admit the offence, the dean shall invite two members of staff not concerned with the allegation to join him or her in an investigating group. Where possible the membership of the group shall include a member of staff from the field of the module or unit of study about which the allegation is made. The purpose of the investigation is to consider the evidence, establish whether an offence occurred and, if so, its nature and effect, and to make a recommendation on any penalties to be imposed.
- 14 The student shall be invited to meet the investigating group and to submit a further written statement and to speak to the investigators. He or she may be accompanied by a friend who may speak on his or her behalf. The dean shall give such notice of the meeting as he or she considers reasonable.

- 15 The dean shall require the person(s) making the allegation to attend a meeting of the investigating group to explain the allegation. At the discretion of the dean, the identity of the person making the allegation may be withheld from the student.
- 16 The investigating group shall itself determine the procedure to be followed, the extent and manner of its inquiries, the admissibility of evidence, and the standard of proof to be required. Where appropriate, the investigating group shall seek the advice of the Academic Secretary.
- 17 Where the investigating group finds that an offence has occurred and that it is a first and lesser offence, the dean shall decide to:
- i take no further action; or
 - ii reduce the mark awarded for the relevant element or component of assessment; or
 - iii reduce the mark awarded for the relevant element or component of assessment to zero.
- 18 The dean shall, within three working days, report the decision in writing to the student and issue an appropriate warning. He or she shall report any penalties imposed to the appropriate field board (or examining board for a non-modular programme).
- 19 Within three working days of the date of the notification of the decision by the dean the student shall indicate in writing to the dean whether or not he or she accepts the decision. If he or she does not accept it, the dean shall report the offence and the penalty to the field board (or examining board for a non-modular programme), which shall confirm or amend the penalty in accordance with paragraph 21 below. No response shall be deemed to be acceptance.
- 20 Where the investigating group finds that a serious offence has occurred or that this is a second or subsequent offence, it shall make a report and recommendation to the appropriate field board (or examining board for a non-modular programme).

Decision of field board

- 21 A field board which receives a report and/or recommendation from a dean under paragraphs 10, 12, 19 or 20 or from an investigating group shall decide one of the following:
- i to take no further action; or
 - ii to reduce the mark for the relevant element or component of assessment; or
 - iii to reduce the mark awarded for the relevant element or component of assessment to zero; or

- iv to deem the student to have failed the module or unit of study and to determine whether to permit any further attempts.

Decision of award board (or of an examining board for a non-modular programme)

- 22 The dean shall report all penalties imposed by a field board to the chair of the relevant award board. He or she shall also report to the award board any instances where more than one offence has been committed by the same student and any penalties imposed.
- 23 Where an assessment offence is found to have occurred in relation to two or more modules or units of study which contribute to a student's award and taking into account any extenuating circumstances submitted by the student, the award board shall decide the action to be taken in relation to the recommendation for a particular award. It may decide one of the following:
 - i to take no further action;
 - ii to vary the class of award recommended.

Record

- 24 The dean shall keep a record of any allegations of assessment offences and penalties imposed on students, including those imposed by a field, award or examining board. He shall report each allegation and its outcome to the Academic Secretary.

Penalties

- 25 Penalties for assessment offences for students on awards validated or accredited by professional or statutory bodies may be constrained by the regulations of those bodies. This may include reporting the offence to the professional or statutory body.

Applications for review

- 26 A student's rights of challenge or appeal against a decision of the examining board taken in the light of an investigation of an alleged assessment offence or offences shall only be in accordance with Academic Regulation E13 and its associated procedure.

Disciplinary procedures

- 27 The Academic Secretary or the examining board, through the Academic Secretary, may decide that a report shall be made to the Clerk to the Board of Governors in order that the Vice-Chancellor may consider instituting disciplinary action in accordance with the Rules governing the disciplinary procedures for students.

E13a APPLICATIONS FOR REVIEW OF DECISIONS OF EXAMINING BOARDS

Procedure for applying for a review

- 1 Applications for reviews of decisions of examining boards may only be made in accordance with Academic Regulation E13.
- 2 The application shall:
 - i be made in writing by the student personally and signed by him or her;
 - ii be addressed to the Academic Secretary in an envelope marked ‘Application for Review’;
 - iii be received no later than ten working days after the formal date of publication of the results;
 - iv give the full name, date of birth and student number of the applicant, an address for reply, the programme and award, the decision of the examining board of which a review is requested;
 - v state clearly the grounds on which the application is based, identify the issue(s) about which remedy is sought and where appropriate identify the new decision sought;
 - vi enclose all relevant documentary evidence on which the application relies (for example, medical certificates).

Administrative procedure

- 3 The Academic Secretary shall determine whether the application meets the conditions set out in paragraph 2 above. The student shall be informed of the outcome.
- 4 If an application meets the conditions in paragraph 2, the Academic Secretary shall undertake such enquiries as necessary to establish the facts of the examining board’s decision and the evidence on which it was made in the light of the relevant regulations.
- 5 In the light of these enquiries the Academic Secretary shall:
 - i refer the matter back to the examining board and require the examining board to review its decision in the light of the application; or
 - ii refer the application to a review panel of the Academic Board; or
 - iii determine that there is no basis on which the application can proceed.
- 6 The student shall be informed in writing of the decision.

- 7 Where the matter is referred back to the examining board, the Academic Secretary may provide advice and/or make a recommendation on the application of the University's policies, regulations and procedures as appropriate to the case in hand.
- 8 Where the application is referred to a review panel of the Academic Board, the Academic Secretary shall arrange for:
- i the student to be reminded of the assistance which can be rendered by the Students' Union;
 - ii the facts of the examining board's decision and the relevant regulations to be given in writing to the review panel;
 - iii a copy of the application to be sent to the Chair of the examining board for review with an invitation to submit a statement in writing to the review panel;
 - iv a meeting of the review panel to take place.
- 9 The review panel shall be provided with:
- i the application for review and supporting documentary evidence;
 - ii all relevant regulations governing the award and /or programme and its assessment;
 - iii a statement of the decision of the examining board;
 - iv any statement submitted on behalf of the examining board;
 - v any other relevant material.
- 10 Wherever practicable before the date of the meeting, the student shall be provided with any statement submitted on behalf of the examining board. This shall normally be supplied not less than two working days before the meeting of the panel.

The review panel

- 11 The review panel members and chair shall be selected by the Academic Secretary in accordance with Academic Regulation E13.6. Periodically the Vice-Chancellor shall advise the Academic Secretary of criteria for his nomination of the chair. The staff members of the Academic Board shall be drawn annually by lot into a priority list from which the Academic Secretary shall select the other members in order of priority so far as practicable. The Academic Secretary or his or her nominee shall act as secretary.

Review panel procedure

- 12 The review panel shall determine its own procedure having regard to the need to be fair to the student and to staff and the examining board. The student shall be invited

to substantiate his or her grounds for review in person and may be accompanied by a person of his or her own choosing who may speak on his or her behalf. The chair of the examining board shall have the right to appear before the panel, to speak and to amplify any written statement. The panel may invite members of the examining board and/or other relevant persons to speak.

- 13 The review panel shall decide whether to:
 - i refer the matter back to the examining board and require the examining board to review its decision in the light of the application; or
 - ii reject the application.
- 14 If it decides to refer the matter back to the examining board the review panel may offer advice or a recommendation to the examining board.
- 15 The secretary shall inform the student and the chair of the examining board in writing of the panel's decision as soon as possible.

Examining board procedure

- 16 An examining board which is required to reconvene shall either be reconvened in full or it shall previously have authorised a committee to act on its behalf.
- 17 The secretary to the examining board shall inform the student and the Academic Secretary in writing of the board's decision as soon as possible. An application for a review of the decision of an examining board reconvened under Academic Regulation E13.7 and/or paragraph 6 or 14 of this procedure shall not be permitted.

Appeals

- 18 There shall be no appeal against the decision of the Academic Secretary taken under paragraph 6 of this procedure or against the decision of an Academic Board review panel.

Report

- 19 The Academic Secretary shall be responsible for ensuring that a report on applications for review of decisions of examining boards and their outcomes, and on any matters related to this procedure, be provided to the Academic Board annually in a manner which maintains confidentiality.

E13b APPLICATIONS FOR REVIEW FROM STUDENTS ON PROGRAMMES OF STUDY LEADING TO AWARDS OF THE UNIVERSITY CONDUCTED OUTSIDE THE UNIVERSITY

Students in affiliated institutions

General considerations

- 1 The arrangements approved by the University for each affiliated institution shall normally include procedures for the consideration by the affiliated institution of applications from students for the review of decisions of examining boards for programmes leading to awards of the University.
- 2 A student on a programme of study leading to an award of the university conducted in an affiliated institution may only make an appeal to the University concerning her or his assessment after he or she has completed all the procedures concerning reviews of decisions of examining boards and appeals approved by the University as applicable to the affiliated institution.

Grounds for appeal

- 3 The only ground on which a student may appeal to the University concerning her or his assessment is that the approved procedures were not followed by the affiliated institution in considering his or her application for a review of the decision of an examining board.

Procedure for appealing

- 4 To appeal, the student shall write to the Academic Secretary of the University marking the envelope 'Application for Review', and identifying her/himself, the affiliated institution, the programme (and award where appropriate) and year, the decision of the affiliated institution's review group, the facts on which the ground(s) for the appeal are based, and the remedy(ies) sought. The letter must be signed by the student and give the full name, date of birth and student number (where applicable). The letter must be received by the Academic Secretary not later than ten working days after the date of the letter conveying the final outcome of the affiliated institution's procedures for considering applications for review of decisions of examining boards.

Administrative procedure

- 5 The Academic Secretary shall undertake enquiries to determine whether the appeal meets the conditions set out in paragraphs 3 and 4 above. The student shall be notified in writing of the outcome.
- 6 If the appeal meets the conditions in paragraphs 3 and 4, the Academic Secretary shall:
 - i refer the appeal to a review panel of the Academic Board; or

- ii refer the appeal back to the affiliated institution, in which case he or she shall identify where the affiliated institution has not followed the approved procedures and shall specify the grounds on which the affiliated institution shall reconsider the original application for review from the student;
 - iii determine that there is no basis on which the appeal can proceed.
- 7 The student shall be informed in writing of the decision.
- 8 If the application for review is referred to a review panel of the Academic Board the application shall thereafter follow the procedure set out in paragraphs 8 to 15 of Academic Procedure E13a except that:
- i the chair of the affiliated institution's review group, not the examining board, shall have the right to appear before the panel, to speak and to amplify any written statement; and
 - ii the only decisions open to the review panel shall be:
 - a that the matter be referred back to the affiliated institution's review group for reconsideration in the light of grounds which the review panel shall specify; or
 - b that the appeal be rejected.
- 9 The Academic Secretary shall inform the student in writing of the decision of the Academic Board review panel as soon as possible.
- 10 There shall be no further appeal against the decision of the Academic Secretary or an Academic Board review panel.

Procedure for affiliated institution review group

- 11 If the affiliated institution is required to reconsider an application for review it shall do so using the approved procedures and shall (so far as is practical) involve the same officers. Any meeting of an affiliated institution's review group shall (so far as is practicable) comprise the same members and meet within seven working days of the date of the instruction to do so.
- 12 The reconvened review group of the affiliated institution shall have regard to the grounds specified by the Academic Secretary or a review panel of the Academic Board but shall determine its own procedure and shall be free to decide whether it requires to see the student again. In all other respects the group's procedure shall follow that determined for the earlier meeting and the general procedures approved by the University.

Report

- 13 The Academic Secretary shall be responsible for ensuring that a report on any appeals and their outcomes, and on any matters related to this procedure, be provided to the Academic Board annually in a form which maintains confidentiality.

F RESULTS AND GRANTING AWARDS

F2a RELEASING MARKS OR GRADES AND CONFIRMATION OF CREDIT

Definition

- 1 This procedure applies to assessment marks recorded in any form, whether or not they are held on equipment capable of automatic processing. For the purpose of this procedure assessments are defined as examinations, coursework, assignments, projects or such other tests of academic ability as required by the regulations for the programme.

Release of provisional marks

- 2 Where a meeting of the field board (or examining board for non-modular programmes) is due to take place within 30 working days of the completion of marking, provisional marks or grades shall not normally be issued.
- 3 The dean, or his or her nominee, shall issue each student individually with provisional numerical marks or grades (according to the assessment scheme for the module or unit of study) for all elements of assessment completed by him or her during the academic session. These marks or grades shall be given as soon as practicable after the work marking process has been completed and normally before the meeting of the field board (or examining board for non-modular programmes). The student should be warned, in a form prescribed by the Academic Secretary, that the marks are still subject to moderation by the examining board and may go up or down.

Release of final marks or grades

- 4 After each meeting of a field board (or examining board for non-modular programmes) and in the form prescribed for the purpose by the Academic Secretary, the dean or his or her nominee shall issue each student individually with a notification of marks or grades for each module or unit of study taken by the student in that academic session and considered by the meeting of the field board (examining board). The notification shall show the mark or grade achieved in each component of assessment for the module or unit of study and the credit achieved.
- 5 Where a meeting of an award board is due to take place within 15 working days of the meeting of the field board, the issue of the notification of marks and grades for modules to be taken into account for an award shall take place after the meeting of the award board.
- 6 Students who are enrolled on modules or units of study outside of an award registration shall receive notification of their marks or grades and credit for modules or units of study as soon as practicable following the meeting of the relevant field board.

- 7 Field boards are empowered to decide the marks or grades awarded for each element and component of assessment. Neither changes to provisional marks or grades, nor the relationship between marks or grades and final marks or grades nor the credit awarded shall, of themselves, be grounds for review of a decision of a field board.
- 8 Award boards and other examining boards are empowered to recommend particular awards at differential levels where appropriate having regard to the overall profile of assessment outcomes and other factors set out in the Academic Regulations and these Procedures. The relationship between overall assessment outcomes and credit awarded for individual modules or units of study shall not, of itself, be grounds for a review of a decision of an examining board.

Requests by students for access to marks

- 9 If a student wishes to have access to his or her provisional marks or grades before their normal release, he or she may submit a written request to the Academic Secretary specifying the marks or grades concerned. The Academic Secretary, or his or her nominee, shall supply the marks to the student, as far as possible in the format in which they will appear on the final notification of marks or grades. The authenticity of the request may be verified before any disclosure. The marks or grades shall be disclosed within forty days of receipt of the request (plus any days for verification of the request) and shall be the marks or grades held on the day of compliance with the request. If the request is received within forty days of the meeting of the examining board the student shall be informed of the University's practice regarding the release of marks or grades and the normal process of release of such data shall constitute the response to the request.
- 10 The University reserves the right to make a charge for complying with a request for disclosure of marks or grades before their normal release.

F4a WITHHOLDING AWARDS, REGISTRATION OR ENROLMENT FROM STUDENTS

Scope

- 1 This procedure deals with the withholding of awards, registration and enrolment from students who, when the examining board meets or examination of a programme or supervised postgraduate research student is due to take place, have outstanding obligations to the University or are the subject of an allegation of a breach of discipline. Students who are candidates for an award include students eligible for intermediate or generic awards.

Notice

- 2 Before the meeting of the relevant examining board(s) at which confirmation of eligibility for an award, a recommendation for an award, or consideration of

performance in modules or units of study is due to take place, an appropriate officer of the relevant faculty shall warn students who have outstanding obligations to the University or who are the subject of allegations of breaches of discipline that their award may be withheld and/or that they will not be permitted to re-register for the same or another award, nor enrol on other modules or units of study or other study.

Assessment and publication of results

- 3 A student with outstanding obligations to the University or who is the subject of an allegation of a breach of discipline shall be assessed in the normal way and the decision shall appear on the results list but with an indication that any award for which the student is eligible shall not be conferred until outstanding obligations have been discharged. The examining board shall not be informed of the existence of the outstanding obligation or allegation of breach of discipline.
- 4 Administrative procedures regarding notification of the student's achievement shall be undertaken in the normal way.

Subsequent registration and enrolment

- 5 If the outstanding obligation is not discharged, or the allegation of a breach of discipline has not been concluded before the next point of re-registration or enrolment the student will be not normally be permitted to re-register for the same or any other programme or award, or to enrol for any module or unit of study or other study. The University may permit re-registration or re-enrolment where the outstanding obligation is a debt at or below a sum to be determined from time to time by the Vice-Chancellor or his nominee.

Conferment of award

- 6 If the outstanding obligation, or allegation of a breach of discipline has not been cleared by the time of the meeting of the examining board (normally the award board) at which eligibility for or recommendation for conferment is due to be made, the board shall not be told of the outstanding obligation until after it has concluded its decisions on all candidates. The faculty administrator shall ensure that the secretary to the examining board:
 - i records the academic decision in the normal way;
 - ii after the examining board has made its decisions on all candidates, notifies the board that the award will be withheld;
 - iii records the student's name and results on the results list in the normal way but with an annotation to indicate that the award will not be conferred. This annotation shall be in a form prescribed from time to time by the Academic Secretary;
 - iv prepares a supplementary results list in the prescribed format showing the academic decision of the examining board but with no date of publication,

undertake the normal checking and approval procedure, and lodge the signed list with the Academic Secretary.

- 7 After the examining board the faculty administrator shall ensure that the student is notified in writing of the decision to withhold the award. The notification shall be in a form prescribed from time to time by the Academic Secretary.
- 8 When the obligation is discharged in full including clearance of cheque(s) the Head of Financial Services or other appropriate University officer shall inform the Academic Secretary immediately, whereupon the Academic Secretary shall ensure that:
 - i the supplementary results list is dated, countersigned and authorised for publication by the faculty;
 - ii arrangements are made for the grant of an award for which the student has qualified.

Students who are the subject of allegations of breaches of discipline

- 9 When a student becomes the subject of a formal allegation of a breach of discipline the secretary to the Student Discipline Committee shall notify the Academic Secretary so that procedures similar to those set out in paragraphs 3 to 9 above may be undertaken.
- 10 When the allegation has been determined and any consequential action disposed of the Academic Secretary shall arrange for the publication of the decision of the examining board. If the outcome of the allegation is that the student is dismissed from the University, the Vice-Chancellor may decide whether the award should be conferred or continue to be withheld for six years from the date of the examining board's decision, after which, if any obligation outstanding to the University has not been discharged, the examining board's decision shall thereupon be annulled.

G EXTERNAL PARTNERSHIPS AND COLLABORATION

G1a DESIGNATING AFFILIATED INSTITUTIONS

Process for designation

- 1 This procedure applies to relationships between the University and an institution (referred to as the external institution) where the latter is approved to deliver part or all of an award route leading to an award of the University.
- 2 A proposal by a faculty to enter into a relationship with an external institution will normally receive preliminary consideration at the annual planning meeting of the faculty concerned.
- 3 A formal application for designation as an affiliated institution must be made in writing by the Principal, or equivalent, of the external institution to the Academic Secretary. The application should indicate the academic areas and types of awards for which validation may need to be sought, and should confirm that the Board of Governors, or equivalent body, of the external institution has been apprised of the application.
- 4 Thereafter the Academic Secretary will be responsible for managing the process of considering the application for a formal academic relationship. The initial stage is normally an informal discussion between senior representatives of the University and of the external institution in which the procedure is explained, complementarity of institutional missions is explored and the areas of potential academic interest are discussed. This meeting may include representatives of the specific academic areas involved.
- 5 The Academic Quality and Audit Committee of the University shall be informed of the application and the Committee will be invited to approve it in principle, subject to approval by the Committee of the suitability of the external institution as the location for the delivery of the award(s) concerned.
- 6 The Academic Secretary shall arrange for any proposal involving an institution outside the United Kingdom to be referred to the International Agreements Executive Group.
- 7 The Academic Secretary shall co-ordinate enquiries to ascertain whether the external institution is able to meet the University's requirements and expectations for satisfactory delivery of the award(s) concerned.
- 8 Depending on the scale and nature of the academic relationship envisaged, these enquiries may include:
 - i processes and procedures for quality assurance and enhancement;

- ii monitoring and evaluation;
 - iii regulations and procedures governing student's relationship with the external institution;
 - iv computing, library and learning resources facilities;
 - v staffing;
 - vi any other aspect of particular relevance to the form of relationship proposed.
- 9 Following completion of the investigations, there shall be a meeting of appropriate senior staff of the University and the external institution (including staff from the academic areas concerned), known as the 'institutional meeting', which shall lead either:
- i to a formal recommendation to the Academic Quality and Audit Committee for the designation of the external institution as an affiliated institution; or
 - ii to recommendation(s) for further action, in which case further documentation and/or discussions will be required before the institutional assessment can become the basis of a recommendation to the Academic Quality and Audit Committee.
- 10 The Vice-Chancellor or nominee shall agree in principle any institutional and faculty arrangements with the external institution concerning levels of funding, student numbers, etc.
- 11 The Academic Secretary shall draft a formal agreement between the University and the affiliated institution, and shall co-ordinate the process culminating in the agreement being signed on behalf of the University by the Vice-Chancellor or nominee and on behalf of the external institution by the Principal, or equivalent.
- 12 The form of affiliation may vary according to the institution's experience and practice. The latter will be taken into account in determining whether and how the University should be involved in the validation and review of awards and how monitoring and evaluation will be conducted.
- 13 The Agreement will make clear, inter alia, the arrangements to apply for the monitoring and evaluation, review and modification of any award(s) covered by the agreement. The precise details of these will depend on the nature of the academic relationship and the extent of authority delegated to the external institution.
- 14 The Academic Secretary shall arrange for any validation of awards required by the relationship to be taken forward according to the University's requirements. Whilst award planning may take place concurrently with the institutional assessment, no award may be validated or conducted by an external institution to lead to an award of the University before the decision has been taken, arising from the institutional

meeting, to submit a recommendation to the Academic Board for designation of the external institution as an affiliated institution.

Implementation

- 15 The agreement shall normally be made for a period of five years (normally academic years). The agreement may provide for review of details of the agreement within the approval period, by mutual agreement, and for review of the whole agreement at the end of the approval period. The agreement shall provide for one year's notice of termination of the agreement subject to satisfactory provision being made for completion of programmes by existing students.

Review of agreement

- 16 Some months before the end of the period approved for the affiliation agreement the Academic Secretary will notify the Principal or equivalent of the affiliated institution of the arrangements for review of the agreement which will focus on an evaluation of the operation of the agreement and proposals for its continuation and revision, if appropriate.

G2a ESTABLISHING A RELATIONSHIP WITH EXTERNAL INSTITUTIONS FOR DELIVERY OF PROGRAMMES OF SUPERVISED POSTGRADUATE RESEARCH STUDY

Scope

- 1 This procedure applies to relationships between the University and (a) institutions of higher education with degree-awarding powers for taught programmes only; and (b) affiliated institutions of the University (collectively referred to as external institutions) where the external institution wishes its research students to be registered for awards of the University.

Application

- 2 An initial inquiry concerning a possible relationship shall be referred to the Academic Secretary who shall manage the process of considering the application for a formal academic relationship. The external institution, through an appropriate member of its senior management and with the concurrence of the Principal, shall indicate in writing that the institution formally seeks the approval of the relationship.
- 3 The external institution shall supply the University with:
 - i details of its procedures and processes for consideration of applications for registration for programmes of supervised postgraduate research study;
 - ii the terms of reference and composition of any relevant committee and the relationship of such committee to the Academic Board;

- iii the details of the managerial oversight of the process and staffing support for its administration;
 - iv the details of its procedure for consultation with students and for complaints by students about programmes of supervised postgraduate research study.
- 4 The documentation shall be considered by the Vice-Chancellor, or nominee and the Academic Secretary, who shall judge whether the documents show evidence that the external institution's processes satisfy the standards expected of the University's faculties in their management of supervised postgraduate research study.
 - 5 Questions or issues arising may be pursued with the external institution in writing, but may require a meeting with the representatives of the external institution. The group may advise the institution of revisions to its processes or structures which would be necessary in order to satisfy the University.
 - 6 Having satisfied itself that the external institution's processes and structures are satisfactory, the group shall recommend through Academic Quality and Audit Committee, Academic Board to recognise the external institution as an affiliated institution for the purposes of programmes of supervised postgraduate research study.
 - 7 The Academic Secretary shall draft the agreement, based on the model agreement, and shall co-ordinate the process culminating in the agreement being signed on behalf of the University by the Vice-Chancellor or nominee and on behalf of the external institution by the Principal.

8 **Representation on University committees**

If the external institution has a significant number of registrations agreed by the University, the University Research Committee may invite the Principal or nominee of the external institution to nominate a representative to serve on the relevant University Committee(s). The Research Committee shall decide whether the nominee satisfies any research criteria it adheres to in its consideration of University members such committees.

9 **Review of the agreement**

Some months before the end of the period approved for the agreement, the Academic Secretary will notify the Principal of the external institution of the arrangements for review of the agreement and proposals for its continuation and revision, if appropriate.

10 **Rescinding the agreement**

The agreement shall provide for one year's notice of termination of the agreement subject to satisfactory provision being made for the completion of programmes by existing students.

H SUPERVISED RESEARCH AND RESEARCH AWARDS

H1a SELECTION, ADMISSION AND REGISTRATION OF SUPERVISED RESEARCH STUDENTS

Selection and admission

- 1 Responsibility for selection and admission of students lies with the appropriate faculty in accordance with mechanisms approved for each faculty by Academic Board.
- 2 The selection process shall be clear and consistently applied, shall operate in accordance with the Academic Regulations and equal opportunities policies of the University and shall be subject to scrutiny by the appropriate authorities within the faculty.
- 3 The faculty shall ensure that suitably qualified, experienced and trained staff are responsible for selection of research students. Decisions on the admission of a student should involve the judgement of more than one member of staff, one of whom shall normally be the identified director of studies.
- 4 The faculty shall normally identify an approved supervisor to act as director of studies and shall give preliminary consideration to the viability of the research proposal in the context of the faculty's existing research interests and resources prior to interviewing the candidate(s).
- 5 Those responsible for the selection and admission of students must ensure that:
 - i the applicant meets any entry requirements set by the University in its Academic Regulations or elsewhere;
 - ii the requirements of Academic Regulation H1.4.3 regarding the suitability of the candidate, the assurance of English language proficiency and availability of resources have been satisfied;
 - iii any academic reference(s) required in support of the application have been obtained;
 - iv a suitable outline of the proposed research has been identified and is susceptible to further development.
- 6 The process of selection and admission shall also identify:
 - i the level of award for which the applicant will be registered;
 - ii the mode, period and place of study for which the applicant will be registered;

- iii the form of the proposed submission and methods of assessment;
 - iv the programme of related studies as necessary to ensure that the applicant will have the opportunity to acquire the skills needed to complete their proposed research effectively in accordance with Academic Regulation H1.6;
 - v the nature of arrangements with any collaborating establishment ensuring that these are clearly defined and agreed in principle in writing, and include details of the applicant's use of facilities, data or other resources including advice and supervision;
 - vi details of any adviser/s including qualifications, post held, place of work, research interest and previous supervisory experience;
 - vii that appropriate supervisory arrangements are put in place;
 - viii ethical issues which must be considered or for which approval must be obtained prior to the undertaking of the research.
- 7 An applicant holding qualifications other than those in Academic Regulations H1.1.2, H1.2.6 or H1.2.7 shall be considered on his/her merits and in relation to the nature and scope of the programme of work proposed. Professional experience, publications, written reports or other appropriate evidence of accomplishment may be taken into consideration. An applicant wishing to be considered in this way shall include in their application the names of two suitable persons, excluding the proposed director of studies, supervisors or advisors whom the faculty may consult concerning the applicant's academic attainment and suitability to undertake a research programme.
- 8 An applicant whose work forms part of a larger group project shall clearly state his/her individual contribution to the project and its relationship to the group project. Each individually registered project shall in itself be distinguishable for the purposes of assessment and shall be appropriate for the award being sought.
- 9 Where a project is part of a piece of funded research the faculty shall establish to its satisfaction that the terms on which the research is funded do not detract from the fulfilment of the objectives and requirements of the applicant's research degree.
- 10 The faculty may approve an application from a person proposing to complete their research programme wholly or substantially outside the UK provided that:
- i there is satisfactory evidence as to the facilities available for the research both in the University and abroad;
 - ii arrangements proposed for supervision enable frequent and substantial contact between the applicant and the supervisor/s based in the UK, e.g. by telephone and e-mail and adequate face-to face contact.

The formal offer letter

- 11 The offer of registration for a research award shall be approved by the appropriate faculty committee, the dean or his or her nominee, or individual/s as agreed in the approved procedures for each faculty. The formal offer of registration shall be issued by the dean or his/her nominee. The formal offer letter and accompanying documentation shall include inter alia:
- i confirmation of the mode, level and period and place of study for which the student will be registered and the start date;
 - ii the title and a brief outline of the proposed research study, including any programme of integrated study;
 - iii the requirement for and timing of the formal progression examination and of the consequences of failing to demonstrate satisfactory progress at this examination.
- 12 The student should also be made aware of his/her responsibility for his/her academic studies and candidacy for a research award.

Registration

- 13 The faculty shall be responsible for the registration of students to programmes of supervised research and shall ensure that procedures are in place to execute this responsibility in a timely and appropriate manner. Students are required to re-enrol at the start of each subsequent academic year.
- 14 The faculty shall ensure that accurate student information in the form of both paper and electronic records is held for each student and maintained throughout his/her period of registration at the University. Electronic records shall be kept using the University database software systems approved for the purpose.
- 15 The faculty shall notify the Academic Secretariat of each new registration and any changes to the student's registration.
- 16 As part of the process of enrolment the faculty shall issue the student with student registration and identity cards; appropriate University student information materials; any other documentation appropriate to University and/or faculty policy and procedures, and shall collect annual tuition fees and any other fees as appropriate.

Changes to registration

- 17 Applications for changes to periods of registration shall be considered by the appropriate faculty committee in accordance with Academic Regulation H1.8.

- 18 The faculty committee may exceptionally approve a shorter period of registration where an applicant has previously undertaken research as a registered candidate for a research degree, in which case the registration period may take account of all or part of the time already spent by the applicant on such research.
- 19 Applications for changes to the level of research award registration may only be considered in accordance with Academic Regulation H1.8.

Extension of registration

- 20 Extension of registration may not be given automatically. Any application to the appropriate faculty committee for an extension to the registration period shall provide:
- i reasons for the delay in completing the project;
 - ii the expected date of completion.

Suspension of registration

- 21 Registration may be suspended if the student experiences external circumstances, including certificated illness, which prevent him/her from working. Any application to the appropriate faculty committee for suspension of registration must be supported by appropriate evidence. The committee shall consider whether it is likely that the student will be able to complete the work after the period of suspension. The appropriate faculty committee shall notify the director of studies and the student of any period of suspension approved and of the revised timetable for the progression examination and final assessment.

Withdrawal of registration

- 22 The director of studies is responsible for initiating the procedure for notification to the appropriate faculty committee as soon as it becomes clear that the candidate is no longer actively working on the research programme and will not complete the work. Applications to the committee for withdrawal should be supported by appropriate explanation. As part of withdrawal procedures the faculty must ensure that the student is adequately informed of any intention to withdraw his/her registration.

Change to mode of study

- 23 Applications for change in the mode of study must be approved by the appropriate faculty committee.
- 24 The faculty must ensure that any changes to the student's registration are recorded on the student's file and electronic record accurately and notified to the Academic Secretariat on the appropriate form as soon as possible.

H1b SUPERVISION AND CONDUCT OF SUPERVISED RESEARCH PROGRAMMES

Supervisory team

- 1 Following registration of the student, an appropriate individual approved by the appropriate faculty committee for the purpose (normally the director of studies) shall propose a suitable supervisory team in accordance with Academic Regulation H1.9 for consideration and approval by the committee. Supervisors should possess recognised subject expertise and have the necessary skills, experience and time to monitor, support and direct the research student's work. A supervisor or director of studies may not him or herself be a candidate for a research award except as provided for in H1.9.2.
- 2 Faculties shall ensure that individual supervisors are not overloaded and that adequate support and advice is available to the supervisors where serious concerns of student ability or application to the study programme are identified.
- 3 A supervisory team shall embrace the following three elements:
 - i knowledge of the research area;
 - ii familiarity with the relevant University's regulations and procedures;
 - iii previous experience of successful research degree supervision at an appropriate level.
- 4 The student shall be informed in writing of the supervisory team to which he/she has been allocated as soon as possible after the start of the registration.

Subsequent changes to the supervisory team

- 5 Applications to change the composition of the supervisory team subsequently must be approved by the appropriate faculty committee following consultation between the team and the student. A change in supervision arrangements may be occasioned by such circumstances as:
 - i a supervisor being unable or unwilling to continue with his/her appointment or becoming a candidate for a research award;
 - ii a major change in the development of the project such as to require additional or alternative supervision;
 - iii where the dean decides that a such a change is in the interests of the student.

Conduct of the programme

- 6 There shall be regular contact, including adequate face-to-face contact, between the student and the supervisory team.
- 7 The director of studies and other supervisors should work closely with the student in the initial period of registration to provide guidance on the development of a detailed, well defined research project and associated programme of work and reading.
- 8 The director of studies is responsible for monitoring the student's performance to ensure that progress on the project is adequate, timely and in accordance with any requirements set by the University. The student shall be provided with regular feedback on his or her performance.
- 9 The faculty must ensure that there are clear and identified routes for the research student and supervisor/s to seek independent advice should communication links within the relationship break down.

Changes in the programme of research

- 10 For the purposes of initial registration, the overall aim and structure of the programme of research should be defined. It is expected that the programme will develop and evolve in detail whilst remaining within the scope of the initial definition. Any more fundamental change to either the overall aim or methodology of the programme shall require the prior approval of the appropriate faculty committee.
- 11 Circumstances where a change or extension of the topic is desirable include:
 - i a change in the candidate's employment which impacts upon the registration;
 - ii the project fails to develop satisfactorily;
 - iii the collaborating establishment discontinues its support or interest.

H1c MONITORING OF SUPERVISED RESEARCH PROGRAMMES

Faculty monitoring of progress

- 1 The student shall be required to enrol with the University at the start of each academic year. At least once a year the appropriate faculty committee shall establish whether the candidate is actively engaged on the research programme and is maintaining regular and frequent contact with the supervisors.

- 2 The faculty shall publish procedures for each member of the supervisory team and the student to report progress to the appropriate faculty committee annually. The procedures shall provide for the annual report to be in an approved written format and for it to be considered by the appropriate faculty committee. Guidance on the content and completion of progress reports shall be provided by the faculty.
- 3 Re-enrolment for any year for the Postgraduate Research Diploma shall be subject to satisfactory completion of the previous year's work. Before signing the form to permit re-enrolment, the director of studies will need to be satisfied that the candidate is likely to benefit from a further year's study, and ultimately to complete the programme satisfactorily. Where there is any doubt, there shall be a full discussion between the student, the supervisors and the dean. If doubts remain, the director of studies and dean may recommend to the appropriate faculty committee that the student be required to withdraw.
- 4 As a result of consideration of progress reports, the appropriate faculty committee shall take any appropriate action which may include the withdrawal of the candidate's registration. Where progress is not satisfactory, the committee shall ensure that appropriate remedial measures are put in hand which will ensure satisfactory progress in the future before authorising continuation of registration. Where reports received from both the supervisors and student are satisfactory, the committee shall authorise continuation of the student's registration for the next academic session.
- 5 Failure of the student to submit progress reports without good reasons, which are acceptable to the appropriate faculty committee, may constitute grounds for withdrawal of the student's registration.

Monitoring of supervision arrangements

- 6 The faculty shall establish processes for the evaluation and monitoring of supervision arrangements in order to satisfy itself that the student is being provided with supervision adequate to enable him/her to succeed in his/her studies. Failure by a supervisor to submit a report without good grounds may result in the appropriate faculty committee considering alternative supervisory arrangements.
- 7 The faculty shall establish processes to enable the appropriate faculty committee or the faculty executive to withdraw approval of a director of study or supervisor should his/her performance fall below the required standard.

University monitoring of faculty research arrangements

- 8 The appropriate faculty committee shall be required to report annually to the Sub-Committee for Supervised Postgraduate Research Study to a timescale to be determined by that committee. The report shall set out the manner in which the faculty committee has discharged its responsibilities for the management of research degrees, and its views on the way in which the executive responsibilities and responsibilities of supervisors have been carried out.

H1d RESEARCH DIPLOMA

Selection, admission and registration

- 1 Academic Procedure H1a shall apply to the selection, admission and registration of students for the research diploma.

Supervision and conduct of the programme

- 2 Academic Procedure H1b shall apply to the conduct of the programme for a Research Diploma save that:
 - i supervision by a single member of staff may be permitted (H1b paragraph 1);
 - ii the supervisory team must have previous experience of successful research supervision at Research Diploma level or above (H1b paragraph 3iii).

Monitoring of research diploma programmes

- 3 Academic Procedure H1c shall apply to the monitoring of the Research Diploma.

Progression

- 4 Re-enrolment for any year for the Research Diploma shall be subject to satisfactory completion of the previous year's work. Before signing the form to permit re-enrolment, the director of studies will need to be satisfied that the candidate is likely to benefit from a further year of study, and ultimately to complete the programme satisfactorily. Where there is any doubt, there shall be a full discussion between the student, the supervisor(s) and the dean. If doubts remain, the director of studies and dean may recommend to the appropriate faculty committee that the student be required to withdraw.

The dissertation title

- 5 If the candidate proposes a change to the approved title of the dissertation, he or she shall submit the final title of the dissertation to the faculty for approval by the faculty committee with responsibility for supervised postgraduate research study (hereinafter referred to as the committee) at the same time as the examination arrangements are proposed. Changes to the title thereafter are only permitted if required by the examiners.

Statement of objectives

- 6 The dissertation shall include a statement of the candidate's objectives and shall acknowledge published or other sources of material consulted (including an appropriate bibliography) and any assistance received.

Collaboration

- 7 Where a candidate's research programme is part of a collaborative group project, the dissertation shall indicate clearly the candidate's individual contribution and the extent of the collaboration.

Publication

- 8 The candidate shall be free to publish material in advance of the dissertation but reference shall be made in the dissertation to any such work. Copies of published material should either be bound in with the dissertation or placed in an adequately secured pocket at the end of the dissertation.

Confidentiality

- 9 Confidentiality of dissertations is governed by Academic Regulations H1.7.3 to H1.7.5 Where it is necessary to apply for confidentiality of the dissertation after registration the application should be made to the Academic Secretary for approval by the appropriate committee.
- 10 Where the Committee has agreed that the confidential nature of the candidate's work is such as to preclude the dissertation being made freely available in the library of the University (and collaborating establishment, if any) the dissertation shall, immediately on completion of the programme of work, be retained by the University on restricted access and, for a time not exceeding the approved period (Academic Regulation H1.7.5), shall only be made available to those who were directly involved in the research.
- 11 The Committee shall normally only approve an application for confidentiality in order to enable a patent application to be lodged or to protect commercially or politically sensitive material. A dissertation shall not be restricted in this way in order to protect research leads. While the normal maximum period of confidentiality is two years, in exceptional circumstances the Committee may approve a longer period. Where a shorter period would be adequate the Committee shall not automatically grant confidentiality for two years.

The dissertation

- 12 The text of a dissertation for a research diploma shall normally be between 12,000 and 20,000 words.
- 13 The language of the dissertation shall normally be English. Permission to present the dissertation in another language shall normally be sought at the time of

application for registration and shall normally only be given if the subject matter of the dissertation involves substantial language and related studies and if appropriate supervision and examination arrangements are available. Applications for the dissertation to be in another language must be submitted to the Academic Secretary for consideration by the Sub-Committee for Supervised Postgraduate Research Study. Where the language of the dissertation is not English, an abstract of the work in English must be submitted with the dissertation.

Format for submission of the dissertation

- 14 The following requirements shall be adhered to in the format of a submitted dissertation:
- i it shall normally be in A4 format, in permanent and legible form, using either typescript or print. Where copies are produced by photocopying processes, these shall be of a permanent nature; where word processor and printing devices are used, the printer shall be capable of producing text of a satisfactory quality; the size of character used in the main text, including displayed matter and notes, shall not be less than 2.0mm for capitals and 1.5mm for x-height (that is, the height of lower-case x);
 - ii it shall be printed on the right hand (recto) side of the page. The paper shall be white and within the range 70 g/m² to 100 g/m²;
 - iii the margin at the binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm;
 - iv double or one-and-a-half spacing shall be used in the typescript except for indented quotations or footnotes where single spacing may be used;
 - v pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages. Page numbers shall not be printed in the margin;
 - vi the title page shall give the following information:
 - a the full title of the dissertation;
 - b the full name of the author;
 - c that the diploma is awarded by the University;
 - d the award for which the dissertation is submitted in partial fulfilment of its requirements;
 - e the faculty in which the student was based;
 - f the name of the affiliated institution, where relevant;

- g the collaborating establishment(s), if any;
 - h the month and year of submission which shall be updated on each occasion on which the dissertation is submitted.
- 15 The final version of a dissertation shall be bound with black tape binding, using the University's standard cover, or a black leather binding if preferred.
- 16 Parts of the dissertation, and very exceptionally all of it, may be presented in other formats (such as CD-ROM) or using paper sizes other than A4, where it can be demonstrated that the contents can be better expressed in that form and are capable of being assessed. An application to submit a dissertation in another format must be made to the Academic Secretary on the designated form for consideration by the Committee and must have the support of the director of studies.

[Specimen dissertation title page]

THE ORIGINS OF UNDERWATER
BASKET WEAVING IN WESSEX

JOHN ALBERT SMITH

A dissertation submitted in partial fulfilment of the
requirements of the University of the West of England, Bristol
for the Research Diploma

This research programme was carried out
in collaboration with the Marine Basket Weavers' Association

Faculty of Maritime Studies, University of the West of England, Bristol

March 2004

Submission

- 17 The candidate shall provide a draft of the dissertation to the supervisor(s) prior to submission and shall receive their comments on it. The final decision on the content of the dissertation and when to submit it rests with the candidate.
- 18 The dissertation shall be submitted to the faculty administrator of the faculty concerned within the period of registration, with the designated form confirming that it has not been submitted for a comparable award. The candidate shall not be precluded from incorporating in the dissertation, covering a wider field, work which has already been submitted for another diploma or comparable award, provided that it is indicated on the form and also in the dissertation, which work has been so incorporated. Sufficient copies of the dissertation shall be submitted to enable each examiner to receive a separate copy.
- 19 Sufficient copies of the final dissertation, incorporating any amendments required by the examiners, shall be submitted in order that copies may be supplied to the University Library, the library of any collaborating establishment and of any relevant affiliated institution. The dissertation shall include the following copyright text:

‘This copy has been supplied on the understanding that it is copyright material and that no quotation from the dissertation may be published without proper acknowledgement’

and shall be accompanied by the designated form confirming that the contents are identical with the version submitted for examination purposes except where amendments have been made to meet the requirements or at the suggestion of the examiners.

Assessment

- 20 Assessment arrangements for a research diploma will normally involve presentation of a dissertation and viva voce examination.
- 21 Candidates must have successfully completed any required related studies and achieved the required number and level of credits before the examination of the dissertation.
- 22 Towards the end of the period of study the Director of Studies shall propose the names of two internal examiners to the faculty administrator for consideration by the faculty committee responsible for supervised research study in the faculty. The faculty committee shall appoint the internal examiners for the dissertation and shall decide which field external examiner shall ratify the recommendations of the internal examiners.
- 23 The faculty administrator shall notify the Academic Secretary of the internal examiners and the date of the viva voce examination before the examination takes place.

- 24 After the viva voce examination the internal examiners shall submit a report and recommended outcome to the faculty administrator who shall obtain the ratification of the external examiner. The examiners may recommend either:
- i that the candidate be awarded the diploma; or
 - ii that the candidate be awarded the diploma subject to minor amendments being made to the dissertation (in which case the examiners shall indicate to the candidate in writing the amendments and corrections which are required); or
 - iii that the candidate be permitted to re-submit for the diploma and be re-examined, with or without a viva voce examination;
 - iv that the candidate be not awarded the diploma and be not permitted to be re-examined.
- 25 Where the examiners recommend the award of a diploma subject to minor amendments to the dissertation they shall submit a report on the designated form detailing the amendments required, the deadline for submission of the amended dissertation and nominating one or more of their number to give final approval to the dissertation. No recommendation for an award shall be made to the University until the amendments have been made to the satisfaction of the nominated examiner(s).
- 26 A candidate required to make minor modifications to the dissertation shall be permitted three months from the date of the notification if he or she is a part time student and six months if a full time student (paragraph 28ii above). A candidate required to resubmit the dissertation and be re-examined shall be permitted up to one calendar year from the date of the notification to re-submit the dissertation (paragraph 28iii above). The candidate shall be responsible for deciding the manner in which to improve the dissertation.
- 27 The faculty administrator shall notify the candidate and Academic Secretary of the outcome of the examination in a form determined by the Academic Secretary. This shall include evidence that the candidate has achieved the appropriate number and level of credits, the report and recommendations of the internal examiners, the ratification by the external examiner.

Re-examination

- 28 A candidate who re-submits a dissertation for re-examination shall be required to pay the appropriate fee.
- 29 Re-examination is permitted once only.
- 30 The examiners for a re-examination may decide:
- i that the candidate be awarded the diploma; or

- ii that the candidate be awarded the diploma subject to minor amendments being made to the dissertation (in which case the examiners shall indicate to the candidate in writing the amendments and corrections which are required); or
 - iii that the candidate be not awarded the diploma.
- 31 In all other respects the re-examination shall be conducted as the first examination.

Grant of Award

- 32 The faculty administrator shall inform the Academic Secretary in the prescribed format, of the outcome of the assessment for all the formally taught and assessed elements of the award before a results list can be issued. No award may be granted unless and until the candidate has completed all the formally assessed and taught elements for the award and has achieved the credits required.
- 33 On receipt of a recommendation from the examiners for the award of a diploma and evidence of the candidate's achievement of the necessary taught elements and credits the Academic Secretary shall produce a results list confirming the recommendations of the examiners dated with the date of the recommendation of the examiners. The results list shall be signed by the Chair of the Sub-Committee for Supervised Postgraduate Research Study. This will be passed to the appropriate officer of the University for the production of the certificate.

Appeals

- 34 Academic Procedure H1g shall apply to appeals against the decisions of the examiners of Research Diplomas.

H1e THE THESIS FOR PROGRAMMES OF SUPERVISED RESEARCH

Changes to title

- 1 If the candidate proposes a change to the approved title of the thesis, he or she shall submit the final title of the thesis to the Academic Secretary for approval by the Sub-Committee for Supervised Postgraduate Research Study (hereinafter referred to as the Committee) at the same time as the examination arrangements are proposed. Changes to the title thereafter are only permitted if required by the examiners.

Abstract

- 2 There shall be an abstract of approximately 300 words bound into the thesis which shall provide a synopsis of the thesis stating the nature and scope of the work undertaken and of the contribution made to the knowledge of the subject treated. One loose copy of the abstract shall be submitted with the thesis. The loose copy of the abstract shall have the name of the author, the degree for which the thesis is

submitted, and the title of the thesis as a heading. Where the language of the thesis is not English, the abstract shall be in English.

Statement of objectives

- 3 The thesis shall include a statement of the candidate's objectives and shall acknowledge published or other sources of material consulted (including an appropriate bibliography) and any assistance received.

Collaboration

- 4 Where a candidate's research programme is part of a collaborative group project, the thesis shall indicate clearly the candidate's individual contribution and the extent of the collaboration.

Publication

- 5 The candidate shall be free to publish material in advance of the thesis but reference shall be made in the thesis to any such work. Copies of published material should either be bound in with the thesis or placed in an adequately secured pocket at the end of the thesis.

Length

- 6 The text of the thesis should normally not exceed the following word length (excluding ancillary data):

- i for science, engineering, creative practice/performing arts, art and design subject areas:

PhD	40,000
Taught ('New Route') PhD	35,000
Professional Doctorate	35,000
Professional Practice Doctorate	35,000
MPhil	20,000;

- ii for business and management, humanities, social sciences and education subject areas:

PhD	80,000
Taught ('New Route') PhD	60,000
Professional Doctorate	60,000
Professional Practice Doctorate	60,000
MPhil	40,000.

- 7 Where the thesis is accompanied by material in other than written form or the research involves creative writing or the preparation of a scholarly edition, the written thesis should normally be within the range:

- i for a PhD or other doctorate 30,000 - 40,000 words

- ii for an MPhil 15,000 - 20,000 words.

Format for submission

- 8 The following requirements shall be adhered to in the format of a submitted thesis:
- i it shall normally be in A4 format, in permanent and legible form, using either typescript or print. Where copies are produced by photocopying processes, these shall be of a permanent nature; where word processor and printing devices are used, the printer shall be capable of producing text of a satisfactory quality; the size of character used in the main text, including displayed matter and notes, shall not be less than 2.0mm for capitals and 1.5mm for x-height (that is, the height of lower-case x);
 - ii it shall be printed on the right hand (recto) side of the page. The paper shall be white and within the range 70 g/m² to 100 g/m²;
 - iii the margin at the binding edge of the page shall not be less than 40mm; other margins shall not be less than 15mm;
 - iv double or one-and-a-half spacing shall be used in the typescript except for indented quotations or footnotes where single spacing may be used;
 - v pages shall be numbered consecutively through the main text including photographs and/or diagrams included as whole pages. Page numbers shall not be printed in the margin;
 - vi the title page shall give the following information:
 - a the full title of the thesis;
 - b the full name of the author;
 - c that the degree is awarded by the University;
 - d the award for which the thesis is submitted in partial fulfilment of its requirements;
 - e the faculty in which the student was based;
 - f the name of the affiliated institution, where relevant;
 - g the collaborating establishment(s), if any;
 - h the month and year of submission which shall be updated on each occasion on which the thesis is submitted.
- 9 A thesis submitted for examination purposes shall be in a temporarily bound form which is sufficiently secure to ensure that pages cannot be added or removed (such as

'perfect binding' or spiral binding). A thesis submitted in temporary binding shall be in its final form in all respects except the binding. Copies of CD-ROMs or other materials must be secured in a pocket within the thesis.

- 10 A thesis shall be presented in a permanent binding of the approved type before the degree may be granted. The candidate shall confirm that the contents of the permanently bound thesis are identical with the version submitted for examination except where amendments have been made to meet the requirements, or at the suggestion of the examiners.
- 11 The approved binding for a final version of a thesis shall be:
 - i of a fixed type so that leaves cannot be removed or replaced;
 - ii the front and rear boards shall have sufficient rigidity to support the weight of the work when standing upright;
 - iii the outside front board shall bear the title of the work, the name and initials of the candidate, the qualification, and the year of submission, all in at least 24pt type;
 - iv the spine of the binding shall bear the name and initials of the candidate, the qualification, and the year of submission, all in at least 24pt type, reading downwards;
 - v the binding of a thesis shall be black for MPhil and pantone 485 red for a PhD.
- 12 Parts of the thesis, and very exceptionally all of it, may be presented in other formats (such as CD-ROM) or using paper sizes other than A4, where it can be demonstrated that the contents can be better expressed in that form and are capable of being assessed. An application to submit a thesis in another format must be made to the Academic Secretary on the designated form for consideration by the Committee and must have the support of the director of studies.

[Specimen thesis title page]

THE ORIGINS OF UNDERWATER
BASKET WEAVING IN WESSEX

JOHN ALBERT SMITH

A thesis submitted in partial fulfilment of the
requirements of the University of the West of England, Bristol
for the degree of Master of Philosophy

This research programme was carried out
in collaboration with the Marine Basket Weavers' Association

Faculty of Maritime Studies, University of the West of England, Bristol

March 2004

Confidentiality

- 13 Confidentiality of theses is governed by Academic Regulations H1.7.3 to H1.7. Where it is necessary to apply for confidentiality of the thesis after registration the application should be made to the Academic Secretary for approval by the appropriate committee.
- 14 Where the Committee has agreed that the confidential nature of the candidate's work is such as to preclude the thesis being made freely available in the library of the University (and collaborating establishment, if any) and, in the case of a PhD, the British Library, the thesis shall, immediately on completion of the programme of work, be retained by the University on restricted access and, for a time not exceeding the approved period (Academic Regulation H1.7.5), shall only be made available to those who were directly involved in the research.
- 15 The Committee shall normally only approve an application for confidentiality in order to enable a patent application to be lodged or to protect commercially or politically sensitive material. A thesis shall not be restricted in this way in order to protect research leads. While the normal maximum period of confidentiality is two years, in exceptional circumstances the Committee may approve a longer period. Where a shorter period would be adequate the Committee shall not automatically grant confidentiality for two years.

Submission

- 16 The candidate shall provide a draft of the thesis to the supervisor(s) prior to submission and shall receive their comments on it. The final decision on the content of the thesis and when to submit it rests with the candidate.
- 17 The thesis shall be submitted to the Academic Secretary within the period of registration, with the designated form confirming that it has not been submitted for a comparable award. The candidate shall not be precluded from incorporating in the thesis, covering a wider field, work which has already been submitted for a degree or comparable award, provided that it is indicated on the form and also in the thesis, which work has been so incorporated. Sufficient copies of the thesis shall be submitted to enable each examiner to receive a separate copy.
- 18 Sufficient copies of the final thesis, incorporating any amendments required by the examiners, shall be submitted in order that copies may be supplied to the University Library, the library of any collaborating establishment and of any relevant affiliated institution. The thesis shall include the following copyright text:

‘This copy has been supplied on the understanding that it is copyright material and that no quotation from the thesis may be published without proper acknowledgement’

and shall be accompanied by the designated form confirming that the contents are identical with the version submitted for examination purposes except where amendments have been made to meet the requirements or at the suggestion of the

examiners. In the case of a PhD, the final thesis shall also be accompanied by the British Library doctoral thesis agreement form duly completed.

H1f ASSESSMENT AND EXAMINING OF SUPERVISED RESEARCH PROGRAMMES

Progression examination: MPhil and PhD

- 1 The formal progression examination shall be held no later than the end of the first twelve months of a registration period for a PhD or no later than nine months in the case of an MPhil registration. In the case of part-time students, the period will be increased pro rata, but must be defined at the start of the registration period, and may not subsequently be altered. The faculty shall make appropriate arrangements for the administration of the progression examination.
- 2 The time of the progression examination may only be delayed if the student has a period during which, for external reasons (such as a medical condition), it is not possible for him/her to work on the research project. The appropriate faculty committee shall consider all requests for a delay in the progression examination. Under such circumstances the registration should be suspended, and the time of such suspension shall not be counted towards the period before the formal progression examination is undertaken.
- 3 Faculties shall ensure that all research students are made aware, before embarking on registration for a research degree award, of the requirement for a formal progression examination at the end of the relevant period and of the consequences of failing to demonstrate satisfactory progress at this examination.
- 4 The progression examination shall have two components - the progression report written by the student, and the viva voce examination.
- 5 The progression report shall be in two parts and shall make it clear to the satisfaction of the examiners that the work has scope for a sufficient contribution to knowledge to justify consideration for the relevant degree and shall include the following:
 - i the provisional title of the thesis;
 - ii a concisely worded statement of the aim of the research;
 - iii reference to work already completed and planned future work, and how this fulfils the aim of the research;
 - iv where the proposed research forms part of a group project, a statement identifying the separate and distinctive nature of the candidate's research.

- 6 Part 1 of the progression report shall normally be between 3,000 and 6,000 words and shall not exceed 6,000 words without the prior permission of the appropriate faculty committee. It shall include:
 - i the background to the research proposal;
 - ii a critical summary of relevant related research work;
 - iii the methods being used;
 - iv timescales for the remaining stages of the work including the proposed submission of the thesis.

- 7 Part 2 of the progression report shall consist of work which may have been written by the candidate for other purposes and which he or she wishes to present to the progression examiners. There shall be no word limit for items submitted as part 2 of the progression report. Candidates might wish to include in part 2 a full critical review of relevant related research work where this has been prepared for inclusion in the final thesis; bibliographic references and copies of any public output. However there shall be no requirement to produce these items specifically for the progression report.

- 8 Where the candidate wishes to request permission to:
 - i present the thesis accompanied by material in other than written form and/or;
 - ii present the thesis in a language other than English and/or;
 - iii retain the thesis on restricted access for a period of time;and has not previously done so, the request shall accompany the report and shall be submitted following the progression examination to the appropriate faculty committee with the recommendation of the examiners. The faculty committee shall submit such requests for approval by the Sub-Committee for Supervised Postgraduate Research Study (hereinafter referred to as the Committee).

- 9 The candidate shall submit the report to the designated faculty officer, who shall arrange for its distribution to the other examiners. All examiners shall submit a written preliminary report to the Chair of the appropriate faculty committee.

- 10 If the examiners are satisfied with the progression report, the viva voce examination may proceed.

- 11 If one or more examiners are not satisfied that any useful purpose will be served by holding the viva voce examination, the dean or his/her nominee shall make the decision as to whether the progression examination shall go ahead as planned or whether to give the candidate a specified period of time, not normally more than 2

months pro-rata, in which to re-submit a revised progression report before the viva voce examination.

- 12 The purpose of the progression examination is to ensure that project has the potential for allowing the candidate to achieve the research degree for which he or she is registered and that the student, supported by the supervisory team, has:
 - i defined the objectives and scope of the research project adequately;
 - ii been actively engaged in working on the research project and has made progress commensurate with the time spent;
 - iii made an appropriate survey of the relevant research literature and demonstrated an ability to make a critical evaluation of published work;
 - iv acquired an appropriate knowledge of research methods applicable to the area of research, and can explain and justify his or her choice of research methods;
 - v developed an adequately detailed plan of work to enable the research degree to be completed within the expected time period.
- 13 The progression examination shall be conducted by the director of studies and at least one other independent examiner, who shall be a member of academic staff not associated with the research project or the supervisory team. With the consent of the candidate, other members of the supervisory team may be present at the examination but shall not participate in the discussion unless invited to do so by the examiners.
- 14 The independent examiner shall be nominated by the Director of Studies and appointed by the appropriate faculty committee. The independent examiner shall be responsible for assessing the extent to which the candidate has made an appropriate start on the research project. He or she shall be an experienced researcher with a general understanding of the field of the candidate's research project but need not necessarily be a leading subject expert in that field. It is not required that the independent examiner will be a member of the faculty in which the candidate is studying, but this will normally be the case.
- 15 If, after the viva voce examination both examiners are satisfied as to the candidate's progress and achievement to date and plans for the continuation of the project, the student may be permitted to progress. The director of studies shall notify the appropriate faculty committee of the outcome. Notification of progression shall be made to the student in writing by the appropriate faculty officer.
- 16 If the examiners are agreed that the student should not proceed, they shall prepare a written report to be submitted to the dean, who will decide whether to confirm the decision or to require a second viva voce examination.

- 17 When the examiners are unable to agree on a recommendation a second viva voce examination will be held.
- 18 Where a second viva voce examination is held it shall be conducted by a third examiner nominated by the dean and appointed by the appropriate faculty committee. That examiner shall not be informed of the recommendations of the other examiners. On receipt of the recommendation of the third examiner the dean shall decide whether to permit the progress of the candidate.
- 19 The candidate shall have the right to apply for a review of progression decisions in accordance with Academic Procedure H1g.
- 20 The provisions of paragraphs 1 to 19 above shall apply to thesis stage of the professional practice doctorate the professional doctorate and the taught ('new route') PhD. However the timescale may be adjusted according to the nature and structure of the programme. Faculties shall ensure that all research students are made aware when they register for the awards of the time scale for the progression examination.

Final examination of the thesis

- 21 The examination for the MPhil, PhD, and for the thesis for the professional, professional practice and taught ('new route') doctorate shall have two stages. Firstly the candidate's submission of the thesis and the examiners' independent preliminary assessment of it; and secondly the defence of the thesis by the candidate by viva voce or approved alternative examination.
- 22 The candidate shall satisfy any condition of eligibility for the examination required by the appropriate committee.
- 23 The examination may not take place nor may the thesis be dispatched to the examiners until the examiners and the final title of the thesis have been approved by the Committee.
- 24 The candidate shall be informed by the relevant faculty of the procedure to be followed for submission of the thesis (including the number of copies to be submitted for examination). The candidate shall be warned that no award can be made until all formally assessed work has been completed and the necessary credits achieved.
- 25 The candidate shall take no part in the arrangement of the examination and shall have no contact in connection with the examination or his or her research or thesis with proposed or appointed internal and external examiners until the viva voce examination.

Final examination: appointment and responsibilities of examiners

- 26 In the final year of study and taking account of Academic Regulation H1.13, the director of studies shall consider possible external examiners.

- 27 Not less than three months before the expected date of examination the appropriate faculty committee shall submit to the Academic Secretary the designated form(s) proposing the examination arrangements including the details of the proposed examiners for approval by the Sub-Committee for Supervised Postgraduate Research Study (hereafter called 'the Committee'). Sufficient information to enable the Committee to assess the appropriateness and expertise of the proposed examiners shall be provided.
- 28 The Committee may appoint an independent Chair for the viva voce examination. The independent Chair shall be an experienced researcher with a general understanding of the field of the candidate's research project but need not necessarily be a subject expert in that field.
- 29 The Committee's decision shall be communicated to the appropriate faculty committee, the director of studies and the relevant faculty officer.
- 30 In exceptional circumstances, the Committee may through the Academic Secretary act directly to appoint examiners and arrange the examination of a candidate.
- 31 Once examination arrangements have been approved and in consultation with the examiners and the Academic Secretary, the director of studies shall decide the date and logistical arrangements for the examination and notify the Academic Secretary, the candidate, supervisors and examiners.
- 32 The Academic Secretary shall arrange for the issue of letters of appointment to the examiners.
- 33 The Academic Secretary shall send a copy of the thesis to each examiner, with the designated form for the examiner's preliminary report, and the Academic Regulations and Procedures relating to research degrees and shall ensure that the examiners are properly briefed on their duties.
- 34 Preliminary reports from examiners must be completed and returned to the Academic Secretary at least 10 working days before the scheduled date of the viva voce examination. The viva voce examination may not take place until the preliminary reports have been received and the Academic Secretary has confirmed to the faculty administrator and director of studies that the viva voce examination may proceed. In exceptional circumstances permission for the viva voce examination to proceed without one or more of the preliminary reports may be granted by the Committee.

Final examination of the thesis: first stage, independent preliminary report

- 35 Each examiner shall read and examine the thesis and submit, on the designated form, an independent preliminary report before any viva voce examination is held. In the preliminary report each examiner shall consider whether the thesis, prima facie, satisfies the requirements of the degree and where possible make an appropriate provisional recommendation conditional on the outcome of any viva voce examination.

- 36 If one or more examiner(s) consider(s) that further work is necessary before the viva voce examination is held, that recommendation takes precedence over the view(s) of other examiner(s). The Academic Secretary will inform the examiners, the director of studies and the candidate enclosing the advice of the examiner(s) on the further work necessary. The Academic Secretary may, at this stage, ask the examiners to consult in order to produce consolidated advice to the candidate. The candidate shall be permitted up to one calendar year from the date of the notification to resubmit the revised thesis. A thesis may be referred back for further work on only one occasion before the viva voce examination is held.
- 37 The candidate shall be responsible for deciding the manner in which to improve the thesis.
- 38 The candidate shall submit the revised thesis to the Academic Secretary who shall forward it to the examiners with the designated form. Each examiner shall submit an independent preliminary report on the designated form to the Academic Secretary. Once the reports have been received, the director of studies shall be permitted to re-arrange the viva voce examination.

Final examination of the thesis: second stage, viva voce examination

- 39 If all examiners recommend that the viva voce examination be held, or if the thesis has been submitted after further work, the Academic Secretary shall inform the faculty administrator that arrangements for the examination may continue. The faculty shall be responsible for notifying the candidate, the examiners and the supervisors of the arrangements.
- 40 A viva voce examination shall normally be held in English and on a campus of the University, or the campus of an affiliated institution where the candidate has been registered for the award through that institution. The Academic Secretary or the Chair of the Committee may grant permission for a viva to be held elsewhere in the UK or abroad (“off campus”) where there is good reason. Any decision to hold a viva voce examination off campus is subject to the appointment of an experienced internal examiner, the agreement of the candidate and all the examiners, and the appointment of an independent chair. Where it is proposed to hold a viva off campus the candidate and/or director of studies shall submit an application to the Secretary to the Committee on the appropriate form.
- 41 The supervisors and a representative of the Committee may, with the consent of the candidate, attend the viva voce examination and participate in the discussion with the candidate. The representative of the Committee shall remain whilst the examiners decide on their recommendation on the award but shall not participate in that discussion. The supervisors may not remain whilst the examiners decide on their recommendation on the award.
- 42 The conduct of the viva voce examination is at the discretion of the examiners. The range of possible outcomes is governed by Academic Regulation H1.14 for a first examination and H1.15 for a re-examination. No other outcomes for the viva voce examination are permitted.

- 43 If the examiners agree on the outcome of the examination they shall, at its conclusion, submit on the designated form a joint report and recommendation relating to the award.
- 44 The preliminary reports and the joint recommendation of the examiners shall together provide sufficiently detailed comments on the scope and quality of the work to enable the Chair of the Committee to be satisfied that the recommendation chosen is correct. The joint report shall be submitted to the Academic Secretary.
- 45 If the examiners do not agree they shall submit separate reports and recommendations on the designated forms. The secretary to the Committee shall submit them to the Committee for a decision in accordance with Academic Regulation H1.14.3.
- 46 Where the Committee appoints an additional examiner after the viva voce examination the appointed examiner shall prepare an independent preliminary report on the basis of the thesis and, if considered necessary, may conduct a further viva voce examination. That examiner shall not be informed of the recommendations of the other examiners.
- 47 Where the examiners recommend the award of a degree subject to minor amendments to the thesis they shall submit a report on the designated form detailing the amendments required, the deadline for submission of the amended thesis and nominating one or more of their number to give final approval to the thesis. The Academic Secretary shall notify the candidate. No recommendation for an award shall be made to the University until the amendments have been made to the satisfaction of the nominated examiner(s).
- 48 A candidate required to submit minor amendments to the thesis shall be permitted up to three months for a full time student or six months for a part time student from the date of the notification to submit the minor amendments. The candidate shall be responsible for deciding the manner in which to improve the thesis
- 49 The director of studies must ensure that the examiners' reports and any claim forms are duly completed and submitted to the Academic Secretary immediately after the examination.
- 50 If the Committee permits an alternative form of examination in accordance with Academic Regulation H1.12.5, it shall identify the form of examination and the Academic Secretary shall notify the supervisors, the examiners and the candidate of the approved arrangements.

Re-examination

- 51 A candidate who submits a thesis for re-examination shall be required to pay the appropriate fee.
- 52 Re-examination is permitted once only.

53 In all other respects the re-examination shall be conducted as the first examination.

Grant of award

54 The faculty administrator shall inform the Academic Secretary in the prescribed format, of the outcome of the assessment for all the formally taught and assessed elements of the award before a results list can be issued. No award may be granted unless and until the candidate has completed all the formally assessed and taught elements for the award and has achieved the credits required.

55 On receipt of a unanimous recommendation from the examiners to award a PhD, MPhil, or of a decision by the Committee where the examiners were not unanimous, and evidence of the candidate's achievement of the necessary taught elements and credits, the Academic Secretary shall produce a results list confirming the recommendations of the examiners or Committee dated with the date of the recommendation of the examiners or Committee. The results list shall be signed by the Chair of the Committee. This will be passed to the appropriate officer of the University for the production of the certificate.

56 Following the award of the degree the Academic Secretary shall lodge one copy of the thesis in the library of the University, one in the library of any collaborating establishment and one in the library of any relevant affiliated institution.

H1g APPLICATIONS FOR REVIEW OF DECISIONS OF DECISIONS OF EXAMINERS FOR PROGRAMMES OF SUPERVISED RESEARCH

Procedure for applying for a review

1 Applications for reviews of decisions of the examiners of research awards may only be made in accordance with Academic Regulation H1.15.

2 The application shall:

- i be made in writing by the student personally and signed by the student;
- ii be addressed to the Academic Secretary in an envelope marked 'Application for Review';
- iii be received no later than ten working days after the formal date of publication of the results;
- iv give the full name, date of birth and student number of the applicant, an address for reply, details of the award, and the decision of the examiners of which a review is requested;

- v state clearly the grounds on which the application is based, identify the issues about which remedy is sought and where appropriate identify the new decision sought;
- vi enclose all relevant documentary evidence on which the application relies (for example, medical certificates).

Administrative procedure

- 3 The Academic Secretary shall determine whether the application meets the conditions set out in paragraph 2 above. The student shall be informed of the outcome.
- 4 If the application meets the conditions in paragraph 2 the Academic Secretary shall arrange for the facts of the examiners' decision to be established and the evidence on which it was made in the light of the relevant Academic Regulations.
- 5 In the light of these enquiries the Academic Secretary shall:
 - i refer the matter back to the examiners and require them to review their decision in the light of the application; or
 - ii refer the application to a review panel of the Academic Board; or
 - iii determine that there is no basis on which the application can proceed.
- 6 The student shall be advised in writing of the Academic Secretary's decision.
- 7 Where the matter is referred back to the examiners, the Academic Secretary may provide advice or make a recommendation on the application of the University's policies, Academic Regulations and these Procedures as appropriate to the case in hand.
- 8 Where an application is referred to a review panel of the Academic Board, the Academic Secretary shall arrange for:
 - i the student to be reminded of the assistance which can be rendered by the Students' Union;
 - ii the facts of the examiners' decision and the relevant regulations to be given in writing to the review panel;
 - iii a copy of the application for review to be sent to the examiners and an invitation to be made to them to submit a statement in writing to the review panel;
 - iv a meeting of the review panel to take place as soon as is practicable.
- 9 The review panel shall be provided with:
 - i the application for review and supporting documentary evidence;
 - ii all relevant regulations governing the award and its assessment;
 - iii a statement of the decision of the examiners;
 - iv any statement submitted on behalf of the examiners;

v any other relevant material.

- 10 Whenever practicable before the date of the meeting the student shall be provided with any statement submitted by the examiners. This shall normally be supplied not less than two working days before the meeting of the panel.

The review panel

- 11 The review panel members and chair shall be selected by the Academic Secretary in accordance with Academic Regulation H1.15.6. Periodically the Vice-Chancellor shall advise the Academic Secretary of criteria for his nomination of the chair. The staff members of the Academic Board shall be drawn annually by lot into a priority list from which the Academic Secretary shall select the other members in order of priority so far as practicable. The Academic Secretary or nominee shall act as secretary.

Review panel procedure

- 12 The review panel shall determine its own procedure having regard to the need to be fair to the student and to staff and examiners. The student shall be invited to substantiate his or her grounds for review in person and may be accompanied by a person of his or her own choosing who may speak on his or her behalf. The examiners shall have the right to appear before the panel, to speak and to amplify any written statement. The panel may invite supervisors and/or other relevant persons to speak.
- 13 The review panel shall decide:
- i whether to refer the matter back to the examiners and require them to review their decision in the light of the application; or
 - ii to reject the application.
- 14 If it decides to refer the matter back to the examiners the review panel may offer advice or a recommendation to them.
- 15 The secretary shall inform the student and the examiners in writing of the panel's decision as soon as possible.

Examiners' procedure

- 16 Examiners who are required to review their decision shall do so as soon as possible and shall notify the Academic Secretary in writing of their decision and the basis on which it was made.
- 17 The Academic Secretary shall arrange for the student to be informed of the examiners' decision as soon as possible. An application for a review of the decision

of examiners reconvened under Academic Regulation H1.15 and/or paragraphs 6 or 14 of this procedure shall not be permitted.

Appeals

- 18 There shall be no appeal against the decision of the Academic Secretary taken under paragraph 6 of this procedure or against the decision of an Academic Board review panel.

Report

- 19 The Academic Secretary shall arrange for the preparation of a report on the applications for review of decisions of examiners and their outcomes and on any matters related to this procedure to the Academic Board annually in a manner which maintains confidentiality.

H2a DOCTOR OF PHILOSOPHY (DPhil)

Delegation

- 1 The Academic Board has delegated its authority to make recommendations for the award of the degree of Doctor of Philosophy (DPhil) by submission of a collection of scholarly publications to the Sub-Committee for Supervised Postgraduate Research Study (hereinafter referred to as the Committee). This procedure should be read in conjunction with Academic Regulation H2 and covers the exercise of the Committee's delegated authority.

Eligibility for Registration

- 2 The definition of "employed by" the University shall take account of the University's personnel policies and shall include full and part time staff; staff on fixed term or temporary contracts shall only be eligible if their contract is of a minimum one year of at least 10 hours per week and has at least six months left to run, Applicants from affiliated institutions shall be employed by those institutions on full or part time permanent contracts. Applicants claiming eligibility by reason of close association with the University shall include those who have retired from employment by the University not more than one year prior to the application to register for the award. The Committee shall have overall authority to decide eligibility for applicants not specifically covered above.

Definitions

- 3 For the purposes of the award of DPhil, 'published work' may encompass books, original and exhibited creative work in any medium, or any other form of scholarly publication.

Supervised DPhil

- 4 Each faculty shall be responsible for the selection, admission and registration of any of its staff who wish to be supervised whilst preparing an application for the DPhil.
- 5 An application for registration for supervision for the DPhil must be made to the faculty administrator of the faculty concerned. The application must include details of the candidate's previous qualifications, research plan, publication plan and the nominations of two supervisors, who shall have considerable experience of publication.
- 6 Approval of the registration of a candidate for supervision for the DPhil and approval of the supervisors shall be the responsibility of the committee within the faculty responsible for supervised research study.
- 7 Candidates registered for supervision whilst preparing an application for the DPhil shall be required to report annually to the faculty committee showing progress against and updates of the research and publication plans. The faculty committee shall have authority to discontinue the enrolment if there is insufficient evidence of progress.
- 8 The minimum and maximum period of registration for supervision for the DPhil are set out in Academic Regulation H2.10. Except in the case of the candidate's illness, the faculty committee shall not extend the period of enrolment. If a candidate registered for supervision for the DPhil ceases to be employed by the University, he or she may continue with the registration for a maximum of two years on payment of appropriate fees and providing arrangements acceptable to the faculty committee can be made for the continuation of the supervision.
- 9 The faculty committee shall recommend to the Committee when the candidate should be registered as a candidate for assessment for the award of DPhil.

Application and registration for the award of DPhil

- 10 Applications for the award of the DPhil shall be made in writing to the Academic Secretary in the form prescribed in Academic Regulation H2. The applicant shall also state his/her full name, qualifications, details of current (or where appropriate previous) employment and a proposed title for the scholarly work.
- 11 On receipt of an application, the Academic Secretary shall notify the Chair of the Committee. The Chair of the Committee shall appoint two of its members to join him/her in forming a sub-committee. Among the three members of the sub-committee there shall be experience of supervision and/or examining at doctoral level. The sub-committee shall check whether the application has been presented in the required form in order to recommend to the Committee whether it would be appropriate to register the applicant as a candidate for the award of DPhil. In so doing, it shall propose the names of two persons to act as external examiners who meet the conditions set out in Academic Regulation H2, taking appropriate advice from within or outside the University.

- 12 On receipt of an application from a member of staff who has been enrolled with a faculty for supervision whilst preparing an application, the Committee may dispense with the sub-committee.
- 13 The Committee shall decide whether the applicant shall be registered as a candidate for the award of DPhil. Registration shall be completed by the candidate paying the appropriate fee.

Appointment of examiners

- 14 Once the Committee has decided that the application shall proceed, it shall appoint two external examiners. The Academic Secretary shall make arrangements for the appointment of the examiners and the date of the oral examination. The candidate shall not contact the external examiners in relation to the application and examination for DPhil.
- 15 The Academic Secretary shall send to each examiner a copy of:
 - i the statement from the applicant, setting out his or her view of the nature and significance of the work submitted;
 - ii the statement from the applicant setting out the extent of his or her contribution to the work submitted, involving joint authorship or other types of collaboration;
 - iii the statement from the applicant indicating which part of the work submitted, if any, has been submitted for another academic award;
 - iv the published work to be considered. Where it is not possible to provide a copy of the published work, the Academic Secretary will make arrangements for the examiners to view the work;
 - v the proposed title for the scholarly work.

Assessment and recommendation of the award

- 16 The examination shall be in two stages in accordance with Academic Regulation H2.

First stage: preliminary report

- 17 Each examiner shall independently consider whether the submission provides a prima facie case that it satisfies the requirements for the award. At least 14 days before the examination is scheduled to take place, each examiner shall submit a preliminary report on the designated form to the Academic Secretary. The report shall give the examiner's recommendations on:

- i whether the submission provides a sufficient basis on which to proceed to the oral examination;
 - ii if it does, what issues should be explored with the candidate at the oral examination and a provisional recommendation as to whether the proposed title is appropriate;
 - iii if it does not, the merits and deficiencies of the submission and the reasons why an oral examination should not take place.
- 18 If the examiners disagree the recommendation not to proceed to the viva voce examination shall prevail.

Second stage: viva voce examination

- 19 The Sub-Committee for Supervised Postgraduate Research Study may appoint an independent Chair for the viva voce examination. The independent Chair shall be an experienced researcher with a general understanding of the field of the candidate's research project but need not necessarily be a subject expert in that field.
- 20 The viva voce examination shall normally be held at the University. The Chair of the Committee, or his or her nominee, may attend the oral examination and participate in the discussion with the candidate. He or she shall remain whilst the examiners decide on their recommendation on the award but shall not participate in that discussion.
- 21 If the examiners agree on the outcome of the examination, they shall at its conclusion submit on the designated form a joint report and recommendation relating to the award to the Academic Secretary. This report shall include the recommended title for the award. If the examiners disagree, each examiner shall submit in writing to the Academic Secretary details of the merits and deficiencies of the submission.
- 22 In the case of a disagreement between the examiners, the Committee may decide to act on the recommendation not to grant the award. Alternatively, the Committee shall appoint a third examiner who shall conduct a further oral examination alone. The third examiner shall not be informed of the recommendations of the other examiners. The oral examination shall normally be held at the University. The Chair of the Committee, or his or her nominee, may attend the oral examination and participate in the discussion with the candidate. He or she shall remain whilst the examiners decide on their recommendation on the award but shall not participate in that discussion. The third examiner shall submit on the designated form a written report and recommendation to the Academic Secretary.
- 23 Taking account of the recommendations and reports of all the examiners relating to both stages of the assessment, the Committee shall decide whether to recommend that the University grant the award and the approved title for the award.

Grant of the award

- 24 On receipt of a recommendation by the Committee for an award the Academic Secretary shall produce a result list confirming the recommendation of the Committee dated with the date of the relevant meeting of the Committee. The Academic Secretary shall pass the result list to appropriate officer of the University for confirmation of the award and production of the certificate.

H3a HIGHER DOCTORATES

Scope of this procedure

- 1 The Academic Board has delegated its authority to make recommendations for the award of Higher Doctorates to the Higher Doctorates Committee (hereinafter referred to as the Committee). This procedure should be read in conjunction with Academic Regulations H3, and covers the exercise of the authority delegated by the Academic Board.

Application

- 2 Applications shall be made in writing to the Academic Secretary in the form prescribed in Academic Regulation H3.4. The applicant should mark the envelope as 'Higher Doctorate' and shall state his or her full name, address for correspondence, and qualifications with their dates. The work submitted shall have been published already; it may constitute any of the types of work listed in Academic Regulation H3.4d and shall normally be submitted in the form in which it was published. Where the work to be considered is of a nature which does not enable copies to be submitted, the applicant shall provide evidence of its existence and information on where it can be viewed.
- 3 On receipt of an application, the Academic Secretary shall notify the Chair of the Committee who shall appoint those members who are not ex officio so as to ensure that the Committee includes at least one member with expertise in the field of study of the applicant. The Committee shall consider whether a prima facie case has been made. If it so decides, it shall identify a person with relevant expertise from outside the University from whom it shall seek advice both on the appropriateness of proceeding to examination and on recommendations for the appointment of external examiners. The Academic Secretary shall supply the external expert adviser(s) with a copy of the application.
- 4 Taking the external advice into account, the Committee shall decide whether the application shall proceed to examination. If it decides to proceed to examination, it shall also decide the names of at least two persons to be invited to act as external examiners who have expertise in the field of study under consideration and who have experience of examining at least at doctoral, and preferably at higher doctoral, level.

Exceptionally, the Committee may invite the external expert adviser to be one of the external examiners.

- 5 The Academic Secretary shall notify the applicant of the Committee's decision on whether to proceed to examination.

Appointment of examiners

- 6 The Academic Secretary shall be responsible for making all administrative arrangements for the consideration of the application including those relating to the appointment and remuneration of the adviser and examiners.
- 7 The Academic Secretary shall send to each examiner a copy of the complete application. Where it is not possible to provide a copy of the published work, the Academic Secretary shall make arrangements for the examiners to view the work. The candidate shall not contact the examiners in relation to the application and examination for the higher doctorate.

Examination

- 8 The examination shall be undertaken by reference to the submitted material only. The examiners shall submit independent written reports to the Academic Secretary by a date determined by him/her. The Academic Secretary shall submit them to the Committee for decision. The assessment shall accord with the criteria set out in Academic Regulation H3.7.4. The reports shall comment in detail on the extent to which the application satisfies those criteria; shall comment on the appropriateness of the specific award sought by the applicant; and shall make recommendations to the Committee.
- 9 If the examiners disagree the Committee may decide to act on the recommendation not to grant the award. Alternatively, it shall appoint a third examiner who shall not be informed of the views of the other examiners. If the Committee so decides, the Academic Secretary shall provide the third examiner with the submitted material seen by the original examiners. The third examiner shall assess and report in a similar manner to the original examiners.
- 10 Taking account of the recommendations and reports of the examiners, the Committee shall decide whether to recommend that the University grant the award. The Academic Secretary shall convey the decision to the applicant in writing.

Appeal

- 11 There is no appeal against the decision of the Committee to proceed to examination, to recommend the grant of an award or not to do so.

Grant of the award

- 12 On receipt of a recommendation by the Committee for an award, the Academic Secretary shall produce a result list confirming the recommendation of the

Committee dated with the date of the relevant meeting of the Committee. The Academic Secretary shall pass the result list to appropriate officer of the University for confirmation of the award and production of the certificate.

Material submitted

- 13 Written and published material submitted shall not normally be returned to the applicant.

Fees

- 14 The fee payable by the applicant shall be in two parts: the first part to be submitted with the application and the second, where relevant, before examination of the application.

Lecture

- 15 An applicant granted a Higher Doctorate will normally be required to give a public lecture within one year of conferment of the award.

J PROFESSORIAL TITLES

J2a THE DESIGNATION OF PROFESSORS

Eligibility of candidates

- 1 The University may consider for designation as Professor, by reference to criteria in Academic Regulation J3:
 - i any member of academic staff of the University who submits an application or who accepts nomination by another member of the academic staff of the University;
 - ii any member of staff of the University who accepts nomination by a member of the Academic Board; and
 - iii in the capacity of a Visiting Professor, any person who is not employed by the University and is nominated by a dean.

Application process

For candidates employed by the University

- 2 Candidates shall supply a full curriculum vitae and application demonstrating how they meet the criteria set out in Academic Regulation J3 and the names and addresses of at least three referees. The information on referees should indicate the aspects of the application each referee is thought competent to comment on and why; and in what context the referee has come to know the work of the candidate. A candidate who seeks to be designated 'Professor of ...' shall identify and seek to justify the proposed title in the application.

For candidates for Visiting Professor

- 3 Proposers shall supply the fullest practicable curriculum vitae and a proposal demonstrating how the candidate meets the criteria set out in Academic Regulation J3, evidence of the candidate's outstanding achievement in his or her field of practice, how the candidate would significantly enhance the University's public profile by virtue of current (as distinct from past) standing in his or her field, and what contribution the candidate is expected to make to the work of the University during the tenure of the proposed Visiting Professorship; and the names and addresses of three referees indicating the aspects of the application each referee is thought competent to comment on and why.

Selection process

For candidates employed by the University

- 4 The curriculum vitae and application shall be considered by the Professorial Committee or in accordance with a process approved by the Committee who may decide to interview the candidate. The Committee shall obtain appropriate written references and appropriate confidential external assessment before agreeing to confer a professorial title. The selection process and the proceedings of the Committee shall be confidential. The candidate need not be informed of the names of the external assessors. The Committee need give no explanations for its decisions. There shall be no right of appeal against decisions of the Committee except that any dispute as to proper procedure shall be drawn to the attention of all members of the Committee and any two members may require the issue to be referred to an external advisor approved by the Academic Board.
- 5 The process of appointment to a post shall be separate from, but may take place consecutively or concurrently with, that of determining an application for professorial status. Where professorial status is considered concurrently with an application for a post, candidates' referees and external assessors for the post shall also be invited to comment on candidate's suitability by reference to the professorial criteria. Additional confidential external assessment of professorial suitability may also be sought by the Professorial Committee. A decision on the award of a professorial title shall be taken separately from the appointment process and shall remain with the Professorial Committee. Where the two processes are consecutive the determination of professorial status shall follow the normal procedure.

For candidates for Visiting Professor

- 6 The Professorial Committee may, at its discretion, choose whether to take up references and confidential external assessment and interview the candidate. Exceptionally, it may proceed to an appointment on the basis of the written proposal alone.

Professorial Committee processes

- 7 The Chair of the Professorial Committee may invite an external assessor to attend a meeting.
- 8 The business of the Committee shall normally be conducted by the members meeting together. At the discretion of the Chair of the Committee business may exceptionally be transacted in such other manner as is thought acceptable by the secretary to the Committee in the particular circumstances, provided always that the arrangements enable the secretary to record an unequivocal minute of the proceedings and of any decisions taken.
- 9 The members of the Professoriate may appoint, from time to time from among themselves, an observer who shall be entitled to receive papers and minutes and to attend and speak at the meetings of the Committee but shall not take part in its

decision-making. This appointment process may include the submission by the Professoriate to the Chair of a list of potential observers from which the Chair, in consultation with the secretary, may select specific observers for a particular meeting or meetings.

- 10 The quorum is three members including the Chair of the Academic Board and the Chair of the Board of Governors. If less than five working day notice shall have been given of any meeting the Committee shall not be entitled to proceed to appoint a professor without the consent of any member absent from the meeting, and any appointment shall always require the approval of at least one member of the existing Professoriate.
- 11 The Committee may seek advice on particular applications from individual members of the Professoriate selected by the Chair of the Committee.

Status

- 12 The title of Professor is a personal distinction and does not normally carry specific financial reward. However, Visiting Professors may be paid for specific services undertaken for the faculty with which the appointment is associated.
- 13 The Professorial Committee shall from time to time report the designation of professors to the Academic Board and Board of Governors, including any specific title approved.

Tenure

- 14 The title of Professor shall be valid for the following periods:
 - i for professors employed by the University: for the period of their employment;
 - ii for Visiting Professors: for a fixed term not normally exceeding three years, which may be renewable. The Committee may terminate the designation if the circumstances in which it was made alter to render the title inappropriate.

Inaugural lecture

- 15 A professor employed by the University shall normally be required to deliver an open lecture, or otherwise demonstrate the professed reputation and qualities, before a University audience within one year of designation as a professor.