



Quality and Standards Office

Assessment Procedures Manual

EFFECTIVE FROM 1 SEPTEMBER 2016

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1 INTRODUCTION

- 1.1 The following document sets out Canterbury Christ Church University's procedures for the operation of assessment, examinations, Boards of Examiners and External Examiners. The document is intended to provide a single reference point for these procedures, as a way of promoting fairness and consistency.
- 1.2 Relevant University Regulations, drawn from the Regulation and Credit Framework for the Conferment of Awards, are included in the document for ease of use and are shaded in grey. University Regulations embody that which must be done to ensure that academic quality and standards are maintained on the University's programmes. The University's procedures are the agreed way that those Regulations are to be enacted. Staff in breach of University Regulations may be subject to disciplinary action.
- 1.3 In any conflict of interpretation between these procedures and the Regulation and Credit Framework for the Conferment of Awards, the latter document will always prevail, even if this means that the procedures here outlined cannot be completed.

2 THE AUTHORITY OF ACADEMIC BOARD

- 2.1 The Regulations that apply to this area are as follows:

- 2.1 The Academic Board is responsible for the approval of the Regulation and Credit Framework for the Conferment of Awards, and for the approval of any amendments to this document.
- 2.2 The Academic Board is responsible for:
 - (i) the design and approval of all programmes of study and their associated awards;
 - (ii) the operation of all Boards of Examiners;
 - (iii) the assessment and examination of students;
 - (iv) the appointment of External Examiners; and
 - (v) the operation of the External Examiner system.
- 2.3 The Academic Board will establish General Regulations for the design and approval of programmes of study.
- 2.4 The Academic Board may establish Special Regulations, the purpose of which is to identify specific requirements within a named programme or programmes.
- 2.5 The Academic Board will specify the arrangement for the membership, powers, duties and conduct of Boards of Examiners.
- 2.6 The Academic Board will ensure that all arrangements in place to meet these responsibilities are reviewed on a periodic basis to determine that they remain fit-for-purpose.
- 2.7 The Academic Board may, in extraordinary circumstances, dispense with any of these Regulations, and may publish arrangements for doing so.
- 2.8 The Academic Board may in the most exceptional of cases, use its discretion to offer an award other than that determined by the Regulations where that discretion is to the benefit of the candidate.
- 2.9 The Academic Board may delegate such of its powers under these Regulations as it may from time to time see fit.
- 2.10 The exercise of such delegated powers shall on each occasion be reported to the following meeting of the delegating body as that body shall from time to time direct.

ASSESSMENT AND EXAMINATIONS

- 2.2 The Regulations that apply to this area are as follows:

- 14.1 Students must abide by these Regulations and by the Assessment Procedures Manual.

- 14.2 Students must be informed, in the Student Handbook or similar document, of the date of each assessment by the beginning of each module.
- 14.3 A student must fulfil all the assessment requirements of the programme by such dates as may be prescribed.
- 14.4 All students shall be provided with details in writing of the assessments for the programme for which they are registered and the methods of assessment which will be used in deciding whether or not the student is to be recommended for an award of the University.
- 14.5 Formal feedback on assessed work must be provided to students in line with the University's agreed procedures as set out in the Assessment Procedures Manual.
- 14.6 Attendance at all examinations and assessments associated with the approved programme of study is required and any candidate who fails to be present for such an examination at the time and place published by the Registry, School, or partner institution, except when prevented from doing so by illness or other sufficient cause, will be deemed to have failed in that part of the examination.
- 14.7 All candidates are required to sit examinations at the location so appointed by the Academic Registrar, unless delegated to a collaborative partner, through a formal agreement.
- 14.8 Only a candidate who is registered on a programme of study at the University and is eligible to do so, may sit the appropriate assessments, or enter the examination room for that programme.

LANGUAGE OF ASSESSMENT

2.3 The Regulations that apply to this area are as follows:

- 13.15 The language of assessment is to be English, except where the programme validation provides that assessment should be in a language other than English.
- 13.16 In the event that assessment is conducted in a language other than English:
- (i) the internal and External Examiners must be fluent in both English and the language of assessment;
 - (ii) assessed work must be first marked and second sample marked in the language of assessment, in line with the requirements relating to marking procedures.
- 13.17 Translation of work will only be allowed where the following applies:
- (i) there is to be prior approval of the translator by the University;
 - (ii) translation is by a translator of professional standing;
 - (iii) the translator follows the professional practice of translation into the translator's first language;
 - (iv) where there is uncertainty about meaning in the original, the area of uncertainty is identified.

3 HOW ARE ONLINE ASSESSMENTS HANDLED?

INTRODUCTION

- 3.1 The policy and procedures set out in this document apply to all undergraduate and taught postgraduate programmes of the University.
- 3.2 A consequence of the increased use of online systems for learning and teaching is the wish to undertake formative and summative assessments. It is imperative that policies and procedures for the use of on-line systems are robust and secure.

- 3.3 Compliance with BS ISO/IEC23988:2007¹, as recommended by the Quality Assurance Agency (QAA)², ensures that assured standards across both systems and practice are met. This paper aims to provide the means of applying the relevant sections of the standard. In addition, electronically delivered assessments must be compliant with appropriate legislative requirements.
- 3.4 These procedures primarily concern online summative assessments, where the mark or grade contributes to a module mark.
- 3.5 Oversight of the examination process rests with the Director of Academic Administration (Academic Registrar). Schools and individuals outside the Registry with identified responsibilities under these procedures act on behalf of the Academic Registrar.
- 3.6 Formative assessments, which may not be time-restricted or invigilated, should follow the procedures where reasonably practicable. However, given the nature of the assessment, there is no requirement to follow the procedures in full.

Aligning Online Assessment Procedures with existing Assessment Policy and Procedures

- 3.7 University procedures apply to online assessment. The principles set out in the University's Assessment Policy are applicable to all forms of assessment. Matters relating to assessment construction and suitability are addressed in the University's Assessment Handbook, which covers the wider aspects of assessment, including Computer Aided Assessment (CAA).
- 3.8 The External Examiner(s) must engage in the assessment process as with other assessments. To this end the requirements relating to External Examiners in Roles and Responsibilities of External Examiners [p. 121] need to be addressed.

Exclusions

- 3.9 Electronic submission of examination materials, the assessment of discussion or electronic portfolios are not covered by the document. These procedures cover only those assessments designed and set by the University, and not those set by commercially available testing software.

SOFTWARE

- 3.10 Examiners setting online assessments must be familiar with the software used to deliver the assessment, together with its advantages and limitations and relevant features.
- 3.11 Systems which do not provide for the reliable delivery of assessment should only be used for formative assessment.
- 3.12 Summative assessments should only be delivered by means of online systems that are subject to quality assurance. All systems will need to be approved in advance by the Director of Learning and Teaching.

¹ BS ISO/IEC23988:2007 *Information technology – A code of practice for the use of information technology (IT) in the delivery of assessments*

² QAA Code of Practice Chapter 6: Assessment of Students and the Recognition of Prior Learning <http://www.qaa.ac.uk/assuring-standards-and-quality/the-quality-code/quality-code-part-b>

ROLES AND RESPONSIBILITIES: PRE-EXAMINATION PROCEDURES FOR SUMMATIVE ASSESSMENTS

- 3.13 The delivery of online assessment is the responsibility of the Director of Academic Administration (Academic Registrar), the Deputy Chair of the Board of Examiners (or nominee), Learning and Teaching Enhancement (LTE), and IT.

Responsibilities of the Deputy Chair

- 3.14 The Deputy Chair is responsible for the undertaking the following:
- (i) Notifying the Registry and relevant Schools at the beginning of the academic year in which the assessment is to take place.
 - (ii) Completing peer and any external examiner review before forwarding the entire assessment to the relevant School at least 4 weeks before the examination date.
 - (iii) Where arranging the assessment rooms:
 - a. Booking rooms. For invigilated examinations: rooms need to be booked in the February of the preceding academic year.
 - b. Checking with IT to ensure the computers are capable of delivering the assessment software.
 - c. Ensuring there are 15% more computers installed in the booked room than the expected student numbers taking the assessment to allow for last-minute machine problems.
 - d. With IT, undertaking final hardware and room checks.
- 3.15 Ensuring additional invigilation procedures relevant to online examinations are in place and that the possibility of collusion due to overlapping exam times or locations is avoided.
- 3.16 Testing Assessments using the format to be used for the examination a minimum of three days before the examination date and informing the relevant School of any amendments necessary.
- 3.17 Ensuring provision is made for any special equipment needed, e.g. accessibility aids, and informing the relevant School and the User Technology Team of the arrangements.

Responsibilities of Relevant Schools

- 3.18 The responsibilities of stakeholder Schools are as follows:
- (i) To maintain a schedule of assessment for all stakeholders to use to ensure that:
 - a. IT take all reasonable steps to ensure no server work is done during the time of the summative assessment.
 - b. To enable the User Technology Team to ensure that computers in each room are checked immediately prior to examination so that any computers that is not functioning is clearly marked.

CONTENT AND DELIVERY

Interface between assessment content and IT delivery

- 3.19 The parameters of assessments to be delivered securely, (e.g. number of questions, time) must be clearly communicated to the relevant School on the proforma included below.

Candidates with Disabilities

- 3.20 The University has a duty to anticipate disability and access issues for disabled students. The CAA systems are compliant with assistive technology (e.g. screen readers), but the needs of individual students must be considered when planning an assessment.

- 3.21 Examiners should consider any issues relating to candidates with disabilities. Candidates with disabilities will require reasonable adjustments to complete the assessment. These candidates should be identified to the relevant School. Schools are to ensure provision is made for any special equipment needed, e.g. accessibility aids, and informing the relevant School and IT of the arrangements.
- 3.22 Where appropriate, an assessment in an alternative format is to be made available to a disabled candidate.

Guidance to Students

- 3.23 Students must be aware of the system requirements of the software where assessments are to be delivered remotely (e.g. IE6, broadband).
- 3.24 Deputy Chairs must ensure that students are familiar with the online assessment system to be used before undertaking summative assessment. This can be achieved by running a formative assessment of similar format prior to a summative assessment.
- 3.25 Where a student is absent from such a formative assessment, the Deputy Chair should ensure they receive adequate training in relevant procedures.
- 3.26 The following information must be given to students before an assessment takes place:
- (i) the scoring rules for individual items and the overall assessment
 - (ii) the type of question items to be used
 - (iii) the contribution this assessment makes to an overall module
 - (iv) how the question items are selected for each assessment (all or random selection)
 - (v) any time limit and whether this will appear on screen or be timed by invigilator
 - (vi) any restraints on navigation between question items, or blocks of questions.
- 3.27 This information should normally appear within the Programme Handbook, in addition to standard assessment information.

Examination or Assessment Papers

- 3.28 Any Examination or Assessment paper set should conform to the requirements of the Assessment Procedures Manual on preparing examination papers [Chapter 7: HOW ARE ASSESSMENTS SET?]
- 3.29 A small number of paper copies of an equivalent examination will be available in case of individual machine failure.

Support during the Examination

- 3.30 All invigilators should be familiar with the system, what it is delivering and be confident to handle any problems which might arise through this delivery method, for instance the correct procedures in the event of machine failure.
- 3.31 Invigilator Training can be carried out on behalf of the Deputy Chair by Learning and Teaching Enhancement.

DELIVERY OF SUMMATIVE ASSESSMENTS

- 3.32 Summative assessments will normally be delivered by means of a secure browser that ensures candidates are cut off from other online applications, where this is appropriate to the software used. Where this is not possible, invigilation must ensure that candidates are not using applications or content that has not been approved for the examination.
- 3.33 Where more than one session is required, for instance where sufficient rooms are not available, assessments may deliver questions in a random order.
- 3.34 An identical assessment may be run in sequence to make best use of facilities and staff availability. In this instance, candidates in the first session are not permitted to leave the

examination room until everyone has finished and the next group is moved into the room while the initial group leaves. This may be achieved through different entrances.

3.35 Late arrivals should be dealt with according to the Registry examination procedures.

Responsibilities of IT

3.36 The responsibilities of IT are as follows:

- (i) With Deputy Chair (or nominee), undertaking final hardware and room checks.
- (ii) Ensuring provision is made for any special equipment needed, e.g. accessibility aids.
- (iii) Providing details of a technical administrator of the examination system, or member of staff responsible for the system where using subject-specific software, as a contact during the examination. The administrator may attend for the first and last 15 minutes of any summative examination or assessment to ensure correct operation of the online assessment systems.
- (iv) Taking all reasonable steps to ensure no server work is done during the time of the summative assessment.

Responsibility of the Relevant School

3.37 Maintaining a schedule of assessment for all stakeholders to use to ensure that machines in each room are checked immediately prior to examination so that any machine not functioning is clearly marked.

3.38 Creating an extra 10% of spare accounts for invigilators where appropriate in case of difficulties logging in. Candidates using such additional accounts should sign the account form to verify that they were the user of this username and password on this occasion. Registry examination procedures allow candidates to take an examination even if not on the register.

3.39 Copying immediately after the examination the results to the Deputy Chair, or nominee, on paper or electronic storage medium. The Deputy Chair is responsible for advising relevant School as to the information required before the removal of data.

3.40 Protecting assessments by a password issued to invigilators immediately before the examination and communicated to students at the start of the examination.

3.41 The Deputy Chair must check to ensure the data is complete before it is removed from the server. The results are normally removed from the server within 24 hours.

GENERAL GUIDELINES OF GOOD PRACTICE FOR ONLINE EXAMINATIONS IN A TIMETABLED SESSION

3.42 Students should enter the examination room 15 minutes before the commencement of the examination. Students should not commence the examination at exactly the same time, as this places a high load on the server. Rather, students should begin the test when they are ready within a period of 2 to 5 minutes. The testing software will ensure that, no matter when they begin the examination, all will have the same time exposure to the assessment. On early completion of an assessment, students should remain in place until all students have completed the assessment.

3.43 Where appropriate, the relevant School will provide the Deputy Chair with a complete printed list of expected participants and their login details (usernames and passwords).

3.44 The time limit allowed for the examination may need to be flexible to compensate for any delays (technical, emergency, etc). Additional time may be permitted for students requiring special arrangements.

3.45 IT suites should be booked for 30 minutes before the start of an assessment and after the last assessment is scheduled to be finished.

3.46 The Deputy Chair may wish to provide a briefing to students on the form of the assessment.

- 3.47 Candidates in an assessment should receive guidance when they are required to submit their final answers. This may take the form of an additional on-screen message. A timer will normally be shown on-screen to candidates.
- 3.48 Technical assistance should be available to candidates to ensure they can login and use any of the equipment correctly. Advice to candidates on how to navigate within the assessment should normally be permitted.
- 3.49 The network and server systems in use must have been load tested, in liaison with IT, at a level equal to, or greater than that expected during the assessment.
- 3.50 Invigilators must be briefed on the procedures, particularly in relation to the addressing of technical difficulties.

GUIDELINES FOR THE PHYSICAL ROOM AND COMPUTER ENVIRONMENT

- 3.51 University computer suites will normally be used for examinations. Ensuring more computers than candidates allows for spreading out to avoid candidates seeing the neighbouring screen.
- 3.52 The assessment administrator present will require a computer to access any systems necessary to troubleshoot possible problems.

HEALTH AND SAFETY CONSIDERATIONS

- 3.53 Computers, chairs and the general assessment environment must conform to standard safe environmental guidelines (clear screen, adjustable screen, adjustable chair, good lighting and ventilation).
- 3.54 Candidates should be advised to take 'micro-breaks' to relax their muscles and eyes (e.g. stretch, look up at ceiling).
- 3.55 If the assessment lasts for longer than 90 minutes, then there must be a provision for a break away from the computer. This may require supervision of candidates during the break, although facilities such as the provision of separate tests or blocks of questions may be used.

EMERGENCIES

- 3.56 In an emergency, the first consideration should be personal safety.
- 3.57 In addition to the procedures set out in this Manual [Chapter 12:
- 3.58 EMERGENCY REQUIRING THE EVACUATION OF AN EXAMINATION ROOM], the following should be observed:
 - (i) Fire alarms or emergencies requiring evacuation: The Chief Invigilator takes the decision whether to abandon the examination and to report to the Board of Examiners the circumstances or to permit a restarting of the examination. Where an examination is restarted, candidates are to be allowed the full time for the examination.
 - (ii) Network or power failure: Where a network or power fails within 15 minutes of the start of an examination, it may be restarted, if within a reasonable time limit, or rescheduled for a later date with the assistance of the technical support School, according to the decision of the chief invigilator. Where the network or power fails within 15 minutes of the end of an examination, providing the data has been stored, a pro-rata mark may be given by the Board of Examiners, which should receive a report of the incident from the Deputy Chair.
 - (iii) Machine failure: Where an individual machine fails, candidates may have their examination restarted by the invigilator and allowed the full time for this examination. In extreme cases, candidates should be allowed to continue on paper copy. The Board of Examiners should receive a report of the incident from the Deputy Chair.

POST-EXAMINATION PROCEDURES

- 3.59 As soon as possible after an online examination has finished, a copy of the results must be made and transferred to a second secure location.
- 3.60 The assessment results must be checked, forwarded to Registry and should be published to the students as appropriate
- 3.61 Where appropriate, question responses should be analysed for the question quality.
- (i) How did people who did well in the exam do within this particular question?
 - (ii) Were the correct answer distracters used, appropriate?
 - (iii) Were any correct answers marked incorrect?
 - (iv) Was the question overly easy or difficult, beyond that expected?
 - (v) Mechanisms of feedback to students should be considered.
 - (vi) Will they get access to their results online when they can see how they performed on individual questions?
 - (vii) Can students be shown the detailed result of the test if they consult a tutor?

SECURITY OF THE TESTING INTERFACE

- 3.62 Summative assessments should be delivered by secure means that ensures that content or systems that are unapproved for the examination cannot be accessed. Approved templates exist for this purpose. Where this is not possible, invigilation must ensure that candidates the examination is conducted securely.

FURTHER GUIDANCE

- 3.63 Further guidance is available in the JISC publication, *Implementing online assessment in an emerging MLE: a generic guidance document with practical examples*.³
- 3.64 In circumstances where Learning and Teaching Enhancement organises an invigilated assessment, the following information is required:

1. Name of Assessment and QL course to which it applies
2. Name of person responsible for assessment
3. Number of questions
4. Types of questions to be used
5. Where the questions are to be taken from, e.g. existing question bank, electronic document
6. Construction of the assessment, e.g. whether to be a single block or many
7. Any time limit
8. How students are to navigate, e.g. one question at a time, all questions delivered at once
9. Any permitted additional resources
10. Scoring of individual items and how final score to be calculated
11. Whether feedback is to be given
12. Number of students

³ JISC 2002 *Implementing online assessment in an emerging MLE: a generic guidance document with practical examples* <http://www.jisc.ac.uk/media/documents/publications/caafinalreport.pdf> Last accessed July 2016

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|---------------------------------------|
| 13. Number of assessments |
| 14. Times of assessments |
| 15. Additional files such as graphics |

4 HOW ARE EXTENUATING CIRCUMSTANCE REQUESTS HANDLED?

15.27 The University recognises the need to make allowance for particular circumstances that affect students' ability to perform assessments. The procedure for making decisions related to such circumstances is set out in the Assessment Procedures Manual. These procedures must be applied in full.

PURPOSE AND SCOPE OF THE PROCEDURES

Introduction

- 4.1 The purpose of the Extenuating Circumstances Request Procedures is to provide a means of varying the assessment deadline due to a short term unexpected occurrence or event outside the control of the student which prevents the student from undertaking an assessment or demonstrably disrupts the student's performance in a specific assessment.

Terminology

- 4.2 The term 'assessment' refers to any form of examination, including, but not restricted to, time-constrained assessments (such as formal examinations, tests, oral presentations, performances, exhibitions) and coursework (such as independent studies, posters and group projects). It does not include attendance on placements, but does include any assessed work that arises from placements.
- 4.3 The term 'assessment deadline' refers to either the scheduled date for a time-constrained assessment or the submission date of an assessment.
- 4.4 The term 'Extenuating Circumstances Request' refers to an application by a student for a variation in the assessment deadline.
- 4.5 The term 'days' refers to consecutive calendar days; the term 'working days' refers to a weekday during term time excluding bank holidays and days when the University is closed.
- 4.6 The term 'self-certification' refers to the process whereby the student provides a full written explanation of the reasons for making the request, without the requirement to provide third-party evidence for requests of up to and including 7 days.

Scope of the Procedures

- 4.7 These procedures apply to
- (a) the submission of all assessments; and
 - (b) all undergraduate and taught postgraduate programmes;
 - (c) all programmes delivered in or by collaborative partners, unless specified otherwise in the relevant Memorandum of Agreement.
- 4.8 These procedures apply to short-term disruption to studies.

Limitations to the Scope of the Extenuating Circumstances Request Procedures

- 4.9 The following limitations apply to the Extenuating Circumstances Request Procedures:
- (a) Where a student encounters medium or long-term disruption to their studies which is not related to a disability, the student must discuss the matter, and reach an agreement in the form of a Negotiated Learning Plan (procedures available in Chapter 5 below)

with the relevant programme director(s) and not submit a request under these procedures⁴.

- (b) An application for reasonable adjustment arising out of a disability must be made to the Disability Advice Team and not by submitting a request under these procedures⁵.
- (c) Where there has been a material procedural error in an assessment or examination, the student must make a report directly to either the Registry or School organising the assessment as soon as possible and not submit a request under these procedures⁶.

Grounds for Making an Extenuating Circumstances Request

- 4.10 A student may make an Extenuating Circumstances Request on one of the following grounds:
 - (a) **Either** the student missed (or expects to miss) an assessment deadline through an illness or other misfortune, as set out in the Appendix
 - (b) **Or** the student suffered from an illness or other misfortune, as set out in the Appendix, which led to impaired performance in an assessment that the student had undertaken.
- 4.11 A single application (i.e. on a single Extenuating Circumstances Request Form (ECRF)) can be made for two, or more, assessments as long as all the assessment deadlines fall within a 14-day period (or 7-day period where the student requests self-certification).

Requirements Relating to Impaired Performance

- 4.12 Where a claim is made for impaired performance, the student must have
 - (a) **either** submitted the assessment by the assessment deadline;
 - (b) **or** commenced a time-constrained assessment at the specified time on the date of assessment, even if the student had to abandon the time-constrained assessment before the end.
- 4.13 No prior claim may be made for impaired performance.
- 4.14 An Extenuating Circumstances Request for impaired performance cannot be made after individual feedback on the assessment has been given.
- 4.15 Where a student makes a request for impaired performance which is *accepted*, the student will gain no indication of his/her performance in the submitted work (i.e. no mark or feedback will be returned for the student's original submission or assessment opportunity).

Permitted Outcomes from an Extenuating Circumstances Request

- 4.16 If an Extenuating Circumstances Request is approved, the available actions are restricted to granting the student one of the following [see also paragraph 4.64]:

⁴ Appropriate arrangements need to be put in place to support the student in all aspects of study. The programme of adjusted study will be agreed in writing by the relevant programme director(s) with the student concerned.

⁵ Reasonable adjustments need to be made in advance to enable the student to receive the appropriate adjustment and must be agreed with Student Support and Guidance. Where there is an additional short-term issue not covered by these adjustments and for reasons not associated with those for which adjustment has been made, an Extenuating Circumstances Request may be made additional to any reasonable adjustment that is made.

⁶ The Registry must institute proper enquiries and make a report to the [Deputy Chair], as the error may affect several students and appropriate action be taken.

- (a) additional time to complete an assessment through an extension commensurate with the time affected; or
 - (b) a further opportunity to undertake an assessment without any mark penalty, except in the case of a reassessment opportunity where the mark is capped; or
 - (c) the opportunity to undertake a time-constrained assessment at a later time without a mark penalty, except for a reassessment opportunity where the mark is capped.
- 4.17 Under no circumstances will additional marks be awarded on the basis of the Extenuating Circumstances Request.

RESPONSIBILITIES OF STUDENTS

- 4.18 Students are expected to plan their work so they can meet assessment deadlines at the same time as other obligations which they may have both inside and outside the University.
- 4.19 It is the responsibility of all students to:
- (a) undertake assessments as required and at the right time; and
 - (b) show proper diligence in the completion of all assessments; and
 - (c) ensure they are fit to undertake assessments; and
 - (d) overcome the effects of minor illness or minor personal difficulties and not use an Extenuating Circumstances Request as a substitute for personal effort.
- 4.20 It is the responsibility of students to
- (a) make the application for an Extenuating Circumstances Request personally and not through any other person since applications made by others will not be accepted in any circumstances⁷; and
 - (b) act within the deadlines set out in these Procedures in making an application for an Extenuating Circumstances Request and provide the required information; and
 - (c) wherever possible, make an Extenuating Circumstances Request before the assessment; and
 - (d) act with integrity in making use of these procedures.
- 4.21 A student who fails to undertake an assessment as required and at the right time will be deemed to have failed the assessment.
- 4.22 A student who seeks to make an Extenuating Circumstances Request outside the deadlines set out in the Section on Deadlines for the Submission of an Extenuating Circumstances Request of these procedures will have any application for an appeal rejected by the Academic Registrar or nominee (see also paragraphs 4.30 and 4.32).
- 4.23 Where there is reasonable suspicion of abuse of the Extenuating Circumstances arrangements, the student may be referred for action under the University's Student Disciplinary Procedures⁸.

⁷ Where a student is suffering from a debilitating condition, the matter may be reported by the next of kin to Student Support, Health and Wellbeing.

⁸ See <http://www.canterbury.ac.uk/student-support-health-and-wellbeing/policies-and-procedures/policies-and-procedures.aspx>

- 4.24 Where a student believes an Administrative Officer or [Deputy Chair]⁹ has not followed the procedures, the student may make a complaint using the Student Complaints Procedures¹⁰.
- 4.25 Where a student believes an Extenuating Circumstances Panel has not followed the procedures, the student may make an appeal under the Academic and Fitness to Practise Appeals Procedures¹¹.

RESPONSIBILITIES OF THE UNIVERSITY

- 4.26 It is the responsibility of the University to:
- (a) accept and acknowledge an Extenuating Circumstances Request submitted within the timescales set out in these procedures; and
 - (b) process Extenuating Circumstances Requests in accordance with these procedures; and
 - (c) communicate the decision to the student within the timescales set in these procedures; and
 - (d) consider each Extenuating Circumstances Request on its merits and impartially.
- 4.27 Extenuating Circumstances Requests are to be dealt with as speedily as possible. If the application is for an extension of up to 14 days (including self-certification) then the response, which may include referral to a Panel, should normally be given within 3 working days of receiving a *complete* request; any extension is to commence from the assessment deadline and not the date of submission of the ECRF.

DEADLINES FOR THE SUBMISSION OF AN EXTENUATING CIRCUMSTANCES REQUEST

- 4.28 Extenuating Circumstances Request Forms (ECRFs) should be submitted either by the date of the assessment, for self-certification requests, or within seven days of the relevant assessment deadline for all other types of request. For applications which cover several assessments the ECRF should be submitted either by the date of the earliest assessment for self-certification or within 7 days of the earliest assessment for all other types of request. See also 4.11 for limitations on the assessments that can be included on a single ECRF.

Circumstances under which an Extenuating Circumstances Request will be accepted Before the Assessment Deadline

- 4.29 A claim may be made up to fourteen days prior to an assessment deadline where a student knows that the relevant assessment deadline will be missed with good cause.¹²

Circumstances under which an Extenuating Circumstances Request will be accepted after Seven Days from the Assessment Deadline

- 4.30 There may occasionally be good reason for accepting an Extenuating Circumstances Request Form (ECRF) beyond the seven-day deadline. This will normally be where the student has been confined for some purpose, for example (but not restricted to) a hospital.

⁹ Academic Board has requested that the title 'Deputy Chair' used in relation to Extenuating Circumstances is clarified to ensure it is the correct title for the role, in light of role changes within the University. This is on-going work. 'Deputy Chair' is therefore presented in square brackets throughout this section.

¹⁰ See <http://www.canterbury.ac.uk/student-support-health-and-wellbeing/policies-and-procedures/policies-and-procedures.aspx>

¹¹ See <http://www.canterbury.ac.uk/student-support-health-and-wellbeing/policies-and-procedures/policies-and-procedures.aspx>

¹² Special arrangements relate to the MRP on the Doctorate in Clinical Psychology Programme, which are contained in the programme handbook.

- 4.31 Requests ***beyond*** the seven-day deadline will be referred to the Extenuating Circumstances Panel (ECP) and professional evidence will be required to support the application.

Limitations on the Acceptance of an Extenuating Circumstances Request

- 4.32 An Extenuating Circumstances Request will not be accepted after the Board of Examiners for the student's programme has met, except where there is clear independent evidence that a student has been
- (a) confined for the entire period between the assessment deadline and the Board of Examiners meeting; and
 - (b) unable to communicate personally (and not through intermediaries) with the University to make an Extenuating Circumstances Request.
- 4.33 Under no circumstances whatsoever will the University accept an Extenuating Circumstances Request after the publication to the student of the decision of the Board of Examiners.

PROCEDURES FOR MAKING AN EXTENUATING CIRCUMSTANCES REQUEST

Student Responsibility for Making the Request and Providing Evidence

- 4.34 It is the student's responsibility to:
- (a) make the request following the procedures set out in this document and by using the Extenuating Circumstances Request Form (ECRF); and
 - (b) to provide any relevant supporting evidence at the time of the application or a statement at the time of the application to the effect that further supporting evidence will be provided; and
 - (c) check an application for completeness; and
 - (d) indicate that further supporting evidence is to be provided within a specified timeframe.

Arrangements for Submitting an Extenuating Circumstances Request

- 4.35 A student who misses an assessment deadline must submit to the programme office an Extenuating Circumstances Request Form within the deadlines set out in the section on Responsibilities of the University [p.18].
- 4.36 A student who expects to miss an assessment deadline must submit to the programme office an Extenuating Circumstances Request Form no more than fourteen days before the date of the assessment [see 4.29].
- 4.37 The student must provide a detailed statement of the reason for an Extenuating Circumstances Request in every case. The student should clearly specify the assessments affected.

Self-certification for a Request of up to and including 7 days

- 4.38 Self-certification is acceptable where
- (a) an application is made no later than the date of the assessment in question ***and***
 - (b) the request is for an extension of no longer than 7 days from the assessment deadline or for a further opportunity to undertake a time-constrained assessment.
- 4.39 Self-certification may only be used on the first occasion of making an Extenuating Circumstances Request for an extension to an assessment deadline. If a student subsequently wishes to request a *further* extension for the same assessment, a fresh and entirely new Extenuating Circumstances Request must be made and, where this further extension takes the *total* extension beyond the maximum 7 days for self-certification, the student *must* provide evidence.
- 4.40 Self-certification may only be made on two occasions in total during the same academic year, even where a student studies more than one programme.

Extenuating Circumstances Requests for which Independent Professional Evidence is Mandatory

- 4.41 It is essential for the student to provide independent professional evidence to support the application for a request that is
- (a) later than the seven-day period of the assessment deadline; and/or
 - (b) a request for an extension longer than 7 days from the assessment deadline; and/or
 - (c) made after the student has already submitted two self-certification applications during the same academic year.
- 4.42 Failure to provide independent professional evidence in the circumstances where it is essential will result in the application being rejected.

University Arrangements for Processing an Extenuating Circumstances Request

- 4.43 It is the responsibility of the Administrative Officer receiving the Extenuating Circumstances Request Forms to:
- (a) issue a receipt by email for each Extenuating Circumstances Request received; and
 - (b) where a student studies more than one programme, ensure that a copy of any Extenuating Circumstances Request is forwarded to the student's second programme administrator; and
 - (c) send the Extenuating Circumstances Request Form to the relevant [Deputy Chair]; and
 - (d) communicate a decision, either by the [Deputy Chair] or a Panel, to the student, including a decision to refer an application to a Panel, from the [Deputy Chair] to the student, with a copy sent to the [Deputy Chair] for any other programme where a student studies more than one programme; and
 - (e) maintain a record of all Extenuating Circumstances Request Forms received and decisions taken, and provide a summary to the Academic Registrar annually; and
 - (f) hold all Extenuating Circumstances Request Forms for six months after the date of the final Board of Examiners meeting to which the request applies.
- 4.44 The [Deputy Chair] for the programme will review each Self-Certification Extenuating Circumstances Request, but may consult other [Deputy Chairs] where a student studies more than one programme.
- 4.45 Where the student indicates that there will be further Extenuating Circumstances evidence provided, the University will delay consideration of the application for 7 days, after which time the application will be considered as submitted

Circumstances under which the [Deputy Chair] may approve an Extenuating Circumstances Request

- 4.46 Where a student submits an Extenuating Circumstances Request Form that meets the requirements set out in these procedures, the [Deputy Chair] will make the decision based on acceptable reasons set out in the Appendix, except on those that must be referred to the Extenuating Circumstances Panel as set out below.
- 4.47 Where a revised hand-in date is agreed, only periods of official University closure may be excluded from the number of calendar days extension offered.
- 4.48 The [Deputy Chair] will have discretion to award more than the maximum 14 days extension (or 7 where self-certificated), **only** where course work requires access to specialist equipment or specialist resources which are unavailable outside term time.
- 4.49 Where the request is agreed the [Deputy Chair] will
- (a) in the case of course work, stipulate a revised hand-in date commensurate with the time affected, which may be up to a period of 14 days from the assessment deadline for evidenced cases *or* up to 7 days from the assessment deadline for self-certification [see also 4.64a]; *or*

- (b) in the case of time-constrained assessments, offer a new opportunity at the next scheduled date of assessment, the date of which may have to be determined later than the notice of agreement by the [Deputy Chair] [see also 4.64c].
- 4.50 [Deputy Chairs] may approve two Self-Certification Extenuating Circumstances Requests for a student in any one academic year. Where a student studies more than one programme, the limitation applies to all programmes.
- 4.51 Where an extension is agreed, the date of the return of the marked assessment is governed by the agreed extension date and not the original submission date.

Referral to an Extenuating Circumstances Panel

- 4.52 An application must be referred to the Extenuating Circumstances Panel in the following circumstances:
 - (a) where a [Deputy Chair] declines to support a request; or
 - (b) where a student requests a period of extension in excess of 14 days; or
 - (c) where the student claims impaired performance; or
 - (d) where the student makes more than two Self-Certification Extenuating Circumstances Requests in any one academic year or where the student makes more than two Self-Certification Extenuating Circumstances Requests in any one academic year and submits a subsequent request without supporting evidence; or
 - (e) where an Extenuating Circumstances Request is made beyond the seven-day deadline period for submission of a request.
- 4.53 The [Deputy Chair] may provide a report on any referral to the Extenuating Circumstances Panel provided that any such report is copied to the student concerned. The student has the right to respond to any such report within seven days of the report being copied to the student.
- 4.54 Where the Extenuating Circumstances Request is accepted, the [Deputy Chair(s)] will in consultation with the student agree (except the date must be no later than fourteen days before the meeting of the Board of Examiners that examines the module(s) concerned):
 - (a) a deadline for the submitting of all the relevant assessments; or
 - (b) a deadline for submitting specified assessments, with the remainder being submitted by a deadline following a meeting of the Board of Examiners; or
 - (c) the submitting of all relevant assessments by a deadline following a meeting of the Board of Examiners.

Composition, Convening and Conduct of an Extenuating Circumstances Panel

- 4.55 The membership and terms of reference of Extenuating Circumstances Panels are set out in the Appendix.
- 4.56 The Academic Registrar will approve the arrangements for the establishment of Extenuating Circumstances Panels. Membership of Panels is drawn from internal examiners serving on one or more Boards of Examiners, and members of the Academic Board or a Committee of the Academic Board. The Academic Registrar may appoint other suitable individuals to serve on Panels.
- 4.57 At least two members will sit on each Extenuating Circumstances Panel, one of whom shall be the Chair. A Panel may consist of more than two members.
- 4.58 A Panel Chair may not be the Chair or Deputy Chair of the Scheme or Programme Examination Board in question, and will be independent from the student under consideration.
- 4.59 Panels will meet as frequently as required for timely consideration of requests. Panels may consider requests from a range of programmes at the same meeting.

- 4.60 The Panel will determine each request on its own merits, based on acceptable reasons set out in the Appendix. The decision is restricted to 'validate', 'reject', or 'request further information'. The Panel may determine a request is validated only in part.
- 4.61 Where the Panel seeks further information, the Administrative Officer will contact the student on one occasion, and present the response to the next meeting of the Panel. If the student makes no response to the request within 7 days, the Panel will determine the application based on the information available.
- 4.62 A Panel decision will be communicated to the student within 30 days of receipt of an Extenuating Circumstances Request, except where a Panel has requested further information where the deadline will be extended by up to 14 days.

PROCEDURES FOLLOWING AN EXTENUATING CIRCUMSTANCES PANEL

- 4.63 After the meeting of the Extenuating Circumstances Panel, the Administrative Officer will send the decisions to the relevant Programme Administrator and/or [Deputy Chair] (as appropriate).
- 4.64 The [Deputy Chair] will determine the impact of each Extenuating Circumstances Request that has been validated by a Panel, according to the following principles:
- Where a student has missed an assignment hand-in deadline or claimed impaired performance, the [Deputy Chair] will stipulate a new hand-in date, except the date must be no later than fourteen days before the meeting of the Board of Examiners that examines the module(s) concerned. In other cases, the hand-in date will be stipulated by the Board of Examiners.
 - Where a student has missed a scheduled University examination or claimed impaired performance, the [Deputy Chair] will recommend a new opportunity to take the examination, the date of which may be determined at a later date.
 - Where a student has missed a time-constrained assessment organised by the School or claimed impaired performance, the [Deputy Chair] will make arrangements for a new assessment opportunity at the next available assessment event.
 - In cases (a) and (b) above, the assignment or examination will retain the same assessment / submit or reassessment / resubmit status at the new opportunity.
 - The [Deputy Chair] may determine that a request has been spent (that is, an Extenuating Circumstances has already been given to the student for the assessment concerned) and grant no further opportunity to take the assessment(s) / examination(s) and inform the student accordingly.
- 4.65 An Extenuating Circumstances Request agreed by a [Deputy Chair] with an extension of 14 days or less does not require reporting to the Board of Examiners.
- 4.66 The [Deputy Chair] will report any decisions of the Extenuating Circumstances Panel to the Board of Examiners.

QUALITY ASSURANCE

- 4.67 The Academic Registrar will present a report annually to the Quality Monitoring and Review Sub-Committee on the operation of the arrangements, including the data based on the records maintained by the Administrative Officers.
- 4.68 In making an Extenuating Circumstances Request, a student may reveal sensitive personal information. The University will respect confidentiality and ensure such information is not disseminated beyond the requirements of the procedure.
- 4.69 All Extenuating Circumstances Request information will be retained and destroyed according to the University's policy on data retention.
- 4.70 An Extenuating Circumstances Request will not be recorded on a transcript of marks.

APPENDIX

- 4.71 This Appendix details the likely acceptability of reasons commonly cited in Extenuating Circumstances Requests, and thus serves as a guideline for determining validity. Account will be taken of whether the student informed the University in advance of their absence.
- 4.72 Where professional evidence is normally required to support a request, this may be: a doctor's note, or consultant's letter; an employer's letter; a death certificate; a police crime report; a court letter; a council letter etc. Where travel is involved, tickets are to be included. Only photocopies of original documents are to be provided, not original documents.
- 4.73 A statement from family, friends or landlord is not acceptable as the sole supporting evidence.
- 4.74 In cases where evidence is mandatory and no other forms of evidence are available, a student may request a statement of support be provided by a relevant member of University Academic staff (e.g. personal tutor or programme director). NB: This will not normally be considered acceptable as the sole form of evidence in circumstances where a student might reasonably be expected to obtain independent professional evidence.

	Issues affecting 14 or less days (including self-certification)	Issues affecting more than 14 days and impaired performance
Normally Acceptable Reasons	Short term illness e.g. flu, gastroenteritis, serious emergency dental problem	Serious short-term illness e.g. broken limb, illness or accident requiring hospitalisation
	Hospital appointment	Bereavement or serious illness of close relative or friend
	Funeral	Serious short-term personal disruption e.g. house fire, victim of crime, homelessness
	Court appearance	
Possibly Acceptable Reasons	Significant domestic upheaval e.g. unexpected house move, changing job	Exceptional family crisis e.g. major illness of relative or partner, divorce or separation
	Incident concerning the police (including theft of equipment needed for assessments)	Difficult pregnancy, e.g. where complications occur, or child birth (Pregnancy of a wife/partner is acceptable where childbirth is imminent or medical complications occur)
	Minor illness e.g. serious cold, migraine or sprain of the student's normal writing hand/arm	Significant work pressures <u>above and beyond</u> the normal challenges faced by students
	Dental problems (of a non-emergency nature)	Involvement in an elite event e.g. participation in a national/international sporting event or national/international musical performance
	Jury service	Serious, unexpected and unavoidable financial difficulties beyond the normal challenges faced by students (and not of the student's own making)
	System-wide travel disruptions e.g. grounding of all flights, county- or country-wide public transport disruption	Direct experience of major weather disruptions or natural disasters e.g. house flooding

Normally Unacceptable Reasons	<ul style="list-style-type: none"> • Term-time holidays or weddings • Normal work / life / study pressures • Childcare issues (unless exceptional and unexpected) • Unexceptional financial issues • Pregnancy of a relative (not student's partner/wife) / friend • Minor ailments e.g. a light cough, cold or headache • Hangover • Oversleeping • Misreading of exam timetable or assessment deadline • Taking the wrong examination or coursework assessment (including answering the wrong question) • Stress resulting from involvement in plagiarism, professional suitability or fitness to practice case • Academic workload pressure e.g. multiple deadlines within a short timeframe, difficulty understanding subject or question • Difficulties accessing resources or computing accounts due to outstanding finance issues with the University (unless difficulties are not of the student's own making) • Examination panic (unless clinically confirmed as a chronic anxiety condition) • Issues between friends • Illness or loss of pets • Transport difficulties e.g. car breakdowns, delayed public transport • Computer difficulties or equipment failure e.g. loss of file, inability to access the internet or computer breakdown (unless difficulty relates to software/equipment required as part of reasonable adjustments resulting from a student's disability)
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Membership

There should be least two members on an Extenuating Circumstances Panel (ECP), one of whom shall be the Chair.

Panel Chairs

The Academic Registrar will appoint, based upon recommendations from the relevant Dean of Faculty or Head of School, individuals with significant experience of Examination Board processes to serve as Chairs of Panels.

The Panel Chair cannot also be the Chair or Deputy Chair of the Scheme or Programme Examination Board in question and must be independent from the student under consideration.

Panel Members

The Academic Registrar will invite nominations from the relevant Dean of Faculty and Heads of School for members of Panels.

Panel members will be drawn from internal examiners serving on one or more Boards of Examiners and/or members of the Academic Board or a Committee of the Academic Board.

Referrals to an ECP

ECPs are not programme specific and therefore any taught undergraduate or postgraduate programme may be considered at an ECP.

Extenuating Circumstances Requests must be referred to an ECP in the following circumstances:

- (a) where a [Deputy Chair] declines to support a request; or
- (b) where a student's request relates to a period affected in excess of 14 days; or
- (c) where the student claims impaired performance; or
- (d) where the student makes more than two Self-Certification Extenuating Circumstances Requests in any one academic year and submits a subsequent request without supporting evidence; or
- (e) where an Extenuating Circumstances Request is made beyond the maximum period for submission of a request, as set out in the Extenuating Circumstances procedures.

Terms of Reference

The Panel will:

- i. Normally meet every 2 weeks during term time, and a minimum of once a month outside of term time
- ii. Review each extenuating circumstances request referred to them based upon its merits
- iii. Examine any supporting evidence presented by the student
- iv. Use the criteria within the Extenuating Circumstances procedures to establish whether the application in whole or in part is one that
 - (a) is acceptable; or
 - (b) is not acceptable; or
 - (c) requires clarification or further information from the student concerned, where there is seen to be potential merit to the application.
- v. Validate extenuating circumstances requests that are acceptable for consideration
- vi. Reject extenuating circumstances requests that are not acceptable and record the reason for rejection of the extenuating circumstances request
- vii. Re-consider any application where a request for further information has been received, and to determine a decision where no further information has been received
- viii. Ensure that a decision is reached normally within 4-6 weeks from the date of the request being received by the University
- ix. Make an appropriate record of each decision

5 HOW ARE NEGOTIATED LEARNING PLANS HANDLED?

PURPOSE AND SCOPE OF THE PROCEDURES

- 5.1 The purpose of a Negotiated Learning Plan (NLP) is to support students experiencing difficulties (not related to disability) which they expect will impact them over a medium/long-term period by offering flexibility around assessment deadlines.
- 5.2 These procedures apply to:
 - (a) the submission of all assessments; and
 - (b) all undergraduate and taught postgraduate programmes;
 - (c) all programmes delivered in or by collaborative partners, unless specified otherwise in the relevant Memorandum of Agreement.
- 5.3 NLPs are not appropriate in the following situations (in all cases the appropriate procedures should be utilised):
 - (a) to authorise periods of absence from studies;
 - (b) to make adjustments for students with a disability;
 - (c) to make adjustments regarding professional placements;
 - (d) to agree special arrangements;
 - (e) to vary the mode of assessment; or
 - (f) to request consideration of impaired performance.

RESPONSIBILITIES OF THE UNIVERSITY

- 5.4 Responsibility for the initiation, development, review and termination of NLPs sits with the programme's Deputy Chair (or their nominee), who will act as the programme signatory¹³. **NB:** *Where students are on combined honours programmes, it is expected that both Deputy Chairs*

¹³ A process map and staff guidance is available from <https://cccu.canterbury.ac.uk/registry/academic-administration.aspx>.

will liaise during the development and review of a NLP to ensure consistency across subject areas.

PRINCIPLES GOVERNING THE DEVELOPMENT OF AN NLP

- 5.5 A NLP cannot retrospectively include assessments which occurred before the date a student's difficulties were identified to the programme(s).
- 5.6 Whilst it is expected that the majority of assessments may be included in an NLP, there are some assessment modes where academic or professional restrictions make it impossible to offer flexible deadlines (e.g. group work). In such cases, it is expected that students will be clearly informed at the point of creation which deadlines cannot be moved to allow for appropriate planning.
- 5.7 Whilst it is expected all assessments will be completed, wherever possible, in time for consideration by the Board of Examiners for that programme year, the student and Deputy Chair(s) may agree *in exceptional cases* that some assessments be recommended to the Board for completion at the next available opportunity¹⁴ (highlighting any potential implications of such a choice e.g. to a student's progression or financial situation). **NB:** *in such cases, the Board of Examiners will consider the Deputy Chair's recommendation¹⁵ and decide (in consultation with the External Examiner) whether to award an assessment opportunity.*
- 5.8 A NLP cannot permit extensions beyond the current programme year¹⁶ except where a further opportunity to submit is offered by a Board of Examiners, which may result in submission within a specified period after the formal programme year end, **NB:** *In instances of submission after the end of the programme year, such extensions periods will be subject to University regulations regarding registration and any professional regulatory restrictions relevant to a programme of study¹⁷.*
- 5.9 It is expected that all NLPs will include regular review points, where the student and Deputy Chair can assess whether the arrangements remain appropriate to the student's needs/situation. **NB:** *If a student fails to engage with a review without prior notice or explanation on two consecutive occasions, the NLP will become void (and the standard assessment schedule for the programme will be applied), until such time as the student has participated in a review discussion with the Deputy Chair.*

RESPONSIBILITIES OF STUDENTS

- 5.10 Students are not required to accept the offer of a NLP, however where they accept such an adjustment they must abide by the responsibilities set out for them in the NLP form. **NB:** *Where they fail to meet such responsibilities the Deputy Chair(s) will have the right to refuse further adjustment or terminate the NLP in full.*
- 5.11 It is expected that students will provide the Deputy Chair(s) with sight of relevant professional evidence as part of the development of an NLP.
- 5.12 If a student and Deputy Chair(s) cannot reach an agreement regarding the creation of, options available through (including recommendations to the Board of Examiners) or termination of a

¹⁴ Criteria for guiding staff when this option is considered appropriate are available at <https://cccu.canterbury.ac.uk/registry/academic-administration.aspx>.

¹⁵ No details of the student's condition or specific circumstances should be divulged to the Board.

¹⁶ It is recognised that some programme years may cross academic year boundaries (e.g. April-April cohorts), and in such cases the NLP may continue throughout the *programme* year.

¹⁷ In cases of professional regulatory restrictions, students should be notified of such restrictions at the point of NLP creation.

NLP the case should be presented to the relevant Head of School for adjudication. **NB:** *In such instances, the Head of School may request additional evidence and explanatory statements for the purposes of their deliberations.*

DATA PROTECTION

- 5.13 As a NLP may contain sensitive personal data, it must be stored securely and access limited to those involved in its implementation.
- 5.14 All NLP information will be retained and destroyed according to the University's policy on data retention.
- 5.15 An NLP will not be recorded on a transcript of marks.

6 HOW ARE ACCUSATIONS OF PLAGIARISM INVESTIGATED AND TREATED?

6.1 The Regulations that apply to this area are as follows:

15.26 The University prohibits plagiarism as defined in the University's Policy on Plagiarism. Accusations of plagiarism will be investigated and dealt with under the procedures set out in the Assessment Procedures Manual. These procedures must be applied in full. The findings of plagiarism investigations will be binding upon relevant Boards of Examiners.

SCOPE OF THE ARRANGEMENTS

- 6.2 The arrangements apply to all taught programmes of the University irrespective of level. The procedures do not apply to research degrees.
- 6.3 A thesis, dissertation, report, essay or other form of assessment, which is undertaken as part of either an award-bearing programme or credit-bearing module, must be the student's own work and must not contain plagiarised or duplicated material. In these procedures the term 'plagiarism' includes duplication of a student's work from any form of assessment previously submitted for examination at the University or other any other educational establishment.
- 6.4 The procedures extend to allegations of plagiarism in any submission, whether a first or subsequent submission, including a subsequent submission arising from a reassessment whether or not there was an allegation of plagiarism in the original submission.
- 6.5 Cases that involve any act of direct cheating, including the purchase or commissioning of assessments that are prepared by others, will normally be dealt with by the School under the Academic Misconduct Procedures. Where an allegation is initiated under these plagiarism procedures, and it subsequently becomes evident during the investigation that the alleged was an act of direct cheating, the investigation will be completed under the plagiarism procedures rather than the Academic Misconduct Procedures.
- 6.6 A Deputy Chair of a Board of Examiners ('Deputy Chair') may nominate another member of the Board to undertake the responsibilities set out in the plagiarism procedures, and reference to a Deputy Chair shall be taken to any such nominee.

DEFINITIONS

- 6.7 Plagiarism is the act of presenting the material, ideas, and arguments of another person/persons as one's own. To copy sentences, phrases or even particular striking expressions without acknowledgement in a manner which may deceive the reader as to the source is plagiarism; to paraphrase in a manner which may deceive the reader is likewise plagiarism. Plagiarism is identified in the composition of the work submitted by a student for assessment.
- 6.8 Copying is an act of plagiarism, incorporating into an assessment material from books, journals, the internet, the work of another student or any other source without acknowledgement and submitting it in verbatim or paraphrased form as one's own.

- 6.9 Collusion is an act of plagiarism through the submission of work for assessment that purports to be the student's own work but is in fact jointly written with another student or other students.
- 6.10 Duplication of material means the inclusion in coursework (including essays, projects, reports, dissertations and theses) of a significant amount of material that is identical or substantially similar to material which has already been submitted by the student for the same or any other programme or course at this University or elsewhere. Gross academic misconduct which would require reference to a Faculty Panel represents those cases investigated under these procedures (rather than the Academic Misconduct Procedures) where in the view of the investigator or panel the student has committed an act of plagiarism where the majority of the assessed work is plagiarised and there are strong grounds to indicate that the student has sought to gain an unfair advantage.

STUDENT OBLIGATIONS TO PREVENT PLAGIARISM

- 6.11 In order to comply with the fundamental requirements set out in paragraphs 6.7-6.10 above that all work submitted by the student must be his/her own work, the student must ensure that:
- (i) the submitted work represents the student's piece of work to be marked or graded for the purpose of assessment;
 - (ii) phrases, sentences and passages taken verbatim from a published work are placed in quotation marks, or indented, and the source is acknowledged;
 - (iii) any paraphrasing of ideas and arguments taken from a published work, including those published on the internet, are clearly referenced;
 - (iv) the inclusion of any other intellectual property, for example, illustrations, diagrams, designs, computer software, in written text or project work is clearly identified and acknowledged;
 - (v) the inclusion of material from any electronic sources is carefully referenced;
 - (vi) where work is done collaboratively and a single piece of work is submitted, the collaboration must be permitted by the Deputy Chair and it must be declared on the work; and
 - (vii) the work being submitted, or any substantial amount of it, has not been presented previously or simultaneously for assessment in this University, or elsewhere.
- 6.12 The student is at all times responsible for indicating the inclusion of the work of others in their submissions. Plagiarism does not require intent on the part of the student to deceive the examiner; the act of plagiarism is sufficient for disciplinary procedures to be initiated.

STAGES IN DEALING WITH ALLEGATIONS OF PLAGIARISM

- 6.13 There is a staged approach to investigating allegations of plagiarism, and ordinarily students would be taken through these stages sequentially. The interrelationship between the stages is set out in Figure 1.
- 6.14 At all stages within the procedure, there is an expectation that the appropriate evidence held by the University in relation to the alleged plagiarism will be shared with the student concerned in advance of any interview with the student or panel hearing. A diagrammatic representation is given as Annex A.
- 6.15 Where an allegation of plagiarism is made, no feedback on the assessed work will be given to the student. Where the outcome of the investigation substantiates the allegation of plagiarism and the student is permitted to make a resubmission (whether with a capped or uncapped mark) no feedback on the assessment will be provided other than advising the students of the elements where the allegations of plagiarism have been substantiated.
- 6.16 At the Introductory Stage, in recognition that students in their first year at CCCU may require tuition in academic conventions over and above the general briefings provided, there is an emphasis on support for the student. In their first year at CCCU, students will be given one opportunity at the Introductory Stage. The outcome of the Introductory Stage will normally

not involve the application of penalties, except in cases of serious academic misconduct which would be treated as all other similar cases.

- (i) The outcomes at the Introductory Stage apply only to students studying at CCCU in their first year (whatever level) for one instance.
 - (ii) Following allegations of plagiarism, the student would be interviewed by an investigating officer appointed by the Deputy Chair, normally a tutor from the programme team other than the tutor identifying the plagiarism.
 - (iii) The arrangements may only be applied on one occasion, even when a student changes programmes during a period of registration.
 - (iv) The arrangements for the Introductory Stage are set out in [Schedule 1](#).
- 6.17 At Stage 1 investigations take place at the programme level, and are undertaken by an investigating officer appointed by the Deputy Chair, who would also take disciplinary action.
- (i) The investigating officer is usually a tutor from within the School responsible for the programme, but the Deputy Chair may appoint a tutor from elsewhere within the faculty, or, in extraordinary circumstances, from another faculty. The programme director may be the investigating officer.
 - (ii) The arrangements for Stage 1 are set out in [Schedule 2](#).
- 6.18 At Stage 2, the disciplinary action will be undertaken by means of a School review, instituted by the relevant Head of School on the recommendation of the Deputy Chair.
- (i) The review will be undertaken by a panel of two or three members at least one of which must be from a School where the student is not studying.
 - (ii) The decision on whether the panel will consist of two or three members will depend upon
 - a. the level of study; and
 - b. the size of the module in which the alleged plagiarism took place; and
 - c. the severity of the allegations; and
 - d. the potential consequences of a finding of plagiarism.
 - (iii) The Head of School will make the decision on the number of panel members through undertaking an assessment based on the information presented by the Deputy Chair responsible for bringing the charge of plagiarism.
 - (iv) The review will be undertaken by any combination of members of the School, the Faculty or other faculties, not connected with any previous investigation, including advisory sessions. The Head of School may draw upon other members of the Faculty, or tutors in other faculties, if this is deemed appropriate, to ensure that the student receives a fair hearing.
 - (v) Those undertaking the review will meet jointly with the student and the Deputy Chair, or the nominee of the Deputy Chair.
 - (vi) The arrangements for Stage 2 are set out in [Schedule 3](#).
- 6.19 At Stage 3, the investigation and disciplinary action will be undertaken through a Faculty Panel, appointed by the Dean of Faculty, which will consist in all cases of 3 members. The Secretariat for the Faculty Panel will be appointed by the Academic Registrar.
- (i) Up to two members of the Panel may be from the Faculty initiating the proceedings but not from the School(s) in which the student is studying.
 - (ii) All three members of the Faculty Panel may be from another Faculty, where this is deemed appropriate by the Dean).

- (iii) The Faculty Panel will meet jointly with the student and the Deputy Chair (or the nominee of the Deputy Chair, where this is deemed appropriate).
 - (iv) The arrangements for Stage 3 are set out in [Schedule 4](#).
- 6.20 No matter the level of study, the investigation is undertaken in sequence, with the exception set out in paragraph 6.21.
- (i) If a student Level 6 (formerly HE Level 3) faces allegations of plagiarism for the first time, the Stage 1 of the procedures would be operable as a matter of course, rather than Stages 2 or 3).
 - (ii) Where a student has been investigated at an earlier stage, and plagiarism established, the subsequent investigation would be at the next stage, even if the allegation is made several years later.
 - (iii) Only when an allegation of plagiarism is sustained at earlier stages, or it is evident through investigation the student has engaged in gross academic misconduct, will the matter go to a Stage 3 Faculty Panel, which is likely to impose much harsher penalties such as withdrawal from the programme, the withholding of a qualification, a reduction in degree class or preventing the reassessment of modules.
- 6.21 There is recognition that a student who is being disciplined at any of the stages may have engaged in activities that are of sufficient seriousness that they warrant penalties that may result in termination of the student's studies.
- 6.22 One of the options available at each of the stages is for the matter to be referred to a Stage 3 Faculty Panel for determination. This would only be for cases of gross academic misconduct, where in the view of the investigator or panel the student has committed an act of plagiarism where the majority of the assessed work is plagiarised and there are strong grounds to indicate that the student has sought to gain an unfair advantage. Referral should not be taken on a routine basis or because the student was at an advanced stage in their studies.
- 6.23 The stages in the process entail a progressive increase in the penalties that would be applied. However, there would be no automatic recourse to the stage 3 disciplinary proceedings without consideration at an earlier stage, although if there is a finding of gross misconduct the matter can be referred to a Faculty Panel.
- 6.24 Where a student is alleged to have plagiarised in more than one piece of work concurrently, and the submission dates for the work and the marking session are in the view the Deputy Chair(s) concerned reasonably close together, the investigations will be conducted together at the same stage and be regarded as the same instance. The purpose behind regarding these as the same instance is that the student had not been made aware of the allegation of plagiarism and had not been given the opportunity to undertake study support.
- 6.25 Except for cases identified as per 6.21 above, any submission, including a subsequent submission as a result of an outcome plagiarism stage, should be open to action under the plagiarism procedures and therefore, where appropriate, trigger the next stage in the plagiarism procedures.
- 6.26 All plagiarism cases are to be counted during a student's continuous period of registration. A repeat year would not be counted as the first year at CCCU, and for students undertaking a repeat year, an accusation of plagiarism would be handled under the next sequential stage of the plagiarism procedures as appropriate.
- 6.27 Those undertaking investigations or sitting on panels that could lead to penalising the student must not have been engaged in the assessment of the work.
- 6.28 The decisions of plagiarism investigators and panels are binding on Boards of Examiners.

DEALING WITH OFFENCES: GENERAL PROCEDURES AT STAGES 1, 2 AND 3

- 6.29 The following procedures apply to all cases at Stages 1, 2 and 3; they do not apply at the Introductory Stage.
- 6.30 All the work of a student that has been submitted for assessment and not been agreed by the Board of Examiners may be investigated for plagiarism. This includes work already been submitted, marked, and returned to the student; in such a case any penalty awarded will supersede the original mark.
- 6.31 The examiner who suspects a possible plagiarism offence is responsible for collecting appropriate evidence, including marking the student's work with annotations to indicate the plagiarised material. The examiner will then take the case to the Deputy Chair.
- 6.32 The Deputy Chair will decide whether there is sufficient evidence to proceed with the case.
- 6.33 The Deputy Chair will notify the student in writing of
- (i) the allegation, the grounds for the allegation, and the possible penalties
 - (ii) the arrangements for undertaking the investigation
 - (iii) the student's right to be accompanied by a friend defined as a fellow student, a member of the Students' Union, or a member of staff of the University.
 - (iv) the right to seek support for their preparation for the meeting from the Department of Student Support, Health and Wellbeing or the Students' Union.
- 6.34 The Deputy Chair will determine the members of staff who will be asked to present the evidence.
- 6.35 The student will be invited to appear in person to make an oral presentation and answer questions and may be accompanied by a friend, who may speak on behalf of the student. In exceptional circumstances, the student may participate in a telephone or video conference.
- 6.36 At the meeting, the allegation is to be explained to the student and the student invited to respond.
- 6.37 If the student or member of staff does not attend the meeting, the panel may investigate the case and determine the penalty (if appropriate) in the absence of the student or member of staff.
- 6.38 The Deputy Chair will be notified of the decision, and where appropriate inform the Board of Examiners of the decision.
- 6.39 A record of every meeting will be kept in accordance with the arrangements in the relevant Schedule.
- 6.40 The student is to be informed in writing of the outcome of the investigation in accordance with the arrangements in the relevant Schedule.

APPEALS

- 6.41 There is no right of appeal by the student against the academic judgment of an investigation or the penalty imposed.
- 6.42 The student may appeal through the University's Appeals Procedures on the grounds that the investigation did not follow the correct procedures.
- 6.43 The appeals process does not apply at the Introductory Stage, where no penalty is imposed.

PROFESSIONAL DISCIPLINARY PROCEDURES

- 6.44 A student may be subject to professional disciplinary action where the regulations of a statutory or regulatory body concerned with professional registration require plagiarism to be reported for further investigation in line with the arrangements set out in the relevant fitness to practise or professional suitability procedures.

- 6.45 The report of a plagiarism investigation will be made available to a Fitness to Practice or Professional Suitability Panel and, where required, the relevant statutory or regulatory body, together with any other information that is necessary to investigate the need for a professional disciplinary action. The student has the right to request any information provided by the University in respect of any professional disciplinary action.

SUPPORTING DOCUMENTATION

- 6.46 Supporting documentation approved by the Chair of the Education and Student Experience Committee is provided to provide guidance to those engaged the investigation of plagiarism.
- 6.47 The supporting documentation will be revised from time to time with the approval of the Chair of the Education and Student Experience Committee.

ACCUSATIONS OF PLAGIARISM: SCHEDULE 1

- 6.48 Introductory Stage (available on one occasion during the first year at the University only)

Focus	Advisory
Method	<p>Plagiarism to be reported by the tutor marking the work to the Deputy Chair.</p> <p>Student interviewed by a representative of the Deputy Chair, other than the tutor identifying the plagiarism ('the interviewer').</p> <p>The arrangements may only be applied on one occasion during the student's first year at the University, even when a student changes programmes during a period of registration. (Students whose previous study at Canterbury Christ Church University was completed before September 2010 would be eligible for the Introductory Stage).</p> <p>On the second occasion, Stage 1 will be applied.</p>
Purpose	<p>To require the tutor to identify for the student the evidence giving rise to the allegations of plagiarism when the student meets with the interviewer. The interviewer will discuss how the suspected plagiarism came about, and to identify the means by which the student might overcome the issues identified. The purpose is advisory, rather than disciplinary, except where there is a <i>prima facie</i> case of gross misconduct, the investigating officer may recommend to the head of School concerned that the matter be referred to a Faculty Panel. It will not be regarded a disciplinary procedure, but a record will be made.</p>
Outcomes	<p>The Interviewer might require one or more of the following from the student:</p> <p>Re-presentation of the piece of work (or pieces of work) subject to the plagiarism enquiry, with no penalty.</p> <p>Attendance at study support sessions to enable the student to develop the appropriate style of presentation.</p> <p>Re-interview with the tutor (or another representative of the Deputy Chair) on the marking of the re-submission of the work with a view to review progress and to identify further action points.</p>
Penalties	<p>Except where there is a <i>prima facie</i> case of gross misconduct, when the investigating officer recommends to the Head of School concerned that the matter be referred to a Faculty Panel, no penalty may be imposed other than requiring the re-presentation of the piece of work (or pieces of work) that were the subject of the discussion.</p> <p>The re-presented work would be marked on its own merits and the mark and grade included in the student's profile.</p> <p>Where a student declines to re-present the work, a mark calculated on the basis of the originality of the work will stand, with a mark of zero for those plagiarised sections that are not assessed. [Note in most instances a mark of zero is likely to be awarded.]</p>

Records	<p>The Interviewer is to record the decision arising from the discussion with the student, using the standard pro-forma.</p> <p>A copy of the recorded decision is to be sent to the student, the tutor, the Deputy Chair and the Registry by the interviewer.</p> <p>Where the student is taking a combined honours programme, the Deputy Chair is to copy the decision to the Deputy Chair for the other subject.</p>
Record Retention	<p>The School undertaking the investigation retains the record for the duration of the student's study, and for 12 months after the student leaves the programme.</p> <p>Other Schools receiving a copy of the record should retain the record for 12 months after the completion of the level concerned.</p> <p>The Registry maintains an entry in the plagiarism log for one year after the student leaves the programme.</p>
Notes	<p>At this stage, only the student would attend the advisory session. The student would not be accompanied by another member of the University. This is an exception to the general provision that a student may be accompanied to disciplinary events. The reason is that the event is meant to be an advisory session rather than a disciplinary action.</p> <p>There is no right to request an academic appeal, as the proceedings are not disciplinary in nature except where there is a <i>prima facie</i> case of gross misconduct and the investigating officer recommends to the Head of School concerned that the matter be referred to a Faculty Panel. The student would be able to make a complaint under the Complaints procedure.</p>

ACCUSATIONS OF PLAGIARISM: SCHEDULE 2

6.49 Stage 1 Investigation and Disciplinary Action at a Programme level

Focus	<p>Investigation and disciplinary action at a programme level.</p> <p>The procedures apply at all levels of study.</p>
Method	<p>The student is interviewed by an investigating officer appointed by the Deputy Chair (usually a tutor from within the School, but the programme School may appoint a tutor from elsewhere within the faculty, or, in extraordinary circumstances, from another faculty).</p> <p>The investigating officer is not to have been responsible of assessing any part of the work concerned and to have sufficient independence to undertake the investigation.</p> <p>The investigating officer will meet jointly with the tutor identifying the plagiarism (or another suitable nominee of the tutor) and the student.</p>
Purpose	<p>To investigate the allegation of plagiarism, to discuss how the allegation came about and to consider remedial measures required to support the student in the development of the relevant academic conventions.</p> <p>In conducting the investigation at Level 4 (HE Level 1), the investigating officer may take account of the record of the decision of previous advisory sessions provided in relation to plagiarism, including advisory sessions undertaken in another subject on a combined honours or integrated degree programme.</p>
Outcomes	<p>The investigating officer will determine whether there was a case for plagiarism to be sustained and if so to determine the appropriate penalties.</p> <p>Where there is a <i>prima facie</i> case of gross misconduct, the investigating officer may recommend to the Head of School concerned that the matter be referred to a Faculty Panel.</p>

Penalties	<p>The investigating officer may impose one of more of the following:</p> <p>Only the sections of the assignment determined not to be plagiarised are assessed, with a mark of zero for those sections that are not assessed.</p> <p>[If no mark can be awarded on this basis, or the result is below a pass mark, a re-presentation (as per below) can be applied.] The student is permitted to amend the work and re-present the assessment. Such a re-presentation will take place as soon as reasonably practicable, and if possible, ahead of any meeting of the Board of Examiners. The re-presented assessment will be subject to a capped pass mark at the level of the assessment. The re-presentation would not count as a reassessment of the module and so should not constrain decision-making by a Board of Examiners which may make recommendations in accordance with the Regulations to enable a student to undergo reassessment or progress to the next level or to complete the award.</p> <p>Requiring the student to attend specified study support sessions to address weaknesses identified through the investigation. (Failure by the student to attend would result in the mark of zero for the re-presented work, irrespective of whether the work achieves a marginal pass mark.)</p> <p>Requiring re-interview with the tutor after the marking of the re-presented work to review progress. (Failure by the student to attend would result in the mark of zero for the resubmitted work, irrespective of whether the work achieves a marginal pass mark.)</p>
Records	<p>The decision is to be recorded by the investigating officer.</p> <p>A copy is to be sent to the student, the Deputy Chair and the Registry, using the standard pro-forma, by the investigating officer.</p> <p>If a student is undertaking a combined honours programme, the Deputy Chair is to copy the decision to the Deputy Chair for the other programme.</p>
Record Retention	<p>The School retains the record of the decision for the duration of the student's study, and for 12 months after the student leaves the programme.</p> <p>Other Schools retain the record of the decision for 12 months after the completion of the level.</p> <p>The Registry maintains an entry in the plagiarism log for one year after the student leaves the programme.</p>
Notes	<p>The record of an Introductory Stage (even if undertaken in another School) will be made available to the investigating officer.</p>

ACCUSATIONS OF PLAGIARISM: SCHEDULE 3

6.50 Stage 2 Investigation and Disciplinary Action at a School level

Focus	Investigation and disciplinary action at a School level.
Method	<p>The disciplinary action will be undertaken by means of a School review, instituted by the relevant Head of School on the recommendation of the Deputy Chair.</p> <p>Where the Head of School is the Deputy Chair, the Head of School may still institute the School review.</p> <p>The review will be undertaken by a panel of two or three members at least one of which must be from a School where the student is not studying. Usually the review will consist of two members. The decision on whether the panel will consist of three members will depend upon</p> <p>the level of study; and</p>

	<p>the size of the module in which the alleged plagiarism took place; and</p> <p>the severity of the allegations; and</p> <p>the potential consequences of a finding of plagiarism.</p> <p>The Head of School will make the decision on the number of panel members through undertaking an assessment based on the information presented by the Deputy Chair responsible for bringing the charge of plagiarism.</p> <p>The review will to be undertaken by any combination of members of the School, the Faculty or other faculties, not connected with any previous investigation, including advisory sessions. The Head of School may draw upon other members of the Faculty, or tutors in other faculties, if this is deemed appropriate, to ensure that the student receives a fair hearing.</p> <p>Those undertaking the review will meet jointly with the student and the Deputy Chair, or the nominee of the Deputy Chair (where this is deemed appropriate).</p>
Purpose	<p>To investigate the allegations of plagiarism, and where the allegations are substantiated to determine the appropriate punishment and make recommendations for further remedial measures.</p> <p>In undertaking the investigation, the School review may take account of any previous investigation (but not advisory sessions, as these would be considered the investigation stage).</p>
Outcomes	<p>The School review will determine whether there was a case for plagiarism to be sustained and if so to determine the appropriate penalties.</p> <p>Where there is a <i>prima facie</i> case of gross academic misconduct, the School reviewer(s) may recommend to the head of School concerned that the matter be referred to a Faculty Panel.</p>
Penalties	<p>If the allegation of plagiarism is established, the School review will determine</p> <p>The penalty, with a maximum penalty being an award of zero for the module, noting the consequences for the student.</p> <p>The nature of the re-submission or re-examination of assessment for the module, including the submission of new work for assessments that have already been deemed to have been passed. (Note: a re-submission or re-examination must be permitted subject to the maximum number of reassessment opportunities permitted.)</p> <p>Whether the student is to undertake further study support to address the weaknesses identified. Failure by the student to attend would result in the mark of zero for the resubmitted work, irrespective of whether the work achieves a marginal pass mark.</p> <p>Whether the student is to undertake an interview with the Deputy Chair after the completion of the marking of the resubmitted assessment. Failure by the student to attend would result in the mark of zero for the resubmitted work, irrespective of whether the work achieves a marginal pass mark.</p>
Records	<p>A record of the interview and the decision reached is to be prepared by the School.</p> <p>A copy of the interview and the decision is to be sent to the student, the Head of School, the Deputy Chair and the Registry by the person heading the review.</p> <p>If a student is undertaking a combined honours programme, the Deputy Chair is to copy the decision to the Deputy Chair for the other programme.</p>
Record Retention	<p>Both the School and the Registry are to retain the record of the interview and the decision reached for the duration of the student's registration on the programme and for six months after the student has left the programme.</p>

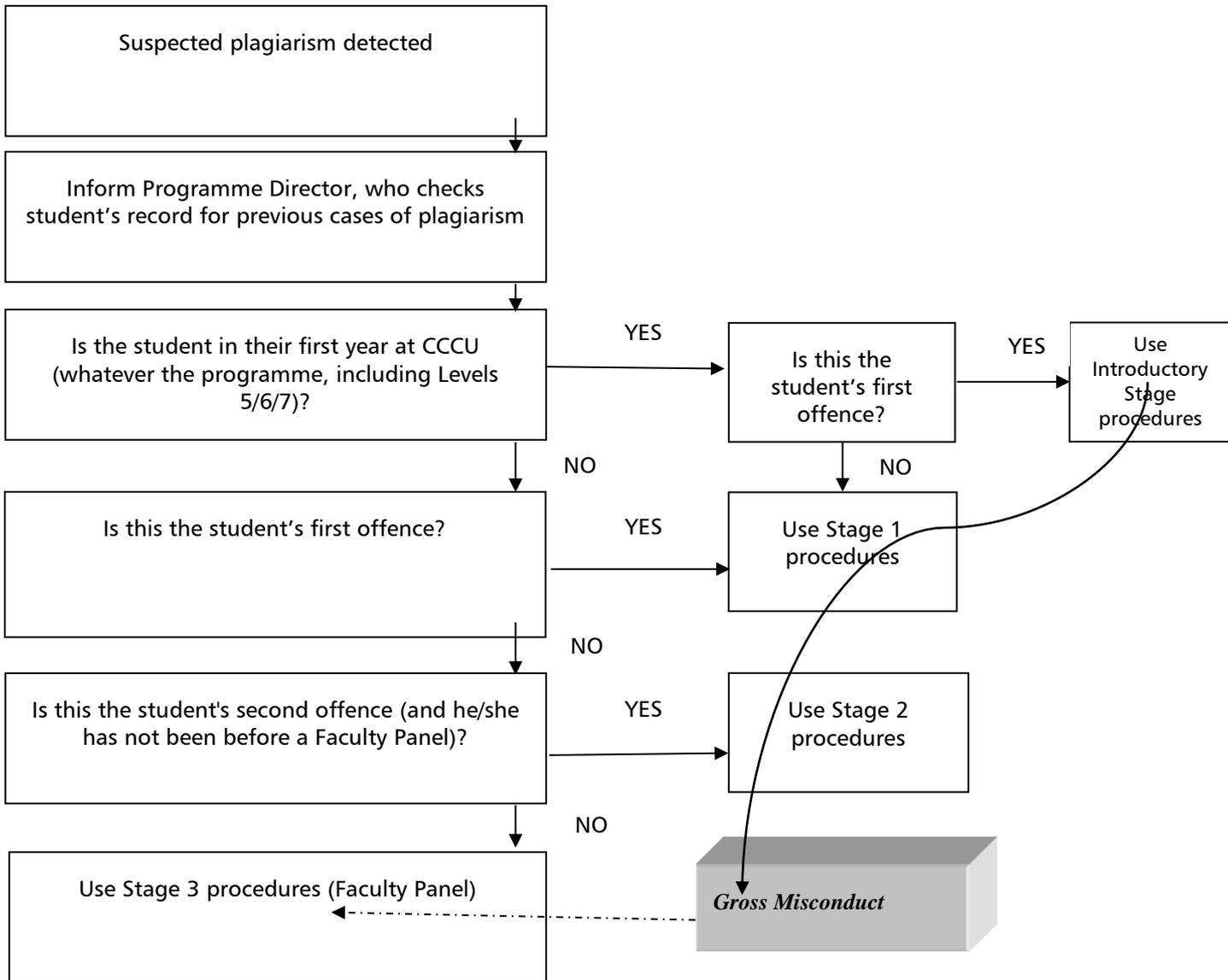
	The Registry maintains an entry in the plagiarism log for one year after the student leaves the programme.
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ACCUSATIONS OF PLAGIARISM: SCHEDULE 4

6.51 Stage 3 Investigation and Disciplinary Action at a Faculty level

Focus	Investigation and disciplinary action at a faculty level.
Method	<p>Disciplinary action will be undertaken through a Faculty Panel, appointed by the Dean of Faculty, which will consist in all cases of 3 members.</p> <p>Up to 2 members of the Panel may be from the Faculty initiating the proceedings but not from the School (s) in which the student is studying. (Note: all 3 members of the Faculty Panel may be from another Faculty, where this is deemed appropriate by the Dean).</p> <p>The Faculty Panel will meet jointly with the student and the Deputy Chair (or the nominee of the Deputy Chair, where this is deemed appropriate).</p>
Purpose	To investigate the allegations of plagiarism and to determine the appropriate penalty, taking account of the reports of previous investigations, including prior School reviews and Faculty Panels (but not advisory sessions, as these would be considered the investigation stage).
Outcomes	The Panel will determine whether the allegations of plagiarism can be substantiated and to determine the appropriate penalty.
Penalties	<p>The Panel has the discretion to determine the range of academic penalties to be imposed, which may include a recommendation for the expulsion of the student from the programme (subject to the appeals process).</p> <p>Where the panel permits the re-submission or re-examination of work (subject to the maximum number of reassessment opportunities permitted), the extent of the re-submission required will be determined by the panel, and is not limited to the re-submission of work for the module concerned. The Panel may determine that work from other modules may need to be re-submitted, even when the student had been deemed to have passed the work concerned.</p> <p>Where resubmission is not permitted, the consequences will be made clear to the student.</p>
Records	<p>A record of the proceedings of the Faculty Panel is to be prepared by a member of the Registry.</p> <p>The Registry is responsible for informing the student of the outcome, and communicating the decision to those members of the University who need to be informed.</p> <p>A copy of the record of the proceedings and the decision is to be retained by the School. If a student is undertaking a combined honours programme, the Deputy Chair is to copy the decision to the Deputy Chair for the other programme.</p>
Record Retention	The Registry is responsible for retaining the records of the proceedings, together with the supporting evidence, for the duration of the student's registration with the programme, and for 3 years after the student has left the programme.
Notes	If the student is permitted to re-submit the work by a Faculty Panel, any subsequent events will be referred to a further Faculty Panel.

ANNEX A PROCEDURES FOR THE INVESTIGATION OF PLAGIARISM



7 HOW ARE ASSESSMENTS SET?

ASSESSMENT SCHEDULES

7.1 The Regulations that apply to this area are as follows:

14.4 All students shall be provided with details in writing of the assessments for the programme for which they are registered and the methods of assessment which will be used in deciding whether or not the student is to be recommended for an award of the University.

Responsibilities of Staff

- 7.2 Programme Directors will ensure that all students are provided with the details in writing of the assessments for the programmes for which they are registered and the methods of assessment and formal feedback which will be used. Written details for students should include the following:
- 7.2.1 At the beginning of each academic period of study (usually the beginning of the academic year), all students should receive a schedule of assessments, assessment feedback and feedback methods for the programme for that year/period of study.
- 7.2.2 Written descriptions of each assessment should include both the submission date AND the date for formal feedback to be given to students.
- 7.3 The timetables for written University examinations are produced by the Registry and School Offices, which have the responsibility to publish the details of those examinations within the University. Details of the examination and of the timetable will be posted on University and School notice boards and the University website as appropriate.
- 7.4 If a significant system outage (defined as one formally confirmed by LTE) occurs on the day of a submission deadline, the submission deadline for the relevant work should be extended by 24 hours. LTE (acting on behalf of Registry) will liaise with the central support services and notify programmes via Staffnet regarding any outages and revised deadlines. The programme teams will be responsible for communicating revised deadlines to students. Where a systems outage occurs outside of office hours, the outage will be confirmed retrospectively as soon as possible.

PREPARING EXAMINATION PAPERS

Responsibilities of the Main Examiner for the preparation of Examination Papers

- 7.5 The person who has overall responsibility for setting and preparing each examination paper will be referred to here as the Main Examiner. The Main Examiner will be expected to liaise with his/her co-examiner(s) to ensure each stage is completed.
- 7.6 The Main Examiner must confirm that the paper has been checked before submission to the external examiner. This check must also ensure that each examination paper complies with the recommendations contained in the Assessment Procedures Manual [p. 40].
- 7.7 Once the paper has been commented upon by the external examiner, the Main Examiner is required to write a short response to the comments of the External Examiners clearly identifying where the recommended changes have not been carried out, together with a brief rationale for their decisions.
- 7.8 The Main Examiner must confirm that the paper has been checked before the Deputy Chair can deliver the final copy to the Registry.

Responsibilities of the Deputy Chair for the preparation and delivery of Examination Papers

- 7.9 The Deputy Chair is responsible for:
- (i) identifying the Main Examiner;

- (ii) ensuring that procedures are in place for typing, formatting and printing the examination papers. The Deputy Chair must also ensure that each paper is in a form ready for printing and complies with the guidance contained within this document;
- (iii) ensuring that in preparing examination papers, appropriate consideration is given to students with disabilities where a reasonable adjustment is required;
- (iv) ensuring that each examination paper is thoroughly checked by at least two internal examiners (e.g. main examiner and another internal examiner involved in setting and/or marking the paper) before being sent to the External Examiner(s)
- (v) submitting the paper for external checking by the External Examiner;
- (vi) ensuring that the internal examiners update their examination papers in response to the comments of the External Examiners(s). The main examiners are required to write a short response to the comments of the External Examiners clearly identifying where the recommended changes have not been carried out, together with a brief rationale for their decisions. The Deputy Chair is responsible for co-ordinating these responses and sending them to the External Examiner(s);
- (vii) ensuring that the examination papers are, again, thoroughly checked after the changes are made in response to the External Examiners' comments;
- (viii) arranging for the reassessment paper to be prepared at the same time as the main examination paper.

Responsibilities of the Deputy Chair for the Submission of Examination Papers to the Registry

- 7.10 The Deputy Chair is responsible for securely delivering examination papers to the Registry, in line with the following guidance:
- (i) examination papers should not be sent to Registry by e-mail nor be sent via the internal post;
 - (ii) clean, clear originals (not photocopies) must be handed in to the Examinations Office by the due date;
 - (iii) the pages of the examination papers must not be stapled together;
 - (iv) all ancillary material (such as case studies) must also be delivered to Registry at the same time as the Examination Paper to which the material relates.

The examination submission schedule for schemes outside the GMS is available on the Registry website:

<http://www.canterbury.ac.uk/support/registry/RecordsandExaminations/exams/examinations-office.asp>

- 7.11 If an examination paper is submitted in a form which is not usable (e.g. with obvious errors, missing pages/ information etc.) the Registry will return the paper to the Deputy Chair, with an error report that is copied to the relevant Head of School. In extreme cases, the examination may be cancelled or postponed by the Academic Registrar.
- 7.12 It is not necessary to deliver an Examination paper to the Registry if the examination is being administered and invigilated by the School. E.g. this would apply to what is commonly termed 'class-tests'.

Responsibilities of the Academic School for the preparation and delivery of Examination Papers

- 7.13 If any errors are found in an examination paper after it has been printed, the School concerned is responsible for the reprinting costs.
- 7.14 It is the responsibility of any School whose examiners have set an examination paper, or any question in an examination paper, to ensure that expert advice is available during the course of any such examination to deal with queries arising from those examination papers.

FORMATTING, LAYOUT AND RUBRIC WITHIN EXAMINATION PAPERS

- 7.15 All papers must be produced on standard A4 white paper, printed on one side only.
- 7.16 All questions must be numbered sequentially, irrespective of the number of sections ensuring that each question on the examination paper has a unique number.
- 7.17 The following margins are required except where the use of figures/ diagrams might dictate otherwise: Top/Bottom - 2.54cm (1"); Right/Left - 3.17cm (1.25").
- 7.18 The front page must not include any examination questions. The contents of the front page are described below in Section 4 and an example is given in Appendix 1.
- 7.19 Every page must include in the centre of the footer a statement of the form "Page n of N" using the font Humanist777 BT, point size 10. n is the current page number and N is the total number of pages in the paper.
- 7.20 Questions should be prepared using the Humnst777 BT font, point size 11, using a line spacing of 1.5 or 1.15.
- 7.21 Diagrams, drawings, photographs etc. must be clear, on white paper and incorporated into the text. Attachments using glue or tape are not permitted. It must be made clear how each diagram relates to a particular question. A space of about a centimetre around a diagram is recommended.
- 7.22 If it is not possible to contain a question on one page then the instruction "***continued ...***" (in bold italic) should appear on the right hand side immediately below the question.
- 7.23 It is important to ensure that all pages, especially diagrams, are clean and clear, since old copies of diagrams do not reproduce very well.

The Front Page and Instructions to Candidates

- 7.24 The front page of the Examinational Paper should only include text.
- 7.25 The text must not be underlined or italicised.
- 7.26 The front page should not contain any examination questions.
- 7.27 The font must be Humanist 777 BT: the point size will be 11 or 12 depending on context.
- 7.28 The following items are to be centred and included in the order shown. The fonts (size and type) are as shown below.

Item	Example
The name of the University	Canterbury Christ Church University
The full Programme title and level	Dip HE in Nursing Studies Level
The School responsible for the paper	ALLIED HEALTH PROFESSIONS
The full validated title of the module	COMMON CHILDHOOD PATHOLOGIES
The examination paper code (i.e. module code)	MEMTT3PDTS
The day, date and time of the Examination	Monday, 11th May 2009 14.00 – 17.00
The following heading (as shown)	Instructions to Candidates
The time allowed, left aligned	Time allowed: THREE hours

- 7.29 The remainder of the rubric will vary slightly from paper to paper but the guiding principle is that the rubric should be clear, concise and unambiguous.
- 7.30 The next item will be a statement about the number of questions to be attempted. This will vary depending on whether the paper is in sections, whether there are compulsory questions or any additional materials. An example of list of entries is given below.

- any initial "reading time" (see below);
- the number of questions to be attempted;
- any constraints on number of questions to be attempted from individual sections;
- any suggested timing advice;
- additional materials supplied by the University;
- additional materials supplied by the student;
- other comments (e.g. this examination paper must not be removed from the examination room);
- finally, the general requirement stating that "Candidates must NOT start writing their answers until told to do so".

- 7.31 Reading time is not normally allowed for examinations, since it is assumed that all students will have been advised that it is good practice to spend the first few minutes reading the paper before starting any answers. If it is deemed essential that students are required to read without starting to write or make notes then the rubric must contain a phrase "plus X minutes reading time", i.e. do not simply extend the timing of the examination without mentioning the reading time.
- 7.32 As well as statements on the Front Page (e.g. all questions carry equal marks) the number of marks available for each question and each sub-section must also be included on the paper. For example:

1. Chemistry is an art not a science. Discuss.

[10 marks]

- 7.33 For papers that are divided into sections:
- (i) state the number of sections.
 - (ii) state the number of questions to be answered from each section.
 - (iii) Each section must be clearly identified (e.g. SECTION A, SECTION B, etc.) and on the actual paper the title of the section, e.g. SECTION A, must be typed in capitals, but not underlined, and with no full stop. If the section has a name as well as a letter this must be typed on the same line in capitals and centred.
- 7.34 Where a question is subdivided and when there is a choice, it must be made clear that there is one (e.g. by use of terms such as "Either" and "Or"). Each option must be clearly identified, for instance by the use of letters, for example,

Either	(a)	< text1 >
Or	(b)	< text2 >

Using bold for **Either** and **Or** signposts the requirements for candidates.

- 7.35 Papers that contain a compulsory question must state the number of the compulsory question, and make clear the compulsory nature of the question(s).
- 7.36 If the Examination Paper has any additional material, students must be informed of this on the Front Page using a heading Additional Material [mixed case and align left-hand margin of the paper]. Under this heading:

- (i) State the special material that is provided (e.g. tables, graph paper, manuscript paper, case study, etc.). Where there is a case study, it must be separate from the question paper, and numbered separately from the examination paper. The Registry will lay anything specified in the rubric out for each student. [See paragraphs 7.41-7.44.]
 - (ii) If students are allowed to bring into the examinations any materials of their own these must be specified on the rubric. Be as specific as possible, to help the Examinations Office and invigilators, since the materials may otherwise be removed causing distress for the candidates and leading to request for an appeal based on material administrative error. Not all candidates may be in the same room, so it is important to detail the information. Preface the information with the comment: "For this examination you may use the following texts of your own:" and indent the information on the next line(s). State the books, articles or equipment (e.g. calculators) that the students are permitted to introduce into the examination room. If a case study or copy of the paper (or part) has been issued in advance include a specimen text with the examination paper.
 - (iii) Make it clear if the students are to inform the examiner of the use of any equipment (e.g. by giving the name and type of equipment used) or if equipment is specifically barred. For example: "Electronic calculators may be not be used".
- 7.37 Papers where candidates make use of separate answer books, it must be made clear if the candidates are to answer specific questions in separate answer books or answer a particular set of questions in the same answer book.
- 7.38 Other instructions that might be appropriate:
- (i) It might be appropriate to make it clear that candidates should avoid the duplication of material used in coursework.
 - (ii) A statement that credit will be given to appropriate specific examples from a different module or a placement might be useful.
 - (iii) How the candidates' time should be divided in answering questions (e.g. "do not spend more than one hour on Section A").
 - (iv) Items separate from the examination papers. Wording will be on the lines of "XXX supplied by the School of YYY".

Publication of rubrics

- 7.39 It is good practice to ensure that all candidates are given access to the front page of the examination, including the rubric and other instructions, in advance. Normally this can be done by providing access to past papers but care must be taken in the cases where the rubric has changed. When the rubric has altered or the examination paper is being presented for the first time the release of the front page must be delayed until the final version of the examination paper has been approved.
- 7.40 It is essential to advise ALL students on module if the rubric will be different, *in any way*, from that appearing on previous papers.

Case Studies and other Additional Materials

- 7.41 The term case study is used in this section to cover all substantial additions to the examination paper that cannot readily be typed and attached to the examination paper as an appendix.
- 7.42 Case studies must be printed separately from the examination paper and the front page must include, in the top right hand corner, the module code matching that on the examination paper. This may be handwritten if necessary. It is likely that any page numbering used in the case study will be in a different sequence from that of the examination paper.

- 7.43 Schools are responsible for providing copies of such material in ample time for printing and, when appropriate, issuing the advance copies of this material, including the cost of printing.
- 7.44 Where candidates are permitted to bring resources into the Examination Room, the Deputy Chair will ensure that the relevant instructions are forwarded to the Registry or School Office at the same time as the examination paper. Registry or the body organising the examination will ensure a copy of the instruction is available in the examinations room.

Materials made available in advance of an examination

- 7.45 Where a case study, a whole question paper, or a part of a question paper, is issued to students in advance, the following procedures apply:
- 7.46 If students are not allowed to use this material in the examination room then they must be given clear instructions to this effect on the front page of the Examination Paper.
- 7.47 If students are allowed to use materials issued in advance in the examination room, and they are permitted to annotate this material, then this additional material should not be attached the Examination Paper or issued by default on the day of the examination. There will be no check on the annotations unless the School specifies to candidates the nature of the annotation and arranges for a check to be made.
- 7.48 If students are allowed to use materials issued in advance in the examination room, and they are not permitted to annotate this material, then this advance copy is not allowed into the examination room. In this case
- (i) the School must arrange for the advance copy to be printed on coloured paper, preferably a colour such as green that is difficult to photocopy;
 - (ii) any student found to have brought into the examination room a coloured copy is liable to be charged with cheating;
 - (iii) the advance copies must be prominently marked: "This copy may not be taken into the examination; students found in possession of it in the examination may be suspected of cheating".
 - (iv) a fresh copy, on white paper, will be issued to every student in the examination room;
- 7.49 When material is issued in advance the rubric of the main paper must include one of the following statements.
- (i) "Case Study on X: a fresh copy is attached. The copy issued in advance must not be used in the examination; possession of the advance copy during the examination may make you liable to an allegation of cheating. If you have a copy with you please give it to the invigilator immediately."

Or

- (ii) "Case Study on X: you may use the copy of the case study issued to you in advance"
- 7.50 Schools can provide on-line access to such materials provided that it is clear to students how to get a paper copy from the School if they wish. If the material is not allowed in the examination room then this copy must not be printable as this would contravene the "coloured paper" convention outlined above.
- 7.51 The School is responsible for:
- (i) printing and issuing the advance copies of this material, including the cost of printing;
 - (ii) ensuring that all students concerned know about the issue dates, times and locations where the document(s) can be collected;
 - (iii) advising students that failure to collect the advance copy will not be treated as a extenuating circumstance;

- (iv) ensuring that a detailed record is kept of those students who have collected the relevant materials, preferably by getting students to sign for them;
- (v) ensuring that spare copies are available in the examination room;
- (vi) ensuring that the advance copies are annotated as described above.

SAMPLE EXAMINATION PAPERS

Canterbury Christ Church University
Inter-professional Learning Scheme Level 5
Forensic Agriculture
Database Management Systems
MFAMD2DMS
Monday 18th May 2009
14.00 – 16.00
Instructions to candidates
 Time allowed: **TWO** hours
 There are **SIX** questions on this paper.
 Candidates are required to answer **FOUR** questions.
 All questions carry equal marks.
 The paper is divided into **THREE** sections: SECTION A, SECTION B and SECTION C.
Section A contains **ONE COMPULSORY** question relating to the article: 'Data modelling - The Third Manifesto'.
Section B contains **three** questions and you are required to answer any **two** of these questions.
Section C contains **two** questions and you are required to answer **one** of these questions.
 Candidates are advised to spend no longer than one hour on Section A.
 A separate answer book should be used for each section.
 Answers to the questions in Part A must be written in the spaces provided on the examination paper.
Additional material: There is one Appendix which contains the article 'Data modelling - The Third Manifesto' that is to be used with questions 1 and 4.
 Electronic calculators may **not** be used.
This examination paper must not be removed from the examination room.
 Candidates must NOT start writing their answers until told to do so.

Canterbury Christ Church University
B.Sc. Off-shore Drilling Level 6
Elements of Economics
MTEMD3EOE
Tuesday 17th May 2011
9.00 – 12.00
Instructions to candidates
 Time allowed: **THREE** hours
 There are **TEN** questions on this paper.
 Candidates are required to answer **FIVE** questions.
 All questions carry equal marks.

Canterbury Christ Church University

B.A. Philosophy Level 4

Introduction to Logic

MPHMD1ITL

Wednesday 18th May 2011

17.00 – 19.00

Instructions to candidates

Time allowed: **TWO** hours

There are **TWELVE** questions on this paper.

Candidates are required to answer **ELEVEN** questions.

The paper is divided into **TWO** sections: SECTION A and SECTION B.

Section A contains **TWO** equally weighted questions. You are required to answer **ONE** of these questions which will be worth 50 marks.

Section B contains **TEN COMPULSORY** questions. The value of each question is indicated at the end of the question. The section is worth 50 marks.

Candidates will be provided with a copy of the text, Hodges, W. (1980) *Logic* Oxford University Press, to use during the examination

Candidates must NOT start writing their answers until told to do so.

COPYRIGHT MATERIAL IN EXAMINATIONS

- 7.52 The Copyright, Designs and Patents Act (CDPA) 1988 permits the reproduction of quotations or extracts from copyright works for examination purposes. However, if past examination papers are made available in the Library or on the Web, normal copyright rules must be observed.

Copying for Examination Purposes

- 7.53 The CDPA states that "Copyright is not infringed by anything done for the purposes of an examination, by way of setting the questions, communicating the questions to the candidates or answering the questions". The one exception to this is the making of a reprographic copy of a musical work for performance by a candidate. This means that extracts or quotations from copyright works may be copied for inclusion in examination papers without prior permission. However, copies made under this provision may not subsequently be used for any other purpose without permission.

Past Papers in the Library

- 7.54 Past examination papers added to library stock are not considered to be 'for examination purposes', so normal copyright rules apply to any extracts included in them. The University may have special agreements in place for the use of some copyright works but, in general, permission must be sought from the copyright holder.

Past Papers on the Web

- 7.55 Schools wishing to put past papers on the web which contain extracts from copyright material should contact the Copyright Unit, who will request permission from the copyright holder.
- 7.56 An alternative approach, which avoids the necessity of obtaining permission, is to remove the extract from the paper and replace it by a reference directing readers to the original work.

General Advice

- 7.57 Short extracts incorporated into individual questions should not normally need copyright clearance.
- 7.58 For extensive use of copyright material the School should contact the copyright holder and ask for permission.

- 7.59 Permission will normally be granted, especially for materials that are out of print, but a licence fee may be charged, which the School must meet. If the copyright is breached, all those involved could be liable, and fines for breaching copyright can be punitive.
- 7.60 Copyright protection extends not only to the contents of the document copied but also to the layout. Pictures reproduced in any texts may well have a different copyright owner from the text itself, particularly in newspapers and periodicals.
- 7.61 It is very important to note that copyright is not limited to the contents of books, but also includes charts, diagrams, statistical tables, etc.
- 7.62 Music scores are rarely permitted to be copied; their copyright tends to be much more stringently applied than that of texts. Supplementary materials such as these must never be copied without permission from the copyright holder, even if out of print.
- 7.63 Use of proprietary names, registered trademarks etc in questions or attachments should normally be avoided, and clearance sought if it is necessary to use them.
- 7.64 For information, advice and assistance contact the Library.

EXAMINATION RESOURCES

- 7.65 The Regulations that apply to this area are as follows:

- 13.12 A Board of Examiners may permit candidates to bring into the examination additional resources for some papers, as stipulated in the question paper rubric. This includes such additions as set texts, case studies, dictionaries and music scores.
- 13.13 Where a Board of Examiners permits candidates to bring into the examination additional resources, candidates must be informed in writing, at least four weeks before the commencement of the examination period, that:
- (i) the responsibility for bringing any materials stipulated as required for the examination is theirs, and
 - (ii) possession of unauthorised material, including non-authorised resources, in the examination, whether for intended use or not, constitutes an infringement which will be subject to penalty.
- 13.14 In examinations where additional resources are not stipulated in the rubric for the examination, the possession of such a resource will be considered an infringement of regulations in the same way as possession of any unauthorised items.

LOCATION OF EXAMINATIONS

- 7.66 The Regulations that apply to this area are as follows:

- 13.9 All venues for examinations must be suitable for the prevention of examination misconduct.
- 13.10 Examinations taken at more than one location must be held concurrently. The Academic Registrar may set this aside to enable a student to undertake an examination at a separate location, where:
- (i) extended invigilation procedures are put in place AND
 - (ii) a student is required, for academic reasons associated with the programme, to be in residence outside the University at the time of the examination, OR
 - (iii) there are exceptional circumstances, supported by appropriate documentary evidence, in which instance any additional cost involved in arranging the examinations will normally be borne by the student.
- 13.11 All University examinations must be appropriately invigilated, as determined by the Academic Registrar.

General Requirements relating to Accommodation for Examinations, time-constrained assessment or class tests

- 7.67 Candidates should be provided with appropriate conditions in which to take the examination.

- (i) A clock must be visible to each candidate in the examination room.
 - (ii) Due attention is to be paid to such matters as heating, lighting, ventilation and the level of noise.
 - (iii) Practical examinations must be conducted under conditions that will provide all candidates with the opportunity to complete their tasks and to display their true level of attainment in the subject concerned.
- 7.68 The room must be suitable for the prevention of academic misconduct, in particular: seating arrangements are to be such as to prevent candidates from overlooking work of others, intentionally or otherwise. Wherever possible, for written examinations:
- (i) all candidates should face the same direction;
 - (ii) each candidate should have a separate desk or table of sufficient size to accommodate the question paper and answer booklet;
 - (iii) candidates who are not working at individual desks must be sufficiently apart such that their work cannot be seen by, and contact cannot be made with, other candidates;
 - (iv) No display material that might be helpful to candidates should be visible in the examination room unless the rubric expressly states that candidates are allowed to use reference material during the examination.

SECURITY AND DATA PROTECTION IN EXAMINATIONS

7.69 The Regulations that apply to this area are as follows:

- 13.22 Examination papers shall be prepared in compliance with the Assessment Procedures Manual.
- 13.23 All electronic and paper copies of assessments or assessment materials must be kept securely stored at all times, in line with the Assessment Procedures Manual.
- 13.24 Any security failures, such as lost drafts, missing disks or other breaches in security, will require a new paper to be set.
- 13.25 In the administration of examinations, the University will adhere to the principles set out in the Code of Practice for the Higher and Further Education Sectors on the Data Protection Act 1998. Examinations are defined as "any process for determining the knowledge, intelligence, skill or ability of a candidate by reference to his performance in any test, work or other activity".
- 13.26 All assessed work including all examinations, coursework, attendance records and feedback must be kept for six months after the meeting of the final Board of Examiners, with the exception of work at Level 4 which need only be retained for six months from the relevant Board of Examiners. Thereafter, it may be disposed of in line with the University Document Retention Strategy.
- 13.27 Examination scripts will not normally be returned to candidates. Arrangements for the return of course work, where appropriate, must be communicated to students in module guidance or programme handbooks.
- 13.28 When it is thought desirable to keep a student's work for longer than set out in the University Document Retention Strategy the student's consent must be sought.

- 7.70 The administration of examinations is a legitimate purpose for data processing by the University. However, all Schools involved in the examination process should take care regarding the security and public availability of data, particularly sensitive data.
- 7.71 The University assumes that, with the exception of those parts of the examination process that are specifically exempted by the Data Protection Act (DPA), all personal data produced and processed for the purpose of examinations and assessment may be obtained by a data subject via a data subject request.
- 7.72 This means that a student could make a request to the Data Protection Officer for data related to the examination process.
- 7.73 Examination scripts are expressly exempted from the data subject access rules. This means that the University is under no obligation to permit examination candidates to have access to either original scripts or copies of the scripts.
- 7.74 Comments on the examination script are not exempt from the DPA.
- 7.75 A subject request for disclosure of information (a Subject Access Request (SAR)) may be made even if only an examination number identifies the candidate. The same principles apply.
- 7.76 Where examiners' comments have been made directly onto scripts the actual 'annotated' script is exempt in the event of a SAR. However, all comments must be reproduced onto a separate form, which is available to the student.
- 7.77 In the event that comments are made directly on the script, and any other assessed work that is not returned to students, the internal examiners must ensure that comments are capable of being produced in a meaningful form in the event of a SAR.
- 7.78 The University has made the decision for course work to be returned in a specified time for students' educational development. In such circumstances the need for a student to make a subject access request for personal data such as examiners' comments will be significantly reduced.

Responsibilities of Staff regarding Security in Examinations

- 7.79 All staff engaged in the preparation of examination papers, should understand that within the Regulations and this document the 'Examination Paper' is taken to mean the actual paper and all associated material, including marking schemes and the associated electronic file(s) etc.
- 7.80 It is vital for all staff engaged in the preparation of examination papers to appreciate the importance of security in relation to the preparation of examination papers. Any security failures such as lost drafts, missing discs etc. will require a new paper to be set.
- 7.81 Examination papers must not be prepared in offices to which students have ready access. If students do have access, the office should be closed to students when examination papers or supplementary materials are being prepared. Examination papers must not be prepared in open access environments.
- 7.82 When working on an Examination Paper staff must close and save the associated file if they have to leave their office or place of work.
- 7.83 Whether an examination paper is stored on a local hard drive, a network drive, or removable storage careful attention must be given to the security of the associated files with password controlled read access and/or encryption being the norm.
- 7.84 Examination papers must be taken in person to the Registry.
- 7.85 Examination papers must not be sent to other internal examiners or administrators through the internal post.
- 7.86 Examination papers must not be sent to other internal examiners, external examiners or administrators by email unless the files are encrypted.
- 7.87 Examination papers must be posted to external examiners using secure mail (e.g. recorded delivery). Normal mail should not be used.

Responsibilities of Examiners regarding Data Protection in Examinations

- 7.88 Examiners should assume that any comment they write, whether it is on a computer file or on paper may be made available to a candidate. This means that examiner's comments must be capable of being read independent of the script. If a student would not be able to read the comments independent of the script, sufficient of the script will need to be reproduced to enable the examiner's comments to be put into context.
- 7.89 It is recommended that where possible comments should be made on attached sheets, not directly on examination scripts. Where comments are handwritten and potentially illegible, a word-processed copy will need to be provided by the School marking the paper in the event of a SAR.
- 7.90 Internal examiners' comments on examination scripts, and any other assessed work, should be both intelligible and appropriate.
- 7.91 The comments should be capable of being understood independent of the script itself.
- (i) The comments should be factually correct.
 - (ii) Where professional and academic judgement is being expressed, it should be evidence of reflection on the response of the candidate.
 - (iii) All comments should be phrased in a professional manner.
 - (iv) No comments should be made that the examiner would not be prepared to make to the candidate in person.
- 7.92 Internal examiners may wish to consider making their comments on a separate sheet, which would allow ease of access.
- 7.93 Care should be taken when making comments on the scripts themselves that they could be reproduced in a form intelligible to the candidates. For instance, in the event of a subject request, a portion of the candidate's examination answer may need to be reproduced.
- 7.94 External Examiners should conform to the same principles as internal examiners in making their comments.

Responsibilities of Deputy Chairs regarding Data Protection in Examinations

- 7.95 Deputy Chairs should advise External Examiners that comments made on individual candidates in a written form, which are in the possession or control of the University, might need to be released in the event of a subject access request. This includes:
- (i) External Examiner comments made on individual candidates that are recorded in the minutes of a Board of Examiners;
 - (ii) External Examiner comments made on the script of an individual candidate;
 - (iii) External Examiner comments made on individual candidates in the report submitted to the University, whether the name or examination number identifies the candidate;
 - (iv) External Examiner comments on individual candidates submitted to the Deputy Chair for the purposes of feedback.

8 WHAT SPECIAL ARRANGEMENTS CAN BE MADE FOR CANDIDATES WITH INJURY OR DISABILITY?

SPECIAL ARRANGEMENTS: REGULATIONS AND BACKGROUND INFORMATION

- 8.1 The University's Regulations on the Special Arrangements for University Examinations are as follows:

- 14.1 Where an application, supported by evidence, is made to the Academic Registrar two weeks in advance of an examination, the Academic Registrar may permit special arrangements for an examination of a candidate

with a disability or an injury. It will be specified whether this is a standing arrangement or relates only to a single, specified assessment.

- 14.2 The following special arrangements are permitted:
- (i) the provision of additional time for the completion of a paper and/or for rest breaks;
 - (ii) reading, or having read to the student, the paper prior to the start of the examination and their answers read back to them;
 - (iii) the provision of special facilities, or an amanuensis, a computer or a tape recording machine;
 - (iv) varying the mode of the assessment.
- 14.3 A candidate who requests special arrangements must submit appropriate evidence as set out in the Assessment Procedures Manual in advance of any special arrangement being made.
- 14.4 There will be no retrospective consideration given for evidence submitted later, outside permitted extenuating circumstances requests.
- 14.5 The Registry may, in an emergency, make special arrangements in line with standard procedures for the examination. The special arrangements made are to be reported to the Academic Registrar as soon as is practicable.

- 8.2 All arrangements referred to in the procedures should be applied in respect to a closed, time constrained examination, test, or other examined assessment as appropriate.

SPECIAL ARRANGEMENTS: PROCEDURES AND GUIDANCE

Responsibilities of the candidate

- 8.3 A candidate who requests special arrangements on the grounds of dyslexia must submit a Chartered Educational Psychologist's (CEP) assessment in advance of any special arrangement.
- 8.4 A candidate who requests special arrangements on the grounds of illness or injury will be required to submit a medical certificate to the Academic Registrar, normally in advance of the examination. The application must be made in writing, and must be supported by appropriate professional evidence. Self-certification is not acceptable, nor are uncorroborated statements from friends, relatives or tutors.
- 8.5 For special arrangements, it is recommended that the application should be submitted as early as possible, and preferably at least two months before a candidate's examinations commence, but not later than two weeks before the commencement of the examination.
- 8.6 There will be no retrospective consideration given for evidence submitted later, outside permitted extenuating circumstances.

Responsibilities of Registry

- 8.7 All special arrangements shall be reported to the Deputy Chair of the Board of Examiners, as soon as possible, and well before the date of the examination.
- 8.8 Registry, in consultation with the University Disability Advice Team where appropriate, will make every effort to interpret the procedures to enable any candidate with a disability or injury to attempt an examination. Candidates will be encouraged to outline what support they require to support professional recommendations.
- 8.9 If a candidate is unable, through disability or injury, to be examined by the normal arrangements specified in the procedures, Registry, in consultation with the University Disability Advice Team and the Deputy Chair, may make alternative arrangements. Such arrangements require the prior approval of the Academic Registrar.
- 8.10 In an emergency, Registry may make special arrangements in line with standard procedures for the examination. The special arrangements made are to be reported to the Academic Registrar as soon as is practicable.

Procedures for Implementing Special Examination Arrangements

- 8.11 It is especially important that a candidate discloses information about any disability at the earliest stage, so the University can work with the candidate to provide the right kind of support in examinations. Every encouragement will be made for an early submission of a request for special arrangements. It is strongly advised that disclosure be made during the application process. A further opportunity to disclose a disability is provided at registration.
- 8.12 Following registration at the University, the candidate will be contacted by the Disability Advice Team to invite the submission of a formal request for special arrangements. It is in the interests of the candidate to submit such a request as soon as possible, to maximise the time available for planning the arrangements for the candidate. The request should be formally addressed to the Academic Registrar, in writing.
- 8.13 Where a disability is identified after registration, the candidate should make a request for special arrangements as soon as is practicable following liaison with the Disability Advice Team. The University cannot guarantee to support a candidate if disclosure is made late, particularly if it results, in the view of the Academic Registrar, in unreasonable demands.
- 8.14 The candidates' disability status will be recorded on the Student Database either at the admissions stage or at registration. The Disability Advice Team will add to the database students who declare after registration.
- 8.15 Registry, in consultation with the Disability Advice Team and, where appropriate, the Deputy Chair, shall determine what special arrangements are appropriate to each candidate. The approval of the Academic Registrar, or nominated deputy, is required on first application and in the case of any variation in the arrangements. In the case of a disability, where a candidate's programme of study extends over more than one year, the arrangements will apply for the duration of the programme, unless the candidate applies for a variation.
- 8.16 Where a candidate suffers an injury immediately before an examination, which is supported by medical certification, but is able to undertake the examination, special arrangements may be made for that examination only.
- 8.17 Where a School is responsible for any written assessment in the form of a closed, time constrained examination, test, or other examined assessment, it is the responsibility of the School to make provision for any special examination arrangements.
- 8.18 Where the examination is administered by the Registry, it will issue details to each candidate of the special approved arrangements, along with any additional instructions, normally within ten working days of receipt of the Special Arrangements request. This does not apply if the application is made less than ten working days before the relevant examinations commence.
- 8.19 Where the examination is administered within a School, the Registry must be consulted, where necessary, in determining the special arrangements.
- 8.20 Any dispute or complaint regarding special arrangements is to be made to the Academic Registrar in the first instance.

GUIDANCE ON APPROPRIATE SPECIAL ARRANGEMENTS

Additional Time Allowance

- 8.21 Extra time may be allowed for all methods of examination. The following are valid reasons for requesting extra time:
- (i) the need for different methods of working;
 - (ii) the time taken to assimilate the question paper;
 - (iii) the time needed to answer a question and possible extra fatigue of working.
- 8.22 Additional time allowances offered to the same candidate may vary from examination to examination according to the nature and content of the examination and/or changing condition of the candidate.

- 8.23 Extra time is calculated as follows:
- (i) 25%: This is the accepted norm in public examinations and is frequently recommended for candidates who have had a CEP assessment. Such candidates are likely to have considerable problems with number and/or spelling, grammar, syntax, the structure of their answers, sequential descriptions of method/process/events, and management of time.
 - (ii) 33%: This denotes the presence of extreme problems, deriving from barely functional literacy or numeracy, very low reading age, very poor spelling, very slow reading and writing speed.
 - (iii) 50% or more: This is permitted under exceptional circumstances whereby an external recommendation has been made by a CEP, which specifically states the requirement for such extra time. Further, a candidate may be granted up to 100% where this is recommended by an organisation or individual with the appropriate experience and qualifications in assessing the needs of individuals with other types of disability such as visual or hearing impairment.
- 8.24 An examination is intended as a test of intellectual ability not of physical stamina. Where an extended examination lasts for more than four hours, the candidate involved shall not normally be required to take more than one examination in a single day, if the candidate has applied for special arrangements before the publication of the examination timetable. Where this is not possible, every effort will be made to ensure an adequate rest period between examinations.
- 8.25 Where an extended examination lasts for more than five hours, the candidates involved shall not normally be required to take more than one examination on two consecutive days, if the candidate has applied for special arrangements before the publication of the examination timetable.
- 8.26 Where the extended examination lasts for more than four hours, an appropriate supervised rest period will be provided.

Provision of Special Facilities: Use of an amanuensis

- 8.27 An amanuensis is an assistant, who writes from a candidate's dictation.
- 8.28 The use of an amanuensis is governed by the following Regulations:

- 14.6 A request for an amanuensis must be submitted to the Academic Registrar, who may approve it on a stand-alone or continuing basis.
- 14.7 The Academic Registrar will ensure that the amanuensis does not have a personal connection to the candidate, other than as a regular amanuensis or carer.
- 14.8 The amanuensis must not prompt the candidate for choice of words, or otherwise indicate in any way a belief or opinion regarding the answer.
- 14.9 The amanuensis must not use short-hand writing and must record answers in the language in which the assessment has been set.
- 14.10 Dictionaries may not be used by the candidate or the amanuensis, except where approved by the Academic Registrar, due to special circumstances.

Requests for amanuensis

- 8.29 A candidate who is unable to write the answers due to a disability, an injury or other cause may be permitted to dictate the answers to a scribe or into a recording device for later transcription, and may be permitted additional time in which to complete the examination paper.
- 8.30 Any candidate with a writing disability whether it is long-term or short-term, or associated with another disability (e.g. visual impairment), can request the assistance of an amanuensis in examinations.
- 8.31 In all cases, the candidate is to provide appropriate professional confirmation of their difficulty in writing examination answers. The views of the University's Disability Advice Team will also be sought, where appropriate.
- 8.32 Each request for an amanuensis must be submitted to the Academic Registrar, who may approve it on a stand-alone or continuing basis.

Persons who may act as an amanuensis

- 8.33 The amanuensis shall be a suitable person who is familiar with the examination process. Usually the amanuensis will be a current or former member of the Disability Advice Team's group of facilitators or a current or former member of staff, but not one responsible for setting or marking the relevant examination. Currently enrolled and suitable research students also may be considered to be amanuenses. In some cases, it may be necessary to engage a professional amanuensis.
- 8.34 An amanuensis should normally have no personal connection with the candidate. A person who has a personal connection with the candidate may be suitable, but this depends on the nature of the relationship; relatives and personal friends are not usually acceptable, but a regular amanuensis or carer would be acceptable. Any request for an amanuensis who has a personal connection with the candidate, other than a regular amanuensis or carer, must be submitted to the Academic Registrar for approval.
- 8.35 The amanuensis should be a person who is able to write legibly or type at reasonable speed, and who has an appropriate knowledge of the examination process.
- 8.36 The amanuensis may not serve as the invigilator for the examination.

Engagement of an amanuensis

- 8.37 In the case of examinations organized by the Registry, the Disability Advice Team will engage an amanuensis for an examination and will arrange for their remuneration.
- 8.38 In the case of examinations organized by a School in the form of a closed, time constrained examination, test, or other assessment, the School liaises with the Disability Advice Team, who then provides an amanuensis and arranges for their remuneration. The School is responsible for the provision of any accommodation or equipment involved.
- 8.39 In cases where there is extra time, other than for breaks, it may be appropriate to appoint two amanuenses, to avoid fatigue on the part of the amanuensis; however, comparability of approach must be guaranteed.

Duties of amanuensis and general procedures at examinations

- 8.40 The Examinations Officer will undertake briefings of amanuenses for examinations organised by the Registry. Where a School organises the assessment, the Deputy Chair will be responsible for ensuring the briefing takes place.
- 8.41 It is vital that there is a clear understanding about any additional time allowed, and whether this includes time for the candidate to check the answers. Guidelines for additional time are set out above.
- 8.42 The invigilator must check with the Examinations Officer or Deputy Chair about any breaks to be allowed the candidate, where the extra time would otherwise make the overall length excessive, and how the break should be taken. Breaks should be under supervision.
- 8.43 The amanuensis must not prompt the candidate for choice of words, or otherwise indicate in any way a belief or opinion regarding the answer. The amanuensis must not use short-hand writing and must record answers in the language in which the assessment has been set.
- 8.44 Responsibility for checking spelling and grammar remains with the student, although amanuenses are chosen who have a high standard of written English.
- 8.45 The amanuensis must report any questions or problems to the invigilator.
- 8.46 The answers must be typed or taken down in longhand; shorthand is not permitted, as it may be difficult for the candidate to verify.
- 8.47 The amanuensis must write legibly. Direct entry to computer by an amanuensis may be acceptable. Such a request must be made in writing to the Academic Registrar at the time that the request for an amanuensis is made.

- 8.48 The amanuensis must ascertain from the Invigilator whether the candidate can read the answers back unaided or requires the answers to be read aloud by the amanuensis.
- 8.49 If an examination answer involves the substantial drawing of charts, graphs or diagrams, or involves other non-written responses, the School must provide suitable approved questions, and inform the Examinations Office. An additional time allowance may be necessary in these instances. Appropriate time must be allowed to select an amanuensis who is able to carry out this type of work.

Practice Sessions

- 8.50 The experience of a candidate who is used to studying/working with an amanuensis will be different from that of a candidate recently identified as disabled or suffering an injury that prevents writing. Dictating answers to an amanuensis is an acquired skill and it may be appropriate that practice sessions are arranged for those candidates not used to this method of working. This may reduce the anxiety during the assessment for both the candidate and the amanuensis.
- 8.51 The Disability Advice Team may arrange for one or two practice sessions. If a candidate requires more than two practice sessions, the agreement of the Academic Registrar should be sought.

Provision of Special Facilities: Alternative Examination Location

- 8.52 All candidates with special arrangements and additional time allowances shall be allocated, at the same time, to an alternative examination location suited to the candidates' needs, to that of the main examination room.
- 8.53 Where candidates have an extended examination period, or make use of a computer, the examination may take place in a room with candidates in a similar position. Where necessary, the candidate may need to undertake the examination in a separate room with access to suitable facilities, for one or more of the following reasons:
- (i) the candidate is using an amanuensis or a reader;
 - (ii) the candidate is unable to undertake an examination in the examination room for reasons related to their mental or physical health;
 - (iii) the candidate is using special aids or equipment that may disturb or affect the other candidates;
- 8.54 At least one University invigilator shall be present in the room. An amanuensis may not have simultaneous status as an invigilator;
- 8.55 In exceptional circumstances, and with the approval of the Academic Registrar, a candidate may be allowed to take an examination in the candidate's place of residence or other location, provided that an invigilator is present.

Provision of Special Facilities: Use of Word Processing Facilities for Written Examinations

University Provision of Computers

- 8.56 The University will take all reasonable steps to provide computers for all disabled candidates who require their use during examinations.
- 8.57 Candidates are to make a request to the Academic Registrar in accordance with the procedures set out above [pp. 50-52] if they require a computer and the type of software they require, unless the Disability Advice Team has advised an emergency agreement for a computer as being essential.
- 8.58 The Registry will log a call with ISS regarding those candidates requiring computers, together with any requirements for special software notified by the candidates, normally with ten days' notice of the requirement.
- 8.59 IT will make the technical arrangements for these examinations in consultation with the Examinations Officer.
- 8.60 Candidates will be notified by the Registry of the facilities (including software) that can be provided by the University. It is the candidates' responsibility to ensure in advance that these facilities are

appropriate. Any additional requirements notified by the candidate after the initial request, will be met wherever possible, but cannot be guaranteed.

- 8.61 In the case of a visually impaired candidate, the University will not stipulate the software, as it is recognised that such software is specific to different types of vision.

Use of Candidates' Own Computers

- 8.62 In general, candidates will not be allowed to use their own computer. Where exceptions are made, candidates will need to demonstrate to the Academic Registrar that the use of University equipment, rather than their own, would put them at a serious disadvantage. This would normally only be the case for students who require the use of assistive software that is not capable of being supported by IT.
- 8.63 A member of IT may inspect the computer before the start of each examination.
- 8.64 The candidate will retain spell-checking features.
- 8.65 In addition, such exceptions will be made only if the candidate:
- (i) clears the computer of material relating to the programme of study;
 - (ii) signs a declaration confirming that no information related to the programme of study is held on their computer;
 - (iii) accepts that the University reserves the right to inspect the information stored on any computer used in a University examination after the examination.

Invigilation

- 8.66 Examinations requiring the provision of word-processing facilities must be invigilated at all times.
- 8.67 During the course of the examination, invigilators will regularly check, by observing the candidate, for any attempt to use information that may be stored on the computer. In the event of a query arising, the invigilator will ask the candidate to save to a memory stick any suspect document.
- 8.68 The Examinations Officer will forward the material to the Deputy Chair concerned, to ascertain whether the material is relevant to the examination. If the material is judged relevant to the examination, the matter will be investigated under the procedures for irregularities in examinations contained within this document.

Examination Conditions

- 8.69 It is vital that invigilators understand additional time allowance, the conditions for which are set out above [p. 50]. The Examinations Officer should make clear to the invigilator the arrangements regarding any breaks allowed for the candidate, where the extra time would otherwise make the length excessive, and how the break should be taken. The arrangement may be that these breaks are away from the examination room, without access to the materials, but under supervision.
- 8.70 At the end of the allocated time, the script will be printed off in the candidate's presence and enclosed within the standard answer book cover. In the event of print failure, the script will be saved to memory stick.
- 8.71 The candidate is not permitted to remove or retain a copy of the answers in any form. The Invigilator will ensure that the answers have not been saved to the PC.

SPECIAL ARRANGEMENTS FOR SPECIFIC CIRCUMSTANCES

Dyslexia

- 8.72 In the case of an examination arranged by the Registry, a cover sheet will be added to the examination script alerting the examiner to the requirement not to penalise the candidate.

- 8.73 The CEP's assessment should indicate the ways in which, and the degree to which, dyslexia might affect the individual's performance in higher education. The Academic Registrar may seek additional information or advice before approving any modification.
- 8.74 Additional time will be allowed, as appropriate, for individual circumstances, and according to the recommendations of the CEP's report.
- 8.75 The use of Information Technology may be allowed provided the psychological assessment supports the request.
- 8.76 When marking an examination script, examiners should not penalise a dyslexic candidate for poor spelling, grammar or punctuation, unless the candidate's use of language is integral to the assessment principles in use (that is, it cannot be separated from the assessment of content).

Hearing Impaired Candidates

- 8.77 The problems encountered by deaf or hearing-impaired candidates vary according to the degree of deafness and the first language of the candidate. The Examinations Officer will consult the Disability Advice Team concerning the appropriate course of action in individual cases. An interpreter for the deaf may be required to facilitate understanding of an examination question or task.
- 8.78 Where necessary, an additional time allowance will be made to provide an opportunity to clarify any misunderstandings over the phrasing or vocabulary of the questions. A candidate may reasonably be expected to understand the technical language of the subject, but not necessarily the language or phrasing of the question itself.
- 8.79 Where clarification of written instructions prior to practical examinations is required, it may be appropriate to engage the services of a lip speaker.
- 8.80 Additional time allowance may be made in individual cases based on specialist advice.
- 8.81 Wherever possible, teaching staff setting examination papers for a candidate who is hearing impaired will, through the Registry and Disability Advice Team, arrange for the paper to be scrutinised by a specialist teacher to facilitate the identification of language or phrasing of questions that may prove problematic. Where necessary, recommended modifications will be made without changing the meaning of a question. Multiple-choice questions may present particular problems, and should be scrutinised with particular care.
- 8.82 The Registry will make the invigilator aware of the need for clear speech and that arrangements are made to seat a candidate who lip-reads at the front of the examination room and to provide any spoken instructions in writing.

Visually Impaired Candidates

- 8.83 Arrangements for visually impaired candidates will vary according to their level of vision, the subject under examination, the nature of the examination and the candidate's chosen work methods.
- 8.84 The Registry will consult, as necessary, the Disability Advice Team, to determine the appropriate arrangements in individual cases.
- 8.85 Examination papers will be provided in a medium appropriate to the candidate's visual impairment, including:
 - (i) large print;
 - (ii) coloured paper;
 - (iii) Braille: It is important that a print copy of the paper is also available in cases of difficulty in understanding the specially prepared paper and for checking purposes;
 - (iv) audiotape: This is provided that the questions are brief and appropriate to such a medium;
 - (v) a Reader.
- 8.86 A diagram that forms part of a question will be expressed in words where possible, as part of the transcription process of the examination paper. However, some questions are inherently

diagrammatic and may not be suitable for particular visually impaired candidates. In such cases, alternative questions will be provided, with the approval of the External Examiner.

- 8.87 Questions that may require a diagram as part of an answer will be modified to indicate where it is possible for the candidate to describe the diagram as part of the response. Where this is not possible, alternative questions will be provided.
- 8.88 For hard copy Braille output, a qualified translator should be employed to transcribe the answers as soon as possible after completion of the examination or an electronic Braille transcriber used if available.
- 8.89 A candidate may request the use of word processing facilities to answer examination questions. If this arrangement is made, the Registry will provide a reader to read the typed answers back to the candidate. The student may request specific assistive software to enable them to use the word processor independently.
- 8.90 A candidate may request to record examination answers on audiotape for later transcription.
- 8.91 An additional time allowance shall be made, to be determined in individual cases by the Academic Registrar based on advice from the Disability Advice Team.

Mental Health

- 8.92 Appropriate procedures for candidates with a mental health disability might include:
- (i) taking an examination in a separate room;
 - (ii) extra time to complete examinations;
 - (iii) taking into account the side effects of any medication on receipt of medical certification, in planning examinations. For example, if medication has adverse effects in the morning, examinations should be scheduled at times when the candidate knows they can perform more effectively.

Epilepsy and other Hidden Disabilities

- 8.93 Candidates with hidden disabilities should have the option of taking their examinations in separate, appropriate accommodation, if there is a possibility of any occurrence that may disrupt the continuation of the examination for themselves or other candidates.
- 8.94 Should a candidate with a hidden disability require a break during an examination, then arrangements should be made for the examination to take place in separate, appropriate accommodation.

PROCEDURES FOR VARYING THE MODE OF ASSESSMENT

- 8.95 This adjustment is only available to students currently on, or in the process of receiving, an Individual Reasonable Adjustment Plan (IRAP) or Learning Support Plan (LSP).
- 8.96 Variations to assessment modes will be agreed only in exceptional circumstances, where professional evidence clearly indicates such an adjustment is necessary.
- 8.97 In exceptional instances, a variation to a student's attendance requirements may be agreed (e.g. authorising absence from taught sessions and permitting the submission of assessments from a distance).
- 8.98 A variation of assessment will normally apply for the duration of a student's programme of study, unless otherwise stipulated by the Academic Registrar or their nominee.
- 8.99 The Academic Registrar, or their nominee, must approve all variations of assessment mode or attendance requirements.
- 8.100 The development of any variation arrangement must involve the student, relevant programme staff, the Disability Advice Team and the Academic Support Office of the Registry.
- 8.101 A variation of assessment can only be approved where an External Examiner confirms it continues to meet the Module(s) learning outcomes.

- 8.102 Where a programme is subject to professional or academic requirements which may prevent the variation of specific assessment modes, programmes will be required to demonstrate that learning outcomes cannot be met in any other way as part of the validation process. Where the validation process confirms such restrictions are appropriate, programmes must ensure students and prospective students have the required information about any essential forms of assessment prior to selecting a programme of study or specific modules.

9 THE USE OF DICTIONARIES IN EXAMINATIONS

THE USE OF DICTIONARIES IN EXAMINATIONS: REGULATIONS AND BACKGROUND INFORMATION

- 9.1 The following Regulations apply to the use of dictionaries in examinations:

- 13.18 Candidates whose first language is not English may apply to use a translation dictionary (which is defined as a dictionary that contains translations only and does not contain extensive definitions, formulae tables or diagrams) during any time-constrained assessment. Each application will be considered individually on its merits. It is the responsibility of the candidate to make an application in writing to the Academic Registrar.
- 13.19 Requests for the use of a translation dictionary are to be made to the Academic Registrar no later than seven working days in advance of the time-constrained assessment.
- 13.20 Use of dictionaries (other than translation dictionaries) in examinations may only be used if permitted by the Assessment Procedures Manual.
- 13.21 Any candidate found using a dictionary other than under the above provisions will be reported as specified in the Academic Misconduct Involving Assessments and Examinations procedures, contained within the Assessment Procedures Manual. A breach of these procedures will be regarded as academic misconduct.

THE USE OF DICTIONARIES IN EXAMINATIONS: PROCEDURES

- 9.2 A Board of Examiners may decide that there should be particular restrictions on dictionaries or extensions to these provisions in individual examinations, where such a restriction or extension is necessary because of the subject matter or method of examination.

Use of dictionaries for individual candidates

- 9.3 If a candidate is granted special examination facilities arising from conditions such as dyslexia, the use of a dictionary (English, foreign language or bilingual) may be considered where appropriate, but must be approved in advance, and the edition approved must not contain any technical data of potential use to the candidate. This approval must be agreed with the Academic Registrar, in line with the guidance below.
- 9.4 Candidates whose first language is not English may apply to use a translation dictionary during any time-constrained assessment. Each application will be considered individually on its merits.
- 9.5 It is the responsibility of the candidate to make an application in writing to the Academic Registrar. Requests for the use of a translation dictionary are to be made to the Academic Registrar no later than seven working days in advance of the time-constrained assessment.
- 9.6 When a candidate is given permission to use a dictionary in a University examination, the Registry will issue a certificate for the student to bring to the examination room detailing the kind of dictionary that is permitted. A list of the candidates permitted dictionaries will be made available at the start of the examination.
- 9.7 The candidate is responsible for the provision of the translation dictionary. Dictionaries must be the candidate's own property. Normally, only one dictionary may be used, although more than one volume of the same dictionary would be allowed.
- 9.8 For any foreign language programmes, no special dictionary arrangements are available for non-native speakers of English, as this could give an unfair advantage over other candidates (e.g. a French native speaker studying French may not be given preferential treatment over native English speakers by having access to a dictionary).

- 9.9 The candidate is not permitted to use a dictionary that contains extensive definitions, formulae tables or diagrams.
- 9.10 Electronic dictionaries or spell-checkers will not normally be permitted, unless a special case is agreed with the Academic Registrar. In all such cases, corroborative evidence is required.
- 9.11 The dictionary shall be subject to inspection by the staff of the Examinations Office and the invigilators at any time during the course of the examination. Normally, such inspection takes place before the start of the examination. The dictionaries will be checked for annotations and concealed notes that may be used for cheating.

Use of dictionaries for all candidates

- 9.12 A Board of Examiners may decide that all candidates for an examination may use dictionaries. If this is the case, the nature of the permitted dictionary will be clearly specified in the rubric for the Examination. Where the use of dictionaries is not clearly specified, dictionaries will not be permitted in the examination, unless under the provisions for individual candidates, given above.
- 9.13 Where a dictionary is permitted for all candidates, this would apply to native and non-native speakers of English alike.
- 9.14 Where dictionaries are permitted for all candidates, they shall be subject to inspection by the staff of the Examinations Office and the invigilators at any time during the course of the examination. Normally, such inspection takes place before the start of the examination. The dictionaries will be checked for annotations and concealed notes that may be used for cheating.

Treatment of candidates found using unapproved dictionaries

- 9.15 Candidates will be reported as specified in the chapter below on 'What are the Procedures for Handling Accusations of Academic Misconduct?' in the following circumstances:
- (i) a candidate is found to be using a dictionary in an examination where dictionaries are not permitted by the examination rubric, and special permission has not been granted to the candidate for the use of a translation dictionary;
 - (ii) a candidate is found to be using a dictionary other than that permitted by the rules of the examination, or found to be using a dictionary other than that permitted by special agreement of the Academic Registrar;
 - (iii) a candidate is found to be using a dictionary containing annotations and concealed notes that may be used for cheating.
- 9.16 Any dictionaries that appear to transgress these provisions will be retained by the invigilator, as specified in the University's procedures for 'Handling Accusations of Academic Misconduct'.

10 HOW ARE EXAMINATIONS CONDUCTED?

Application of the Procedures on the Organisation of Examinations

- 10.1 Where a time-constrained assessment is organised on behalf of the Academic Registry, relevant Registry procedures will apply.
- 10.2 Where a time-constrained assessment is conducted by a School (including examinations and 'class tests'), the Head of School will nominate an individual to manage the conduct of the examination. This will normally be a Programme Director, the link tutor for (or his or her nominee at) a collaborative partner, module tutor or a Senior Administrator.
- 10.3 This guidance applies to written examinations or time constrained assessments that are organised by Registry, a School or a collaborative partner.

The oversight of time-constrained assessments and examinations

- 10.4 It is the responsibility of the Examinations Officer managing the examination to ensure that
- (i) a list of candidates for each examination is produced, available for inspection by the Schools concerned;

- (ii) an examination package is prepared consisting of the essential materials for the examination, including questions papers, any supplementary materials, sufficient examination stationery (which may be purchased in advance from the Registry), and the list of candidates as an attendance sheet;
- (iii) the examination package is secure at all times;
- (iv) the examination package is taken securely to the examination room, together with any other materials required for the examination;
- (v) seating is arranged to minimise disturbances caused by candidates entering or leaving the examination room;
- (vi) set out individual place label at each candidate's desk;
- (vii) question papers are distributed upon desks and that there is sufficient approved stationery for the examination;
- (viii) special arrangements for approved candidates are fully in place;
- (ix) a working clock is in the room that will be visible to all candidates.

Starting the examination

10.5 The Examinations Officer will take all reasonable steps to ensure that:

- (i) candidates are permitted to enter into the examination room in time for them to locate their seats prior to the start of the examination;
- (ii) candidates take into the examination room only those articles and materials that are expressly permitted. (Candidates may refer to English/native tongue dictionaries only with the prior agreement of the Academic Registrar; candidates may take a soft drink into the examination room);
- (iii) any unauthorised items are placed out of reach of the candidates before the examination commences.

10.6 Normally, no-one shall normally be permitted into the examination room, except:

- (i) Registry staff and/or School Administrators;
- (ii) members of the Schools responsible for the setting of the examination papers who are required to be present at the start of the examination;
- (iii) the designated Invigilators for the examination;
- (iv) candidates who are officially registered on the programmes of study and who are eligible to take the examination, time constrained assessment or class test.

10.7 Before candidates are permitted to start work, the Examination Officer must:

- (i) inform candidates that the examination is deemed to be in progress from the time the candidates enter the room until all the scripts have been collected and the candidates dismissed;
- (ii) inform candidates that they will not be permitted to start their examination until formally instructed to do so by the member of staff managing the examination;
- (iii) ensure that candidates are seated in accordance with any prescribed seating arrangements;
- (iv) check that candidates have all the necessary materials to enable them to complete the examination;
- (v) ensure that any dictionaries are those that are approved for all candidates, or for particular candidates, and that these do not contain any material likely to result in cheating (see page 65 of the Assessment Procedures Manual);
- (vi) be satisfied before the commencement of each examination that proper provision has been made for its conduct;

- (i) instruct candidates that mobile phones must be switched off, and must remain so for the duration of the examination. Audio listening devices and video players are only permitted when specified as examination equipment;
- (ii) draw the candidates' attention to the instructions printed on the front of the question paper;
- (iii) bring the attention of candidates the details of any error notices;
- (iv) instruct the candidates to enter a candidate number, module code, and other details as required on their script (or answer booklet), particularly ensuring that their name is ***not*** entered where anonymity is a requirement;
- (v) advise candidates that unless instructions are given to the contrary on the question paper, all work, including rough work, must be done on the examination stationery provided, and that other stationery is not permitted;
- (vi) advise candidates of the clock by which the timing of the examination will be determined;
- (vii) remind candidates that, whilst they are in the examination room, they are forbidden to communicate in any way with, or seek assistance from, or give assistance to, another candidate; and if candidates require assistance, they should raise their hand to attract the attention of one of the invigilators, but remain in their seat;
- (viii) remind candidates that they are not permitted to leave during the first or last hour of the examination;
- (ix) ask candidates to turn over the paper to peruse the questions and to raise their hands in the event of a query. Candidates are not permitted to write on the script during this period;
- (x) ask that candidates check that they have been given the correct examination paper for the module under examination;
- (xi) remind candidates that they should cross through any rough work;
- (xii) announce clearly to candidates when they may begin to write their answers;

During the course of the examination

- 10.8 After the start of the examination, The Examination Officer should record candidates present and absentees on the candidate list. The Chief Invigilator will record late arrivals on the same list.
- 10.9 Candidates must display their University Smartcard (or other valid photographic identification) on their desk throughout their examination. The Examination Officer or the Chief Invigilator will make a check on identification during each examination. If a candidate fails to produce identification for inspection, the candidate will be required to sign an undertaking at the start of the examination to report to the I-Zone or Collaborative Partner Office, with the ID, within two working days. Failure to do so will result in a report to the Academic Registrar, who may initiate disciplinary proceedings through the Student Disciplinary Procedures.
- 10.10 In cases where the identity of a candidate cannot be confirmed, the Academic Registrar will inform the candidate that the examination, including the marking of the scripts, for the module will be suspended until the identity of the candidate can be established. Where appropriate, the Academic Registrar may recommend that action be taken under the University's Student Disciplinary Procedures.

Actions in the event of a mistake in an examination paper

- 10.11 Candidates may query the wording of an examination paper by asking the Examination Officer or Invigilators to check the wording with the relevant examiners. However, candidates may not seek advice or help from an Invigilator, the Examination Officer or any other member of the administrative staff concerning any other aspect of a paper.
- 10.12 Where a potential mistake regarding the paper is identified:
 - (i) expert advice will be sought from the appropriate academic School;

- (ii) no information will be given to candidates about suspected errors on the question paper unless the School concerned gives notice that there has been an error on the paper;
- (iii) all candidates, including those who may be taking the examination in a separate room, will be informed of the amendment;
- (iv) a record must be made of the notice given on the Invigilation Sheet, which the member of the School concerned signs. A copy of such notice is to be forwarded to the Deputy Chair for report to the Board of Examiners, together with an assessment of the impact on the candidates.

10.13 It is the responsibility of any School whose examiners have set an examination paper, or any question in an examination paper, to ensure that expert advice is available during the course of any such examination to deal with queries arising from those examination papers. A School Representative will provide, for the Chief Invigilator, contact details (such as a telephone number) on which s/he will be available for the duration of the examination.

Collection of Scripts at the End of an Examination

10.14 At the end of the Examination the Examination Officer will:

- (i) instruct candidates to remain seated until all the scripts are collected;
- (ii) remind candidates to write their name or Candidate ID on the front cover of each piece of examination stationery used, as appropriate;
- (iii) collect all scripts while candidates who are present at the end of the examination remain seated;
- (iv) check that the total number of scripts collected matches the number of attending candidates stated on the attendance list;
- (v) allow candidates to leave the examination room;
- (vi) release the scripts to the School representative who has been authorised by the Deputy Chair to collect the scripts, or ensure that they are stored securely;
- (vii) ensure that all discarded examination materials are disposed of securely.

10.15 It is the responsibility of each remaining candidate remaining at the end of an examination, to ensure that:

- (i) all scripts and any other answer materials are marked with the student's Candidate ID or the name, as appropriate.
- (ii) staff managing the examination collect the scripts and any other answer materials before leaving the examination room.

EXPECTATIONS OF INVIGILATORS IN EXAMINATIONS

Appointment of Invigilators

10.16 The Registry, for GMS and associated Examinations, or the Programme Director / Pathway Leader, for School Examinations, shall:

- (i) make requests for Invigilators to invigilate Examinations to Deans of Faculties, who shall be responsible for the apportionment of invigilation duties in their Faculty;
- (ii) assess any further requirements for Invigilators, and shall recruit, appoint and train suitable persons as Invigilators;
- (iii) appoint a Chief Invigilator for each examination room. The Chief Invigilator is responsible for the overall conduct of the examination.

Responsibilities of staff invigilating examinations

10.17 All Invigilators must be present in the Examination Room well before the commencement of the examination. All invigilators are to be present for the entire period of the examination, and should

only be absent from the Examination Room in pursuit of their invigilation duties or for other urgent cause, and provided that there is sufficient cover in the Examination Room for the period of absence. All invigilators are to remain in the Examination Room until all the candidates have departed.

- 10.18 Invigilators are responsible for ensuring that all the rules of the examination, and examination conditions are observed. Any breach of Examination Regulations may constitute examination malpractice and may result in disciplinary action being taken.
- 10.19 Invigilators shall have the power to:
- (i) remove, or cause to be removed, any candidate from the examination room for good cause;
 - (ii) curtail activities in the environs of the examination room that they consider detrimental to the performance of candidates.
- 10.20 Invigilators should advise a candidate leaving an examination because of illness to obtain a medical certificate from a qualified medical practitioner, and submit it as a part of an Extenuating Circumstances Request to their Programme Administrator, as soon as reasonably practicable.
- 10.21 The member of staff acting as the Chief Invigilator is responsible for the overall conduct of the examination, and in particular for:
- (i) handling cases where candidates' conduct is causing a disturbance in line with the guidance below;
 - (ii) handling cases where candidates are suspected of cheating, in line with the guidance below.
- 10.22 At the end of the examination, the Chief Invigilator completes the Invigilation Sheet with details of any absences and any additional comments. The report is signed by all invigilators, and is retained by the appropriate School or is collected by Registry for GMS examinations.

11 WHAT ARE THE EXPECTATIONS OF STUDENTS IN EXAMINATIONS?

THE EXPECTATIONS OF CANDIDATES IN EXAMINATIONS

11.1 The Regulations that apply to this area are as follows:

- 13.6 Attendance at all examinations and assessments associated with the approved programme of study is required and any candidate who fails to be present for such an examination at the time and place published by the Registry, School, or partner institution, except when prevented from doing so by illness or other sufficient cause, will be deemed to have failed in that part of the examination.
- 13.7 All candidates are required to undertake examinations at the location so appointed by the Academic Registrar, unless delegated to a collaborative partner, through a formal agreement.
- 13.8 Only a candidate who is registered on a programme of study at the University and is eligible to do so, may undertake the appropriate assessments, or enter the examination room for that programme.

11.2 The following rules apply to students in any time constrained assessment organised by the Registry, an academic School or a collaborative partner.

Responsibilities of Candidates for Attendance at Examinations

- 11.3 It is the responsibility of the candidate to be aware of the details of the examination timetable, and to ascertain the correct time and place of each examination for which he or she is a candidate. Failure by a candidate to attend an examination without reasonable cause will result in the award of no marks for that examination. Misreading of the examination timetable will not be regarded as reasonable cause.
- 11.4 Any candidate who fails to be present for such an examination at the time and place published by the Registry, School, or partner institution, except when prevented from doing so by illness or other sufficient cause, will be deemed to have failed in that part of the examination.
- 11.5 It is the responsibility of candidates to take their University Smartcard or other form of photo identification to each examination.

- 11.6 Candidates refused permission to take an examination outside the University may submit a 'Extenuating Circumstances' case for consideration by the Board of Examiners in accordance with the University's 'Extenuating Circumstances Requests' Policy.
- 11.7 Candidates unable to take examinations on particular days owing to religious commitments should contact the Academic Registrar in writing at least one week in advance of the examination. Although the University is sympathetic to the religious commitments of candidates, it may not always be possible to accommodate all individual requirements.

Students' Responsibilities within the Examination Room

- 11.8 Candidates will sit at the desk identified by their candidate number. A candidate shall not leave his or her seat without the permission of an Invigilator.
- 11.9 Candidates who are late for an examination may enter after the examination has begun, but will not be allowed additional time at the end of the examination.
- 11.10 Candidates will observe silence within the examination room from the time that they enter the examination room. A candidate who causes a disturbance may be required to leave the examination room.
- 11.11 Candidates will ensure all coats, bags, brief cases and other objects are deposited where directed to, well away from the candidates' seating area and usually at the rear of the examination room.
- 11.12 Candidates may not behave in a way that is distracting to other candidates.
- 11.13 Candidates must ensure that mobile telephones and personal music players are switched off for the duration of the examination.
- 11.14 Candidates may only take additional resources to their desk when the Deputy Chair has previously notified to the candidates, in writing, that such material may be used, and it is stated in the rubric to the question paper.
- 11.15 Candidates who bring in equipment that is likely to create a disturbance, may be required to leave the examination room.
- 11.16 Candidates may not withdraw from an examination during the first hour and the last hour of an examination. Candidates may withdraw from an examination at other times, provided they have the permission of an Invigilator. Candidates may not leave the examination room until an Invigilator gives permission. The candidates' written work must be left on the examination desk, for collection by the administrative staff at the end of the examination.
- 11.17 Candidates may not leave and return to the examination room during an examination, unless supervised by an Invigilator while absent. In exceptional circumstances, a suitable person other than an Invigilator deputed by the Chief Invigilator may accompany a candidate. A candidate who is absent from the examination room for part of an examination will not be permitted to continue beyond the time appointed for the end of the examination.
- 11.18 Candidates who wish to leave an Examination Room must do so quietly, and with the minimum of disturbance both inside and immediately outside the examination room.
- 11.19 Candidates present at the end of an examination must remain in their places until all written work has been collected.
- 11.20 Candidates must not remove the examination question paper, examination stationery or any other examination materials from the examination room.

PROCEDURES FOR DEALING WITH DISRUPTION IN EXAMINATIONS

- 11.21 The Chief Invigilator will warn candidates whose conduct is disturbing to other candidates. A candidate who ignores a request from an Invigilator not to behave disruptively may be required to leave the Examination Room by the Chief Invigilator. If any candidate is removed from an examination room for misconduct, the Chief Invigilator must

- (i) note the incident on the Invigilation Sheet;

- (ii) annotate the script with the time at which the candidate left and
 - (iii) report the circumstances to the Academic Registrar immediately, and submit a written report to the Academic Registrar, for forwarding to the Deputy Chair of the Board of Examiners.
- 11.22 The Academic Registrar will arrange for the script of any candidate removed from the examination room to be submitted to the Board of Examiners, as it was at the time the candidate was required to leave.
- 11.23 The Academic Registrar may refer the matter to the Head of School for appropriate action to be taken under the provisions of the University's Student Disciplinary Procedures.

PROCEDURES RELATING TO CHEATING IN WRITTEN EXAMINATIONS

- 11.24 It is an academic offence for a candidate to engage in unfair academic practices or to cheat in any examination.
- 11.25 Where there is clear evidence of an attempt to cheat during a formal examination, the Chief Invigilator, having consulted all other Invigilators present, will:
- (iv) warn the candidate of their conduct, but allow the candidate to complete the examination;
 - (v) confiscate any unauthorised materials immediately;
 - (vi) mark on the script the point at which the cheating was suspected;
 - (vii) at the end of the examination, inform the candidate that a written report will be submitted to the Academic Registrar as soon as possible;
 - (viii) invite the candidate to provide a statement of the incident to the Academic Registrar.
- 11.26 The relevant documents (see below, para 13.6) will be passed to the Academic Registrar, who will arrange for them to be copied to the Deputy Chair of the Board of Examiners concerned. The Academic Registrar may interview the person(s) concerned.
- 11.27 When a report of alleged examination malpractice is made to the Academic Registrar the incident will be investigated and the candidate will be informed of the procedure to be followed, in accordance with the guidelines on Procedures in Respect of Handling Accusations of Academic Misconduct to be found in Chapter 13 of the Assessment Procedures Manual.

12 EMERGENCY REQUIRING THE EVACUATION OF AN EXAMINATION ROOM

EMERGENCY REQUIRING THE EVACUATION OF AN EXAMINATION ROOM: REGULATIONS AND BACKGROUND INFORMATION

- 12.1 The Regulations that apply to this area are as follows:

- 13.29 In the event that a disturbance to a timed examination lasts longer than 30 minutes, the examination will be considered abandoned.
- 13.30 Arrangements will be made for the setting of an alternative examination at a later date if this is judged appropriate by the Board of Examiners. The duration of the examination before the disturbance, and the level of the examination will influence the decision relating to such alternative arrangements. The timing of the alternative examination is to be agreed by the Board of Examiners after consultation with the Academic Registrar. Normally, the examination will be held at the next possible opportunity.
- 13.31 Any alternative examination will have the status of an assessment attempt for all the candidates recorded as present at the examination. The Board will consider candidates absent from the examination in the usual manner.
- 13.32 Candidates will be informed of the results of the examination, and may decline the offer of the alternative examination. In these circumstances, the marks awarded will be recorded as the confirmed mark. Otherwise, the marks obtained in the alternative examination will be confirmed, and the marks obtained from the abandoned examination cancelled.

EMERGENCY REQUIRING THE EVACUATIONS OF AN EXAMINATION ROOM

Responsibilities of the Chief Invigilator in relation to the evacuation of an examination room

- 12.2 The Chief Invigilator must take the following action in the event of an emergency, such as a fire alarm or a safety alert.
- 12.3 Invigilators should do the following:
- (i) Evacuate the examination room in accordance with the University arrangements for the evacuation of the room.
 - (ii) Ensure that the candidates leave all question papers and scripts behind in the examination room.
 - (iii) Ensure that the candidates are supervised as closely as possible whilst they are out of the examination room, so as to prevent collusion. Candidates should be reminded that they remain under examination conditions, and so communication other than with an invigilator is not permitted.
 - (iv) Note the time and duration of the interruption.
 - (v) If possible, alert the Registry of the disturbance, so that further assistance can be given to the invigilators.
 - (vi) After the proper authorities deem it safe to enter the building, permit the candidates to re-enter the examination room.
 - (vii) After the last candidate is seated, allow the candidates the full working time prescribed for the examination on the resumption of the examination.
 - (viii) Within 48 hours of the incident, make a full written report of what happened, and of the action taken, to the Academic Registrar for forwarding to the Board of Examiners.
- 12.4 In the event that a disturbance lasts longer than 30 minutes, the examination will be considered abandoned.

EMERGENCY REQUIRING THE ABANDONMENT OF AN EXAMINATION: PROCEDURES

Procedures to be followed in the event of the abandonment of an examination following the evacuation of an examination room

- 12.5 After the proper authorities deem it safe to enter the building, the staff of the Registry will collect the scripts for release to the person authorised to collect the scripts in the standard way.
- 12.6 After the scripts have been collected, the candidates will be permitted to enter the examination room to collect their personal effects.

Responsibilities of the Academic Registrar in the Event of the Abandonment of an Examination following the Evacuation of an Examination Room

- 12.7 The Academic Registrar will make a report on the circumstances leading to the abandonment of the examination to the Deputy Chair of the Board of Examiners concerned.
- 12.8 The Academic Registrar will send a letter to each student making clear that the Board of Examiners will consider the matter.

Responsibilities of the Board of Examiners in the Event of the Abandonment of an Examination following the Evacuation of an Examination Room

- 12.9 It is the responsibility of the Board of Examiners to decide whether or not to hold an alternative examination at a later date, taking into account the duration of the examination before the disturbance, and the level of the examination will influence the decision relating to such alternative arrangements.

- 12.10 The timing of the alternative examination is to be agreed by the Board of Examiners after consultation with the Academic Registrar. Normally, the examination will be held at the next possible opportunity.
- 12.11 Any alternative examination will have the status of an assessment attempt for all the candidates recorded as present at the examination. The Board will consider candidates absent from the examination in the usual manner.
- 12.12 Should a candidate decline the offer of an alternative examination the Board will confirm that the marks awarded will be recorded as the confirmed mark. Otherwise, the marks obtained in the alternative examination will be confirmed, and the marks obtained from the abandoned examination cancelled.

13 WHAT ARE THE PROCEDURES FOR HANDLING ACCUSATIONS OF ACADEMIC MISCONDUCT?

WHAT IS THE SCOPE OF THE ACADEMIC MISCONDUCT PROCEDURE?

- 13.1 The policy and procedures set out in this document apply to all undergraduate and taught postgraduate programmes of the University. The policy and procedures apply to all cases initiated after 1 January 2015.
- 13.2 Cases of plagiarism will be dealt with under the arrangements set out in the Assessment Procedures Manual.
- 13.3 These procedures cover all behaviour that affects the conduct of assessments and examinations which breaches University processes and which
 - (i) is likely to give an unfair advantage to the student;
 - (ii) affects the integrity of examinations, whether oral, practical, coursework or time constrained written assessments;
 - (iii) causes disruption of the examination process.
- 13.4 Academic misconduct includes, but is not restricted to:
 - (i) deliberate introduction into the examination room of any materials other than those permitted;
 - (ii) making use of unauthorised items or texts during the examination;
 - (iii) deliberate unauthorised removal of an examination script, any part of an examination script or blank examination stationery, from the examination room;
 - (iv) any attempt to confer with, or gain access to the script of, any other student during the period of the examination;
 - (v) copying from the script of another student during the examination;
 - (vi) inappropriately receiving help from or giving help to another person during the examination;
 - (vii) any attempt to tamper with examination scripts or coursework after they have been relinquished by students;
 - (viii) any use of prohibited materials during the period of the examination;
 - (ix) any unauthorised absence of a student from the examination room during the period of an examination;
 - (x) personating or attempting to personate a student;
 - (xi) other conduct likely to give an unfair advantage to the student;
 - (xii) unauthorised access to unseen examination papers;
 - (xiii) obtaining, or to seeking to obtain, any examination stationery or examination papers that are the property of the University;
 - (xiv) attempted or proven offering of financial or other inducements to those concerned with the examination process;

- (xv) commissioning or attempting to commission others to produce assessments, including the use of commercial websites for this purpose;
- (xvi) acting improperly in any way, whether before, during or after the examination, so as to obtain, or give to another student, an unfair advantage in the examination.

13.5 In respect of any postgraduate research, misconduct includes, but is not restricted to

- (i) fabrication or falsification, deception in proposing, conducting or reporting the findings or outcomes of research;
- (ii) deliberate, dangerous or negligent deviations from accepted research or ethical conduct
- (iii) failure to follow approved research protocols particularly if this results in unreasonable risk or harm to research participants, other researchers or others in the environment/institution.
- (iv) collusion in, or concealment of, such actions by others will also be regarded as misconduct.

HOW IS THE PROCEDURE INITIATED IN RELATION TO WRITTEN EXAMINATIONS?

13.6 The Chief Invigilator is responsible for reporting a case of suspected irregularity in a written examination to the Examinations Officer responsible for the oversight of the examination no later than the end of the daily session during which the suspected irregularity occurred, and to provide the relevant documentary evidence.

13.7 In respect of allegations of an examination irregularity, relevant documentation is to include:

- (i) The examination script(s) or other work implicated in the suspicion of examination irregularity, and the question paper
- (ii) The report(s) of the Invigilator(s) of the written examination(s) concerned
- (iii) Any notes, or other items which may have conferred an unfair advantage, found in the possession of a student while in the examination room
- (iv) The record of any interview held with the student(s) concerned conducted by the Chief Invigilator
- (v) The statement provided by the student(s) concerned.

13.8 The relevant documents will be passed to the Director of Academic Administration, who will appoint a case officer. The case officer will arrange for the relevant documents to be copied to the Deputy Chair of the Board of Examiners concerned. The case officer may interview the person(s) concerned to establish the facts.

WHAT ROLE DOES INFORMAL RESOLUTION PLAY IN THE PROCEDURES?

13.9 Where the case officer deems, on the evidence presented, that the allegation of an examination irregularity is of a minor or technical nature, the case officer, after consultation with Deputy Chair concerned, may decide either that the Board of Examiners concerned may deal with the matter or that no further action is taken. In either case, the case officer shall take no further action, other than to inform the student in writing of the outcome.

WHAT IS THE ROLE OF FORMAL INVESTIGATION?

13.10 Where the case officer deems that there is reason to believe there has been a breach of the examination procedures, the case officer will inform the student of the decision to refer the matter to the Investigator. A student may be referred whether or not there is evidence of an intention to deceive; that is, a judgement by the case officer that serious negligence has occurred is sufficient.

13.11 Before undertaking the Formal Investigation, the Investigator will:

- a. inform the student of the nature of the alleged offence and, having given reasonable notice, enable the student to have an opportunity to be heard in accordance with the Framework for Student Procedures; and

- b. advise the student that assistance and support is available from Student Support, Health and Wellbeing or the Students' Union; and
- c. of the right to be accompanied to the meeting in accordance with the Framework for Student Procedures.

WHAT HAPPENS IF THE ALLEGED OFFENCE TOOK PLACE IN AN ASSESSMENT ORGANISED BY THE FACULTY, SCHOOL, DEPARTMENT OR PARTNER INSTITUTION?

HOW IS THE PROCEDURE INITIATED IN RELATION TO ASSESSMENTS UNDERTAKEN WITHIN THE FACULTY, SCHOOL, DEPARTMENT OR PARTNER INSTITUTION?

- 13.12 The examiner is responsible for initiating procedures in relation to a case of suspected irregularity or misconduct in all cases other than those that are the responsibility of the Director of Academic Administration by reporting any suspected irregularity or misconduct as soon as possible after it has been detected, and in any case no later than seven working days from the date of its detection.
- 13.13 The examiner is to provide the Deputy Chair with all relevant documentation, including the record of any interview held with the student concerned, and at the same time notify the student concerned in writing that the matter is being reported to the Deputy Chair.

WHAT ROLE DOES INFORMAL RESOLUTION PLAY IN THE PROCEDURES?

- 13.14 Where the Deputy Chair deems on the evidence presented that the allegation of an examination irregularity or academic misconduct is of a minor or technical nature, the Deputy Chair, after consultation with the Chair concerned, may decide either that the Board of Examiners concerned may deal with the matter or that no further action is taken. In either case, the Deputy Chair shall take no further action, other than to inform the candidate in writing of the outcome.

WHAT IS THE ROLE OF FORMAL INVESTIGATION?

- 13.15 Where the Deputy Chair deems there is reason to believe there has been a breach of the examination procedures or academic misconduct, the Deputy Chair will inform Registry and the student of the decision to refer the matter to the Investigator. A student may be referred to an Investigator whether or not there is evidence of an intention to deceive; that is, a judgment by the Deputy Chair that serious negligence has occurred is sufficient.
- 13.16 Before undertaking the Formal Investigation, the Investigator will:
- a. inform the student of the nature of the alleged offence and, having given reasonable notice, enable the student to have an opportunity to be heard in accordance with the Framework for Student Procedures; and
 - b. advise the student that assistance and support is available from Student Support, Health and Wellbeing or the Students' Union; and
 - c. of the right to be accompanied to the meeting in accordance with the Framework for Student Procedures.

HOW IS THE STUDENT'S PERSPECTIVE CONSIDERED?

- 13.17 The Investigator must ensure the student has adequate opportunity to be heard.
- 13.18 The student has the right to request support in the preparation of the case from the University's Department of Student Support, Health and Wellbeing or from the Students' Union.
- 13.19 The student is to be given a copy of the evidence requested by and presented to the Investigator.

- 13.20 The student has the right to make personal statement in writing. The Investigator must consider all such statements presented by, or on the specific written authorisation of, the student. The Investigator is to be satisfied that any written statements made on behalf of the student have been made available to the student.
- 13.21 Where an Investigator upholds the position of the student based on a reading of the written case, and the student agrees the outcome, there is no requirement that the student is invited to talk with the Investigator.
- 13.22 Where a case requires further investigation, the Investigator must give the student the opportunity to be heard either in a face to face meeting or at a distance by making use of any appropriate means of telecommunication, including telephone and Skype.
- 13.23 When attending in person, the student has the right to be accompanied by a friend, defined as a registered student of Canterbury Christ Church University, a member from the same cohort as the student, a member of the Students' Union Council, an officer of the Students' Union or a current member of staff of the University. In all cases, the friend may speak on behalf of the student.
- 13.24 When a student declines to meet with the Investigator, the Formal Investigation will be concluded based on the evidence collected. The right to Representation to the Vice-Chancellor will be unaffected by non-attendance at a meeting.
- 13.25 It is aimed to complete the Formal Investigation stage within twenty working days of the appointment of the Investigator. The general exception is where notification is received outside the published term dates for the programme, when the aim is to complete the Formal Investigation stage within forty working days of the appointment of the Investigator.

WHAT DECISIONS MIGHT BE MADE BY AN INVESTIGATOR INVESTIGATING ACADEMIC MISCONDUCT?

- 13.26 After consideration of the evidence, the Investigator shall determine whether misconduct or an irregularity has been committed and shall consider what action to take in respect of the student or students involved.
- 13.27 If the Investigator establishes an irregularity has been committed by the student, the Investigator shall determine:
- (i) the seriousness of the offence;
 - (ii) the relation of the assessment in question to the structure of the programme of study for which the student is registered;
 - (iii) the arrangements for being reassessed in the examination/being reassessed in the assessment in question;
 - (iv) the effect concerning outcome that failure of the paper(s) or assessment(s) in question would have on a student in normal circumstances.
- 13.28 The Investigator will determine the outcome, which might include one or more of the following, which are indicative and do not constrain the Investigator:
- (i) That no irregularity/misconduct has been committed and that no further action is taken.
 - (ii) That there has been an irregularity/evidence of academic misconduct but no further action is taken.
 - (iii) That a person designated by the Investigator informally reprimands the student, and reminds the student of the need to observe strictly assessment/examination procedures. Such an informal reprimand shall not be entered on the student's record.
 - (iv) That the student be formally reprimanded and reminded of the need strictly to observe the provisions of the procedures. The Director of Academic Administration shall put such a reprimand in writing as soon as is practicable. Such a formal reprimand shall be entered on the student's record.

- (v) That a reduced mark be given for the performance of the student in the assessment in question. That no mark be given for the performance of the student in part or in all of the assessment in question.
- (vi) That the student fails the module in which the assessment in question falls, with or without the opportunity to undertake reassessment.
- (vii) That the student be permitted to be reassessed in part or all of those assessments or examinations on the next normal occasion, either to enable the student to gain a marginal pass mark for the course or a marginal pass mark.
- (viii) That the student not be permitted to be reassessed in the assessment or examination.
- (ix) Recommend, in writing, to the Academic Board the award be reduced by one or more classification.
- (x) Recommend, in writing, to the Academic Board that no award is made or that the student be excluded from any future assessments or examinations of the University or that an award already made should be revoked.

WHAT ARE THE ARRANGEMENTS FOR REPRESENTATION TO THE VICE-CHANCELLOR?

- 13.29 The student may make a Representation to the Vice-Chancellor in writing against the decision of the Investigator within twenty working days of the date of the formal written response.
- 13.30 In exceptional circumstances, the Vice-Chancellor may extend the time allowed for submission of a Representation if satisfied there were valid reasons why the request was not submitted within twenty working days. Such circumstances might include, but are not limited to, the student being ill or having other pressing reasons.
- 13.31 The Vice-Chancellor will nominate a suitable individual to review the Representation. Normally, this will be the Pro Vice-Chancellor (Education and Student Experience). The arrangements for delegation may include arrangements to cover any period of absence from the University.
- 13.32 The Vice-Chancellor's nominee is not limited in the means of seeking a resolution. The nominee may, for example, propose a particular course of action, recommend mediation be undertaken subject to the agreement of the student or determine that a further investigation is to be undertaken.
- 13.33 The outcome of the Review Stage may be a confirmation that the procedures were followed, the outcome was reasonable and there was no further action that the University should take.
- 13.34 It is aimed to complete the Review Stage within twenty working days of the Vice-Chancellor acknowledging the notification. The general exception is where the notification is received outside the published term dates, when the aim is to complete the Review Stage within forty working days of the notification being acknowledged.
- 13.35 The decision of the Vice-Chancellor's nominee represents the completion of the internal procedures of the University.

WHAT HAPPENS AFTER THE INTERNAL PROCEDURES OF THE UNIVERSITY ARE COMPLETE?

- 13.36 Once the student completes the internal procedures of the University but believes the issue has not been appropriately addressed, the student may complain to the Office of the Independent Adjudicator for Higher Education (OIA).

14 WHAT ARE THE PROCEDURES FOR MARKING ASSESSED WORK?

MODE OF SUBMISSION

- 14.1 The mode of submission for assessment will depend on the nature of the work being assessed.

- 14.2 Where technically possible, all work must be submitted in an electronic format through one of the University's supported systems¹⁸.
- 14.3 A paper copy must not be required where electronic submission through the University's supported systems is possible.
- 14.4 Where the nature of the work being assessed prevents electronic submission through one of the University's supported systems, an alternative mode of submission is permitted.
- 14.5 Where an electronic submission of assessment is made to the incorrect location, provided the submission has been made by the correct deadline, the submission may be considered valid and marked accordingly, provided the below criteria are met:
 - (a) The student notifies the Programme Team or Registry of the error;
 - (b) It is possible to locate the submission;
 - (c) The date and time of the submission can be established;
 - (d) There are no clear indications that the submission was not intended as a final submission for marking; and
 - (e) The submission complies with all other requirements for the assessment other than being submitted to the wrong location.

ANONYMOUS MARKING

14.6 The Regulations that apply to this area are as follows:

- 15.3 All written examination scripts are to be marked anonymously.
- 15.4 Where anonymous marking is extended to course work, the arrangements are to be included in the Board's marking policy and to be communicated to candidates through the programme handbook.
- 15.5 Anonymity ends at the point at which the marking procedure is complete, and the marks are handed over to the person who transfers the marks to the mark sheet by name rather than examination number.

14.7 The examination number for each candidate is generated within QL, but it is not visible to users of QL, including members of the Registry. The examination number is different from the registration identity number.

Responsibilities of Registry for Anonymous Marking Procedures

- 14.8 An examination number is allocated to each student where the Board of Examiners determines that course work and/or examined work is to be marked in whole or in part anonymously.
- 14.9 The Registry will make appropriate provision to ensure that examination numbers are made available to the School Administrator nominated by the Head of School concerned. These examination numbers are provided in strict confidence.
- 14.10 Where anonymous marking is used for examination scripts only, Registry will make the examination numbers available to the School Administrator after the date that registration for the course or module has passed.

¹⁸ A list of the University's supported systems is available on the following webpages: on <http://www.canterbury.ac.uk/EMA>

Responsibilities of School Staff for Anonymous Marking Procedures

- 14.11 It is the responsibility of the School to inform the Registry, in writing, at least two months before the date of submission for the first assessment for the courses that are involved to ensure that examination numbers are available in good time.
- 14.12 Where anonymous marking is used for examination scripts only, the examination numbers will be made available to the School Administrator after the date that registration for the course or module has passed. The information should be held securely within the School until such time that it is required for marking.
- 14.13 The nominated School Administrator is required to acknowledge receipt of examination numbers, in writing.
- 14.14 Schools may format the examination number information for their own purposes.
- 14.15 The Head of School is to determine the release of the information, but this is to be done in such a way that would ensure that the number remains confidential and not ordinarily available to examiners.
- 14.16 To maintain security, the examination numbers must not be used by Schools to generate material that would identify candidates, particularly to examiners. Schools should use the registration identity number for general administrative purposes.
- 14.17 After collection of examination scripts, staff are to ensure that the scripts in the batch are mixed. This is to ensure that the order of the scripts is distorted to prevent identification based upon alphabetical ordering, thus helping to protect the anonymity of candidates.
- 14.18 The markers are to complete the marking anonymously. This means that any agreement on the final mark is to be reached before the anonymous marking is considered complete. If an additional marker is appointed to resolve a disagreement, this process is to be completed anonymously. The markers are to sign the sheet that identifies candidates by their examination number to confirm the marks awarded.
- 14.19 Once the markers have completed the marking, the batch of scripts, together with the mark list identifying the candidate by examination number is handed over to another person (e.g. the School Administrator or an academic colleague) who transfers the marks to the mark sheet by name, and not by examination number. Anonymity ends at this point.
- 14.20 Staff in Schools may match the names of candidates to the University examination number only after the marking process has been completed.
- 14.21 The matching sheets are made available only to the School Administrator nominated by Head of School concerned, who is expected to store the matching lists securely until the marking process is complete. After the marking process has been completed, the sheets may be released to the member of staff responsible for processing the marks.
- 14.22 Although not a requirement, two or more Schools in the same faculty may choose to undertake reciprocal arrangements to guard against breaching anonymity until the finalised list is available. Under these arrangements, the final list should be presented to either the Programme Director or the Head of School in the first instance. Such a procedure may be used if there is particular concern to institute administrative procedures to ensure anonymity.
- 14.23 It is important that great care is taken in transferring marks from scripts to mark lists using candidates' examination numbers. It is essential to avoid errors, especially since the work has to take place in a short time scale.

Responsibilities of the Board of Examiners in relation to Anonymous Marking

- 14.24 A Board of Examiners will decline to accept a script if the candidate, on any part of the script, includes a name that enables the examiners to identify the candidate. The candidate will be required to be assessed at a later date.
- 14.25 It is for the Board of Examiners to determine whether anonymous marking is to be extended to coursework and, if so, to specify which categories of coursework. Where anonymous marking is

extended to course work, the arrangements are to be included in the Board's marking policy and to be communicated to candidates through the programme handbook.

Responsibilities of academic Schools for the Anonymous Marking of Coursework

- 14.26 A School should produce an 'Examined Coursework Cover Sheet' to enable candidates to identify themselves by examination number. It is important that candidates do not write their name on any of the pages they attach to the cover sheet (so that proper anonymity is preserved), but that they do write their examination number on each sheet, or indicate it as a footer, (in case pages should become detached from the cover sheet for any reason). This instruction needs to be included in information given to candidates, including the cover sheet. Where part of the provision entails consideration for spelling, grammar and syntax, candidates with disabilities submit a cover sheet provided for this purpose. Where course work is marked anonymously, the cover sheet should contain only the candidate's examination number.
- 14.27 Schools should include a statement in the programme handbook of the Board's marking policy for coursework, and should advise students that where a proforma is provided it should identify the candidate by examination number only.

Responsibilities of Registry for the Anonymous Marking of Coursework

- 14.28 Where the programme has coursework assessed anonymously, the examination numbers may be released by the Registry once candidates are registered on the programme.

MARKING ILLEGIBLE SCRIPTS

- 14.29 The Regulations that apply to this area are as follows:

- 15.6 An illegible script, either in its entirety or in part, is one that is not possible for an examiner to decipher in such a way that a fair assessment can be made.
- 15.7 At least three examiners must ascertain that they have failed to decipher the script before work is treated as illegible.
- 15.8 An indication of work deemed to be illegible should be made on the script.
- 15.9 No marks shall be given or deducted for work deemed illegible.
- 15.10 If, as a result of decisions on illegibility, a piece of work does not attract sufficient marks to pass, the work will be treated in line with the University's reassessment regulations.

GUIDANCE ON THE MARKING OF WORK WHERE A STUDENT HAS NOT FOLLOWED THE INSTRUCTIONS OF THE EXAMINERS

Cases where too many questions have been answered

- 14.30 A student who completed more questions than required will receive the aggregate mark for the best among the answers up to the number required, e.g. a student who has answered 4 questions when 3 questions should have been answered will receive the aggregate mark for the best 3 answers.

Where coursework exceeds the prescribed length

- 14.31 Where a dissertation or other coursework exceeds the prescribed length by more than 10% (or by any amount where precision is required due to the nature of assessment e.g. writing in a set poetic form) a penalty reduction in marks of 10% (of the eligible marks) shall be applied.

Late Submission of Dissertations, Extended Essays, Projects, and Coursework

- 14.32 The Deputy Chair shall ensure there is a mechanism by which students are informed in writing at the time the assessment is set that they are required to submit dissertations, extended essays, projects, and coursework by the deadline notified to them.
- 14.33 If a student provides evidence of illness or of other misfortune that prevented the submission of coursework, dissertations, extended essays or projects (or any other form of continuous assessment) by the due date by completing a 'Extenuating Circumstances Request' the Deputy

Chair should refer to the chapter on 'How Are Extenuating Circumstances Requests Handled?' [Chapter 4] and advise the Board of Examiners accordingly.

- 14.34 Where an extension results in a mark not being available in time for the meeting of the Board of Examiners, the prior approval of the Academic Registrar is required.
- 14.35 In the case of late submission of course work without an approved extenuating circumstance, the work will be penalised.
- 14.36 The penalty to be applied by all programmes, unless a special regulation is approved by Academic Board, will be 5% (of the eligible marks) per day for up to 7 days, after which time a mark of 0 will be recorded.
- 14.37 Where the penalty is applied to a reassessment it will be applied to the marked assessment before the cap of the pass mark is applied.
- 14.38 Where a request is made for a special regulation it is expected that this will normally be as a result of professional body or employer expectations, that the penalty will be for the mark of 0 to be applied where work has not been submitted by the deadline, and that special regulations will be on applied a scheme wide basis (where programmes are part of a scheme).
- 14.39 All work penalised because of late submission will be subject to the normal reassessment regulations.
- 14.40 The application of any penalties will be done according to agreed Registry procedures to ensure transparency of marking for the Board of Examiners and external examiners.

Failure to attempt an examination or timed assessment

- 14.41 In the case of failure to attempt an examination or a timed assessment without good cause the student should be awarded a mark of zero.
- 14.42 If a student who fails to attempt an examination or a timed assessment submits a 'Extenuating Circumstances Request form' then the Deputy Chair should refer to 'Extenuating Circumstances Requests' and advise the Board of Examiners accordingly.

SECOND SAMPLE MARKING

14.43 The Regulations that apply to this area are as follows:

- 15.11 Second sample marking is the process whereby a second internal member of the Board of Examiners ensures that the criteria for assessment and arrangements for feedback have been appropriately applied through the sampling of the work assessed by the first marker.
- 15.12 All assessed work must be second sample marked in line with the Assessment Procedures Manual.
- 15.13 Unless Double marking is applied, second sample marking will be through a process of sampling, as set out in Assessment Procedures Manual.
- 15.14 A brief report will be provided on the second sample marking process, using the appropriate University template, to provide evidence of the completion of the process. The second internal examiner will not be responsible for providing any feedback to students.
- 15.15 Where the second internal marker for a unit of assessment indicates significant inconsistencies in the marking, systematic deviations from the marking criteria or inappropriate feedback to students, all assessment for that unit of assessment will be double-marked.

Responsibilities of the Deputy Chair of the Board of Examiners

- 14.44 It is the responsibility of the Deputy Chair to establish a system of second sample marking for all assessed work that includes all fails and a sample of the other marks or grades spread across the range. The sample is to consist of either 10 pieces of work for each assessment or 20% of the submitted pieces of work for each assessment whichever is the greater.

Responsibilities of the Second Sample Marker

- 14.45 It is the responsibility of the second sample marker to ensure that the criteria for assessment and arrangements for feedback have been appropriately applied in a sample of work across a module.
- 14.46 It is the responsibility of the second sample marker to provide a brief report on the second sample marking process to the Board of Examiners, using the appropriate University template issued by the Quality and Standards Office, to provide evidence of the completion of the process. The template is provided at <http://www.canterbury.ac.uk/quality-and-standards-office/regulation-and-policy-zone/regulation-and-policy-zone.aspx#S>
- 14.47 The second sample marker will not be responsible for providing any feedback to students.

DOUBLE MARKING

- 14.48 The Regulations that apply to this area are as follows:

- 15.16 Double marking is the process whereby a second internal member of the Board of Examiners ensures that the criteria for assessment and arrangements for feedback have been appropriately applied through the review of every piece of assessment.
- 15.17 Double marking may not be applied to the work of selected students or to selected pieces of work.
- 15.18 Double marking is required in the following circumstances:
- (i) where a piece of work is undertaken only by a single student, such as independent study, dissertation, negotiated module assessment;
 - (ii) where it is impossible to revisit the assessment that is not part of a sample performance and exhibition, or where a piece of work is taken only by a single student;
 - (iii) where, because of a requirement of an external regulatory body, the programme validation imposes Double marking and binds the Board of Examiners to adopt the practice as a policy decision;
 - (iv) where the Academic Board requires Double marking to take place.
 - (v) where the second sample marking for a unit of assessment indicates significant inconsistencies in the marking, systematic deviations from the marking criteria or inappropriate feedback to students.
- 15.19 The second examiner will provide a brief report on the Double marking process, using the University template, to provide evidence of the completion of the process. The second internal examiner will not be responsible for providing any feedback to students.
- 15.20 In the case of a disagreement following double marking, between two double markers, and a resolution with the first marker and second sample marker is not possible, the Chair of the Board of Examiners will appoint a senior member of staff to review the work of the whole cohort and whose marks will be those reported to the Board of Examiners.

Responsibilities of the Deputy Chair of the Board of Examiners

- 14.49 The Deputy Chair will ensure that, where a Third Internal Marker has been appointed, it is the marks of the Third Internal Marker that are reported to the Board of Examiners.

Responsibilities of the Double Marker

- 14.50 It is the responsibility of the double marker to ensure that the criteria for assessment and arrangements for feedback have been appropriately applied in every piece of assessment.
- 14.51 The double marker will provide a brief report on the double marking process, using the appropriate University template issued by the Quality and Standards Office, to provide evidence of the

completion of the process. This is provided at <http://www.canterbury.ac.uk/quality-and-standards-office/regulation-and-policy-zone/regulation-and-policy-zone.aspx#D>

14.52 The double marker will not be responsible for providing any feedback to students.

Action in the case of an irresolvable disagreement between a first and second sample marker

14.53 In the case of an irresolvable disagreement on the mark to be awarded for a particular piece of assessed work between two independent internal examiners following double marking, the dispute shall be referred to a third Internal Marker for resolution, as designated by the Chair. The marks applied by the Third Internal Marker shall be those that are reported to the Board of Examiners.

MODERATION

14.54 The Regulations that apply to this area are as follows:

- 15.21 Moderation is the process of reviewing summative assessments to ensure consistency in the application of the marking criteria where there is more than one pair of first and second internal markers.
- 15.22 The role of the moderator is to report on the fairness and consistency of the marking process and not to change marks.
- 15.23 Moderation may not be undertaken by Affiliate Examiners.
- 15.24 Moderation requires the work of all first markers to be sampled. The sample is to consist of either a minimum of five pieces of work for each assessment or 10% of the submitted pieces of work for each assessment, whichever is the greater.
- 15.25 Where a moderator believes that marking has been applied inappropriately and a resolution with the first and second markers is not possible, the Chair of the Board of Examiners will appoint a senior member of staff, who will review the work of the whole cohort and whose marks will be those reported to the Board of Examiners.

Responsibilities of the Deputy Chair of the Board of Examiners

- 14.55 It is the responsibility of the Deputy Chair to establish arrangements for moderation, reviewing summative assessments to ensure consistency in the application of the marking criteria where there is more than one pair of first and second internal markers.
- 14.56 The Deputy Chair will ensure that moderation is only undertaken by those members of a Board with Full Internal Examiner Status as defined by the Regulations.
- 14.57 The Deputy Chair will ensure that moderation is based on a sample of all first markers. The sample is to consist of either a minimum of five pieces of work for each assessment or 10% of the submitted pieces of work for each assessment, whichever is the greater.
- 14.58 The Deputy Chair will ensure that, where a Third Internal Marker has been appointed, it is the marks of the Third Internal Marker that are reported to the Board of Examiners.

Responsibilities of the Moderator

- 14.59 It is the responsibility of the moderator to report on the fairness and consistency of the marking process where there is more than one first and second sample marker, based on a sample of assessments of first markers.
- 14.60 It is the responsibility of the moderator to provide a report to the Board of Examiners, in line with the University Template, which is provided at <http://www.canterbury.ac.uk/quality-and-standards-office/regulation-and-policy-zone/regulation-and-policy-zone.aspx#M>
- 14.61 The moderator will not change marks or will not be responsible for providing any feedback to students.

Action in the case of irresolvable difference between the first and second sample marker

- 14.62 Where a moderator believes that marking has been applied inappropriately and a resolution with the first and second sample markers is not possible, a Third Internal Marker shall be appointed by the Chair of the Board of Examiners.

FEEDBACK TO STUDENTS ON MARKED ASSESSMENTS

- 14.63 The Regulations that apply to this area are as follows:

13.5 Formal feedback on assessed work must be provided to students in line with the University's agreed procedures as set out in the Assessment Procedures Manual.

- 14.64 Formal feedback on assessment is key aspect of assessment for learning. It is important for enabling student development and progression. Feedback on assessment should be given to students as soon as possible to enable students to review progress and to identify areas for improvement in future work.

- 14.65 All students should receive formal feedback (including the mark) as soon as possible and within the maximum time of 15 working days post assessment submission, except for the following:

(a) Dissertations, extended projects, independent studies (usually work of a word equivalence of 5,000 words or more).

(b) Formal examinations supported by Registry.

(c) Work submitted for Research Degrees and taught Doctorates.

(d) Negotiated Learning plans where students have an approved learning agreement in place.

(e) Work submitted after the deadline.

For a., b., c., d and e. the deadline dates will be set at the discretion of the programme team, but must be as soon as possible and timely to inform students' development and must be clearly communicated to students as per the procedures for formal feedback outlined in the Assessment Procedures Manual.

- 14.66 Working days are defined as Monday to Fridays when the main University functions are open for business. They are not limited to term times.

- 14.67 Formal feedback should include qualitative comments and the mark, as confirmed by second or double marking processes.

- 14.68 Where there are substantive logistical reasons for a revised assessment deadline on an ongoing basis beyond the normal maximum times, application for a revised deadline should be made via the 15 Day Deadline Variation Request Form as per the guidelines.

- 14.69 Where the return of feedback to students will be unusually delayed (e.g., a one-off instance because of staff illness), students should be notified in writing of the delay by the original feedback deadline. They should be given a revised date for feedback. Every effort should be made to ensure feedback is given to students in good time for them to utilise feedback in preparing their next relevant submission.

- 14.70 If a significant system outage (defined as one formally confirmed by LTE) occurs on the day of a submission deadline, the deadline for the return of feedback for the relevant work should be extended by 24 hours. LTE (acting on behalf of Registry) will liaise with the central support services and notify programmes via Staffnet regarding any outages and revised deadlines. The programme teams will be responsible for communicating revised deadlines to students. Where a systems outage occurs outside of office hours, the outage will be confirmed retrospectively as soon as possible.

Responsibilities of Staff

- 14.71 The Programme/Pathway Director is responsible for having oversight of the assessment mechanisms/processes for the programme which enable all students to receive formal feedback (including the mark) as soon as possible and within the given deadlines.

- 14.72 Where the Programme/Pathway Director identifies a significant issue in relation to meeting obligations for assessment feedback, this should be brought to the attention of the relevant Head of School/Centre or nominee.
- 14.73 Where the return of feedback is unusually delayed the Programme/Pathway Director should ensure that the appropriate notification and revised deadline has been given to students.
- 14.74 Where the programme team believes that the standard feedback deadline should be extended for a programme or module for substantive logistical reasons (e.g., nature of programme delivery, etc), the Programme/Pathway Director is responsible for applying in writing to the relevant Faculty Quality Committee for a variation of the deadline date.
- 14.75 Applications should be made on the University template [15 Day Variation Request form](#) and will need to include a clear rationale and duration of the variation in deadline.

Responsibilities of the Faculty Quality Committee

- 14.76 It is the responsibility of the Faculty Quality Committee to monitor the timeliness of feedback to students on summative assessment.
- 14.77 It is the responsibility of the Faculty Quality Committee to consider 15 Day Variation Requests for approval.
- 14.78 Deadline variations will be made for a set period of time as determined by the Faculty Quality Committee through the approval process. After which, if a deadline variation is still required, a new application should be made.

15 WHAT IS THE ROLE AND MEMBERSHIP OF BOARDS OF EXAMINERS?

CONDUCT OF BOARDS OF EXAMINERS

- 15.1 It is a Regulation that Boards of Examiners must be conducted in line with the procedures set out in this document:

- 16.8 Boards of Examiners must be conducted in line with the procedures outlined in the Assessment Procedures Manual and it is the responsibility of the Chair of the Board of Examiners to ensure that this occurs.

A note on collaborative provision

- 15.2 There should be no distinction in the procedures relating to Boards of Examiners for collaborative provision. The procedures and policies approved for the University apply to all collaborative partners.

THE ROLE OF BOARDS OF EXAMINERS

- 15.3 The following Regulations define the role of Boards of Examiners in relation to progression and award decisions.

- 16.5 Deriving its authority from the Academic Board, the programme Board of Examiners shall:
- (i) Ensure that the assessment process is operated in a fair and reliable manner making use of agreed assessment criteria and in line with the University's Regulations and assessment procedures.
 - (ii) agree the marks awarded to each student for each assessment, for each module they have taken;
 - (iii) consider the overall profile of marks for each student and recommend candidates for awards or make recommendations for a course of action in the case of failure;
 - (iv) make recommendations about candidates, not in their final year, who have failed to satisfy the conditions for progression from one level/stage to the next;
 - (v) take account of the decisions made by Extenuating Circumstances Request Panels;
 - (vi) take account of the agreed outcomes of investigations into cases of Plagiarism or academic misconduct;

- (vii) oversee the nature and timing for reassessments;
 - (viii) where relevant, ensure that the competence of candidates in practical work has been appropriately assessed.
- 16.6 Determine the use of anonymous marking and the extent to which this applies to course work on the programme.
- 16.7 Complete and accurate data for each student under consideration, including details of reassessments, re-submissions and interruptions must be provided for each Board of Examiners.
- 16.8 Boards of Examiners must be conducted in line with the procedures outlined in the Assessment Procedures Manual and it is the responsibility of the Chair of the Board of Examiners to ensure that this occurs.

MEMBERSHIP OF BOARDS OF EXAMINERS

15.4 The Regulations that apply to this area are as follows:

Membership of Boards of Examiners

- 16.9 Each Board of Examiners shall comprise the following:
- (i) a Chair;
 - (ii) the member of staff who holds primary responsibility for the programme, such as a programme or pathway director;
 - (iii) all module leaders for the modules under consideration;
 - (iv) other examiners who teach on the programme, as nominated by the Dean, or a relevant Head of Department;
 - (v) at least one External Examiner, except in those instances at Level 4, where the Academic Board has determined otherwise.
- 16.10 As the External Examiner will endorse the level and standards of a component part of an award as appropriate to its structure by confirming the academic standards of the award at the higher level, External Examiners are not required to participate in Level 4 Boards of Examiners, where Level 4 is a component of an award at Level 5 or Level 6, except where:
- (i) the programme leads to a Level 4 award;
 - (ii) there is planned exit award at Level 4;
 - (iii) Academic Board deems it as necessary.
- 16.11 Membership of the Board of Examiners is limited to:
- (i) those academic staff with a permanent contract, or on fixed or fractional contracts;
 - (ii) those appointed by Academic Board;
 - (iii) those who are able to participate as affiliate examiners.
- 16.12 Any variation from the above rules for the membership of a Board of Examiners will require the approval of the Academic Board.
- 16.13 Students of the programme shall not be appointed as members of the Board of Examiners for the programme.

Appointment and role of the Chair of the Board of Examiners

- 16.14 The Chair of the Board of Examiners will be appointed by the relevant Dean(s) of the Faculty(ies).
- 16.15 The Chair must not be involved in the programme in a way which constitutes a conflict of interest. No person who has any direct involvement with the programme, or in the case of a collaborative programme, has any personal or private connections with the partner organisation, may chair the Board of Examiners.

Responsibilities of the Dean of Faculty

15.5 To identify and approve a Chair for each Board of Examiners.

- 15.6 To establish that the Chair is not involved in the programme in a way which constitutes a conflict of interest. No person who has any direct involvement with the programme, or in the case of a collaborative programme, has any personal or private connections with the partner organisation, may chair the Board of Examiners.
- 15.7 To ensure that an updated list of Chairs of Boards of Examiners is provided to the Faculty Quality Committee.

Responsibilities of the Head of School

- 15.8 The Head of School will:
- (i) oversee the compilation of a list of the members of the Board of Examiners for each programme that is the responsibility of that School;
 - (ii) appoint the Deputy Chair of the Board of Examiners;
 - (iii) ensure that the membership of the Board of Examiners is in line with the Regulations.
 - (iv) ensure that an External Examiner is appointed, except for Level 4 boards where there is no target exit award or for Level 4 boards, unless Academic Board has determined otherwise;
 - (v) ensure that the list identifies any affiliate examiners;
 - (vi) ensure that the list of members of Boards of Examiners is kept up-to-date;
 - (vii) ensure that induction of new examiners takes place;
 - (viii) make requests to vary the membership of a Board of Examiners to Academic Board at least 2 months before the date of the Board of Examiners;
 - (ix) take steps to ensure that members of the Board of Examiners receive appropriate induction, training and mentoring and where appropriate shadowing of staff who are new to the assessment procedures of the University.

Responsibilities of the newly appointed academic staff

- (i) participate in induction and attend the appropriate University course(s).

Responsibilities of the Academic Registrar

- 15.9 It is the responsibility of the Academic Registrar, or nominee, to attend all Boards of Examiners.

EXAMINER STATUS

- 15.10 The Regulations that apply to this area are as follows:

Examiner status

- 16.18 Only those with Examiner Status can:
- (i) be members of the Board of Examiners for an award bearing programme of study approved by the University;
 - (ii) mark examinable work, except in the instance of (a) approved practice assessors, and (b) where the Academic Board determines otherwise.
- 16.19 The following will have Examiner Status:
- (i) all academic staff that are permanent, or on fixed or fractional contracts;
 - (ii) individuals so determined by Academic Board, providing that the individual has undertaken appropriate training, induction and mentoring;
 - (iii) those granted Affiliate Examiner Status, subject to limitations.

Responsibilities of the Chair of the Board of Examiners in relation to nominations for Examiner Status

- 15.11 It is the responsibility of the Chair of the Board to ensure that:

- (i) the nominee meets the criteria identified above;
 - (ii) the Quality and Standards Office raises no objection to the inclusion of the examiner as a full member of the Board of Examiners;
 - (iii) a clear decision is set out in the minutes of the Board of Examiners;
 - (iv) the Membership of Boards of Examiners list is updated and a copy sent to Registry.
- 15.12 A Board of Examiners may appoint to Examiner status those who are not full-time, permanent members of University School staff, or who do not have a fixed or fractional contract with the University, provided that:
- (i) the nominee has substantial involvement with teaching and assessment on the programme in question;
 - (ii) the nominee should have significant experience of delivering higher education programmes, as demonstrated in their curriculum vitae;
 - (iii) the nominee should already be in a contractual relationship with the University or one of its collaborative partners;
 - (iv) the appointment is limited to the programmes for which the Board of Examiners has responsibility.

AFFILIATE EXAMINER STATUS

15.13 The Regulations that apply to this area are as follows:

Affiliate Examiner Status

- 16.20 The following may be entitled to the Affiliate Examiner Status:
- (i) staff employed by the University on hourly paid contracts (sessional staff);
 - (ii) staff associated with the University, but not employed by it, who provide a sufficiently large contribution to a programme that they are also appropriately involved in examining;
 - (iii) approved staff teaching on collaborative programmes.
- 16.21 Recognition of Affiliate Examiner Status is given for a specific programme or subject area only.
- 16.22 Affiliate Examiners will be appointed using the process set out in the Assessment Procedures Manual.
- 16.23 Those with Affiliate Examiner Status may not second sample mark or double mark the examinable work that has been first marked by an Examiner with Affiliate Examiner Status.
- 16.24 Those with Affiliate Examiner Status may not act as a moderator.

Responsibilities of the Head of School in relation to nominations for Affiliate Examiner Status

- 15.14 An application for Affiliate Examiner Status should include a curriculum vitae and a clear statement the programme(s) for which approval is sought.
- 15.15 It is the responsibility of the Head of School to appoint Affiliate Examiners, following consultation with the Quality and Standards Office.
- 15.16 The Head of School is responsible for ensuring that application to the Quality and Standards Office is consulted.
- 15.17 A nomination can only be made where the nominee will be involved in examining on the programme(s).
- 15.18 The Head of School should ensure that appropriate arrangements are made for supervision of the Affiliate Examiner.
- 15.19 The Head of School is responsible for ensuring that the list of members of Boards of Examiners identifies the status of Affiliate Examiners.

ROLES AND RESPONSIBILITIES OF MEMBERS OF BOARDS OF EXAMINERS

Responsibilities of the Chair of the Board of Examiners

- 15.20 The Chair of a Board of Examiners should ensure the proceedings of the Board are conducted in a fair and impartial manner, with all due diligence.
- 15.21 The Chair of the Board of Examiners should ensure that the Board of Examiners follows all regulations including Special Regulations.
- 15.22 The Chair should ensure that there are sufficient attendees to ensure that each candidate's profile is capable of consideration. The Chair has the authority to postpone decisions on individual candidates or even postpone the Board to a later date.
- 15.23 The Chair should ensure that each candidate listed on the profiles provided by Registry is considered.
- 15.24 The Chair should ensure that no anecdotal information about an individual candidate is raised in discussion.
- 15.25 The Chair should ensure that full account is taken of the findings of the extenuating circumstances panels.
- 15.26 The Chair should ensure that all due process is followed in the case of posthumous or aegrotat award or where Academic Board is asked to exercise its discretion to notwithstanding the Regulations.
- 15.27 The Chair should ensure that all decisions of the Board are properly recorded.

Responsibilities of the Deputy Chair

- 15.28 As the Deputy Chair is closely involved in the running of the programme under discussion, he or she may not, under any circumstances, deputise for the Chair in chairing meetings of the Board of Examiners, or by taking Chair's Action on behalf of a Board of Examiners.
- 15.29 The Deputy Chair of each Board of Examiners is responsible for:
 - (i) informing candidates of the Regulations appropriate to their award;
 - (ii) informing candidates of deadlines by which work must be submitted;
 - (iii) ensuring that examination papers are prepared in line the Assessment Procedures Manual;
 - (iv) ensuring that there is a reliable method for receiving and recording all work received;
 - (v) notifying candidates that all coursework that contributes to the award must be kept and be available for scrutiny by the External Examiners if required;
 - (vi) arranging the marking of all assessed work, in line with the chapter on 'Procedures for marking assessed work';
 - (vii) selecting of work to be seen by an External Examiner;
 - (viii) preparing all the papers for the Board;
 - (ix) arranging, in consultation with the Chair, (a) meetings of the Board, and any assessment panels, (b) preparing and circulating agendas, (c) the taking of minutes and their distribution, including a copy to the QSO;
 - (x) making appropriate arrangements for reassessments, in consultation with the Registry where required;
 - (xi) ensuring that all extenuating circumstances requests are processed in line with the guidance on extenuating circumstances, and bringing to the attention of the Board of Examiners all candidates with extenuating circumstances approved by an Extenuating Circumstances Panel;
 - (xii) drawing to the attention of the Quality and Standards Office comments made by the Board concerning the programme.

Role of the Academic Registrar

- 15.30 The Academic Registrar (or nominee) attends all meetings of Boards of Examiners that recommend awards to Academic Board. The role of the Academic Registrar (or nominee) is:
- (i) to advise the Chair and Deputy Chair on issues relating to the business of the Board in advance of the meeting;
 - (ii) to advise on procedures should an External Examiner not be available to attend a meeting;
 - (iii) to advise the Board on the application of the Regulations;
 - (iv) to ensure that a decision is recorded in a suitable manner for each candidate under consideration.
 - (v) informing individual candidates of the outcome of the examinations, including any requirements for reassessment examinations;
- (i) advising candidates of any right of appeal;
 - (ii) issuing certificates to those receiving awards;
 - (iii) advising candidates, where appropriate, of award ceremonies.

16 WHAT NEEDS TO BE DONE IN PREPARING FOR MEETINGS OF BOARDS OF EXAMINERS?

SAMPLES OF ASSESSMENTS TO BE PRESENTED TO THE EXTERNAL EXAMINER(S)

16.1 The Regulations that apply to this area are as follows:

22.2 External Examiners for taught programmes must have access to student work as set out in the Assessment Procedures Manual.

Responsibilities of the Deputy Chair

- 16.2 The Deputy Chair is to make a selection of assessments to be seen by an External Examiner.
- 16.3 The Deputy Chair is to ensure sure that the External Examiner is presented with a reasonable sample of assessments from the top, the middle and bottom of the range, following reasonable negotiation with the External Examiner. This applies equally to first assessments and reassessments. The External Examiner has the right to request additional samples of work and/or the work of the entire cohort should they require this in order to inform their judgement about the assessment process and award of qualifications.
- 16.4 The Deputy Chair should ensure that the sample is accompanied by a complete profile of the marks or grades of all students to enable the External Examiner to judge how the sample relates to the whole.
- 16.5 The Deputy Chair is to ensure that where a programme is delivered simultaneously across the University and/or one or more of its collaborative partners, or simultaneously across more than one University campus, the sample is to be differentiated by partner and/or by campus, and the profiles of marks or grades are differentiated by partner and/or campus.

PRE-BOARD OF EXAMINERS MEETING

16.6 The Regulations that apply to the conduct of Pre-Boards of Examiners meetings are as follows:

Pre-Board of Examiners meeting

- 16.27 A Pre-Board of Examiners meeting must be conducted in advance of all Boards of Examiners.
- 16.28 The Pre-Boards of Examiners meeting must be chaired by the Head of Department/School for the relevant programme or his/her nominee.
- 16.29 The Pre-Board of Examiners meeting is for programme team members and internal examiners only. All approved internal examiners must be invited to the Pre-Board of Examiners meeting. The meeting must involve the individuals who have responsibility for finalising assessment marks.
- 16.30 The only functions of the Pre-Board of Examiners meeting are:
- (i) To identify any case that needs to be brought to the attention of the Board of Examiners.
 - (ii) To review the data to be presented to the Board of Examiners to ensure accuracy and completeness.
- 16.7 A Pre-Board of Examiners meeting is a University internal mechanism, by which the internal examiners for a programme come together prior to the main Board of Examiners. Where it would be disproportionate to hold a face-to-face meeting, for example, where the size of the programme or the number of students to be considered is small the Pre-Board of Examiners meeting can be conducted without a face-to-face meeting.
- 16.8 Programmes wishing to hold a non-face-to-face meeting must submit a request, with a clear rationale, to the Faculty Quality Committee.
- 16.9 Faculty Quality Committees are responsible for logging and approving requests for non-face-to-face Pre-Board of Examiners meetings.

TIMING OF BOARDS OF EXAMINERS

- 16.10 The Deputy Chair needs to ensure that:
- (i) the date for a Board of Examiners is announced at least six months in advance and that appropriate consultation takes place to ensure that all Internal Examiners are able to attend;
 - (ii) the Board of Examiners does not occur more than six weeks after the submission of the final piece of assessment.

17 WHO NEEDS TO ATTEND A BOARD OF EXAMINERS, AND WHAT NEEDS TO BE DONE IF THEY CANNOT MAKE IT?

ATTENDANCE AT MEETINGS OF BOARDS OF EXAMINERS

- 17.1 The Regulations that apply to this area are as follows:

- 16.16 In addition to the members of the Board of Examiners, the following will be in attendance:
- (i) the Academic Registrar, or nominee.
 - (ii) a secretary.
- 16.17 All members of the Board of Examiners should be present at the Board unless prior permission is given by the Chair of the Board of Examiners.

- 17.2 There are circumstances in which the requirement that all internal examiners be present at a Board of Examiners may be modified.

ATTENDANCE AT MEETINGS OF BOARDS OF EXAMINERS: PROCEDURES

Responsibilities of Internal Examiners

- 17.3 All identified internal examiners are expected to be present at a meeting of the Board. The attendance of all appropriate internal examiners at a Board is essential to ensure the fair assessment of all candidates and to ensure the accountability of internal examiners to the Board for the conduct of examinations.
- 17.4 If an internal examiner is unable to attend a Board of Examiners meeting, the examiner should inform the Deputy Chair as soon as practicable.
- 17.5 All internal examiners should participate at each stage of the examining process as required, such as the pre-Board of Examiners meeting.

Responsibilities of the Chair

- 17.6 Where any member is unable to attend due to exceptional circumstances, the Chair shall determine, in conjunction with the Deputy Chair and Academic Registrar, whether the Board can proceed, and what categories of business must be deferred to a later meeting.
- 17.7 In determining whether a meeting can proceed, the Chair must be satisfied that there is sufficient representation to ensure that the candidates can be properly examined. The Chair has the authority to postpone decisions on individual candidates or even postpone the Board to a later date.
- 17.8 Where decisions about a candidate have to be deferred then this will need to be clearly recorded in the minutes.
- 17.9 If the Chair determines the absence detrimental to the deliberations, the meeting should be rescheduled.

Responsibilities of the Deputy Chair

- 17.10 The Deputy Chair needs to ensure that the date for a Board of Examiners is announced at least six months in advance and that appropriate consultation takes place to ensure that all Examiners are able to attend.
- 17.11 Should the Deputy Chair, after consultation with the Chair of the Board of Examiners, determine that the absence of an internal examiner would not make a material difference to the deliberations of the Board, the meeting would continue as scheduled.
- 17.12 The Deputy Chair should require an examiner who is unable to attend a meeting of a Board of Examiners to provide all necessary written reports to enable the Board to reach fair and equitable decisions.

ABSENCE OF EXTERNAL EXAMINERS FROM MEETINGS OF BOARDS OF EXAMINERS

- 17.13 The Regulations that apply to this area are as follows:

- 22.18 All External Examiners must be invited to attend the Board of Examiners for the scheme and/or programme and/or pathway allocated to them.
- 22.19 No meeting of a Board of Examiners shall take place in the absence of an External Examiner if that External Examiner indicates a wish to be present at the agreed meeting.
- 22.20 In the event that an External Examiner is unable to attend a meeting of the Board of Examiners, another External Examiner present at the meeting may act for the absentee in confirming the decisions of the Board. Nonetheless:
- (i) the absent External Examiner, in presenting apologies must give explicit agreement for the proceedings to continue, and provide a written report of the assessments undertaken prior to the Board for the consideration of the Board;
 - (ii) the minutes should include a statement why the meeting took place in the absence of the External Examiner concerned;

- (iii) the minutes should be provided to the absent External Examiner and a written agreement obtained from the External Examiner for any decisions taken where it was agreed that the External Examiner present would not confirm the decisions of the Board on behalf of the absentee.

22.21 In the event that no External Examiner is able to attend a meeting of the Board of Examiners, the meeting should be rescheduled, unless agreed otherwise by the Chair and the Academic Registrar. If the meeting is to go ahead, it is important that:

- (i) the matters of business that may be concluded are agreed;
- (ii) the absent External Examiner(s), in presenting apologies, gives explicit agreement for the proceedings to continue, and provides a written report of the assessments undertaken prior to the Board for the consideration of the Board;
- (iii) the minutes should include a statement why the meeting took place in the absence of the External Examiner(s);
- (iv) the minutes should be provided for the External Examiner(s), and a written agreement obtained from the External Examiner(s) for the decisions taken.

17.14 The University expects External Examiners to attend meetings of Boards of Examiners unless it has specified otherwise. In the event that it is impossible for the External Examiners to attend the Board, he/she must be involved in the examination process and the following procedures must be followed.

17.15 All External Examiners are full members of the Board of Examiners and their presence is crucial to the examination process. External Examiners have the right to attend any meeting of examiners where significant decisions are taken on the parts of the programme with which they are concerned. No University credit or associated award shall be made without the participation of at least one fully appointed External Examiner.

17.16 No meeting of a Board of Examiners shall take place in the absence of an External Examiner if that External Examiner indicates a wish to be present at the meeting, unless the Pro Vice-Chancellor (Education and Student Experience) authorises the meeting to proceed as scheduled, in which case a report outlining the decision where this was taken will be submitted to the Academic Board.

17.17 There are circumstances in which the Chair may view it as impractical for the External Examiner to attend the Board of Examiners. The following is not an exhaustive list, but suggests the circumstances in which the meeting may go ahead as scheduled:

- (i) there are few candidates, usually five or less, and the External Examiner has seen all the relevant work in advance;
- (ii) there will be no recommendations for an award and the External Examiner has seen all the relevant work in advance;
- (iii) only reassessment candidates, or first assessment candidates sitting along with reassessment candidates are considered, and the External Examiner was involved at an earlier stage. All decisions regarding awards and progression at these meetings are minuted and forwarded to the External Examiner(s);
- (iv) there is another External Examiner present and the absent External Examiner was involved earlier for the same candidates.

In such instances, the External Examiner must be invited to the meeting and enabled to attend should he or she wish to do so.

Responsibilities of the Chair of the Board of Examiners

17.18 Where an External Examiner is unable to attend due to exceptional circumstances, the Chair shall determine, in conjunction with the Deputy Chair and Academic Registrar, whether the Board can proceed, and what categories of business must be deferred to a later meeting.

- 17.19 Where decisions about a candidate have to be deferred then a careful note will need to be made in the minutes of the Board.
- 17.20 In the event that an external examiner is unable to attend a meeting of the Board of Examiners, or that no external examiner is able to attend the Board, the Chair shall ensure that the processes described in regulations 20.20-20.21 are completed.

Responsibilities of the Deputy Chair

- 17.21 It is the Deputy Chair's responsibility to ensure that all External Examiners are invited to attend the Board of Examiners for the scheme and/or programme and/or pathway allocated to them.
- 17.22 The Deputy Chair needs to ensure that appropriate consultation about the date of the Board to ensure that External Examiners are able to attend.
- 17.23 The Deputy Chair should ask an External Examiner who is unable to attend to provide a written report on the candidates and the examination process for consideration by the Board.
- 17.24 The Deputy Chair shall convey to the External Examiner a report on the proceedings as soon as practicable after the meeting.
- 17.25 If there is a single External Examiner for a programme, the Deputy Chair shall obtain the written agreement of the External Examiner as to the decisions taken.

Responsibilities of the External Examiner

- 17.26 An External Examiner who is unable to attend a meeting of a Board of Examiners must give explicit agreement for the proceedings to continue, and must provide a written report of the assessments undertaken prior to the Board for the consideration of the Board.
- 17.27 The absent External Examiner should provide written agreement for any decisions taken where it was agreed that any External Examiner present would not confirm the decisions of the Board *on behalf of the absentee*.

18 BUSINESS OF THE BOARD OF EXAMINERS

AGENDA

- 16.25 All Board of Examiners documentation should be produced in line with the guidance in the Assessment Procedures Manual. This will include:
- (i) an agenda which will be circulated in advance;
 - (ii) a report on all actions taken by the Chair since the previous meeting;
 - (iii) a set of minutes to be approved by the Board of Examiners;
 - (iv) student mark profiles.

DECLARATIONS OF INTEREST

- 18.1 Members of a Board of Examiners should be asked to declare any interest in the proceedings. Examples of interest include:
- (i) any relationship with a candidate, or a close relative of a candidate, being examined;
 - (ii) any contract with a partner institution or sponsoring body for the programme;
 - (iii) any outside involvement that might be construed as a conflict of interest.

Declarations of Interest: Procedures

- 18.2 Should any interest be declared, it is for the Chair to decide whether the member of the Board should be excluded from any part of the meeting and whether the business of the meeting should be amended.

- 18.3 The Chair shall determine the extent to which a member of the Board shall be excluded from the proceedings of the Board, and may amend the agenda accordingly.
- 18.4 A note of any declaration and the actions taken should be included in the minutes of the meeting.

Responsibilities of Members of the Board of Examiners

- 18.5 At the start of each meeting, the Chair shall ask all members present to declare any personal interest that might impair the impartiality of any decision reached.
- 18.6 It is the responsibility of all members of a Board of Examiners to declare any interest they may have in the proceedings, in line with the above.

MINUTES OF THE LAST MEETING

- 16.25 All Board of Examiners documentation should be produced in line with the guidance in the Assessment Procedures Manual. This will include:
- (i) an agenda which will be circulated in advance;
 - (ii) a report on all actions taken by the Chair since the previous meeting;
 - (iii) a set of minutes to be approved by the Board of Examiners;
 - (iv) student mark profiles.

Responsibilities of the Deputy Chair

- 18.7 The Deputy Chair must ensure that the agenda and minutes of the meeting are produced in line with the Assessment Procedures Manual document.
- 18.8 The Deputy Chair is responsible for ensuring all the papers for the Board are available in time for the Board.

Responsibilities of the Chair of the Board of Examiners

- 18.9 The Chair should ensure that there is consideration of the minutes of the previous meeting:
- (i) There must be confirmation that the minutes of the previous meeting represent a fair and true record of the meeting, and an opportunity is given to correct any errors. Any such amendments should be recorded in the minutes of the meeting where they were discussed.
 - (ii) There must be an opportunity to raise any matters arising from the minutes of the meeting, which do not appear on the agenda of the meeting.

DOCUMENTATION FOR THE BOARD: STUDENT MARK PROFILES

- 18.10 The Regulations that apply to this area are as follows:

- 16.7 Complete and accurate data for each student under consideration, including details of reassessments, re-submissions and interruptions must be provided for each Board of Examiners.

- 18.11 When confirming the results of individual candidates, the Board will use mark sheets or student profiles tabled at the meeting. These will provide information about programme title, module codes and titles, the candidates and their marks. The Board's decision will be entered; the representative of the Registry will normally undertake this task at the meeting. In the minutes, it may not be appropriate or feasible to note the decision made for every candidate. Advice should be taken from the Deputy Chair before the meeting starts.
- 18.12 The mark sheet or student profile becomes the document containing the decisions signed off by the Chair and the External Examiner(s), if present. It shows a full profile of marks for each candidate considered.

Responsibilities of the Chair of the Board of Examiners

18.13 The Chair should ensure that each candidate listed on the profiles provided by Registry is considered.

Responsibilities of the Deputy Chair

18.14 It is the responsibility of the Deputy Chair to ensure a Board of Examiners is able to make its decisions based on complete and accurate data for each student under consideration, including details of reassessments, re-submissions and interruptions.

RECOMMENDATIONS OPEN TO A BOARD OF EXAMINERS

18.15 The Regulations that apply to this area are as follows:

16.31 For each candidate, a Board of Examiners shall recommend to the Academic Board that:

- (i) An award be made on the completion of the student's programme; or
- (ii) the student be permitted to proceed to the next stage of the programme for which the student is registered; or
- (iii) where the student has failed the award or stage, the student be permitted to repeat part or all of the programme and be reassessed in the assessments as specified by the Board of Examiners in compliance with the Regulations on reassessments and repeat assessments below; or
- (iv) where the student has failed the award or stage, the student be permitted to take further assessments as specified by the Board of Examiners in compliance with the Regulations on reassessments and repeat assessments below; or
- (v) the student be permitted to proceed to an appropriate stage of a different programme as specified by the Board of Examiners; or
- (vi) the student be awarded an alternative award prescribed within the relevant Special Regulations for the programme, with or without further assessment; or
- (vii) the student withdraws from the programme with the award of any credit gained.

16.32 In the case of a taught postgraduate programme, recommend that an award be made subject to certain minor corrections carried out to the satisfaction of the internal examiners to a dissertation or thesis within three months of the official notification to the student of the recommendations of the examiners.

Responsibilities of the Chair

18.16 It is the responsibility of the Chair to ensure that the Board of Examiners makes a recommendation to Academic Board in line with Regulation 16.31 in relation to each student considered.

18.17 It is the responsibility of the Chair to ensure that marks are not changed as a result of review by an External Examiner at a meeting of a Board of Examiners, unless the work of the whole cohort is reconsidered.

19 CONSIDERATION OF SPECIAL CASES

REASSESSMENT AND REPEAT ACTIVITIES

19.1 The Regulations that apply to this area are as follows:

Stages

- 17.1 A stage is defined as a discrete element of an award which a student must pass to progress to the next stage of the award.
- 17.2 There may be more than one stage within a level. Where an award comprises more than one level, as opposed to incorporating credit from a lower level, each level will comprise a stage.
- 17.3 Progression from one stage to another can only be approved by a Board of Examiners.

Reassessment

- 17.4 A student who has failed the diet of assessment for a module and has no extenuating circumstances will be recorded as “referred” in that module. A student would be recorded as “deferred” if that student is still to take the assessment for extenuating circumstances reasons.
- 17.5 A student may not be reassessed in passed credit, except where all modules in a stage are repeated.
- 17.6 The Board of Examiners will normally offer each referred student a single opportunity to make good the relevant assessment, except at level four where there will be two reassessment opportunities.
- 17.7 A student who in the view of the Board of Examiners passes the reassessment will be recorded as having passed the module at the pass mark, except where the assessment strategy of a module requires that one or more elements of assessment in a module must be passed, and the student has already achieved the module pass mark. Where this is the case, the mark recorded is the original average mark or the pass mark, whichever is the higher.
- 17.8 A student who in the view of the Board of Examiners fails the reassessment will be recorded as having “failed” the module.
- 17.9 Where a student takes and fails an assessment which that student has previously failed, the mark recorded and used by the Board of Examiners shall be the highest mark obtained by the student in the assessment.
- 17.10 A student who has failed a module will not be allowed to progress to the next stage of his or her programme, unless compensation is applied or the student has been allowed to trail and progress in line with the regulations in Section 19. The student will be recorded as having failed the stage.
- 17.11 A student does not have the right to reassessment. The Board of Examiners may refuse a referred student an opportunity to make good a failed module assessment, but there must be full discussion of the reason why such an opportunity is being withheld, to which discussion the External Examiner must be party (except at Level 4), and the reasons why the assessment opportunity is being refused must be recorded in full in the minutes of the Board of Examiners.
- 17.12 An undergraduate student is entitled to submit the same piece of work in an improved form as a form of reassessment rather than having to undertake a new piece of work, except where:
 - 17.12.1 The reassessment is in a form of a formal examination;
 - 17.12.2 The form of reassessment is incapable of resubmission such as laboratory work or group presentations;
 - 17.12.3 There are special regulations.
- 17.13 Where an undergraduate student is not entitled to submit the same piece of work in an improved form this must be made clear to the student in the student handbook.
- 17.14 Where the submission of the same piece of work in an improved form is excluded, students will be permitted to be reassessed by a different form than undertaken for the original assessment as set in the definitive programme document.
- 17.15 A student who has been refused reassessment of a module by a Board of Examiners may request an appeal in line with the University’s Academic and Fitness to Practice Procedure.

Repeats

- 17.16 The Board of Examiners may offer each student who has failed the stage of a programme, the opportunity to make good the stage by repeating that stage. This offer is subject to confirmation by the University that a place is available to the student and that the student concerned is eligible to take up the place, and is not barred from doing so by visa requirements in the case of international students, or for other reasons identified by the University. Where the offer is made to repeat the year, the Board of Examiners will record this as “recommended”.

- 17.17 Students opting to repeat a stage must re-enter the programme at the start of that stage. Students will be required to study on the programme validated at the time that they re-enter, unless deemed otherwise by the Board of Examiners, in which instance there must be full discussion of why such an opportunity is being withheld.
- 17.18 The student may opt to repeat the whole stage or may carry forward passed credit and marks. A student may not carry forward some passed credit and repeat other passed credit. Where there has been a significant alteration to the validated programme, the Board of Examiners may limit the amount of passed credit that can be carried forward to ensure that the student can demonstrate that he or she has passed the re-constituted stage, in which instance there must be full discussion of why such an opportunity is being withheld.
- 17.19 A student who successfully passes a repeat module at the first attempt will be awarded the grade or mark that he or she has earned.
- 17.20 A student who fails a repeat module at the first attempt may be referred in that module and allowed a reassessment, which if successful will be recorded at the pass mark.
- 17.21 A student will be allowed by the Board of Examiners to repeat a stage on one occasion only.
- 17.22 Subject to professional requirements, there is no limit on a number of stages that may be repeated.
- 17.23 A student does not have a right to repeat a stage. The Board of Examiners may refuse a referred student an opportunity to make good a failed stage, but there must be full discussion of the reason why such an opportunity is being withheld, to which discussion the External Examiner must be party (except at Level 4), and the reasons why the repeat opportunity is being refused must be recorded in full in the minutes of the Board of Examiners. Grounds for refusal may include availability of places and/or the availability of placement opportunities.
- 17.24 A student who has been refused a repeat of a stage by a Board of Examiners may request an appeal in line with the University's Academic and Fitness to Practice Procedure.

Responsibilities of Boards of Examiners in relation to reassessments and repeats

- 19.2 It is the responsibility of a Boards of Examiners to make recommendations about the nature and timing of the reassessment and repeat assessments.
- 19.3 All decisions relating to the offer of, timing and nature of reassessment or repeat assessments must be discussed at the Board of Examiners and carefully recorded in the minutes. The External Examiner should be a party to all decisions on these matters.

Responsibilities of the Deputy Chair in relation to reassessments and repeats

- 19.4 The Deputy Chair is responsible for preparing the paperwork required by the Registry for students who are given the opportunity to be reassessed in one or more assessments.

Calculations for module marks

- 19.5 If assessments are marked using percentages then, for the purpose of determining whether particular module hurdles have been achieved, a module mark is calculated by taking the weighted average of all the assessments assigned to that module, rounded to the nearest integer. Note: for the purpose of determining a classification, module marks are not rounded to the nearest integer.
- 19.6 If the overall module mark is to be calculated in any other way, for example, by using a subset of the assessments assigned to the module, or by using grades, this needs to be specified unambiguously in advance in Special Regulations, and students need to be made aware of how this calculation will be made. Registry will also need to be told.

The offer of a reassessment

- 19.7 A Board of Examiners will normally offer a reassessment where:
- (i) a student has not passed at the first attempt those elements of assessment for a module required to pass the module;
 - (ii) a level 4 student has not passed at the second attempt those elements of assessment for a module required to pass the module;

- (iii) a student has not passed a particular hurdle specified in the assessment strategy for that module (this could be the requirement to pass or achieve a specific minimum mark in one or more of the module's assessments, as well as achieve an overall pass mark for the module);
 - (iv) the student does not have the right to have their reassessment classed as their first assessment attempt as the result of extenuating circumstances;
 - (v) compensation cannot be applied for the module or the student has explicitly requested a reassessment in preference to compensation.
- 19.8 A candidate being reassessed in a module will be required to be reassessed in all failed assessments.
- 19.9 A candidate being reassessed in a module will retain the marks/grades for the assessments already passed.

Capping of marks

- 19.10 A mark allocated to a reassessment is not capped but the overall module mark is capped.
- 19.11 Where there is no requirement for all elements of assessment for a module to be passed, the module mark for a referred module following a reassessment is capped at the pass mark for the module. When grades are used instead of marks, the grade is capped at a pass.
- 19.12 Where there is a requirement for one or more elements of assessment for a module to be passed and the student has already reached the pass mark for the module, the module will be capped either at the pass mark for the module or for the original average mark or grade for the module, whichever is higher.
- 19.13 Where a student takes and does not pass a reassessment, the mark recorded and used by the Board of Examiners shall be the higher mark obtained by the student in the assessment. The module will only be capped if the use of this higher assessment mark results in the students passing the module.
- 19.14 Where a student is referred in a module, but is being given an opportunity to take one or more (but not all) elements of assessment for that module as a deferral (i.e. first assessment attempt) due to extenuating circumstances or a Negotiated Learning Plan¹⁹, a student may choose to be reassessed in the referred element(s) of assessment at the same time as taking the deferral. In such instances, the initial calculation of the module mark or grade will be based on the final deferral marks. Where the final deferral marks do not enable a student to pass the module, the University's reassessment process will apply. However, the Board of Examiners may allocate a capped module mark based on a combination of reassessment and deferral marks if the student cannot improve his or her mark by taking further reassessments.

The assessment strategy for reassessment of a module

- 19.15 An undergraduate student is entitled to submit the same piece of work in an improved form as a form of assessment rather than having to undertake a new piece of work, except where:
- (i) The reassessment is in the form of a formal examination;
 - (ii) The form of reassessment is incapable of resubmission such as laboratory work or group presentations
 - (iii) There are Special Regulations
- 19.16 Where an undergraduate student is not entitled to submit the same piece of work in an improved form this must be made clear to the student in the student handbook.

¹⁹ There may be other routes through which a deferral might have been offered in rare instances, for example for an appeal or complaint.

- 19.17 Where the submission of the same piece of work in an improved form is excluded, students will be permitted to be reassessed by a different form than undertaken for the original assessment as set in the definitive programme document.
- 19.18 Each reassessment will normally be of the same form as the original assessment, but with different questions. Where this is not appropriate, a Board of Examiners can recommend that the reassessment is identical to the original assessment.
- 19.19 A Board of Examiners may vary the form and number of assessments to be used for a reassessment. In coming to such a decision, a Board should take into account such factors as:
- (i) the learning outcomes that need to be assessed;
 - (ii) the availability of tutorial support;
 - (iii) the availability of resources;
 - (iv) the time scale of the reassessment;
 - (v) whether the original assessment was a group assignment
 - (vi) the fair treatment of all students.
- 19.20 There is no requirement to adopt the same approach for each reassessment candidate, though there would have to be a clear justification, recorded in the minutes, for differential treatment of candidates whose pattern of failure is similar.

Timing of reassessments

- 19.21 Reassessments should normally be arranged to allow successful candidates to progress to the next stage/level of the programme without the need to interrupt their studies. If this is not possible, the reasons for taking such a decision must be recorded in the minutes of the Board of Examiners.
- 19.22 All reassessments must be held within one calendar year of the date of the original Board of Examiners.

Repeating a stage/level

- 19.23 A Board of Examiners may recommend that a student is given one opportunity to repeat each stage/level, subject to confirmation by the University that a place is available to the student and that the student is eligible to take up the place.
- 19.24 If a 'repeat' is accepted, the student may opt to repeat the whole stage or may repeat failed modules.
- 19.25 Where a student opts to repeat the whole stage:
- (i) all marks previously allocated at that stage are discarded;
 - (ii) the resubmission of previously submitted work is not allowed;
 - (iii) the student may choose different modules from those taken at the first attempt, subject to the need to take 'core' modules.
- 19.26 Where a student opts to repeat a stage by re-taking failed modules only:
- (i) the student will carry forward passed credit and the corresponding module marks;
 - (ii) passed credit may not be repeated;
 - (iii) the marks awarded for failed modules will be discarded;
 - (iv) the resubmission of previously submitted work will not normally be allowed;
 - (v) the student must repeat exactly the same modules as he or she failed, unless these are no longer offered, in which case the closest alternative may be taken. In these circumstances a Board of Examiners may limit the amount of credit carried forward.

Declining to offer a reassessment or repeat

- 19.27 The Regulation and Credit Framework for the Conferment of Awards permits a Board of Examiners to decline to offer a reassessment or a repeat. This may be because there is substantial evidence that the student has failed to engage with the programme, accompanied by formal written warning of the consequences of poor attendance and non-submission of work.
- 19.28 It is essential that the External Examiner is party to the decision to decline the offer of a reassessment that a clear rationale for this decision is provided in the minutes of the Board of Examiners.
- 19.29 A Board of Examiners cannot deny a candidate a reassessment opportunity on the grounds of administrative inconvenience. A Board of Examiners may vary the form of a reassessment assessment to help take account of such practical considerations.

Failure after a reassessment

- 19.30 A student who has failed a module will not be allowed to progress to the next stage of his or her programme, unless compensation is applied or the student has been allowed to trail and progress in line with the regulations below. The student will be recorded as having failed the stage.
- 19.31 Where compensation is not permissible the student will be recorded as having failed the stage.
- 19.32 If a candidate has been granted the maximum permitted compensation, and has been given the maximum reassessment/repeat opportunities allowed by the Regulations without passing the module, and has no extenuating circumstances, a Board of Examiners must require the candidate to withdraw from the programme.

PROGRESSION: TRAIL AND PROGRESS

- 19.33 The Regulations that apply to this area are as follows:

- 19.1 In order to progress from one level of an Award to the subsequent level of the Award, a student must pass all the modules that comprise the Level of the Award at which they are studying, unless one of the exceptions set out in 19.2, 19.3 and 19.5 applies.
- 19.2 A student studying for an undergraduate award may have compensation for a maximum of 20 credits at each level, except where compensation is excluded by Special Regulations.
- 19.3 A student on a Level 4 programme that comprises the first stage of an award at Level 5 of 240 credits, or the first stage of an award at Level 6 of 360 credits may trail and progress to Level 5 of the programme where:
- either
- (i) the student has passed 100 credits and is deferred or referred in 20 credits, but has not yet had the opportunity to exhaust all reassessment opportunities for the credits because either (a) the first reassessment opportunity has been taken but not passed or (b) there are extenuating circumstances that have prevented the first reassessment opportunity from being taken;
- or
- (ii) the student has passed 80 credits, is deferred or referred in up to 40 credits, has achieved an average mark of 30% in each of the modules comprising the 40 credits but has not yet had the opportunity to exhaust all reassessment opportunities for the credits because either (a) the first reassessment opportunity has been taken but not passed or (b) there are extenuating circumstances that have prevented the first assessment/reassessment opportunity from being taken;
- and
- (iii) the course of action in respect to either 19.3(i) or 19.3(ii) is not prohibited by a Special Regulation.

- 19.4 A student permitted to trail and progress to Level 5, who does not pass the referred credit by the end of Level 5, either directly or through compensation, will not be permitted to progress to Level 6 or to receive the target award at Level 5.
- (i) Where the student has not exhausted any reassessment opportunity, the student may apply to interrupt the programme to complete the assessment.
 - (ii) Where a student has exhausted the reassessment opportunities, the student will be required to withdraw and will be entitled to any award and/or credits that have been gained.
- 19.5 A student on a Level 5 programme that comprises the second stage of an award at Level 6 of 360 credits, may trail and progress to Level 6 (or the next stage of the programme where there is a placement year) of the programme where:
- either
- (i) the student has passed 220 credits and is deferred or referred in 20 credits, but has not yet had the opportunity to exhaust all reassessment opportunities for the credits as a result of extenuating circumstances;
- or
- (ii) the student has passed 200 credits, is deferred or referred in up to 40 credits, has achieved an average mark of 30% in each of the modules comprising the 40 credits, but has not yet had the opportunity to exhaust all reassessment opportunities for the referred credits as a result of extenuating circumstances;
- and
- (iii) the course of action in respect to either 19.5(i) or 19.5(ii) is not prohibited by a Special Regulation.
- 19.6 A student permitted to trail and progress to Level 6 as the result of extenuating circumstances at Level 5, who does not pass the referred credit by the end of Level 6, either directly or through compensation, will not be permitted to receive the target award at Level 6.
- (i) Where the student has not exhausted any reassessment opportunity, the student may apply to interrupt the programme to complete the assessment.
 - (ii) Where a student has exhausted the reassessment opportunities, the student will be required to withdraw and will be entitled to any award and/or credits that have been gained.
- 19.7 A Special Regulation will only be approved to exclude the rights of students, as set out in 19.2, 19.3 and 19.5 above, where there is clear evidence at validation that this is required to meet employer expectation and best practice, including the requirements of professional, statutory, regulatory bodies.

EXTENUATING CIRCUMSTANCES

19.34 The Regulations that apply to this area are as follows:

- 15.27 The University recognises the need to make allowance for particular circumstances that affect students' ability to perform assessments. The procedure for making decisions related to such circumstances is set out in the Assessment Procedures Manual. These procedures must be applied in full.

- 19.35 The arrangements relating to extenuating circumstances are set out in the chapter on **Extenuating Circumstances Requests**.
- 19.36 Where the Deputy Chair of Board of Examiners has taken the decision concerning extenuating circumstances, this does not need to be reported to the Board of Examiners.
- 19.37 Recommendations relating to extenuating circumstances evidence that emanate from an Extenuating Circumstances Panel require a decision by the Board of Examiners that must be

recorded in the minutes. It is important to show the Board acted on the decisions, as this is one of the grounds for available to students to request an appeal.

- 19.38 Where the Board of Examiners (as opposed to the Deputy Chair as provided for above) takes a decision in relation to the application of an accepted extenuating circumstances request, the minutes are to include a record of the action required for each student relating to the assessments affected. It may be the Board sees no grounds for taking action. This still needs recording, together with a reason where no action is required.

Responsibilities of the Board of Examiners

- 19.39 The responsibility of Boards of Examiners is to take account of the decisions made by Extenuating Circumstances Panel.

Responsibilities of the Deputy Chair

- 19.40 It is the responsibility of the Deputy Chair to bring to the attention of the Board of Examiners all Extenuating Circumstances Requests approved by an Extenuating Circumstances Panel and to ensure that all requests are processed in line with the chapter on 'How are Extenuating Circumstances Requests handled?'

Responsibilities of the Chair

- 19.41 The Chair should ensure each candidate who has presented an extenuating circumstances case, which has been processed by the relevant Extenuating Circumstances Panel, is considered and that the appropriate recommendations for action are noted in the minutes.
- 19.42 The Chair should ensure that no anecdotal information about an individual candidate is raised in discussion. Only extenuating circumstances approved by an Extenuating Circumstances Panel may be considered.

AEGRROTAT AND POSTHUMOUS AWARDS

- 19.43 The Regulations that apply to this area are as follows:

- 20.6 Where a reassessment is considered not possible, and the Board of Examiners is satisfied that the student's absence was due to illness or other misfortune or that performance in assessments was impaired by illness or other misfortune, it may:
- (i) make one of the permitted recommendations to the Academic Board, taking due account of the circumstances in doing so; or
 - (ii) recommend, on the written application of the student, or in the case of incapacity an appointed person with Lasting Power of Attorney, that the student be awarded an aegrotat award, which will be a pass award without any form of classification. Such a recommendation shall be made only where the Board of Examiners is satisfied that, in the absence of illness or other misfortune, the student would have reached the standard required for the award but where the Board of Examiners has insufficient evidence to enable it to recommend the award, and the student is unlikely to be able to return to complete the programme at a later date. Each recommendation for an aegrotat award is subject to individual approval of the Academic Board in the manner set out in the Assessment Procedures Manual; or
 - (iii) recommend the award of a posthumous award where a candidate has taken some of the required assessments, but has died before completion of all of the required assessments, considering the evidence available.
- 20.7 A student who is recommended for an aegrotat award shall be so informed and may decline to accept the award within twenty-eight days of the offer. Instead, the student may request to take any further assessments agreed by the Board of Examiners with a view to qualifying for the award for which the student was originally registered. A student who declines an aegrotat award and instead elects to take

any further assessments may not subsequently make a further application for an aegrotat award in the event of failure, but may be reassessed according to the Regulations.

The role of Boards of Examiners in relation to Aegrotat awards

- 19.44 An aegrotat award is an award that may be awarded on the presumption that the student, who is unable to continue to undertake any further form of assessment, would have satisfied the standard required for the award had they been able to continue. The award would be made without any form of classification, and would include the use of the term aegrotat on the certification.
- 19.45 The award is distinct from a posthumous award; the award is to be made only to students who can personally apply for the award. In the case of incapacity an appointed person with Lasting Power of Attorney may make a request on behalf of the student. However, the University will only accept an application from an appointed person with Lasting Power of Attorney. It will not accept an application from a relative or next of kin without such authority purporting to be acting on behalf of the student.
- 19.46 An aegrotat award should only be considered as an award of the last resort. Where a lesser award (including credits) has been achieved on the assessed work, the award should be made as a matter of course before considering a request from the student for an aegrotat award. However, an aegrotat award can be made additional to the lesser award achieved on merit. However, where an award is made at the level of the exit award, no aegrotat award can be made in addition. For instance, a student eligible for an Ordinary Degree cannot also be awarded an aegrotat degree.
- 19.47 All cases are to be considered by the Board of Examiners. The Deputy Chair is to obtain as much information as possible on the causes that prevented the student from attempting the whole or part of the assessment(s), together with evidence of the prospects of the student completing the assessment(s) in a subsequent year within the time-limit prescribed by Regulations, including the possibilities of interruption of studies. Where there is a prospect of further examination, this should be offered to the student. It does not preclude the student from renewing the request for an aegrotat award.
- 19.48 The Board of Examiners is to consider the report of the Deputy Chair that sets out the conclusions, and the recommendations, in relation to the following:
- (i) the application made by the student
 - (ii) the academic standing of the student
 - (iii) the causes which prevented the student from attempting the whole or part of the assessment(s)
 - (iv) the nature of medical evidence and any other appropriate documentation, and the professional opinions expressed
 - (v) the Deputy Chair's assessment on the prospects of the student completing the assessment(s) in a subsequent year within the time-limit
- 19.49 Where the Board makes a recommendation, the Chair or [Deputy Chair] must present a written case for the approval of the Pro Vice-Chancellor (Education and Student Experience). The Pro Vice-Chancellor (Education and Student Experience) will act on behalf of the Academic Board and report the decision at the next meeting of the Academic Board.
- 19.50 The offer of the aegrotat award may be declined by the student or the appointed person. The student is to be made aware of the fact that no further award can be made at any time in the future once the aegrotat award is made, and that the certification will signify that it is an aegrotat award.
- 19.51 A student who declines an aegrotat award and instead elects to take any further assessments may not subsequently make a further application for an aegrotat award if they fail but may be reassessed according to the Regulations. The implication is that a student has had the opportunity to accept an aegrotat award and has determined that they are well enough to undertake further assessments.

- 19.52 It is seen as good practice to invite the student or the appointed person to seek advice from the Students' Union and/or Student Support, Health and Wellbeing before coming to a decision.

CONSIDERATION OF SPECIAL CASES: SCALING OF MARKS

- 19.53 The Regulations that apply to this area are as follows:

- 15.28 The Board of Examiners may permit the scaling of marks by the Board of Examiners as a tool to rectify a significant error in the assessment process.
- 15.29 The scaling of marks should only be considered where there is significant error in the assessment process, which is clearly identified, which would mean that the assessment type or delivery was flawed, and when all other means to rectify the problem have been explored and discounted.
- 15.30 Scaling can take place in either direction but when scaling down, the student will be offered the opportunity to accept the scaled mark or to be reassessed in the assessment which will be treated as a first assessment attempt. A student must be informed of their pre- and post-scale mark before they make their decision.
- 15.31 The scaling of marks must apply to all students undertaking the assessment on the same occasion.
- 15.32 Where scaling of marks takes place, the procedures set out in the Assessment Procedures Manual must be followed in full.

- 19.54 The scaling of marks should only be considered in exceptional circumstances, and should not be deemed as standard practise.
- 19.55 The scaling of marks must always maintain the ranked position of each student within a specific assignment. Norm-referencing is not permitted as a means of marking assessment.

Scaling of marks: Procedures

- 19.56 Prior to the scaling of marks by Boards of Examiners, the method that is intended to be employed must be agreed by the relevant Chair of the Board of Examiners and the External Examiner(s), and approved for use by the Pro Vice-Chancellor (Education and Student Experience) prior to application.
- 19.57 The application to the Pro Vice-Chancellor (Education and Student Experience) must set out the methodology to be applied, supported by an impact analysis. This should take place at the earliest possible opportunity to ensure consistency and allow monitoring of use and decision making.
- 19.58 Scaling must not advantage or disadvantage a subset of students. Therefore any scaling function applied to a set of marks must not be used in a way that reverses the rank order of any pair of students. The definition of any scaling function used must encompass the full range of raw marks from 0 to 100%, for example, 'Add 3 marks to all students' or 'multiply all marks by a factor of 0.75'. It would not be acceptable to partially scale, for example, 'add three marks to all fails'. Scaling must therefore apply to all students undertaking the same assessment at the same time.
- 19.59 The use of scaling must be made transparent to students. The details must be recorded in the Board of Examiner minutes and students fully informed.
- 19.60 Scaling can be applied to any work, not just an examination, where there has been a flaw in the assessment process.
- 19.61 Examples of where scaling might be applied are as follows:
- (i) a misprinted examination paper;
 - (ii) an incorrect formula in an examination paper;
 - (iii) in a practical examination, an instrumental malfunction not obvious at the time of the examination;
 - (iv) a mistake in an examination paper;
 - (v) the incorrect length of time given to complete an examination.

- 19.62 The approaches used to scale the marks should be discussed at the Board of Examiners, clearly documented in the Board of Examiner minutes and students fully informed of its use.

RECOMMENDATION TO THE ACADEMIC BOARD TO EXERCISE ITS DISCRETION NOTWITHSTANDING THE REGULATIONS

- 19.63 The Regulations that apply to this area are as follows:

- 16.2 A Board of Examiners has no discretion to recommend to Academic Board the raising of the classification of an award, other than where a recommendation is made notwithstanding the Regulations.
- 16.3 If a student has not met the conditions to progress to the next stage/level of a programme then Boards of Examiners have no discretion to recommend to Academic Board that a student is allowed to progress other than where a recommendation is made notwithstanding the Regulations.
- [...]
- 20.1 A Board of Examiners may, in the most exceptional of cases, recommend to the Academic Board that it uses its discretion to make an award notwithstanding the Regulations.
- 20.2 There is an expectation that a Board of Examiners will ordinarily permit a candidate the opportunity to undertake further assessments or to repeat a programme or level in whole or in part. The Board must consider this before considering a recommendation for an award notwithstanding the Regulations. There must be clear evidence as to the reason why a candidate would be unable to undertake further assessments or study.
- 20.3 A recommendation must be based on suitable and sufficient documentary evidence and not oral testimony.
- 20.4 A record of the case presented, the reasons for making the recommendation, the views of the External Examiner(s), and the details of the recommendation, must be made in the Minutes of the Board.
- 20.5 Each recommendation to the Academic Board for the use of discretion notwithstanding the Regulations is subject to individual approval of the Academic Board in the manner set out in the Assessment Procedures Manual.

Recommendation to the Academic Board to Exercise its discretion Notwithstanding the Regulations: Procedures

- 19.64 Examples of where a Board of Examiners may exercise discretion to make an award or allow progression notwithstanding the Regulations and Conventions in exceptional cases include (but are not restricted to):
- (i) the candidate provided substantial written evidence of illness or other grave and exceptional misfortune during the period of examination and the examiners had evidence that this seriously affected the result, for example in comparison with previous years.
 - (ii) there was evidence of a serious and specific administrative error that prevented the candidate from undertaking a full and fair assessment, and that it would be impossible for the student to be given a fresh opportunity to be assessed.

Responsibilities of the Deputy Chair

- 19.65 The responsibility for making a recommendation to the Board of Examiners rests with the Deputy Chair.
- 19.66 Before making a recommendation to the Board of Examiners, the Deputy Chair must consult the Academic Registrar, who may seek advice, other than from the Pro Vice-Chancellor (Education and Student Experience).
- 19.67 The Deputy Chair must ensure a record is made in the minutes of the Board of the case presented, the reasons for making the recommendation, the views of the External Examiner(s), and the details of the recommendation.

Responsibilities of the Chair

- 19.68 It is the responsibility of the Chair of the Board of Examiners to ensure that discretion is not exercised by the Board of Examiners, in the classification of an award, other than where a recommendation is made to the Academic Board to exercise its discretion to allow raise a classification notwithstanding the Regulations.
- 19.69 It is the responsibility of the Chair to ensure that discretion is not exercised by a Board of Examiners to recommend to Academic Board that a student is allowed to progress where a student has not met the conditions to progress to the next stage/level of a programme, other than where a recommendation is made to the Academic Board to exercise its discretion to allow progression notwithstanding the Regulations.
- 19.70 It is the responsibility of the Chair to ensure that the Board considers providing a student with an opportunity to undertake further assessments or to repeat a programme or level in whole or in part, before considering a recommendation for the use of discretion notwithstanding the Regulations. There must be clear evidence as to the reason why a candidate would be unable to undertake further assessments or study.
- 19.71 In all cases entailing a recommendation to the Academic Board to exercise its discretion notwithstanding the Regulations, the Chair must ensure that:
- (i) the Board considers providing a student with an opportunity to undertake further assessments or to repeat a programme or level in whole or in part, before considering a recommendation for the use of discretion notwithstanding the Regulations;
 - (ii) there is clear evidence as to the reason why a candidate would be unable to undertake further assessments or study. (This evidence must be suitable and sufficient documentary evidence and not oral testimony.);
 - (iii) there are good reasons for such a recommendation;
 - (iv) The action recommended to the Academic Board will be to the benefit of the candidate;
 - (v) The views of the External Examiner are particularly influential in reaching a decision;
 - (vi) The Board of Examiners agrees to the recommendation.
- 19.72 The Chair or Deputy Chair must present a written case for the approval of the Pro Vice-Chancellor (Education and Student Experience).

Responsibilities of the Pro Vice-Chancellor (Education and Student Experience)

- 19.73 The Pro Vice-Chancellor (Education and Student Experience) will act on behalf of the Academic Board and report the decision at the next meeting of the Academic Board.

CONSIDERATION OF SPECIAL CASES: THE FINDINGS OF PLAGIARISM AND ACADEMIC MISCONDUCT AND FITNESS TO PRACTICE PANELS

- 19.74 The Regulations that apply to this area are as follows:

15.26 The University prohibits plagiarism as defined in the University's Policy on Plagiarism. Accusations of plagiarism will be investigated and dealt with under the procedures set out in the Assessment Procedures Manual. These procedures must be applied in full. The findings of plagiarism investigations will be binding upon relevant Boards of Examiners.

Responsibilities of the Board of Examiners in relation to the findings of plagiarism, academic misconduct and fitness to practice panels

- 19.75 It is the responsibility of Boards of Examiners to take account of the decisions made in academic misconduct and fitness to practice panel and plagiarism panel investigations. The findings of these investigations are binding upon Boards of Examiners.

19.76 Boards of Examiners may, however, decide what action it is appropriate to take as a result of the findings of such panels.

CONSIDERATION OF SPECIAL CASES: APPLICATIONS FOR THE AWARD FOR CREDIT THROUGH THE RECOGNITION OF PRIOR EXPERIENTIAL LEARNING

19.77 The Regulations that apply to this area are as follows:

Recognition of Prior Certificated Learning

- 9.14 A student may apply to import credit, taken at another higher education institution, into a University award for which they are registered, in the following circumstances:
- (i) RPCL is not excluded from the Award by Special Regulations
 - (ii) the RPCL is at the stage at which the student enters the programme, unless specified otherwise in Special Regulations;
 - (iii) RPCL does not exceed 50 per cent of an award, including any exit award, or any percentage set out in Special Regulations;
 - (iv) the RPCL is at the level of the module for which it is being substituted;
 - (v) the credit appropriate mapping has taken place to ensure that the award enables the student to demonstrate that they have met the Intended Learning Outcomes of the module for which it is being substituted.
- 9.15 Achievement used for RPCL must have occurred during the previous five years. The five-year period is from the date that the award was made.
- 9.16 A candidate who has already entered a programme with Advanced Standing cannot be awarded RPCL if collectively the Advanced Standing and RPCL exceeds 50 per cent of the Award.
- 9.17 The mapping for RPCL must demonstrate that the learning outcomes of the programme against which RPCL is sought, are met in full, at the appropriate level. This mapping must be approved by the Board of Examiners.
- 9.18 The mark from the imported credit by RPCL cannot be used unless specified in Special Regulations.
- 9.19 RPCL does not result in the award of credits by the University, unless a Special Regulation that allows credit to be awarded has been approved.
- 9.20 Students using RPCL for Advanced Standing may use credits that have already been used for other awards on one occasion only. The credits and not the marks or grades derived from those credits can be re-used.
- 9.21 Where RPCL is used, marks or grades are not used for the classification of student performance, except where Special Regulations have been agreed by the Academic Board.

Award of credit through the Recognition of Prior Experiential Learning

- 9.22 A student may apply to demonstrate achievement for a University award for which they are registered, in the following circumstances:
- (i) RPEL is not excluded from the Award by Special Regulations;
 - (ii) RPEL does not exceed 50 per cent of an award, including any exit award, or any percentage set out in Special Regulations;
- 9.23 RPEL is awarded on the basis of learning acquired through reflecting on experience.
- 9.24 A student will be allowed to demonstrate achievement by RPEL, unless RPEL is excluded by Special Regulations from an award.
- 9.25 Where a candidate has Advanced Standing and/or exemption through RPCL, RPEL cannot be awarded where collectively the Advanced Standing and/or RPCL and RPEL exceeds 50 per cent of the Award, unless a Special Regulation that raises the limit for RPL has been approved.
- 9.26 The achievement used for RPEL must have occurred during the previous five years.
- 9.27 In order to be awarded credit through RPEL, a student must submit a Portfolio that demonstrates that they have met the Intended Learning Outcomes of that part of a programme, at the appropriate level.
- 9.28 The Portfolio must include:

- (i) a statement of the Intended Learning Outcomes, from which the student is seeking exemption;
 - (ii) the student's written reflection and evaluation of evidence being produced to support the claim for RPEL;
 - (iii) the evidence needed to substantiate a claim for the recognition of experiential learning.
- 9.29 The evidence produced to support a claim for RPEL may include some or all of the following:
- (i) a Curriculum Vitae;
 - (ii) testimonials;
 - (iii) evidence of achievement from the work-place, volunteering and similar activities, such as reports and presentations;
 - (iv) evidence of certificated learning that is (a) at a lower academic level than at the one for which exemption is being sought, or (b) that is at the appropriate level but that five years has elapsed since the award was made.
- 9.30 The University will award credit as the result of the successful RPEL.
- 9.31 RPEL is awarded by a Board of Examiners.

- 19.78 All the Regulations relating to RPL apply in full to the recognition of prior experiential learning.
- 19.79 The award of credit for the recognition of prior experiential learning occurs after a student has registered for a programme and occurs during the student's period of study.
- 19.80 Work submitted to support a claim for the award of credit for prior experiential learning will be graded or marked and the grades or marks will be used for the calculation of the student's award. The marking of the work is to be conducted in accordance with the arrangements set out in the Assessment Procedures Manual, chapter 14.
- 19.81 Procedures for handling applications for Advanced Standing are covered in the University Quality Manual.

Responsibilities of the Quality and Standards Office

- 19.82 The Quality and Standards Office is responsible for preparing the University information on the arrangements for RPL for approval by the Education and Student Experience Committee. Where the information concerns the award of credit for prior experiential learning, it is prepared in consultation with the Faculty Directors of Quality and the Academic Registrar.

Responsibilities of the Faculties

- 19.83 Faculty Quality Committees may establish an RPL Committee and/or appoint an RPL Co-ordinator to provide advice to the Faculty on all aspects of RPL arrangements.

Responsibilities of the Deputy Chair and the Board of Examiners

- 19.84 The Deputy Chair for the programme where the student is seeking an award of credit for prior experiential learning is responsible for oversight of the arrangements. The Deputy Chair may delegate any task to one or more nominees.
- 19.85 The Deputy Chair will ensure that students seeking the recognition of prior experiential learning are fully informed of:
- (i) the nature and range of evidence considered appropriate to support a claim for the recognition of prior experiential learning;
 - (ii) The expected length of the written submission, taking into account the volume of evidence being presented;
 - (iii) the criteria to be used in judging a claim for the recognition of prior experiential learning;
 - (iv) the date for submitting claims and the arrangements for considering the claims.

- 19.86 The Deputy Chair will inform the Registry of the application as soon as it is approved so that the relevant data may be entered into the student record.
- 19.87 The Deputy Chair is responsible for establishing that the content of a portfolio matches the content of the modules on the programme being replaced. Work submitted to support a claim for the award of credit for prior experiential learning will be graded or marked and the grades or marks will be used for the calculation of the student's award. The marking of the work is to be conducted in accordance with University's usual requirements.
- 19.88 The Deputy Chair is to include as a part of the proceedings of the Board of Examiners the approval of applications for the award of credit through prior experiential learning.
- 19.89 As RPEL normally leads to the award of credit, it will be overseen by the Board of Examiners in the same way the Board of Examiners oversees any other assessed work. The programme director is responsible for ensuring that RPEL is second sample marked (including double marking, if appropriate), and that the External Examiner sees an appropriate sample of the work.
- 19.90 Once a decision has been made relating to the award of credit for prior experiential learning no further application can be made for consideration in relation to the module concerned.
- 19.91 Between meetings of the Board, the Chair has the power, on the recommendation of the Deputy Chair, to approve the award of RPL. The Deputy Chair is responsible for ensuring that a report is made on the award of credits at the next meeting of the Board. Where appropriate, a special meeting of the Board might be convened for the purpose of awarding credit.
- 19.92 The Deputy Chair is responsible for ensuring that records are maintained of applications for Credit Recognition.

Requirements for a portfolio to support a claim for the award of credit for prior experiential learning

- 19.93 A portfolio is a means of enabling a student to demonstrate that they can meet the intended learning outcomes of that part of a programme at the appropriate level through the recognition of prior experiential learning.
- 19.94 The term portfolio is here used to cover both the evidence needed to substantiate a claim for the recognition of experiential learning, which may include certificated learning that is not in itself eligible to substantiate a claim, and such commentary on the evidence that is needed to substantiate a claim.
- 19.95 The portfolio must include:
- (i) a statement of the Intended Learning Outcomes from which the student is seeking exemption;
 - (ii) the student's written reflection and evaluation of evidence being produced to support the claim for the recognition of experiential or prior learning.
- 19.96 The evidence produced to support a claim for the recognition of experiential learning may include some or all of the following:
- (i) a Curriculum Vitae;
 - (ii) testimonials;
 - (iii) evidence of achievement from the work-place, volunteering and similar activities, such as reports and presentations;
 - (iv) evidence of certificated learning that is (a) at a lower academic level than at the one for which exemption is being sought, or (b) that is at the appropriate level but that five years has elapsed since the award was made.
- 19.97 The student's written contribution to the portfolio will vary in length to take into account the volume of the evidence being presented. This must be established at the outset of the process and the decision made clear to the student.

20 WHAT ACTION NEEDS TO BE TAKEN AFTER A BOARD OF EXAMINERS?

ENDORSEMENT OF PASS LISTS

20.1 The Regulations that apply to this area are as follows:

- 22.24 In circumstances where an External Examiner is unwilling to endorse a pass list or similar document, attempts must be made by the Board of Examiners to address the concerns of the External Examiner, and the outcome will be reported to the External Examiner, to the Board of Examiners and to the Academic Board. Where the concern cannot be resolved by the relevant Board of Examiners, the External Examiner will be required to make a written report to the Vice-Chancellor and Principal (or nominee) who will resolve the matter on behalf of the Academic Board.

Responsibilities of the Chair of the Board of Examiners

- 20.2 The Chair of each Board of Examiners shall be responsible for ensuring that a detailed list is produced of all students recommended for an award or progression, as appropriate, as well the students whom the Board recommends should be permitted to undergo reassessment.
- 20.3 The Chair should sign the mark profiles, and ensure that the External Examiner is asked to do so.
- 20.4 The Chair should ensure that before the publication of pass lists, or similar documents, External Examiners have endorsed the outcomes of assessments.

CHAIR'S ACTION ON BEHALF OF BOARDS OF EXAMINERS

20.5 The Regulations that apply to this area are as follows:

- 16.33 A Board of Examiners can resolve to delegate to the Chair the authority to take action where:
- (i) there has been full discussion of an assessment matter and a full course of action has been identified, and the Chair is asked to confirm that the assessment process is complete;
 - (ii) subsequent to the Board clear evidence of an administrative error has been discovered;
 - (iii) subsequent to the Board, a student presents substantive evidence to support an Extenuating Circumstances Request. This evidence must also be reviewed and accepted by the relevant Extenuating Circumstances Request Review Panel;
 - (iv) there has been an academic appeal upheld by a University panel.
- 16.34 Any Chair's Actions must be minuted and reported to the next meeting of the Board of Examiners.
- 16.35 It needs to be identified whether the External Examiner needs to be involved in agreeing the Chair's Action

Responsibilities of the Chair of the Board of Examiners

- 20.6 The Chair of a Board of Examiners may take Chair's Action outside the meeting, where this has been authorised by the Board of Examiners.
- 20.7 For each case raised the Chair must document the decision taken and the reason for that decision. These decisions must be documented in manner that makes them easy to access and distribute.
- 20.8 The document recording Chair's Actions must be presented at the next meeting of the Board of Examiners. This document must remain within the archive of the Board of Examiners and be available for inspection upon request.

OTHER ACTIONS TO BE TAKEN AFTER A BOARD OF EXAMINERS

20.9 The Regulations that apply to this area are as follows:

- 16.25 All Board of Examiners documentation should be produced in line with the guidance in the Assessment Procedures Manual. This will include:

- (i) an agenda which will be circulated in advance;
- (ii) a report on all actions taken by the Chair since the previous meeting;
- (iii) a set of minutes to be approved by the Board of Examiners;
- (iv) student mark profiles.

A note on Decision Sheets

- 20.10 The function of the Decision Sheet or the mark profiles is principally to allow a final check of accuracy by the Deputy Chair and authorization by the Pro Vice-Chancellor (Education and Student Experience). It also constitutes the formal record as the pass list for the programme.
- 20.11 The arrangements relating to Decision Sheets and mark profiles are set out in Registry Guidance on Decision Sheets Summarising the Recommendations of Board of Examiners. Those responsible for preparing Decision Sheets should refer to *Decisions Sheets summarising the Recommendations of Boards of Examiners* <http://www.canterbury.ac.uk/quality-and-standards-office/regulation-and-policy-zone/regulation-and-policy-zone.aspx#D>

Responsibilities of the Chair of a Board of Examiners

- 20.12 The Chair should also ensure that the Deputy Chair makes provision for the decisions of the Board to be recorded in the minutes and that the Academic Registrar (or nominee) records the decision for action by the Registry.
- 20.13 The Chair should also ensure that the minutes of the Board are available in electronic format within two weeks of the meeting and these minutes are made available on request. It is vital that Boards make a clear record of consideration of evidence, together with the reason why the evidence was treated in a particular way.

Responsibilities of the Deputy Chair

- 20.14 Following a meeting of a Board of Examiners, the Deputy Chair is responsible for:
- (i) ensuring that the Board of Examiners submits to the Registry, in a format to be specified by the Registry, evidence of all the approved marks for each module, signed by the Chair and the External Examiner(s), within 24 hours of the meeting of the Board of Examiners;
 - (ii) arranging, in consultation with the Chair, the taking of minutes and their distribution, including a copy to the Registry, and keeping appropriate records of procedures;
 - (iii) preparing the paperwork required by the Registry for students who are given the opportunity to undertake reassessment in one or more assessments;
 - (iv) bringing to the attention of the Board of Examiners all Extenuating Circumstances Requests made by candidates and ensuring that all requests are processed in line with extenuating circumstances guidance where a claim requires further action or has been deemed to be spent;
 - (v) ensuring that marks are accurately transcribed into the University's student database;
 - (vi) drawing to the attention of the Quality and Standards Office comments made by the Board concerning the programme.

Responsibilities of the Academic Registrar following a Board of Examiners

- 20.15 After the Board of Examiners the Academic Registrar is responsible for:
- (i) informing individual candidates of the outcome of the examinations, including any arrangements for reassessment examinations;
 - (ii) advising candidates of any right of appeal;
 - (iii) issuing certificates to those receiving awards;

- (iv) advising candidates, where appropriate, of award ceremonies.

MINUTES OF BOARDS OF EXAMINERS

20.16 The Regulations that apply to this area are as follows:

- 16.25 All Board of Examiners documentation should be produced in line with the guidance in the Assessment Procedures Manual. This will include:
- (i) an agenda which will be circulated in advance;
 - (ii) a report on all actions taken by the Chair since the previous meeting;
 - (iii) a set of minutes to be approved by the Board of Examiners;
 - (iv) student mark profiles.

Purpose of Minutes

20.17 The chief purposes of minutes of meetings of Boards of Examiners are to:

- (i) provide evidence that meetings were conducted in an orderly fashion in line with the University's Regulations, and attended to all necessary business;
- (ii) record clearly the decisions taken and the reasoning for those decisions; and
- (iii) report actions recommended for the future and issues programme teams or others are to address.
- (iv) to enable external review and audit of Board of Examiner decisions.

Overall Considerations when Preparing Minutes

20.18 As minutes are a method of recording and communicating decisions taken and the actions that are to follow, together with the reasoning, they need to be written in a clear, concise and simple way. A basic guide is to introduce the subject briefly, summarise any major points raised, record the decision reached, and identify the action required. A verbatim report of discussion is not appropriate

20.19 Minutes should be brief but comprehensive. This can be assisted by referring to other documents such as annotated mark sheets and the Programme Directors' written reports that many programmes include in their circulated materials for Board of Examiners meetings.

20.20 The Chair should ensure that the minutes of the Board are available in electronic format within two weeks of the meeting and these minutes are made available on request.

20.21 In the body of the minutes, it is important to identify clearly the action points and the reasoning.

20.22 Do:

- ✓ Use the Faculty minutes template (if one exists)
- ✓ Make minutes brief but comprehensive
- ✓ Ensure all decisions reached and actions taken are clearly recorded with the reasoning (particularly around extenuating circumstances)
- ✓ Ensure all actions are clearly identified along with responsibility for completion
- ✓ Ensure where it is agreed that clarified along with responsibility for completion (particularly around extenuating circumstances).
- ✓ Clearly identify the Chair, Deputy Chair, Registry, Secretary and External Examiners
- ✓ Confirm where an External Examiner is not present that they gave permission for the Board to proceed in their absence (not relevant for level 4 Boards)
- ✓ Ensure accuracy of information especially around codes and student names/numbers

- ✓ Label all minutes as 'confidential'
- ✓ Include page numbers and number sections and if appropriate paragraphs
- ✓ Give the date of the next Board meeting

20.23 Don't:

- × Provide a verbatim report of discussions
- × Name individuals (except in the present and apologies section) other than students
- × Identify any views of individual Board members
- × Minute any sensitive information relating to individual extenuating circumstances

Confidentiality and Anonymity in Minutes

20.24 In the minutes, avoid naming people other than candidates. Where there is a need to refer to members of staff, refer where possible to their job title. For example, instead of writing, "David Smith introduced the mark sheets", it is better to write, "The Deputy Chair introduced the mark sheets". Alternatively, it is possible to write the minutes so that it is not necessary to name people, for example, "The Board received the mark sheets".

20.25 It is particularly important not to reveal the views of individual examiners. Under the Data Protection Act 1998, students are entitled to ask for anything said in the minutes about them. In addition, there might be a request under the Freedom of Information Act 2000 for any generic comments made in the minutes, for example, comments about the overall standard in the examinations under discussion. What is important is to demonstrate there was due process, and record the reasoning behind the decision.

21 HOW ARE ACADEMIC AND FITNESS TO PRACTISE APPEALS HANDLED?

WHAT IS AN APPEAL?

21.1 An Appeal is defined as a request for a review of the decision-making of an academic body (for example, a Board of Examiners, an Extenuating Circumstances Request Review Panel or a Panel established to investigate Plagiarism) charged with making academic decisions on progression, assessment, extenuating circumstances, academic conduct or awards. The Procedures apply to Appeals received after 1 January 2015.

21.2 A Fitness to Practise Appeal is defined as a request for a review of the decision-making of a body, such as a fitness to practise panel, specifically established by the Academic Board for the purpose of making decisions relating to the student's conduct, competence and capabilities in relation to professional practice, taking into account the requirements of any relevant regulatory or statutory body. The Procedures apply to Fitness to Practise Appeals received after 1 January 2015.

WHAT ARE THE POTENTIAL REASONS FOR MAKING AN APPEAL?

21.3 A student may Appeal against a decision of an academic body other than a fitness to practise panel or professional suitability panel where specific, satisfactory evidence can be produced by a student that:

- (i) a Board of Examiners could have recommended that the student, following failure, be permitted to take further assessments but did not so recommend without good cause; and/or
- (ii) written extenuating circumstances evidence was appropriately submitted but not properly considered in accordance with the procedures approved by Academic Board; and/or
- (iii) there had been a material administrative error that had not been properly remedied and had a detrimental impact; and/or

- (iv) the assessments had not been conducted in accordance with the current Regulations, Frameworks, Protocols or Special Regulations for the programme; and/or
 - (v) the student has valid and specific grounds for claiming that there is substantial independent written evidence, from a qualified professional, directly relevant to performance in assessment *and* that such evidence
 - a) shows the student's performance to have been materially affected; *and*
 - b) is, for demonstrable reasons, of a sort which the student could not reasonably have been expected to submit at the appropriate time under the University's extenuating circumstances procedures; *and*
 - c) has not previously been received and reviewed by the University; *and*
 - d) relates to one or more assessment/s recent enough to have been considered when the Board of Examiners or other academic body last made a decision relating to the student.
- 21.4 A student may Appeal against the decision of a fitness to practise panel or professional suitability panel where specific, satisfactory evidence can be produced by a student that:
- (i) written extenuating circumstances evidence was appropriately submitted but not properly considered in accordance with the procedures approved by Academic Board; and/or
 - (ii) there had been a material administrative error that had not been remedied and had a detrimental impact; and/or
 - (iii) the student has valid and specific grounds for claiming that there is substantial independent written evidence, from a qualified professional, directly relevant to the deliberations of the panel and that such evidence
 - a) is, for demonstrable reasons, of a sort which the student could not reasonably have been expected to submit at the appropriate time under the University's extenuating circumstances procedures; and
 - b) has not previously been received and reviewed by the University.
- 21.5 The academic body or fitness to practise panel against whose decision the student is Appealing is referred to as the 'relevant body' in these procedures.

WHAT IS EXCLUDED FROM THE APPEALS PROCESS?

- 21.6 A student may not Appeal against the academic or professional judgement of the Examiners or panel members. This means there is no Appeal against the decision made on the quality of the assessed work (including professional practice) or the criteria being applied to mark the work, rather than the administration of the assessment process.
- 21.7 A student may not Appeal where there is disagreement about the way in which extenuating circumstances requests were considered unless there is clear evidence that the defined procedures were not followed by the Extenuating Circumstances Review Panel and/or the Panel's decision was not appropriately considered by the relevant body.

HOW CAN A STUDENT MAKE A REQUEST FOR AN APPEAL?

- 21.8 The request for an Appeal is to be submitted, in writing, to the Director of Academic Administration within twenty working days of the date of issue of the written notification to the student of the decision of the relevant body. The student may seek assistance from Student Support, Health and Wellbeing or the Students' Union in preparing an appeal.
- 21.9 In exceptional circumstances, the Director of Academic Administration may extend the time allowed for submission of an Appeal if satisfied there were valid reasons why the request was not submitted within twenty working days. Such circumstances might include, but are not limited to,

the student being ill or having other pressing reasons or the student making initial enquiries about the process of Appeal and then lodging an Appeal.

- 21.10 The Director of Academic Administration will decline to accept any request submitted by the student more than forty working days after the date of issue of the written notification of the decision of the relevant body to the student.
- 21.11 A request for an Appeal needs to:
- (i) state the decision that is being Appealed against;
 - (ii) state which ground(s) the Appeal is based upon;
 - (iii) include a statement of the circumstances; and
 - (iv) indicate the outcome being sought (although the final outcome may differ from that sought).
- 21.12 In requesting an Appeal, the student does not need to provide documentation to support the Appeal. Relevant supporting evidence will be requested as part of the consideration or investigation of the appeal where it is required.
- 21.13 On receipt of a request from a student for an Appeal, an acknowledgement will be made.

WHAT HAPPENS WHEN THE REQUEST IS NOT AN APPEAL?

- 21.14 When a student writes to the Director of Academic Administration, instead of seeking an Appeal the student might wish to:
- (i) clarify whether the correct outcome has been communicated; or
 - (ii) make a complaint about the services provided.

WHAT HAPPENS IF WHAT IS REQUIRED IS THE CLARIFICATION OF AN OUTCOME?

- 21.15 A request for a clarification of an outcome may arise because the student has not understood the process concerned, or is disappointed with the result. It may be a request for confirmation that extenuating circumstances evidence had been received and taken into consideration.
- 21.16 By explaining the process, the case officer may be able to place the student's mind at rest without taking the matter further. The case officer should, where appropriate, advise the student of the formal means of Appeal, extending the time limit by fourteen days from the letter informing the student of the decision.

WHAT HAPPENS IF THE COMPLAINT IS ABOUT THE SERVICES PROVIDED?

- 21.17 A student might use the opportunity to complain about the services provided.
- 21.18 Appropriate explanation of the process should be given by means of response. Where appropriate, the case officer will write to the student, enquiring whether the matter should be pursued under the University's Student Complaints Procedures. If such a matter is pursued, the case officer would assess at that time whether grounds for Appeal came to light as a result of the investigation.

HOW ARE APPEALS PROCESSED?

- 21.19 The Director of Academic Administration will appoint a case officer within Registry to manage the appeal. In determining whether a request meets the requirements for an Appeal, the case officer will consider:
- (i) the arguments and evidence the student presents in the request for an Appeal;
 - (ii) the papers of the relevant body relating to the student, and in the case of Boards of Examiners any profile used to calculate the classification;
 - (iii) any extenuating circumstances evidence the student has submitted;
 - (iv) invite the student to provide any necessary supporting evidence from the student.

REQUESTS TO CHAIR OR DEPUTY CHAIR(S) FOR INFORMATION

- 21.20 If the request requires investigation, the case officer will invite the Chair and/or the Deputy Chair(s) of the relevant body to comment, in writing, on the arguments presented by the student in the request for an Appeal.
- 21.21 Where a student is pursuing a joint or combined programme, and the Appeal concerns the decision of a Board of Examiners, the Deputy Chairs of both programmes may be notified and consulted.
- 21.22 The case officer will provide the student with a copy of the information received from the Chair or the Deputy Chair(s), and invite the student to comment. The student may seek assistance from Student Support, Health and Wellbeing or the Students' Union in preparing the comments.

EXAMINATION OF THE REQUEST BY THE CASE OFFICER

- 21.23 On receipt of the comments from the Chair or Deputy Chair(s) and the student, the case officer will examine the case and set out the conclusions in a letter to the student.
- 21.24 The case officer will determine the case in the following way, with the procedures set out in the appropriate section:
- (i) There are not grounds for an Appeal
 - (ii) There are grounds for an Appeal which may be resolved informally
 - (iii) There are grounds for Appeal that need to be referred for Formal Investigation

WHAT HAPPENS WHEN IT IS DECIDED THERE ARE NO GROUNDS FOR AN APPEAL?

- 21.25 Where it is determined there are no grounds for Appeal, the reasons will be set out in a letter to the student outlining the substance of the case officer's findings. This will usually be where there is clear evidence that the relevant body concerned has:
- (i) complied with the Regulations, Conventions, Policies and Procedures
 - (ii) considered the necessary documentation
 - (iii) considered, where appropriate, the extenuating circumstances evidence, and either made adjustments or judged that the evidence was not appropriate, and has given reasons
 - (iv) already given extenuating circumstances, where appropriate, in the form of extensions or reassessments
 - (v) provided a satisfactory reason why the relevant body made the decisions relating to the student
- 21.26 If the case officer decides there are no grounds for an Appeal, the student will be informed in writing that there will be no Formal Investigation and the original decision will stand.
- 21.27 Where the case officer determines there are no grounds for an Appeal, the student has the right to request reconsideration of the decision. The case officer will inform the student of this right at the time of setting out the reasons for not accepting grounds for an Appeal.

WHAT ARE THE ARRANGEMENTS FOR REPRESENTATION WHEN A CASE OFFICER DECIDES NOT TO INSTITUTE A FORMAL INVESTIGATION?

- 21.28 The student may request reconsideration of the case officer's decision by making a written request to the Director of Academic Administration. The request is to be submitted, in writing, to the Director within twenty working days of the date of issue of the notification to the student of the decision of the case officer.
- 21.29 In exceptional circumstances, the Director may extend the time allowed for submission of the request if satisfied there were valid reasons why the request was not submitted within twenty working days. Such circumstances might include, but are not limited to, the student being ill or having other pressing reasons.

- 21.30 The Director will refer the request to an investigator in a Faculty other than one in which the student is studying.
- 21.31 No person who has previously been involved with the case shall review the request.
- 21.32 The student will not meet with the investigator, who will make the decision based on the evidence originally presented together with any further statement the student wishes to make in response to the decision of the case officer.
- 21.33 If the investigator determines there are grounds for an Appeal, the Director will inform the student that a Formal Investigation will be undertaken.
- 21.34 If the investigator confirms the case officer's decision that there are no grounds for an Appeal, the investigator will inform the student. The student may make a Representation to the Vice-Chancellor in writing against the decision within twenty working days of the date of the formal written response.

WHAT IS THE ROLE OF INFORMAL RESOLUTION?

- 21.35 Where the Chair or Deputy Chair of a relevant body accepts the case put forward by the student, the case officer may resolve the matter without referring the matter for Formal Investigation.
- 21.36 Where the acceptance of an Appeal does not result in the change of a classification, the appropriate change may be made. This may result in a change of mark or the opportunity for an assessment or reassessment. The Deputy Chair concerned will inform the relevant external examiner of the outcome. Any such decision must be based on a clear set of reasons.
- 21.37 Where the Appeal results in a change in a classification, a clear set of reasons is to be put forward in writing to explain why the Board of Examiners did not propose a higher class at the time. There must be evidence of administrative error or a reason why extenuating circumstances evidence was not considered in an appropriate way. This is essential out of fairness to other students. In addition, at least one external examiner must be in agreement with the proposed change, having considered the reasons. If there is any doubt, the matter should be referred for Formal Investigation.
- 21.38 Where the student's request for an Appeal is upheld without reference to an Investigator, the student will be informed accordingly by the case officer. An explanation of the reasons will be given, and the consequences will be outlined to the student.

WHAT IS THE ROLE OF FORMAL INVESTIGATION?

- 21.39 Where the case officer believes there are grounds for Appeal based on the case presented by the student, or is directed to do so by the Review Committee, the matter will be referred for Formal Investigation.
- 21.40 The student will be informed of the arrangements that will be put in place for the Formal Investigation. It is aimed to complete the Formal Investigation stage within twenty working days of the appointment of the Investigator. The general exception is where notification is received outside the published term dates for the programme, when the aim is to complete the Formal Investigation stage within forty working days of the appointment of the Investigator.

HOW IS THE STUDENT'S PERSPECTIVE CONSIDERED?

- 21.41 The Investigator must ensure the student has an adequate opportunity to be heard.
- 21.42 The student has the right to request support in the preparation of the case from the University's Department of Student Support, Health and Wellbeing or from the Students' Union.
- 21.43 The student is to be given a copy of the evidence requested by and presented to the Investigator.
- 21.44 The student has the right to make personal statement in writing. The Investigator must consider all such statements presented by, or on the specific written authorisation of, the student. The Investigator is to be satisfied that any written statements made on behalf of the student have been made available to the student.

- 21.45 Where an Investigator upholds the position of the student based on a reading of the written case, and the student agrees the outcome, there is no requirement that the student is invited to talk with the Investigator.
- 21.46 Where a case requires further investigation, the Investigator must give the student the opportunity to be heard either in a face to face meeting or at a distance by making use of any appropriate means of telecommunication, including telephone and Skype.
- 21.47 When attending in person, the student has the right to be accompanied by a friend, defined as a registered student of Canterbury Christ Church University, a member from the same cohort as the student, a member of the Students' Union Council, an officer of the Students' Union or a current member of staff of the University. In all cases, the friend may speak on behalf of the student, and may with the written authorisation of the student attend in the student's place.
- 21.48 When a student declines to meet with the Investigator, the Formal Investigation will be concluded based on the evidence collected. The right to Representation to the Vice-Chancellor will be unaffected by non-attendance at a meeting.

WHAT HAPPENS IF AN APPEAL IS UPHELD?

- 21.49 The Investigator will decide whether an Appeal is to be upheld based on the evidence available, and set out the reasons for the decision. When the Investigator upholds a student appeal in whole or in part, the Investigator will refer the matter to the programme manager(s) or the decision making body for reconsideration. The programme manager(s) concerned will draw up an action plan to address the issues that were upheld. This is to demonstrate how the decision of the Investigator is to be addressed.
- 21.50 The action plan is to be agreed with the student concerned, and a copy provided to the Investigator. The action plan is to be drawn up within twenty working days of the Investigator writing to the student and programme managers, and to be agreed with the student within forty working days of the notification. In the event of disagreement, the Investigator is to act as a conciliator and, should the need arise, issue a binding action plan.
- 21.51 The Investigator may extend the period for the completion of an Action Plan with the agreement of both the programme manager(s) and the student.

HOW CAN A STUDENT MAKE A REPRESENTATION AGAINST DECISION OF THE INVESTIGATOR?

- 21.52 A Representation may be made where the student does not believe the Formal Investigation has been properly conducted by the Investigator.
- 21.53 The Representation will be made as follows:
- (i) For programmes accredited by Canterbury Christ Church University, a Representation may be made in writing to the Vice-Chancellor.
 - (ii) For programmes accredited by a validating body other than the University, any right of further representation will be that available under the arrangements for the programme. The procedures followed will be those of the validating body concerned.
- 21.54 The Investigator will advise the student of the right of representation and the means by which this is to be done.

WHAT ARE THE ARRANGEMENTS FOR REPRESENTATION TO THE VICE-CHANCELLOR?

- 21.55 The student may make a Representation to the Vice-Chancellor in writing against the decision of the Investigator or the Review Committee within twenty working days of the date of the formal written response.
- 21.56 In exceptional circumstances, the Vice-Chancellor may extend the time allowed for submission of a Representation if satisfied there were valid reasons why the request was not submitted within twenty working days. Such circumstances might include, but are not limited to, the student being ill or having other pressing reasons.

- 21.57 The Vice-Chancellor will nominate a suitable individual to review the Representation. Normally, this will be the Pro Vice-Chancellor (Education and Student Experience). The arrangements for delegation may include arrangements to cover any period of absence from the University.
- 21.58 The Vice-Chancellor's nominee is not limited in the means of seeking a resolution. The nominee may, for example, propose a particular course of action, recommend mediation be undertaken subject to the agreement of the student or determine that a further investigation is to be undertaken.
- 21.59 The outcome of the Review Stage may be a confirmation that the procedures were followed, the outcome was reasonable and there was no further action that the University should take.
- 21.60 It is aimed to complete the Review Stage within twenty working days of the Vice-Chancellor acknowledging the notification. The general exception is where the notification is received outside the published term dates, when the aim is to complete the Review Stage within forty working days of the notification being acknowledged.
- 21.61 The decision of the Vice-Chancellor's nominee represents the completion of the internal procedures of the University.

WHAT ARE THE ARRANGEMENTS FOR EXTENDING TIME SCALES?

- 21.62 The time scale for any stage may be extended on the request of, or with the agreement of, the student, particularly where it is agreed there should be any form of alternative dispute resolution.
- 21.63 Where necessary, the Investigator or the nominee of the Vice-Chancellor has the authority to extend a stage for good cause, but must inform the student in writing of the reason for, and the length of time of the extension.

WHAT HAPPENS AFTER THE INTERNAL PROCEDURES OF THE UNIVERSITY ARE COMPLETED?

- 21.64 Once the student completes the internal procedures of the University but believes the issue has not been appropriately addressed, the student may complain to the Office of the Independent Adjudicator for Higher Education (OIA).

22 HOW ARE EXTERNAL EXAMINERS FOR TAUGHT PROGRAMMES APPOINTED, WHAT IS THEIR FUNCTION AND HOW ARE THEIR REPORTS CONSIDERED?

NOMINATION OF EXTERNAL EXAMINERS

22.1 The Regulations that apply to this area are as follows:

- 22.4 One or more External Examiners must be appointed for each scheme and/or programme and/or pathway for taught programmes.
- 22.5 External Examiners for taught programmes must be appointed in a way that follows the Assessment Procedures Manual.
- 22.6 The nomination of an External Examiner for a taught award is the responsibility of the Head of School concerned.
- 22.7 All External Examiners for taught programmes must be of an appropriate standing, in line with the criteria for appointment of External Examiners, approved by the Academic Board.
- 22.8 The Education and Student Experience Committee on behalf of the Academic Board shall appoint External Examiners for taught programmes for a period of four years. An exceptional fifth year may be granted by the Education and Student Experience Committee on behalf of the Academic Board where such an appointment is necessary to ensure that the continuity of external examining is maintained.
- 22.9 In exceptional circumstances, the Education and Student Experience Committee may set aside aspects of the criteria for appointment of External Examiners for Taught Programmes.

- 22.2 In all cases, the number of External Examiners for a particular programme of study will be sufficient to cover the range of studies and/or the number of students involved.
- 22.3 An External Examiner shall normally be appointed for a programme of study as a whole but may be appointed with particular reference to one or more components within the programme of study.
- 22.4 The criteria for the appointment of External Examiners are drawn from the national person specification for External Examiners, presented in the UK Quality Code for Higher Education: Part B Assuring and Enhancing Academic Quality: Chapter B7: External Examining, and have been approved by the Academic Board.

Nomination of External Examiners: Procedures

- 22.5 The nomination of an External Examiner is the responsibility of the Head of School concerned, in consultation with the Programme Director. Before making a nomination, they should contact the prospective nominee informally to ensure that he or she is willing to serve, while making it clear that the appointment will require Education and Student Experience Committee approval and final confirmation will follow after some delay.
- 22.6 The Head of School should complete an application on the University's nomination form, which can be found at <http://www.canterbury.ac.uk/quality-and-standards-office/external-examiners/nomination-and-approval.aspx>
- 22.7 The completed nomination form should be submitted, together with the curriculum vitae of the nominee, via the Quality and Standards Office to the External Examiner Appointments Panel.
- 22.8 In making recommendations for the appointment of the External Examiner, Heads of School shall ensure that the proposed External Examiner demonstrates:
- (i) knowledge and understanding of UK sector agreed reference points for the maintenance of academic standards and assurance and enhancement of quality;
 - (ii) competence and experience in the fields covered by the programme of study, or parts thereof;
 - (iii) relevant academic and/or professional qualifications to at least the level of the qualification being externally examined, and/or extensive practitioner experience where appropriate;
 - (iv) competence and experience relating to designing and operating a variety of assessment tasks appropriate to the subject and operating assessment procedures;
 - (v) sufficient standing, credibility and breadth of experience within the discipline to be able to command the respect of academic peers and, where appropriate, professional peers;
 - (vi) familiarity with the standard to be expected of students to achieve the award that is to be assessed;
 - (vii) fluency in English, and where programmes are delivered and assessed in languages other than English, fluency in the relevant language(s) (unless other secure arrangements are in place to ensure that External Examiners are provided with the information to make their judgements);
 - (viii) that he or she meets applicable criteria set by professional, statutory or regulatory bodies;
 - (ix) awareness of current developments in the design and delivery of relevant curricula;
 - (x) competence and experience relating to the enhancement of the student learning experience.
- 22.9 In making nominations, Heads of School should also take into account the guidance on potential conflicts of interest, below.

POTENTIAL CONFLICTS OF INTEREST

- 22.10 The Regulations that apply to this area are as follows:

22.10 Nominated and existing External Examiners, for both Taught and Research Degree provision, shall declare any known conflicts of interest to the University.

- 22.11 Identified conflicts of interest shall be resolved by the University before the nomination is approved by the Education and Student Experience Committee, or in the case of an existing External Examiner, before the External Examiner is next asked to undertake any element of his or her duties.
- 22.12 Where a conflict of interest cannot be resolved, the University may decide not to approve a nomination, or to discontinue an existing appointment, following the early termination of External Examiners procedure set out in these Regulations.

- 22.11 The UK Quality Code for Higher Education indicates that due to the potential for a conflict of interest to develop, the following categories should not be appointed as External Examiner:
- (i) A member of a governing body or committee of the appointing institution or one of its collaborative partners, or a current employee of the appointing institution or one of its collaborative partners;
 - (ii) anyone with a close professional, contractual or personal relationship with a member of staff or student involved with the programme of study;
 - (iii) anyone required to assess colleagues who are recruited as students to the programme of study;
 - (iv) anyone who is, or knows they will be, in a position to influence significantly the future of students on the programme of study;
 - (v) anyone significantly involved in recent or current substantive collaborative research activities with a member of staff closely involved in the delivery, management or assessment of the programme(s) or modules in question;
 - (vi) former staff or students of the institution unless a period of five years has elapsed and all students taught by or with the External Examiner have completed their programme(s);
 - (vii) a reciprocal arrangement involving cognate programmes at another institution;
 - (viii) the succession of an External Examiner from an institution by a colleague from the same School in the same institution;
 - (ix) the appointment of more than one External Examiner from the same School of the same institution.

Potential conflicts of interest: Responsibilities of the Head of School

- 22.12 Heads of School should ensure that the categories identified above are not nominated as External Examiners.

Potential conflicts of interest: Responsibilities of the Nominee/Appointee

- 22.13 During the nomination process a potential External Examiner shall declare:
- (i) any relationship with any member of the University staff or student that may affect the proper exercise of the duties of an External Examiner;
 - (ii) any contractual undertaking with the University, both business and professional;
 - (iii) any current enrolment at the University on a programme of study, whether or not in the School providing the programme to be examined.
- 22.14 During the course of an appointment, an External Examiner should inform the External Examiner Appointments Panel, through the Quality and Standards Office, of any change that has the potential to affect the proper exercise of his/her functions.

Exceptional cases: Background Information

- 22.15 In exceptional circumstances, it may be necessary to nominate an External Examiner where one or more of these criteria need to be set aside. This is only in a subject where there is a clear case that

there are a very limited number of potential Examiners. Such a case has to be made to the External Examiner Appointments Panel, setting out the arguments, and including an account the measures taken to recruit another suitable External Examiner.

Responsibilities of the Head of School

- 22.16 It is the Head of School's responsibility to make a case for the approval of a nomination that does not meet in full the criteria for the nomination of External Examiners or which contravene the potential conflicts of interest identified above 22.11.

CONSIDERATION OF EXTERNAL EXAMINER NOMINATIONS

- 22.17 The Regulations that apply to this area are as follows:

- 22.7 All External Examiners for taught programmes must be of an appropriate standing, in line with the criteria for appointment of External Examiners, approved by the Academic Board.
- 22.8 The Education and Student Experience Committee on behalf of the Academic Board shall appoint External Examiners for taught programmes for a period of four years. An exceptional fifth year may be granted by the Education and Student Experience Committee on behalf of Academic Board where such an appointment is necessary to ensure that the continuity of external examining is maintained.
- 22.9 In exceptional circumstances, the Education and Student Experience Committee may set aside aspects of the criteria for appointment of External Examiners for Taught Programmes.

- 22.18 Nominations for External Examiners are considered by the External Examiner Appointments Panel, comprised of the Assistant Director Quality and Standards (Quality Management and Enhancement) and one of the four Faculty Directors of Quality (outside of the originating Faculty).

Responsibilities of the External Examiner Appointments Panel

- 22.19 The Panel shall review all nominations for External Examiners, in the light of criteria for appointment, and make recommendations to the Education and Student Experience Committee for the appointment of External Examiners. In certain circumstances, public and statutory bodies may need to approve nominations, and recommendations to the Education and Student Experience Committee will take place only when such approval is secured. The Education and Student Experience Committee on behalf of the Academic Board shall be solely responsible for the appointment of External Examiners.
- 22.20 As part of the appointment process, the External Examiner Appointments Panel will identify and resolve any potential conflict of interest. It is the duty of the Panel to be satisfied, before making a recommendation to the Education and Student Experience Committee, on the suitability of a candidate for appointment.
- 22.21 As part of the appointment process, the External Examiner Appointments Panel will identify any nomination approved notwithstanding that national criteria, and the rationale for doing so.

Responsibilities of the Quality and Standards Office

- 22.22 The Quality and Standards Office is responsible for:
- (i) forwarding External Examiner nominations to the External Examiner Appointments Panel;
 - (ii) forwarding External Examiner nominations recommended for approval by the External Examiner Appointments Panel to the Chair of the Education and Student Experience Committee;
 - (iii) reporting successful nominations to the Education and Student Experience Committee, specifying those nominations that have been approved notwithstanding the national person specification;
 - (iv) communicating outcomes to relevant academic Schools.

EXTERNAL EXAMINERS' TERMS OF OFFICE

22.23 The Regulations that apply to this area are as follows:

22.8 The Education and Student Experience Committee on behalf of the Academic Board shall appoint External Examiners for taught programmes for a period of four years. An exceptional fifth year may be granted by the Education and Student Experience Committee on behalf of the Academic Board where such an appointment is necessary to ensure that the continuity of external examining is maintained.

22.24 The criteria relating to External Examiners' terms of office, approved by the Academic Board are as follows:

- (i) The duration of an external examiner's appointment will normally be for four years, with an exceptional extension of one year to ensure continuity.
- (ii) An external examiner may be reappointed in exceptional circumstances but only after a period of five years or more has elapsed since their last appointment.
- (iii) External examiners normally hold no more than two external examiner appointments for taught programmes/modules at any point in time.

External Examiners' Term of Office: Procedures for the Extension of Duration of Office

22.25 In the event that a programme team wishes to apply for an extension to an External Examiner's term of office, the Head of School, in liaison with the Programme Director, should submit to the Quality and Standards Office an application on the approved form, providing a clear rationale for the extension. The extension form can be found at: <http://www.canterbury.ac.uk/quality-and-standards-office/external-examiners/nomination-and-approval.aspx>

22.26 The application will be considered by the External Examiner Appointments Panel and the Education and Student Experience Committee on behalf of Academic Board using the same process as outlined above for nominations.

22.27 NOTE: Extensions are only granted in exceptional cases in order to preserve continuity, and Schools should not assume that an application for an extension will be approved.

External Examiners' Term of Office: Procedures for the Extension of Responsibilities

22.28 In the event that a programme wishes to apply for an extension to the duties of an External Examiner, the Head of School, in liaison with the Programme Director should submit to the Quality and Standards Office an application on the approved form, providing a clear rationale for the extension. The extension form can be found at: <http://www.canterbury.ac.uk/quality-and-standards-office/external-examiners/nomination-and-approval.aspx>

22.29 The application will be considered by the External Examiner Appointments Panel and the Education and Student Experience Committee on behalf of Academic Board using the same process as outlined above for nominations.

22.30 An extension of responsibilities will not normally involve an extension of the External Examiner's term of office.

EARLY TERMINATION OF THE CONTRACT FOR AN EXTERNAL EXAMINER: BACKGROUND INFORMATION

22.31 The Regulations that apply to this area are as follows:

22.15 The contract with an External Examiner for a taught award may be terminated before the end of the External Examiner's term of office in one or more of the following circumstances:

- (i) the failure to disclose a relationship, contractual or otherwise, which may impair the integrity of the examination process and the independence of the External Examiner;
- (ii) a failure to fulfil the terms of the contract by failing to attend meetings, and/or presenting the required report(s), and/or return students' work following examination;

- (iii) dismissal by the main employer of the External Examiner for improper conduct in relation to the person's employment, which may impair the integrity of examination process or the independence of the External Examiner;
 - (iv) disbarment from being able to practise that may impair the integrity of examination process or the independence of the External Examiner, where there is a clinical or professional element to the Programme of Study;
 - (v) breach of University policies, including its Equal Opportunities Policy or equivalent.
- 22.16 The early termination of a contract shall be effected by the Chair of the Education and Student Experience Committee on behalf of the Academic Board, who shall present a report on any such termination to the Education and Student Experience Committee.
- 22.17 Any External Examiner whose contract is subject to early termination shall have the right of appeal to the Vice-Chancellor within 28 days of the issue of the notice of termination, who shall establish a panel of independent senior members of the University to hear and determine the matter, and make recommendations.

Examiner: Procedures

- 22.32 Potential cases for the premature termination of an External Examiner's contract should be referred in the first instance to the Quality and Standards Office.
- 22.33 The early termination of a contract shall be effected by the Chair of the Education and the Student Experience Committee on behalf of the Academic Board, who shall present a report on any such termination to the Education and Student Experience Committee.

BRIEFING AND INDUCTION OF EXTERNAL EXAMINERS

- 22.34 The Regulations that apply to this area are as follows:

- 22.13 Following confirmation of appointment by the Education and Student Experience Committee, each External Examiner for taught programmes shall be provided with a letter of appointment, allocating him or her to a scheme and/or programme and/or pathway.
- 22.14 External Examiners for taught programmes shall be provided with appropriate briefings and induction.

- 22.35 On appointment, each External Examiner should be provided with the necessary information to undertake the responsibilities outlined in the contract. The School will make, in conjunction with the Quality and Standards Office, appropriate arrangements for induction and support.
- 22.36 New External Examiners should normally take up an appointment on or before the retirement of their predecessors. External Examiners should remain available after the last assessments with which they will be associated in order to deal with any subsequent reviews of decisions.

Responsibilities of the Quality and Standards Office

- 22.37 Every new External Examiner will receive a formal letter of appointment from the Quality and Standards Office setting out the period of office, the programmes or courses to be examined and the fee structure.
- 22.38 The Quality and Standards Office will send to each External Examiner on appointment a copy of the Handbook for External Examiners which includes:
- (i) contractual arrangements, including rates of payment, expenses, and tenure;
 - (ii) information relating to induction and support;
 - (iii) general information about the roles, powers, and responsibilities assigned to External Examiners and the Regulations and procedures of the University;
 - (iv) guidelines on writing the Report;
 - (v) details of the criteria and procedures for the premature termination of a contract.

- 22.39 The Quality and Standards Office will hold a briefing and induction meeting to which all External Examiners are invited. It is expected that all External Examiners' will attend one of these events. The Quality and Standards Office is responsible for all aspects of the organisation of this event.

Responsibilities of the Programme Director

- 22.40 The Programme Director shall send to each External Examiner on appointment:
- (i) a written statement about the place of the relevant examinations within the context of the programme;
 - (ii) a written statement about the organisation and phasing of relevant curriculum;
 - (iii) information about the arrangements for examination of work and the meeting of Boards of Examiners;
 - (iv) any programme specific information, including a copy of the Programme Specification and Validation Document for the programme;
 - (v) a copy of the programme/course handbook for which the External Examiner is responsible;
 - (vi) the reports of External Examiners for the previous three years, together with the action plan regarding such reports.
- 22.41 The Programme Director should brief the new External Examiner at an early stage in his/her appointment, about the nature of the programme and its examination procedures. The briefing should cover:
- (i) the intended learning outcomes of the programme and its courses or modules and how these meet the requirements of the benchmark statements, the UK Quality Code for Higher Education: Section A and other external reference points, as appropriate;
 - (ii) the syllabuses and teaching methods;
 - (iii) methods of assessment and marking criteria;
 - (iv) the regulations for the programme including those concerned with compensation for failure and opportunities for reassessment;
 - (v) dates of Boards of Examiners' meetings;
 - (vi) the External Examiner's role in relation to the examining team as a whole;
 - (vii) the extent of the External Examiners' discretion.
- 22.42 The new External Examiner's induction visit should include meeting with students and staff connected with the programmes.

External Examiner access to the Virtual Learning Environment

- 22.43 External examiner access to the VLE is permitted to enable an External Examiner to effectively carry out their duties as specified in the Assessment Procedures Manual and/or to facilitate access to the documentation required to enable them to effectively carry out their duties.
- 22.44 The following principles would apply in terms of External Examiner access:
- (i) where an individual external examiner is granted access to the VLE, they will retain their access until the end of their term of office;
 - (ii) where there are multiple external examiners for a programme, they must be treated equitably in respect to VLE access;
 - (iii) where an external examiner is granted access to view samples of assessed student work and has full access (as opposed to samples being provided on a separate site), the Programme Director must provide the external examiner with guidance on samples to review;
 - (iv) where an external examiner is granted access to the VLE, the Programme Director is responsible for ensuring that appropriate training on the use of the VLE is provided to the external examiner.

ROLES AND RESPONSIBILITIES OF EXTERNAL EXAMINERS

22.45 The rights of the External Examiners are as follows:

- (i) External Examiners should have adequate access to samples of students' work with the right to see any item;
- (ii) External Examiners are entitled to meet students for the purposes of induction, or where there is a need to oversee practical assessments, and should be given reasonable opportunity to do so;
- (iii) the independence of External Examiners in making judgements about the examination process and award of qualifications is guaranteed, and no Examiner shall be dismissed for exercising such judgement;
- (iv) no arrangement for marking made by Internal Examiners shall limit in any way the role of the External Examiner.

22.46 The duties of the External Examiner are as follows:

- (i) reviewing and approving draft examination papers;
- (ii) reviewing a sample of scripts;
- (iii) reviewing the marking and classification to determine if they are of an appropriate standard;
- (iv) attending the relevant Board of Examiners at which the final assessment is made of candidates in the subject(s) for which they are appointed;
- (v) being satisfied that written University procedures for marking and classification are observed;
- (vi) being influential in cases of disagreement over marking and classification, when the External Examiner's views carry particular weight;
- (vii) providing an annual written report in compliance with the standard requirements outlined in the report form.

Roles and Responsibilities of External Examiners for Taught Programmes: Role of Scheme Examiners

22.47 An External Examiner appointed as a Scheme Examiner should in addition to other responsibilities agree that for the Scheme:

- (i) the processes for the determination of awards are sound and have been fairly conducted in accordance with the Regulations and Conventions of the University; and
- (ii) the Examiner has had access to all relevant papers and meetings.

PROCEDURES FOR SCHOOL LIAISON WITH EXTERNAL EXAMINERS, PRIOR TO BOARDS OF EXAMINER MEETINGS

22.48 It is the Deputy Chair's responsibility to:

- (i) provide the External Examiner with any draft examination papers for review and approval
- (ii) provide the External Examiner with dates of meetings of Boards of Examiners. Dates should be announced 6 months before the meeting is to be held.
- (iii) provide the External Examiner with an agreed sample of assessed material, prior to the meeting of the Board of Examiners [see p. 84].
- (iv) make arrangements for the External Examiner to meet with students on the programme, where necessary.

EXTERNAL EXAMINERS' REPORTS

22.49 The Regulations that apply to this area are as follows:

- 22.25 The Academic Board will ensure that due consideration is given to all External Examiner reports, the responses made to them, and any relevant subsequent action taken in consequence of a report by an External Examiner.
- 22.26 Each External Examiner must produce an annual report to the institution, in line with the University's report template.
- 22.27 All External Examiner reports will be made available to the Vice-Chancellor and Principal, and to relevant executive officers of the University.
- 22.28 No External Examiner's report for Taught Programmes shall name any student or staff member, or contain material which might be considered prejudicial to an identifiable individual.
- 22.29 The Quality and Standards Office shall be responsible for checking all External Examiners' reports prior to publication to ensure that they do not identify a student or member of staff or include any comment that would allow the identification of an individual student or member of staff. Where reports are found to identify individuals, the External Examiner concerned will be asked to amend the report by the Quality and Standards Office or, if this is not possible, the names will be removed prior to publication.
- 22.30 An External Examiner has authority to send an additional, separate and confidential report direct to the Vice-Chancellor and Principal: if, for example, they are concerned about standards of assessment and performance. This report will remain confidential and will not be shared with students.

- 22.50 The purpose of the External Examiner's report is to enable the programme director and internal examiners, the Faculty and the Academic Board and its committees to judge whether academic quality and standards are being maintained, and to make any necessary improvements or to further develop the programme, either immediately or at the next review as appropriate. It follows that this report is vital in the whole process of programme review.

Responsibilities of the External Examiner

- 22.51 External Examiners are asked to submit their reports as soon as possible following the Board of Examiners' meeting and in any case by the 1st September for Boards held in July; otherwise within one month of the date after the Board meeting to which they apply. In cases where a Board meets more than once during the year, External Examiners are asked to provide the annual report after the final Board of Examiners for that academic year.
- 22.52 External Examiners are asked not to name individuals, as annual reports will be made available to students and staff of the institution.
- 22.53 Exceptionally, External Examiners are entitled to report any serious matter, particularly where it relates to academic quality and standards, directly to the Vice-Chancellor, in confidence.
- 22.54 Reports should be sent by email to tqi@canterbury.ac.uk.
- 22.55 Payment will be made on the submission of the annual report.

THE OVERSIGHT OF EXTERNAL EXAMINER REPORTS

The Oversight of External Examiner Reports: Regulations and Background Information

- 22.56 The Regulations that apply to this area are as follows:

- 22.31 Following the publication of each External Examiner report, the Head of School shall ensure that the External Examiner's report is made available to:
 - (i) All members of academic staff teaching on the programme;
 - (ii) All students on the programme;
 - (iii) Other appropriate parties.
- 22.32 The Head of School shall ensure that appropriate action is taken in response to all issues raised by the External Examiner or that the reason why no action is taken is noted and that such actions are communicated to all stakeholders in the programme, including the External Examiner, and where appropriate external bodies.

- 22.33 The Head of School shall ensure that a formal, written response is made in a format determined by the University, and that this response is sent to the External Examiner and made available to all those to whom the original report was made available.
- 22.34 It is the responsibility of the Head of School to ensure that any significant issue (for example where the External Examiners identifies a current or likely future threat to the standards of the award) is reported to the Academic Board following the procedure identified by the Academic Board.

Responsibilities of the Quality and Standards Office

- 22.57 It is the responsibility of the Quality and Standards Office to
- (i) receive external examiners' annual reports;
 - (ii) acknowledge receipt of the report;
 - (iii) check all reports to ensure they do not identify individual students or members of staff;
 - (iv) make the report available to staff and students of the University.
- 22.58 The University views the External Examiner system in general and External Examiner reports in particular as key mechanisms for the management of academic standards and reflection on the quality of the student learning experience.

The Oversight of External Examiner Reports: Responsibilities of the Quality and Standards Office

- 22.59 All External Examiners reports are considered, on arrival in the Quality and Standards Office, by the Director of the Quality and Standards.
- 22.60 If any report suggests a serious problem, or one requiring urgent attention, the Director of Quality and Standards takes the matter up with the Pro Vice-Chancellor (Education and Student Experience) directly.
- 22.61 The Quality and Standards Office will provide the Vice-Chancellor with a copy of each External Examiner report for consideration.
- 22.62 The Quality and Standards Office will ensure that each External Examiner report will be made available to the head of the appropriate academic School(s).

The Oversight of External Examiner Reports: Responsibilities of Heads of School

- 22.63 The Head of School shall ensure that all issues raised by the External Examiner, either in his/her report or through other aspects of his/her role are identified, including those for which action has already been taken, and given due consideration by the programme team.
- 22.64 The Head of School shall ensure that appropriate action is taken in response to all issues raised by the External Examiner or that the reason why no action is taken is noted and that such actions are communicated to all stakeholders in the programme, including the external examiner, and where appropriate external bodies. Such actions will be monitored and evaluated through the Annual School Programme Review.
- 22.65 Where an External Examiner raises a significant issue, one, for example, that if not rectified threatens the standards of the programme, it is the responsibility of the Head of School to ensure that that issue and how it is addressed is reported on the appropriate pro forma to the Faculty Quality Committee and thereafter to the Education and Student Experience Committee and to the Academic Board.
- 22.66 The consideration of External Examiner comments and the response to the External Examiners and others is the responsibility of the whole programme team and not of a single individual or individuals; as such the External Examiner report should be discussed at such bodies as the Programme Management Committee, the Programme Board and the Student-Staff Liaison Committee.
- 22.67 The Head of School shall ensure that the External Examiner report is made available to:
- (i) all members of academic staff teaching on the programme;

- (ii) all students on the programme;
- (iii) other appropriate parties.

Responsibilities of Faculty Directors of Quality

22.68 The Faculty Director of Quality shall:

- (i) read all External Examiner Reports for programmes managed by the faculty;
- (ii) check that the Annual School Programme Review covers all issues of significance;
- (iii) inform the Dean of Faculty of any issue of serious concern to the faculty;
- (iv) inform the Director of Quality and Standards of any serious issue of concern to the University arising in External Examiners' reports;
- (v) inform the appropriate Faculty Director of Quality of any issue which is related to another faculty where there is joint working;
- (vi) ensure that any issue of significance, is considered by the Faculty Quality Committee, together with the action taken or to be taken in response;
- (vii) submit an annual report on issues raised in external examiner reports to the Education and Student Experience Committee, normally in the Lent Term.

The Oversight of External Examiner Reports: Responsibilities of the Director of Quality and Standards

22.69 The Director of Quality and Standards shall:

- (i) read all external examiner reports;
- (ii) draw to the attention of the relevant Faculty Director of Quality any issues of significance that relate to that faculty;
- (iii) ensure that each external examiner report is made available to the Vice-Chancellor for consideration;
- (iv) inform the Pro Vice-Chancellor (Education and Student Experience) of any issue of serious concern to the University, to enable the Vice-Chancellor to be made aware. This will enable the Vice-Chancellor to take any immediate action needed in the light of a serious issue raised in a report by an External Examiner;
- (v) ensure that any issue of significance is considered by the Education and Student Experience Committee, together with the action taken or to be taken in response;
- (vi) submit an annual report on issues raised in External Examiner reports to the Education and Student Experience Committee, for consideration by the Academic Board normally in the Lent Term.

23 APPOINTMENT AND FUNCTION OF EXAMINERS FOR POSTGRADUATE RESEARCH PROGRAMMES

APPOINTMENT OF INTERNAL EXAMINERS

23.1 The Regulations that apply to this area are as follows:

- 23.1 An Internal Examiner for a Research Degree is appointed to examine a specified candidate, and must be appointed in line with the guidance contained in the Assessment Procedures Manual.
- 23.2 The responsibility for the appointment of an Internal Examiner is as follows:
 - (i) for the Research Degree by Thesis the First Supervisor of the student is responsible for the appointment of an Internal Examiner, following consultation with the student and the rest of the supervisory panel.

- (ii) For the Research Degree by Thesis and Coursework the Programme Management Committee or Board of Examiners is responsible for the appointment of an Internal Examiner.
- 23.3 The criteria for the appointment of an Internal Examiner for a Research Degree are that the Examiner must have:
- (i) a sufficient academic career in a relevant field of study of the subject under examination; and
 - (ii) a sufficient research record of national standing, and
 - (iii) one year's experience of supervision in a relevant academic area.
- 23.4 No person who has been involved in the supervision of the research of the candidate under examination may be appointed as an Internal Examiner for the candidate.
- 23.5 Where a candidate is re-examined following failure, the person originally appointed as an Internal Examiner should normally be reappointed, subject to the above requirements in this section.
- 23.2 No individual may simultaneously internally examine more than two MPhil/PhD candidates or two Research Degrees at the University.

Responsibilities of the First Supervisor in respect of appointment of internal examiners

- 23.3 The nomination is presented to the Chair of the Research Degrees Sub Committee, who will report all decisions on such appointments to the next meeting of the Committee.

EXTERNAL EXAMINERS FOR RESEARCH DEGREES

- 23.4 The Regulations that apply to this area are as follows:

- 23.8 One or more External Examiners must be appointed for each Research Degree submission.
 - 23.9 Responsibility for the nomination of External Examiners for Research Degree by Thesis and for the thesis stage of Research Degrees by Thesis and Coursework is delegated by the Academic Board to the Research Degrees External Examiner Appointments Panel.
 - 23.10 All External Examiners for Research Degrees must be of an appropriate standing in line with the criteria for appointment of Research Degree examiners, set out in Assessment Procedures Manual, as approved by the Academic Board.
 - 23.11 External Examiners for Research Degrees must be appointed in a way that follows the Assessment Procedures Manual.
 - 23.12 The nomination of an External Examiner for a Research Degree by Thesis is the responsibility of the first supervisor of the research student concerned, in consultation with the student and the rest of supervisory panel.
 - 23.13 The Appointments Panel shall appoint External Examiners for a Research Degree by Thesis for a period of two years, renewable for one further year in exceptional circumstances.
 - 23.14 The nomination of an External Examiner for Research Degree by Thesis and Coursework, this responsibility may be carried out by the Programme Management Committee or Board of Examiners.
 - 23.15 The Programme Management Committee or Board of Examiners shall appoint External Examiners for a Research Degree by Thesis and Coursework, for up to four years.
 - 23.16 In exceptional circumstances, the Research Degrees External Examiner Appointments Panel may set aside aspects of the criteria for appointment of External Examiners for Research Degrees.
- 23.5 The Research Degrees Sub-Committee shall review all nominations for External Examiners, in the light of criteria for appointment, and make recommendations to the Research Degrees External Examiner Appointments Panel for the appointment of External Examiners. It is a requirement of appointment that an External Examiner is competent to undertake the role in terms of academic or professional expertise, knowledge, and experience, and is able to command the respect of

- colleagues in the University and other higher education institutions and the wider research community.
- 23.6 The membership of the Research Degrees External Examiner Appointments Panel will comprise the Chair of the Education and Student Experience Committee, the Chair of the Research Degrees Sub Committee and the Head of the Graduate School.
- 23.7 The Research Degrees External Examiner Appointments Panel is responsible for reporting successful nominations to the Education and Student Experience Committee and the Academic Board, specifying those nominations that have been approved.
- 23.8 For Research Degree by Thesis, the first supervisor will complete an application on the Graduate School standard form and submit it together with the curriculum vitae of the nominee to the Head of the Graduate School, who will present it to the Chair of the Research Degrees Sub Committee, who is empowered to take Chair's action.
- 23.9 In making recommendations for the appointment of the External Examiner, the following must be complied with:
- (i) They should have a significant academic career in an appropriate field of study, a significant research record of national standing, and experience of external examining. The requirement for experience in external examining may be waived if the internal examiner has such experience.
 - (ii) They should have five years' experience in the relevant academic area and a research degree.
 - (iii) No person should be nominated as External Examiner from a School where a member of the inviting School is serving as an examiner.
 - (iv) No person shall be eligible who has an association with the nominating School which could compromise his/her role as External Examiner.
 - (v) Former members of the University staff may not be nominated to become External Examiners before a lapse of at least five years or sufficient time for students taught by that member of staff to have passed through the system, whichever is the longer.
 - (vi) Former students should not be nominated to become External Examiners before a lapse of at least five years.
 - (vii) The nomination of External Examiners is to be made only from UK higher education institutions or non-UK higher education institutions with similar research degree requirements.
 - (viii) A retiring External Examiner for Research Degrees by Thesis is not eligible for nomination for examination of any student with the same first supervisor until a period of one year has elapsed.
 - (ix) A person who has been involved in the research of the candidate, or who has collaborated in the research of the first or second supervisor within the past five years, may not be appointed.
 - (x) People who have retired within three years from such posts may be considered for appointment, provided that there is evidence that they are familiar with current expectations in higher education and there is evidence that they have continued to research and publish during their retirement, and have experience of external examining within the last three years.
- 23.10 In exceptional circumstances, it may be necessary to nominate an External Examiner where one or more of these conditions needs to be set aside. This is only in a subject where there is a clear case that there are a very limited number of potential Examiners. Such a case has to be made to the Research Degrees Sub Committee, setting out the arguments, and including an account the measures taken to recruit another suitable External Examiner.

- 23.17 Nominated and existing External Examiners for Research Degrees shall declare any known conflicts of interest to the University.
- 23.18 Identified conflicts of interest shall be resolved by the University before the nomination is approved by the Research Degrees External Examiner Appointments Panel, or in the case of an existing External Examiner, before the External Examiner is next asked to undertake any element of his or her duties.
- 23.19 Where a conflict of interest cannot be resolved, the University may decide not to approve a nomination, or to discontinue an existing appointment, following the procedure set out in these Regulations.

- 23.11 As part of the appointment process, the Research Degrees Sub-Committee will identify and resolve any potential conflict of interest. It is the duty of the Research Degrees Sub-Committee to be satisfied, before making a recommendation to the Research Degree External Examiner Appointments Panel, on the suitability of a candidate for appointment.
- 23.12 Before appointment, a potential External Examiner shall declare:
 - (i) any relationship with any member of the University staff or student that may affect the proper exercise of the duties of an External Examiner;
 - (ii) any contractual undertaking with the University, both business and professional;
 - (iii) any current enrolment at the University on a programme of study, whether or not in the School providing the programme to be examined.
- 23.13 During the course of an appointment, an External Examiner should inform the Head of the Graduate School, or the appropriate programme management committee, of any change that has the potential to affect the proper exercise of his/her functions.

Briefing and induction of External Examiners

- 23.14 The Regulations that apply to this area are as follows:

- 23.20 Following confirmation of appointment by the Research Degrees External Examiner Appointments Panel, External Examiners for Research Degrees shall be provided with a letter of appointment, allocating them to a scheme and/or programme and/or pathway
- 23.21 External Examiners for Research Degrees shall be provided with appropriate briefings and induction.
- 23.22 Liaison with External Examiner(s) for Research Degrees shall be through the person so appointed by the Research Degrees External Examiner Appointments Panel. The School within which the student is being supervised should not liaise with the External Examiner on any matter concerning the examination, once the appointment has been made.

- 23.15 Every new External Examiner will receive a formal letter of appointment from the Graduate School, or the appropriate programme management committee, setting out the period of office, the programme courses to be examined and the fee structure.
- 23.16 On appointment, each External Examiner will be provided with the necessary information to undertake the responsibilities outlined in the contract.
- 23.17 The Graduate School, or the appropriate programme management committee, shall send to each External Examiner on appointment:
 - (i) a written statement about the place of the relevant examinations within the context of the programme;
 - (ii) a written statement about the organisation and phasing of reporting;
 - (iii) information about the arrangements for examination of work and the viva where appropriate.
- 23.18 The Graduate School, or appropriate programme management committee, shall send to each External Examiner on appointment a copy of the Handbook for External Examiners which includes:
 - (i) contractual arrangements, including rates of payment, expenses, and tenure;

- (ii) general information about the roles, powers, and responsibilities assigned to External Examiners and the policies and procedures of the University;
- (iii) guidelines on writing the Report;
- (iv) details of the criteria and procedures for the premature termination of a contract.

Responsibilities of External Examiners

- 23.19 External Examiners, in line with the QAA Code of Practice on external examining, are, in their expert judgment, required to report on:
- (i) whether the academic standard of the thesis they are appointed to examine is appropriate for the award offered by the University, by reference to such sources as published national benchmarks, the national qualifications frameworks, University programme specifications and other relevant information;
 - (ii) the standards of student performance in those programmes or parts of programmes which they have been appointed to examine, and on the comparability of the standards with those of similar programmes or parts of programmes in other UK higher education institutions;
 - (iii) the extent to which the processes for assessment, examination, and the determination of awards are sound and have been conducted according to the University's requirements.

Term limits

- 23.20 The Research Degrees External Examiner Appointments Panel shall appoint External Examiners for a period of two years, renewable for one further year in exceptional circumstances. In cases where there is more than one External Examiner, the Graduate School, or the appropriate programme management committee, shall determine which one should act as Internal Examiner, in which case only the requirements for Internal Examiner shall apply.
- 23.21 An application to extend an appointment shall be submitted, with reasons for the extension, to the Research Degrees Sub-Committee via the Graduate School, or the appropriate programme management committee.

Early Termination of a contract of an external examiner

- 23.22 The Regulations that apply to this area are as follows:

- 23.23 The contract with an External Examiner for a Research Degree may be terminated before the end of the External Examiner's term of office in one or more of the following circumstances:
- (i) the failure to disclose a relationship, contractual or otherwise, which may impair the integrity of the examination process and the independence of the External Examiner;
 - (ii) a failure to fulfil the terms of the contract by failing to attend meetings, and/or presenting the required report(s), and/or return students' work following examination;
 - (iii) a persistent failure to make arrangements for receiving thesis and attend, where appropriate, the viva, and/or present the required reports;
 - (iv) dismissal by the main employer of the External Examiner for improper conduct in relation to the person's employment, which may impair the integrity of examination process or the independence of the External Examiner;
 - (v) disbarment from being able to practise that may impair the integrity of examination process or the independence of the External Examiner, where there is a clinical or professional element to the research degree;
 - (vi) breach of University policies, including its Equal Opportunities Policy or equivalent.
- 23.24 The early termination of a contract shall be effected by the Chair of the Research Degrees Sub Committee, who shall present a report on any such termination to the Education and Student Experience Committee.
- 23.25 Any External Examiner whose contract is subject to early termination shall have the right of appeal to the Vice-Chancellor and Principal within 28 days of the issue of the notice of termination, who shall establish a panel of independent senior members of the University to hear and determine the matter, and make recommendations.